



Department  
for Work &  
Pensions



European Union  
European  
Social Fund

## 2014 to 2020 European Structural and Investment Funds Growth Programme

### Call for Proposals – Online Applications 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:	Getting On 2 – OC28S19P1440
LEP Area:	Sheffield City Region
Call Opens:	17 June 2019
Call Closes:	Midnight 09 September 2019
Application Process:	<p>Applications for funding must be completed and submitted using the ECLAIMS IT system.</p> <p>Applications submitted via any other method will not be accepted.</p> <p>Please <b>do not</b> use ECLAIMS to access or apply against <b>ERDF</b> calls published on GOV.UK – the online application process is only applicable to specified ESF open calls.</p>

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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.

The Government has confirmed that it will guarantee funding for ESF projects that are contracted by the end of 2020. Whatever the outcome of the EU negotiations, this guarantee will stand. This ensures that UK organisations, such as charities, businesses and universities, will continue to receive funding over a project's lifetime if they successfully bid into EU-funded programmes before the end of 2020, even in the event of a no-deal. Details of the guarantee can be found at the following [website link](#).

All contracted ESF projects must be completed by the end of the programme period in 2023. Each application for ESF will be required to demonstrate that it delivers good value for money and domestic strategic priorities.

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 of each Full Application.

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 single-stage appraisal 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 of the ESF regulation (see Appendix A). This will in addition to the requirement to report on the 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.

<b>Specific Objective</b>	<b>Results that the Member States seek to achieve with Union support</b>
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 were NEET or 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

	<p>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.</p>
<p>To address the basic skills needs of young NEETS so that they can compete effectively in the labour market;</p>	<p>The additional support from this investment priority will help young NEETs (in areas that do not qualify for the Youth 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 provide additional work experience and pre-employment training opportunities to unemployed 18-24 year olds</p>	<p>The additional support from this investment priority will help unemployed 18-24 year olds (in areas that do not qualify for the Youth Employment Initiative up to 2018) to transition into training or sustainable employment (or self-employment). The main result that will be achieved is that more participants will enter traineeships, apprenticeships or sustainable employment (including self-employment) on leaving.</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.

The Sheffield City Region (SCR) is seeking to ensure young people and adults are equipped with the skills and support they will need to secure and sustain employment and thereby contribute to, and benefit from, economic growth. This call will provide bespoke, individualised support any 16-24-year-old resident of the SCR who are not in education, employment, or training) or at risk of becoming NEET.

This will be enabled through the effective delivery of employment support and skills provision that is designed specifically to respond quickly and effectively to changing business needs through addressing the complex local needs of locally targeted communities. The SCR programme seeks to proactively tackle economic exclusion, giving opportunities to those in our more disadvantaged communities to harness their skills and raise their ambitions for work.

Mental health problems are a key personal risk factor in determining whether someone becomes NEET. A report by the Institute for Education found that “the influence of physical and particularly mental health problems on NEET status cannot be overstated”, impacting on GCSE attainment, contributing to them dropping out of post-16 education and training and therefore leading to them becoming NEET. It also argues that there is a strong need for access to professional support services for this group. Moreover, studies have shown that time spent NEET can have a detrimental effect on physical and mental health, and increase the likelihood of unemployment, low wages, or low quality of work later-on in life.

As NEETs, young people with mental health problems – including young people with emotional, behavioural and social difficulties – may only get support from generic approaches to support NEETs, and so do not receive sufficient or appropriately differentiated approaches that reflect their needs or circumstances. Such differentiated approaches include, for example, inter-agency working across all relevant organisations, especially engaging Child and adolescent mental health services (CAMHS), adults Mental Health services and education providers, as well as sources of informal support.

### Local Situation

The Sheffield City Region has a diverse economy comprising a dynamic core city, important towns and market towns, and a significant rural economy. The City Region encompasses more than 1.8 million people (over 1.1 million aged 16-64) and approximately 700,000 jobs. 76.6% of people are in employment. The two largest authorities in the City Region, in terms of population are Sheffield and Doncaster. Analysis of key indicators demonstrates:

- GVA per employee is 18% below the national average and mean earnings are 17% below the national average.

- Despite lower skills levels than average for England, underemployment is high (12% of all employees and occurs in 41% of businesses), this includes the graduates from our universities in addition to the wider labour market.
- Employers invest less in training than average, for example, 38% of establishments have not trained anyone in their workforce in the last 12 months.
- A shortfall of 30,000 jobs in higher skilled occupations relative to the size of the employment base.

Productivity in the SCR has been declining since 2000 and is circa 84% of the national average. The key determinant of this low productivity appears to be the high proportion of the workforce in low skilled occupations and the low proportions of the workforce in higher skills occupations in each sector.

SCR has some of the highest economic inactivity & unemployment rates across LEP areas. It is the 7th most deprived LEP area with employment growth in SCR slower than national average. Educational attainment at school level is lower in several areas of SCR, compared to the national average and the quality of careers advice is varied hindering young people's understanding of future career opportunities and growth areas. A range of education and learning is delivered at FE level although this is often focused upon lower level skills. There are several areas where young people participating in Higher Education is very low and lack of graduate retainment from areas outside of Sheffield.

In 2014/15 over 21,000 people started an Apprenticeship in the Sheffield City Region, with the majority at Level 2, only 3.5% at a higher level and with significant BAME under-representation<sup>1</sup>.

According to UKCES Employer Skills Survey 2015, the number of companies reporting having skills gaps is 16%, higher than the average in England of 14%, with 6% reporting they are struggling to fill vacancies and 31% are hard to fill. This is in addition to lower than national averages for the number of residents qualified to Level 3 and above (51.6% compared to 56.9) and above average figures for the number with no qualifications (8.9%, 8.0% Great Britain average).

As well as new jobs, the region faces significant challenges around the high levels of replacement demand (especially in some of our more technical sectors such as engineering/manufacturing and construction). Supplying a workforce to meet the replacement demand is a priority for action: to ensure that we have the labour market capacity to fill these roles. Certain population groups remain disengaged from the labour market (e.g. ethnic minorities and female participation is lower in some areas within SCR). Unemployment is higher in every age group in SCR compared to the national average and it is particularly high for young people. Earnings in SCR are lower than the national average. Jobcentre Plus report the most significant obstacle to work for this group is inexperience in work and therefore a lack of employability skills.

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<sup>1</sup> Sheffield City Region Labour Market Report – can be found [here](#)

There is evidence to suggest that the incidence of mental health problems among young people who are NEET is increasing. National research indicates that 35% of NEETs face mental health problems compared with only 14% of non-NEETs. According to ONS, the proportion of young people reporting symptoms of anxiety or depression nationally increased from 18% in the period 2009 to 2010 to 21% in 2013 to 2014; young women were more likely than young men to report symptoms of anxiety or depression.

SCR, its 9 local authorities, colleges, and health partners have a complex set of provision, local organisation networks and governance in place of relevance to skills and employments that this support will need to link into and align provision to be effective in our area. 6 Local Integration Boards have been established to strengthen and align skills and employment provision we expect this programme to work in an integrated way with existing provision and through those boards.

*Strategic economic plan 2015-2025:* <https://sheffieldcityregion.org.uk/wp-content/uploads/2018/01/Strategic-Economic-Plan-2015-2025.pdf>

### **Additional requirements:**

Successful providers should:

- Demonstrate a strong track record of working with young people who are NEET or at risk of becoming NEET and a clear understanding their needs
- Collaborate with other providers in the locality and those that work with the client group. The Provider must develop a strong working relationship with the Local Integration Boards in the areas they are delivering activity within.
- Work in conjunction with other LEP and ESIF ESF programmes and activity to reduce the number of repeat approaches to participants
- Ensure the programme maximises mainstream provision and provides by working in partnership with other new and/or existing providers.
- Demonstrate excellent partnerships and referral mechanisms with other skills, training and specialist providers

### **Alignment:**

All activities must complement existing provision, thereby adding value. Providers will work with the Local integration board/s to support the local agenda and feedback on progress.

To create a more balanced, integrated and less confusing provision to end users, all projects funded through this Call would be expected to explicitly undertake to working collaboratively with other local providers to minimise fragmentation in delivery and identify the best overall solution for participants. Providers will be aware of local provision that will be most suitable and signpost/refer appropriately.



## Call Outline:

Through this call, the Managing Authority and LEP are seeking project(s) to reduce youth unemployment and inactivity. It will focus and skill residents to meet the needs and opportunities for work in new and emerging sectors within the SCR. Feedback from key stakeholders identifies a real need for immediate and responsive support for clients co-located or based in locally accessible venues to buffer waiting times for key support services.

By developing a skilled and adaptable workforce, this theme will help to improve productivity, innovation, enterprise and competitiveness. It will particularly help workers to develop the skills needed by business in a knowledge-based economy. It will reduce inequality by supporting those in disadvantaged communities to access employment and higher-level skills.

Applicants are encouraged to facilitate employment and skills opportunities for young people in need, preventing long term workless that take account of individual circumstances, health, barriers, social and psychological aspects affecting behaviour and motivation.

The SCR LEP are looking for innovative approaches to work experience to young people who are unemployed or NEET or at risk of becoming NEET to support either progression into employment, further education or training.

The local priorities to be addressed through this Call are:

- Interventions to attract young people who are NEET or at risk of becoming NEET to growth sectors and employment opportunities. Activities will be intensive, innovative, holistic and tailored support to those young people who are disengaged from mainstream activity offering a portfolio of individually tailored provision, priority groups identified as being at risk are:
  - Young refugees and migrants
  - Care Leavers
  - Young Carers
  - Young people with a physical and/or mental health condition, and/or learning disability
  - Young people from a disadvantaged community, particularly Roma and Traveller communities and BAME groups (particularly young women)
  - Lone parents
  - Ex-Offenders (provider/s will be expected to work alongside adding value to existing HMPPs provision)

Applicants may propose in their submission additional target groups where need is evidenced. Applicants must ensure that all proposed groups are eligible for support under this call.

Proposals should include one or more of the following elements:

- Targeted engagement of disadvantaged young people through innovative outreach activities.
- Inclusion of Intermediate Labour Market (ILM) provision increasing the employability and progression prospects of young people disadvantaged in the labour market who are NEET or at risk of becoming NEET.
- Mental health interventions specifically designed and targeted at young people (often a combination of more than one type is the most likely to succeed) – Improving Access to Psychological Therapies, services, alternative therapies, social prescribing, mindfulness. Including engagement, trust building and supporting preparation for a mental health intervention. Support with job-seeking once young people feel well enough to get and keep a job (IAG, interview skills, potentially vocation and key skills development, work readiness).
- In-work support to help young people manage their mental health during this transition and sustain the role aligning to support to enable progression in work.
- Provision of opportunities to link learning to meaningful work experience including volunteering and pre-employment activities.
- Fostering an aspirational and enterprising culture amongst young people by supporting them to acquire skills (basic, intermediate and technical) needed by SCR LEP growth sectors' employers or to help them into self-employment
- Interventions to attract talented young people at risk with the aim of increasing participation in traineeships, supported internships and apprenticeships
- Provision of support to disadvantaged young people to overcome the barriers to engagement, such as lack of childcare and transport,
- Development of soft skills such as resilience, confidence building, building motivation and managing health issues.
- Projects including offering support to help young people to develop the skills needed by business in a knowledge-based economy
- Development of pathways to higher level skills and career routeways.
- Signposting to other funded provision for example funded support for training (e.g. Further education/Higher Education loans), accredited and non-accredited training to help individuals improve their skills and support for literacy including ESOL and financial literacy.

Applicants are encouraged to engage with **local ESIF Technical Assistance** support to assist with the development of their Application(s). Technical Assistance support is available in Sheffield City Region through the ESIF Technical Assistance programme managed by Doncaster Metropolitan Borough Council.

Contact details:

Stacey Chaplin MSc URP, Policy & Partnerships Manager (Skills)  
Strategy and Performance Unit, Doncaster Council

Phone 01302 735447

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**ESF Call Template Online Applications**

Version 1

Published: 17/06/2019

Email [stacey.chaplin @doncaster.gov.uk](mailto:stacey.chaplin@doncaster.gov.uk)  
Website [www.doncaster.gov.uk](http://www.doncaster.gov.uk)

## Consortia/Partnership Applications

Applications are encouraged from consortia or other similar types of partnership arrangements. In each such case the application must be completed and submitted in the ECLAIMS IT system by the lead organisation on behalf of the partnership/consortia. The lead applicant must have the financial capacity to meet the required Due Diligence criteria and, if ESF funding is awarded, this organisation will then become the lead Grant Recipient accountable for delivery of the overall ESF Project.

Details of the local ESIF Strategy can be found at:

<https://sheffieldcityregion.org.uk/wp-content/uploads/2018/01/SCR-ESIF-REFRESH-Feb-2016-Final-v3-1.pdf>

### 1.3 Scope of activity

This call invites Full 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 Sheffield City Region 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

<b>Indicative Fund Allocation:</b>	Indicatively, through this call the Managing Authority expects to allocate approximately <b>£1,088,284 ESF</b> .  <b>If applicable:</b>  <b>Approximately 45% - £496,943 allocated to the Transition Region</b>  <b>Approximately 55%- £591,341 allocated to the More Developed Region</b>  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.
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<p><b>Minimum application level</b></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 <b>£150,000) of ESF to any single project.</b></p> <p>Applications requesting an ESF amount below the 'Minimum Application Level' will be rejected.</p> <p>The minimum project size for both ESF &amp; match funding, is dependent on the intervention rate determined by Category of Region (CoR) 60% Transition Region &amp; 50% More Developed Region.</p> <p>As Sheffield City Region LEP area spans two CoR – Transition and More Developed applicants will need to make it clear in their online Full Application how much of their requested project funding applies to each CoR and ensure that output and result figures are recorded for both CoR.</p>
<p><b>Duration of project approvals</b></p>	<p>Projects must be completed no later than 3 years and 6 months after the proposed project start date; however, the Managing Authority reserves the right to vary the maximum duration in exceptional circumstances.</p> <p>All ESF Projects must be completed by 31<sup>st</sup> December 2023. Project costs cannot be incurred beyond this date.</p> <p>NOTE: Delivery of activities and associated costs can be incurred up to and including 31<sup>st</sup> December 2023, with the full and final claim expected no later than February 2024.</p>
<p><b>Geographical Scope</b></p>	<p>All interventions should be focused on activity and beneficiaries within the Sheffield City Region Local Enterprise Partnership area.</p>
<p><b>Specific call requirements</b></p>	<p>This is a call for ESF activity.</p>
<p><b>Call Deadlines</b></p>	<p>For this specific call, applications will be appraised following closure of the call. Applications submitted to the Managing Authority via the ECLAIMS IT system after midnight on the published call close date will not be considered.</p> <p><b>If you encounter any technical difficulties completing or submitting your Full Application via</b></p>

	<p><b>ECLAIMS, please send an email to <a href="mailto:E.CLAIMSSUPPORT@DWP.GOV.UK">E.CLAIMSSUPPORT@DWP.GOV.UK</a> .</b></p> <p><b>Technical support is available Monday to Friday, from 8am to 6pm.</b></p> <p>It is your responsibility to submit your application in good time to allow time to resolve any technical issues. Except in the unlikely event that there is a general failure of the system in the final hours, we will not normally extend the deadline for technical issues.</p> <p><b>If you do not already have ECLAIMS access, to avoid any unnecessary delays in submission of your Full Application, it is recommended that you submit new ECLAIMS access requests as early in the application process as possible by sending an email to <a href="mailto:E.CLAIMSSUPPORT@DWP.GOV.UK">E.CLAIMSSUPPORT@DWP.GOV.UK</a> .</b></p> <p>The Managing Authority reserves the right to reject applications which are incomplete or not submitted in a timely and compliant way.</p>
<b>Application selection</b>	All applications will be scored in line with the ESF scoring criteria, but the MA reserve the right to offer ESF funding where a project complements other activity or provides niche activity to target groups within the ESF Operational Programme.
<b>Applicant proposals</b>	These can only contain activities which are eligible for ESF.
<b>Eligible match funding</b>	<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. 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 Sheffield City Region 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>
<b>Procurement</b>	All procurement must be undertaken in line with EU regulations.
<b>State Aid law</b>	Applicants must demonstrate compliance with State Aid law.
<b>Audit/ Compliance</b>	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](#).

<b>Investment Priority</b>	<b>1.2 Sustainable Integration Of Young People Into The Labour Market</b>
<b>Specific Objectives</b>	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
<b>Indicative Actions</b>	<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"> <li>• 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;</li> <li>• support which complements other skills provision, such as crosscutting and 21<sup>st</sup> century skills, including team working, effective communication, problem solving, critical thinking and self-direction;</li> <li>• training and vocational qualifications to equip young people for specific jobs;</li> <li>• support for young women to enter non-traditional sectors (e.g. construction) which addresses barriers to entry e.g. to apply for apprenticeships;</li> <li>• community and informal learning to engage young people who have struggled at school and encourage them to access more formal learning;</li> <li>• intermediate labour market activity to provide a structured and supportive environment where young people can gain work experience;</li> </ul>

	<ul style="list-style-type: none"> <li>using self-employment as a route out of worklessness, including providing advice and support for self-employment.</li> </ul>
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## Results Table

**NOTE: When recording your quarterly profile figures for each Results in ECLAIMS, please ensure you select the Result with the correct, relevant Category of Region suffix i.e. L = Less Developed, T = Transition, MD = More Developed.**

### Results - Sheffield City Region (More Developed Area)

ID	Result Indicator	Minimum Target value for this call
R3	Participants gaining basic skills	4% (applies to all Categories of Region)
R5	Participants (below 25 years of age) in employment, including self-employment, or education/ training upon leaving	43% More Developed
ESF-CR06	Participants in employment, including self-employment, 6 months after leaving	34% More Developed

### Results - Sheffield City Region (Transition Area)

ID	Result Indicator	Minimum Target value for this call
R3	Participants gaining basic skills	4% (applies to all Categories of Region)
R5	Participants (below 25 years of age) in employment, including self-employment, or education/ training upon leaving	43% Transition
ESF-CR06	Participants in employment, including self-employment, 6 months after leaving	34% Transition

## Outputs Table

**NOTE: When recording your quarterly profile figures for each Output in ECLAIMS, please ensure you select the Output with the correct, relevant Category of Region suffix i.e. L = Less Developed, T = Transition, MD = More Developed**

### **Outputs - Sheffield City Region (More Developed Area)**

<b>ID</b>	<b>Output Indicator</b>	<b>Total Minimum target value for this call</b>
O2	Participants	691
O2	Participants (Male)	363
O2	Participants (Female)	328
ESF –CO01	Unemployed, including long-term unemployed	459
ESF – CO03	Inactive	232
O5	Participants from ethnic minorities	152
ESF - CO16	Participants with disabilities	208
O6	Participants without basic skills	253
ESF - CO14	Participants who live in a single adult household with dependent children	48

### **Outputs - Sheffield City Region (Transition Area)**

<b>ID</b>	<b>Output Indicator</b>	<b>Total Minimum target value for this call</b>
O2	Participants	574
O2	Participants (Male)	289
O2	Participants (Female)	285
ESF –CO01	Unemployed, including long-term unemployed	356
ESF – CO03	Inactive	218
O5	Participants from ethnic minorities	124
ESF - CO16	Participants with disabilities	211
O6	Participants without basic skills	208
ESF - CO14	Participants who live in a single adult household with dependent children	57

## Outputs and Results Rationale

Applicants must explain in detail in their Full Application how they have estimated each of the outputs and results for their project, demonstrating clearly how each of the proposed outputs and results directly link to their specific project activities and objectives. The related output and results figures need to be consistent e.g. there should not be more 'Inactive Participant' forecast results than actual Inactive



Participants recorded as taking part in the ESF Project in the forecasted output figures.

Applicants must also explain their approach for forecasting each deliverable; including the specific base-lining/research they have undertaken to ensure their projected profiles are realistic and achievable and any assumptions they have made which impact on their forecasts.

Where an applicant is proposing one or more output or result figures below the expected minimum target value for this call, an explanation must also be provided by the applicant in their Full Application.

ESF Outputs and Results Indicator Definitions Guidance is available on GOV.UK [here](#).

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 Sheffield City Region 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 'Document Checklist' (Section 8 of this call specification prior to completing and submitting their Full Application in the ECLAIMS IT system. 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 60%. (depending

on category of region This means ESF can contribute up to 60% for Transition and 50% for More Developed of the total eligible project costs, subject to State Aid regulations. The remaining 40% or more (Transition) or 50% or more (More Developed) must come from other eligible sources. For all full 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 screens in the ECLAIMS IT system and the related ESF Online Full Application 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](#) and in ESF Action Note 019/18: [New Assessment Scoring Procedures for Equality and Sustainable Development in ESF](#).

#### **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.<sup>2</sup> 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.

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<sup>2</sup> 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."

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 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.

For organisations applying for ESF funds through the Single-Stage Application process, the effective date for incurring eligible ESF expenditure will be the day after the relevant open call closing date. Any expenditure incurred by an ESF Direct Bid project prior to this date is ineligible.

However, any expenditure incurred by an ESF applicant, up to and including the date on which an ESF Funding Agreement is fully executed, will be at the applicant's own risk.

## **5. Application Process & Prioritisation Methodology**

The ESF application process is a single-stage process – Full Application only. Applicants must fully complete the Full Application information required in the ECLAIMS IT system (section 9 refers).

The ESF Online Full Application guidance for Applicants, is available on the [European Growth Funding](#) website pages – this document includes step-by-step details of how to record your Full Application information in the ECLAIMS IT system, as well as guidance on the depth and content expectations.

Following the call closing date, applications will first 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 and 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. 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. Technical Support

All Full Applications for this call **must** be completed and submitted using only the ECLAIMS IT system. Applications submitted via any other method will not be accepted.

If you encounter any technical difficulties completing or submitting your Full Application via the ECLAIMS IT system, please send an email to:

[E.CLAIMSSUPPORT@DWP.GOV.UK](mailto:E.CLAIMSSUPPORT@DWP.GOV.UK)

**It is your responsibility to submit your application in good time to allow time to resolve any technical issues. Except in the unlikely event that there is a general failure of the system in the final hours, we will not normally extend the deadline for technical issues.**

**Technical support is available Monday to Friday, from 8am to 6pm.**

Please retain evidence of your request(s) for any Technical Support, in case there are any issues arising around this element of the application process which may need further investigation.

Please also note that as this is a competitive call and to preserve impartiality, other than providing Technical Support, we are unable to enter into correspondence with applicants over their Full Application prior to the call closing date. Details of where guidance can be found are contained throughout this calls document.

## 7. Key Reference Documents

When developing your Full Application, it is recommended that you refer to the following documents as a minimum:

- ESF Online Full Application Guidance;
- Local Enterprise Partnership area's ESIF strategy;
- National ESF Eligibility Rules;
- ESF Programme Guidance.

## 8. Full Application – Supporting Document Checklist

The appraisal will be undertaken on the basis of the Full Application information submitted by the applicant using the ECLAIMS IT system, together with any supporting documents uploaded into ECLAIMS IT system by the applicant at the point of closure of the call.

As a minimum, applicants should upload the following documentation into the ECLAIMS IT system alongside completion of the required Full Application screens/fields in ECLAIMS.

Failure to upload the requested documentation could result in the application being rejected.

The ESF Online Full Application Guidance explains how documents should be uploaded into ECLAIMS and Annex B of the same guidance explains the naming conventions to be used for each document.

### Mandatory Supporting Documents

1. A **visual, high level customer journey** document e.g. flow chart;
2. **Confirmation of match funding** from each funder. Match-funding should be confirmed (with the exception of SME contributions) prior to the issuing of any Funding Agreement;
3. **Detailed Granular Budget breakdown** (All costs must be itemised, eligible, appropriate for the project and profiled across the project period. The granular budget should also include all hourly rate figures, per job role, for staff working part-time or part of their time on the ESF Project – calculated using the 1720 hour rate calculation set out in the [ESF Programme Guidance](#) on GOV.UK. This includes match-funded staff roles);
4. **Equality & Diversity Policy and Implementation Plan** this can be a single, combined document or 2 separate documents. (Applicant is responsible for ensuring that Delivery partners also hold relevant policies);

5. **Sustainability Policy and Implementation Plan** this can be a single, combined document or 2 separate documents. (Applicant is responsible for ensuring that Delivery partners also hold relevant policies);
6. **Job Descriptions** at least 1 per lead applicant and 1 per each Delivery Partner;
7. **Organogram** covering all staff, including any delivery partner and/or match-funded staff posts;
8. **Sample HR letter** as per the requirements set out in the [ESF National Eligibility Rules](#) on GOV.UK;
9. **Project level risk register** (this should cover areas such as financial risk, output risks, delivery risks etc. please ensure that the register covers how these risks will be managed and mitigated);
10. **Anti-Fraud Statement** (a statement on how you will deal with suspected fraud in your organisation and if appropriate, with your sub-contractors).

### Optional Supporting Documents

11. **Recruitment Policy** this can be a single, combined document or 2 separate documents. (Applicant is responsible for ensuring that Delivery partners also hold relevant policies);
12. **Sample Timesheet** applicable if you or your Delivery Partners have members of staff working part of their time on your ESF Project;
13. **Procurement policy** applicable if your ESF project is expecting to incur procurement costs from existing or future procurements and you are **not** intending to use the 40% Flat Rate Indirect Cost option;
14. **Retention Policy** this can be a single, combined document or 2 separate documents. (Applicant is responsible for ensuring that Delivery partners also hold relevant policies);
15. **Draft SLA with Delivery Partners** applicable if your ESF Project will have one or more Delivery Partners;
16. **Independent state aid advice** applicable only if you have obtained independent advice to support your quoted ESF project State Aid position;
17. **Proof of Irrecoverable VAT** applicable only if you have Irrecoverable VAT which is relevant to your ESF Project
18. **Due Diligence Financial Information** applicable if your organisation is a private or voluntary and community sector organisation or a Further Education College, you must upload:
  - Financial accounts for the most recent 3 years;
  - 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 FVRA Applicant Template (for applications requesting annualised funding of greater than £1m).

**NOTE:** The ECLAIMS IT system can accept most standard Office file formats such as MS Word documents and excel documents in the format xlsx.



However, documents which contain macros cannot be uploaded into the ECLAIMS IT system.

In addition, the ECLAIMS IT system cannot accept tables, graphics or other visuals in the narrative fields within the Full Application screens. If you wish to include this type of information as part of your Full Application, you will need to upload this information as part of a supporting document.

## 9. Full Application Submission

Completed Full Applications must be submitted to the ESF Managing Authority via the ECLAIMS IT system.

Although the ECLAIMS IT system is designed to be intuitive, it is strongly recommended that you closely follow the steps in the ESF Online Full Application Guidance, published on GOV.UK to give the best chance of you submitting a fully completed, compliant Full Application.

The Managing Authority reserves the right to reject applications which are incomplete or not submitted in a timely and compliant way.

## 10. Accessing ECLAIMS

If you do not already have access to the ECLAIMS IT system, please send an email to [E.CLAIMSSUPPORT@DWP.GOV.UK](mailto:E.CLAIMSSUPPORT@DWP.GOV.UK) as soon as possible.

You should complete a form for **each** individual person in your organisation who will be responsible for completing and/or submitting your Full Application.

Each new ECLAIMS user will then receive an email from an organisation called Datamart – this will contain their unique log-in details. The user will need to follow the instructions within the email to change their password in the first instance. They will then be able to access and use the ECLAIMS IT system.

**NOTE:** To avoid any unnecessary delays in submission of your Full Application, it is recommended that you submit new ECLAIMS IT system access requests as early in the application process as possible.

The ECLAIMS IT system is a web based application available through the following link. It is recommended that you use the Chrome browser to access the ECLAIMS IT system, or if this isn't available, Firefox.

<https://ECLAIMS.communities.gov.uk/esif-web/>



## 11. Timescales

Launch of Call advertised on GOV.UK	17 June 2019
Deadline for submission of Full Application via the ECLAIMS IT System	Midnight 09 September 2019

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 Full Application will be notified on the [European Growth Funding](#) website pages.

## 12. 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