

# ESF Community Grants 4 Application Guidance Information



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# 1. About the Community Grant

## a) What are ESF Community Grants?

ESF Community Grants are part of the European Social Fund (ESF) programme which is distributing £2,000,000 in small grants in the Humber, York and North Yorkshire region between July 2018 and March 2019. The aim of the fund is to help unemployed people progress toward employment through access to learning opportunities.

***N.B - An extension has been agreed to March 2019 – with a further £1m to be distributed across the 3 regions – Humber £500,000, East Riding £172,250 and York, North Yorkshire £372,750 (Completion of activities no later than 15<sup>th</sup> February 2019).***

Funded activities must be aimed at unemployed individuals aged **18 and over** from the hardest to reach communities. The identified priority groups for our region are as follows:

- Disadvantaged geographical areas
- People with disabilities and health conditions
- Lone parents
- People aged 50 and over
- People from ethnic minorities
- Females

However, applications will be considered from any community that can evidence disadvantaged people, for example homeless people and ex-offenders.

## b) How much can you apply for?

Grants of between £5,000 and £15,000 are available. Successful groups will have an opportunity to access support to further develop and strengthen their organisation.

The funding for the project must be for the full programme cost and not matched to any other funding source. An organisation can re-apply, but there is a maximum of £15,000 per organisation in any 12 month period.

## c) Who can apply?

Small charities or not-for-profit community organisations based in and providing services in the Yorkshire and Humber area that:

- employ less than 20 full time employees (or full time equivalents based on 30 hours); and
- have an annual turnover of £1,000,000 or less, for three consecutive years, and are not in direct receipt of direct funding from the European Social Fund (ESF), Department for Work and Pensions (DWP) or Skills Funding Agency (SFA).

## d) What kind of activities will Community Grants fund?

Any activity that will help an individual's progress towards employment and improve employability skills will be considered: examples include:

- Help with basic skills
- Taster work experience including voluntary work
- Training, advice and counselling (including money management)
- Job search assistance
- Confidence building and personal development
- First contact and engagement activities

## e) What items can Community Grants fund?

We can fund any **revenue** costs relating to the learning activity and **capital** expenditure up to £1,000

Examples of the revenue costs we can fund include:

- Staff costs, including administration (plus on costs)
- Tutor fees including freelance tutors
- Beneficiary costs, for example travel and childcare
- Rent and room hire
- Accreditation
- Stationary, postage and learner resources

## f) What Community Grants **cannot** fund

We can only fund Information, Advice and Guidance if it is delivered by an accredited Matrix provider or the equivalent. If your organisation is not accredited, IAG can be sub-contracted to another provider.

Community Grants activities must not duplicate provision already funded through existing Skills Funding Agency, Department for Work & Pensions mainstream provision or ESF Co-financing.

Community grants cannot be used for capital purchases i.e. purchase of equipment or property £1,000 or over.

## 2. Application process

1. Applications will first be assessed to ensure the application has been fully completed and all supporting documents have been included. This is the sifting stage.
2. Eligible applications will then be scored. Only applications that pass the sifting stage will be scored. Some questions are weighted and carry a higher score than others. Any application scoring less than 50% will not be considered.
3. Applicants will be sent a letter informing them of their application outcome. Decisions are normally made within 4 weeks of the application deadline.

4. Applicants who are successful will be asked to confirm that they wish to accept the offer. Unsuccessful applicants will be told why they were not successful and offered feedback.

### 3. Requirements for successful applicants

All successful applicants will be required to;

1. **To ensure your organisation has sufficient guarantees to implement the updated European General Data Protection Requirement (GDPR), HLC require you to complete 8 questions and sign a GDPR Processor Agreement prior to contracting.**
2. Attend mandatory training which will comprise of a contract compliance workshop and a RARPA based session.
3. Sign a contract agreeing to the terms and conditions of the grant.
4. Sign a Health and Safety declaration and a Due Diligence declaration.
5. Where applicable, receive an on-site visit to the place where your learning activity will be delivered; this is to check your GDPR compliancy i.e. secure storage facilities. Health and safety standards and to confirm that you are ready to deliver the project.
6. For organisations that score less than 3 out of 5 for questions relating to Safeguarding, Health and Safety or Equality and Diversity, or for those who submitted policies that do not meet minimum standards for this grant, grant awards will be conditional upon accessing, and successfully completing training on the relevant subject.
7. Complete necessary learner forms including: Privacy Notice, Individual Learner Record (ILR) Initial Assessment/Individual Learner Plans (ILP), Learner logs, learner evaluations and case studies.
8. Securely submit original participant (learner) paperwork and retain copies in line with HLC's retention of documentation policy for your records and for audit purposes.
9. Complete two monitoring forms. This will be at the interim and final stages. (Financial claims)
10. Securely send copies of expenditure, for example; invoices, receipts, payroll information and timesheets and retain originals for your records and audit purposes. Money will **only** be paid where expenditure can be proven.
11. Ensure participants have access to relevant information, advice and guidance, linking or signposting to other provision where applicable.
12. Display a European Social Fund (ESF) poster and ensure all learners are aware that the programme is co-financed by the European Social Fund.

## 4. Payment structure of grant monies

Grant monies will be paid in a number of instalments depending on the time span of the project.

- **40%** of the total grant awarded will be paid into the organisation's bank account once HLC has received satisfactory confirmation that the project has been set up, the project is ready to commence and the contract and declaration forms have been signed and presented at the mandatory compliance workshop.
- **30%** of the total grant awarded will be paid upon receipt of an interim monitoring report, necessary learner forms and 50% of the contracted learners have been registered onto the programme and the first payment has been spent.
- **30%** of the total grant awarded will be paid once the final monitoring report has been submitted, along with completed, required financial evidence; outcomes information, evaluation and case studies (if requested) are completed, satisfactory learner numbers who have completed the programme and also when your regional partner has carried out a successful end of project review.

Payment of interim and final instalments will be delayed or cancelled where it is found recipients are not adhering to the terms and conditions of the contract. **Where it is found that activity has not taken place, or activity delivered is different to the activity proposed in the application process, HLC reserves the right to claw back payments of all grant monies paid in full.**

The target number of participants should be viewed as a minimum expectation. If it becomes apparent that this number of participants will not be achieved, grant recipients must notify their regional partner immediately. The contract and amount of grant awarded may then be reviewed at this point.

## 5. Application form guidance

### a) Application form overview

The below table provides an overview of the **ESF Community Grants** application form, including the weighting of each question and any maximum word limits. This is included to help you plan the completion of your application form. More detailed guidance is provided below for each question.

No	Question	Word Limit	Value	Code	Additional information
1	Organisation Details	-	-	Info only	<i>Information only</i>
2	Bank Details	-	-	Info only	<i>Information only, though must be correct name</i>
3	Eligibility	-	-	Threshold	Threshold question - this <b>must</b> be completed *
4	Main activities	250	-	Info only	<i>Information only, must be in line with ethos of fund</i>
5	Track record	250	5	-	See specific guidance overleaf
6	Priority groups	-	-	Info only	<i>Information only, at least one must be ticked</i>
7	Overcoming barriers	250	5	-	See specific guidance overleaf
8	Evidence of need	250	5	-	See specific guidance overleaf
9	Project summary	500	10	-	See specific guidance overleaf
10	Beneficiary Recruitment and Eligibility	250	5	-	See specific guidance overleaf
11	Outcomes for beneficiaries	250	10	-	See specific guidance overleaf
12	Quality of provision	250	5	-	See specific guidance overleaf
13	Value for money	-	5	-	See specific guidance overleaf
14	Detailed Budget	-	5	-	See specific guidance overleaf
15	Health and safety	250	5	Threshold	Threshold question - this <b>must</b> be completed *
16	Safeguarding including the Prevent Duty	250	5	Threshold	Threshold question - this <b>must</b> be completed *
17	Equality and diversity	250	5	Threshold	Threshold question - this <b>must</b> be completed *
18	GDPR	250	5	Threshold	Threshold question - this <b>must</b> be completed *
19	Insurances	-	-	Threshold	Threshold question - this <b>must</b> be completed *
20	Declaration	-	-	Threshold	Threshold question - this <b>must</b> be completed *
21	Checklist	-	-	-	This is a tool to help you check your application
	<b>Total</b>	3000	75	Scores below 50% will not be considered	

**\* Please note, if you do not fully complete a threshold question, your application will not be scored.**

## b) Application form – Detailed guidance

### 1. Organisation Details

Enter the organisation details and provide contact information for the main contact for the project. We will need this information to contact you with a decision or if we have any queries with your application. Please provide the legal status of your organisation and the company and/or charity number as appropriate. This should support the fact that your organisation is in the voluntary sector. You should also give your annual turnover for the last three years and number of full time equivalent staff, evidencing your eligibility for the fund (turnover under £1,000,000 and less than 20 full time equivalent staff). Please provide details of the three largest funders for your organisation and the annual grants/contracts you receive from them.

### 2. Bank details

All applicants must be able to demonstrate that their organisation has a bank account in its own name which has two appropriate authorised signatories. The bank account details provided in this section will be used to make ESF Community Grants payments if your application is successful. As part of this question, you must ensure that you have attached a copy of a recent bank statement showing the account name, account number and sort code, in line with the bank details you have provided.

### 3. Eligibility

Eligibility for the grant operates as a Threshold question. This means that if your organisation does not check all the boxes to confirm eligibility, your application will not pass the sifting stage and will not be scored.

If you have any doubt about your organisation's eligibility, please contact us before submitting an application as any inaccuracies or omissions on this form could result in your organisation having to repay the grant in full, even if learning activities have taken place, in the event of a grant being awarded.

	Eligibility criteria	Specific information/guidance
3a	The organisation is part of the voluntary and community/not-for-profit sector	This includes charities, social enterprises, not-for profit companies and community groups
3b	The organisation has an independent bank account that the grant can be paid into	Details of this account should be included in Section 2 and a copy of a recent bank statement <b>must</b> be included with your application
3c	During the last full year of operations, the organisation's turnover was less than £1,000,000	This will be cross-referenced with Question 1 where you have provided the annual turnover of your organisation
3d	The organisation has fewer than 20 full- time equivalent staff (FTE =	This will be cross-referenced with Question 1 where you have given the number of FTEs in your organisation
3e	The organisation has not received funding <b>directly</b> from European Social Fund (ESF), Skills Funding Agency (SFA), or Department for Work and Pensions (DWP) in the last 12 months	This relates to direct funding from one of the stated agencies, not funding via a sub-contracting arrangement. If you have any doubt about your eligibility, please contact us to discuss your eligibility

3f	The organisation has not received a Community Grant within the last 12 months	Organisations can receive a maximum of £15,000 ESF Community Grants funding in any 12 month period. If you have received a Community Grant in the past, the date on the offer letter must be at least 12 months ago. You may still be eligible if the previous grant and new application does not exceed £15,000 in total.
3g	If successful, this grant will not be used as match funding or to fund activities funded elsewhere	As ESF Community Grants has already been match-funded, it cannot be used for this purpose
3h	The organisation will ensure that all project beneficiaries are eligible	You must confirm that you will check the eligibility of project beneficiaries, this means they must not be employed, be over the age of 18 years old and they must have the right to work in the UK
3i	The organisation has a constitution/governing document	The document must be included with your application and demonstrate eligibility under 3a
3j	The organisation has policies relating to Equality and Diversity, Safeguarding (including the Prevent Duty, Health and Safety and GDPR	These policies must be included as part of your application. There is a policy checking tool attached as Appendix A which will be used to assess your policies, please use this to ensure your policies meet the minimum requirements for this fund
3k	The organisation has in place both employers and public liability insurance as legally required	You must show evidence of <b>both</b> types of insurance. If this is not already in place, you must include a letter confirming that it will be in place before the contract start date
3l	The organisation has audited <u>or</u> independently examined accounts or an independent financial referee	You must include a copy of your most recent accounts and the turnover must match the amount stated in question 1. If you have been operating for less than 12 months and do not have a set of accounts, you should include the details of an independent referee as a separate enclosure with your application

#### 4. Main activities

This should be the mission statement or core activities of your group/organisation. Though the specific aims of this project do not need to be the primary aim of your group, you must indicate how this project adds value to or complements the other aims. Also outline the main beneficiaries of the services your organisation provides.

#### 5. Track record (5 points)

This is your opportunity to outline any previous experience you have of delivering similar projects. In this section, you should give details of the previous project, including the number of people that benefitted, the activities undertaken and any outcomes achieved by the project. Where the project involved the achievement of targets, please state the number of people you were contracted to work with, as well as the number you actually achieved. If you have delivered on **ESIF Community Grants** in a previous year, you must include this project within your answer. Include information about anything you learned from your previous grant and anything you would do differently if you were successful again. You **MUST** include detail of meeting performance relating to your ESIF grant, which includes meeting targeted learner numbers alongside successfully spending and evidencing the grant amount awarded. If this was not met, detail of why must be provided



## 6. Priority groups

In this section you must tick at least **one** of the target groups for the project. No target group will be scored higher than others, but you will be asked to explain how you will meet the needs of the groups you have ticked as part of question 6. If none of the other boxes apply or you have additional target groups, tick **other** and give the details.

## 7. Overcoming barriers (5 points)

In line with the priority groups you have selected (in question 6), clearly describe the problems that prevent each of the target groups from gaining employment and explain how your activity is going to help them to tackle these difficulties and move towards employment. Strong answers will show a clear understanding of the specific barriers that are faced by these groups and well-planned solutions to overcoming these.

## 8. Evidence of need (5 points)

Tell us why this activity is needed and back up where possible with statistics or feedback, for example:

- Feedback or views from the individuals you intend to recruit or have recruited in the past
- Statistics or evidence from a recent study, for example of deprivation in your target community.
- Anecdotal evidence from your organisation's own experience, such as requests from learners for this type of learning activity, details of waiting lists etc.
- Evidence of certain skills shortages

## 9. Project summary (10 points)

### Project Delivery Postcode - please ensure full details are completed

Enter a realistic start date; this should be within 2 months of the application deadline. The finish date is when you will have to complete your final monitoring form and financial reporting requirements. You may want to allow time at the end of the learning activity to complete these.

This is your opportunity to summarise your project and should include information about what your project aims to achieve, how it will support beneficiaries and the main activities that will take place.

Describe your learning activity and tell us how many guided learning hours there are, you may want to include information on:

- How the programme is structured
- learning aims of the course
- learning activities that will take place
- subjects or units to be studied
- hours of learning per activity or unit
- teaching methods that will be used
- progression made as a result of this activity

**Grants will only be awarded to learning activities that help learners progress towards the labour market, for example increase employability skills or access further education**

## 10. Beneficiary recruitment and eligibility (5 points)

You need to demonstrate how you will ensure the right participants are recruited onto the project. You should tell us about the process you will use to check that the learners are eligible for ESF funded programmes and that they meet your target group. You also need to tell us how and from where your learners will be recruited, this may be from advertising or direct referrals from other agencies.

## 11. Outcomes for beneficiaries (10 points)

The overall purpose of ESF Community Grants is to help people move closer to employment. Identify up to four positive changes your learners will experience as a result of your project and how your project will achieve this. This can include improvements in basic skills, achievement of qualification or personal achievements, such as increased confidence and interpersonal skills.

## 12. Quality of provision (5 points)

Explain what systems your organisation has to ensure you deliver high quality learning activities, consider telling about:

- Qualifications and experience of the staff that will deliver the learning activities.
- Processes and procedures for checking and improving learning
- Processes and procedures for improving the organisation as a whole, such as self-assessments or quality assurance systems

## 13. Value for money (5 points)

You should state the value of the grant you are applying for, the **minimum** number of beneficiaries that will be supported and an approximate number of guided learning hours that will be delivered to each beneficiary. Although there is no minimum number of beneficiaries or guided learning hours, you should aim to provide good value for money. Please ensure that your minimum participant number is **realistic**, as failure to achieve this number may impact on your grant payments.

## 14. Detailed budget breakdown (5 points)

Provide a detailed breakdown of your expenditure for this project, provide as much detail as possible and clearly show how you have worked your expenditure out. The section has been split into the 3 sub-headings, Staff Budget, Other Costs and Capital Purchases.

- **Staff costs** are for the people who will deliver and administer the project, for example, staff (for example, admin, managers), tutors or freelance tutors
- **Other costs** this may include venue hire, accreditation costs, stationery, learner resources, marketing, volunteer's and beneficiary expenses
- **Capital costs** are for one-off equipment purchases that would be added to your fixed asset register and depreciated overtime. This could include laptops, printers, PC's, recording equipment etc. If you have included capital purchases in your budget, you **must** include a quote for that item showing the cost used in your budget

## 15. Health and safety (5 points)

In addition to attaching your organisation's Health & Safety Policy, you should explain how you have embedded health and safety at all stages within your project. This question prompts you to thoroughly examine your own health and safety arrangements in order to ensure project activities are delivered in a safe, healthy and supportive environment.

In this section you should give details of where the project activity will take place (please note if delivery will take place in more than one venue give details of each). You should also include how you will assess potential health and safety risks to participants and explain what measures you will put in place to minimise the impact of any risks.

***If you score less than 3 out of 5 in this question, any grant offer made will be conditional upon you attending training to increase your knowledge and awareness of Health and Safety.***

## 16. Safeguarding including the Prevent Duty (5 points)

In addition to attaching your organisation's Safeguarding Policy for Vulnerable Adults, you should explain how you have embedded safeguarding issues at all stages within your project. You should include information about how you will ensure beneficiaries are safe from harm and abuse, including embedding The Prevent Duty, explain what systems your organisation has in place in order to deal with safeguarding issues and how you make project beneficiaries themselves aware of how to raise any issues related to safeguarding.

Outline your safeguarding processes and procedures in relation to vulnerable adults. We need to be reassured that you know how to implement safeguarding policies and procedures and that you are prepared to deal with safeguarding incidents should they occur.

***If you score less than 3 out of 5 in this question, any grant offer made will be conditional upon you***

*attending training to increase your knowledge and awareness of Safeguarding.*

### 17. Equality and diversity (5 points)

In addition to attaching your organisation/group's Equality and Diversity Policy, you should explain how you have embedded equality, diversity and inclusion at all stages within your project. You should include information about how you will ensure equal access to your project and any ways in which your project will celebrate diversity.

***If you score less than 3 out of 5 in this question, any grant offer made will be conditional upon you attending training to increase your knowledge and awareness of Equality and Diversity.***

### 18. GDPR (5 points)

In addition to attaching your organisation's GDPR policy, you should provide detail of how GDPR will be integrated within your project at all stages. Detail of how you will capture, process and store learner and staff information should be considered within your answer. Community Grants requires organisations to process hard copy information, consideration should be given to how hard copy information is stored. If your organisation does not have access to lockable cupboards, you may wish to include this within your capital purchase for the project. As this is classed as eligible expenditure under the capital budget line.

***If you score less than 3 out of 5 in this question, any grant offer made will be conditional upon you attending training to increase your knowledge and awareness of GDPR***

### 19. Insurances

All organisations/groups applying for this fund must have both Employers Liability and Public Liability Insurance. Please state the value of cover and attach copies of the policies. If your organisation does not have current insurance cover in place, please enclose a letter confirming that if successful, the required insurance cover will be in place prior to the start of your project. **All insurance must be in the name of the organisation applying for the grant.**

### 20. Declaration

Please read the declaration statements and sign and date in the box provided.

**Signatures must be original – photocopies will not be accepted and this will result in your application not being scored.**

### 21. Checklist

The checklist has been included as a tool for you to check your application. Please complete the checklist to confirm the documents you have enclosed. Please note that if you have failed to meet any of the checklist requirements, **your application will not be scored.**

### And finally...

Please return your completed application form and supporting documents to the address provided at the end of the application form. We would recommend that you use registered or recorded delivery if posting.

**Keep a copy of all the documents you send to us as we are unable to return them to you and there will be a charge for any copies we provide for you.**

## 6. Contact information

Organisations requiring further support or guidance should contact the appropriate regional partner below in the first instance:

<b>Humber and East Riding</b>	<a href="http://www.hlc-vol.org">www.hlc-vol.org</a>
<b>Jacque Newman</b> 01482 327438 <a href="mailto:jacque.newman@hlc-vol.org">jacque.newman@hlc-vol.org</a>	
<b>York and North Yorkshire</b>	<a href="http://www.yourconsortium.org">www.yourconsortium.org</a>
<b>Charlotte McEvoy</b> 01423 795300 <a href="mailto:CMcEvoy@yourconsortium.org">CMcEvoy@yourconsortium.org</a>	

## 7. Policy checking tool

### Guidance for the minimum requirements of policies

Appendix A

Health and Safety Policy			
Section	Specific guidance on what to check	✓	Notes
Statement	Should set out the commitment to managing health and safety effectively		
Responsibilities	Should set out who is responsible for specific actions and identify who has overall responsibility for Health and Safety		
Arrangements	Set out as a <u>minimum</u> , risk assessments, RIDDOR, first aiders, fire safety, training, resolution and planning and control		
References	Should refer to Health and Safety Executive (HSE)		
Effective Dates	Ensure that an effective from date is present and signed off and ensure review date has not passed		
Safeguarding Policy			
Section	Specific guidance on what to check	✓	Notes
Statement	Should set out the commitment to ensuring safety of vulnerable adults including the Prevent Duty		
Responsibilities	Should set out the responsibilities of key staff and identify the Designated Person with overall responsibility for safeguarding		
Arrangements	Set out as a <u>minimum</u> , responding, training, record keeping and link to relevant Local Safeguarding Board		
Definitions	Should provide a definition of “vulnerable adult” and definitions of different types of “abuse”		
References	Should include details of Local Safeguarding Board, with attention to The Care Act 2014		
Effective Dates	Ensure that an effective from date is present and signed off and ensure review date has not passed		
Equality and Diversity Policy			
Section	Specific guidance on what to check	✓	Notes
Statement	Should set out the commitment to ensuring fairness and equality of opportunity		
Responsibilities	Should set out responsibilities for key staff including the person responsible for implementation of the policy		
Arrangements	Set out as a <u>minimum</u> , recruitment and selection, training, promotion and treatment of all staff		
Definitions	Define “protected groups” and “types of discrimination”		
References	Should refer to the Equality Act 2010		
Effective Dates	Ensure that an effective from date is present and signed off and ensure review date has not passed		

GDPR			
Section	Specific guidance on what to check	✓	Notes
Statement	Should set out the commitment to ensuring the integration of GDPR		
Responsibilities	Should set out responsibilities for key staff including the person responsible for implementation of the policy		
Arrangements	Set out as a minimum escalation for data breaches AND registering with the ICO		
References	Should refer to the GDPR regulations 2018		
Effective Dates	Ensure that an effective from date is present and signed off and ensure review date has not passed		

*Please note, this represent the **minimum requirements** and should not be seen as an exhaustive list*

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