ESF Online Full Application Guidance

The Full Application must be completed by you using the ECLAIMS IT system and must be submitted to the Managing Authority[1] by the call deadline.

ECLAIMS User Access

In order to submit a Full Application via ECLAIMS, you must have **Applicant User Access** permissions.

Even if you already have access to the ECLAIMS IT system for your other ESF Projects, this may not include Applicant User Access permissions.

To obtain Applicant User Access permissions, please request an **'ECLAIMS External Access Form'** by emailing:

E.CLAIMSSUPPORT@DWP.GOV.UK

You will need to request an External Access Form for each person in your organisation who requires ECLAIMS access. Please make it clear in your email which current, published ESF call you are intending to apply against.

It is your responsibility to ensure you request and activate your ECLAIMS access in sufficient time.

We strongly advise that you obtain and activate your ECLAIMS Applicant User Access as soon as you are aware you intend to apply against a current, published ESF call and at least 2 weeks prior to the advertised call closure date.

ECLAIMS Technical Support

If you encounter any technical difficulties completing or submitting your Full Application via the ECLAIMS IT system, please send an email to the address:
E.CLAIMSSUPPORT@DWP.GOV.UK

The technical support operating hours are **Monday to Friday, from 8am to 6pm.**

---

[1] Throughout this document, unless indicated otherwise, the phrase "Managing Authority" will mean the London Intermediate Body (the Greater London Authority) and the European Social Fund Managing Authority (Department for Work & Pensions)

Again, it is your responsibility to ensure you seek any technical advice in sufficient time to submit your Full Application before the published call closure date.

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

Please do not use the ECLAIMS IT system to access or apply against ERDF calls – the online application process is available ESF funding only.

Contents

1. Introduction

Please ensure that you read this Full Application Guidance carefully when creating and submitting a new Full Application in the ECLAIMS IT system.

This guidance consists of both ECLAIMS user guidance elements as well as additional guidance explaining compliance and/or minimum requirements for your Full Application. Screenshots have been included where possible, with the exception of screens which require narrative, text box responses only. In the latter cases, the specific questions you need to answer are listed in this guidance to help you formulate your text box responses.

Following the call deadline, the Managing Authority will use the Full Application information in the ECLAIMS IT system to carry out its full appraisal, with the aim of determining whether the application meets the relevant criteria to be considered for funding.

The appraisal process can only start once a call has closed. Depending on the number of applications received by the Managing Authority and the number of overall appraisals ongoing in the ESF Programme, the appraisal process may not start immediately.

Once you have submitted an application via ECLAIMS, you can view the current status of that application and any other ESF online applications you have in train via your ECLAIMS homepage. If you have any questions or concerns about the progress of your application, please email ESF.2014-2020@DWP.GOV.UK.

You are required to verify the accuracy of the information provided in your Full Application and you are expected to undertake appropriate investigation to establish the accuracy of its representations, including obtaining any legal advice you need to ensure compliance with State Aid, Procurement and any other similar requirements.

When completing your Full Application in the ECLAIMS IT System, unless the question specifically requires personal details, please refer to job titles and organisation names – rather than the actual names of individuals - when describing project delivery arrangements and responsibilities.

Further information to help you complete your application, including on State Aid law, National Eligibility Rules, Procurement, Cross-Cutting Themes, Anti-Fraud and Publicity requirements, can be found on the GOV.UK website.

2. Full Application Purpose

The Full Application captures information on the rationale, activities, cost and compliance of a Project(s). It is the key component of the appraisal process for the award ESF funding and is used as a tool to appraise and evaluate proposed delivery and for monitoring actual delivery.

The content of the Full Application should be factual and informative and focussed, with minimal opinions and generalisations expressed. The length of the completed Full Application may depend on the scale and complexity of a Project; applications should be focussed and avoid temptation to pad out information or provide irrelevant information which actually detracts from the nature of what is being proposed.

There should be evidence throughout the application to support statements made; some evidence may be appropriate to append where not publicly available, this may include economic data and reports. However, this should be kept to a minimum and you should direct the Managing Authority to the exact evidence.

In addition to ensuring the Full Application addresses the key needs and expectations set out in the published Call Specification, applicants must also refer to the [ESF Operational Programme](#) and appropriate Local Enterprise Partnership (LEP) Area European Structural & Investment Funds strategy when developing a Full Application to ensure adherence to European Structural & Investment Funds' requirements.

NOTE: The Local Enterprise Partnership Area European Structural and Investment Funds Sub-committee will receive the Managing Authority's appraisal, incorporating a summary of the Full Application, in order to advise on local strategic fit.

Devolved Intermediate Bodies:

In some Core Cities and other administrative areas within England, the Managing Authority has agreed to designate specific assessment/appraisal responsibilities to a small number of 'Devolved Intermediate Bodies'.

Where an agreed Devolved Intermediate Body is in place, they will be responsible for appraising each ESF Project Application against 2 specific elements of the Strategic Fit Core Selection Criteria:

> i. The proposed operation contributes to the needs/opportunities identified in the Call for Proposals to which it is responding;

> ii. The proposed operation is aligned to the local growth needs set out in the local ESI Funds Strategy and contributes to the specific objectives, outputs.

Top Tips

Ensure you read this Guidance document thoroughly.

- Set aside plenty of time to familiarise yourself with the key documents
- When completing your Full Application form, put yourself in the position of the reader: Explain things clearly and in layperson's terms: remember that the reader may not be familiar with your organisation
- Avoid acronyms
- Do not use 'buzz' words that the reader may not understand
- Be focussed and realistic
- If using graphics and/or images as part of your Application – ensure these are uploaded as supporting documents with clear cross-referencing in your application narrative to ensure it is easy to understand the purpose and context of each.

NOTE: Uploading of supporting mandatory or optional documents, images or graphics does not remove the need for you to ensure the narrative responses to each of your application questions in ECLAIMS is detailed, comprehensive and fully completed in each field/screen.

3. Supporting Documents Format

As part of your Full Application you will need to upload a number of supporting documents into the ECLAIMS IT System – Annex B lists these documents, together with the standard naming conventions and uploading conventions to be used in each case and Section 5.22 of this guidance explains how to upload your Supporting Documents.

If you choose to upload additional supporting documents, over and above those required in Annex B, please ensure that the File Description for each is a clear description of what that document is.

In all cases – whether a required supporting document or an extra, optional document is uploaded, please ensure the File Description includes a version number starting with 'v1.0' for the original, submitted version. Please also include the uploading date in the format DDMMYYYY in the File Description.

If you are asked to provide a revised version of any document by the Appraiser during the appraisal process, please then amend the version number for the

revised version accordingly to make it clear which is the most recent version e.g. 'v2.0'.

Annex B can be used as a checklist to ensure you upload the correct, relevant documents for your ESF Project.

> **NOTE:** The ECLAIMS IT system will accept most MS Word formats, PDF formats and excel documents in xlsx format.
>
> However, the ECLAIMS IT system does not accept documents which contain macros.

4. Accessing ECLAIMS

The ECLAIMS IT system is a web based application available through the link below. It is recommended that you use the Chrome browser to access ECLAIMS, or if this isn`t available, Firefox.

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

After submitting your ECLAIMS External Access Form, you will receive an email from a company called Datamart – this will contain your log in details.

When using ECLAIMS for the first time, please follow the instructions within the email to change your password and access the ECLAIMS IT system.

Once you have done this, you will only then need to use your username and your own chosen password to access the ECLAIMS IT system on any subsequent occasions.

> **NOTE:** If you have trouble loading a screen in ECLAIMS, please try refreshing the page or going back a step and trying again before contacting Technical Support.
>
> **For example:**

5. How to start your ESF Full Application in ECLAIMS

> **NOTE:** The ECLAIMS IT system will not allow multiple users to input Full Application information for the same ESF Project.
>
> The person who starts the Full Application process in the ECLAIMS IT system for your ESF Project will need to be the person who then completes and submits the Full Application.
>
> If there are exceptional, unforeseen circumstances where you need your Full Application access to be moved to a different user, you should send an email as quickly as possible to:
>
> E.CLAIMSSUPPORT@DWP.GOV.UK.
>
> Please note, any change of users will not be instant so it is imperative that you raise your query as soon as you can under these circumstances.

In order to input and submit a Full Application in the ECLAIMS IT system against an open, published ESF call specification, you will need to find the relevant call in the ECLAIMS IT system.

When you log into the ECLAIMS IT system, the first page you see will be your organisation's homepage. At the top of that page you will see the following information:

New Applications:
To start a new application you will be asked to select the call to which your organisation wishes to apply. You can create, edit and save the draft application as many times as you need before submitting it for assessment.

View the call list prior to making application

Clicking on '**View the call list prior to making application' link** will take you to a screen which lists all of the current, open ERDF and ESF calls for funding.

> **CRITICAL NOTE:** The list of calls in the ECLAIMS screen will include both ESF and ERDF calls.
>
> Please **only** use this list to apply for a specific ESF call which is a current 'open' call, published on the GOV.UK Funding Finder.
>
> Please **do not** use the ECLAIMS IT system to access or apply against ERDF calls – the online application process is only available ESF funding only.

As long as you are intending to apply against a current, ESF call which is 'open' on the GOV.UK Funding Finder, you can type the call reference number into the search field on this page, or **cut and paste the relevant call reference number from the Funding Finder screen** into the search field on the screen – this will then filter the list to show the specific call you are interested in.

Start a new application:

Here is where you can start your organisation's applications for funding from either the ESF(European Social Fund) or the ERDF(European Regional Development Fund)

Calls for project proposals are released periodically for each funding programme. Applications then respond to these calls. They outline why a particular merits use of the funds and how it would allocate them.

Start typing characters from the call reference and/or call name to filter your results.

Show 10 ⌄ entries

RC23S17P0126

Name	Reference Number	Close Date
Access to employment and learning and skills: call in London	RC23S17P0126	19/09/2019

Showing 1 to 1 of 1 entries   1

From this screen, clicking on the name of the call will then take you to a new screen, showing the detailed information for this call. If you are content that you are on the correct page, for the correct call and if the call is still open for applications, scrolling down to the bottom of the call details page, you will see a **green 'Apply Now' button.**

If this button is not displayed, this means the call is closed and you cannot therefore submit an application.

Confirmation

Activation Notes

Apply Now

Clicking on the **'Apply Now' button** will take you to the 'Application Index' screen.

Application Index

Applicant	NOT STARTED	edit
Project	NOT STARTED	edit
Strategy	NOT STARTED	edit
Financial	NOT STARTED	edit
Deliverables	NOT STARTED	edit
Control	NOT STARTED	edit
Compliance	NOT STARTED	edit
Supporting documents checklist	NOT STARTED	edit
Submission	NOT STARTED	edit

Call reference
OC01S00C0158

Application Type
Full

Created

Your dashboard
Existing applications

[Submit Application]   Save Draft

You can then click on each **'edit' link** to work through each of the Full Application sections, completing all required information before submission to the ESF Managing Authority.

NOTE: You can work through these sections in the order they are listed, or work on the sections in your own preferred order. However, you should not submit your Full Application until you are satisfied that all screens have been fully and accurately completed for your project.

We recommend that you use the 'save' function regularly. This will not only reduce the risk of losing information if you time out, it will also allow you to exit your partial Full Application and return to complete it at a later date, if you need to build up your information in increments and/or work on refining one or more elements of your application before submission.

Any fields marked with a red asterisk in an ECLAIMS screen are mandatory. If not completed, you will get an error message and you will not be able to submit your Full Application until you have completed any missing information.

Over and above this, there are also other elements of the Full Application which are mandatory, despite not having a red asterisk. The guidance sections below make it clear which sections of the Full Application must be completed.

5.1 Applicant Details Screen

The information in this screen is needed in all cases, in particular the contact details for your organisation. Without valid, relevant contact information there may be delays in appraising your Full Application**.**

This screen asks for the main information about your organisation, as the lead applicant for ESF funding – including location and contact details. Please provide as much information as possible.

Selecting **'edit'** against the 'Applicant Details' line in the 'Applicant Index' screen will first take you to a narrative 'Introduction' screen.

Please read this Introduction narrative before proceeding.

Scrolling down this page, you will then see a question asking whether you have submitted any linked/complimentary applications against another call. Please answer this question using the relevant radio button.

Then **select 'Save and Continue'** and this will take you to the main Applicant Details screen. The top of this screen asks for details about your organisation.

Applicant
Applicant Details

◀ Back

* Organisation name

[   ]

* Organisation type

| Please select: ▾ |

* Is the organisation a small or medium-sized enterprise (SME)?

◯ Yes   ◯ No

Company or charity registration number

[   ]

VAT number (if applicable)

[   ]

Website

[   ]

The next part of the screen asks for your organisation's address

Address

[   ]

[   ]

[   ]

Town / City

[   ]

County

[▾]

* Postcode

[   ]

The final section of this screen asks for Contact Details

Name of main contact

Position in organisation

Contact's email address

Telephone

Extension (optional)

Mobile (optional)

Alternative email address (optional)

Save and continue   Save and Return to Index

Once you have completed all of the sections, please **select 'Save and Continue'**

NOTE: When considering whether your organisation is a Small or Medium Sized Enterprise, for private sector applicants, the main factors in determining the size of the organisation are number of employees and turnover. Where the company is part of a group, you may need to consider the staff numbers and turnover for the whole group. A full definition of Small and Medium size Enterprises can be found at the following link: http://ec.europa.eu/growth/smes/business-friendly-environment/sme-definition/index_en.htm

The type and size of your organisation may be taken into account when assessing your compliance with any applicable State Aid rules.

5.2 Delivery Partners Screen

This screen must be completed in all cases.

Select **'No'** if your ESF Project will not have any Delivery Partners.

If your project will have one or more Delivery Partners, select **'Yes'** – this will then expand the screen and present you with a range of more detailed questions about the expected partner(s).

In the same screen, you will then need to record the details of each individual Delivery Partner organisation.

Delivery Partner details

Partner organisation name

[   ]

Partner organisation type

[Please select: ▾]

Company or charity registration number

[   ]

Name of main contact

[   ]

Position in organisation

[   ]

Contact's email address

[   ]

Telephone number

[   ]

Address

[   ]

[   ]

[   ]

Town / City

[   ]

County

[▾]

Postcode

[   ]

Role in ESIF project delivery

[   ]

Relationship to lead applicant

[   ]

Finally, for each Delivery Partner, you will need to answer the following 2 yes/no questions.

If you answer **'No'** to either question, an additional box will appear as shown below.

Click on **'Add Another' link** on the Delivery Partner screen to add the details of any further Delivery Partner organisations.

As you add each Delivery Partner, you will see them being added to a list at the top of the Delivery Partner screen.

Delivery Partner details				
Number	Organisation	Contact Person	Role	MoU in place?
1	Delivery Partner 1	D. Partner	Delivering one-to-one counselling for participants	Yes

If you are successful in obtaining ESF funding, you will then use the reference number allocated to each Delivery Partner in your ESF financial claims for any ESF costs incurred by that partner.

Once you have added details for all of your Delivery Partners, **select 'Save and Continue'** button at the bottom of the screen. This will take you to the 'Project' section of the Full Application.

Alternatively, you can **select' Save and Return to Index'** if you want to work on a different section of the Full Application.

NOTE: You should only record details of Delivery Partners in this screen. Details of any Sub-Contractors should be recorded in the 'Compliance – Procurement' section of your Full Application. Details of any Strategic Partners should be recorded in the 'Control – Governance' section of your Full Application.

Delivery Partner Definition:

A Delivery partner is an organisation with responsibility for delivering elements of the Project(s)'s activity for a share of the Project(s)'s outputs and results. They may provide match funding but you cannot make a profit from the ESF you receive. They will also follow all ESF audit and compliance requirements which the lead partner will verify; this includes checking invoices, timesheets, outputs and results evidence.

Delivery partners receive ESF via the lead partner (i.e. you). A legally binding agreement such as a Service Level Agreement is required between the lead partner and the Delivery partner. The Service Level Agreement details the requirements and liabilities of the Delivery partner and should reflect the terms of the lead applicant's Funding Agreement. Delivery partners can come from the public, voluntary or private sector. Sometimes the lead partner will assemble a number of partners to form a consortium. However, there will always be one lead partner who will sign the Funding Agreement with the Managing Authority and hold ultimate accountability and responsibility for the Operation(s).

The lead partner does not normally 'sub-contract' (i.e. procure) a Delivery Partner as you are in a partnership arrangement to deliver the ESF Project(s) together. Only the Grant Recipient or a Delivery partner can defray expenditure on a ESF Grant.

Sub-Contractors:

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

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

Strategic Partner:

A Strategic partner is not the same as a Delivery Partner or sub-contractor. Instead, these are organisations are involved in overseeing the Operation(s); you may be members of a steering group for example. Partners can come from the public, private or voluntary sectors. Strategic partners do not provide match funding, nor do they receive any payment of ESF.

Match-Funding Only Partners:

Organisations that provide match funding but do not deliver project activity or incur project costs should not be listed as 'Delivery Partners' in this screen. Instead they should be recorded in the relevant match-funding screens in the ECLAIMS IT system and in the relevant supporting narrative for your project where you explain your match-funding arrangements.

5.3 Project – Key Details Screen

This screen must be completed in all cases.

This screen allows you to record key headline information about your project.

The top part of the screen asks for:

- your ESF Project name;

- the total amount of ESF you are requesting for your project, excluding match-funding;
- the total amount of YEI you are requesting for your project, excluding match-funding (if YEI is applicable to your project);
- your Total ESF Project value – including any match-funding.

You will also need to select the LEP Areas your project will be covering. The drop-down list is derived from the call specification so, if the call is a single LEP Area call, you will only have 1 option available to choose from the drop-down list.

If the call covers more than one LEP Area, please select which LEP Area(s) you will be covering with your ESF Project.

Project
Key details

◄ Back

* Project name

Amount of funding being applied for

Of which ERDF	Of which ESF	Of which YEI
£	£	£

Total ESIF

Total project value

£

Name of relevant ERDF or ESF Operation Programme Priority Axis
Name of ESIF Investment Priority
LEP area(s) covered
01 - Black Country
Lead LEP Area

NOTE: You must insert a '0' figure in the ERDF field in all cases. If your project **does not** include YEI, you must also record a '0' figure in the YEI field.

If you do not record these '0' figures, you may not be able to record the Total Project Value figure for your ESF Project in this screen and/or you may get an error message which prevents your application from being submitted.

The next part of this screen asks for the key delivery dates for your ESF Project

Date from which eligible expenditure will be incurred.

* Proposed start date

* Day * Month * Year

☐ ☐ ☐ ▦

Date by which eligible costs will have been defrayed.

* Proposed financial completion date

* Day * Month * Year

☐ ☐ ☐ ▦

Date by which all outputs/results will be achieved.

* Proposed Practical Completion Date

* Day * Month * Year

☐ ☐ ☐ ▦

the date by which all the project activities described in the application and Funding Agreement will be completed

Proposed activity end date

Day Month Year

☐ ☐ ☐ ▦

NOTE:

Project Name:

Your **'Project Name'** must be the actual name you are going to use for your project if you are awarded ESF Funding, as this name will appear on your ESF Funding Agreement.

If you are intending to operate ESF Projects with the same or similar names, you will need to ensure your Project Name has at least one unique feature to help you and the ESF Managing Authority to differentiate between them at a glance e.g. a geographical suffix, numerical suffix or Investment Priority suffix.

Project Dates:

The start date and financial completion dates you record in this screen will be used by the ECLAIMS IT system to automatically generate the relevant, quarterly profile fields for your project costs & funding and project deliverables in the subsequent ECLAIMS screens for these elements, so it is important that the dates in this screen are accurate and correct.

Proposed Start Date – **(Must be completed for ESF) -** This should be the date on which you expect to start incurring project-related costs. This should

be realistic - i.e. needs to take into account the steps needed to start your project and the fact that your application will be subject to appraisal before a Funding Agreement can be considered.

Proposed Financial Completion Date - (Must be completed for ESF) - This is the date by which you expect all expenditure on the project to have been incurred and defrayed (i.e. left your bank account). The deliverability of the project and the realism of timescales must be taken into account when proposing this date.

Proposed Practical Completion Date - (Must be completed for ESF) - To ensure the ECLAIMS system will allow correct recording of your expenditure, output and result profiles later on in your Application the date you record here must be identical to your Proposed Financial Completion Date.

Proposed Activity End Date (Must be completed for ESF) – This is the date on which your project will stop delivering activities to Participants/SMEs. This may be an earlier date than your Financial Completion Date, to give you time to collate any costs relating to those activities ready for submission of your final funding claim to the Managing Authority.

Once you have completed all of the details in the Project – Key Details screen, **select 'Save and Continue'.**

5.4 Project – Business Case Screen

This screen must be completed in all cases.

This screen is self-explanatory, containing a single, narrative free text box where you need to describe your project in as much detail as possible – in line with the on-screen bullet points below. There is no word limit, but you are encouraged to keep your response focused and relevant.

In all cases you **must** upload a high level, end-to-end customer journey document in the Supporting Document Checklists section of your Full Application, to compliment the 'Business Case' narrative you provide in this screen.

Project
Business case

◄ Back

Fully describe how the project will be delivered. You should avoid overly technical terminology. Your response should be understood by a non-expert. In your response please cover:

- What the project is, including the specific activities undertaken as part of the project?
- Where the project will be delivered?
- Over what timescale?
- Who will deliver it?
- Who will benefit from the project?
- What the benefits will be?

There is no word limit but you are encouraged to keep this description focussed on the activity of the project.

NOTE: In this screen you should **fully** describe how the project will be delivered. You should avoid overly technical terminology. Your response should be understood by a non-expert. In all cases please refer to organisation names (and job titles if necessary) rather than the actual names of individuals when describing project delivery arrangements and responsibilities.

The fields within this screen will accept text only however, if you wish to supplement your narrative with pictorial supporting documents such as flowcharts, graphics and images, you can upload these as additional Supporting Documents as necessary. Section 5.22 of this guidance explains how to upload your Supporting Documents.

You should provide a full description of how your proposed, specific activities clearly link to the outputs and results you intend to achieve i.e. demonstrate a clear intervention logic.

You should provide a clear breakdown of your project's key customer journey stages, for example;

- a learner progressing from enrolment through to supporting the learner to achieve and sustain positive outcomes.
- the identification of an SME, how the SME engages and interacts the project through the benefit for the SME and the exit strategy

You should also set out your engagement of target groups and recruitment strategy, detail referral routes and possibly partners, identify the type of issues and barriers faced and how the Project(s) will aim to address these.

Your responses should be meaningful and comprehensive, for example a poor answer would address the point "who will deliver it?" simply with "The applicant". A good answer would go into the detail of the applicant organisation and who is directly delivering to end beneficiaries as well as any use of consultants, delivery partner teams etc.

For applications which contain an element of Youth Employment Initiative funding either as all or part the project, please describe how the specific eligibility rules for Youth Employment Initiative activities, geographical boundaries and participants are being met. If not, the project will not be eligible for Youth Employment Initiative funding. The ESF and the match must also be spent on participants eligible for the Youth Employment Initiative residing in areas eligible for the Youth Employment Initiative.

This section will also be shared with the Local Enterprise Partnership Area European Structural and Investment Funds Committee. Even if it's clear to you, it might not necessarily be clear to a third party what is being proposed. If the description is poorly articulated, lacks detail, is overly theoretical or too complex, then the appraisal process may be prolonged whilst the Managing Authority seeks clarification. Remember that the reader is not familiar with your proposal.

Once you have completed your narrative in the Project – Business Case screen, **select 'Save and Continue'.**

5.5 Project Schedule Screen

This screen must be completed in all cases.

Using this screen, please record each of the key milestones covering the end-to-end delivery of your project. As this is a Full Application, there should be a degree of certainty, accuracy and detail recorded.

You can use the 'Add Another Milestone' link to generate a new set of 'Milestone Description' and associated date fields for each new milestone you wish to add.

Project
Schedule

◄ Back

Include this information for each key milestone within this project.

Milestone description

[   ]

Anticipated date of milestone
Day   Month   Year
[   ]   [   ]   [   ]   ▨

Completion date
Day   Month   Year
[   ]   [   ]   [   ]   ▨

Add Another Milestone

Provide any necessary commentary on the milestones above including any dependencies.

[   ]

The 'Commentary' box in this screen is an overall box, covering all milestones. In this box, you should comment on any dependencies relevant to the key milestones you have recorded, as well as the implications / likelihood of milestones being missed or slipping. The Appraiser is looking to be assured that this is a deliverable project within the time scales provided.

Once you have recorded your key milestones in this screen, **select 'Save and Continue'** button at the bottom of the screen. This will take you to the 'Strategic Fit' section of the Full Application.

Alternatively, you can select' **Save and Return to Index'** if you want to work on a different section of the Full Application.

5.6 Strategy – Strategic Fit Screen

This screen must be completed in all cases.

This screen comprises of 4 narrative free text boxes where you are asked to provide a response against each of the following 4 key questions in the relevant free text box:

Question 1. How does the project address the strategic domestic priorities, needs / opportunities set out in the call specification at national, local and sub national level?

Question 2. How does the project deliver the objectives of the relevant priority axes set out in the Operational Programme?

Question 3. Describe the medium to long-term results/impacts the project will deliver.

Question 4. Please identify any organisations offering the same or similar activity. Explain how the proposed project adds value to and doesn't duplicate existing provision, and does not conflict with national policy?

Once you have recorded full, detailed and relevant responses to each question, **select 'Save and Continue'**

NOTE: Projects that do not fit with the Call Specification and/or the ESF Operational Programme will not be supported.

In this screen you should explain as fully as possible how your Project aligns with the domestic strategic priorities and local growth priorities as set out in the call specification. This will be the focus of the Local Enterprise Partnership Area European Structural & Investment Funds Sub-Committee's advice to the Managing Authority.

You should also explain how your project represents an appropriate means of delivering the objectives set out in the ESF Operational Programme.

In addition to this, you should also explain the medium to long-term results and impacts your project will deliver. These will depend upon the nature of the activity but may include increased productivity and or employment in supported business, increasing the skills levels and employment rate of participants or providing infrastructure that will facilitate future investment and growth.

Demonstrate the research undertaken to establish if there are any national schemes or local provision in place which may be the same or similar to the proposed Project. Where such schemes do exist, you should clearly demonstrate how your Project adds value and does not duplicate this provision.

5.7 Strategy – Cross-Cutting Themes Screen

This screen must be completed in all cases.

This screen comprises of 2 narrative free text boxes where you are asked to provide a response against 4 key questions – the first around how your project will meet the ESF Sustainable Development requirements, the second around how you project will meet the ESF Equality and Diversity requirements.

The cross cutting themes of Gender Equality and non-discrimination and Sustainable Development are important components in administering European funds and form part of the assessment of compliance with the ESF Operational Programme.

You must demonstrate that you have considered and embedded these Cross Cutting Themes in your project.

Sustainable Development:

In the first narrative box on this screen in the ECLAIMS IT system you should set out how your Project(s) will meet the requirements of the Sustainable Development theme – specifically explaining how your project will respect the principle of sustainable development? In particular, how does the project maximise positive environmental impacts or mitigate potential negative impacts (with regard to the "polluter pays" principle where appropriate)?

You **must prepare and upload** a Sustainable Development Policy and Implementation Plan as a supporting document for your ECLAIMS Full Application.

NOTE: In your narrative response, include details such as setting out whether your Project(s) will have any of the following features:

- Will it have a specific environmental focus?
- Will it complement any of the environmental thematic objectives of other ESIF programmes?
- Will it use the environment as a resource to help motivate disadvantaged people? (for example by providing non-classroom / non-traditional learning environment)
- Will it support recycling?

You should refer to the requirements regarding Sustainable Development Policy and Implementation Plans set out in the published ESF Cross Cutting Themes Guidance on GOV.UK.

Please also see Action Note 019/18 published on GOV.UK for further details of requirements and also the assessment and scoring arrangements that will apply to this cross cutting theme for ESF.

Equality and Diversity:

Projects must demonstrate commitment towards addressing equality issues as outlined in the ESF Operational Programme and as set out under the 2010 Equalities Act.

In the 2nd narrative box on this screen in the ECLAIMS IT system you should clearly explain how your project will meet programme / regulatory requirements with regards to the following:

a) How will you ensure that equality between men and women as well as gender perspective are taken into account and promoted throughout the preparation and implementation of the project?

b) What steps will you take to ensure accessibility for persons with disabilities are taken into account throughout the preparation and implementation of the project?

c) In light of the Equality Act 2010 how does your proposed project further the following aims:

- o The need to eliminate unlawful discrimination, harassment, victimisation and other conduct prohibited by the Act.
- o The need to advance equality of opportunity between people who share a protected characteristic and people who don't.
- o The need to foster good relations between people who share a protected characteristic and people who don't.

Although there is only a single field in which to record your Equality and Diversity narrative, your response should cover all of the points above.

You must also prepare and upload an Equal Opportunities Policy and Implementation Plan as a supporting document for your ECLAIMS Full Application.

Once you have recorded full, detailed and relevant responses to each question, **select 'Save and Continue'**

NOTE: Equality should be integrated into all aspects of project planning, development, implementation, monitoring and evaluation. It must be embedded not only within the services the project provides, but also in the way the project is delivered.

(i) Encouraging female participation on the programme.
(ii) Providing childcare support where this acts as an obstacle to ESF participation i.e. any additional support required beyond any support that is - or can be - funded via Universal Credit / tax-credits).
(iii) Supporting access for disabled people (including physical access to buildings where support will be provided).
(iv) Providing specialised / tailored / flexible support to meet the needs of the individuals (as far as possible) including specialised support for disabled people where necessary.

If you do not have sufficient room to record all this information within the Full Application screen itself, you may attach additional supporting documentation to your application in order to ensure all points are covered.

You should refer to the requirements regarding Equal Opportunities Policy and Implementation Plans as described in guidance note set out in the published ESF Cross Cutting Themes Guidance published on GOV.UK.

Please also see Action Note 019/18 published on GOV.UK, for further details of requirements and also the assessment and scoring arrangements that will apply to this cross cutting theme for ESF.

5.8 Strategy – Justification Screen

This screen must be completed in all cases.

This screen comprises of 3 narrative free text boxes where you are asked to provide a response against each of the following key questions:

> **Question 1.** What would be the impact on the project if it didn't receive ESIF funding?
> **Question 2.** What would be the impact on the project if the funding level was reduced?
> **Question 3.** What would be the impact on the project if ESIF funding was delayed?

ESF funding should be funding of last resort and should not be used to pay for activities which would take place even if ESF funding were not available. This section of the Full Application will form part of the overall appraisal on the added value of your proposed project.

Once you have recorded full, detailed and relevant responses to each question, **select 'Save and Continue'**

5.9 Strategy – Evidence Screen

This screen **must** be completed in all cases.

This screen contains a single question:

> **Question 1** "How does the proposed delivery model build on evidence of good practice, and what works most effectively for the target group".

Once you have recorded a full, detailed and relevant response to this question, **select 'Save and Continue'**

5.10 Financial (General) Screen

This screen must be completed in all cases.

> **NOTE:** When accessing this screen, you may see error messages displayed before you have started to record any information.
>
> These error messages represent in-built validation rules in the ECLAIMS IT system and should resolve as you work your way through the full suite of Financial, Costs and Funding screens.

This first screen asks for a range of headline information about your project finances.

<u>Simplified Cost Options</u>

The first question on this screen is "Please advise whether the project will be adopting any of the available ESIF simplified cost options for indirect costs and if so, which one?"

This questions specifically asks about whether your project intends to use either of the available Simplified Cost Options (i.e. Flat Rate Indirect Costs) to cover your project's overhead costs.

As set out in the ESF National Eligibility Rules and ESF Programme Guidance published on [GOV.UK,](#) there are only **2 Flat Rate Indirect Cost options available to ESF Projects.**

> **Option 1:** (available for ESF and ERDF) using a calculation of 15% of staff costs to calculate indirect costs; and then adding all other direct costs.
>
> **Option 2:** (only available to ESF) uses a calculation of 40% of staff costs only to calculate direct and indirect costs (not adding in any other direct costs).

In this narrative response box please record if you are intending to claim Flat Rate Indirect Costs for your ESF Project and, if so, which of the 2 rates you are intending to use.

NOTE: Your project does not have to use any Flat Rate Indirect Costs but, if you do, you must use either the 15% or 40% Flat Rate Indirect Cost rate – no other options are permitted.

The 2nd narrative box on this page refers to a 25% Flat Rate Indirect Cost option – this is only available for ERDF Projects. Please therefore skip question 2.

Irrecoverable VAT

Irrecoverable VAT is the input **VAT** that a business has incurred on purchases and other costs which it is not permitted to recover via its **VAT** Return.

In this section of the screen please select the radio button relevant to your ESF project.

Does the project budget include any VAT you cannot recover from HMRC (recoverable VAT)?. Note we may need confirmation of this by way of a letter from the applicant's finance department.

◯ Yes   ◯ No

If you select 'Yes' to this question, you will then be presented with an additional question and associated text box, asking for more details of how you are going to ensure you manage any Irrecoverable VAT through your financial arrangements for your ESF Project.

"Please described how this is captured through the claims procedures and how your financial processes will ensure that it is not being claimed as part of the normal VAT return".

Once you have selected the relevant radio button and, if appropriate, provided the additional narrative information for any Irrecoverable VAT, scroll to the next part of this screen.

Justification of Costs

You **must** prepare and upload a granular budget for your ESF Project as a supporting document for your ECLAIMS Full Application**.**

A sample Granular Budget template has been published on GOV.UK – you can use this template or, if you prefer, you can use your own template as long as your own format includes all of the same, key details as the sample template.

In this part of the screen you then need to complete your narrative response to the question **"Costs and Funding – for each line item (not cost category),** provide the justification for its inclusion i.e. relevance to the project and the assumptions/research undertaken to come to the figures. For salary costs, please indicate any job role not 100% funded by the project and provide evidence of the hourly rate using the simplified cost methodology".

Please use this section of the screen to set out as much detail as you can on the rationale for each of the costs included in your granular budget, how you have arrived at the levels of costs you are quoting in each case, what benchmarks, research or other information you have used to arrive at your costs and any assumptions you have made when arriving at your proposed project budget.

The narrative information you provide here is a critical factor when the Appraiser is considering the value for money of your project.

NOTE: When developing your granular budget and associated financial profiles, you should bear in mind that:

- ESF operates by calendar years, with 4 set claim periods ending in March, June, September and December;

- ESF Project claims **must** be submitted to the ESF Managing Authority within 25 working days of the end of each claim period. Each claim will then be subject to range of checks by the ESF Managing Authority before payment can be issued – you **must** therefore ensure you have sufficient cash flow to manage the project.

- Be as realistic as possible about when expenditure will occur and be defrayed– ESF operates on the basis of defrayed expenditure i.e. when a payment leaves the projects bank account, not when an invoice or cheque has been written/sent.

- Consider carefully the time requirement to get the project started – will it be necessary to factor in time for recruitment/procurement/formalising the partnership? Most projects spend very little in their first couple of quarters.

- 'Flat' financial profiles are usually unrealistic – this type of approach risks leading to further questioning from the Appraiser about the effort, realism and research you have put into your financial planning for your project.

- Ensure you include sufficient resources to administer and manage your ESF Project.

- If your project is approved for ESF funding, before you can submit your first claim, the ESF Managing Authority will need to carry out a Project Inception Visit to ensure your financial systems and wider ESF delivery systems are in place and robust enough for the Managing Authority to start accepting your ESF Project claims.

- Retention (normally 10%) is held back at the end of every European Structural Investment Funds Project whilst the final claim and final verifications are carried out.

Match Funding

The next narrative box on this screen asks **"Who is providing your match-funding and is it confirmed? If not, when will it be confirmed?"**

Match-funding is a key requirement for receiving European Structural & Investment funds and it should be confirmed (with the exception of SME contributions) prior to the issuing of any Funding Agreement.

NOTE: The information you record here should include a breakdown of match funding including evidence of the match, which might take the form of a letter or contract signed by someone in a position of authority. There is no prescribed template for this. If you are using your own funds as match, the Managing Authority may need to ask for additional evidence such as in principle approval for a bank loan.

"In-Kind" match – there are restrictions on when 'in-kind' match can be used in the Programme. you should refer to the ESF National Eligibility Rules and ESF Programme Guidance which describe these restrictions and, if you are proposing to use 'in-kind' match, please set out in this section how your match meets the necessary 'in-kind' rules.

Costs associated with paying for existing staff are not 'in-kind' contributions.

Income Generation

Only a response of 'No' is acceptable against this question, as ESF Projects in England are not eligible for funding if they will generate a profit.

Cross LEP Area and/or Category of Region Costs

The final question on this screen concerns projects spanning more than one Category of Region and/or more than one LEP Area.

If your application spans 2 or more Categories of Region and/or 2 or more LEP Areas, please explain in this narrative box how your project costs have been shared across these elements.

NOTE: The intervention rate is different for each Category of Region and your ESF Project costs need to take this into account when calculating and confirming the levels of match-funding you need to provide.

- More Developed Regions have a maximum intervention rate of 50% ESF funding and 50% match-funding;
- Transition Regions have a maximum intervention rate of 60% ESF funding and 40% match-funding;
- Less Developed Regions have a maximum intervention rate of 80% ESF funding and 20% match-funding.

Once you have recorded full, detailed and relevant responses to each question, **select 'Save and Continue'**

5.11 Financial – Project Costs Screen

This screen must be completed in all cases.

NOTE: Please be aware that the ECLAIMS IT system has automatic validation built in, comparing the ESF and match-funding information you record in the following 3 screens:

    Financial – Project Costs
    Financial – Costs and Funding Allocation
    Financial – Funding Sources

Across these 3 screens you will record the financial information about your project by Cost Category, by overall split of ESF and match-funding, by Category of Region, by LEP Area, by Investment Priority and also – for match-funding – by individual match-funding source.

It is strongly recommended that you take time to document and thoroughly check all of your financial information across these parameters to ensure you have consistent figures across the board to avoid error messages and validation issues which will prevent submission of your Full Application in the ECLAIMS IT system.

We also **strongly recommend** that you record your financial information in these screens as early as possible prior to the call closure date so that, if you encounter any validation issues or error messages, you have sufficient time

---

to address these and/or seek technical support well in advance of the call closing date.

Forecasting:

It is not sufficient to provide 'flat-rate' profiles, your forecasts should instead reflect any relevant 'start-up' period and also the need to wind-down your project in advance of the Financial Completion Date.

As expenditure targets and profiles represent a critical consideration around the initial and ongoing value for money of your project, it is important that your forecasts are realistic and achievable to reduce the risk of financial penalties and/or formal under-performance action against your ESF Project at a later date if you are awarded an ESF Funding Agreement.

Finally, you should ensure that figures recorded in these screens correspond with the equivalent figures in your submitted Granular Budget document. Any discrepancies between the on-screen information and your Granular Budget may mean the Appraiser needs to ask to you undertake re-work.

Decimal Places:

Each quarterly figure recorded must have 2 decimal places, even if these are zeros.

If you record a whole number e.g. £1000, the ECLAIMS IT system should populate these decimal places for you, displaying £1000.00. However, this is not always the case consistently.

If the ECLAIMS IT system displays an error message once you have completed all of your financial screens and if you are content that all of your other information has been recorded correctly, you may want to check each quarterly figure to ensure each shows the required 2 decimal places as this may be the cause of the error.

Financial Annex Supporting Document:

For ESF online applications there is a new 'Financial Annex – Simplified' template. This has been published as part of the ESF online application suite of products on GOV.UK.

Unless stated otherwise in the Call Specification, this separate ESF Financial Annex document does not need to be uploaded as part of your online ESF Full Application.

You can, however, use the 'Financial Annex – Simplified' template on GOV.UK as a working document to 'test' your Project financials prior to

recording your final figures in the ECLAIMS IT system, to help minimise the risk of error messages in this set of screens.

When you first access the 'Financial – Project Costs' screen, you will see the following:

Add, view, edit or delete cost records for this project here. When first adding costs, you must break these down for each year in the period between the project start date and its financial end.

Details

* Cost category

| Please select: | ⌄ |

Add Another Cost Category

Summary Table

Cost Category	Total
	0.00
Subtotal Capital	0.00
Subtotal Revenue	0.00
Total	0.00

To input your project cost profiles, per quarter, you will need to first **select a Cost Category** from the drop-down list.

NOTE: In this screen, you should only record one set of cost profiles per relevant ESF cost category.

If your project is delivering under more than one Category of Region and/or more than one Investment Priority, you should input a single set of quarterly profiles per ESF Cost Category.

Please **only use** the following Cost Categories:

ESF Direct Staff Costs – this should be used to record your quarterly, direct staff cost profile figures. Your quarterly cost profiles under this cost category should reflect the total ESF and match costs you expect to incur under this cost heading.

(Rev) Flat Rate Indirect Costs – if you are expecting to use either the 15% or 40% Flat Rate Indirect Cost option, you should use this cost category to record your quarterly Indirect Cost profile figures, again representing the total ESF and match costs you expect to incur under this cost heading.

For YEI Applications, your single set of cost profiles under this cost category should include your total anticipated ESF + match + YEI costs under this heading.

ESF Other Direct Costs – this cost category should only be used if you are using the 15% Flat Rate Cost Option or you have decided you will not claim any indirect costs. Again, your quarterly cost profiles under this cost category should reflect the total ESF and match costs you expect to incur under this cost heading.

YEI Direct Staff Costs – this cost category should only be used if you are responding to an ESF YEI call. The figures you record under this cost category should represent the YEI element only of any Direct Staff Costs your project expects to incur.

YEI Other Direct Costs – this cost category should only be used if you are responding to an ESF YEI call and if you are using the 15% Flat Rate Cost Option or have decided you will not claim any indirect costs. The figures you record under this cost category should represent the YEI element only of any Other Direct Costs your project expects to incur.

The ESF National Eligibility Rules and ESF Programme Guidance published on GOV.UK provide more specific detail on what can be included as eligible costs under each of these cost categories.

NONE OF THE OTHER COST CATEGORIES SHOULD BE USED.

Selecting one of the applicable cost categories from the drop-down list will then generate a series of quarterly profile fields for you to complete.

These will be based on the Project Start Date and Project Financial Completion Date you recorded in the 'Project Details' screen earlier in your Full Application.

NOTE: If you try to complete your Financial Screens before completing the Project Details screen, you will not be able to do this as the ECLAIMS IT system will not have the relevant date information to be able to generate the quarterly cost profile boxes you need.

If your project is using Flat Rate Indirect Costs, it is strongly recommended that you record the quarterly profiles under this Cost Category first. This will avoid the ECLAIMS IT system over-writing other Cost Category information and quarterly profiles you may have already recorded when you select the (Rev) Flat Rate Indirect Cost category from the drop-down list.

Once you have completed the quarterly figures for your first cost category, you can use the '**Add Another Cost Category**' option to generate a new set of fields. You can then select your next cost category and complete the quarterly figures accordingly.

Flat Rate Indirect Costs – Additional Questions:

If you select the (Rev) Flat Rate Cost Category option, you will be presented with the usual quarterly profile boxes to complete but you will also see an additional set of questions displayed on screen.

Please complete these additional questions as follows:

"Flat Rate Indirect Costs Included?" – please click on this box to insert a tick if your project will be incurring these types of costs;

"Rate to be applied (%)" – please insert "15" or "40" accordingly. You do not need to type the percentage symbol in this box

"Value of direct costs that are eligible for flat rate indirect costs" – please record here the **total ESF Direct Staff Costs** figure for your project, inclusive of match-funding.

For YEI Applications, please record here the **total ESF Direct Staff Costs plus total YEI Direct Staff Costs** figure for your project, inclusive of match-funding.

You will then see ECLAIMS undertake an automatic calculation and display a figure on the **"Value of Indirect Costs"** line.

NOTE: The quarterly profile figures you have recorded for (Rev) Flat Rate Indirect Costs **must** add up to the 'Value of Indirect Costs' figure calculated by ECLAIMS.

If the total (Rev) Flat Rate Indirect Costs figure you have recorded in your quarterly profiles add up to a different amount, please adjust them accordingly in this screen so they equal the ECLAIMS generated figure.

You may also need to consider amendments to your Granular Budget at this stage, to ensure full alignment of any Flat Rate Indirect Costs recorded in that document.

If completing this screen results in changes to any of your overall ESF figures or total ESF Project costs, you also need to remember to update the total ESF and/or Total Funding figure(s) you recorded in your 'Project – Key Details' screen.

Once you are satisfied that you have recorded all of your quarterly cost profiles and that, if you have Flat Rate Indirect Costs, these are aligned in the ECLAIMS IT system and across your Granular Budget, you should complete a final check before continuing to the next screen.

At the bottom of the screen, you will then see a summary table where the ECLAIMS IT system has populated the figures based on your quarterly profiles.

Please **check this table** to ensure all of your project figures are correct before **selecting 'Save and Continue'** to move to the next screen**.**

5.12 Financial – Costs and Funding Allocation Screen

This screen must be completed in all cases.

In the first part of this screen, you need to select the Priority Axis, Investment Priority/Priorities and Category/Categories of Region relevant to your ESF Project.

The Priority Axis and Investment Options available to you will be based on the actual call you are responding to. Once you have selected the relevant Priority Axis, the drop-down list for the associated Investment Priority/Priorities will appear on screen for you to select.

Financial
Cost and funding allocation

◀ Back

Provide a breakdown of the funding you expect to receive, based on the output criteria. Your figures must match the project cost totals and allocations you've already identified.

Details

* Priority axis

◯ P1 - Inclusive Labour Markets

* Investment priority

* LEP area

| Please select: | ⌄ |

* Category of region

◯ More Developed

◯ Transitional

◯ Less Developed

In the next set of fields on this screen, you should then record the amount of ESF funding, Private Match-Funding and Public Match-Funding for your project under the Priority Axis, Investment Priority and Category of Region you have just selected.

Revenue

Percentage
(Show all decimal places)

* ESF funding (£GBP)

£ [   ]

* Public match funding (£GBP)

£ [   ]

* Private match funding (£GBP)

£ [   ]

Total Revenue funding - (£GBP)   100%
0.00

NOTE: If your project is covering more than one Investment Priority and/or more than one Category of Region, click on the blue '**Add Another Priority Axis'** link located immediately under the 'Revenue' boxes in this screen to generate an extra set of fields.

Repeat this 'Add Another Priority Axis' action until you have recorded information for each Investment Priority and/or Category of Region for your ESF Project.

Public vs Private Match-Funding:

The ECLAIMS IT system has in-built, background coding that determines which match-funding sources are classed as Private or Public. Annex A provides the list of applicable classifications.

When recording the amount of public and private match-funding for your project in the Financial – Cost and Funding Allocation screen, ensure you calculate your totals based on the Annex A public/private classification rules.

Youth Employment Initiative (YEI) Funding:

Whilst YEI Projects are delivered under Investment Priority 1.3 within the ESF Operational Programme, when recording your project financial information in this screen **you must record your project financial information using 2 separate Investment Priorities,** using the 'Add Another Priority Axis' option**:**

> **Investment Priority 1.3a** – under this Investment Priority, record in the ESF Funding field the total amount of **YEI only** funding you are requesting – not including your ESF + match funding. Record '0' for each of the Public and Private match-funding fields for this Investment Priority.

> **Investment Priority 1.3b** – under this Investment Priority, record in the ESF Funding field the **total amount of ESF funding** you are requesting, not including any YEI funding. Then record the actual, total amounts of Public and Private match-funding applicable to your project overall in each of the respective fields, again recording a '0' if either the Public or Private match fields are not applicable to your project.

This action will ensure that, if you are successful in obtaining ESF and YEI funding, your project financial claims will be calculated correctly by ECLAIMS.

System Validation Rules:

The funding information you record in this screen should add up to the 'Total Project Value' figure you recorded earlier in your Full Application in the 'Project – Key Details' screen.

The total overall funding for your ESF Project in this screen should also equal the total overall funding recorded for your ESF Project in the 'Financial – Project Costs' screen where you have recorded your quarterly cost profiles.

Finally, the next screen will ask you to record your match-funding information broken down by individual match-funding source, including whether each source is private or public match. You **must** ensure that the individual, broken down figures on the next screen add up to the total public and total private match-funding figures on this screen.

If any of these validation checks are not met, you may see error messages in the ECLAIMS IT system asking you to check your figures.

You **will not** be able to submit your Full Application until all errors are resolved.

There are summary tables at the bottom of this screen where you can check your figures by Category of Region, by Investment Priority and by LEP Area before progressing any further.

Please check these tables are correct before **selecting 'Save and Continue'** to move to the next screen.

5.13 Financial – Funding Sources Screen

This screen must be completed in all cases.

In this screen, you need to record the individual match-funding amounts for your ESF Project by individual match-funding source.

In all cases, you need to select the 'Revenue' radio button as capital match-funding is not relevant to ESF Projects.

For each match-funding amount, select whether it is match-funding 'in-kind' and also whether this funding is confirmed already. The [ESF National Eligibility Rules published on GOV.UK](#) explain the limitations on 'In-Kind' match-funding for the ESF Programme.

If you select 'No' to the confirmation question, you will see an extra set of fields appear asking you to record the date by which you expect to receive confirmation.

> **NOTE:** If your ESF Project has more than one source of match-funding, select the blue **'Add Another Funding Type'** link. This will generate an extra set of match-funding fields for you to complete.
>
> Repeat this action until you have recorded the match-funding information for each individual match-funding source.

There are summary tables at the bottom of this screen where you can check your recorded match-funding figures before progressing any further.

Please **check** these tables are correct before **selecting 'Save and Continue'** to move to the next screen.

5.14 Financial – Management Screen

This screen must be completed in all cases.

This screen comprises of 7 narrative free text boxes where you are asked to provide a response against each of the following key questions

Question 1: Have you or will you incur any at risk costs since your notification letter which you intend to include in an ESF/ERDF grant claim? If so, how much and on what?

Question 2: Describe the financial management and control procedures for the project; including the process for compiling, authorising and ensuring only eligible and defrayed expenditure is included in European Structural & Investment Funds claims for payment. Please refer to job

titles rather than the actual names of individuals when describing Financial Management and Control procedures and responsibilities.

Question 3: Please describe the document management system for the project and how the audit trail will be maintained and accessible for the period required under the terms of the European Structural & Investment Funding Agreement, this includes retrieving original invoices and ensuring evidence of costs incurred is available.

Question 4: If applicable, how will you ensure that Delivery Partners/financial beneficiaries engaged in the delivery of the project will comply with the requirements relating to defrayal of expenditure?

Question 5: Please set out your organisation's financial policy which describes processes, roles and schemes of delegation.

Question 6: How will the project's cashflow be managed? ESIF is paid to Grant Recipients in arrears. Please explain how the project will manage its cash flow throughout the project lifetime

Question 7: Please explain how the accounting software and systems used will be capable of maintaining separate records for the project and producing detailed reports to demonstrate where the ESIF is being spent. If applicable, please describe how your partner's software/systems will manage project finances.

In this screen you should **provide detailed responses to each question,** providing as much information as possible around the proposed the financial management and control procedures you will put in place for the project.

This includes the process for compiling and authorising claims for payment and who will manage this process in your organisation. If your project will have Delivery Partners, you should also describe the processes you and they will follow to ensure full, effective Financial Management.

Granular Budget

In the middle of this screen you will also need to select a response to a 'yes/no' radio button question asking you to "Please confirm that you have submitted a very detailed, granular budget breakdown".

For all ESF Projects, a detailed Granular Budget document **must** be uploaded into the ECLAIMS IT system**.** This should show a breakdown of all ESF Direct Staff Costs by job role, a breakdown of any ESF Other Direct Costs if applicable to the ESF Project and also the breakdown of any ESF Flat Rate Indirect Costs.

For any staff who are going to work part of their time on the project, there must also be a confirmation of the expected hourly rate per job role, calculated using the specific 1720 Simplified Cost Option hourly rate set out in the ESF Programme Guidance published on GOV.UK. The calculation must include, in each case, a confirmation of the document being used to evidence the annual gross employment costs used in the calculation.

An ESF Granular Budget Sample Template is available on GOV.UK for ESF applicants to use if they wish. If you choose to use a different granular budget template, you should ensure it contains the same level of detail as the sample template as a minimum.

NOTE: When considering the design of your financial processes, systems and roles/responsibilities, you may want to refer to the ESF Claims Guidance for Grant Recipients published on GOV.UK which sets out the procedures and expectations around the submission of compliant financial claims to the ESF Managing Authority.

Please refer to job titles rather than the actual names of individuals when describing your Financial Management procedures and responsibilities. You should also ensure the ESF and match-funded job roles in your Granular Budget are the same job roles included in your corresponding Organogram, also uploaded as a supporting document.

Incurring Costs at Risk:

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, if you intend to incur any project expenditure from the day after the call closure date, up to and including the date on which an ESF Funding Agreement is fully executed, this will be at your own risk.

Financial Management & Control Procedures:

You should describe in brief, the main points of the financial policies in place covering processes, roles and delegations for example who within your organisation can commit the project to incurring expenses, who signs off your inclusion in a claim etc.

You should set out the procedure to ensure that ineligible expenditure is excluded from the Project's claim. Will this for example, be a manual task or will the accounting system recognise which costs should be included in a claim including confirmation of defrayal. This should include a description of who checks the eligibility of costs before you are incurred as well as before they are claimed.

Delivery Partners

If your ESF project will not have any Delivery Partners, please record **N/A** in response to this question.

Otherwise, you should describe the processes and procedures you will put in place to ensure that Delivery Partners only claim eligible expenditure. For example, will there be an induction or training? How will the lead applicant test the Delivery Partners' systems and will this be reflected in a Service Level Agreement or Memorandum of Understanding or equivalent with them.

Document Retention:

Please describe how your ESF Project will meet ESF requirements regarding document retention dates, storage and data back-up arrangements including, if applicable, for your Delivery Partners.

Documentation relating to a project must be retained after the project has completed in line with the ESF Document Retention Guidance published on GOV.UK.

Given this, you should explain how you will continue to meet monitoring and reporting requirements until the relevant date. These include but are not limited to:

- Evidence of outputs
- Evidence of publicity
- Evidence of procurements
- Invoices and evidence of defrayal
- Steering Group minutes

You should refer to the published ESF Document Retention guidance and the European Social Fund data evidence requirements: eligibility and results guidance to inform your response.

You will be asked to provide original invoices when audited. Your response should explain how you will ensure you can access these invoices when needed, particularly if they are stored off-site.

Cash flow:

ESF is paid in arrears upon receipt of satisfactory claim for payment i.e. you will have had to incur costs before you are able to claim them and there are often queries around submitted claims (for example, ineligible expenditure or a lack of description of expenditure or lack of supporting evidence). In response to this question, explain how you will manage the cash flow of the Project to take account of ESF claim and payment processes and, if

applicable, how your Delivery Partner(s) will manage their respective cash flow(s).

Once you have recorded full, detailed and relevant responses to the questions on this screen, **select 'Save and Continue'**

5.15 Deliverables – Results and Outputs Screen

This screen **must** be completed in all cases.

In the first part of this screen you will need to answer 4 key questions – 2 with narrative responses and 2 using the available radio buttons as per the screenshots below.

In the lower part of the screen, you will then need to use the 'Add Another Deliverable' option to generate new fields per individual output category and individual result category for your project.

These new fields will allow you to record quarterly profile figures per individual output and result category.

Narrative Responses:

In response to the narrative questions in this screen, you should explain in detail how you have estimated the volume of each of your forecasted outputs and results for your project, demonstrating clearly how each of the proposed outputs and results directly links to your specific project activities and objectives.

Project date forecasts are required for this section to be completed. Please return to the Schedule sub section under Project to continue.
Please indicate which results and outputs your project will deliver.

Please explain in detail how you have estimated each of the outputs and results for your project, demonstrating clearly how each of the proposed outputs and results directly links to your specific project activities and objectives.

Please explain your approach for forecasting each deliverable; including the specific base-lining/research you have undertaken to ensure your projected profiles are realistic and achievable and any assumptions which impact on your forecasts.

Your related output and results figures should be consistent for example, 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.

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

If you are proposing one or more output or result figures below the expected minimum target value for this call, you must provide an explanation for this in this section of the screen.

ESF Outputs and Results Indicator Definitions Guidance is available on GOV.UK.

Radio Buttons:

You should then select the relevant response, applicable to your ESF Project, against each of the following questions:

Once you have completed both the narrative and 'radio button' sections of this screen, you should then move onto recording each individual set of output and result profiles for your project in this same screen.

If you are unsure which response applies to your project, you should consult the ESF Output and Results Indicator Definitions guidance published on GOV.UK, which provides more detail.

Recording your 'Output' target profiles:

Selecting the blue '**Add Another Deliverable'** link will bring up a set of fields which will allow you to record each individual set of output and result profiles one-by-one.

For each individual Output and Result category you will need to:

1. Select the correct Priority Axis from the drop-down menu.

2. Select the correct Investment Priority from the drop-down menu.
3. For Type, select 'Output'
4. For Indicator, select your first Output category from the drop-down menu, ensuring you select the Indicator with the correct Category of Region suffix if your Project will be delivering in more than one Category of Region;
5. Select the correct Category of Region for the Output being recorded;
6. Select the correct LEP area from the drop-down menu.
7. Select the first year where you have Output figures to record;
8. Input the quarterly figures for that year from the Outputs tab (please note – E-claims will not accept a part year therefore you will need to input zeros for any quarterly fields where you do not expect to deliver any Outputs)
9. Select the first 'Add Another' button to add another year under this Output category;
10. Select the year from the dropdown menu;
11. Repeat steps 8 - 10 until you have completed all quarterly figures, for each year covered by that specific Output category.

To input the quarterly profiles for your next Output category you will then need to **Select 'Add Another Deliverable'**. This will generate a new set of fields for your next Output/Result – you will then need to repeat 1 – 11 above as many times as it takes to record profile figures for each of your individual Output categories.

If your ESF Project will cover more than one Category of Region, and/or more than one Investment Priority, **you will need to repeat these steps** separately for each set of Output profiles for each Category of Region and/or Investment Priority as per the Notes section below.

Recording your 'Result' target profiles:

In the same screen, you will need to follow the same steps you have just taken to record your Output profiles, but this time ensuring you select the 'Result' radio button in each case.

1. Select 'Add Another Deliverable'.
2. Select the correct Priority Axis option from the drop-down menu.
3. Select the correct Investment Priority option from the drop-down menu.
4. For Type, select 'Result'.
5. For Indicator, select your first Result category from the drop-down menu, ensuring you select the Result category with the correct Category of Region suffix if your Project will be delivering in more than one Category of Region;
6. Select the Category of Region according to the Indicator Annex being used.
7. Select the correct LEP area form the drop-down menu.
8. Select the first year where you have Result figures to record.
9. Input the quarterly figures for that year from the Results tab (again, please note – the ECLAIMS IT system will not accept a part year, therefore you will need to input zeros for any quarterly fields where you do not expect to deliver any Results)
10. Select the first 'Add Another' button to add another year under this Result category;
11. Select the year from the dropdown menu;
12. Repeat steps 8 - 11 until you have completed all quarterly figures, for each year covered by that Result category.

To input the quarterly profiles for your next Result category you will then need to **Select 'Add Another Deliverable'** and **repeat steps 1 – 12 above**.

Again, if your ESF Project will be covering more than one Category of Region, and/or more than one Investment Priority, you will need to repeat these steps separately for each set of Result profiles for each Category of Region and/or Investment Priority as per the Notes section below.

NOTE: It is not sufficient to base your output and result forecasts solely on the proportion of outputs and results set out in the call specification. It should be clear to the Appraiser how you have considered the specifics of your individual project in your calculations, including any base-lining or other comparative sources of information you have used in arriving at your estimates.

It is also not sufficient to provide 'flat-rate' profiles of outputs or results, your forecasts should instead reflect any relevant 'start-up' period and also the need to wind-down your project in advance of the Financial Completion Date,

---

as well as the anticipated lifespan from engagement of new participants to achievement of relevant results.

As outputs and results represent a critical consideration around the initial and ongoing value for money of your project, it is important that your forecasts are realistic and achievable to reduce the risk of financial penalties and/or formal under-performance action against your ESF Project at a later date if you are awarded an ESF Funding Agreement.

Male/Female Participant Output Figures:

For calls which include 'Output' indicators "(O1) Total Participants", "(O2) Participants (below 25 years of age) who are unemployed or inactive", "(YEI-08) Participants (below 25 years of age) who are unemployed OR inactive (not in education or training)" and/or "(YEI-03) Participants (aged 25-29) who are unemployed OR inactive (not in education or training)", you will need to record separate quarterly profiles for Male Participants and separate quarterly profiles for Female participants **in addition to** recording the total overall participant figure per quarter for these output categories.

Where separate Male & Female Participant profiles are required, you **must** ensure that your Total Men output figures + Total Women output figures equal the Total Participants output figures for each profiled quarter, as well as overall for your Project.

Categories of Region Suffix:

In some cases, the available Output and Result categories in the ECLAIMS IT system drop-down list may have a suffix:

L = Less Developed Category of Region
T = Transition Category of Region
M – More Developed Category of Region

In each case, if your Project will be delivering in more than one Category of Region, when selecting the relevant Output and/or Result category, please ensure you select the ones with the correct suffix, ensuring you record figures for each Output and Result category per Category of Region.

Finally, if you are awarded ESF Funding, you will need to collect and retain mandatory documentary evidence in support of each output and result. You will need to be able to provide this evidence when requested by the ESF Managing Authority and/or Auditors. Where evidence is unavailable, or where a Project fails to deliver agreed outputs and results, repayment or withdrawal of the European Structural & Investment Funds may be considered. The 'ESF Data Evidence Requirements' guidance on GOV.UK explains this in more detail.

Multiple Categories or Region and/or Investment Priorities:

If your project is expecting to deliver across more than one Investment Priority and/or more than one Category of Region, you should ensure you record output and result profiles for each Investment Priority per Category of Region. For example:

> **Project A** is delivering against Investment Priority 1.1 across both Transition and More Developed Categories of Region. In this Results and Outputs Screen they therefore need to record a set of profiles per output and result category for Investment Priority 1.1 Transition, as well as a separate set of profiles per output and result category for Investment Priority 1.1 More Developed.

> **Project B** is delivering against Investment Priority 1.1 & Investment Priority 1.2 but in a single, More Developed Category of Region. In this Results and Outputs Screen they therefore need to record a set of profiles per output and result category for Investment Priority 1.1 More Developed, as well as a separate set of profiles per output and result category for Investment Priority 1.2 More Developed.

> **Project C** is delivering against Investment Priority 2.1 and Investment Priority 2.2 across both Transition and More Developed Categories of Region. In this Results and Outputs Screen they therefore need to record a set of profiles per output and result category for:

> - o Investment Priority 2.1 More Developed
> - o Investment Priority 2.1 Transition
> - o Investment Priority 2.2 More Developed
> - o Investment Priority 2.2 Transition

Investment Priority 2.2:

ESF applicants applying for funding under Investment Priority 2.2 must Provide Output target figures for "CO23 Number of supported micro, Small and Medium-sized Enterprises (including cooperative enterprises, enterprises of the social economy)" and also for "O1 - Total Number of Participants".

Target forecasts for CO23 must be recorded directly into the 'Deliverables – Results and Outputs' screen in ECLAIMS.

However, the target figure for "O1 Total Participants" should not be recorded in this screen, instead you must record your intended output target for this in in the separate Investment Priority 2.2 Annex, which is available on GOV.UK. You should then upload this additional Investment Priority 2.2 Annex as a mandatory supporting document in ECLAIMS as part of your Full Application.

Indicator Annex Supporting Document:

Unless stated otherwise in the call specification, you do not have to upload a separate ESF Indicator Annex as part of your online Full Application.

Finally, before leaving this page, you need to scroll down to the bottom of the page where you will see the summary tables for all of the Outputs and Results you have just recorded.

Please check the summary tables include all of the output and result categories you are intending to deliver against and that your figures for each category are correct before proceeding any further.

Once you are satisfied that all of your Outputs and Results have been recorded accurately, **select "Save and continue".**

5.16 Control – Governance Screen

This screen must be completed in all cases.

This screen is where you will need to fully describe the project management and control systems that will be established for the project, demonstrating that the project (including any delivery partners) has the appropriate capacity to meet the requirements of ESF.

All of the responses in this screen are narrative, free text box responses.

Questions 7 & 9 are only applicable if your ESF Project will have Delivery Partners and/or Sub-Contractors. Please record N/A if one or both of these questions are not relevant to your Project.

If your project will have Delivery Partners, please ensure your responses to all of the questions in this screen explain the arrangements from both the lead applicant and delivery partner perspectives.

> **Question 1:** Identify which posts are not 100% funded by the project.
>
> **Question 2:** How is the team set up to manage and deliver the project?
>
> **Question 3:** What resources, expertise, skills, responsibilities and experience do they have?
>
> **Question 4:** Will existing staff be employed, or will new staff be openly recruited (if yes, how)?

Question 5: What are the reporting lines and accountabilities of individual posts?

Question 6: If this application form has been drafted by individuals who will not be involved in the delivery of the project, how will you ensure that the project delivery team understands the rationale and detail of the project?

Question 7: If applicable, how will you ensure that Delivery Partner(s) comply with the requirements of ESI funding? How will you monitor and manage the performance of Delivery Partner(s) and or sub-contractor(s)?

Question 8: Please describe how you will collate, calculate and verify deliverables to ensure that interventions are recorded and an audit trail is retained to prove their validity.

Question 9: If your project will have Delivery Partners or Sub-Contractors, you should also describe the processes you and they will follow to ensure full, effective project management and governance. This includes how you will ensure that Delivery Partners and/or Sub-Contractors are fully up-skilled in the needs of your project, their responsibilities and also the detailed, specific compliance requirements of delivering an ESF Project.

Question 10: For ESF Only – Please also include an explanation on how your project will deal with suspected fraud, in line with published ESF Anti-Fraud guidance. This includes providing a statement on how you will deal with suspected fraud in your organisation and if appropriate, with your sub-contractors.

NOTE: Please refer to job titles rather than the actual names of individuals when describing your project management and governance arrangements and responsibilities in this screen.

Anti-Fraud:

Please also include an explanation on how your project will deal with suspected fraud, in line with published ESF Anti-Fraud guidance. This includes providing a statement on how you will deal with suspected fraud in your organisation and if appropriate, with your sub-contractors.

Supporting Documents:

For all ESF Projects, the following documents **must** be uploaded in the 'Supporting Documents Checklist' section of your Full Application to accompany your responses:

- **Sample Job Description(s)** – at least 1 per lead applicant and 1 per each Delivery Partner;
- **Organogram** – covering all ESF and match-funded posts for your ESF Project, ensuring the ESF and match-funded job roles in your Organogram are the same job roles included in your Granular Budget;
- **Sample HR Letter** – in line with the ESF National Eligibility Rules
- **Anti-Fraud Statement** – in line with ESF Anti-Fraud Guidance requirements;
- **Draft Service Level Agreement** – if your project will have one or more Delivery Partners;
- **Sample Timesheet** – if your ESF Project will have staff working part of their time on the project.

Once you are content you have provided full, detailed and relevant responses to each of the questions in this screen, **select 'Save and Continue'.**

5.17 Compliance – National Eligibility Rules Screen

This screen **must** be completed in all cases.

This screen contains a single question:

> **Question 1:** What checks will be carried out to ensure the business benefitting from the proposal or individuals engaged as part of the proposal are eligible and belong to the target group?

When providing your response, if your Project will have Delivery Partners and/or Sub-Contractors please explain how you will ensure these organisations will undertake the relevant checks, in addition to explaining how your own organisation will ensure eligibility of individual participants (or SME organisations if delivering under Investment Priority 2.2).

You should refer to the 'ESF Data Evidence Requirements' guidance and ESF National Eligibility Rules on GOV.UK to inform your response to this question.

Once you are content you have provided a full, detailed and relevant response to this question, **select 'Save and Continue'**.

5.18 Compliance – General Compliance Screen

This screen **must** be completed in all cases.

This screen contains a single question:

Question 1: Describe the controls put in place by the applicant to check that it is maintaining each of the compliance requirements during the delivery of the project.

This question is asking how you are going to ensuring ongoing compliance with State Aid, Procurement, Eligibility and other compliance-related elements of your ESF Project throughout its lifetime.

When providing your response, if your Project will have Delivery Partners and/or Sub-Contractors please explain how you will ensure these organisations maintain ongoing compliance, in addition to your own organisation.

Once you are content you have provided a full, detailed and relevant response to this question, **select 'Save and Continue'**.

CRITICAL NOTE: The following sections on Procurement and State Aid are technical and have historically been the cause of financial irregularity. As a result, you may want to seek independent advice to inform your responses.

If you do not take independent advice your responses should be consistent with the level of detail you would obtain from independent advice.

You can upload your independent advice as a supporting document in each case if you wish.

5.19 Compliance – Procurement Screen

You do not need to complete this screen if your ESF Project will be using 40% Flat Rate Indirect Cost Option.

In all other cases, you **mus**t complete this screen and the associated ECLAIMS Procurement Register if you have already undertaken or plan to undertake procurement in connection with your ESF Project.

NOTE: If this screen is relevant to your ESF Project, it is recommended that you complete all of the narrative boxes and radio button questions in the main screen, before selecting the 'Edit Procurement Register' option.

The 'Edit Procurement Register' option takes you to a separate screen where you will need to record details of each individual existing or planned procurement exercise.

It is critical that you have read and understood the European Structural & Investment Funds requirements for procurement, as set out in the published
European Structural and Investment Funds National Procurement

---

[Requirements](#) and that you/your Delivery Partner(s) can meet the relevant requirements.

Starting at the top of the main Procurement screen, you will need to confirm whether your organisation is a 'Contracting Authority' or not.

If you are not sure you should refer to the [ESIF National Procurement Requirements published on GOV.UK](#) and/or obtain independent advice to determine the correct status of your organisation.

The next 2 radio button questions on this screen are asking if you have completed the ECLAIMS Procurement Register – the first question relates to recording details of **existing** procurement exercises where contracts have already been awarded. The second, similar question relates to recording details of **planned** procurement exercises you intend to undertake in future.

If there are no existing procurement exercises relevant to your project, **leave the radio buttons blank** and instead record **'N/A'** in the comments box for that question.

Likewise, if there are no future/planned procurement exercises relevant to your project, **leave those radio buttons blank** and instead record **'N/A'** in the comments box for that question.

NOTE: As soon as you select 'Yes' or 'No' under either of these radio button questions, the 'Edit Procurement Register' link will disappear and you will get an on-screen message saying "You will not be able to access your Procurement Register……until your application is saved".

To clear this message and re-activate the 'Edit Procurement Register' link, **select the blue 'Save Draft' button.** This will save the current draft of your Full Application and re-instate the 'Edit Procurement Register' option.

You will not be able to access your Procurement Register or other supplementary data sections until your application is saved. Please save your application to enable these links.

Save Draft
Comments

Scrolling down the screen, the next narrative response asks to you:

Describe the system that will be put in place to:

Test that the contracts listed in procurement sub section can demonstrate compliance with procurement law

Plan the tender processes listed in procurement sub section to ensure that they comply with procurement law including:

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

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

Please provide further information on any contracts you have referred in procurement sub section in which there has been a single tender action, the use of a framework or dynamic purchasing system (in particular if this has not been set up by the applicant) or where the contract has been extended.

The final question on the main screen, before you access and edit the Procurement Register itself is:

Confirm that you have read and understood the European Structural & Investment Funds requirements for procurement, as set out in the published European Structural and Investment Funds National Procurement Requirements and that you/your Delivery Partner(s) can meet the relevant requirements.

Completing the ECLAIMS Procurement Register:

Selecting 'Edit Procurement Register' from the main Procurement Screen will take you to a new screen where you can see and edit a list of the individual procurement exercises relevant to your ESF Project.

When you go into this screen for the first time, the list will be blank. You will need to use the **'Add New Record'** button to record each individual procurement exercise one-by one.

Options Menu

Manage Project
Procurement Register
Asset Register
Full Application
Project Documents
Visit Queries

Procurement Register

Show 10 ∨ entries

Procurement Record ID	Status	Description	Name Of Supplier	Date Of Contract/ Purchase	Procurement Start Date	Total Value Of Contract	Procurement method	Last Updated
We were unable to find any Procurement Register for this search.								

Showing 0 to 0 of 0 entries
Add new record

When you select 'Add New Record', the ECLAIMS IT system will then display a new set of specific fields where you can record the following information per individual procurement exercise:

- Status of procurement – 'Completed', 'Planned' or 'Not applicable to project'

- Description of works, supplies or services procured or to be procured under the contract
- Name of supplier
- Reference Number – *this should be any reference number you/your organisation use or intend to use for this procurement exercise.*
- Date of Contract/Purchase *(if already awarded)*
- Date the procurement process started/is expected to start *(if a planned/future procurement)*
- Has all project expenditure related to this procurement been claimed? – Yes/No
- Supplies, services or works?
- Total value of contract - *(if already awarded)*
- Will the contract only be used to provide works, supplies or services to the Project? – Yes/No
- Anticipated value of works, supplies or services which will be provided to the project under the contract *(if a planned/future procurement)*
- Procurement Method – *(a drop-down list, with the options Eligible Preferred Supplier, Formal Tender, Framework - Direct Award, Framework - Formal Tender, Framework - Mini Competition, OJEU Notice, Other, Single Tender Action, Written Quote)*
- How and where will/has the contract be/been advertised?
- If complete, does your organisation hold all the relevant procurement documents? – Yes/No

In addition, if the existing or future/planned procurement exercise being recorded is linked to a Procurement Framework, you also need to record the following information on this screen:

- Framework Title
- Framework Owner
- Framework Start
- Framework End
- Framework Value

Once you have completed all of the details for your first procurement exercise, **selecting 'Save'** will store this information in your Full Application screens and the ECLAIMS IT system will return you back to the Procurement Register list screen where your newly added procurement exercise will be visible.

Procurement Register

Show 10 ⌄ entries

Procurement Record ID	Status	Description	Name Of Supplier	Date Of Contract/ Purchase	Procurement Start Date	Total Value Of Contract	Procurement method	Last Updated	
1	Completed	Procurement example 1	Procurement example 1	01/01/2019		100000	Other	10/04/2019	Edit

Showing 1 to 1 of 1 entries   1

Add new record

If you have more existing or future/planned procurement exercises to add to the Procurement Register, use the **'Add New Record'** button again, complete the more detailed information for that procurement exercise and **select 'Save'** again.

Repeat these steps until you have recorded all of your existing and/or planned procurement exercises for your ESF Project.

> **NOTE:** The first record you add will be automatically allocated Procurement Record ID '1' with each additional procurement following on sequentially.
>
> It is advisable to select save between adding each new record to ensure no input is lost.

Once you have finished completing all the relevant information in the ECLAIMS Procurement Register you will need to navigate back to your main Full Applications screen in order to 'Resume' and continue completing any remaining Procurement information and/or continue completing the remaining sections of your Full Application.

To navigate back to your Full Application, scroll up to the black bar at the very top of the ECLAIMS Procurement Register screen and **select 'Applications'**.

E-CLAIMS
FAQ   Contact Us   Logout (external4@DATAMARTPERF.LOCAL)
Applications
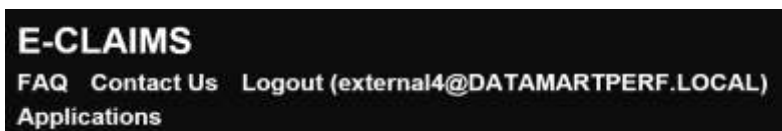
This will take you back to your main ECLAIMS IT system homepage where you will see your Full Application listed in the 'My Tasks' section. Select 'Resume'.

Welcome External 4

New Applications:
To start a new application you will be asked to select the call to which your organisation wishes to apply. You can create, edit and save the draft application as many times as you need before submitting it for assessment.

View the call list prior to making application

My tasks

Show 10 ∨ entries

Reference Number	Project Name	Call	Last Edited	Status	Type	
	JD Applicant Guidance	OC01900C0158	10/04/2019 14:51	draft	application	Resume

You will then be back at the main 'Application Index' screen for your project where you can **select 'Edit'** against the 'Compliance' menu option.

You will then need to **select 'Save and Continue'** through the initial 'Compliance' screens you have already completed until you get to the Procurement screen if you still have final entries to record in this main screen or you can **select 'Save and Continue'** once more to move onto State Aid.

5.20 Compliance – State Aid Screen

This screen **must** be completed in all cases**.**

The top section of this screen consists of 3 questions:

> **Question 1:** describe the systems that will manage any State Aid requirements.
>
> **Question 2:** Please list all the organisations (if known) which may benefit from the funding of the project. If they are not known, list the types of organisations that might benefit from the funding.
>
> **Question 3:** For each potential beneficiary (including the applicant and any Delivery Partners) identify whether they meet the State Aid test. If you believe a potential beneficiary is outside the scope of State Aid, please provide the reasons. Applicants may wish to refer to the European Commission's "Notion of State Aid" guidance and the Department for Communities and Local Government's ERDF guidance on State Aid law.

State Aid has been interpreted by the European Commission to include any transfer of state resources that favour one or more organisations 'undertaking' a commercial activity as this could result in a competitive advantage that could not have occurred under normal market conditions.

You should work though the State Aid test for each level of funding.

In completing this section, you may find it helpful to refer to the published European Social Fund 2014 to 2020 State Aid Guidance on GOV.UK.

In the next part of the screen, if you have determined that one or more of your project beneficiaries will be regarded as being in receipt of State Aid, you need to then complete the next set of fields for each individual beneficiary or class of beneficiaries.

Use the **'Add Another Beneficiary'** button if you have more than one set of details to record.

For each beneficiary that the applicant regards as being in receipt of State Aid, identify which exemption(s) they will be using to provide the aid in accordance with State Aid law.

Name of beneficiary or class of beneficiaries

Name of exemption

Scheme reference number

Add Another Beneficiary

If you are proposing that your ESF Project will be delivered under the General Block Exemption arrangements for State Aid, please complete the next narrative box in this screen with the details required, ensuring you upload any relevant supporting documentation for this element before submitting your Full Application.

Where a project is funded under an exemption based on the General Block Exemption Regulations (651/2008), the Applicant is required to either (a) confirm that the project falls within the scope of Regulation 6(5) or (b) to submit a separate document to demonstrate incentive effect in line with Regulation 6(2) containing the following information:
(a) the applicant undertaking's name and size
(b) a brief description of the project, including start and end dates
(c) the location of the project
(d) a full list of the project costs used to determine the allowable level of funding
(e) the form of the aid
(f) the amount of public money needed for the project.

You can then move on to complete the remainder of this screen.

Where the Applicant intends to use exemption(s) to deliver the Project, the applicant confirms that they have read the terms of the scheme and meet all the relevant terms.

◯ Yes   ◯ No

The Applicant confirms that they are not subject to an outstanding recovery order in respect of State Aid.

◯ Yes   ◯ No

If you intend to use De Minimis, please outline what work has been undertaken to ensure that this is the most appropriate mechanism.

For projects which involve vouchers / grants, what system will be put in place to assess the eligibility of beneficiaries, activities, costs, and compliance with aid intensity levels prior to the intervention?

Describe the system in place for collecting and recording the required information for audits and returns?

NOTE: It is your legal responsibility to ensure that you comply with State Aid law. European Social Fund grant recipients must take responsibility for and manage State Aid issues connected with their ESF Project.

Article 107(1) of the Treaty on the Functioning of the European Union provides that: "Save as otherwise provided in the Treaties, any aid granted by a Member State or through state resources in any form whatsoever which distorts or threatens to distort competition by favouring certain undertakings or the production of certain goods shall, in so far as it affects trade between Member States, be incompatible with the internal market." Grant funding to any economic undertaking which is state aid can only be awarded if it is compatible aid, in that it complies with the terms of a notified scheme or is covered by the De Minimis Regulation.

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

At Full Application stage, you should have a firm and fully developed case to make with regards to State Aid compliance. If you don't believe there to be any State Aid, it should be stated and fully justified here. The Managing Authority may ask to see independent verification of this position. If you are of the view that the Project constitutes State Aid, you should explain how you intend to deliver this through a lawful mechanism (i.e. a nominated scheme or exemption). The Managing Authority may wish to see independent verification of this position.

Once you have completed all of the relevant State Aid information for your ESF Project, **select 'Save and Continue'**

5.21 Compliance – Publicity Screen

This screen **must** be completed in all cases.

This screen has 2 questions, each requiring a narrative response:

Question 1: How will the project meet ESF publicity requirements?

Question 2: For projects with a retrospective start date, please provide confirmation and evidence to show how you have complied with these requirements to date

The Branding and Publicity requirements for the 2014 -2020 European Regional Development Fund and the European Social Fund are published on GOV.UK.

You should explain how your project will comply with these publicity requirements with effect from the proposed start date of your project. If your project will have Delivery Partners and/or Sub-Contractors, you should also explain how you will ensure they will comply with these mandatory publicity requirements.

NOTE: Failure to comply with the Branding and Publicity requirements for the 2014 -2020 European Social Fund can result in financial penalty up to the total value of any ESF Funding awarded to your project.

Once you have completed your full, detailed and relevant responses to each of these questions, **select 'Save and Continue'**.

5.22 Supporting Documents Checklist Screen

This screen **must** be completed in all cases.

Annex B of this guidance sets out the mandatory supporting documents which **must** be uploaded into the ECLAIMS IT system as part of your Full Application.

The same Annex also lists a number of optional supporting documents which **must** be provided if the conditions described in the Annex apply to your project e.g. if your project will have Delivery Partners, you need to upload a draft Service Level Agreement or similar document as part of your Full Application.

> **NOTE:** You will need to upload each individual document one-by-one.
>
> Annex B sets out the File Categories and File Descriptions to be used in each case when uploading mandatory or optional supporting documents required as part of your Full Application, as well as the version control pattern to be followed.
>
> **Please ensure you use these naming and versioning conventions.**

Some of the supporting documents have their own specific uploading area within the ECLAIMS Supporting Documents Checklist screen. For example:
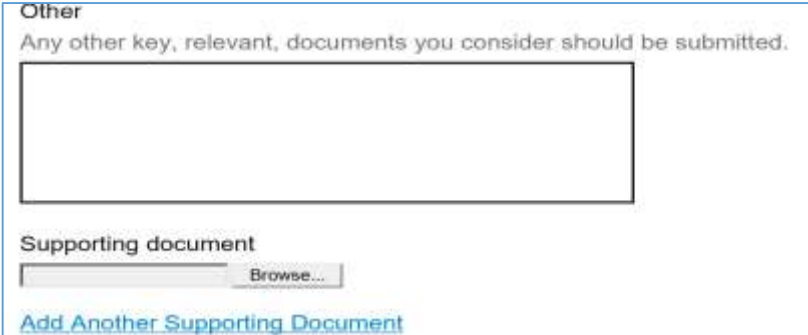
Any document which does not have its own, named section in this screen should be uploaded under the 'Other' section towards the bottom of the screen.
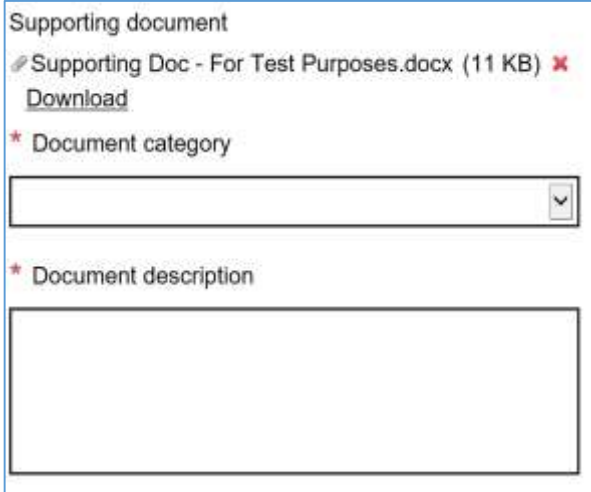
In all cases to find, select and upload each document you need to **click** on the **'Browse'** button.

This will then bring up a browser window where you can navigate to the relevant document stored in your own or your organisation's electronic folder(s).

Once you have located the relevant document select it and then **click 'open'** in the same browser window.

This will trigger the ECLAIMS IT system to upload the relevant document and you should see the document displayed as follows:

You can then select the relevant Document Category from the drop-down list and also type in the Document description, ensuring you align with Annex B in both fields.

If you choose to upload additional supporting documents which are not part of the list at Annex B, please select the 'Other Compliance Document' Document Category option and then give your document a clear, relevant Document Description – using the relevant version control and naming convention principles set out in Annex B.

Once you have uploaded all of your supporting documents, **select 'Save and Continue'.**

This will take you to the final declaration screen.

If you still have outstanding actions to take in other areas of your Full Application before you are ready to submit it to the Managing Authority, **select 'Save and Return to Index'** option. This will take you back to the main 'Application Index' screen where you can access and work on any remaining elements of your Full Application prior to submitting it.
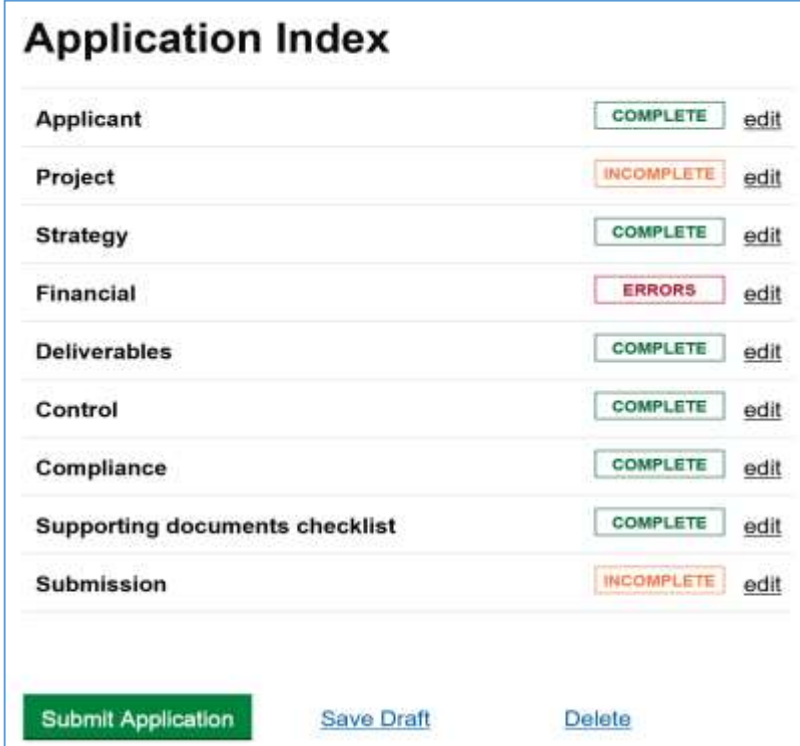
If, once you have uploaded all of your Supporting Documents, you are ready to submit your Full Application, you can instead **select 'Save and Continue'** – this will then take you to the relevant declaration and submission screens.

6. Submit Your Application

You can only submit your Full Application to the ESF Managing Authority once all sections in the 'Application Index' screen is showing as 'Complete'.

If any areas of your Full Application are displaying as having 'Errors' or are showing as 'Incomplete' in the 'Application Index' screen, you cannot submit your application to the ESF Managing Authority.

Instead, you will need to access each of the sections with issues displayed and finish completing those sections and/or correct any remaining errors.

Once the 'Application Index' screen is showing 'Complete' in all sections up to and including the 'Supporting Documents Checklist' section, you can click **'edit to access the 'Submission'** screens and take your final steps to submit your application to the Managing Authority.

The 'Submission' section of the Full Application has 2 pages – the first is the ESF General Data Protection Act and Freedom of Information Act declaration.

You **must** check the confirmation box in this screen in order to progress this application.

Once you have completed the confirmation box on this screen, **select 'Save and Continue'**. This will take you to the next and final declaration screen where you will need to confirm you are authorised to submit the Full Application on behalf of your organisation.

You **must** check the confirmation box in this screen in order to progress this application.

Once you have completed this confirmation box, you can **select the green 'Submit Application'** box at the bottom of this screen.

If your Full Application has no outstanding omissions or errors, you will get a pop-up box asking if you are sure you want to submit your application.
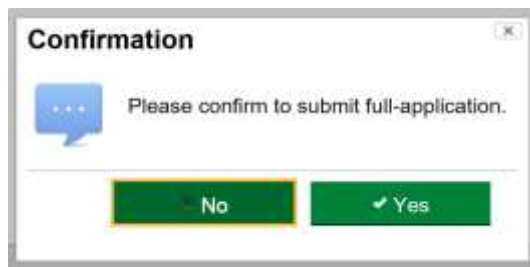
Selecting **'Yes'** will then complete the submission process and you will see a confirmation screen, explaining that your Full Application has been submitted to the Managing Authority and also providing you with your unique ECLAIMS IT system reference number for your ESF Project.
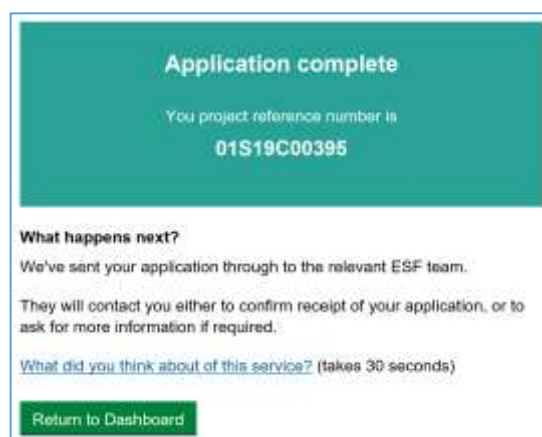
You can then log out of the ECLAIMS IT system or return to your ECLAIMS dashboard/homepage if you have other ESF Projects or Applications to work on.

Application Submission Error:

If you get the pop-up message below when you select the green 'Submit Application' button, your application cannot be submitted as there are outstanding errors or omissions.
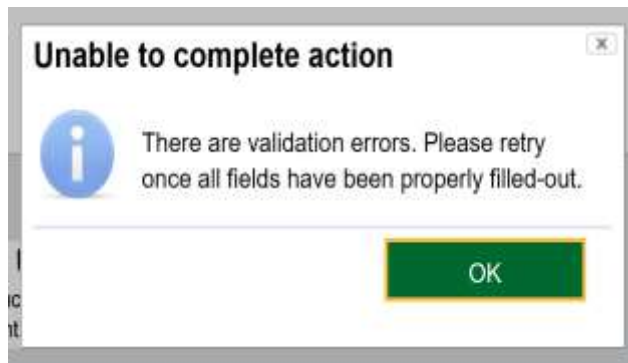
Selecting 'OK' at this point will clear the pop-up message and you will see you are back at the 'Application Index' screen.

You should then **select 'Save Draft'** and continue to work on correcting any remaining errors or omissions before attempting to submit your application once more.

CRITICAL NOTE: Once you have submitted your Full Application to the ESF Managing Authority in the ECLAIMS IT system, you can no longer amend any of the information in that application or submit any additional or revised supporting documents in advance of the appraisal starting, even if the related call is still open.

You **must** therefore ensure that all of your Full Application information is complete and accurate, as well as any supporting documents, **before** completing the submission steps in the ECLAIMS IT system.

---

7. Appraisal Process - Gateway Assessment

For each ESF Direct Bid Full Application received after the relevant call closure deadline, the ESF Managing Authority Appraiser will undertake an initial 'Gateway Assessment'.

The Gateway Assessment is a series of fundamental checks to ensure the application and project proposal is fit to progress into the Due Diligence and Full Appraisal stages.

This element of the Appraisal process is non-iterative – in other words, it will be undertaken using only the information provided in the Full Application (including

any supporting documentation) – Appraisers cannot seek additional information from the applicant to inform this element of the appraisal process.

If your Full Application fails the Gateway Assessment, your application will be rejected and your project will not proceed any further in the appraisal process. You will be issued with a notification letter via the ECLAIMS IT system explaining the decision.

If your Full Application passes the Gateway Assessment, the Appraiser will then consider if Due Diligence checks are required.

8. Appraisal Process - Due Diligence

Due diligence checks will be undertaken on all private organisations submitting a Full Application for ESF, however Public Sector Organisations will not usually be subject to Due Diligence checks.

Universities and Further Education Colleges are classified as Non-Profit Institutions Serving Households (NPISH). However, due to the low financial risk, Universities may be treated as public sector organisations and are not therefore subject to Due Diligence checks. Further Education Colleges are not considered the same so due diligence will be undertaken.

ESF Due Diligence checks seek to assess the financial stability and strength of an organisation in the context of its ability to deliver the proposal contained in its bid for funds.

There may be exceptional circumstances when the Appraiser wishes to carry out due diligence checks on a delivery partner. In such cases, the Appraiser will hold a discussion with the lead applicant first, prior to undertaking any checks.

The Appraiser will use the financial accounts, proof of existence, proof of trading and completed FVRA template you have uploaded in the 'Supporting Documents' section of your Full Application in the ECLAIMS IT system to conduct Due Diligence checks.

If the Appraiser needs additional information from you, they will request this via the ECLAIMS IT system and you will need to respond as per Section 9 of this guidance below.

If your Full Application fails the Due Diligence checks, your application will be rejected and your project will not proceed any further in the appraisal process. You will be issued with a notification letter via the ECLAIMS IT system explaining the decision.

If your Full Application passes the Due Diligence checks, the Appraiser will then move onto the remainder of the Full Appraisal process – appraising your application against the ESIF Core Selection Criteria.

9. Appraisal Process - Responding to Appraisal Queries

During any part of the Due Diligence process (if applicable to your application) or during appraisal of your application against the Core Selection Criteria, the Appraiser may need to raise queries with you to clarify information, request additional information or correct any errors in your application.

In all cases, the Appraiser will raise their queries via the ECLAIMS IT system and you will need to record and submit your responses, together with any relevant supporting documentation and/or amended Full Application information, using the ECLAIMS IT system.

There may be a number of queries raised as part of the iterative elements of the appraisal process. In each case, you will need to view and respond to the queries in the ECLAIMS IT system as per the steps below.

9.1 Appraisal Process – Receiving and Viewing an Appraisal query

The Appraiser will notify you via email when there is one or more query for you to answer in the ECLAIMS IT system.

To find the details of the query, you will need to log on to the ECLAIMS IT system. On the first screen you will then see your **Application** in the **'My Tasks'** opening screen, with a status of **'Information Requested'.**

New Applications:
To start a new application you will be asked to select the call to which your organisation wishes to apply. You can create, edit and save the draft application as many times as you need before submitting it for assessment.

View the call list prior to making application

My tasks

Show 10 ∨ entries

Reference Number ^	Project Name	Call	Last Edited	Status	Type	
01S18C00379	JD Test Full	OC01S00C0158	27/03/2019 09:37	information requested	appraisal	Resume

Showing 1 to 1 of 1 entries   1

Click the **'Resume'** link from this first screen will take you to the 'Appraisal Information' screen. From here you can access the detail of your Full Application and also access the 'Additional Information' requested by the Appraiser.

Appraisal Information

Full Application Overview	COMPLETE	edit
Proposed Conditions	COMPLETE	edit
Additional Information	COMPLETE	edit

Submit Info   Save

Selecting 'edit' against the **Additional Information line** of the Appraisal Information screen will take you to the more detailed **'Additional Information' screen** below. This screen will display all current and previous Appraiser questions issued to you, together with any previous responses you have provided and – for new queries – a blank 'Response from Applicant' box for you to complete.

Additional Information

Additional information needed from applicant to complete the appraisal:

Please identify the field in the application form and provide instructions for the applicant to follow in providing additional information

Response Required By:

Day	Month	Year
27	03	2019

Field or Section Name

Test 01

Instructions to applicant

When adding together your total Male Participant figure and total Female Participant figure, the total overall number of participants is less than 'Total Participants' figure you

Response from applicant

9.2 Appraisal Process – How to record a narrative appraisal response in the ECLAIMS IT system

If the question(s) from the Appraiser only need you to provide a narrative response without any supporting documents and/or amendments to your actual

Full Application information, **you can record your narrative response(s) in the 'Response from Applicant' box(es) in the screen above.**

Once you have done this, if there are no further queries to answer, you can **return to the 'Appraisal Information' menu screen** and **select 'Save'** to ensure all of your additional information is captured.

You can then **select the 'Submit Info'** button to send your responses to the Appraiser.

CRITICAL ACTION: As soon as you have submitted your new/revised Full Application information in the ECLAIMS IT system, send an email to your Appraiser confirming you have done this. Please ensure you include your ESF Project name and ECLAIMS Project Reference number in the title of your email.

This will trigger them to log into the ECLAIMS IT system, check your response(s) and continue with their appraisal of your ESF Project.
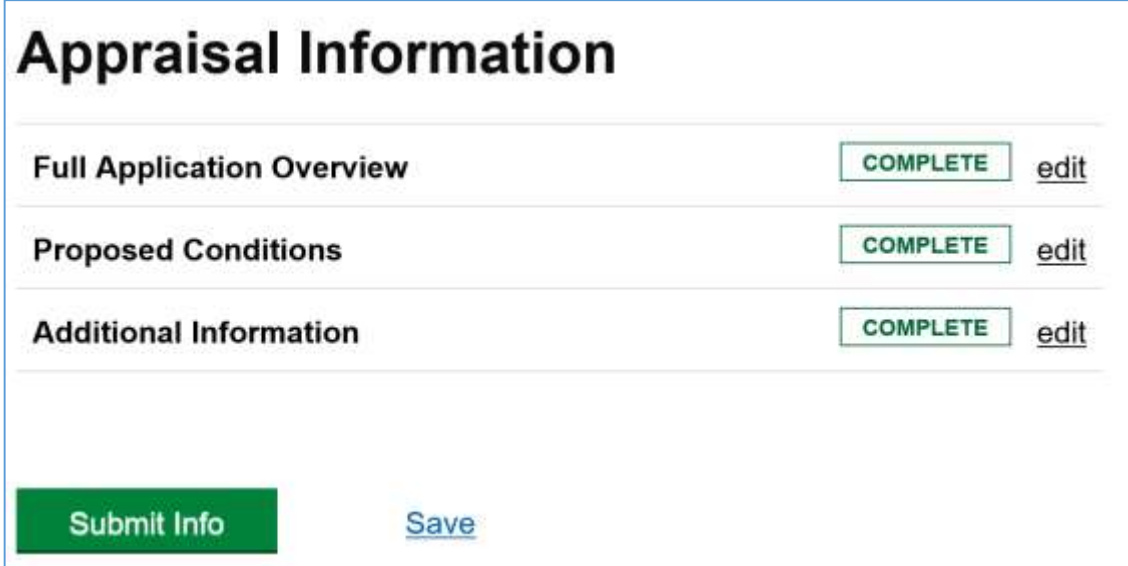
9.3 Appraisal Process – How to amend your Full Application details in the ECLAIMS IT system
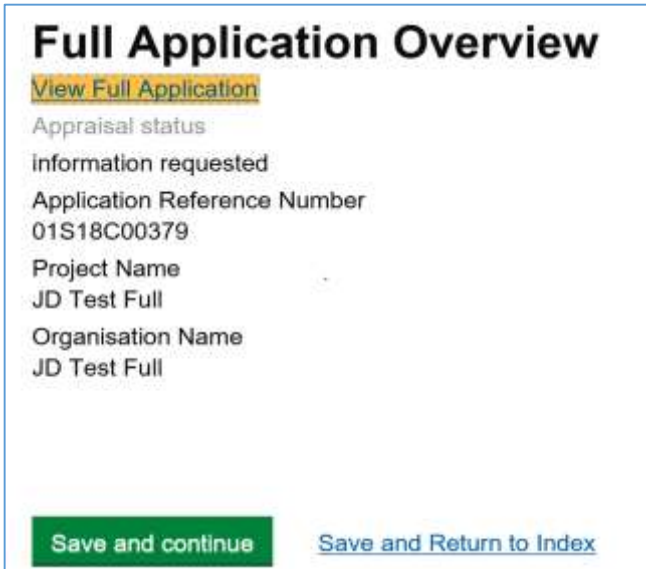
If the question(s) from the Appraiser in the 'Additional Information' screen mean you have to access and amend one or more elements of your Full Application information, you will need to return to the 'Application Information' menu screen.

Appraisal Information

Full Application Overview	COMPLETE	edit
Proposed Conditions	COMPLETE	edit
Additional Information	COMPLETE	edit

Submit Info   Save

From here, selecting 'edit' against the **'Full Application Overview' line** will take you firstly to a **'Full Application Overview' screen**.

Full Application Overview

View Full Application

Appraisal status
information requested

Application Reference Number
01S18C00379

Project Name
JD Test Full

Organisation Name
JD Test Full

Save and continue   Save and Return to Index

From here, **selecting the 'View Full Application'** link will open a new window/tab which will display the following **'Application Index' screen.**

Application Index

Applicant	COMPLETE	edit
Project	COMPLETE	edit
Strategy	COMPLETE	edit
Risks and Issues	COMPLETE	edit
Financial	COMPLETE	edit
Deliverables	COMPLETE	edit
Control	COMPLETE	edit
Compliance	COMPLETE	edit
Supporting documents checklist	COMPLETE	edit
Submission	COMPLETE	edit

Withdraw application   Save

Using the **'edit'** links within this screen you can then access and amend any relevant aspects of your Full Application information.

NOTE: If you amend the start date and/or Financial Completion Date of your project in your Full Application, this may remove some of the Financial Cost Profiles and/or Output and Result profiles you have previously recorded.

Before submitting your amended Full Application, ensure you check all of the Financial screens and Deliverables screens and, if necessary, update your figures accordingly.

Once you have completed all the relevant amendments, you must **select 'Save'** at the bottom of this screen to ensure the changes are applied.

You will then see on-screen confirmation that your changes have been saved successfully.

Application Index

Document saved successfully!

Applicant	COMPLETE	edit
Project	COMPLETE	edit
Strategy	COMPLETE	edit
Risks and Issues	COMPLETE	edit
Financial	COMPLETE	edit
Deliverables	COMPLETE	edit
Control	COMPLETE	edit
Compliance	COMPLETE	edit
Supporting documents checklist	COMPLETE	edit
Submission	COMPLETE	edit

Once you are content that all of your changes have been saved successfully, you will need to close this window/tab and **return to the 'Appraisal Information' menu screen.**

European Union
European
Social Fund

Appraisal Information

Full Application Overview	COMPLETE	edit
Proposed Conditions	COMPLETE	edit
Additional Information	COMPLETE	edit

Submit Info   Save

From here select the **'Additional Information' edit** button and then record in the **'Response from Applicant' field** details of the specific changes you have made to your Full Application details – this will ensure the Appraiser can identify and review your updated Full Application information easily and effectively.

Additional Information

Additional information needed from applicant to complete the appraisal:

Please identify the field in the application form and provide instructions for the applicant to follow in providing additional information

Response Required By:

Day	Month	Year	
27	03	2019	▦

Field or Section Name

Test 01

Instructions to applicant

When adding together your total Male Participant figure and total Female Participant figure, the total overall number of participants is less than 'Total Participants' figure you

Response from applicant

Once you have done this, if there are no further queries to answer, you can **return to the 'Appraisal Information' menu screen** and **select 'Save'** to ensure all of your additional information is captured.

Appraisal Information

Full Application Overview	COMPLETE	edit
Proposed Conditions	COMPLETE	edit
Additional Information	COMPLETE	edit

Submit Info   Save

You can then **select the 'Submit Info'** button to send your responses to the Appraiser.

> **CRITICAL ACTION:** As soon as you have submitted your new/revised Full Application information in the ECLAIMS IT system, send an email to your Appraiser confirming you have done this. Please ensure you include your ESF Project name and ECLAIMS Project Reference number in the title of your email.
>
> This will trigger the Appraiser to log into the ECLAIMS IT system, check your response(s) and continue with their appraisal of your ESF Project.

9.4 Appraisal Process – How to upload a new or revised supporting document

If the question(s) from the Appraiser in the 'Additional Information' screen means you have to submit one or more new or revised supporting documents, you will need to return to the 'Application Information' menu screen to upload these.

Please ensure that you include a version number in the 'File Description' of each document when uploading into the ECLAIMS IT system, starting with 'v1.0' for the original, submitted version. Please also include the uploading date in the format DDMMYYYY in the file description.

If you are asked to provide a revised version of any document by the Appraiser during the appraisal process, please then amend the version number for the

revised/new version accordingly to make it clear which is the most recent version e.g. 'v2.0'.

Appraisal Information

Full Application Overview	COMPLETE	edit
Proposed Conditions	COMPLETE	edit
Additional Information	COMPLETE	edit

Submit Info   Save

From here, selecting 'edit' against the **'Full Application Overview' line** will take you to the **'Full Application Overview' screen**.

Full Application Overview

View Full Application
Appraisal status
information requested
Application Reference Number
01S18C00379
Project Name
JD Test Full
Organisation Name
JD Test Full

Save and continue   Save and Return to Index

From here, **selecting the 'View Full Application'** link will open a new window/tab which will display the following **'Application Index' screen.**

Using the **'edit' link against the 'Supporting Document Checklist' line** within this screen will then take you to the Supporting Documents screen where you can upload your new and/or amended supporting document(s).

NOTE: When uploading new or revised supporting documents please **do not delete** any supporting documents previously submitted to the Appraiser, even if these have been identified as incorrect. It is critical that there is a full audit trail in the ECLAIMS IT system of all original and subsequent supporting documents.

Once you have uploaded all of your new/revised supporting documents, **select 'Save and Return to Index'**. This will **return you to the 'Application Index' screen.**

You must **select 'Save'** at the bottom of this screen to ensure the changes, including any new/revised supporting documents are retained in the ECLAIMS IT system.

You will then see on-screen confirmation that your changes have been saved successfully.

Application Index

Document saved successfully!

Applicant	COMPLETE	edit
Project	COMPLETE	edit
Strategy	COMPLETE	edit
Risks and Issues	COMPLETE	edit
Financial	COMPLETE	edit
Deliverables	COMPLETE	edit
Control	COMPLETE	edit
Compliance	COMPLETE	edit
Supporting documents checklist	COMPLETE	edit
Submission	COMPLETE	edit

To submit your new/revised supporting document to the Appraiser, you will then need to go back to your ECLAIMS homepage and **select 'Resume'** against your ESF application.

From the 'Appraisal Information' screen for that application you will then need to **select 'edit'** against the 'Additional Information' menu item and then record a response against the relevant appraisal query entry in that screen confirming that you have attached new and/or amended supporting documentation.

CRITICAL ACTION:

As soon as you have submitted your new/revised Full Application information in the ECLAIMS IT system, send an email to your Appraiser confirming you have done this. Please ensure you include your ESF Project name and ECLAIMS Project Reference number in the title of your email.

This will trigger the Appraiser to log into the ECLAIMS IT system, to check your response(s) and continue with their appraisal of your ESF Project.

9.5 Appraisal Process – How to access a list or table of appraisal questions in the 'Project Documents' screen.

In some cases, the Appraiser may need to send you a list or table of appraisal questions for consideration. They will do this by uploading a single, collated document in the 'Project Documents' section of the ECLAIMS IT system and then ask you to refer to this document when actioning the relevant responses.

To find the 'Project Documents' screen in the ECLAIMS IT system you will need to take the following steps.

From the 'My Tasks' section of your main ECLAIMS homepage, use 'Control + C' keys on your keyboard to **copy the 'Reference Number'** for your project.

New Applications:

To start a new application you will be asked to select the call to which your organisation wishes to apply. You can create, edit and save the draft application as many times as you need before submitting it for assessment.

View the call list prior to making application

My tasks

Show 10 ∨ entries

Reference Number *	Project Name	Call	Last Edited	Status	Type	
01S18C00379	JD Test Full	OC01S00C0158	27/03/2019 09:37	information requested	appraisal	Resume

Showing 1 to 1 of 1 entries

1

Then scroll down to the 'Projects' section of this same homepage and **paste the relevant project reference number into the search box** (either by Control +V keys on your keyboard or right click in the box and select paste). This will then display the project in this section of the homepage with a status of 'pipeline'.

Projects

Show 10 ∨ entries

Reference	Project Name		Status	Last Edited	
			pipeline	24/07/2017 12:02	View
			pipeline	13/02/2017 11:49	View
			pipeline	15/03/2017 14:40	View

Selecting 'view' next to that project will then take you to the main homepage for this specific ESF Project. Scrolling to the bottom of that page, you will see a section called 'Project Documents'. Displayed here will be a list of all supporting documentation relevant to your project, including documents uploaded by the Appraiser as well as yourself.

Selecting 'view' next to the query document uploaded by the Appraiser will allow you to download that document so you can save and/or print it, allowing you to then work on resolving the relevant queries.

Project Documents:

Add a document

Show [10 ▾] entries

Date added ▲	Document description	Document category	Added by	
29/03/2019 10:57	Appraisal Questions - Round 1	Appraisal clarifications (emails, re-submissions as appraisal is iterative)	Internal 4	view
29/03/2019 10:57	Appraisal Questions - Round 1	Appraisal clarifications (emails, re-submissions as appraisal is iterative)	Internal 4	view

Showing 1 to 2 of 2 entries   1

When responding to the queries contained in that document, please ensure you use the appraisal query response screens as per Sections 9.1 to 9.4 of this guidance.

If the Appraiser has asked you to return an updated version of the Appraisal questions document as part of your overall responses, please upload this into the ECLAIMS IT system as a supporting document as per Section 8.4 of this guidance.

9.6 Appraisal Process – How to submit your Appraisal Query Responses

Once you have recorded your responses to each 'Additional Information' query raised by the Appraiser and made any amendments to your Full Application information and/or uploaded any new or revised supporting documents, you will need to **submit the changes to the Appraiser**.

From the **'Appraisal Information' screen**, **select 'Save'** to ensure all of your changes are fully captured in the ECLAIMS IT system, then **select the green 'Submit Info' button.**

European Union
European
Social Fund

Appraisal Information

Full Application Overview	COMPLETE	edit
Proposed Conditions	COMPLETE	edit
Additional Information	COMPLETE	edit

Submit Info   Save

You will then get a pop-up message asking if you are sure you want to submit your additional information.

Selecting 'no' will return you to the 'Appraisal Information' screen so you can continue with any further amendments.

Selecting 'OK' will submit your changes to the Appraiser.

Appraisal Information

Full Application Overview	COMPLETE	edit
Additional Information	COMPLETE	edit

Submit Info

Confirmation

Are you sure you want to submit this additional information to the appraiser?

OK   Cancel

Once your revised information has been submitted to the Appraiser, the ECLAIMS IT system will automatically return you to your main ECLAIMS homepage.

Your updated Full Application will then no longer be showing in the **'My Tasks'** section of this page – instead it will have moved to the **'Existing Applications' section** of the homepage and will be showing a status of **'Information Submitted'**.

CRITICAL ACTION:

As soon as you have submitted your new/revised Full Application information in the ECLAIMS IT system, send an email to your Appraiser confirming you have done this. Please ensure you include your ESF Project name and ECLAIMS Project Reference number in the title of your email.

This will trigger the Appraiser to log into the ECLAIMS IT system, to check your response(s) and continue with their appraisal of your ESF Project.

10. Funding Decision

If your Full Application is unsuccessful at any stage in the Appraisal process – including Gateway Assessment or Due Diligence stages, you will receive an email from the Appraiser confirming that a decision has been made on your Full Application.

The email will then ask to you access the ECLAIMS IT system to view the relevant notification letter.

11. Funding Agreement Action

If you have received a letter confirming you have been successful in achieving an offer of ESF funding, the next step will be putting in place a signed ESF Funding Agreement.

Your ESF Appraiser will prepare a Funding Agreement for your project and will upload the unsigned version into the ECLAIMS IT system for your action.

They will notify you via email when the unsigned Funding Agreement is available in the ECLAIMS IT system.

To access and action the Funding Agreement, you will need to follow the steps below.
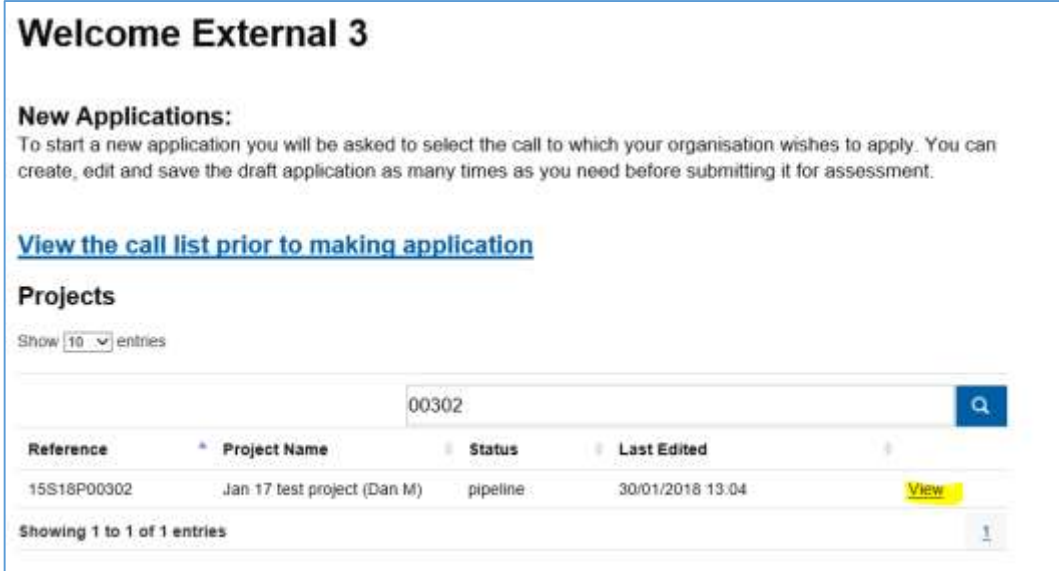
If there is any action you need to take in between a funding decision being made and a Funding Agreement being prepared, your Appraiser will let you know via email.

Such actions are usually called 'Pre-Funding Agreement Conditions' and, if set by your Appraiser, they will need to be addressed before a Funding Agreement can be put in place.

11.1 Accessing your Unsigned ESF Funding Agreement in the ECLAIMS IT system

Log on to the ECLAIMS IT system using your existing username, and then **scroll to the 'Projects'** section of your ECLAIMS homepage.

Your ESF Project will be in this section and will be showing a Status of 'Pipe-line'. If you have a large number of existing ESIF projects, you may need to search for your specific project using the search function in this section. You can use your project name, or part or all of the ECLAIMS IT system unique reference number to do this.

When you have identified the correct ESF Project, **click on the 'View'** link. This will take you to the main homepage for that specific project.

On this page, **scroll down 'Project Documents'** section and you should see the following documents in the list. Again, if you cannot see these, you may need to use the search function in this section of the page to find each individual document:

- "Unsigned Funding Agreement"- (*date & version no*)
- "Funding Agreement Cover Letter" – (*date & version no)*
- "Blank Bank Details Form"

In each case, clicking 'view' next to each document will allow you to download each one and save them, ready for printing.

Once you have saved each document you will need to:

a) Read and follow the instructions in the Funding Agreement Cover Letter;

b) Print and sign one copy of the Funding Agreement for your ESF project;

c) Scan the signed copy of your signed Funding Agreement;

d) Upload the signed version of the Funding Agreement into ECLAIMS;

e) Once you have uploaded the signed Funding Agreement, send a confirmation email to ESF1420.CONTRACTAND-BANKQUERIES@DWP.GOV.UK

f) Retain the 'wet signature' copy of the Funding Agreement for your own records and in case of future audit visits.

11.2 How to upload your Signed ESF Funding Agreement into the ECLAIMS IT system

Before uploading your signed, scanned ESF Funding Agreement into ECLAIMS, please ensure that:

- you **have not** pre-dated the Funding Agreement on the 2nd page;

- you **have** signed the Funding Agreement in the correct place;

- the ESF logo is in the top, right hand corner of the Funding Agreement on the front page.

To upload the signed, scanned version of your ESF Funding Agreement into the ECLAIMS IT system, login using your existing username, and then **scroll to the 'Projects' section** of your ECLAIMS homepage.

Again, your ESF Project will be in this section and will be showing a Status of 'Pipeline'. As before, if you have a large number of existing ESIF projects, you may need to search for your specific project using the search function in this section. You can use your project name, or part or all of the ECLAIMS IT system unique reference number to do this.

Welcome External 3

New Applications:
To start a new application you will be asked to select the call to which your organisation wishes to apply. You can create, edit and save the draft application as many times as you need before submitting it for assessment.

View the call list prior to making application

Projects

Show 10 ⌄ entries

Reference	Project Name	Status	Last Edited	
15S18P00302	Jan 17 test project (Dan M)	pipeline	30/01/2018 13:04	View

Showing 1 to 1 of 1 entries

1

When you have identified the correct ESF Project, **click on the 'View'** link. This will take you to the main homepage for that specific project.

On this page, **scroll down 'Project Documents'** section. In this section of the screen **click on the 'Add a Document'** link.

This will bring up a browser window where you can navigate to the location in your PC where the signed, scanned Funding Agreement is stored.

When you have located and selected the signed Funding Agreement for upload, **in the 'File Category' box** in the ECLAIMS IT system **select 'Signed Funding Agreement'** from the drop-down list.

In the **'File Description'** box, please type the following:

- "Grant Recipient Signed Funding Agreement – DD/MM/YYYY – Version X.X".

When recording the **File Description** please ensure that:

- the date is the same date you have uploaded your signed Funding Agreement into the ECLAIMS IT system;

- the version number is the same version number provided by the Managing Authority in the title of the Unsigned Funding Agreement.

Once you have attached the Funding Agreement and completed both the File Category and File Description fields, **select 'Upload File'**.

Project Documents:

Add a document

ESF Funding Agreement.docx | Browse

File Category

Draft Funding Agreement

File Description

Grant Recipient Signed Funding Agreement - 20042019 v1.0 ✕

Upload file | Cancel

Once your signed Funding Agreement has been successfully uploaded into the ECLAIMS IT system, please send a confirmation email to ESF1420.CON-TRACTANDBANKQUERIES@DWP.GOV.UK – ensuring your email contains the full name of your ESF Project and the associated unique ECLAIMS project reference number.

11.3 How to view your final, fully executed Funding Agreement in the ECLAIMS IT system

On receipt of your email confirming you have successfully uploaded your signed Funding Agreement, the Managing Authority will print, sign and date a copy of the same document.

The Managing Authority will then save, scan and uploaded a copy of the final executed Funding Agreement into the ECLAIMS IT system and send you an email to confirm this final action has been taken.

If you want to access and/or save a copy of the fully executed Funding Agreement, you can do this by navigating to the Project Documents page for your specific ESF Project. The final version will then be visible and/or searchable with the name 'Signed Funding Agreement - FINAL', with the relevant version control number documented.

This is the final step in the Application to Funding Agreement process. Your project will then be handed over to an ESF Managing Authority Contract Manager who will be in touch with you separately about their role and next steps in managing your ESF Project.

12. Withdrawing a Full Application

You can **withdraw** your Full Application in the ECLAIMS IT system at any stage before a Funding Agreement is fully signed by yourself and the ESF Managing Authority.

To **withdraw your Full Application**, log into the ECLAIMS IT system and scroll down to the section called 'Existing Applications' on your homepage.
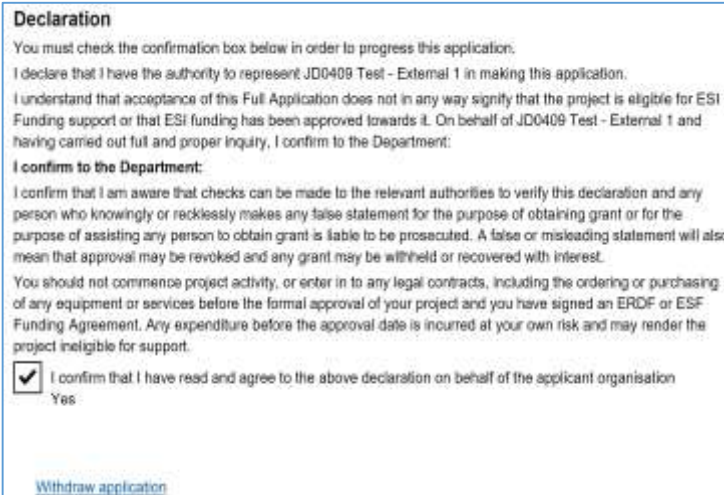
Existing applications

Show [10 v] entries

Reference Number	Project Name	Call	Last Edited	Status	Type	
01S19C00389	JD0409 Test – External 1	OC01S00C0158	05/04/2019 15:58	in progress	appraisal	View application

Showing 1 to 1 of 1 entries 1

Find the application you wish to withdraw, using the search field if needed to locate the correct one.

Once you have found the correct application, **select 'View Application**. This will take you to a new, single screen which displays in full all of the details of your current application.

Scrolling down to the bottom of this screen, below the 'Declaration' section you will see a '**Withdraw application' link. Click this to withdraw your application**.

Declaration

You must check the confirmation box below in order to progress this application.

I declare that I have the authority to represent JD0409 Test – External 1 in making this application.

I understand that acceptance of this Full Application does not in any way signify that the project is eligible for ESI Funding support or that ESI funding has been approved towards it. On behalf of JD0409 Test – External 1 and having carried out full and proper inquiry, I confirm to the Department:

I confirm to the Department:

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

You should not commence project activity, or enter in to any legal contracts, including the ordering or purchasing of any equipment or services before the formal approval of your project and you have signed an ERDF or ESF Funding Agreement. Any expenditure before the approval date is incurred at your own risk and may render the project ineligible for support.

[✓] I confirm that I have read and agree to the above declaration on behalf of the applicant organisation
Yes

Withdraw application

You will then get a pop-up message asking you to confirm you wish to withdraw your application and asking you to record a reason.

Withdrawing your application ✕

* Please explain the reasons why you wish to withdraw your application:

Withdrawal of an application is irreversible. You will still be able to see the withdrawn application, but you will not be able to re-submit it and it will no longer be considered for selection into the programme.

Submit   Cancel

NOTE: Please ensure you only withdraw your application if you are absolutely sure you wish to no longer continue in the appraisal process.

Once your application is withdrawn, **this is irreversible.**

You should also send a separate email to your ESF Appraiser, letting them know of your decision to withdraw. They will then access the ECLAIMS IT system to ensure your withdrawal has been recorded correctly and will send you an acknowledgement via the ECLAIMS IT system.

![European Union European Social Fund logo]

ANNEX A – Public & Private Match-Funding Categories

The table below sets out which match-funding sources you should record as public match-funding and which funding sources you should record as private match-funding when recording your match-funding details in the ECLAIMS IT system.

This is to ensure full alignment with the cross-validation rules built into the ECLAIMS IT system and also support compliance with EU Commission requirements on reporting public funding contributions.

ESF Match-Funding Source	ESF Private/Public Match-Funding Classification
Local Authority Funds	Public
University Funds	Public
Bank Loan	Private
Private Sector Reserves	Private
Public Sector Reserves	Public
Growth Deal	Public
Project Income	Private
SME Contributions	Private
Big Lottery Fund	Public
Private Sector Investment	Private
Health Service Funds	Public
Third Sector Funds	Private
Non-Departmental Public Body Funds	Public
Central Government Funds	Public
Volunteer Time (In Kind Contribution)	Private
Other (Public)	Public
Other (Private)	Private

ANNEX B – Supporting Documents – Uploading Conventions

Please ensure that you **include a version number** in the 'File Description' of each document when uploading into the ECLAIMS IT system, starting with 'v1.0' for the original, submitted version. Please also include the uploading date in the format DDMMYYYY in the file description.

If you are asked to provide a revised version of any document by the Appraiser during the appraisal process, please then amend the version number for the revised/new version accordingly to make it clear which is the most recent version e.g. 'v2.0'.

You may use the final column of the table below as a tick list, to ensure you have uploaded all relevant documents before submitting your Full Application. This is optional, you do not need to provide this completed table to the Managing Authority.

Document	Mandatory/ Optional	ECLAIMS File Category (from ECLAIMS drop-down list)	ECLAIMS File Description	Uploaded to ECLAIMS (Y/N)
Visual, High Level Customer Journey	Mandatory	"Flowchart/customer journey diagram/ process map"	High Level Customer Journey – DDMMYYYY – v1.0	
Match-Funding Confirmation Letter(s)	Mandatory	"Match Funding Confirmation (letter, certificate"	Match-Funding Confirmation Letter *(insert match funding org name)* – DDMMYYYY – V1.0	
Granular Budget	Mandatory	"Detailed Financial/Cost Breakdown"	Granular Budget – DDMMYYYY – V1.0	

Document	Mandatory/ Optional	ECLAIMS File Category (from ECLAIMS drop-down list)	ECLAIMS File Description	Uploaded to ECLAIMS (Y/N)
Equality & Diversity Policy and Plan	Mandatory	"Equal Opportunities Implementation Plan"	Equality Policy & Plan - DDMMYYYY – V1.0	
Sustainable Development Policy and Plan	Mandatory	"Other Compliance Document"	Sustainable Development Policy & Plan - DDMMYYYY – V1.0	
Job Description(s)	Mandatory – at least 1 per lead applicant and 1 per each Delivery Partner	"Job Descriptions"	Job Description *(insert Job Title) – (insert name of Delivery Partner org if applicable)* DDMMYYYY – V1.0	
Organogram	Mandatory	"Organisation Chart"	Organogram –DDMMYYYY – V1.0	
Sample HR Letter	Mandatory	"Other Compliance Document"	Sample HR Letter -DDMMYYYY – v1.0	
Anti-Fraud Statement	Mandatory	"Other Compliance Document"	Anti-Fraud Statement - DDMMYYYY – v1.0	
Project Level Risk Register	Mandatory	"Risk Assessment"	Risk Register - DDMMYYYY – v1.0	
Sample Timesheet	Optional – must be provided if you or your Delivery Partners have members of staff working part of their time on your ESF Project	"Other Compliance Document"	Sample Timesheet - DDMMYYYY – v1.0	

Document	Mandatory/ Optional	ECLAIMS File Category (from ECLAIMS drop-down list)	ECLAIMS File Description	Uploaded to ECLAIMS (Y/N)
Procurement Policy	Optional – must be provided if your ESF project is expecting to incur procurement costs	"Procurement Policy"	Procurement Policy - DDMMYYYY – v1.0	
Independent State Aid Advice	Optional – must be provided if you have obtained this advice to support your quoted ESF project State Aid position	"State Aid Evidence (letters, legal advice)"	State Aid Advice - DDMMYYYY – v1.0	
Draft Service Level Agreement for Delivery Partner(s)	Optional – must be provided if your ESF Project will have one or more Delivery Partners	"Delivery Partner Supporting Documents"	Draft Service Level Agreement - DDMMYYYY – v1.0	
Last 3 Years Financial Accounts	Optional – must be provided if your organisation is from the private or voluntary and community sector or a Further Education College	"Financial Accounts"	Financial Accounts – (Period Ending MMYYYY) - DDMMYYYY – v1.0	
Proof of Existence	Optional – must be provided if your organisation is from the private or voluntary and community sector or a	"Financial Accounts"	Proof of Existence DDMMYYYY – v1.0	

Document	Mandatory/ Optional	ECLAIMS File Category (from ECLAIMS drop-down list)	ECLAIMS File Description	Uploaded to ECLAIMS (Y/N)
	Further Education College			
Proof of Trading	Optional – must be provided if your organisation is from the private or voluntary and community sector or a Further Education College	"Financial Accounts"	Proof of Trading DDMMYYYY – v1.0	
Completed FVRA Template	Optional – must be provided if your organisation is from the private or voluntary and community sector or a Further Education College	"Financial Accounts"	Completed FVRA Template – Applicant - DDMMYYYY – v1.0	
Proof of Irrecoverable VAT	Optional – must be provided if you have Irrecoverable VAT which is relevant to your ESF Project	"Financial Accounts"	Irrecoverable VAT Proof DDMMYYYY – v1.0	
ESF Financial Annex (Simplified version)	Optional – only required if specifically requested as a supporting	"Detailed Financial/Cost Breakdown"	Financial Annex – DDMMYYYY – v1.0	

Document	Mandatory/ Optional	ECLAIMS File Category (from ECLAIMS drop-down list)	ECLAIMS File Description	Uploaded to ECLAIMS (Y/N)
	document in the call specification.			
ESF Indicator Annex	Optional – only required if specifically requested as a supporting document in the call specification.	"Other Compliance Document"	Indicator Annex – DDMMYYYY – v1.0	