

Innovation Fund

Programme Specific Provider
Guidance

Round Two

(REVISED AUGUST 2014)

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Chapter 1: Introduction to the Innovation Fund

Introduction

This is the Programme Specific Guidance for Investors/Intermediaries who hold a contract with DWP (Contractors) for Innovation Fund Round Two. If you hold a contract for Innovation Fund Round One, please see the Round One programme specific guidance.

Your delivery bodies may find some of the information useful and you are encouraged to share this guidance with them where relevant.

Notwithstanding the information and agreed measures included in your contract, Contractors and their delivery bodies should use this guidance in conjunction with the [DWP Framework Generic Provider Guidance](#) where it is relevant to their Innovation Fund programme.

For information: Within this guidance 'participant' is the description of the individual receiving Innovation Fund support. The participant groups included and the support a participant receives will be dependant on each specific Innovation Fund project/programme/activity. This will vary across the country according to the particular Innovation Fund contract/s awarded.

Background

On 12 May 2011, the Government announced a package of measures to help address youth unemployment, including a new 'Innovation Fund' of up to £30 million over three years for social investment projects, paid on an outcome-funded basis.

The key purpose of the Innovation Fund is to improve employment prospects for young people aged 14 and over. The first round of the Innovation Fund focused on 14-24 year olds and provision started in early 2012.

This guidance relates to the Round Two, which focuses on disadvantaged young people, and those at risk of disadvantage, aged 14 and 15 years. Targeting 14 and 15 year olds is a preventative measure, aimed at reducing the number of young people that go on to become not in employment, education or training (NEET) at age 16 years and above.

The Government has been clear that it expects a greater emphasis on personalisation and results. As such, DWP is giving Contractors far more freedom to innovate and design their services in the most effective and efficient way possible. To help them do this, DWP has kept required processes to a minimum.

Participant eligibility

Round Two Innovation Fund projects will support the most disadvantaged young people in society, including those in gangs, and DWP expects projects to focus on innovative ways of addressing the issues and barriers that make young people more at risk of becoming long-term NEET.

Vulnerable young people are a very diverse group with a variety of different needs. A range of factors are associated with a greater risk of becoming NEET, including low attainment, truancy, exclusion, teenage parenthood and having a learning difficulty and/or disability.

Participant Groups

Innovation Fund participants for Round Two are young people aged 14 and 15 years. Projects can work with these young people for up to three years and claim outcomes during this period.

Whilst providers can work with young people aged 14 and 15 years for up to three years, DWP expects only a minority will turn 18 years of age during the programme. For this group, contractors and their delivery bodies are expected to encourage voluntary referrals to the Work Programme (WP) if appropriate.

Contractors can work with young people aged 14 and over. They and their delivery bodies are free to work with individuals in school year 9 on or after they have reached their 14th birthday.

The specification clearly states that Innovation Fund Round Two supports 14 and 15 year olds. However, it also recognises that whilst they are 14 or 15 when they start on the programme, participants may be on it for up to three years and therefore 16 year plus outcomes are paid to reflect their increasing age over the lifetime of the programme. To reiterate, a young person who is 16 years or over must not start on this programme. This is a deliberate policy decision.

Definition of school years

Year 10 is the 10th full year of compulsory education, with children being admitted who are aged 14 by 1st September in any given academic year. It is also the first year of Key Stage 4 in which the secondary National Curriculum is taught and most GCSE courses are started.

Year 11 is the 11th full year of compulsory education, with students being admitted who are aged 15 by the 1st September in any given academic year. It is also the 2nd and final year of Key Stage 4 in which the secondary National Curriculum is taught and most GCSE examinations are taken.

Chapter 2: Recruiting, Starting, Leaving, and Completing Innovation Fund Provision

Introduction

This chapter gives Contractors information on recruiting and starting participants on Innovation Fund provision, during provision, completing provision and changes of circumstances. It is the Contractor's responsibility to ensure their delivery bodies take the correct actions to allow Contractors to fulfil their obligations relating to claiming outcome payments and reporting Management Information.

Contractors, through their delivery bodies, are responsible for recruiting appropriate participants and generating their own referrals. Please see [Chapter 9](#) of the Framework Generic Provider Guidance for further information on marketing standards. It is for Contractors, through their delivery bodies to identify and work with local contacts to ensure an effective referral and engagement process is in place. The method of engagement is at Contractor discretion.

Starting Innovation Fund Provision

Before a participant can be started on the programme, Contractors, through their delivery bodies, will need to meet with them and establish eligibility and suitability for their programme.

At this meeting, Contractors, through their delivery bodies, should identify and agree the service, support and expected outcome/s to be provided to the participant, focusing on helping them to prepare for future employment and/or to obtain and retain employment.

Contractors, through their delivery bodies, should ensure the participant is appropriately inducted. Any individual arrangements should be discussed with the participant on a one to one basis. Please see [Chapter 2](#) of the Framework Generic Provider Guidance.

Contractors, through their delivery bodies, are required to complete and agree an Action Plan and obtain the participant's clear written consent for Contractors/delivery bodies to use their personal information when contacting third parties to obtain the outcome evidence as outlined in the contract.

Once the Action Plan has been completed and agreed and the participant has signed the Consent Form, they are considered a 'start' on the programme.

Action Plans

Contractors, through their delivery bodies, have the freedom to develop processes to support participants plan activity and manage their experience whilst on Innovation Fund provision. This will be driven by the Contractor's delivery model.

Contractors, through their delivery bodies, must ensure that, as a minimum, the Action Plan includes all ongoing activities a participant is to undertake, what the expectations are and when the aims/goals are to be achieved. This must be in a single, clearly written document, regularly reviewed and in a format that is easily accessible for the participant. All activities included in the plan must adhere to SSMART (Specific, Stretching, Measurable, Achievable, Realistic and Timebound) principles and include details of review dates.

Consent

The participant consent form, **which cannot be altered in any way as it contains the appropriate legal wording**, can be found at [Annex 1](#) of this chapter. The declaration must be completed and signed by the participant and kept on file in the Contractor's premises. Contractors, through their delivery bodies, must explain to the participant why their permission is being sought and inform them that they themselves may be contacted to confirm details of their employment and/or educational achievement. No outcomes can be claimed without this signed consent. If a participant refuses to sign the consent form, Contractors and their Delivery Bodies may continue to work with the participant but no outcomes will be paid.

This consent form has been designed to ensure that DWP is compliant with Data Protection Act (DPA) requirements for the purpose of contacting relevant third parties. It can be used by Contractors and their delivery bodies if seeking to obtain exactly the same amount and type of information and for the same purpose.

<p>NOTE: Contractors must retain the Action Plan and Consent Form, as they will need to be made available to DWP and other external bodies.</p>
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Contractors and their delivery bodies need to comply with the appropriate Safeguarding Vulnerable Groups legislation. They will also need to ensure that young people are not exploited or helped to engage in activities which could put young people at risk, or bring Contractors, their delivery bodies or DWP into disrepute. Please see [Chapter 2](#) of the Framework Generic Provider Guidance

Self-Employment

Contractors, through their delivery bodies, may wish to offer support to participants in planning and running their own business. Please see [Chapter 2](#) of the Framework Generic Provider Guidance.

Additional Support

Contractors are responsible for travel, childcare, replacement caring costs and additional support costs whilst the participant is on the Innovation Fund.

Changes in Personal Circumstances

If the participant is claiming benefits, it is their responsibility to report any change in personal circumstances to DWP. If they are a dependant of a benefit claimant, the participant must inform the benefit claimant so that they can notify DWP.

Leaving Innovation Fund provision

There may be occasions when, having started provision, a participant's circumstances change and they are unable to continue, or decide they no longer want to continue, on the programme (for example, moving out of the delivery area, moving to other provision or a breakdown in relations). It will be for Contractors and their delivery bodies to determine the appropriate course of action, which might include using other parts of the supply chain, changing the method of delivery, or making alternative arrangements.

If Contractors and their delivery bodies continue to provide support and progress the participant's Action Plan, Innovation Fund provision can continue (unless the participant has moved to provision that cannot be done alongside the Innovation Fund. See [Chapter 7](#)).

NOTE: A participant can only remain on Innovation Fund provision whilst support is actively being given and an action plan is being progressed by the Innovation Fund provider.

If Innovation support no longer continues, the leaving date is the date support is withdrawn and Contractors should record this date on the IFMIRF2 (see [Chapter 5](#) for further detail about the collection of MI).

Once a young person leaves Innovation Fund provision, Contractors may claim outcome payments outlined in [Chapter 4](#), where the outcome was achieved within 26 weeks of the participant leaving provision.

NOTE: Outcomes must occur within the tracking period and meet the outcome criteria to generate a payment.

Restarting Innovation Fund provision

There may be occasions when, having left provision, a participant's circumstances change and they want to return to the programme or continue their support with

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another Innovation Fund provider (for example, moving back to the delivery area or moving to another provider's delivery area).

In these circumstances, Contractors cannot claim for any outcomes that have been previously paid to them, or a previous Innovation Fund contract holder, for the same participant. It is for Contractors, through their delivery bodies, to determine whether a participant has previously received Innovation Fund support and what outcomes have been paid to a previous Contractor as part of developing and agreeing the Action Plan.

Completing Innovation Fund provision

A participant completes Innovation Fund provision when:

- the Contractor has claimed the final eligible outcome payment as outlined in their contracts; **or**,
- the total value of outcomes paid to the Contractor for that participant has reached the £11700 limit; **or**,
- if applicable, Jobcentre Plus has made a decision that it is appropriate for the participant to be referred to other programmes that cannot be done alongside the Innovation Fund; **or**,
- the participant completes all actions in their Action Plan; **or**,
- the participant completes the required course or programme; **or**,
- the participant dies.

Annex 1: Participant Consent Form

[Download participant consent form](#)

Chapter 3: Delivering Innovation Fund Provision

Introduction

Notwithstanding the information and terms and conditions included in the DWP contract, this chapter gives Contractors general information on delivering Innovation Fund provision for DWP.

Administration

The Contractor is responsible for the administration of the provision, including ensuring their delivery bodies take required actions. These responsibilities, including compliance with legislation, business continuity, health & safety, diversity & equality, sustainable development etc, are outlined in the contract. Contractors are responsible for managing arrangements with their delivery bodies. Please see [Chapter 2](#) of the Framework Generic Provider Guidance for further information. This should be read in conjunction with the terms and conditions of the contract and, where applicable, to the Contractor's delivery model.

Grievance and Complaints

Contractors must have an appropriate process across the whole of the supply chain which allows participants to raise grievances and for complaints to be resolved. Contractors, through their delivery bodies, must give all participants information about the complaints process when they start provision.

Where a participant is unhappy about the service they receive from Contractors/delivery bodies, they will need to raise the issue according to the delivery model complaints process. If a participant goes through all the stages of the complaints process and is still unhappy with the response, they may complain direct to the Independent Case Examiner (ICE). Please also see [Chapter 2](#) of the Framework Generic Provider Guidance.

The ICE is an independent office holder, supported by DWP staff, with three stages of complaint examination. At every stage, Contractors/delivery bodies will have the opportunity to give their version of events and offer any supporting evidence.

- **Stage 1: Resolution**

ICE will liaise between the parties involved and try to reach an agreement which is satisfactory to all. If a complaint is resolved at this stage then no determination of fault will be made and no recovery will apply.

- **Stage 2: Settlement**

If the complaint cannot be resolved, ICE will consider what needs to be done to put matters right, and what redress might be appropriate. Following a review of the case papers, ICE will propose a way forward. If Contractors/delivery bodies agree the actions ICE propose, and the customer is satisfied that they address their complaint, the case will be closed. Again, no determination of fault will be made and no recovery will apply.

- **Stage 3: Investigation Report**

If ICE is unable to reach an agreement between the customer and the Contractor/delivery body, it will prepare a report setting out its findings in respect of each element of the complaint. Where appropriate it will include recommendations focusing on what needs to be done to put matters right and provide appropriate redress (including potential financial redress).

If a complaint is upheld against Contractors/delivery bodies at this investigation stage, £5,000 will be recovered from the contractor to go towards funding the ICE service for provider complaints in the following year. DWP will conduct an annual review of this level of recovery.

Contractors/delivery bodies will also be liable to pay any financial redress deemed by ICE to be due to the participant. ICE will apply the following DWP policy when considering if any redress is due to the participant:

<https://www.gov.uk/government/publications/compensation-for-poor-service-a-guide-for-dwp-staff>

Fraud Prevention

DWP places the utmost importance on the need to prevent fraud and irregularity in the delivery of its contracts. Contractors' responsibilities are outlined in the contract. Please also see [Chapter 2](#) of the Framework Generic Provider Guidance.

Information Security

Notwithstanding information and agreed measures included in your contract, please see [Chapter 8](#) of the Framework Generic Provider Guidance.

Provider Assurance

Contracts will be subject to normal provider assurance arrangements. Please see [Chapter 6](#) of the Framework Generic Provider Guidance.

Self Assessment

Contracts will be subject to normal self assessment arrangements. Please see [Chapter 7](#) of the Framework Generic Provider Guidance.

Chapter 4: Financial Procedures

Introduction

This chapter gives Contractors information on claiming, evidencing, and validating Innovation Fund outcome payments. Due to the nature of Innovation Fund contracts, a clerical system will be operated.

Funding and Payment

DWP will pay for one or more outcomes per participant providing:

- Contractors have nominated the particular outcome and it is included in the contract;
- the outcome is achieved after the participant's start date;
- the total value of outcomes for that participant does not exceed £11700; and
- no Innovation Fund Contractor has claimed that outcome for that participant.

Start date

The start date is the date the Action Plan is agreed and consent form signed (see [Chapter 2](#)).

Outcomes

Payments can be made for one or more of the outcomes outlined in the table at [Annex 1](#).

Although DWP does not require Outcome Verification Templates nor is it prescribing the way in which Contractors track participants and obtain information about the outcomes, there are a number of pieces of evidence that Contractors must obtain and submit to DWP along with their invoice/claim form when making their claim. These are also outlined in the table. (Please also see [Chapter 6, Annex 1](#), page 21 of the Legacy Generic Guidance for further information on participant self-declaration evidence).

Please note that all letters must be on the relevant organisation's official headed paper. If this is not available, Contractors must attach a signed and dated compliments slip or signed and dated business card which identifies the organisation. Please also see [Chapter 6, Annex 1](#) (page 21) of the Legacy Generic Guidance for other acceptable items to accompany evidence.

Examples of letters Contractors may wish to use or adapt can be found at [Annex 2](#) of this chapter. DWP will accept copies of originals. However, copies should be suitably annotated certifying that they are true copies.

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DWP does not require Contractors to send a copy of the Action Plan or participant's Consent Form as part of the evidence. However, Contractors must ensure that these have been correctly completed at the right time, that they have been retained and that they are available to DWP and other external bodies.

Contractors can only claim an outcome once the participant has correctly started on the programme (see [Chapter 2](#) of this guidance).

Contractors can only claim an individual outcome per participant once. For example, DWP will only pay once for the achievement of the first level 1 or 2 National Qualification Framework (NQF) outcome even if a participant has multiple level 1 or 2 NQF outcomes during their time on Innovation Fund provision.

If a level 1 outcome is achieved with support from the Innovation Fund provider, it is acceptable to subsequently claim for a level 2 outcome.

However, if a level 2 outcome is achieved first, it is not possible for the provider to claim an outcome payment for a level 1.

For example, it would not be possible to claim an outcome payment for both NQF level 1 and level 2 if a participant achieved 7 or more full GCSE/iGCSE passes at grade A* to C. The achievement of an NQF level 2 outcome directly would supersede and prevent a claim for an NQF level 1 outcome.

All NQF level 1 qualifications will attract the appropriate outcome payment regardless of whether an Award, Diploma or Certificate.

For a level 1 qualification to be challenging and valuable to participants, however, we expect that most qualifications offered will be at least 60 guided learning hours.

Outcome payments can be claimed for up to 26 weeks following the end of provision. DWP will not pay for outcomes which occur more than 26 weeks beyond the end of the contract. However, if DWP has given 'early termination' notice (as outlined in the terms and conditions), DWP will pay for outcomes for up to 52 weeks after the date the contract is terminated.

Employment outcomes – further information

Job Start date is the date a participant starts a job which:

- is for a minimum of 16 hours per week (a week is defined as a period of 7 days);
- takes the participant off benefit (if benefit is claimed); and,
- is after the participant's start date.

Job outcomes can be claimed when:

- there has been either a continuous or cumulative period of employment or self-employment for 13 weeks (a week is defined as a period of 7 days);
- the participant has worked for a minimum of 16 hours per week in each of the 13 weeks;

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- the participant has been in employment/self-employment and off benefit (if benefit is claimed) in each week of the period; and
- the job outcome is after the Job Start date.

NOTE:

- outcomes will only be paid for the **first** job that meets the criteria;
- the number of hours worked cannot be made up of more than one employer or from a mixture of employment and self-employment;
- the period begins to accrue from and including the Job Start date;
- only one job outcome payment can be claimed for each participant;
- outcomes can include self employment and subsidised employment;
- the days counted towards the cumulative period of employment for a job outcome can be isolated days, blocks of days or weeks;
- for self-employed jobs, evidence of trading includes accounts, profit and loss statements and work diaries showing the number of hours worked each week. It is up to the Contractor to verify this evidence before an outcome claim is made.

Sustained job outcomes can be claimed when:

- there has been a period of employment lasting for at least 26 weeks (a week is defined as a period of 7 days);
- the participant has worked for a minimum of 16 hours per week in each of the 26 weeks;
- the participant has been in employment and off benefit (if benefit is claimed) in each week of the period; and
- a job outcome payment, as defined above, has been paid; and
- there have been thirteen continuous weeks in employment since the Job Outcome achievement date.

NOTE:

- outcomes will only be paid for the **first** job that meets the criteria above;
- the number of hours worked cannot be made up of more than one employer or from a mixture of employment and self-employment;
- the 13 continuous weeks in employment begins to accrue from and including the job outcome achievement date;
- the 13 continuous weeks must relate to the job outcome paid;
- only one sustained job outcome payment can be claimed for each

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participant;

- outcomes can include self employment and subsidised employment;
- for self-employed jobs, evidence of trading includes accounts, profit and loss statements and work diaries showing the number of hours worked each week. It is up to the provider to verify this evidence before an outcome claim is made.

Claiming for outcomes achieved

As outlined in the contract, Contractors will be required to report all relevant outcomes achieved, on a monthly basis. The Innovation Fund Outcome Claim Form (IFOCF2) will form the basis for the claim for payment (see [Annex 3](#)). DWP will send the IFOCF2 to the Contractor's nominated email address in advance of the first period they are due to report potential outcomes.

The IFOCF2 is an Excel based electronic document that Contractors must use to record the required information, either electronically or clerically. Contractors must print the document and sign the declarations before sending it via secure post, together with supporting evidence for each participant, to:

Provider Payment Validation Team
DWP Finance Group
4th Floor
Anchorage 2
Salford Quays
M50 3YW

NOTE: Contractors must clerically sign the declarations and send the original via secure post. DWP will not accept electronic signatures or photocopies of the IFOCF2.

Before the IFOCF2 is sent, Contractors must provide details of the bank account for DWP to use to issue payments to you. Contractors must nominate a person/ persons within their organisation that is/are authorised to sign the IFOCF2. Contractors must also provide specimen signatures of all the authorised individuals. DWP will send Contractors a form to use for this purpose as part of contract start-up. Without the information, payments cannot be made.

If any of a Contractor's authorised signatories, or bank account, changes, Contractors must complete a new form and forward it to DWP at the address given above.

NOTE: If Contractors have not received either form ahead of the first reporting date they will need to inform DWP via their allocated Performance Manager

Contractors are responsible for ensuring that all outcomes they report to DWP are valid and supported by accurate and verified evidence. Contractors must sign all the declarations on the IFOCF2 clearly stating this before it is submitted.

Contractors must return the correctly completed IFOCF2, together with all the required supporting evidence listed in [Annex 1](#), to the DWP payment team. This must be done via secure post and within 5 working days from the end of the reporting period.

Retaining supporting evidence

Contractors must retain robust data to support every claim so Contractors are expected to maintain a robust system of internal control which includes appropriate checks, monitoring arrangements and adequate records to demonstrate that they are entitled to make a claim.

The information Contractors retain to support their claim must be compliant with information security requirements and be made available to DWP and other external bodies.

Validating claims

On receiving the IFOCF2 and supporting evidence, DWP will process the claim by matching the outcomes claimed with the participant information details and the evidence Contractors have submitted. Where DWP requires further information, Contractors must provide all necessary assistance to enable DWP to validate their claim.

If the evidence is verified, the individual outcome payment will be approved.

If the evidence is not verified, that particular outcome payment will be rejected.

Once all outcomes on the IFOCF2 have been checked, details of all the outcome payments approved will be passed for payment. As outlined in the contract, Contractors will receive payment within 30 calendar days of DWP receiving the correctly completed IFOCF2 and all supporting evidence.

If the claim includes any outcomes not approved, DWP will notify Contractors of all those rejected and why. Under the terms of the contract, Contractors will be entitled to re-claim a rejected outcome payment by resubmitting it with any new and/or amended evidence as part of a subsequent monthly claim. Resubmitted claims will be subject to the same pre-payment validation checks as above.

NOTE: DWP will not accept ad-hoc claims. All claims must be submitted on the

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normal monthly reporting cycle.

DWP will keep information regarding the payment validation process (particularly outcome payments that have been rejected and those DWP has been unable to validate) and this will be passed to DWP Performance Managers.

Annex 1: Outcomes

NOTE: all letters must be on the relevant organisation’s official headed paper. If this is not available, Contractors must attach a signed and dated compliments slip or signed and dated business card which identifies the organisation. Please also see [Chapter 6, Annex 1](#) (page 21) of the Legacy Generic Guidance for other acceptable items to accompany evidence. DWP will accept copies of originals. However, copies should be suitably annotated certifying that they are true copies.

Nature and definition of outcome	Information required	Evidence required for payment/validation purposes
AGE 14 and 15 YEARS		
<p>Improved attitude to school/education demonstrated for a minimum of 13 continuous weeks (excluding school holidays)</p> <p>The young person must have demonstrated a sustained improvement in both their attendance and behaviour at school. This must be verified by a teacher.</p>	<ul style="list-style-type: none"> • participant’s name and date of birth; • age participant started on provision; • name, occupation and contact details of person verifying the information; • that improvement in attitude has been achieved; • the period of the improvement, clearly stating that the minimum 13 week criteria has been met. 	<p>A signed and dated confirmation letter on official headed paper from school/ teacher/ home tutor covering all the information required.</p>
<p>Improved behaviour at school*, demonstrated for a minimum of 13 continuous weeks (excluding school holidays).</p> <p>(*Poor behaviour at school can be defined as those “whose behaviour is unacceptable, who break school rules or who fail to follow a reasonable instruction (Section 91 of Education and Inspection Act 2006)”. Students</p>	<ul style="list-style-type: none"> • participant’s name and date of birth; • age participant started on provision; • name, occupation and contact details of person verifying the information; • that improvement 	<p>A signed and dated confirmation letter on official headed paper from school/ teacher/ home tutor covering all the information required.</p>

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Nature and definition of outcome	Information required	Evidence required for payment/validation purposes
<p>who have a pattern of this behaviour have to decrease this significantly.)</p>	<p>in behaviour has been achieved;</p> <ul style="list-style-type: none"> • the period of the improvement, clearly stating that the minimum 13 week criteria has been met. 	
<p>Stop persistent truancy * demonstrated for a minimum of 13 continuous weeks (excluding school holidays).</p> <p>(*‘Persistent truancy’ means deliberate absence for days or weeks at a time. This has to decrease to attendance levels associated with the average student.)</p>	<ul style="list-style-type: none"> • participant’s name and date of birth; • age participant started on provision; • name, occupation and contact details of person verifying the information; • the period of the improvement, clearly stating that the minimum 13 week criteria has been met; • attendance levels have improved to those associated with the average student 	<ul style="list-style-type: none"> • a signed and dated confirmation letter on official headed paper from school/ teacher/ home tutor covering all the information required; or • a copy of the attendance record
<p>QCF accredited Entry level qualifications (below GCSE) These include the following:</p> <ul style="list-style-type: none"> • Skills for Life at Entry level; • Entry level awards, certificates and diplomas; • Foundation Learning Tier pathways; and • Functional Skills at Entry 	<ul style="list-style-type: none"> • participant’s name and date of birth; • age participant started on provision; • name, occupation & contact details of person verifying the information; • the qualification achieved and 	<ul style="list-style-type: none"> • a signed and dated confirmation letter on official headed paper from school/ teacher/ home tutor covering all the information required; or • exam results slips

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level	<ul style="list-style-type: none"> • grade if appropriate; • the date of achievement/award; • the Awarding Body • number of guided learning hours. • The qualification accreditation number which can be checked on the Ofqual Register of Regulated Qualifications • 	<ul style="list-style-type: none"> • or notifications; or • a copy of the certificate showing the participant's name and date of birth, the Awarding Body, the date of achievement/award and/or course completion date and the qualification accreditation number
AGED 16+		
<p>Improved attitude to school/education demonstrated for a minimum of 13 continuous weeks (excluding school holidays)</p> <p>The young person must have demonstrated a sustained improvement in both their attendance and behaviour at school. This must be verified by a teacher.</p>	<ul style="list-style-type: none"> • participant's name and date of birth; • age participant started on provision; • name, occupation and contact details of person verifying the information; • that improvement in attitude has been achieved; • the period of the improvement, clearly stating that the minimum 13 week criteria has been met. 	<p>A signed and dated confirmation letter on official headed paper from school/ teacher/ home tutor covering all the information required.</p>
<p>Achieving Basic Skills, with a focus on literacy and numeracy.</p>	<ul style="list-style-type: none"> • Name of young person • age participant 	<ul style="list-style-type: none"> • a signed and dated confirmation letter

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	<p>started on provision;</p> <ul style="list-style-type: none"> • The qualification accreditation number which can be checked on the Ofqual Register of Regulated Qualifications 	<p>on official headed paper from school/ teacher/ home tutor covering all the information required; or</p> <ul style="list-style-type: none"> • exam results slips or notifications; or • a copy of the certificate showing the participant's name and date of birth, the Awarding Body, the date of achievement/award and/or course completion date and the qualification accreditation number
<p>Achievement of First NQF Level 1 qualification. Achievements in the following qualifications are counted as Level 1:</p> <ul style="list-style-type: none"> • At least one GCSE pass • BTEC Introductory awards, diplomas and certificates • OCR Nationals Level 1 and 2 • Key skill level 1 • NVQ at level 1 • Skills for Life at Level 1 	<ul style="list-style-type: none"> • participant's name and date of birth; • age participant started on provision; • name, occupation and contact details of person verifying the information; • the qualification achieved and grade if appropriate; • the date of achievement/award 	<ul style="list-style-type: none"> • a signed and dated confirmation letter on official headed paper from school/ teacher/ home tutor covering all the information required; or • exam results slips or notifications; or • a copy of the certificate showing the participant's

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Nature and definition of outcome	Information required	Evidence required for payment/validation purposes
	<ul style="list-style-type: none"> d; • the Awarding Body • number of guided learning hours. • The qualification accreditation number which can be checked on the Ofqual Register of Regulated Qualifications 	<ul style="list-style-type: none"> name and date of birth, the Awarding Body, the date of achievement/award and/or course completion date and the qualification accreditation number
<p>Achievement of First NQF Level 2 qualification. Achievements in the following qualifications are counted as full Level 2:</p> <ul style="list-style-type: none"> • 5 full GCSE/iGCSE at grade A* to C • 2 AS level (including VCE) at grade A to E • 1 A/A2 level (including VCE) at grade A to E • 1 NVQ/full VRQ* pass at Level 2 or higher (* more than 325 guided learning hours) Any equivalent QCF qualification is expected to provide this minimum level of support • 1 International Baccalaureate pass 	<ul style="list-style-type: none"> • participant's name and date of birth; • age participant started on provision; • name, occupation and contact details of person verifying the information; • the qualification achieved and grade if appropriate; • the date of achievement/award; and • the Awarding Body. • number of guided learning hours. • The qualification accreditation number which can be checked on the Ofqual Register of Regulated Qualifications 	<ul style="list-style-type: none"> • a signed and dated confirmation letter on official headed paper from school/teacher/home tutor covering all the information required; or • exam results slips or notifications; or • a copy of the certificate showing the participant's name and date of birth, the Awarding Body, the date of achievement/award and/or course completion date and the qualification accreditation number

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<p>Completion of first NQF Level 3 training/vocational qualifications. Achievements in the following qualifications are counted at Level 3 :</p> <ul style="list-style-type: none"> • 4 AS level (including VCE) at grade A to E • 2 A/A2 level (including VCE) at grade A to E • 1 NVQ/full VRQ* pass at Level 3 or higher % (* more than 595 guided learning hours) 1 QCF credit is equivalent to 10 guided learning hours and any equivalent qualification is expected to provide this minimum level of 595 hours of support. • 1 International Baccalaureate pass % • 2 Pre-U Principal Subject or 4 Pre-U Short Course Subjects 	<ul style="list-style-type: none"> • participant's name and date of birth; • age participant started on provision; • name, occupation and contact details of person verifying the information; • the qualification achieved and grade if appropriate; • the date of achievement/award; and • the Awarding Body. • number of guided learning hours. • The qualification accreditation number which can be checked on the Ofqual Register of Regulated Qualifications 	<ul style="list-style-type: none"> • a signed and dated confirmation letter on official headed paper from school/teacher/home tutor covering all the information required; or • exam results slips or notifications; or • a copy of the certificate showing the participant's name and date of birth, the Awarding Body, the date of achievement/award and/or course completion date and the qualification accreditation number • N.B - In instances where specific information on guided learning hours is not available, but information on credits is, the Payments team will make a calculation as to the number of guided learning hours on the

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		<p>basis that 1 credit is equal to 10 hours of guided learning time.</p> <ul style="list-style-type: none"> • Example letters/templates supplied in the Provider Guidance should be submitted with claims as they reflect information requirements for all outcomes, including the requirement for details of age participant started on provision.
<p>Entry into first employment or self-employment of 16 hours or more per week, including where a training element* is paid to under 18s (such as an Apprenticeship or work-based learning (*a training element is defined as at least 280 guided learning hours per year).</p> <p>This needs to have lasted for a minimum of 13 continuous or cumulative weeks in order for it to generate an outcome payment.</p> <p>For self-employment, you cannot claim an outcome until a participant is off benefit and trading independently. Once a participant has traded independently for 13 continuous</p>	<ul style="list-style-type: none"> • participant's name, date of birth and NINO; • age participant started on provision; • whether the participant is self-employed or employed; • if the participant is under 18, whether a training element of at least 280 guided learning hours per year is included; • employer's full address, business telephone number and e-mail* 	<ul style="list-style-type: none"> • a signed and dated confirmation letter on official headed paper from the employer covering all the information required; or <p>If the job is self-employed:</p> <ul style="list-style-type: none"> • a signed and dated letter on official headed paper from a recognised business start up organisation covering details of the self-employment,

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Nature and definition of outcome	Information required	Evidence required for payment/validation purposes
<p>or cumulative weeks for the required 16 hours or more per week, you will be entitled to claim this outcome payment.</p> <p>Please Note</p> <ul style="list-style-type: none"> • this period begins to accrue from and including the job start date; • a person must be in employment and off-benefit • self-employment is a person who is gainfully employed 1) in Great Britain and 2) in employment that is not employed earners employment. 	<p>address;</p> <ul style="list-style-type: none"> • name, occupation and contact details of person verifying the information; • job start dates (and end dates if applicable); • hours; and • employee identifier such as works or payroll number*. <p>*if applicable</p>	<p>including date started and hours worked each week plus a business plan; or</p> <ul style="list-style-type: none"> • evidence of trading for the required number of hours each week which is clearly linked to the self-employment and proportionate to the business. <p>Please also see Chapter 6, Annex 1 (page 21) of the Legacy Generic Guidance</p>
<p>First employment or self-employment of 16 hours or more per week has been sustained for 26 weeks.</p> <p>Sustained employment is where a customer has been in employment/ self-employment and off benefit for a total of 26 weeks and:</p> <ul style="list-style-type: none"> • a Job Outcome payment has been paid; and • there have been thirteen continuous weeks in employment since the Job Outcome achievement date <p>For self-employment, you cannot claim an outcome until a participant is off benefit and</p>	<ul style="list-style-type: none"> • participant's name, date of birth and NINO; • age participant started on provision; • whether the job is employment or self-employment; • if the participant is under 18, whether a training element of at least 280 guided learning hours per year is included; • employer's full address, business 	<ul style="list-style-type: none"> • a signed and dated confirmation letter on official headed paper from the employer covering all the information required; or <p>If the job is self-employed:</p> <ul style="list-style-type: none"> • a signed and dated letter on official headed paper from a recognised business start up organisation covering details

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<p>trading independently. Once a participant has traded independently for 26 weeks for the required 16 hours or more per week, with 13 continuous weeks of trading from the date the Job Outcome was achieved, you will be entitled to claim this outcome payment.</p> <p>Please Note</p> <ul style="list-style-type: none"> • the period of 13 continuous weeks begins to accrue from and including the job outcome payment date; • a person must be in employment and off-benefit; • self-employment is a person who is gainfully employed 1) in Great Britain and 2) in employment that is not employed earners employment. 	<p>telephone number and e-mail* address;</p> <ul style="list-style-type: none"> • name, occupation and contact details of person verifying the information; • job start dates (and end dates if applicable); • hours; and • employee identifier such as works or payroll number*. <p>*if applicable</p>	<p>of the self-employment, including date started and hours worked each week plus a business plan; or</p> <ul style="list-style-type: none"> • evidence of trading for the required number of hours each week which is clearly linked to the self-employment and proportionate to the business. <p>Please also see Chapter 6, Annex 1 (page 21) of the Legacy Generic Guidance</p>

Annex 2: Example Letters

The following example letters can be used or adapted by Contractors to support outcome claims.

Educational Qualification

[Download educational achievement letter](#)

Employment

[Download employment outcome letter](#)

School Improvement

[Download school improvement letter](#)

Qualification Evidence Template

[Download qualification evidence template](#)

Annex 3: Round Two Innovation Fund Outcome Claim Form (IFOCF2)

[Download Innovation Fund outcome claim form](#)

Chapter 5: Management Information

Introduction

This chapter gives Contractors information on the collection, collation and reporting of Innovation Fund Management Information (MI).

Robust and complete MI is crucial to managing performance and evaluating each Innovation Fund programme/project/activity. As well as collecting MI on outcomes, DWP will also need demographic information about young people when they start the programme (see Chapter 4, paragraph 3 for the definition of a 'start').

The MI will:

- provide an understanding of individual participant characteristics;
- provide information about the numbers of individuals supported through the Innovation Fund provision; and
- support the independent evaluation of the Innovation Fund pilot.

Reporting MI

The Contractor is responsible for collecting and submitting collated MI to DWP on a monthly basis. It is for Contractors to identify the most effective method of communicating, collating and retaining the required information from their delivery bodies and sub-contractors (if applicable) to enable them to do this.

NOTE: It is important to ensure that MI is kept up to date and accurate and submitted on time each month. Late submission of information or inaccurate information could result in delayed or rejected payments of claims if the Provider Payment Validation Team is unable to trace and validate claims.

Contractors must report all relevant MI on the Innovation Fund Management Information Reporting Form (IFMIRF2) which is an Excel spreadsheet at [Annex 1](#) of this chapter. Only this template is to be used. Only one template is required for each Innovation Fund project for the life of the contract. [Annex 2](#) provides some notes to help Contractors complete it. DWP will send the IFMIRF2 to the Contractor's nominated email address in advance of the first period they are due to report potential MI.

The MI must be reported monthly and as a cumulative total from the start of the programme up to and including the last working day of each month. The template should be renamed with the month the data is cumulative to and the Contractor's organisation name (e.g. PEFJan12.xls) before being saved and returned to DWP.

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Contractors must return the correctly completed IFMIRF2 to DWP via secure email within 5 working days from the end of the reporting period.

Contractors are responsible for ensuring that all MI reported to DWP is valid. Contractors must electronically sign the declaration on the IFMIRF2 by inserting their nominated person's name and company position before it is submitted. It is the Contractor's responsibility to check and verify that participant information remains valid and update the MI details on a monthly basis to reflect this.

Where information has been updated, Contractors must make this clear by highlighting the relevant cell using the colour 'red'. Contractors are also required to indicate any changes in column AK.

On receipt of the completed IFMIRF2, the data will be cleansed before it is merged with the outcomes Contractors reported on the IFOCF2. From the combined data, MI reports will be produced for use by Performance Managers and others within DWP.

<p>NOTE: Any queries regarding the completion of the IFMIRF2 template should be raised through the Contractor's Performance Manager.</p>

Secure email

DWP uses the PGP Universal Secure Email application to secure data, allowing approved secure email users to send encrypted, digitally signed, emails to named individuals and to decrypt incoming emails. To accommodate variations, secure email has two options for data transfer:

- **S/MIME** – for use with external organisations who use non-PGP encryption tools such as Outlook; and
- **OpenPGP** – for those external organisations that use PGP encryption tools such as PGP Desktop Pro.

DWP will set up the Contractor's nominated users according to the software used to allow these users to exchange the required information by secure email.

<p>NOTE: Contractors should ensure that the secure email facility they use is set up and ready to use ahead of the first reporting date.</p>

Sharing MI

There are rules around the sharing of MI. These are detailed in the contract and the terms and conditions. Contractors shall not (and shall ensure that their delivery bodies and any of their sub-contractors shall not) at any time publish, disclose, or divulge any of the MI to any third party unless given explicit permission by DWP.

Evaluation

Each Innovation Fund project will be evaluated to determine its success and evaluation will start once contracts are awarded. Evaluation will be conducted by independent research organisation/s, commissioned through the DWP Social Research Framework, and is likely to continue for up to two years after contracts have ended.

Contractors must fully cooperate with evaluation activity commissioned by DWP and participate in interviews, surveys and the collection of MI. DWP will require Contractors, through their delivery bodies, to encourage participants to take part in evaluation and obtain written consent to that effect.

Annex 1: Innovation Fund MI Reporting Form

[Download Innovation Fund MI reporting form](#)

Annex 2: Notes for completing the IFMIRF2

Within the template there are 2 sheets which both need completion:

- Sheet 1 (Sections 1 and 2): enter the relevant Contractor details and their delivery organisations plus information on the overall number of participants;
- Sheet 2 (Section 3): Contractors must enter further detailed information about individual participants.

Each field within the template displays a short explanation of the information to be entered. A detailed explanation of the column headings and information to be entered can be found in the table below. Some fields contain a drop down option. This is noted within cells where it is applicable

Column Heading	Explanation/Action
Surname	Enter participant surname
Forename(s)	Enter participant forename and any other middle names
Gender	Select option from the drop down list
NINO	Enter Participant NINO. If unavailable, please update once it becomes available. It is essential that this information is entered as soon as the young person receives it.
Local Authority NEET ID	Enter participant NEET ID. This ID is determined by the Local Authority if a young person is known to them. So, if a young person is NEET or has been identified as 'at risk NEET', the Local Authority will have a NEET ID reference number assigned to the individual. If not available, then please leave blank.
DOB	Enter participant's Date of Birth in following format DD/MM/YYYY. Dates should only be input in the format DD/MM/YYYY. * please see footnote
Address	Enter Participant's residential address. Please ensure this information is updated if participant moves during their time on the programme
Postcode	Enter participant's Postcode. Please check this is

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Column Heading	Explanation/Action
	correct.
Telephone Number	Enter all contact telephone numbers, including mobile numbers. Please update information if numbers change.
Email Address	Enter all personal email addresses. Please update if information changes.
Participant Group	Select from the drop down list which school year/age group participant falls within when they start on the Innovation Fund.
Source of referral	Please provide details of the source of referral ie School/Local Authority/Provider Outreach
Start Date	Enter the date the participant started Innovation Fund provision. Dates should only be input in the format DD/MM/YYYY. * please see footnote
Parent/Guardian name	Enter participant's parent/guardian name,
Parent/Guardian relationship	Enter relationship to parent/guardian. I.e. Son/Daughter
Parent/Guardian Address	Enter participants parent/guardian address details
Parent/Guardian Postcode	Enter participants parent/guardian Postcode
Parent/Guardian Telephone Number	Enter participants parent/guardian contact telephone number
Registered Disabled	Select option from the drop down list
Ethnicity	Select option from the drop down list
First language	Enter details of first language
Most recent school/college name	Enter the full name of the participants current or most recent school/college name
Type of educational institution last attended	Enter educational institution participant is currently or has last attended (i.e. whether public/private/sixth form/Alternative Provision). Enter option from the drop down list.
Key Stage 3 Outcome	Select option from the drop down list
Highest Academic Qualification	Enter details of the participant's current highest academic qualification. Leave blank if no

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Column Heading	Explanation/Action
	qualifications.
SEN statement	Select option from the drop down list
Free School Meals	Select option from the drop down list
Childcare Responsibilities	Select option from the drop down list
Nature of NEET/At risk NEET - 1	Enter details of first barrier which constitutes the participant a NEET or at risk of becoming NEET. i.e Drug user
Nature of NEET/At risk NEET - 2	Enter details of second barrier which constitutes the participant a NEET or at risk of becoming NEET. I.e Alcohol addiction
Nature of NEET/At risk NEET – 3	Enter details of third barrier which constitutes the participant a NEET or at risk of becoming NEET, if relevant i.e Truancy
Nature of NEET/At risk NEET - 4	Enter details of fourth barrier which constitutes the participant a NEET or at risk of becoming NEET, if relevant. I.e Carer
Nature of NEET/At risk NEET - 5	Enter details of fifth barrier which constitutes the participant a NEET or at risk of becoming NEET, if relevant. I.e. Teenage Parent
Nature of NEET/At risk NEET - 6	Enter details of sixth barrier which constitutes the participant a NEET or at risk of becoming NEET, if relevant. I.e. Gang affiliation
Other NEET risk details	Enter details of any other additional barriers which constitutes the participant a NEET or at risk of becoming NEET.
Employment Details	Enter Organisation Name, Address and Telephone Number of Employer if participant obtains employment. Please also include employer contact name or email address if possible.
Leave Date	Enter the last date the participant received Innovation Fund Provision Dates should only be input in the format DD/MM/YYYY. * please see footnote
Reason for Leaving	Select option from the drop down list. End of provision is where a participant completes the

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Column Heading	Explanation/Action
	programme. Early termination is where Innovation Fund support ends before completion.
Destination	Select option from drop down list
Other Destination (2)	If 'other' option was selected in previous column please enter details of participant's destination. I.e Moved to Work Programme, Other DfE provision, moved out of area, disengagement with programme.
Local Authority Care	Select option from the drop down list
Current Driving Licence	Select option from the drop down list
Information Changed	Select option from the drop down list. Please also highlight the updated information in relevant cell in red.
Additional Information	Enter any other relevant information. For example if participant withdraws consent for data sharing during the time on the pilot.

*** Note on entry of dates**

Dates should only be input in the format DD/MM/YYYY.

If the date is input incorrectly – for example in the format MM/DD/YYYY, 06/10/2013 would transpose to 10/06/2013. As both of these dates are valid, the error is not identified when the spreadsheet is loaded onto the database (but the date recorded will still be incorrect).

It is only when the transposed date is not valid - for example, where 14/06/2013 is converted to 06/14/2013 that this error is being highlighted

Please check the format of all data fields containing dates to ensure that they are accurate.

The relevant data fields are on Sheet 2, Section 3 under Participant Information - columns H – Date of Birth, M – Start Date, and AN – Leave Date.

In sections 1 and 2, line 13 - the reporting period end field refers to only the monthly period being reported on and not the whole of the reporting period.

Chapter 6: Performance Management

Introduction

This chapter gives Contractors information on Innovation Fund performance management. It should be used in conjunction with [Chapter 3](#) of the Framework Generic Provider Guidance.

Contractors are responsible for managing the arrangements with their delivery bodies, including sub-contractors (where applicable) to ensure a robust system is in place for monitoring and recording performance, ensuring there is a clear audit trail of evidence.

Contract management

Contracts will be managed using the DWP account management and performance management structure. DWP will appoint a named Account Manager and each contract will be allocated to a named Performance Manager who operates within the DWP Performance Improvement Framework. Please see [Chapter 3](#) of the Framework Generic Provider Guidance for further information.

The Contractor must appoint a named Supplier Manager who must cooperate with the DWP Performance Manager to ensure that the services and outcomes specified in the contract are delivered.

The DWP Performance Manager will monitor performance and conduct regular reviews in accordance with the contract and associated terms and conditions.

Chapter 7: Accessing other Programmes etc

Introduction

There is a range of major national programmes, schemes, grants, and incentives used to support unemployed people into work. Some Innovation Fund participants can access these initiatives subject to a range of criteria being met and the availability of places. Contractors and their delivery bodies are expected to broker agreements with other service providers or Jobcentre Plus to allow participants to access these initiatives, if appropriate.

Eligibility and suitability should be considered on an individual basis. Contractors' delivery bodies are expected to understand what each initiative can provide, what the eligibility and suitability criteria are, and how to refer a participant who may benefit. Contractors' delivery bodies should not assume that Innovation Fund participants are automatically entitled to access the initiative programme/ scheme/ grant/ Incentive.

Contractors' delivery bodies are expected to encourage voluntary referrals to the Work Programme (WP) for appropriate young people, unless they are confident that they can move a participant into employment quickly.

We expect Contractors and their delivery bodies to work closely with WP providers to ensure a smooth transition and handover. Contractors' delivery bodies should assess the needs of the individual and make a judgement about whether the participant should remain on Innovation Fund or be referred to WP. In situations where Contractors or their delivery bodies deliver both Innovation Fund and the WP, DWP will monitor such referrals to ensure that referrals to WP are not being made when they are not needed. Jobcentre Plus will determine whether a young person starts on the WP.

Once a young person moves on from the Innovation Fund, there is a tracking period of 26 weeks, which will enable a job outcome achieved through referral to the WP to be claimed. Please note that this outcome would have to occur within the tracking period and last for a minimum of 13 weeks to generate a payment.

How the Innovation Fund fits with other Welfare to Work programmes

The table below shows other provision a young person can access whilst on the Innovation Fund. It also lists provision which a young person can move from to access the Innovation Fund.

<p>NOTE: any movements/referrals to other programmes do not generate outcome payments. However, an outcome payment may be claimed if a voluntary referral to the WP results in a job outcome lasting a minimum of 13</p>

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weeks. This must have taken place during the 26-week tracking period.

Participants will be free to undertake mainstream education and training provision before, after, and alongside the Innovation Fund and this may contribute to some outcomes.

Can you move from ... to?	Do both?
From Innovation Fund to:	
European Social Fund (ESF) (DWP)	✓
Work Programme (voluntary)	✓
Work Programme (mandatory)	x
Skills Funding Agency provision including ESF (SFA ESF)	✓
National Offender Management Service (NOMS)	x
New Enterprise Allowance	x
Work Clubs	✓
Work Together	✓
Work Experience	✓
Work Academies	✓
NOMS Further Education/School	✓
Youth Contract	✓
Specialist Disability Programmes:	
Residential Training Colleges	x
Work Choice	x
Access to Work	✓
From other provision to Innovation Fund:	
European Social Fund (ESF) (DWP)	x
Work Programme (voluntary)	✓
Work Programme (mandatory)	x
Skills Funding Agency provision including ESF (SFA ESF)	✓
National Offender Management Service (NOMS)	x
New Enterprise Allowance	x
Work Clubs	✓
Work Together	✓

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Can you move from ... to?	Do both?
Work Experience	✓
Work Academies	x
NOMS Further Education/School	✓
Specialist Disability Programmes:	
Residential Training Colleges	x
Work Choice	x
Access to Work	✓

This list is not exhaustive. Providers must determine what other provision is available in their delivery location.

Further information regarding Jobcentre Plus employment programmes and initiatives, including eligibility criteria can be found at <https://www.gov.uk/browse/working/finding-job>