European Union
European
Social Fund

2014-2020 European Growth Programme

European Social Fund (ESF) and Youth Employment Initiative (YEI) participant contact details

Guidance on the **requirement** for all ESF and YEI providers to record and share individual participant contact details to support the monitoring and evaluation

AUGUST 2016

Version 2
July 2016; Version 2 published October 2016

Contents

1. Purpose of the guidance

This guidance explains the requirement for, and the process by which contact details for all participants on European Social Fund (ESF) and Youth Employment Initiative (YEI) provision must be submitted to the Managing Authority (MA). This document covers:

- The regulatory and legal basis behind the requirement to collect and share participant data, including contact details;
- The requirement for the participant privacy notice;
- What contact details need to be collected and how they will be reported to the MA;
- The handling of contact details for certain 'sensitive' groups.

This guidance applies to both ESF and 'match' funded participants.

1.1. Who should use this guidance?

This guidance should be used by all grant beneficiary organisations, including 'direct bid' organisations, Co-Financing Organisations (CFOs) and partners and Intermediate Bodies (IBs).

Grant beneficiary organisations will be expected to provide contact details data for all delivery partners or projects within their operation.

2. Background and context: ESF monitoring and evaluation requirements

The Common provisions regulations (CPR) and ESF regulations require the Managing Authority to monitor and evaluate ESF-funded activities.

The ESF Operational Programme 2014-2020 states that robust governance and accountability requires that programme related analysis, monitoring and evaluation forms an integral part of programme delivery.

In order to conduct monitoring and evaluation individual participant data is required. Legal advisors have confirmed that there is **a legal basis** for collecting and processing personal data and sharing it with the Managing Authority for the purposes of monitoring and evaluation (Article 56 of the CPR and Articles 5 and 19 and Annexes I and II of the ESF Regulations). Participant consent to collect participant

data and to be re-contacted for monitoring and evaluation purposes **is not** required. As such, participant data, including contact details should be collected and stored for **all** participants in order to meet monitoring and evaluation requirements. This includes all ESF and 'match' funded participants, and participants on YEI provision.

3. Participant privacy notice

For the purposes of the Data Protection Act 1998, DWP is the data controller in respect to information processed which relates to all participation in the project funded by the European Social Fund.

Grant Recipients should ensure that for all ESF operations / projects, the privacy notice used (by themselves or any delivery partners) explains to participants that their contact details may be used to re-contact them after leaving the ESF operation to invite them to take part in monitoring and evaluation activities. If a participant is contacted, they may refuse to participate in the research if they wish. Wording for the privacy notice can be found in box 1 below.

Box 1: Privacy notice – suggested wording

Your details will be stored securely and retained in compliance with the Data Protection Act 1998. This information will be used to evaluate this project and to report to the [*insert provider name*] and European Social Fund for monitoring purposes. You may be contacted to discuss your involvement in the project. For the purposes of the Data Protection Act 1998, the DWP is the data controller in respect of information processed which relates to your participation in the project funded by the European Social Fund, whilst the [*insert provider name*] is the data processor.

4. Collection of participant contact details

Grant Recipients should supply the following information for each participant:

i. Participant unique identifier
ii. Title
iii. Forename
iv. Surname
v. Address
vi. Postcode
vii. Home phone number
viii. Mobile number

ix. Email address
x. Project ID
xi. Project Title
xii. Project delivery location
xiii. Project delivery partner name
xiv. Provision end date

A full data schema listing the variables and format can be found in Annex I, and data definitions can be found in Annex II.

4.1. Data Validation

It is expected that Grant Recipients / providers will quality assure and validate all data prior to upload. Grant Recipients / providers are expected to supply all the details required in the schema. However, if the data is not available for a particular field, the field should be left blank (i.e. do not inset ‘null’ or ‘n/a’).

5. What will the contact details be used for?

The participant contact details will primarily be used for contacting a sample of people who have attended ESF or YEI funded provision, 6 months after leaving provision, to ask them to complete a short Leavers’ survey. This will enable the MA to report on the Longer Term Results Indicators for ESF and YEI participants as required by the European Commission. The contact details will also be used to support other ESF Programme research and evaluation activities as necessary.

The high level process for reporting the contact details is outlined below:

- Grant Recipients will routinely supply participant contact details to the Managing Authority, on a similar schedule to the participant level Management Information data upload to the ESF E-claims system;
- a representative sample of participant records will be drawn from the ESF E-claims Management Information database and matched to the participant contact detail records;
- independent external contractors commissioned by the DWP’s ESF Evaluation Team will use the participant contact details from the sample to arrange data collection via longer- term follow up surveys.

It is likely that the survey methodology will need to incorporate a variety of approaches in order to maximise the survey response rate (for example, telephone survey, written survey, and e-mail survey) – hence the need for a variety of contact details required for each participant.

6. Process for uploading the contact details

Grant Recipients will need to submit the participant contact details to DWP quarterly, including contact details data for all participants **who have left provision in the preceding quarter**[1]. Grant Recipients will be required to submit contact details according to the following schedule (see Annex III for detailed timetable for data submissions):

CFOs:	On the 60th calendar day following the end of the quarter (or on the last working day before the 60th day, where this is a non-working day)
Direct Providers:	On the 25th working day after end of the quarter

6.1. Submission of data

As the data contained in the contact details upload is personal data, it must be stored and transferred securely. The file must be emailed to DWP Data and Analytics Team (D&A) using **Secure Email (S/MIME)**. S/MIME email can be set up using Microsoft Outlook, but must be set up in advance of the first transfer (see Annex VI for guidance on setting up and using S/MIME email – this is also sometimes referred to as 'SEM'). The data file must only be sent upon receipt of confirmation that someone at DWP is ready to receive the file.

No other method of transfer should be used without prior written agreement from DWP, and **no file should be sent without confirmation that a DWP contact is ready to receive the file,** as doing so will result in a security breach and an incident will be raised to investigate.

The process for submitting contact details is as follows:

1. Grant Recipients will need to prepare a file in Pipe Separated Value (psv.) format, containing contact details of all participants who have left provision in the previous quarter, using the specified data schema. Instructions for saving a file as psv. are included in Annex IV. The file must be named according to the following naming convention:

   ESFContactDetails_PROVIDERNAME_Q1_YYYY.psv

[1] That is those participants who have an 'operation end date' in the MI participant data schema data upload for that quarter. We do not require contact details for all participants on provision every quarter.

- where PROVIDERNAME is replaced with the individual Grant Recipients name, without spaces;
- Q1_YYYY should be updated to reflect the actual quarter and year the upload refers to.

2. On the day of the upload, when sender[2] is ready to send contact details file, the sender must contact DWP D&A team to check that someone is ready to receive transfer (contact details can be found at the end of this document).
3. Upon receipt of confirmation, the sender will send the file to the named contact in the DWP D&A team, using S/MIME email.
4. DWP D&A contact will confirm receipt of the file.
5. Should the file fail to upload to the contact details database, the DWP D&A team will notify the sender. Where available, DWP will include any details about what cause the upload to fail. The sender will be expected to investigate and rectify the issue, and re-send the file for upload – following the same procedure (i.e. sender must once again check that someone is available to receive email, and send via S/MIME email).

It is important that all Grant Recipients follow the above process to ensure successful upload of the contact details to the database. Things that may cause a file to fail to upload include (but are not limited to):

- If the file naming convention is not adhered to;
- If the schema has been altered or adapted (e.g. if an extra column has been added, or if the name of a column has been changed);
- If the 'provision end date' (column T in the data schema) is incorrectly formatted – it should always be in DD/MM/YYYY format;
- There is a high proportion of fully duplicated records in the file (i.e. if a number of rows are exact duplicates of what has been submitted before, including the same unique ID and provision end date).

Before any data is transferred, DWP will require full details of the sender and data to be sent to enable us to seek approval for all data transfers taking place. An outline of the information DWP will request from all Grant Recipients is included in Annex V. Data should only be sent to DWP from the named contacts provided. Should the person(s) sending the participant contact details file(s) change during the lifetime of the project, DWP needs to be notified **before any transfer of data** from the new sender. DWP should also be notified of any changes to the details submitted (e.g. email address or contact details of sender, or if amount of data to be transferred will exceed specified number of records).

[2] By 'sender' we mean the specific individual who will be sending the contact details file(s) to DWP.

Where the file size exceeds any email attachment limits, the file can be split and sent in batches. The file size limit for S/MIME/SEM is usually between 7-10 megabytes, but may be different depending on local IT system settings. Where this is the case, the sender should notify DWP D&A team when they are seeking confirmation that someone is available to receive the file, and tell them how many files to expect. When more than one file is being sent, the file naming convention should be adapted to include the file number straight after the provider name (with no spaces), as follows:

File attachment in the first email:
ESFContactDetails_PROVIDERNAME1_Q1_YYYY.psv

File attachment in the second email:
ESFContactDetails_PROVIDERNAME2_Q1_YYYY.psv

And so on, until all files have been sent.

Annex VII contains a process checklist that you can use when completing the quarterly submission to ensure you have followed the necessary process steps.

7. Handling contact details for certain sensitive groups

Exceptionally, there may be a small number of participants who should not be re-contacted. These include, but are not limited to:

- Transsexual participants without a Gender Recognition Certificate
- VIPs: Members of Parliament, Senior Armed Services Personnel, Senior Civil Servants and Members of the Peerage. Please note that local dignitaries, pop stars and sports personalities are not classed as VIPs
- Participants who have served a serious custodial sentence (e.g. murder)
- Participants who have given evidence to police in criminal cases
- Participants who have run away from home to escape an arranged marriage
- Participants who consider themselves to be at serious risk of domestic violence

Grant Recipients / providers should take appropriate steps to ensure that the contact details for participants belonging to sensitive groups are <u>not</u> include in data transfers to the Managing Authority.

8. Contact

ESF Evaluation Team

Leanne Dew esf.evaluations@dwp.gsi.gov.uk

ESF Data and Analytics Team

Debby Bell Debby.bell@dwp.gsi.gov.uk

Sheila Cooper Sheila.Cooper@dwp.gsi.gov.uk

Caroline Ashmore Caroline.Ashmore1@dwp.gsi.gov.uk

Alexandra Hutchinson Alexandra.Hutchinson@dwp.gsi.gov.uk

Annex I - Data Schema Participant Contact Details Database

See Annex I – Data Schema for Participant Contact Details (excel spreadsheet – published separately.

Annex II - Data Definition for Contact Details Database Schema

Column	Heading	Format	Character Limit	Definition
A	BLANK	N/A	N/A	Blank column, do not populate
B	Unique_ID	VARCHAR2* *see definition below table	100	Will be the same as the participant identifier on the E-claims participant MI submission. Participant identifier per operation. This includes a reference number specified by the organisation (up to 20 characters) **and must also** include the 6 digit prefix.
C	Title	VARCHAR2	100	Participant's title
D	Forename1	VARCHAR2	100	Participant's first or given name.
E	Forename2	VARCHAR2	100	To be used if required to record further forenames or middle names for participant.
F	Surname	VARCHAR2	200	Participant's surname or family name.
G	Address1	VARCHAR2	35	Participant's first line of address. Usually house number/name and street name.
H	Address2	VARCHAR2	35	Participant's full address details, including Town, City, Region, County as appropriate.
I	Address3	VARCHAR2	35	
J	Address4	VARCHAR2	35	
K	Address5	VARCHAR2	35	
L	Postcode	VARCHAR2	8	Participant's full home postcode.
M	Home_Telephone	VARCHAR2	100	Participant's home telephone number – including area code.

N	Mobile	VARCHAR2	100	Participant's mobile number, or alternative contact number.
O	Email	VARCHAR2	100	Participant's email address.
P	Project_ID	VARCHAR2	100	Unique project identifier provided by ESFD
Q	Project_Title	VARCHAR2	100	As defined by the applicant
R	Delivery_location	VARCHAR2	100	LEP area the project is delivered in
S	Delivery_partner	VARCHAR2	100	Partner organisation involved in the project
T	Provision_End_Date	DD/MM/YYYY	100	Date participant left the operation.

*VARCHAR2 means a field is capable of accepting either alpha or numeric entries.

Annex III - Timetable for submission of contact details

Quarter / Year	Quarter end date	Covering data from participants leaving provision	Date of upload for CFOs	Date of upload for Direct Bid Providers
Q3 2016	30/09/2016	Start of provision – end of Q3 2016 (Jul-Aug-Sep)	29/11/2016	04/11/2016
Q4 2016	31/12/2016	Q4 2016 (Oct-Nov-Dec)	01/03/2017	03/02/2017
Q1 2017	31/03/2017	Q1 2017 (Jan-Feb-Mar)	30/05/2017	05/05/2017
Q2 2017	30/06/2017	Q2 2017 (Apr-May-Jun)	29/08/2017	04/08/2017
Q3 2017	30/09/2017	Q3 2017 (Jul-Aug-Sep)	29/11/2017	03/11/2017
Q4 2017	31/12/2017	Q4 2017 (Oct-Nov-Dec)	01/03/2018	02/02/2018
Q1 2018	31/03/2018	Q1 2018 (Jan-Feb-Mar)	30/05/2018	04/05/2018
Q2 2018	30/06/2018	Q2 2018 (Apr-May-Jun)	29/08/2018	03/08/2018
Q3 2018	30/09/2018	Q3 2018 (YEI only) (Jul-Aug-Sep)	29/11/2018	02/11/2018
Q4 2018	31/12/2018	Q4 2018 (YEI only) (Oct-Nov-Dec)	01/03/2019	04/02/2019

Annex IV – Instructions for saving a file as a psv.

Saving a file as a psv.

1. Save the original Excel document as a CSV (Comma delimited), by clicking saved as, and then selecting csv. (comma deliminated) from the drop down box next to ‘save as type’ – please note the spreadsheet can only contain **one** sheet.
2. Open the CSV created above as a text file into notepad (right click the file and choose **open with**)
3. The file will open into notepad and all values from the Excel spreadsheet will be separated by commas.
4. Click Edit and Replace, replace commas (,) with pipes (|). The pipe symbol (on a UK keyboard) looks like this: ¦ and is on the same key as the backward slash (the key to the left of the ‘z’ key). To insert the pipe symbol, you will usually need to hold ‘shift’ and press the key.
5. Replace all.
6. Save the file with a name followed by **.PSV**

Annex V - Details required for data transfer approval form

Grant Recipient name:	
If name is longer than 15 letters, please specify a shortened version of the name which you will use in the file name:	To avoid overly long file names, which may cause issues, please specify a shortened version of the name (no more than 15 letters) which you will use in the file name.
Sender's name(s):	This needs to be a specific person rather than role; can include details of multiple people if the data might be sent be different people in different quarters (please number each person, to link to contact details in box below).
Sender's telephone number(s):	
Sender's email address:	
Sender's organisation and address including postcode:	
Name of the system the data originated:	This will be the system on which you store contact details prior to transfer to DWP central contact details database (for example, 'excel spreadsheet containing contact details of ESF participants').
Please check the information below – if you are unable to comply with the methods of transfer detailed below, or think you will exceed to listed volumes, please contact Leanne Dew (esf.evaluations@dwp.gsi.gov.uk) to discuss.	
Number of files:	1 file per quarter usually (but may be more if needed to split into multiple files due to email attachment limits)

Details required for scheduling purposes	
Main contact name:	Only required if different from details of person sending data specified above
Contact details for main contact listed above Tel: Email:	
Date provision will start:	MM/YYYY
Date first leavers expected:	MM/YYYY
Date provision expected to end:	MM/YYYY
Date last leavers expected:	MM/YYYY
Will you expect to have participants leaving provision in every calendar quarter?	Yes / No Delete as required
Number of records in the inbound data:	Records will not exceed 3,000 participants (per quarter)
Format of the inbound data:	.psv (pipe separated value)
Data will be transferred to DWP by:	SMIME/SEM Internet email

Annex VI – SMIME/SEM Guidance

See Annex VI – SMIME/SEM Guidance (PDF document - published separately).

Annex VII - Process Checklist for each quarterly submission

Before first transmission	
Task	Complete
I have provided DWP with details for data transfer approval	
I have set up SEM with DWP Data and Analytics team members	
Note: If these steps have not been completed and you are expecting to submit contact details data in the next **6 weeks**, please contact the ESF Evaluation (esf.evaluations@dwp.gsi.gov.uk) team immediately.	

For each quarterly submission	
Task	Complete
Before data transfer date:	
I have submitted my participant level MI data (the participant data schema) to the Managing Authority (either via upload to ESIF e-claims system or clerical return to my contract manager)	
I have prepared the participant contact details data file and have:	
• Used the correct data schema	
• Only included participants who left provision in the preceding quarter	
• Saved it in a PSV. file	
• Used the correct naming convention	
• Ensured that the date in column T is in the correct format	
I/someone else in the organisation have quality assured the data in the file to ensure it is complete and accurate	
Checked that the file size is within my email attachment limits, and if it too large I have split the file ready to be sent in batches	
On the day of transfer:	
I have emailed DWP D&A to confirm that someone is available to receive file	
I have received confirmation that someone is available to receive file	
I have transferred the file to the person, using SEM email	
I have received confirmation that the file was successfully received	
I have emailed the ESF Evaluation team inbox to confirm I have uploaded my participant contact details data	