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Match Provider ESF Management Information (MI) User Instructions and Evidence Requirements

Match Provider ESF Management Information (MI)
User Instructions and Evidence Requirements

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Match Provider ESF Management Information (MI) User Instructions and Evidence Requirements

Please note: this document is owned by ESF 14-20 Programme Policy Team. You should direct any enquiries or requests for clarification to ESF14-20.CFOPOLICYQUERIES@DWP.GSI.GOV.UK

Background

Your provision will be used as Match funding for the DWP European Social Fund (ESF) 2014-2020 Programme. You will therefore be required to submit additional MI and retain evidence of results to ensure adherence to European Commission requirements.

The ESF 14-20 programme has different requirements regarding the collection and reporting of MI to previous ESF programmes. Each individual participant record must be reported against a number of personal characteristics which are captured on the ESF 1420m forms. Participant destinations/results (within 4 weeks of leaving) must also be reported and will be used to report ESF Programme Performance to the EU. To ensure full collection of MI, match providers are required to gather additional participant information on starting and leaving/completing provision.

Please note: this is separate to DWP's standard contract performance MI, which is processed through the Provider Referral and Payments (PRaP) system.

The solution used to gather ESF MI data is a Microsoft (MS) Excel form (eESF1420) and the MS Word versions of this form (ESF1420m) used to capture signatures.

IT Requirements

Users will require:

- Access to Microsoft Office 2010 or later versions of this software including Word, Excel and Outlook applications. Outlook should be set as the user's default email application.
- The ability to scan and save documents in PDF format in order to send signed copies of the ESF1420 form by email to DWP.

[Outlook set up guide](#)

You should have a specific folder set up in your directory to save the electronic ESF1420 Excel file (eESF1420) to, along with its supporting folders. This folder can be named as you require e.g. with the name of the individual Advisor/Tutor. It is important that you keep the eESF1420 in the same folder as the accompanying 'Extracts', 'Forms' and 'Templates' folders. The macros in the eESF1420 form will not work otherwise.

Timescales for submitting data to DWP

Initial Data: send within 10 days of the participant starting provision. Submitted on form 'ESF1420m: European Social Fund - Match Participant Form (Initial)'.

Each ESF1420m Initial must be signed, scanned and sent individually to DWP, following the Initial Assessment Meeting, via the email generated by the Microsoft Excel version of the form. The process is detailed in these instructions.

End data – send within 8 weeks (4 week tracking period plus 4 weeks) of the participant leaving provision. However, where it is later identified that this data was not submitted within this timescale, you should still supply DWP with the data as soon as possible. It is an ESF requirement that participant destination data is reported. Submitted on form 'ESF 1420m: European Social Fund - Match End Data'. This is to show the participants' destination/result within 4 weeks of leaving provision.

Process

Since 31 October 2016 the temporary PGP MI process has been closed and all Match data returns are only reported using the eESF1420 form.

If providers have outstanding legacy returns they will need to be input using the eESF 1420.

Open the eESF1420 to enter Initial Data or End Data for each individual participant. The form has been configured for your specific contract.

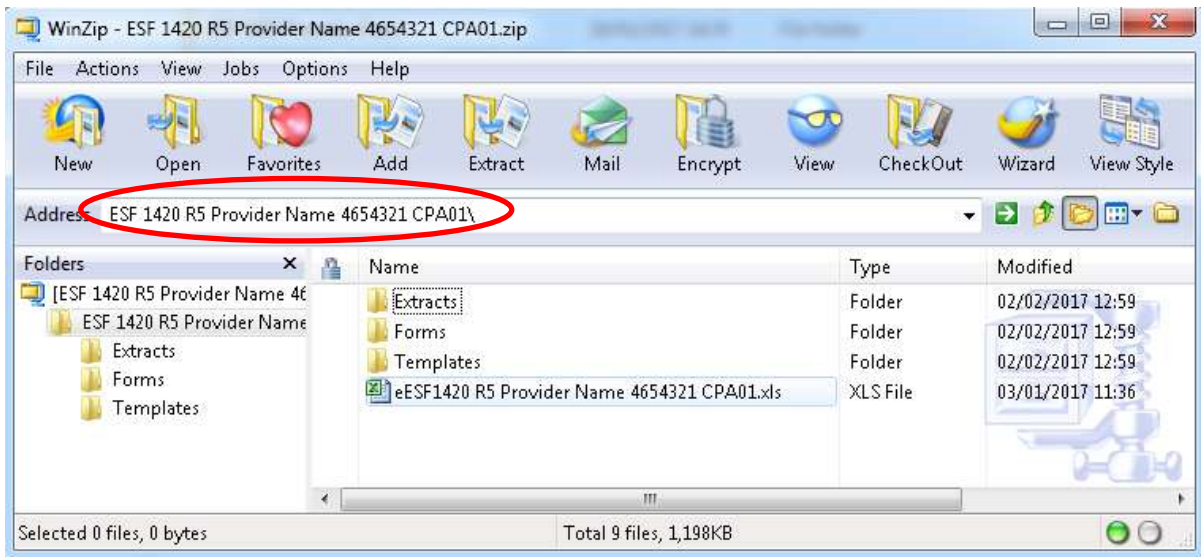
Please note: Work Choice retention cases should not be submitted as match MI because of their 'employed' status.

You will have received a WinZip file containing documents for you to save to a predetermined folder on your local or shared drive. The WinZip contents should appear as in Screen Shot 1.

The sub folders and Excel file must be kept in the same directory structure and not moved or renamed as this will cause the macros to fail. However, the root folder (named 'ESF 1420 R5 Provider Name 4654321 CPA01' in the example shown in screenshot 1 below) can be copied, moved or renamed as required.

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Screen shot 1



Extract the zipped documents into a designated folder, this can be repeated for each advisor/tutor to use individually. You may rename the folder containing the extracted documents but do not rename or move any of the extracted documents.

To extract the files, set up the destination folder first and copy the file path. Then highlight all four items:

eESF1420 Excel file and the 'Extracts', 'Forms' and 'Templates' folders. Select the 'Extract' icon from the WinZip menu and copy the destination file-path into the 'extract to' field.

You may need to check your email account instructions for unzipping/extracting documents as they may differ from those described above.

IMPORTANT – Save a copy of the files in a safe place in your directory. If your advisor/tutor copy becomes corrupted, you can then revert back to the master.

When you open the Excel document, if prompted, you should 'Enable Macros', 'Enable Editing' and click 'Yes' to the message 'do you want to make this file a trusted document?'.

Before using the form for the first time, you may need to adjust your Microsoft Trust Center settings (from the 'file/options' menu) by choosing 'enable all macros' and disabling 'protected view'. This is because the macros in the form will not work correctly unless the Microsoft application recognises the file as being from a trusted source and saved to a trusted location. Once you have completed the form for the first time and saved the files to a trusted location, the eESF1420 should function normally and you can restore your MS Trust Center settings (ie: 'disable all macros with notifications' and enable 'protected view'). Please consult your organisation's local IT support services if you require any technical assistance.

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eESF1420 Provider Section

The Provider section has been pre-populated with relevant information required by DWP to process your submissions.

There is an optional function built in for the advisor/tutor to pre-populate the provider section with their personal information which will automatically complete the Part 5 (Initial) and Part 3 (End). This should be completed prior to entering the participant data. We recommended that each advisor/tutor has their own copy of the form (with all the contents of the zipped document stored together) to input participant data onto.

Inputting Provider Reference Data

To access this screen please click on the European Union flag logo. (Circled in red on screen shot 2), then complete the boxes to personalise your Provider form and click on save. (Screen shot 3)

Screen shot 2

The screenshot displays the 'eESF1420 European Social Fund Participant Form (Match)' interface. At the top left, the European Union flag logo is circled in red. The header includes 'European Union European Social Fund' and 'ESF1420 European Social Fund Participant Form (Match)'. The Department for Work & Pensions logo is in the top right. The main content area contains three sections of buttons: 'Data Gather Required' with 'Initial Data' (circled in blue) and 'End Data'; 'Actions' with 'Print ESF1420', 'Save Extract', 'Email ESF1420', and 'New Participant'; and 'Print Clerical Forms' with 'Initial ESF1420' and 'End ESF1420'. An 'Exit' button is at the bottom center.

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Screen shot 3

The screenshot shows a web form titled 'ESF1420 European Social Fund' with the subtitle 'Provider Reference Data'. The form is part of the 'European Union European Social Fund' system, managed by the 'Department for Work & Pensions'. It contains three input fields: '1: Name of advisor/ tutor' with the value 'WILLIAM', '2: Email address of designated inbox' with the value 'WILLIAM@AOL.COM', and '3: Contact Telephone Number' with the value '07777 88888'. A 'Save' button is located at the bottom right of the form.

Once the adviser/tutor has completed this section, the form is ready to be used to record participant data.

Completing the Form

The participant will need to sign the ESF1420m form generated at the end of the process so this form should be completed while the participant is with you.

To begin, please click on the 'Initial Data' button (circled in blue on screen shot 2)

Use the blank fields and drop down options to complete each field. Guidance on completing the individual fields is available from page 13 onwards (Initial Data Gather / End Data Gather).

When all fields have been completed, click on 'Next' (circled in red on screen shot 4) to move to the next page. If any fields have invalid entries, a message will provide a prompt to indicate the missing or incorrect information. You will not be able to move on from this page if any mandatory fields have been omitted or completed incorrectly. After completing part 1 Participant Details and Part 2 Participant Characteristics, select 'Finish' (Circled in red on screen shot 5)

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Screen shot 4

ESF1420 European Social Fund

 **European Union**
European
Social Fund

ESF1420 European Social Fund
Participant Form (Match)

 **Department
for Work &
Pensions**


Part 1: Participant Details:

Title	Mr	
Forename	JOHN	
Surname	SMITH	
National Insurance Number	AA123456A	?
Date of Birth (dd/mm/yyyy)	01/01/1911	
What is the person's gender?	Male	?
Participant Address	1 ROAD STREET	
	SHEFFIELD	
Participant Postcode	S1 1AA	?
Telephone / Mobile Number	0987654321	
Email Address	JS@EMAIL.COM	
Please give the postcode of the Initial Assessment Meeting	S21AA	?
Start Date (dd/mm/yyyy)	17/07/2016	


< Back Next >

Screen shot 5

ESF1420 European Social Fund

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Participant Form (Match)

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Part 2: Participant Characteristics:

Which of the following statements best describes the person's Labour Market Status?	Unemployed, excluding long-term unemployed (CO01)	?
Does the person have basic skills?	Yes	
What is the person's highest educational attainment?	Primary education or equivalent (ISCED 1)	?
Is the person engaged in education or training?	No	
Is the person living in a Jobless Household?	Yes	?
Is the person living in a Jobless Household with dependant children?	Yes	?
Is the person living in a single adult household with dependant children?	Yes	
What is the person's ethnicity?	White - English/Welsh/Scottish/Northern Irish/British	
Does the person consider themselves disabled?	No	
Is the person an ex-offender?	No	
Is the person homeless?	No	

< Back Finish

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Screen shot 6

The screenshot displays the 'ESF1420 European Social Fund Participant Form (Match)' interface. At the top, there are logos for the European Union, European Social Fund, and the Department for Work & Pensions. The main content area contains three sections of buttons: 'Data Gather Required' with 'Amend Initial Data' (circled in red) and 'Amend End Data'; 'Actions' with 'Print ESF 1420' (circled in blue), 'Save Extract' (circled in purple), 'Email ESF 1420' (circled in green), and 'New Participant' (circled in black); and 'Print Clerical Forms' with 'Initial ESF 1420' and 'End ESF 1420' (both circled in orange). An 'Exit' button is located at the bottom center.

You will be returned to the main menu and the following options will be available:

- Amend (circled in red on screen shot 6)
- Save Extract (circled in purple on screen shot 6) to use with the alternative email process please see details on page 10.
- Print (circled in blue on screen shot 6)
- New Participant (circled in black on screen shot 6)

Printing the Form

With the participant present with you, click 'Print ESF 1420' and the DWP form will be generated in MS Word using the data you have input for the participant and also the pre-populated information. Using the File/Print menu select the printer and print the ESF1420m form.

If your default printer is not automatically selected, please assign the printer that you wish to use to print the form.

You can now show the participant the completed form so they can read through and sign the declaration; you can then complete and sign the adviser/tutor section.

Do not close down the Provider Form; keep it open in the background.

The Completed Form

The completed and signed ESF 1420m form now needs to be scanned and saved into your directory in order to attach to the email that will be generated in the next step.

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You may conclude your meeting with the participant once the form has been signed and checked if appropriate.

Once the scanned PDF version of the ESF 1420m has been saved, please go to the main menu and select 'Email ESF 1420' (circled in green on screen shot 6).

Emailing the Form

An email will be generated containing metadata (text in the body of the email) with an attached Excel Spreadsheet detailing the participant's MI characteristics. This information is created by a macro and presented in the format required by DWP.

You must now attach the signed PDF copy of the form to the email (using the 'Attach' function rather than copy and paste) ensuring it is the correct form for the customer data in the email. Please attach the PDF next to the Excel file (see below).

Screen shot 7



The Metadata that is automatically generated in the body of the email and the email address must not be amended, nor additional forms or data added.

Click on 'Send' and the email will be sent directly to the DWP ESF Admin Team.

You can now either 'Exit' the form to close down or click on 'New Participant' (circled black on screen shot 6) if you have another appointment.

IMPORTANT – Always close the forms down using the 'Exit' button on the main page. If you are on subsequent pages, use the 'Back' button to return to the main page and then the 'Exit' button.

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Always ensure that the Word document is closed correctly using the 'x' in the top right hand corner of the document. If this is not done after completing each form the document will become locked 'read-only' with the previous participant details.

The ESF1420m: European Social Fund – Match End Data process is identical to the Initial Data process with a few exceptions. The participant does not need to be present for the completion of the ESF1420m End Data as they do not sign the form but the information given by the advisor/tutor must be a true account of the participant's status within 4 weeks of leaving provision. There are only five questions to complete for the participant characteristics end data (see End Data Gather p.23).

Please note: It is important that the date the participant left provision is recorded consistently.

Clerical Process

If you are unable to meet the participant in a location where you can print the form or send email, you can take a clerical version of the form to the meeting. Use a black pen to circle the relevant response to each question and obtain the customer and advisor signatures on that copy. A scanned PDF copy will need to be created when you return to the office. The data from the clerical version will need to be keyed-in to the electronic Excel Initial or End data versions of the form, as appropriate. After completing the electronic version, attach the signed and scanned clerical ESF1420 to the email generated by the form and send it to DWP within 10 working days of completing the Initial Meeting or within 8 weeks of the participant leaving provision.

It is important that the electronic version accurately reflects the information gathered on the clerical form. When transferring data from the clerical form to the electronic form you may identify errors in how the clerical form was completed. This may require further clarification with the participant. Any alterations to the participant's personal details on the clerical Initial Data form must be signed by the participant.

Contract ID

The eESF1420 and clerical versions of the form have been pre-populated with relevant information required by DWP to process your MI submissions. The 'Contract ID' is a seven-digit number that will display on printed copies of the Initial and End Data forms. It is also shown in the eESF1420 Excel file name (see Screenshot 1).

Special Customer Records

If an individual has a Special Customer Record (SCR) you must not keep any electronic records. The ESF1420 Initial and End forms must be completed and signed and a copy sent by post to the DWP ESF Admin Team.

[Chapter 3 in ESF Provider Guidance](#) refers to the treatment of participants who have Special Customer Records.

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A clerical form should be completed and posted FAO;

Alyson Frow-Emsen
European Social Fund 2014-20 Programme
Change, Policy and Planning Division
Contracted Employment Provision Directorate, Finance Group
Department for Work and Pensions
Level 4, Rockingham House,
123 West Street, Sheffield,
S1 4ER

Alternative Email Process

If you do not have access to Microsoft Outlook as your default email or use an internet based email provider, please contact the ESF 2014-2020 Administration team:

CEP.ESF14-20ADMINTeam@DWP.GSI.GOV.UK

Missing or Incorrect Information

When the DWP ESF Admin Team receive an ESF1420m form that has missing or incorrect information they will return it to you. If information is missing or incorrect, you must send in either an amended or a new ESF1420 form. Any alteration of the form relating to the participant information must be signed and dated by the participant. If a lot of information needs amending on the form the Admin Team may request a new form to be completed.

Error codes

There is a list of error codes that the DWP Admin team will use, in conjunction with the Participant NINO, to alert you securely that information is missing or does not match DWP systems. A new or amended ESF 1420m form must be completed, signed and returned to DWP in the approved manner using the email generated by the eESF1420. On no account should you send participant information to DWP using the Admin team email shown above (Alternative Email Process).

Error codes list

Shaded areas do not apply to match provision as they relate to eligibility for the ESF 2014-2020 provision only.

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1	NINO provided does not exist.
2	Name/ NINO combination does not match DWP Records.
3	Form incomplete
4	Participant is on DWP provision which makes them ineligible
5	Has already taken part in ESF14-20 Provision in this same contract
6	Is not unemployed as stated on ESF14-20
7	Is not inactive as stated as there is conflicting information on DWP systems
8	Other

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Data Gather Required: Initial Data

Each section must be completed. A prompt will display for each section not completed. Please note that start dates are not included as they will be input by DWP staff once the referral has been completed.

Please note: Work Choice retention cases should not be submitted as match MI because of their 'employed' status.

Participant chose not to say: there are a number of questions where the response includes the option 'chose not to say'. In each instance, where possible, please encourage the participant to give an answer rather than the 'prefer not to say' option.

Initial Data Gather Part 1: Participant Details

Title:

Forename:

Surname:

National Insurance Number: Please enter the person's national insurance number. There is validation on this field and the National Insurance Number must be in the following format: - "AANNNNNNA" where A refers to a letter and N to a number.

If the participant does not have a National Insurance number, please follow the guidance on <https://www.gov.uk/apply-national-insurance-number> .Temporary National Insurance Numbers cannot be accepted.

Date of Birth: Please enter the person's date of birth in "dd/mm/yyyy" format, where d=day, m=month and y=year.

Gender: Where information is collected directly from participants, the **gender identity** of participants should be recorded (i.e. the gender that the participant wishes to be identified with).

Choice for this is Male/Female/*Participant chose not to say.

*Where possible, please encourage an answer to this question rather than the 'participant chose not to say' option.

Participant address: please enter 2 lines of the person's address.

If the participant does not have an address (no fixed abode) then a 'care of' address should be used, if there is no 'care of' address and the participant is a Jobcentre Plus claimant, use their local Jobcentre Plus office address.

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Participant postcode: there is validation on this field which will only accept valid postcodes.

Telephone/mobile number:

Email address:

Postcode of Initial Assessment Meeting: This is the postcode of the venue where the Initial Assessment Meeting was conducted. If the location is not one of your premises, or a location where you regularly work from, please use the location where the caseworker who will conduct the initial assessment is usually based.

Initial Data Gather Part 2: Participant Characteristics

Which of the following statements best describes the person's labour market status?

Unemployed, excluding long-term unemployed (CO01): please select this if the person states they are unemployed and they do not meet the definition of long term unemployed below (CO02).

Long-term unemployed (CO02): The definition of long term unemployed varies with age. Please select this from the drop down menu if:-

- Age under 25 – Over 6 months unemployed (continuous period)
- Age over 25 – over 12 months unemployed (continuous period)

Inactive (CO03): Inactive are persons currently not part of the labour force (in the sense that they are not employed or unemployed according to the definitions provided). Includes: -

- Full-time students (even if registered unemployed);
- ESA, IB, IS claimants
- UC claimants who are placed in the Work preparation requirement of Work-focused interview requirement conditionality groups
- People not receiving benefits
- People who are distant from the labour market who need additional support, skills and/or confidence to enable them to move towards employment.

Inactive, not in education or training (CO04): Please select this if the person meets the inactive categories (apart from full-time students) and also state they are not in education or training.

Does the person have basic skills? Please select yes/no.

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ISCED Education Levels

Basic Skills

Participants who do not have basic skills have difficulties with reading, writing and numeracy. They do not have entry level, level 1 or level 2 in English, maths or ESOL (below ISCED Level 1) at the time they join DWP ESF. If the person says “no” to basic skills, the ISCED level field needs to be Level 0.

A participant with basic skills who does not have qualifications/certificates should be recorded at ISCED Level 1.

Note: ‘entry level’ listed in the table below should be recorded as ISCED level 1 for the purposes of this MI collection.

What is the person’s highest educational attainment?

Please read the list of gov.uk [equivalent UK qualifications](#) for the ISCED levels which are also cited below.

ISCED- Level	Regulatory Quality Framework examples	Framework of Higher Education Qualification examples
Entry (1)	<ul style="list-style-type: none"> - Entry level certificate - Entry level Skills for Life - Entry level award, certificate and diploma - Entry level Functional Skills - Entry level Foundation Learning 	
1	<ul style="list-style-type: none"> - GCSE (grades D-G) - Key Skills level 1 - NVQ level 1 - Skills for Life level 1 - Foundation diploma - BTEC award, certificate and diploma level 1 - Foundation Learning level 1 - Functional Skills level 1 - Cambridge National level 1 	
2	<ul style="list-style-type: none"> - GCSE (grades A*-C) - Key Skills level 2 - NVQ level 2 - Skills for Life level 2 - Higher diploma - BTEC award, certificate and diploma level 2 	

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ISCED- Level	Regulatory Quality Framework examples	Framework of Higher Education Qualification examples
	<ul style="list-style-type: none"> - Functional Skills level 2 - Cambridge National level 2 - Cambridge Technical level 2 	
3	<ul style="list-style-type: none"> - AS and A level - Advanced Extension Award - Cambridge International award - International Baccalaureate - Key Skills level 3 - NVQ level 3 - Advanced diploma - Progression diploma - BTEC award, certificate and diploma level 3 - BTEC National - Cambridge Technical level 3 	
4	<ul style="list-style-type: none"> - Certificate of higher education - Key Skills level 4 - NVQ level 4 - BTEC Professional award, certificate and diploma level 4 	<ul style="list-style-type: none"> - Certificate of higher education - HNC
5	<ul style="list-style-type: none"> - HND - NVQ level 4 - Higher diploma - BTEC Professional award, certificate and diploma level 5 - HNC - HND 	<ul style="list-style-type: none"> - Diploma of higher education - Diploma of further education - Foundation degree - HND
6	<ul style="list-style-type: none"> - NVQ level 4 - BTEC Advanced Professional award, certificate and diploma level 6 	<ul style="list-style-type: none"> - Bachelor's degree - Graduate certificate - Graduate diploma
7	<ul style="list-style-type: none"> - BTEC Advanced Professional award, certificate and diploma level 7 - Fellowship and fellowship diploma - Postgraduate certificate - Postgraduate diploma 	<ul style="list-style-type: none"> - Master's degree - Postgraduate certificate - Postgraduate diploma

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ISCED-Level	Regulatory Quality Framework examples	Framework of Higher Education Qualification examples
	- NVQ level 5 - BTEC Advanced Professional award, certificate and diploma level 7	
8	- NVQs level 5 - Vocational qualifications level 8	- Doctorate

The list below gives more information on the ISCED categories:

ISCED LEVEL 1 Primary Education

ISCED LEVEL 2 Lower Secondary Education

ISCED LEVEL 3 – UPPER SECONDARY education Programmes at ISCED level 3, or “upper secondary” education, are typically designed to complete secondary education in preparation for tertiary education, or to provide skills relevant to employment, or both. Programmes at this level offer students more varied, specialised and in-depth instruction than programmes at ISCED level 2. They are more differentiated, with an increased range of options and streams available. For pupils ISCED level 3 begins after 8 to 11 years of education since the beginning of ISCED level 1. Pupils enter this level typically between age 14 and 16. ISCED level 3 programmes usually end 12 or 13 years after the beginning of ISCED level 1 (or around age 18), with 12 years being the most widespread cumulative duration.

ISCED LEVEL 4 - POST-SECONDARY NON-TERTIARY education post-secondary non-tertiary education provides learning experiences building on secondary education and preparing for labour market entry as well as tertiary education. Individual acquisition of knowledge, skills and qualification does not grant such access. For example, graduates from general ISCED level 3 programmes may choose to complete a non-tertiary vocational qualification; or graduates from vocational ISCED level 3 programmes may choose to increase their level of qualification or specialise further. Given the complexity of their content, ISCED level 4 programmes cannot be regarded as tertiary education programmes, although they are clearly post-secondary education. The completion of an ISCED level 3 programme is required to enter ISCED level 4 programmes. Usually, programmes at this level are designed for direct labour market entry. In some education systems, there are general programmes at this level.

ISCED levels 5- SHORT-CYCLE TERTIARY, education Programmes at ISCED level 5, or “short-cycle tertiary” education, are often designed to provide participants with professional knowledge, skills and competencies. Typically they are practically

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based, occupationally specific and prepare students to enter the labour market. However, programmes may also provide a pathway to other tertiary education programmes.

Academic tertiary education programmes below the level of a bachelor programme or equivalent are also classified as ISCED level 5. Entry to ISCED level 5 programmes requires the successful completion of ISCED level 3 or 4 with access to tertiary education. Programmes at ISCED level 5 have more complex content than programmes in ISCED levels 3 and 4, but they are shorter and usually less theoretically oriented than. For example: higher technical education, community college education, technician or advanced/higher vocational training, associate degree, bac+2

ISCED level 6 programmes often designed to provide participants with intermediate academic and/or professional knowledge, skills and competencies, leading to a first degree or equivalent qualification. Programmes at this level are typically theoretically based but may include practical components and are informed by state of the art research and/or best professional practice. They are traditionally offered by universities and equivalent tertiary educational institutions. Entry to these programmes normally requires the successful completion of an ISCED level 3 or 4 programme with access to tertiary education. Entry to educational programmes at this level may depend on subject choice and/or grades achieved at ISCED levels 3 and/or 4.

Programmes at ISCED level 7, or “master or equivalent”, are often designed to provide participants with advanced academic and/or professional knowledge, skills and competencies, leading to a second degree or equivalent qualification. Programmes at this level may have a substantial research component, but do not yet lead to the award of a doctoral qualification.

Programmes at ISCED level 8, or “doctoral or equivalent”, are designed primarily to lead to an advanced research qualification. Programmes at this ISCED level are devoted to advanced study and original research and typically offered only by research oriented tertiary educational institutions such as universities.

Please see [OECD website](#) for further information on the ISCED equivalent grades

Is the person engaged in education or training?

Yes/No

Is the person living in a jobless household?

Yes/No/*Participant chose not to say

If no to this question the next question will automatically default to ‘No’.

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*Where possible, please encourage an answer to this question rather than 'Participant chose not to say'.

Jobless households are households where no member is in employment, i.e. all members are either unemployed or inactive.

"employed" is defined as in the indicator "Employed, including self-employed".

"inactive" is defined as in the indicator "Inactive".

A household, is defined as a housekeeping unit or, operationally, as a social unit:

- having common arrangements;
- sharing household expenses or daily needs;
- in a shared common residence.

A household includes either one person living alone or a group of people, not necessarily related, living at the same address with common housekeeping, i.e. sharing at least one meal per day or sharing a living or sitting room.

The following are not interpreted as a household:

(i) Collective households or institutional households (as opposed to private households). These are for instance: hospitals, old people's homes, residential homes, prisons, military barracks, religious institutions, boarding houses and workers' hostels, etc.

(ii) In general, groups of students sharing accommodation are not considered to constitute a household because, even if they contribute towards shared common expenses such as rent or shared utility bills, they usually manage their finances independently. The household situation is determined on the date of entering the operation.

An individual person may be recorded under a number of 'disadvantage' –related indicators

Is the person living in a jobless household with dependent children?

Yes/No/*Participant chose not to say

*Where possible, please encourage an answer to this question rather than 'Participant chose not to say'.

Jobless and Households: please refer to previous question.

Dependent children refers to individuals aged 0-17 years and 18-24 years if inactive and living with at least one parent.

Is the person living in a single adult household with dependent children?

Yes/No/*Participant chose not to say

*Where possible, please encourage an answer to this question rather than 'Participant chose not to say'.

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Jobless" and "households" are defined as in the indicator "Participants who live in jobless households" of which the indicator "Participants who live in jobless households with dependent children" is a sub-group.

Dependent children refers to individuals aged 0-17 years and 18-24 years if inactive and living with at least one parent.

What is the person's ethnicity?

Please select from the options on the drop down list. This list includes the option

*Participant Chose not to say (signed exemption)

*Where possible, please encourage an answer to this question rather than 'Participant chose not to say'.

Does the person consider themselves disabled?

Yes/No/*Participant chose not to say

*Where possible, please encourage an answer to this question rather than 'Participant chose not to say'.

Is the person an ex-offender?

Yes/No Participant chose not to say

*Where possible, please encourage an answer to this question rather than 'Participant chose not to say'.

Is the person homeless

Yes/No/*Participant chose not to say

*Where possible, please encourage an answer to this question rather than 'Participant chose not to say'.

A person will be classed as being legally homeless if they:

- have no home in the UK or anywhere else in the world;
- have no home where they can live together with their immediate family;
- can only stay where they are on a very temporary basis;
- do not have permission to live where they are;
- have been locked out of their home and are not allowed back;
- cannot live at home because of violence or abuse or threats of violence or abuse which are likely to be carried out against them or someone else in their household;
- it is not reasonable for them to stay in their home for any reason, for example, their home is in very poor condition;
- cannot afford to stay where they are;

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People who are rough sleepers **should also be counted as being homeless**. The definition of rough sleepers is:

- people sleeping, about to bed down (sitting on/in or standing next to their bedding) or actually bedded down in the open air (such as on the streets, in tents, doorways, parks, bus shelters or encampments)
- people in buildings or other places not designed for habitation (such as stairwells, barns, sheds, car parks, cars, derelict boats, stations, or 'bashes').

The definition does not include people in hostels or shelters, people in campsites or other sites used for recreational purposes or organised protest, squatters or travelers. Bedded down is taken to mean either lying down or sleeping. About to bed down includes those who are sitting in/on or near a sleeping bag or other bedding.

Data Gathered Required: End Data

You are required to complete the ESF 1420m end form to capture the participants' destinations/results that occur within 4 weeks of leaving the provision. This will be used to report the ESF Programme performance to the EU. From the ESF 1420m menu, select 'End Data', circled in blue below, to input details.

Screen shot 8

The screenshot displays the 'ESF1420 European Social Fund Participant Form (Match)' interface. At the top, there are logos for the European Union, European Social Fund, and the Department for Work & Pensions. The main content area is divided into several sections. The 'Data Gather Required' section contains two buttons: 'Initial Data' and 'End Data', with the 'End Data' button circled in blue. Below this is the 'Actions' section, which includes buttons for 'Print ESF1420', 'Save Extract', 'Email ESF1420', and 'New Participant'. The 'Print Clerical Forms' section contains buttons for 'Initial ESF1420' and 'End ESF1420'. An 'Exit' button is located at the bottom center of the interface.

ESF results you must report are defined as:

- Labour Market Situation (employed/unemployed/long-term unemployed/inactive status)
- Movement into education or training
- Gaining a qualification, or
- Gaining basic skills

You must report the labour market situation (such as becoming employed) for all Participants who leave provision and also where it is established that the Participant

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has gained basic skills or a qualification whilst on Provision or moved into education or training.

Please note: you must report the employed result for participants who are employed within 4 weeks of leaving irrespective of whether a Job Outcome has been achieved. For this purpose there is no minimum period that they should be employed for.

It is best to have a system in place to ensure the results are considered 4 weeks after leaving to ensure results are not missed. Being employed is the most positive result for these contracts and if this occurs at any point within 4 weeks of leaving, this is the result to be reported. DWP expect the form to be returned by 8 weeks after leaving to allow you time to track the result.

End Data Gather Part 1: Participant Details:

Title

Forename

Surname

National Insurance Number

Date of Birth (dd/mm/yyyy)

Participant Address

Participant Postcode

Telephone/Mobile Number

Email address

End Data Gather Part 2: Participant Characteristics

Date of leaving provision (dd/mm/yyyy)

The last date the person attended provision

Which of the following statements best describes the person's Labour Market Status on leaving?

Choose from following drop down options:-

Unemployed, excluding long-term unemployed (CO01)

Please refer to initial data gather part 2.

Long-term unemployed (CO02)

Please refer to initial data gather part 2.

Inactive (CO03)

Please refer to initial data gather part 2.

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Inactive, not in education or training (CO04)

Please refer to initial data gather part 2.

Employed including self-employed (CO05)

Persons aged 16 and over in Employment (Work for pay, profit or family gain or were not at work but had a job or business from which they were temporarily absent because of for instance, illness, holidays, industrial dispute, and education or training).

Includes:

- Employees (including those in subsidised positions and apprentices);
- Self-employed;
- Family workers;
- Persons on maternity or paternity leave;
- non-UC claimants working over 16 hours per week;
- UC claimants whose circumstances place them in either; the All Work Related Requirements (AWRR) – Light Touch regime, or the No Work Related Requirements – Working Enough groups.

Excludes:

- UC claimants who are placed in the All Work Related Requirements (AWRR) – Light Touch regime because of their partner's circumstances **(treat as unemployed)**.
- Persons who are registered as unemployed but have a small part-time job* (as allowed under the definition of registered unemployed) - **(treat as unemployed)**.
- Persons on full-time parental leave - (if registered as unemployed then treat as unemployed, otherwise **treat as inactive**).
- Conscripts who performed some work for pay or profit during the reference week - **(treat as inactive)**.

*Definition of small part-time job:

A small part-time job as allowed under the unemployed definition. For **Unemployed** (as defined) Jobseeker's Allowance Participants 'a small part-time job' equates to employment under 16 hours per week.

For **Unemployed** (as defined) Universal Credit Participants 'a small part-time job' equates to employment that does not move the claimant out of the All Work Related Requirements (AWRR) - Intensive Work Search Regime.

Is the person engaged in education or training on leaving the provision?

Please refer to initial data gather part 2.

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Where the participant has moved into training or education you may try to gain evidence of this by email/note from the participant. If you only know this verbally you can self-declare this destination.

Has the person gained a qualification from this provision before leaving?

Please refer to initial data gather part 2.

This employability provision does not usually enable qualifications to be gained however there may be instances where provision has enabled basic skills qualifications to be achieved.

Did the person have basic skills on leaving the provision?

Please refer to initial data gather part 2.

This should be the same answer that was given at the initial data gather, unless the participant had no basic skills on starting the provision but gained a relevant qualification from this provision.

What is the person's highest educational attainment on leaving?

Please refer to initial data gather part 2.

This should be the same answer that was given at the initial data gather, unless the participant had no basic skills on starting the provision but gained a relevant qualification from this provision.

Evidence of Results

You must ensure you have robust systems in place to assure that the information you are providing is correct. Evidence must show that the result was achieved within 4 weeks of leaving the provision. As a minimum it is expected that you gain, and retain Employer verification of the paid 'employed' result and a Provider self-declaration for all other results which are unpaid results.

Moving into Employment

Evidence must be obtained and retained to support any result indicators that link to payments i.e. Job Outcomes. This will be used as evidence for ESF audit. See preferred evidence below.

Where a participant moves into unsupported employment you must report the result and retain job evidence even though a 13 week paid job outcome has not yet been achieved at that time. The employment may at a later date lead to a payable outcome (paid result) and ESF audit will need evidence of that employment from day one, showing that the result was achieved within 4 weeks of leaving provision.

Match Provider ESF Management Information (MI) User Instructions and Evidence Requirements

Evidence of employment is always needed to support Job Outcome Payments for ESF Audit. However, if you are unable to gain evidence of the employment, you must self-declare the employed result on ESF1420 for MI/reporting purposes only. You would not then be able to use this employment period towards a paid Job Outcome without it being fully evidenced.

The onus on checking results and retaining appropriate evidence rests ultimately with you. It is not possible for this guidance to demonstrate all Participant results.

Provider Self Declaration

You can use form ESF1420 to self-declare results which do not link to payments, however retaining additional supporting evidence is good practice and would support ESF audit. See preferred evidence below.

In education/training upon leaving

This can be defined as:

- Participants who have received support from ESF Match Provision and who are newly engaged in education (lifelong learning, formal education) or training activities (off-the-job/in-the-job training, vocational training, etc within 4 weeks of leaving provision).

You must ensure you have robust systems in place to assure that the information you are providing is correct. As a minimum it is expected that you gain, and retain self-declaration of the result.

Gaining qualification

This result only applies where a qualification is attributable to participation in ESF Match Provision. Qualifications can be defined as:

- Qualification means a formal outcome of an assessment and validation process which is obtained when a competent body determines that an individual has achieved learning outcomes to given standards.

You must ensure you have robust systems in place to assure that the information you are providing is correct. As a minimum it is expected that you gain, and retain self-declaration of the result. As further evidence of the result you may also seek to verify achievement of qualifications by requesting and taking copies of qualification certification.

Please Note: As gaining a qualification may happen throughout a Participant's participation on Provision it is advised that securing this information and ratification should be sought / verified at the point you become aware of the result as opposed to gathering retrospectively upon leaving.

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Gaining basic skills

This result only applies where the gaining of basic skills is attributable to participation in ESF Match Provision.

Basic skills can be defined as:

- One or more of the following: literacy; numeracy or ESOL at (UK Skill levels) entry level, level 1 or 2.

You must ensure you have robust systems in place to assure that the information you are providing is correct. As a minimum you must state why you deem the person to have gained basic skills by self-declaration.

Please Note: As gaining basic skills may happen throughout a Participant's participation on Provision it is advised that recording this information should be sought / verified at the point you become aware of the result as opposed to gathering retrospectively upon leaving.

Preferred Evidence

Result Type	Indicative list of supportive documentation (only one item from the list required)
Into employment	<ul style="list-style-type: none">• Confirmation of employment from employer (this could be a letter, email or a template)• Wage slip• Contract of employment
Into self-employment	<ul style="list-style-type: none">• Confirmation of self-employment, e.g. HMRC letter evidencing registration• Bank statement for business account• Registration with Companies House
Into education / training	<ul style="list-style-type: none">• Evidence of enrolment / registration at school, college, university or learning provider (documentation)• Letter / template from educational / training institution
Gaining a qualification or part of a qualification	<ul style="list-style-type: none">• Qualification certificate issued to individual.• (Project should keep a copy of the certificate in the participant's record and certify it as a true copy of the original).• Letter / template / award letter / confirmation from awarding body• Project or the participant to request confirmation of the qualifications in writing from the academic institution / qualification body.

Notifying ESF Participant results to DWP

Result information must be securely submitted to DWP on the ESF1420 form.

Evidence of Payments

Job Outcome Payments

For Job Outcome definitions please see Provider Guidance for your specific Provision.

Claiming Payments

All payments made in respect of this Provision will be made via PRaP. Further information regarding PRaP can be found in the DWP Generic Provider Guidance <https://www.gov.uk/government/publications/provider-referrals-and-payments-prap-system-for-dwp>.

You will also be expected to maintain a robust system of internal controls which must include appropriate checks, monitoring arrangements and adequate records to demonstrate that you are entitled to make the claim. The records maintained need to be sufficient not only to support any claim for Job Outcomes payments but also to support your internal management checks and independent validation e.g. by DWP and other external bodies. The records maintained should document how and when the information was obtained.

Further information regarding the preferred evidence of employment for ESF audit can be found above, this includes the requirement to evidence that destination results occur within 4 weeks of leaving provision. Further ESF Audit requirements can be found in the [DWP Framework Generic Provider Guidance Chapter 11b: ESF requirements 2014 to 2020 \(England only\)](#).

ESF Documentation and Evidence Retention Requirements

As this is ESF Match funded Provision it is subject to stringent audit by DWP and EC Auditors who will require evidence that the Provision is being delivered in accordance with the contract and all payments are clearly and appropriately evidenced. Failure to meet these audit requirements can result in financial penalties or withdrawal of funding.

You must, therefore, keep evidence and key documentation in support of Provision delivery and payments for ESF Match Provision. It is your responsibility to ensure that documents and data can be relied on for ESF audit purposes. You must have robust systems in place to ensure that documentation (paper or electronic) is securely held and is easily retrievable and accessible throughout the retention period. Evidence of employment is detailed above.

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Further details of the documentation that must be retained as a minimum can be found in the [DWP Framework Generic Provider Guidance Chapter 11b: ESF requirements 2014 to 2020 \(England only\)](#).

Clerical Forms

Initial data gather clerical form

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/527166/specialist-employability-support-provider-guidance-annex-7a.rtf

End data gather clerical form

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/527168/specialist-employability-support-provider-guidance-annex-7b.rtf