Annex 10: European Social Fund (ESF) Provider Management Information (MI) Set Up and User Instructions

Contents

Living with Covid-19
This guidance has been updated to include arrangements that DWP, as CFO for our ESF 2014 – 2020 Programme, has put in place to allow you to continue to deliver provision now that all Covid-19 restrictions have been lifted and the updated Government advice has progressed to 'Living with Covid-19'.

A blended delivery model is acceptable to the Department longer term. However, please note, that whilst the Department supports a blended delivery model for all ESF funded provision, this must be based on participant need and the preferred method of delivery is face to face, where possible. Our Performance Managers will continue to monitor whether remote delivery is being overly relied upon and will discuss this with you during your monthly CPR meetings.

Your records should clearly state why remote delivery was the most appropriate and an email audit trail should exist to demonstrate paperwork was completed in agreement with the participant if no wet signature has been obtained.

As all Covid restrictions have been lifted and the updated Government advice has progressed to 'Living with Covid-19' it is no longer appropriate for ESF- related paperwork, completed when delivering provision remotely, to contain 'Covid-19' in lieu of a signature from 7th May 2022.

We are now asking that 'Covid-19' is replaced by 'Remote delivery' in the signature box for those participants who cannot be seen face to face. The 'Covid-19' wording will not be accepted on any ESF 1420 Initial and End forms or [Annex1: ESF 2014 - 2020: Good News Story Template and Consent Form](#) submitted from 7th May 2022.

When you are delivering face to face, a wet signature must be obtained, and retrospective signatures should be attained when the participant is next seen in person and such form/s retained on file for audit.

Chapter 1 Set Up

Background

The provision you supply is funded by the European Social Fund (ESF) 14-20 Programme. As detailed in your contract, you are required to submit Management Information (MI) to ensure adherence to European Commission requirements.

The ESF 14-20 Programme has different requirements regarding the collection and reporting of MI to previous programmes. Each individual participant record must be reported against a number of personal characteristics which are detailed in the ESF 1420 forms. The requirement to provide DWP standard MI, processed through PRaP, will continue and includes some of the MI data captured on the ESF 1420

forms. To ensure full collection of MI, ESF Providers are required to gather additional participant information on starting, leaving or completing provision.

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 ESF 1420 form 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 Excel file 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 participant data collection (ESF1420 - ESF Participant Referral Form (Initial)) – within 5 days of the participant signing the ESF1420 form.

End participant data collection (ESF 1420 - ESF End Data)
– within 8 weeks (4 week tracking period plus 4 weeks) of the participant completing 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.
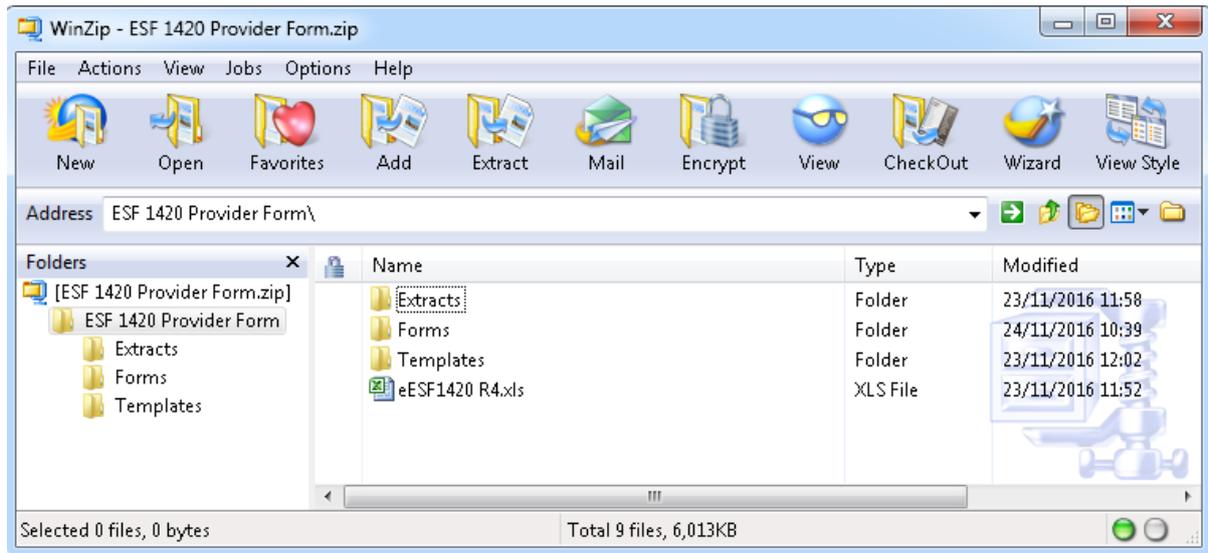
Each Participant ESF1420 Initial form must be signed by the participant and advisor/tutor, scanned and sent to DWP by email following the Initial Engagement Meeting. End data forms are completed and signed by the advisor/tutor only, but still scanned and emailed as described in these instructions.

Process

For all ESF participants, open the eESF1420 file to enter Initial Data or End Data for each individual participant. The form has been configured for your specific contract.

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.

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 where the files are located but <u>do not rename or move any of the extracted documents</u>.

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

ESF1420 Provider Section

The ESF1420 form has been pre-populated with relevant information required by DWP to process your MI submissions.

The advisor/tutor must pre-populate the provider section with their name, email and phone number for these details to transfer onto printed copies of the Initial Data and End Data forms. This should be done before entering participant details. We recommended that each advisor/tutor uses their own copy of the form with these details saved.

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 enter the Advisor name, email and telephone number and select save. (Screen shot 3)

Screen shot 2

Screen shot 3

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

Completing the Form

The participant will need to sign the ESF1420 form generated at the end of the Participant Engagement Meeting. Ideally the electronic form should be completed while the participant is with you. Alternatively, you can complete a clerical version of the form and key-in the data to the electronic form later on.

To complete the electronic form, select the 'Initial_Data' button (circled in blue on screen shot 2)

Use the blank fields and drop down options to complete each field. Instructions are detailed in Chapter 2.

When all fields are complete, 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 prompt what information is required for that field. You will not be able to move on from this page if any mandatory fields are not completed correctly. After completing part 1 Participant Details, Part 2 Participant Characteristics and Part 3 Participant Eligibility, select 'Finish' (Circled in red on screen shot 5)

Screen shot 4 – Par1 Participant Details (example)

Screen shot 5 – Part 2 Participant Characteristics (example)

Screen shot 6 – Part 3 Participant Eligibility (example)

Screen shot 7 – Main Menu

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

- Amend - (circled in **red** on screen shot 7)
- Save Extract - (circled in **purple** on screen shot 7) to use with the alternative email process please see details on page 10
- Print ESF 1420 - (circled in **blue** on screen shot 7) **Note** – You **must** select Print first before clicking Email, you cannot return to Print if you have clicked Email first. The form will have to be completed again
- Email ESF 1420 – (circled in **green** on screen shot 7) **Note** – You **must** select Print first before clicking Email if you need to capture the participant and advisor signatures on the form. You do not need to print the form first if you are re-keying the information taken from a clerically completed form that has already been signed by the participant and advisor.
- Print Clerical Forms – (circled in **orange** on screen shot 7) to use with the clerical process only. Note, clerical forms are not to be submitted as an alternative to the IT data string electronic version. See pages 10-11 for more information.

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.

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 sign the advisor/tutor section.

Do not exit the provider form; keep it open in the background.

The Completed Form

The completed and signed ESF1420 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.

Once the scanned and saved PDF version of the ESF 1420 has been saved, please go to the main menu and select 'Email ESF1420'.

Living with Covid-19 - Completing the ESF1420 Forms - Signatures

The ESF1420 Initial and End forms, should be annotated 'Remote delivery' in the signature box to confirm the participant was enrolled during this event. The date should be included. All case notes held on file must reflect the conversations which have taken place with participants and reflect the information put on the forms. Email evidence for audit should be gathered and retained to demonstrate the individual's participation on the programme.

The rest of the ESF1420 form processing should remain in line with Complete The Form section of this chapter pages 9-10 and can be submitted to the ESF 14-20 Admin Team as usual but any forms not signed 'Remote delivery' and dated will be rejected.

ESF1420 Initial Forms – Annotating the signature box with 'Remote delivery' is acceptable from 07/05/2022.

Whilst the Department supports a blended delivery model for all ESF funded provision, this must be based on participant need and the preferred method of delivery is face to face. Our Performance Managers will continue to monitor whether remote delivery is being overly relied upon and will discuss this with you during your monthly CPR meetings.

Your records should clearly state why remote delivery was the most appropriate and an email audit trail should exist to demonstrate paperwork was completed in agreement with the participant if no wet signature has been obtained.

When you are delivering face to face, a wet signature must be obtained, and retrospective signatures should be attained when the participant is next seen in person and such form/s retained on file for audit.

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.

Can you please ensure when an ESF14-20 form is submitted for the first time, that the appropriate heading is used within the email subject as follows:

ESF Live [Prime Provider Name]

If you are returning a form following correction, please include the following in the email subject:

ESF Live **Resubmission** [Prime Provider Name]

If you are submitting a form in a LEP area that uses the wider/narrow eligibility options please use the following in the email subject:

ESF Live **Wider or Narrower Eligibility** whichever is applicable. Note, where the referred participants fall into both eligibilities please state the **narrower** one as this is still a key target.

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.

The Metadata which 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 7) 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.

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.

Clerical Process

If you are unable to meet the participant in a location which would allow you to print the form or send the email, you can take a clerical version of the form to the meeting. 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 4 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 and any alterations to the participant's personal details on the clerical form must be signed by the participant.

Contract ID and Category of Region fields
The ESF1420 form has been pre-populated with relevant information required by DWP to process your MI submissions. The 'Category of Region' and 'Contract ID' will display on printed copies of the Initial Data form. The Category of Region will be one of the following:

- Less developed
- Transitional
- More Developed

The Contract ID is a seven-digit number also shown in the eESF1420 file name.

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 ESF 2014 - 2020 Provider Guidance refers to the treatment of participants who have Special Customer Records.

The forms should be posted FAO:

ESF Admin Team
Department for Work and Pensions
2nd Floor, Brunswick House,
29 Price Street,
Birkenhead
CH41 6JN

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

CEP.ESF14-20ADMINTEAM@DWP.GOV.UK

Missing or Incorrect Information

When the DWP ESF Admin Team receive an ESF1420 which 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 Code List

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 ESF1420 form must be completed, signed and returned to DWP in the approved manner using the email generated by electronic ESF1420 form. On no account should you send participant information to DWP using the Admin team email shown on page 11 (Alternative Email Process).

1. NINO provided does not exist.

2. Name/ NINO/Date of Birth does not match DWP Records.

3. Form incomplete/missing attachments- please complete sections stated in additional information

4. Participant is on DWP provision which makes them ineligible (as noted in additional information)

5. Has already taken part in ESF1420 provision in this same contract.

6. Labour Market Status on form ESF14-20 differs to DWP records (at Part 3)

7. Is not Long Term Unemployed/inactive as stated on ESF14-20 (Part 2, Q2)

8. Other, see additional info above

Chapter 2 User Guidance

Data Gather Required: Initial Data

On selecting Initial Data, a message will display stating the following:-
'Evidence to support the participants' eligibility must be available for you to record prior to completing this form'. Select 'OK' to continue.

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.

Prefer not to say: there are a number of questions where the response includes the option 'Participant chose not to say'. In each instance and where possible please encourage the participant to answer other than the 'Participant chose 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.

Where a participant has the relevant Right to Work ID and you are processing a new/first time NINO please input the default NINO as 'AB123456C.'

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 'Participant chose not to say'.

Participant address: please enter 2 lines of 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 then if the participant is a Jobcentre Plus claimant then they can use their local Jobcentre Plus office.

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

Telephone/mobile number: Optional field.

Email address: Optional field.

Postcode of Participant Engagement meeting: This is the postcode of the venue where the Participant Engagement Meeting will be conducted and initial Action Plan agreed. 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 engagement meeting is usually based.

> **Living with Covid-19 - Completing the ESF1420 Forms – Postcode for Engagement Meeting**
> The providers nearest initial assessment building postcode (within the LEP/Contract boundary) should be used by staff working from home. The original process above takes into consideration such flexibilities.

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):

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

Please note: the long-term unemployment definitions here are for the MI reporting purposes and are different to the long-term unemployment definition for the provision's eligibility criteria.

Inactive (CO03):

Please refer to Annex 8 Labour Market Definitions:

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

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 below on the electronic version will prepopulate to ISCED Level 0.

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

ISCED-Level	Regulatory Quality Framework examples	Framework of Higher Education examples
0	- Entry level certificate - Entry level Skills for Life - Entry level award, certificate and diploma - Entry level Functional Skills - Entry level Foundation Learning	
1	- 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	- 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 - Functional Skills level 2 - Cambridge National level 2 - Cambridge Technical level 2	

ISCED-Level	Regulatory Quality Framework examples	Framework of Higher Education examples
3	- 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	- Certificate of higher education - Key Skills level 4 - NVQ level 4 - BTEC Professional award, certificate and diploma level 4	- Certificate of higher education - HNC
5	- HND - NVQ level 4 - Higher diploma - BTEC Professional award, certificate and diploma level 5 - HNC - HND	- Diploma of higher education - Diploma of further education - Foundation degree - HND
6	- NVQ level 4 - BTEC Advanced Professional award, certificate and diploma level 6	- Bachelor's degree - Graduate certificate - Graduate diploma
7	- BTEC Advanced Professional award, certificate and diploma level 7 - Fellowship and fellowship diploma - Postgraduate certificate - Postgraduate diploma - NVQ level 5 - BTEC Advanced Professional award, certificate and diploma level 7	- Master's degree - Postgraduate certificate - Postgraduate diploma
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 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. <u>For example: higher technical education, community college education, technician or advanced/higher vocational training, associate degree, bac+2</u>

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 [OEDC 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.

*Where possible, please encourage an answer to this question rather than the 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 the 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 the 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.

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'

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

Is the person and ex-offender?
Yes/No/*Participant Chose not to say'
*Where possible, please encourage an answer to this question rather than the 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 the 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

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.

Note, when completing the ESF 1420 form for a homeless participant, you must note the participant address postcode as 'HS99 9ZZ', this is needed as part of the ESF MI reporting process. As the form also needs an address completing, you can use the

Jobcentre Plus address (but not the JCP postcode). We will update the ESF Provider Guidance with this information.

Initial Data Gather Part 3: Participant Eligibility

Please refer to [Chapter 3 ESF 2014 - 2020 Provider Guidance](#) for details of eligibility and eligibility evidence requirements.

There are 4 questions in this section.

Each section has a maximum of 150 characters allowing providers to state the relevant eligibility criteria and categories along with the type of evidence seen and retained. The detailed information and evidence to support the participant's eligibility will be gathered separately ie on a participant self-declaration which is retained by the provider. The questions are:

• **Please detail in the space provided what evidence you have seen and retained to confirm the individual named in Part 1 is legally resident, has the right to take paid employment in the UK and is aged over 16.**

Include here the type of document you have seen to check the customer's identity and confirm whether you have kept the reference or serial number of the documents seen. You are not required to state the actual reference/serial numbers on this form.

• **Please detail in the space provided what evidence you have seen and retained to confirm the individual named in Part 1 is unemployed or inactive.**

For the unemployed status you should note any evidence you have seen and retained but in addition DWP will confirm the unemployed status by checking DWP systems.

• **Please detail in the space provided the eligibility category (as detailed in provider guidance) for which the individual named in Part 1 is being referred.**

Where a LEP area uses the narrow and wider eligibility criteria please state which of these 2 apply. The European Commission requires reporting for both narrow and wider eligibilities so the providers need to separate these out on the ESF 14/20 returns. Note, where the referred participants fall into both eligibilities please state the **narrower** one as this is still a key target group for the provision.

Refer to [Annex 1 Contract Package Area specific information](#) in the provider guidance:

For the 'long-term' criteria please state if this is a period of unemployment, inactivity or a combination of the two.

Where there are combined periods of unemployment and inactive periods to make the 26 week long-term period you must confirm here that you have retained a self declaration to support that the participant was either inactive or unemployed throughout the 26 week period. Where known, you should detail the period of unemployment for the DWP Admin Team to confirm.

Where the participant has more than one barrier to work, each barrier must be noted here.

• **Please detail in the space provided below what evidence you have seen and retained to confirm eligibility, including a self-declaration (where appropriate).**

DWP will confirm any periods of unemployment or any qualifying benefits if appropriate.

Note, you should not keep copies of passports, driving licences, birth certificates or identity cards. All other evidence should be copied and retained as per paragraph 3.33 of the ESF 2014-20120 provider guidance.

Data Gathered Required: End Data

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, or, if they disengaged, record 52 weeks from the start date.

For the London Troubled Families Contracts, the maximum duration of the ESF Provision for a Participant is a continuous period of 65 weeks from the Participant's start.

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.

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.

Is the person engaged in education or training on leaving the provision?
Please refer to initial data gather part 2.

Where the participant has moved into training or education you may try to gain evidence of this my 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 gained basic skills or other relevant qualification from this provision.

Clerical forms

1. **[Initial data gather clerical form](#)**

2. **[End data gather clerical form](#)**