



Education & Skills
Funding Agency



European Union
European
Social Fund

Funding Rules

2014 to 2020 ESF Programme

ESF Specifications Deliverables Evidence

Requirements

Version 2

This document sets out evidence requirements (along with an indicative list of supportive information) for contract deliverables for the 2014 to 2020 European Social Fund Programme.

These rules apply to contracts commencing from 1 April 2019

April 2019

Of interest to providers



Evidence Requirements

Deliverable Name	Evidence Requirements
ST01 Participant Assessment and Plan	<p>Completion of ALL of the following documentation:</p> <ul style="list-style-type: none"> • ILR or equivalent signed by participant; and • A copy of a signed Individual Learning Plan (ILP)/Learning Agreement and Initial Assessment; and • Signed provider declaration/form to confirm and detail what supporting evidence they have seen to confirm eligibility/age/employment status to meet ESF requirements and the specific contract requirements. Please refer to the Expected Evidence section for examples; and • Evidence of RQ01 and/or NR01 Start Payment (with the EXCEPTION of IP1.4 Community Grants) <p>For IP2.1 – Skills Support for the Workforce – Strand 2 only:</p> <p>Where a learner is redundant (i.e. unemployed) at the start of the programme:</p> <p>All of the points detailed above.</p> <p>Where the participant has been made redundant and is no longer employed by the company there is no need for a company data form and TNA.</p> <p>For IP2.1 – Skills Support for Workforce/Redundancy:</p> <p>Where a learner is employed at the start of the programme:</p>



	<p>All of the points detailed above, plus the following:</p> <ul style="list-style-type: none">• Completed company Training Needs Analysis, agreed by the employer; and• Completed General Company Data Capture Form, as prescribed by the ESFA, signed by the employer. <p>Where the participant is under notice of redundancy and still employed by the company a Company Data Capture Form must be completed.</p>
RQ01	<p>START PAYMENT – Registration / Application to awarding body</p> <p>ACHIEVEMENT PAYMENT – Any of the following evidence:</p> <ul style="list-style-type: none">• Internal Verification Report – direct claim status ONLY showing participant; or• External Verification Report showing participant; or• Certificate from the Awarding Body; or• Application for the certificate to the Awarding Body; or• Awarding Body results list



NR01	<p>START PAYMENT – evidence that the participant has started on the agreed programme of activity, which will last a minimum of 7 hours.</p> <p>COMPLETION PAYMENT – evidence that the agreed programme of activity documented in the ILP has been completed.</p> <p>In circumstances where a participant fully completes their learning or gets a positive outcome before completing all of their required hours the provider should withdraw the original aim and use an appropriate aim for the learning completed at point of progression/completion.</p> <p>Where a participant withdraws or does not fully complete all ILP activity and there is no positive progression, you must NOT amend the original learning aim.</p>
CG01 – Community Grant Payment	<p>Documentary evidence to show what the approved grant funding is purchasing</p> <p>AND ALL of the following:</p> <ul style="list-style-type: none">• Evidence of publication of grants and for applications; and• List of applications for grants received identifying the organisation; and• Copies of applications; initial appraisal and recommendation to panel and they have been assessed according to a fair and transparent process; and



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	<ul style="list-style-type: none"> List of grant recipients including value of grant awarded, minutes of the original award panel decisions and notices to organisations; and (Where appropriate) subsequent changes between award and payment supported by meeting minutes/documented decisions; and Evidence of defrayed expenditure, supported by bank statements (that the Grant Co-ordinating Body has made payment to the grant recipient before submitting claim to the ESFA), including defrayed staged payments where required.
CG02 – Community Grant Management Cost	Evidence of grants defrayed (CG01 evidence) and the management fee defined as per percentage detailed in the contract.
PG01 Progression Paid Employment (EMP)	<p>Documentary evidence of start in paid employment showing participant details, job title, employer name and address, start date and hours contracted.</p> <p>For self-employed participants evidence of registration with HMRC for self-employment and documentary evidence to support start on self-employment (see examples in evidence table in the Expected Evidence section).</p> <p>For Community Grants IP1.4 only:</p> <p>Documentary evidence of confirmation from the participant stating that they have started self-employment or paid employment, showing participant details, job title, employer name and address, start date and contracted hours where applicable.</p> <p>This deliverable must be achieved within 28 days of the participant’s completion of the ESF funded activity.</p>



<p>PG03 Progression Education (EDU)</p>	<p>NOTE: At risk of NEET participants will only need to meet * evidence requirements when returning to EET.</p> <p>Documentary evidence of the participant starting on a programme of education and training at a higher level than completed on the ESF programme OR for a minimum of 20 GLH at the same level showing provider/college name, qualification title or course, participant details, start date and planned GLH.</p> <p>OR</p> <p>*Risk of NEET - confirmation that they are now EET and are continuing in learning (confirmed by the learning institution). This does not have to be at a higher level than completed on the ESF programme.</p> <p>FOR PARTICIPANTS COMPLETING CREDITS AT LEVEL 3 OR ABOVE</p> <p>Where a participant has completed between 10 and 14 credits from a Level 3 or above qualification (or between 100 and 140 GLH), the provider can claim a PG03 progression where the participant continues to study towards the full Level 3 or above qualification. Documentary evidence showing provider/college name, qualification title or course, participant details and start date.</p> <p>This deliverable must be achieved within 28 days of the participant’s completion of the ESF funded activity.</p>
<p>PG04 Progression Apprenticeship (EDU)</p>	<p>Documentary evidence of the participant start on an apprenticeship showing provider/college name, apprenticeship title, employer name, participant details and start date.</p> <p>This deliverable must be achieved within 28 days of the participant’s completion of the ESF funded activity.</p>



<p>PG05 Progression Traineeship (EDU)</p>	<p>Documentary evidence of the participant start on a traineeship showing provider/college name, traineeship title, participant details and start date.</p> <p>This deliverable must be achieved within 28 days of the participant’s completion of the ESF funded activity.</p>
<p>SD01 Progression in Work</p>	<p>Documentary evidence from the employer, confirming one of the following in-work progressions:</p> <ul style="list-style-type: none"> • Payslip/letter from the employer detailing an increase of at least 1% in pay/salary • Previous and revised contract of employment showing increase in hours (e.g. part-time to full-time) • Previous and revised contract of employment moving from zero to contracted hours • Previous and revised job description showing additional responsibilities. <p>Evidence must include participant name, date of birth or National Insurance Number, job title and employer name.</p> <p>This deliverable must be achieved within 28 days of the participant’s completion of the ESF funded activity.</p> <p>For IP2.1 Skills Support for the Workforce – Strand 2 – Skills Support for Redundancy ONLY:</p> <p>Documentary evidence that the participant has progressed to a new job role within the same employer, or a new job role with a different employer, confirming the following:</p> <ul style="list-style-type: none"> • That the participant was “at risk of redundancy” at the start of the intervention • For a new role in current employer: previous contract of employment showing job title and new contract of employment showing change in job title • For a new role in a new employer: documentary evidence from a new employer confirming participant name, employer name, job start date, job title



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	<p>This deliverable must be achieved within 28 days of the participant's completion of the ESF funded activity.</p>
SD02 Development Plan	<p>Development Plan developed within 6 months of contract start date that will include as a minimum:</p> <ul style="list-style-type: none">Section 1: An OverviewSection 2: StakeholdersSection 3: Proposed ActivitySection 4: Action PlanSection 5: ImpactSection 6: RisksSection 7: Meeting LEP PrioritiesSection 8: Monitoring and ReviewSection 9: Measures of Success <p>The plan must be approved by the LEP and the ESFA.</p>



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Expected Evidence examples

The Managing Authority have published guidance on expected evidence “ESF Data Evidence Requirements – Eligibility and results”. Please refer to the guidance on Gov.uk: <https://www.gov.uk/government/publications/european-structural-and-investment-funds-eligibility-documents>



ESF Specifications Deliverables Evidence Requirements v2 September 2019

Table of Changes

Deliverable Name	Addition for Clarification
ST01 Participant Assessment and Plan	<p>For IP2.1 – Skills Support for the Workforce – Strand 2 only:</p> <p>Where the participant has been made redundant and is no longer employed by the company there is no need for a company data form and TNA.</p> <p>For IP2.1 – Skills Support for Workforce/Redundancy:</p> <p>Where the participant is under notice of redundancy and still employed by the company a Company Data Capture Form must be completed.</p>
PG01 Progression Paid Employment (EMP)	<p>For Community Grants IP1.4 only:</p> <p>Documentary evidence of confirmation from the participant stating that they have started self-employment or paid employment, showing participant details, job title, employer name and address, start date and contracted hours where applicable.</p> <p>This deliverable must be achieved within 28 days of the participant's completion of the ESF funded activity.</p>