Withdrawn

2014-2020 European Growth Programme

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

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

June 2018

Contents

1. Purpose of the guidance

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

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

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

1.1. Who should use this guidance?

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

Grant beneficiary organisations will be expected to provide contact details data for all delivery partners or projects within their operation. The grant beneficiary organisation will be responsible for the quality of the data submitted.

2. Background and context: ESF monitoring and evaluation requirements

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

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

In order to conduct monitoring and evaluation individual participant data is required. There is **a legal basis** for collecting and processing personal data and sharing it with the Managing Authority for the purposes of monitoring and evaluation (Article 56 of the CPR and Articles 5 and 19 and Annexes I and II of the ESF Regulations). Therefore, participant consent to collect participant data and to be re-contacted for monitoring and evaluation purposes **is not** required. As such, participant data,

including contact details should be collected and stored for **all** participants in order to meet monitoring and evaluation requirements. This includes all ESF and 'match' funded participants, and participants on YEI provision.

3. Participant privacy notice

The following guidance on participant privacy notices has been updated to reflect the introduction of the General Data Protection Regulation (GDPR) in respect of the collection and processing of data required to support monitoring and evaluation of the ESF programme. It should be read in conjunction with the DWP's Personal Information Charter on GOV.UK which has been updated to be GDPR compliant. It is important that any privacy notice relating to ESF includes a link to this.

Grant recipients should ensure that for all ESF operations / projects, the privacy notice used (by themselves and any delivery partners) includes the following information below. It is based on information set out in the ESF Programme Action Note 018/18 issued 02 May 2018 which provides briefing on the implications of the GDPR for the ESF Programme. This Action Note sets out the data controller and data processor roles in respect of ESF personal data and establishes the lawful basis for processing personal data in ESF. You should also refer to Action Note 020/18 which provides additional advice on data Right of Access Requests.

Table 3.1: Wording for participant privacy notice

The purposes of the data processing	The information you provide to [*operation / project provider name*] will be shared with the Department for Work & Pensions (DWP) and used to evaluate this project and to report to the [*operation / project provider name*] and European Social Fund for monitoring purposes, in line with European Commission regulatory requirements. Your information will also be shared with research organisations working on behalf of the Department for Work & Pensions who may contact you to discuss your involvement in the project for research purposes. Participation in research is voluntary and you will be asked to consent before taking part in any research activity you may be contacted about. The DWP may also link your personal details to official administrative records in order to monitor your employment status before your ESF support began and 6 to 12 months after you left. This information may also be shared with research organisations working on behalf of the DWP however

	individuals will **not** be identifiable and you will **not** be contacted about this research. Data will **not** be used or shared for any commercial or marketing purposes. At all times your information will be kept securely, and nobody will have access to it that shouldn't.
The lawful basis for the processing	For the purposes of the General Data Protection Regulation (GDPR), the DWP is the data controller in respect to information processed which relates to all participation in the European Social Fund. ESF grant beneficiary organisations are data processors in respect to information processed which relates to participants in the operations and projects funded by the European Social Fund. DWP is **not** the controller for any other / additional data collected by [*operation / project provider name*] that is not essential for delivering the ESF programme, or for any personal data that would normally be collected anyway by [*operation / project provider name*]. The ESF Programme Action Note 018/18 sets out the lawful basis for processing personal data under ESF.
The retention periods for the personal data	All personal data held by DWP or research contractors **for the purposes of evaluation** will be permanently deleted no more than six months after the research has been completed (i.e. when the final report is published on GOV.UK). Personal data held by DWP for all other ESF purposes as required by European Commission regulations will be retained in line with the current guidance on GOV.UK at: https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/591617/ESF_Guidance_on_document_retention.pdf
The rights available to individuals in respect of the processing	If you do not wish your personal data to be used for ESF evaluation purposes please contact ESF.EVALUATIONS@DWP.GSI.GOV.UK and we will delete your data held for these purposes and you won't be contacted about participating in research. More information about how and why DWP uses your personal information, including how to ask for a copy of the personal information DWP holds about you can be found in DWP's *Personal Information Charter* at:

| | https://www.gov.uk/government/organisations/department-for-work-pensions/about/personal-information-charter

Information about how to ask for a copy of the information DWP holds about you (known as a 'Right of Access Request') can be found at:
https://www.gov.uk/guidance/request-your-personal-information-from-the-department-for-work-and-pensions |
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4. Collection of participant contact details

Grant Recipients should supply the following information for each participant:

    i.   Participant unique identifier
   ii.   Title
  iii.   Forename
  iv.   Surname
   v.   Address
  vi.   Postcode
 vii.   Home phone number
viii.   Mobile number
  ix.   Email address
   x.   Project ID
  xi.   Project Title
 xii.   Project delivery location
xiii.   Project delivery partner name
xiv.   Date participant leaves provision

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

4.1. Data Validation

It is expected that Grant Recipients / providers will quality assure and validate all data prior to upload. Grant Recipients / providers are expected to supply all the details required in the schema. However, if the data is not available for a particular field, the field should be left blank (i.e. do not inset 'null' or 'n/a' or delete the field or column). Data quality is the responsibility of Grant Recipients, and where issues in data quality are identified this will be followed up.

5. What will the contact details be used for?

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

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

- Grant Recipients will routinely supply participant contact details to the Managing Authority, on a similar schedule to the participant level MI (Management Information) data they upload to the ESF E-claims system or send to their contract manager as part of the claim on the Participant Data Schema (PDS);
- a representative sample of participant records will be drawn from the ESF E-claims Management Information database and matched to the participant contact detail records submitted to DWP by all Grant Recipients;
- we will be matching the PDS MI data to the contact details data that you submit separately using the participant unique ID – it is therefore imperative that the unique IDs, including all formatting are the same on both data files;
- independent external contractors commissioned by the ESF Evaluation Team at DWP will use the participant contact details from the sample to arrange data collection via longer- term follow up surveys.

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

6. Process for uploading the contact details

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

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[1] That is those participants who have a 'leave date' in the MI participant data schema (PDS) data submitted for that quarter. We do not require contact details for all participants on provision every quarter.

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submissions):

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

6.1. Submission of data

As the data contained in the contact details data upload is personal data, it must be stored and transferred securely. The file must be emailed to DWP Data and Analytics Team (D&A) as a PGP encrypted attachment. To PGP encrypt a file Grant Recipients must have access to software which enables PGP encryption. If you do not already have software with this functionality, you will need to obtain it.

The data file must only be sent upon receipt of confirmation that someone at DWP is ready to receive the file. The file will need to be encrypted using the PGP public key from DWP colleagues; these keys will be sent to you once you confirm you have the necessary software in place.

PGP encrypted email attached is the only DWP approved transfer method, and all providers must use this method[2]. No other method of transfer should be used without prior written agreement from DWP, and no file should be sent without confirmation that a DWP contact is ready to receive the file, as doing so will result in a security breach and an incident will be raised to investigate.

The process for submitting contact details is as follows:

1. Grant Recipients will need to send a .psv file containing participant contact details for all participants who left provision in the preceding quarter, on a quarterly basis. This .psv file needs to be PGP encrypted and sent to DWP colleagues as an email attachment.
2. Grant Recipients will need to prepare a file, using the ESF Participant Contact Details Data schema (available in Annex I). Grant Recipients should note that an updated version of the ESF Participant Data schema was released in August 2017. All Grant Recipients should be using version 2 (dated Jul 2017) of the ESF Participant Data Schema.
3. The data schema should be completed, so that it contains contact details for all participants who have left ESF or YEI provision in the previous quarter, and

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[2] The only exception to this is Grant Recipients who successfully set up a S/MIME email link before 25th May 2017. These Grant Recipients can continue to submit data via S/MIME email.

where applicable any participants who have left in previous quarter but were not included in the relevant data submission. Once the data schema has been completed, click on the 'create psv file'. There are instructions for using the ESF Participant Data schema in Annex I, and on the 'help' tab in the ESF Participant Data Schema file itself.

4. The .psv file being sent to DWP must adhere to the following naming convention. When using the version 2 (Jul 2017) ESF Participant Data Schema this will be done automatically, as long as you complete the boxes on the 'cover page' tab asking for organisation name, and the year and quarter the data refers to.

5. The file must be named according to the following naming convention:

    ESFContactDetails_PROVIDERNAME_Q1_YYYY.psv

    - where PROVIDERNAME is replaced with the individual Grant Recipients name, without spaces;
    - Q1_YYYY should be updated to reflect the actual quarter and year the upload refers to;
    - The 'ESFContactDetails_' part should be exactly as written above – with a capital 'ESF', capital 'C' at start of contact and capital 'D' at start of Details, and no spaces;
    - If your PROVIDERNAME is longer than 11 characters, please use a shortened version.

6. Once the .psv file containing the necessary data has been created and checked, the data sender[3] needs to PGP encrypt this file using the public PGP keys supplied by the DWP D&A contacts (these will be emailed to the sender ahead of the first data transfer). The data sender will complete the encryption using the Symantec software[4]. Further detail and instructions for using PGP encryption can be found in Annex VI.

7. On the day of the upload, when the data sender is ready to send the contact details file, the sender must contact DWP D&A team to check that someone is ready to receive transfer (contact details can be found at the end of this document).

8. Upon receipt of confirmation, the data sender will attach the encrypted file to an email and send the email to the named contacts in the DWP D&A team.

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[3] By 'sender' we mean the specific individual who will be sending the contact details file(s) to DWP.
[4] Or other appropriate software which can be used for PGP encryption purposes and has been successfully tested with DWP colleagues to confirm it is suitable for secure file transfer.

9. The DWP D&A contact will confirm receipt of the file. Once received, DWP colleagues will attempt to load the file into the ESF Participant Contact Details Database.

10. Should the file fail to upload to the contact details database, the DWP D&A team will notify the sender. Where available, D&A colleagues will include any details about what caused the upload to fail. The sender will be expected to investigate and rectify all issues with the data, and re-send the file for upload – following the same procedure (i.e. sender must once again check that someone is available to receive email, and send as a PGP encrypted email attachment).

11. D&A colleagues will attempt a second upload – if the file fails to upload on second attempt D&A colleagues will notify the sender, who will need to correct the file and re-submit. This will not be uploaded until the next quarterly upload, and the sender's contract manager will be notified that the sender has failed to comply with providing the data of the quality required to specified timescales. Failing to comply with the data submissions required for monitoring and evaluation of the ESF programme can result in termination of Funding Agreement or withdrawal of funds.

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

- If the file naming convention is not adhered to;
- If the schema has been altered or adapted in any way (e.g. if an extra column has been added or a column deleted, or if the name of a column has been changed);
- If the 'provision end date' (column S in the data schema) is incorrectly formatted – it must always be in DD/MM/YYYY format;
- There is a high proportion of fully duplicated records in the file (i.e. if a number of rows are exact duplicates of what has been submitted before, including the same unique ID and provision end date);
- If the file is not submitted in .psv file format;
- If the wrong number of pipes is included in any or all rows within the file. In .psv file format pipes are used to separate the data fields/columns, therefore there should always be 18 pipes in each row – too many or too few pipes in any row will cause the upload to fail;
- If there are extra characters in the data fields (e.g. speech marks or commas);
- If there are extra rows of data (for example extra rows only containing pipes or commas, or non-sense data).

If the Grant Recipient is using the specified ESF Participant Data schema (version 2, Jul 2017) then many of these issues will be flagged or prevented by the checks and processes built into the revised data schema.

All senders should conduct a thorough visual check of the file before submission, to ensure the data looks correct after conversion to a .psv file.

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

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

File attachment in the first email:
ESFContactDetails_PROVIDERNAME1_Q1_YYYY.psv

File attachment in the second email:
ESFContactDetails_PROVIDERNAME2_Q1_YYYY.psv

And so on, until all files have been sent.

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

7. Handling contact details for certain sensitive groups

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

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

Grant Recipients / providers should take appropriate steps to ensure that the contact details for participants belonging to sensitive groups are <u>not</u> included in data transfers to the Managing Authority. In these cases, the unique ID, leave date, and provision details fields should still be completed on the participant contact details data schema, but, the personal data fields (name, surname, address, postcode, telephone number, mobile number) should be left blank.

8. Contact

ESF Evaluation Team

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Evaluation team inbox: esf.evaluations@dwp.gsi.gov.uk

ESF Data and Analytics Team

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Annex I - Data Schema Participant Contact Details Database

The current version of the ESF Participant Contact Details Data Schema is: Version 2 (August 2017). This should be used from the August 2017 data submission onwards.

See Annex I – Data Schema for Participant Contact Details (excel spreadsheet – published separately: https://www.gov.uk/government/publications/evaluation-of-the-european-social-fund-2014-to-2020).

Using the revised ESF Participant Data schema (version 2, August 2017)

Version 2 of the ESF Participant Data schema has a number of checks and process built in to make it easier for providers to submit a data file which can successfully be uploaded to the ESF Participant Contact Details database.

The main changes are:

- A system of prompts and checks to flag when there may be an error in the data so that this can be identified and corrected before submission;
- A button for the automatic creation of the .psv file with the correct naming convention, so that Grant Recipients will not need to do this manually.

1. Download the ESF Participant Data schema, using the link above (or available from this website: https://www.gov.uk/government/publications/evaluation-of-the-european-social-fund-2014-to-2020
2. Save the file in a sensible place suitable for storing participant data, and where you can access it; make sure you select 'enable macros' or 'enable content' when asked.
3. Open the ESF Participant Contact Details Data schema (if prompted ensure you select 'enable macros' or 'enable content').
4. On the cover page (the first tab in the excel workbook), put your organisation name in the yellow box. If your name is longer than 11 characters, make sure you use a shortened version.
5. Fill in the purple 'Select QTR' box and red 'Select YEAR' box using the drop down options.

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6. Go into the second tab on the workbook, called 'Data'. Either manually enter or copy and paste your data into the excel sheet.
7. The data sheet has a number of checks and validations built in. A specific cell is highlighted red when it contains, or may contain, an error. The entire row is shaded pink if one of the cells within it contains an error. You should also check the table to right of the data entry section (column T onwards). **This checks table** will highlight which cells are showing a potential error.
8. Once you have checked, and where necessary corrected all the flagged errors, go back to the 'Cover_Page' tab and click the 'create psv file' button.
9. This will automatically create a .psv file and save it in the same place as you have saved the excel version of the Data schema.
10. If there are still errors in the data then it won't let you create the psv and will give a message telling you to go back and correct the errors. The error message will flag the first example of the error – but there may be more in the file, so review the checks table to confirm.
11. Once you have successfully completed the data entry and created the .psv file, open the .psv file using notepad and complete a final visual check of the data.
12. Then PGP encrypt the .psv file, and follow the steps outlined in the main body of the guidance document for sending this to DWP.
13. Please **only** send the .psv file to DWP – we do not require the excel version.

If you are unable to use the ESF Participant Contact Details Data schema (version 2, Jul 2017), please let the ESF Evaluation team know, using the contact details in the guidance document.

If this is the case, you will need to use the previous version of the data schema and will need to conduct thorough manual checks of the data, and complete the conversion to .psv file yourself (instructions for how to save a file as .psv are included in Annex IV of this document).

If you are manually creating the .psv file, you will need to carefully check the file to ensure it meets the standards required for a successful data upload (see page 8 of this Guidance document for a list of errors which will prevent successful upload).

Annex II - Data Definition for Contact Details Database Schema

Column	Heading	Format	Character Limit	Definition
A	Unique_ID	VARCHAR2* *see definition below table	100	Will be the same as the participant identifier on the participant data schema (PDS) submitted as part of your quarterly claim submission. IT IS IMPERATIVE THAT THE UNIQUE IDS ON BOTH FILES ARE THE SAME, INCLUDING ALL FORMATTING (i.e. if spaces are removed on the PDS submission they must also be removed on the contact details) The creation of unique IDs should follow the guidance issued by the Managing Authority
B	Title	VARCHAR2	100	Participant's title
C	Forename1	VARCHAR2	100	Participant's first or given name.
D	Forename2	VARCHAR2	100	To be used if required to record further forenames or middle names for participant. If you are not using this column, it must still be left in the data schema but left blank (this applies to all columns in the schema).

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E	Surname	VARCHAR2	200	Participant's surname or family name.
F	Address1	VARCHAR2	35	Participant's first line of address. Usually house number/name and street name.
G	Address2	VARCHAR2	35	Participant's full address details, including Town, City, Region, County as appropriate.
H	Address3	VARCHAR2	35	
I	Address4	VARCHAR2	35	
J	Address5	VARCHAR2	35	
K	Postcode	VARCHAR2	8	Participant's full home postcode.
L	Home_Telephone	VARCHAR2	100	Participant's home telephone number – including area code.
M	Mobile	VARCHAR2	100	Participant's mobile number, or alternative contact number.
N	Email	VARCHAR2	100	Participant's email address.
O	Project_ID	VARCHAR2	100	Unique project identifier provided by ESFD
P	Project_Title	VARCHAR2	100	As defined by the applicant – ideally this should be something that would be recognisable and make sense to the participant to help them identify which provision we are referring to
Q	Delivery_location	VARCHAR2	100	LEP area the project is delivered in
R	Delivery_partner	VARCHAR2	100	Partner organisation involved in the project
S	Provision_End_Date	DD/MM/YYYY	100	Date participant left the operation. This must match the leave date on the participant data schema (PDS)

| | | | | submitted as part of your claim.

As soon as a participant has a leave date on the PDS submitted as part of your claim, they need to be included in the participant contact details data return for that quarter. |
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*VARCHAR2 means a field is capable of accepting either alpha or numeric entries.

Annex III - Timetable for submission of contact details

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

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

Note: you will only need to manually save the file as .psv if you are unable to use the reissued version of the ESF Participant Contact Details Data schema. If you are using version 2 (August 2017) version of the ESF Participant Contact Details Data schema, this will be done automatically.

Saving a file as a .psv

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

See the Annex IV – Creating and Saving a PSV file document published here for more detailed step by step instructions with screenshots and troubleshooting tips to help you submit a compliant file.

Annex V - Details required for data transfer approval form

Grant Recipient name:	
If name is longer than 11 letters, please specify a shortened version of the name which you will use in the file name:	To avoid overly long file names, which may cause issues, please specify a shortened version of the name (no more than 11 letters) which you will use in the file name.
Sender's name(s):	This needs to be a specific person rather than role; can include details of multiple people if the data might be sent be different people in different quarters (please number each person, to link to contact details in box below).
Sender's telephone number(s):	
Sender's email address:	
Sender's organisation and address including postcode:	
Name of the system the data originated:	This will be the system on which you store contact details prior to transfer to DWP central contact details database (for example, 'excel spreadsheet containing contact details of ESF participants').
Please check the information below – if you are unable to comply with the methods of transfer detailed below, or think you will exceed the listed volumes, please contact Will Farbrother(william.farbrother@dwp.gsi.gov.uk) to discuss.	

Details required for scheduling purposes	
Main contact name:	Only required if different from details of person sending data specified above
Contact details for main contact listed above Tel: Email:	
Date provision will start:	MM/YYYY
Date first leavers expected:	MM/YYYY
Date provision expected to end:	MM/YYYY
Date last leavers expected:	MM/YYYY
Will you expect to have participants leaving provision in every calendar quarter?	Yes / No Delete as required
Number of files:	1 file per quarter usually (but may be more if needed to split into multiple files due to email attachment limits)
Number of records in the inbound data:	Records will not exceed 3,000 participants (per quarter)
Format of the inbound data:	.psv (pipe separated value)
Data will be transferred to DWP by:	PGP encrypted email attachment

Annex VI – PGP Guidance

Background:

1) The participant contact details data file must be submitted as a PGP encrypted email attachment.
2) All Grant Recipients must ensure they have access to the necessary software to enable them to do this.
3) The PGP encryption technology is now owned by Symantec. You will need to check with your IT colleagues and/or Symantec sales advised which software solution is most suitable for your organisation[5]. It is likely that 'Symantec File Share Encryption' will be most suitable for sending the encrypted file.
4) Symantec software can be purchased directly from Symantec on this website: https://www.symantec.com/en/uk/products/file-share-encryption. The cost for the Symantec File Sharing Encryption product is about £135 per licence[6]; you will require a licence for each person who will be required to submit data.
5) Grant Recipients will need to cover the cost of the software if they need to procure it. However, the cost of the software is an eligible programme cost, therefore you will be able to claim back half of the costs as part of your claim.
6) This software is used by some organisations in their data security or encryption purposes. You should check with the relevant people in your organisation that you do not already have this software:
   a. You can also check the icons on the right hand side of your task bar (you may need to click the little up arrow to 'show all hidden icons') If you have a small padlock icon, which says 'Symantec Desktop Encryption' when you hover the mouse over it, it is likely that you have the software
   b. If someone else in your organisation has this software (even if they do not work on the ESF project) and is willing to send the data required on a quarterly basis, then we can accommodate this and just need to ensure the correct sender is recorded on the data security form.

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[5] There is open source software available which can enable PGP encryption. DWP does not recommend these products, and cannot provide any advice or support with their procurement or use, but does not have restriction on their use by Grant Recipients is they choose to use this option instead.
[6] Correct as of 25th May 2017.

Using PGP

7) Once you have procured the software, the DWP named contacts in Data and Analytics (Alex Hutchinson and Caroline Ashmore) will send you their public PGP key. This will be sent as an email attachment.

8) You will need to ensure these keys are imported into the Symantec Desktop Encryption (PGP) software. You do not need to send anything to DWP colleagues.

9) Once you have received the key, you should send a test encrypted file to Alex and Caroline.

10) The test file should not contain any real data – it should either be blank or contain 'dummy' (made up) data that does not relate to an identifiable individual. It can be either excel or .psv format for the test (but the real data must always be submitted as a .psv file).

11) The Symantec Desktop (PGP) software has an 'encryption wizard' that will take you through the necessary steps. Alex and Caroline's public keys must be added as the encryption keys.

12) Once the file is encrypted, the file name should have .pgp at the end (after the .psv).

13) Save this encrypted file somewhere you can access it.

14) Open a normal email and select attach file – then select the encrypted file.

15) Then send the email to Alex and Caroline.

16) Alex or Caroline will confirm receipt, and let you know if the test has been successfully encrypted/decrypted.

17) Please note it is only the data file which should be encrypted and not the entire email.

18) Once the test is complete, and this has been confirmed as successful by Alex or Caroline, you are ready to send the real data. Follow the same steps as the when you sent the successful test file.

19) When submitting the real data file, if the file attachment is too large you can use WinZip to compress the file before sending, or split the data file and send the data to DWP in batches.

Annex VII - Process Checklist for each quarterly submission

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

For each quarterly submission	
Task	Complete
Before data transfer date:	
I have submitted my participant level MI data (the participant data schema - PDS) to the Managing Authority (either via upload to ESIF e-claims system or clerical return to my contract manager)	
I have prepared the participant contact details data file and have:	
• Used the correct data schema (currently version 2, August 2017)	
• Only included participants who left provision in the preceding quarter (i.e. every participant on the PDS who has a leaving date in the preceding quarter) • Ensuring that the unique ID and leave date matches what will be submitted on the PDS	
• Saved it in a .PSV file • Checked the .psv file. to ensure that the data is in the correct format and does not include any extra characters or rows, and no data is out of place	
• Used the correct naming convention – taking care to include capital letters in the right place	
• Ensured that the date in column S is in the correct format	
I/someone else in the organisation have quality assured the data in the file to ensure it is complete and accurate	
Checked that the file size is within my email attachment limits, and if it too large I have split the file ready to be sent in batches	
On the day of transfer:	
I have emailed DWP D&A to confirm that someone is available to receive file	

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I have received confirmation that someone is available to receive file	
I have PGP encrypted the file to be transferred and attached it to an email and sent the email to DWP D&A contacts	
I have received confirmation that the file was successfully received	