



European Union

European
Social Fund

2014-2020 ESF Programme

Action Note

Reference Number:	027/18
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Revised “ESF Output and Result Indicator Definitions” and “ESF Data Evidence Requirements” guidance.

Who

ESF Applicants, ESF Grant Recipients, including Co-Financing Organisations, ESF Managing Authority, Greater London Authority

What

The ESF Managing Authority has recently completed a review of the ESF Output and Result Indicator Definitions guidance and also the ESF Data Evidence Requirements guidance. As a result a number of changes have been made to each guidance product, as described in Annex A of this Action Note.

This includes changes to the requirements for recording household indicators for ESF participants, in line with the recently published EU Omnibus regulations.

There are no changes to the ESF Participant Data Schema template - the current version can continue to be used - as can the current version of the ESF Transaction List.

Cleared

Duncan Carnie/Janet Downes

Action

1. As minimum all ESF Grant Recipients, including Co-Financing Organisations, should implement the changes in time to inform submission of their **Quarter 4 2018 claims onwards**.
2. **For brand new participants** joining ESF provision, Grant Recipients and Co-Financing Organisations can apply the relevant eligibility evidence and output definitions changes from the date of publication of this Action Note onwards.
3. **For existing participants**, the changes cannot be applied retrospectively – all financial claims, outputs and results up to and including Q3 2018 must be compliant with Version 2 (May 2016) of the ESF Data Evidence Requirements and Version 1 (February 2016) of the ESF Output and Result Indicator Definitions guidance. If you need a copy of these versions of the guidance, please email the ESF address below.

Contact

If you have any questions about this Action Note or the revised guidance products, please contact ESF.2014-2020@DWP.GSI.GOV.UK

Annex 1

Summary of key amendments to the “ESF Output and Result Indicator Definitions” and “ESF Data Evidence Requirements” guidance.

1. ESF Data Evidence Requirements guidance

- A new Annex 2 provides details of new evidence that can be used in relation to Universal Credit and employment status (employed / unemployed / inactive).
- School referrals will suffice for young people aged under 18 (no additional ‘basic eligibility’ requirement beyond this).
- Additional guidance on accepting referrals from 3rd parties (where they can demonstrate they have already undertaken eligibility checks)
- New style Jobseekers Allowance (JSA) and new style Employment Support Allowance (ESA) now incorporated into employment / inactivity ‘preferred evidence’.
- Additional options for stage 3 ‘alternative evidence’ in recognition of the difficulties projects are likely to face in obtaining evidence on ‘inactivity’ - i.e. combining self-declarations with initial interview evidence (cross referring to new exemplar recruitment form) as well as possibility of combining self-declarations with correspondence evidence relating to Universal Credit labour market regimes
- Proof of age / address – additional guidance allowing a provisional driver’s licence to be used as preferred evidence.
- For participants with NEET status (if NOT referred via local authority / PES) – amended guidance to reflect that a properly signed self-declaration will now suffice as minimum evidence.
- Specific reference added to the guidance for Local Authorities who are able to use screenshots (timed / dated) of client caseload records / databases developed for young people as evidence of eligibility.
- Improved guidance ‘orientation’ in section 1.1 summarising the approaches taken to obtaining evidence and reminding partners of the need to report on all Management Information for all common indicators and any relevant programme specific indicators.

- Introduction of a new `exemplar` Self-Declaration template (based on tick boxes) and countersigned by both parties (participant and project officer / project recruiting officer)
- Introduction of a new exemplar recruitment form along with exemplar exit certificate – picking up on advice from the ESF Audit Authority on the importance of recording initial interviews and combining this with supplementary evidence etc. As explained in the revised guidance, this is not prescriptive.
- Greater clarity and explanation provided with regards to recording immediate results and further explanation of what is meant by `on-leaving`.
- New advice on estimating leaving dates for light-touch support (an *exceptional* arrangement to be agreed in writing in advance)
- New guidance on use of e-mails as evidence – and minimum requirements for use of e-mails as evidence
- Removal of `sole criterion` reference in table 1 to prevent ongoing confusion about this reference.

2. Summary of amendments to Output and Result Indicator Definitions Guidance for the European Social Fund

- Definition of gender amended to include `other`
- Extension of the DWP Co-Financing Organisation definitions of labour market status to cover the Work & Health Programme `devolved` provision (e.g. in London and Manchester)
- Removal of reference to words ` usually` and `registered unemployed` in indicator CO01 to reduce confusion around this aspect
- Removal of the reference to zero hours contracts being counted as `employment`
- Addition of an ESF Managing Authority definition of what is meant by `education and training`
- Confirmation that all qualifications need to be recognised by Ofqual's Regulated Qualifications Framework (RQF)
- Addition of wording in the introductory section explaining the Big Lottery Fund position around provision of support leading to qualifications.