Chapter 5: Completing ESF Provision, ESF Participant results and Change of Circumstances

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Completing ESF Provision

Participants who complete the Provision duration

5.1 Where a participant completes their defined provision duration they will be defined as a Completer. This includes, participants who have been referred in the third year of the provision delivery and remain on the provision at the end of the third year. Refer to Annex 1a (London Troubled Families) for variances to this definition.

5.2 Where a participant becomes a completer, you must:
• note your records to reflect the change
• notify DWP of the participant’s completion date on PRaP
• Submit ESF Participant result information on the ESF 1420 End Form as per Annex 10

Participants who complete Provision early

5.3 An early completer is a participant who completes ESF 2014-2020 provision earlier than their defined provision duration.

5.4 An ESF participant will be deemed an early completer and their provision ends where:
• a Job Outcome has been achieved and claimed for the participant within the defined provision duration. The leaving date would be the date the job outcome was achieved.
• they move address and participation is no longer appropriate
• they wish to transfer to another DWP ESF 2014-2020 provision
• they start other provision which makes continued participation no longer appropriate, or,
• the participant has died

5.5 Where a participant becomes an early completer, you must:
• note your records to reflect the change
• notify DWP of the participant’s early completion date on PRaP
• Submit ESF participant result information on the ESF1420 form
• Keep a record and details of the reason for early completion and any supporting information if available; this will include retaining any notifications from JCP/DWP about this change

Early completion due to Job Outcome

5.6 Where a participant becomes an early completer due to a short job outcome being achieved, you are required to update PRaP to reflect the participant has completed early and supply ESF participant result information on ESF1420 End Form as per Annex 10.

5.7 The early completion date you record must be the date the short job outcome was achieved.
Early completion due to moving address

5.8 Where a participant has moved address outside your contract package area you should discuss with the participant if continued participation is appropriate.

5.9 Where possible and where suitable arrangements can be put in place (for example, where you have a delivery presence or remote working is appropriate or the participant is within agreeable travelling distance) you should continue to work with participants and will be entitled to claim eligible outcomes.

5.10 If you agree that you are unable to support the participant, or commuting to provision is unreasonable you should gain agreement from your Performance Manager and inform the participant who will be deemed an early completer. You are then required to immediately update PRaP to reflect the participant has completed early and supply ESF participant result information on ESF1420 End Form as per Annex 10.

Refer to Annex 1a (London) for any contract variances to completing provision.

Early completion due to a transfer to another DWP ESF 2014–2020 Provision

5.11 Participants will be allowed to change DWP ESF 2014-2020 provision voluntarily during the provision duration.

5.12 A participant may decide to cease participation and participate in another DWP ESF 2014-2020 provision.

5.13 Where this occurs the DWP ESF Admin Team will notify you that the participant has changed provisions and you are required to immediately update PRaP to reflect the participant has completed early and supply ESF participant result information on ESF1420 End Form (where this occurs you will not be entitled to claim a job outcome should the participant achieve employment).

Refer to Annex 1a (London) for any contract variances to completing provision.

Early completion due to participating on other Provision

5.14 Participants may start other provision that makes their continued participation on ESF 2014-2020 provision inappropriate. Annex 2 outlines other provisions and the potential implications for continued attendance.

5.15 If the participant is referred to other DWP provision that makes them ineligible to continue to participate on your provision, JCP will notify you on form CEPD1. You are required to confirm if they have started the provision by contacting the DWP Admin Team by email at CEPESF1420ADMINTEAM@DWP.GOV.UK, please note that it could...
take up to 20 days for them to start the provision. If they start that provision you must update PRaP to reflect the participant has completed early and supply **ESF participant result** information on ESF1420 form. This applies where an ESF participant joins, Work Choice or SES on a voluntary basis.

**Participant has died**

5.16 If a participant’s representative notifies you that the participant has died, advise them that if the participant was receiving any benefit, they must also tell the benefit issuing office, unless they have already done so.

5.17 You are not required to submit a 14/20 end form but record details of the notification.

5.18 If a representative notifies you of a participant’s death and the participant was in receipt of Carers Allowance, inform the representative to contact the Carers Allowance Unit.

**ESF Participant results**

5.19 It is a key ESF requirement that you notify ESF results for participants who complete ESF 2014-2020 provision (where a participant completes the provision duration, or completes early).

5.20 ESF results on ESF1420 can be defined as:
- Improvements in Labour Market Situation (employed/unemployed/inactive status)
- Movement into education or training
- Gaining a qualification, or
- Gaining basic skills

5.21 These results must occur within the provision duration or within 4 weeks (28 days) following the participants completion date. Results that manifest themselves outside this period must not be reported. For information on reporting data to DWP see Annex 10.

5.22 You must report the labour market situation (such as becoming employed) for all participants that complete ESF provision and also where it is established that the participant has gained basic skills or a qualification whilst on provision or moved into education or training. Form ESF1420 allows for this.

5.23 **Please Note**: Along with the result information you must also supply DWP with the latest contact details you hold for the participant.

**Collection of ESF Participant results**

**Labour market situation**

5.24 The information provided when the participant started provision gave their labour market situation (Inactive or Unemployed) at that point in time.

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Notifying the situation upon leaving will show results. See Annex 8 for definitions of labour market situations.

5.25 The labour market situations you must report are where the participant upon early completing or completing (or within 4 weeks of completing) is:

- Inactive
- Unemployed;
- Long Term Unemployed or
- Employed

Evidence of Results

5.26 You must ensure you have robust systems in place to assure that the information you are providing is correct. Evidence must show that the result was achieved within 4 weeks of completing the provision. As a minimum it is expected that you gain, and retain Employer verification of the paid ‘employed’ outcomes and a provider self-declaration for all other results/destinations which are unpaid i.e., into education/training or gaining qualifications. Where possible the self-declaration for unpaid results should be signed by both provider and participant. If the participant cannot be contacted, having left provision, the provider signature will suffice.

Moving into Employment

5.27 Evidence must be obtained and retained to support any result indicators that link to payments i.e. job outcomes. This will be used as evidence for ESF audit. See preferred evidence table at para 5.42.

5.28 Important Please Note, where a participant is employed at the time they complete their provision duration, or within 4 weeks of leaving you must report the employed result even if a job outcome has not been achieved. This result would not link to a payment at that point in time but you should still try to gain evidence of employment as the employment period may lead to the achievement of a job outcome payment at a later date. Evidence of employment is always needed to support job outcome Payments for ESF Audit. However, if you are unable to gain evidence of the employment, you must use a self-declaration for the employed result on ESF1420 for MI purposes only. You would not then be able to use this employment period towards a job short outcome without it being fully evidenced.

5.29 The onus on checking results and retaining appropriate evidence rests ultimately with you. It is not possible for this guidance to demonstrate all participant results. Eligibility evidence must be in accordance with the European Social Fund Evidence Requirements: Eligibility and Results Guidance Document.

Provider Self Declaration

5.30 You can use form ESF1420 to self-declare results which do not link to payments, however retaining additional supporting evidence is good practice and would support ESF audit. Please see preferred evidence table at para
Movement into education or training

5.31 Education or training can be defined as:
- Education (lifelong learning, formal education) or training activities (off-the-job/in-the-job training, vocational training, etc.

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

Gaining qualification

5.33 This result only applies where a qualification is attributable to participation in ESF provision. Qualifications can be defined as:
- Qualification means a formal outcome of an assessment and validation process which is obtained when a competent body determines that an individual has achieved learning outcomes to given standards.

5.34 The following example show how such attribution can be made:
- ESF provider delivers a course/modules which is related to and leads to the participant achieving a qualification/unit/credit towards qualification;
- ESF provider pays an ‘external’ college/provider to deliver a course to a participant which leads to the participant obtaining a qualification (attributable to the paying ESF provider only).

5.35 The points listed below illustrate some examples of the type of situations where immediate qualification results are not directly attributable to specific ESF support and therefore should not be claimed as immediate ESF results:
- Provider pays bus fare to a participant to attend a course delivered elsewhere (and paid for by different organisation unrelated to the ESF provider) and participant achieves a qualification;
- Provider inspires individual to take a course elsewhere and obtain qualification whilst not paying for it;
- Participant achieves a qualification as a result of attending an evening class (but the evening class is not funded/delivered by the ESF provider).

5.36 The examples above are not exhaustive but serve to illustrate that immediate results need to be directly attributable to the specific type of support provided under ESF funding and cannot be claimed as result of providing other less related/less specific forms of support (however helpful such support may have been).

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

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

Gaining basic skills

5.39 This result only applies to those participants for who were reported as not having basic skills on the ESF1420 upon starting ESF 2014-2020 provision.

5.40 Basic skills can be defined as:

One or more of the following: literacy; numeracy or ESOL at (UK Skill levels) entry level, level 1, or 2. You must ensure you have robust systems in place to assure that the information you are providing is correct. As a minimum you must state why you deem the person to have gained basic skills by self-declaration.

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

Preferred Evidence

5.42 The table below shows the preferred evidence for ESF Audit to support the participant’s destination results which you report. Note, for paid 13/26 week outcome payment evidence relevant examples from below could be used ie, wage slips and bank statements and these will need to cover the full duration of the relevant employment periods. This also applies to self-employment outcomes ie bank statements, HMRC and other robust evidence will need to cover the full duration of the relevant employment/trading periods. It is, however, your responsibility to ensure relevant and robust evidence is captured and retained to support both chapter 5 employment results and chapter 6 job outcomes. See sections 6.39-40 and 6.49-51 for further information on outcome evidence.

<table>
<thead>
<tr>
<th>Result Type</th>
<th>Indicative list of supportive documentation (only one item from the list required)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Into employment</td>
<td>• Confirmation of employment from employer (this could be a letter, email or a template)</td>
</tr>
<tr>
<td></td>
<td>• Wage slip</td>
</tr>
<tr>
<td></td>
<td>• Contract of employment</td>
</tr>
<tr>
<td>Into self-employment</td>
<td>• Confirmation of self-employment, e.g. HMRC letter evidencing registration</td>
</tr>
<tr>
<td></td>
<td>• Bank statement for business account</td>
</tr>
<tr>
<td></td>
<td>• Registration with Companies House</td>
</tr>
</tbody>
</table>

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| Into education / training | • Evidence of enrolment / registration at school, college, university or learning provider (documentation)  
• Letter / template from educational / training institution |
|-------------------------|----------------------------------------------------------------------------------------------------------|
| Gaining a qualification or part of a qualification | • Qualification certificate issued to individual.  
• (Project should keep a copy of the certificate in the participant’s record and certify it as a true copy of the original).  
• Letter / template / award letter / confirmation from awarding body  
• Project or the participant to request confirmation of the qualifications in writing from the academic institution / qualification body. |

**Notifying ESF Participant results to DWP**

5.43 Result information must be securely submitted to DWP on the ESF1420 form. You will be supplied with a Master copy of the ESF1420 form and instructions for completing it.

**Change of Circumstances**

5.44 The change of circumstances which affect or can affect your participant’s continuation on your provision are:
- A participant dies whilst on your provision
- Early Completion due to moving address and participation is no longer appropriate
- Transfer to another DWP ESF provider
- Participation on other provision

5.45 For further details, please refer to the following sections above:
- Early completion due to moving address,
- Early completion due to a transfer to another DWP ESF 2014–2020 provision,
- Early completion due to participating on other provision, and
- Participant has died.

**Participant notifies Jobcentre Plus of a Change**

5.46 Jobcentre Plus may notify you via the CEPD1 template if your participant has informed their Jobcentre of any changes to their circumstances.

5.47 Through regular meetings with your participant, you may already be aware of these changes and in many cases, your participant’s continuation on your provision...
provision will not be affected, Jobcentre Plus will share this with you for information only.

Participant notifies you of a Change

5.48 Where a participant notifies you of a change you must instruct the participant to contact the relevant organisation their change may affect, so appropriate records may be updated. For example, if your participant is claiming benefits and their circumstances change, they will need to get in touch with their local Jobcentre Plus office. You may also wish to update your own records. Where the participant has changed address/phone contact details, and they are expected to/are moving into paid employment you need to update this to the PRAP ‘Other Information’ box in the Jobs Details Screen.

5.49 For changes that affect your participant’s continued participation, you will need to take action as in following sections above:
- Early completion due to moving address,
- Early completion due to a transfer to another DWP ESF 2014–2020 Provision,
- Early completion due to participating on other provision, and
- Participant has died.

Exit Review

5.50 For 100% of participants completing provision or completing provision early, you are required to conduct an exit review prior to completion of provision to document the participants’ progress, outcomes and highlight recommendations for future steps on the final Action Plan. This must give specific details on what activities the participant has undertaken; any qualifications gained; behaviours and next steps. This should be free text of at least 500 words. Where a participant has dis-engaged the final Action Plan should still be completed to record any activities which were undertaken during their time on the provision.

5.51 Where a participant’s signature cannot be obtained, for example because a face to face meeting is not possible, the reason should be recorded in the Action Plan by you and what action you took to contact the participant.

5.52 Exit Reports for SCR participants have to be submitted clerically. Please contact your local Jobcentre for their office addresses and ensure these clerical exit reports are posted before or on the last day the participant leaves provision and destroy all records of this SCR participant.

Delivering the Participants final Action Plan to DWP

5.53 If a JCP Adviser/DWP Work Coach requests a copy of the final Action Plan, you must send this within 5 working days of the request. The JCP Adviser/Work Coach will provide details of how the Action Plan is to be sent to them.