

**European Social Fund
Convergence, Competitiveness and Employment Operational
Programme 2007-2013**

**Updated Programme Level Evaluation Strategy and Plan for England
and Gibraltar 2011-2013 (April 2013)**

Introduction

1. This paper updates the programme level evaluation strategy for the remainder the 2007-2013 ESF Operational Programme in England and Gibraltar.
2. This paper sets out:
 - the background to the ESF evaluation strategy so far;
 - the strategic 'drivers' for the evaluation strategy in 2011-2013;
 - key evaluation issues to be covered during 2011-2013;
 - new research that needs to be undertaken;
 - a revised table of research studies; and
 - information on the research studies proposed for 2011-2013 (at Annex A).
3. The Programme Monitoring Committee considered the evaluation strategy and plan at its meeting on 21 September 2011, and endorsed a revised version of the strategy and plan at its meeting on 14 March 2012.

Background

4. The original strategy which was developed at the beginning of the programme is provided in Annex B of this paper. It explains:
 - the framework for ESF evaluation laid down in EU regulations and guidelines;
 - the key documents that were used to inform the strategy;
 - the three main types of evaluation used in ESF (ex-ante, on-going and ex-post);
 - the two main objectives of ESF evaluation (to ensure regulatory requirements are met and to provide timely and in-depth policy feedback to key programme decision makers and stakeholders at national and Community level);
 - the three main tools sources of evaluation information and data (management information; cohort surveys and ad-hoc research studies); and
 - descriptions of the research studies for the first half of the programme, highlighting the strategic and operational issues the studies and surveys aimed to cover, and descriptions of proposed studies for the second half of the programme.

5. The evaluation strategy for ESF is based on understanding:
- Processes (is ESF delivery implemented according to the policy intent?)
 - Outputs (is it achieving what is set out to do, in terms of outcomes?)
 - Impacts (how much can the outcomes be attributed to ESF? how much added value does ESF bring?)
6. An extensive range of quantitative and qualitative research projects has already been conducted to help answer the above questions for ESF provision delivered in the first half of the programme. The evaluations and the strategic needs they have addressed in the original evaluation strategy are set out below.
- The evaluation of regional ESF frameworks (August 2009) evaluated the extent to which regional ESF frameworks for 2007-2010 addressed regional employment and skills needs and informed the plans of Co-financing Organisations (CFOs). Operational needs: regional ESF frameworks and implementation under a Co-financed system. This project cost
 - The publicity and information evaluation (March 2010) evaluated the progress made towards achieving the England ESF Communication Plan's objectives, including the visibility and awareness of the Operational Programme. Operational needs: communications plan.
 - The evaluation of in-work training support (July 2010) examined the nature and effectiveness of Priority 2 and Priority 5 provision for improving the skills of employees, especially those who need support to sustain their employment and help them advance at work. Operational needs: higher level skills in Cornwall and the Isles of Scilly and implementation of ESF under a Co-financed system. Strategic needs: in-work training and case studies.
 - The gender equality and equal opportunities mainstreaming evaluation (July 2010) examined the effectiveness of equal opportunities mainstreaming policy and practice within ESF, in the context of helping to tackle the barriers experienced by each of the main equality groups. Strategic needs: gender equality and equal opportunities, key disadvantaged groups, and case studies.
 - The ESF Cohort Survey, Wave 1 (July 2010) provided more detailed evidence of the characteristics, experiences and longer term outcomes of ESF participants. Strategic needs: key disadvantaged groups and in-work training.
 - The ESF Cohort Survey Wave 2 (November 2010) focused on the outcomes of ESF provision, looking at whether participants have entered employment or progressed in their existing jobs following the interventions. Strategic needs: key disadvantaged groups and in-work training.
 - The ESF Cohort Survey Wave 3 (September 2011) which had a specific focus on the longer term impact of ESF provision on a sample of participants eighteen months after they have left the programme as

well as considering the longevity of soft and hard outcomes that have been achieved by participants on the ESF programme. This wave also collected data related to sustainable development to explore the integration of this cross-cutting theme into ESF provision. Strategic needs: key disadvantaged groups and in-work training.

- The evaluation of early impacts of ESF (May 2011) estimated the effectiveness of DWP employment support funded by the European Social Fund 2007-2013 Programme for England. The report supports the policy direction of refocusing DWP ESF Co-financing away from high volumes of Jobseeker's Allowance customers towards economically inactive and more disadvantaged groups, including families with multiple problems, during the remainder of the 2011-2013 programme. Strategic needs: key disadvantaged groups.
- The evaluation of Priority 1 and Priority 4 (June 2011) provided an understanding of how effective ESF Priority 1 and 4 provision has been in engaging with, and tailoring provision to, disadvantaged groups. The evaluation helps us to understand the ways in which ESF is delivering added value and value for money. Operational needs: implementation of ESF under a Co-financed system. Strategic needs: key disadvantaged groups and case studies.
- The evaluation of sustainable development and green jobs (June 2011) which considers the mainstreaming of sustainable development in the ESF programme and how ESF supports green skills and green jobs. Strategic needs: sustainable development and case studies.
- The European Social Fund Operational Programme 2007-2013: Synthesis of evidence from the first half of the programme (September 2011) which draws together evidence to date from the 2007-2013 evaluation studies of the European Social Fund (ESF) in England and Gibraltar specifically to assess the impact of the ESF programme and its effectiveness in meeting its objectives for the first half of the programme.

The cost of these evaluations is set out in the budget section below.

6. Two operational needs have not been covered: innovative and transnational activity will be studied in 2011-2013; and the changed funding situation and legacy of ESF in the UK has not been a priority for evaluation. Although strategic needs have been met so far, there is a need to examine further ESF support for key disadvantaged groups in Priority 1 and 4, particularly in the light of the new ESF provision for families with multiple problems which will be supported by the DWP CFO in 2011-2013.

Strategic drivers for 2011-2013

7. The ESF Evaluation Team have made an assessment of the changes that need to be made to the ESF evaluation strategy during 2011-2013 in light of: research already undertaken; and new issues facing the programme from 2011 to 2013. The ESF Evaluation Team has

concluded that the main drivers for the evaluation strategy for the remainder of the programme are:

- the need to assess the new delivery arrangements for Priority 1 and 4, in particular, support for families with multiple problems, adding value to the Work Programme and support for young people who are NEET;
 - the continuing need to assess female participation across all evaluation studies as well as identify effective and innovative practice (given the lower than anticipated female participation rate);
 - the need to assess the effectiveness of the innovation, transnationality and mainstreaming (ITM) strand of ESF, to examine how it has influenced policy development and delivery;
 - policy maker requirements (at national and EU level) to help them prepare information to inform the ex-ante evaluation process for any future programme in 2014-2020.
8. The evaluation approach will continue to draw upon the main sources of evaluation information such as management information, cohort surveys and ad-hoc research (discussed in more detail below) and, in order to address the priorities identified in the drivers listed above, will need to continue to look at processes, outputs and impacts.

Key evaluation issues

9. There are a number of evaluation questions that should be answered by the evaluation strategy in the remainder of the programme. New evaluation questions are likely to arise over time, so the list of questions below should be treated as a preliminary list of main issues:

Processes

- What operational issues are arising in 2011-2013?
- Are there any implementation issues arising from the new ESF support for families with multiple problems and voluntary Work Programme provision for people in receipt of IB/IS (for example, referral arrangements)?
- To what extent is ESF improving the quality of provision?

Outputs

- To what extent are programme objectives being met in the second half of the programme?
- To what extent is the programme meeting its targets for qualifications and jobs?
- To what extent are women within families with multiple problems accessing ESF? Are there any other equality issues arising from this new approach?
- To what extent is ESF provision reaching disadvantaged target groups, including people with multiple disadvantages?

- What soft outcomes are being achieved and by whom – especially for women and disadvantaged groups including those in families with multiple problems?

Added Value

- To what extent is ESF adding value alongside the new Work Programme?
- What is the added value of the ITM strand?
- How is ESF adding value to systems and structures in terms of employment, training and the cross-cutting themes?
- What is the longer term impact of ESF support in terms of jobs and skills?

Future Programme/Ex-Ante Process

- What is the rationale for ESF support in 2014-2020?
- How can ESF best add value in any future programme?
- What groups should be targeted in any future ESF programme?
- What is the most cost-effective way of delivering ESF in any future programme?
- What changes need to be made to the target-setting methodology and the identification of 'target groups'?

New research projects

10. The ESF Evaluation Team has identified new research which will be required in order to help answer evaluation questions listed above:

- A new **ESF Cohort Study** which will provide information on participants' views and the sustainability of outcomes and data not measured in Management Information.
- A qualitative study of new **ESF employment and young people NEET provision**, which will incorporate the effectiveness of ESF co-financing arrangements in engaging target groups under Priorities 1 and 4.
- A qualitative study of **ESF innovative and transnational projects**
- Subject to the availability of analytical capacity following the restructuring of DWP and the ability to identify appropriate comparison groups, the Evaluation Team will conduct a feasibility for performing a further in-house **impact study** for some aspects of Priority 1 and 4 provision.
- Research into **ESF support for families with multiple problems**
- Qualitative and quantitative research to evaluate the **Day One Support for Young People**
- The Evaluation Team will also look at the **gross unit cost** of each type of ESF provision.

11. Studies will cover both the Convergence and Regional Competitiveness and Employment Objectives. More detail on each of the proposed studies is provided in Annex A of this paper. The Evaluation Team has secured funding for the projects from ESF Technical Assistance and the DWP Research Budget (subject to availability of national match funding). Details are set out in the budget section below.
12. The Evaluation Sub-Committee, Managing Authority and Evaluation Team will keep under review the need for any additional studies, which will of course be subject to the availability of ESF Technical Assistance and national match funding. The Evaluation Team will also prepare the ex-ante evaluation for any future ESF programme in England from 2014-2020, and will prepare a final synthesis report on the evaluation of the 2007-2013 programme in 2013.
13. Other aspects of the original evaluation strategy and plan remain unchanged, including the sections on dissemination, committees, funding and resources, except that the frequency of the evaluation sub-committee has been changed to one meeting a year from 2011, and the personnel in the ESF Evaluation Team have changed since 2008.

Budget

14. The budget for the evaluation plan is set out below. Most of the studies are contracted out to external evaluators on the DWP research framework. These studies are funded by a combination of ESF technical assistance (about 50% of total spend) and match funding from the DWP research budget (about 50% of total spend). For each study the total spend or projected spend is shown.
15. In addition to spend on the externally contracted studies, the other main resource for the evaluation plan is the ESF Evaluation Team based in DWP. Information about the Evaluation Team is set out below.

ESF Research Projects 2007-2011	Total Spend £
Evaluation of regional ESF frameworks	74,015
Publicity and information evaluation	34,780
Evaluation of in-work training support	187,450
Gender equality and equal opportunities mainstreaming evaluation	138,816
ESF Cohort Survey, Waves 1 and 2	984,211
ESF Cohort Survey Wave 3	149,825
Evaluation of early impacts of ESF	In House
<i>Quality Assurance</i>	5,000
Evaluation of Priority 1 and Priority 4	152,746
Evaluation of sustainable development and green	49,950

jobs	
European Social Fund Operational Programme	
2007-2013: Synthesis of evidence	In House
Total 2007-2011	1,776,793

ESF Research Projects 2011 – 2014	Total Projected Spend £
Qualitative evaluation of Employment and Young People NEET provision	124, 725
ESF Cohort Study 2012	586,729
Evaluation of ESF Innovative and Transnational Projects	50,000
Evaluation of ESF Families – A Feasibility Study	20,069
ESF Families Evaluation	320,000
Day One Support for Young People	99,000
Total 2011-2014	1,105,798
Total for the programme	2,882,591

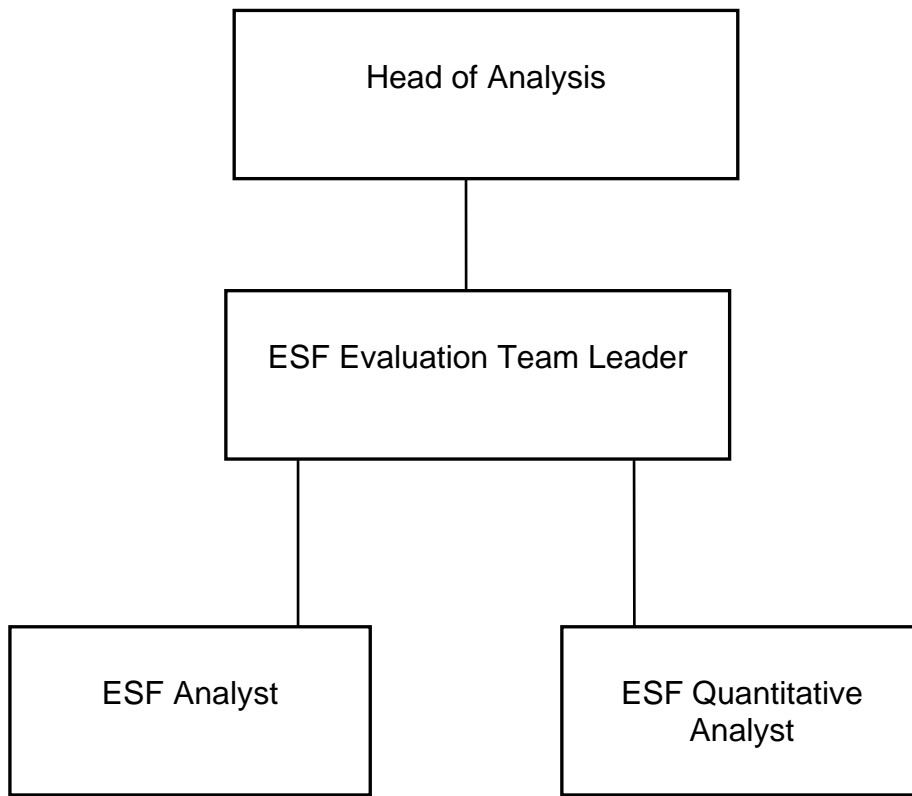
ESF Evaluation Team

16. The day-to-day management of the evaluation plan is conducted by an analytical team (ESF Evaluation Team) which is based in the Department for Work and Pensions and which is functionally independent from the Managing Authority to ensure objectivity. The team is responsible for analysis of monitoring and survey data, drafting reports, commissioning external evaluators to carry out specific research, and managing these evaluation and research projects. Individual research and evaluation projects are commissioned through the DWP research framework agreement, established by open and competitive tendering, and conducted by independent evaluators. They are guided by evaluation steering groups made up of a number of ESF partners.

17. The organisation chart of the Evaluation Team is below.

ESF Evaluation Team April 2013

Organisation Chart for ESF Evaluation Team



Revised Table of Research Studies for 2007-2013 Operational Programme

Year	Management Information	Participant studies	Evaluation reporting	Research studies
2008	Regular reporting			Regional ESF frameworks
2009		First Cohort study wave one		Publicity and information Gender equality and equal opportunities In work training (including higher level skills in Cornwall and the Isles of Scilly)
2010		First cohort study wave two		Priorities 1 and 4 provision Sustainable development and green jobs
2011		First cohort study wave three	Synthesis report	Early Impacts of ESF
2012		Second cohort study wave one		Employment and young people NEET provision Innovative and transnational projects Impact feasibility study – (Published as “Evaluation of ESF Families – A Feasibility Study”)
2013		Second cohort study wave one (continued) and wave two	Synthesis report	Evaluation of DWP ESF Families Provision (early findings) Day one support for young people evaluation Gross unit costs
2014		Second cohort study wave two (continued)		Evaluation of DWP ESF Families Provision (final report)

RESEARCH STUDIES PLANNED IN 2011-2014

Project 1: ESF Cohort Study

1. In the 2007-2013 Operational Programme, there is a commitment to perform a second survey of participants in 2012, which will 'provide information on participants' views and sustainability of outcomes and data not measured in Management Information'.

2. The research will help us understand whether participation and outcomes is meeting the policy intent and how it fits and adds value to mainstream skills provision. Key questions include:

- Who takes up ESF?
- What are their experiences of provision?
- What are their soft outcomes (particularly for DWP provision helping people move towards employment) and what are their longer term outcomes (including qualifications for the Skills Funding Agency)?

3. This study will enable evaluators to look at the experience of participants in new ESF provision funded from 2011 including the additional group within the Work Programme (the IB/IS group) and the support for families with multiple problems. It is vital that we understand which disadvantaged groups are participating across the provision, customer experience, outcomes and how it is complementing and adding value to the Work Programme and the Jobcentre Plus Offer. Additionally from 2011, the Skills Funding Agency and Young Persons Learning Agency will be providing new contracted employment and skills provision for workless adults and young people NEET, and in-work training for existing employees.

4. The cohort survey will inform:

- indicators and targets not measured in Management Information, which are vital for assessing how the ESF programme is performing;
- how England should spend any ESF in 2014-2020 most effectively.

5. We propose conducting a two stage longitudinal cohort survey for this study. We anticipate the first wave of fieldwork will start in spring 2012 (possibly later subject to the start of new DWP ESF projects), with the second wave six months later. There will be a single report in late 2012/early 2013, dependent on the fieldwork timing.

6. We intend to interview approximately 6,000 participants at wave one and 4,000 at wave two. Therefore this will be a smaller survey than the 2009/10 cohort survey as we only need to do limited regional analysis and the main focus will be on ESF-funded provision.

7. The new study will also build on lessons learned from the first cohort study

8. The budget for this research project will be £800,000, half of which will be funded from Technical Assistance.

Project 2: Qualitative Study of New Employment and Young People NEET Provision

9. This research will help us to understand whether ESF provision in the second half of the 2007-2013 programme across Priorities 1 and 4 is being implemented as expected. This study will look at the processes of the delivery chain from the referral process to the nature of provision delivered to participants, for employment and young people NEET provision delivered by the three CFOs which cover the whole of England: DWP, Skills Funding Agency and the National Offender Management Service. Key questions to be addressed by the research include:

- how are people referred to provision?
- how is provision tailored to participant needs?
- how does it complement mainstream provision?

10. As appropriate this will link up with the evaluation of the Work Programme, the Jobcentre Plus Offer to benefit customers pre-Work Programme, and also the evaluation of DWP's provider framework. It will also draw comparison with the current ESF qualitative evaluation of this type of provision from contracts from the first half of the programme.

11. From 2011, the Skills Funding Agency and Young People's Learning Agency will be providing new contracted employment and skills provision for workless adults and young people NEET. In a similar way it is important we understand the delivery chain for this provision, particularly in how it links with Jobcentre Plus and Connexions.

12. This research will complement the quantitative analysis in understanding whether the delivery chain for ESF employment provision has been implemented as expected.

13. We propose to conduct qualitative case study visits of operational staff, provider staff and contract managers across a range of areas and providers, to examine the full process along the delivery chain from referral to outcome. The fieldwork is expected to start in spring 2012 (or later subject to the start of new DWP ESF projects) with a view to reporting towards the end of 2012.

14. The budget for this research project will be £124,725, half of which will be funded from Technical Assistance.

Project 3: Evaluation of Innovative and Transnational Projects

15. The Innovation, Transnationality and Mainstreaming (ITM) strand of ESF aims to support a small range of strategic, regional projects to develop and deliver new ways of extending employment opportunities and raise workforce skills. The intention is that they should co-operate with other member states to facilitate pan-European learning. £23m ESF has been used

to fund a diverse range of 32 projects which come under six themes: active inclusion, skills for climate change, Information Communications Technology and the digital divide, engaging with employers, demographic change and social enterprise. The main objective is that learning from the projects should influence development of policy and delivery at local and national levels. Each project is required to evaluate itself.

16. It is therefore important that we understand how the ITM strand is being delivered and whether as a whole has been effective in generating new ideas and influencing policy and delivery.

17. The results will inform whether this strand has met its objective of influencing policy and delivery development. The results will help to inform how innovative and transnational activity might be taken forward in any future ESF programme, especially in the light of budgetary constraints.

18. This will be a small qualitative project which will bring together individual project evaluations and interviews with key stakeholders from the projects, evaluators and the external organisations (such as policy makers in DWP) that the projects are seeking to influence. We expect to conduct fieldwork in November 2011 with a view to reporting June 2012.

19. The budget for this research project will be £50,000, half of which will be funded from Technical Assistance.

Project 4: Impact Analysis – provisional

20. Subject to the availability of analytical capacity following the restructuring of DWP and the ability to identify appropriate comparison groups, it is hoped to undertake a similar project to the impact analysis carried out in 2011 by Simon Marlow and Paul Ainsworth. Initially, we would envisage carrying out a feasibility study for the impacts from 2011-13 provision. This project would investigate the impacts of employment support financed by the ESF and provided through the DWP on the labour market outcomes of unemployed and economically inactive participants in England. The analysis would focus on participants from DWP customer groups in receipt of Jobseeker's Allowance and participants in receipt of Incapacity Benefit or Employment Support Allowance.

<p><i>Update March 2013:</i> The report "Evaluation of ESF Families – A Feasibility Study", published in November 2012, paid particular attention to the practicalities of a counterfactual impact evaluation and covers this work item.</p>
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Project 5: Evaluation of DWP ESF Families Provision

21. DWP set up a support system for families with multiple problems in December 2011. This involves identification of suitable families by local authorities or secondary referral routes, attaching them to a provider, incentivising the provider to identify and deliver suitable help and, where appropriate, achieve sustained outcomes. It represents a major part of the Government's Troubled Families Strategy. The research will enable us to

understand who is engaging with the provision, what support they are getting and what difference the support makes.

22. As part of the development stage we commissioned a feasibility study, which cost £20,000 – half paid for from the 2011/12 research budget and half from ESF funds. This was published as “Evaluation of ESF Families – A Feasibility Study in November 2012. The feasibility study and subsequent development work has shaped plans for this work which we anticipate will include:

- Qualitative research including case studies and interviews with key stakeholders, participants and non-participants;
- Quantitative survey of participants and non-participants;
- Analysis of Management Information and Project Management Information.

23. The budget for this research project is £320,000, half of which will be funded from Technical Assistance.

Project 6: Day One Support for Young People evaluation

24. Reducing the level of youth unemployment is a key priority. The Day One Support for Young People trailblazer will be testing the effect of providing support much earlier in a young person’s claim, for those with limited work experience. The evaluation will consider what works best in supporting young people off benefits and into employment, as well as informing future policy around any extension of the initiative.

25. The commissioned research for the evaluation will supplement an internal impact assessment conducted within DWP. The research is planned to include both qualitative interviews and a quantitative survey, and will be carried out with a range of stakeholders, including Jobcentre Plus staff, contracted provider staff and young people. The research will consider how the trailblazer is working and the effect on claimant outcomes. The research is expected to cost £99,000 – half paid for from DWP’s research budget and half from Technical Assistance.

Project 7: Gross Unit Costs - provisional

26. The gross unit costs analysis is a separate project because it would look at most aspects of ESF provision. This project will feed into target setting for the 2014-2020 ESF Programme.

January 2008

**European Social Fund
Convergence, Competitiveness and Employment Operational
Programme 2007-13**

**Programme Level Evaluation Strategy and Plan for England
and Gibraltar**

Introduction:

This paper sets out the programme level evaluation strategy for the ESF Operational Programme 2007 – 2013 in England and Gibraltar. The strategy has been discussed with the new Evaluation Sub-committee of the Programme Monitoring Committee. This strategy reflects the objectives and the priorities of the new Programme. Existing research on the current and previous operational programmes have been assessed to identify best practice and to highlight research gaps. The strategy balances domestic policy needs with EU regulations, European Commission guidance and the available budget. There is a focus on three main areas: administrative databases, cohort studies and research studies. The new individual level data system is discussed. Cohort studies are planned to report in 2010 and 2013 and there will also be a series of research studies covering operational and strategic issues.

Background

The framework for the ESF evaluation is set down by the European Commission in its publication 'Indicative Guidelines on Evaluation Methods: Evaluation during the programming period'. Regulation 1083/2006 Article 48 provides the option of an evaluation plan for Convergence areas (Cornwall and the Isles of Scilly). This evaluation strategy covers both the Convergence Objective and the Regional Competitiveness and Employment Objective (the rest of England and Gibraltar). The evaluation strategy is therefore generic for England and Gibraltar. In addition specific studies may be commissioned to evaluate provision in Convergence areas in co-operation with the partnership in Cornwall and the Isles of Scilly.

A number of documents have been used to develop the evaluation strategy including:

- Update to the mid-term evaluation of the Objective 3 operational programme. For England and Wales: Final report (2006);
- England European Social Fund Convergence, Competitiveness and Employment programme, 2007-2013 (Operational Programme, Mar 2007);
- Ex-ante evaluation for 2007-2013 European Social Fund Convergence, Competitiveness and Employment programme, 2007-2013 (Mar 2007);
- Indicative Guidelines on Evaluation Methods: Evaluation during the programming period. Working Document No 5 (Oct 2006);
- Indicative Guidelines on Evaluation Methods: Monitoring and Evaluation Methods. Working Document No 2 (Aug 2006).

The evaluation system will build on existing practice and take into account guidance received from the European Commission. There are three main types of evaluation which are used within the ESF, ex-ante evaluations, on-going evaluations and ex-post evaluations. Ex-ante evaluation (already completed) helps sets out the rationale for the programme priorities. Ex-post evaluations look back at the strengths and weaknesses of previous studies and these are conducted by the Commission.

In line with Commission guidance the evaluation which is the subject of this paper will be characterised as on-going. This is a major difference to the previous Programme evaluation where the evaluation strategy was geared towards two major evaluations required by EU regulations – the mid-term evaluation in 2003 and the update to the mid-term evaluation in 2005. In contrast the on-going evaluation will be driven by the needs of the programme and will cover the whole programming period. It may however still be useful to structure evaluation activities in a similar way to that used previously, without the rigidity of timescale requirements.

The evaluation strategy will be updated for the second half of the programme to take account of possible changes in the socio-economic and policy environment.

Evaluation objectives

The overall purpose of the evaluation is two fold:

- The evaluation ensures that regulatory requirements are met. For example Article 48 requires Member States to carry out evaluations linked to monitoring of the Operational Programme, in particular where there are any significant departures from goals or alternatively if there are proposals for revisions as set out in Article 33. This could, for example be as a result of significant changes to socio-economic circumstances during the seven year period of programme;
- The evaluation provides timely and in-depth policy feedback to key programme decision-makers on a range of key operational and strategic features of the programme, especially how the programme is contributing to the relevant Community priorities and objectives and to the priorities in the National Strategic Reference Framework and the National Reform Programme.

The methods and focus of the evaluation are determined by the priorities of the Operational Programme (see Annex 1). These are:

Regional Competitiveness and Employment Objective

- Priority 1. Extending employment opportunities;
- Priority 2. Developing a skilled and adaptable workforce;
- Priority 3. Technical assistance;

Convergence Objective for Cornwall and the Isles of Scilly

- Priority 4. Tackling barriers to employment
- Priority 5. Improving the skills of the local work force.
- Priority 6 – Technical Assistance

There are two themes that are cross cutting:

- Gender equality and equal opportunities;
- Sustainable development. This deals with both environmental development and social and economic development.

There are then two additional features of the Programme:

- Innovation;

- Transnational and inter-regional activity.

The Operational Programme sets out the strategy for the ESF programme in England and Gibraltar. There are two main factors which helped formulate this. The first are the sets of EU perspectives and guidelines on employment, skills and social inclusion and the second are the relevant similar UK national strategies.

At the EU level, evaluation will examine the contribution of the programme to the European Employment Strategy, EU employment recommendations to the UK, Community Strategic Guidelines on Cohesion, and relevant EU objectives on education and training, social inclusion, gender equality and equal opportunities, and sustainable development.

At the national level, there is a well developed set of national strategies and programmes that provide the focus for the UK government with the dual aims of producing a skilled workforce and breaking down barriers to work. These are set out in the Lisbon National Reform Programme and the National Strategic Reference Framework. The National Strategy on Employment is reflected in the work of Jobcentre Plus and includes the New Deal, Pathways to Work and many other programmes. The National Skills Strategy is reflected in the work of the Learning and Skills Council and includes Skills for Life, Train to Gain and much other provision. There is an important dynamic in the programmes at national level with current reviews of provision on employment (the Freud Review) and training and skills (the Leitch Review). The Leitch Review has emphasised the importance of integrating employment and skills provision and this is reflected in the design of the operational programme. The labour market aspects of the National Action Plan on Social Inclusion are also relevant.

European Commission Guidelines distinguish two main functions for the on-going evaluation. The first are strategic needs, which will produce policy oriented evaluations, assessing the contribution of the operational programme to national and European economic and social cohesion goals. The second are operational needs which will generate performance-related evaluations. These will assess the effectiveness of implementation.

Evaluation will be based around four principles (for greater detail see Annex 1):

- *Relevance*. How relevant was the activity in the social and economic context?
- *Consistency*. What value does the programme add to national policies?
- *Effectiveness*. Has the programme achieved its expected outcomes?
- *Efficiency*. What are the costs of the interventions in relation to the effects?

A number of issues arise here that are common to the evaluation of similar programmes. The first issue is the added value of the programme. This is about the way ESF funded-provision meshes with other provision on training, skills and employment programmes and the way ESF enables more and better provision to be set up. It reflects the extent to which ESF is innovative and different from such programmes. Added value is likely to be an issue that is considered in each of the research studies. Where appropriate the evaluation will also consider how ESF actions take account of local initiatives concerning employment.

The second issue is how to build on previous research. There has been a considerable volume of commissioned and in-house work. This has included since 2002 studies on Co-financing, soft outcomes, use of Information Technologies,

equality mainstreaming, the local impact of ESF, multiple disadvantaged groups, inactive beneficiaries, Global Grants and a survey of companies. The new evaluation will build on this work. It will incorporate improvements in research and evaluation methodology for example in the new MI systems and it will also address new research questions. We will be aiming to strengthen the link between the new ongoing MI monitoring arrangements and the proposed evaluation work. We want decision makers to have a better understanding of what is actually happening by linking reports on regular series of data with appropriate and innovative research.

The Operational Programme identifies a number of issues that will be examined by the evaluation strategy and plan during the first half of the programme after a significant amount of activity has been completed. These are:

- the contribution and added value of the programme to EU, national and regional strategies;
- progression of ESF participants, including issues such as soft outcomes, sustainability and quality of employment;
- the acquisition of modules or units of qualifications and other positive results by Priority 2 and 5 participants who do not gain full qualifications;
- activities and target groups not covered by the indicators, including within Priorities 2 and 5 training of workers in sectors with poor training records and the number of small and medium-sized enterprises that benefit as a result of managerial skills training;
- the quality of ESF provision and its effects on systems and structures, including the extent to which it is demand-led, meets the needs of individuals and enterprises, and contributes to business performance;
- the gender equality and equal opportunities, and sustainable development cross-cutting themes.

These issues will be taken into account as appropriate in the design of the cohort survey and research studies.

Evaluation Strands

The evaluation of the new programme will be based on three methods:

- The ESF Administrative Databases. This is information based on administrative monitoring data – this will be used to examine programme performance and consider achievements such as participants' outcomes.
- The ESF Cohort Study. A sample of participants will be contacted during and after leaving projects. These surveys will provide information on participants' views of the support they receive and on sustainability of outcomes.
- ESF research studies. These projects will focus on specific emerging themes of importance to the programme, such as gender equality and equal opportunities. They may also include assessments of socio-economic changes in the programme environment and changes in Community, national or regional priorities.

The cohort surveys and research studies will examine a wider range of participant characteristics and outcomes (including soft outcomes) than those available through administrative monitoring data.

These evaluation tools will apply to the whole of the programme including the Convergence Objective. In addition, specific studies may be commissioned to evaluate Convergence ESF, in co-operation with the partnership in Cornwall and the Isles of Scilly.

The ESF Administrative Databases

Monitoring of the 2000-2006 programme (running to 2008) was carried out using project level closure forms that were collated to produce a Project Closure Database. The Managing Authority and Commission shared concerns that the nature of the closure data did not allow up-to-date measurements of current performance. The new MI system will be based upon individual records which will allow a more detailed description of participant characteristics and a more accurate assessment of the outcomes achieved through ESF support.

The main data source for the quantitative analysis and performance monitoring will be data supplied by the Co-financing organisations; DWP, building upon its existing National Insurance number (NINO) based databases, and LSC using Individualised Learner Records (ILRs) as markers. Data for monitoring purposes is analysed using standard statistical software packages.

The current statistical analysis focuses on the provision of regular monitoring data to the ESF Programme Monitoring Committee and the Annual Implementation Report (AIR). This provides an update for the Managing Authority, the Programme Monitoring Committee and the Commission on performance against key indicators. This will continue in the new programme. The analysis of this monitoring data helps inform other parts of the evaluation, the cohort studies and the research studies, where data is collected that cannot be routinely gathered through monitoring systems.

The proposed high level indicators are shown in Annex 2. The 2007-2013 quarterly monitoring tables that profile outputs (i.e. participants and their characteristics) and outcomes (i.e. job entries and qualifications gained) will be provided to the Managing Authority and the Monitoring Committee subject to an initial delay whilst the outcomes are achieved and the data collated.

The production of local evaluation reports is a requirement of bodies accepted as Co-Financing organisations. The programme level evaluation will make use of these local evaluation reports as a source of information and monitoring. These local evaluation reports would also inform the annual implementation report.

The evaluators will also consider relevant research on employment and skills undertaken by DWP, DfES and the LSC. Co-financing Organisations will keep the Managing Authority and ESF Evaluation Team updated on any relevant evaluation work they undertake on Community and national funded activities. Findings from such work may contribute to synthesis reports produced for the overall ESF evaluation strategy and plan.

The ESF Cohort Study

The evaluation will build on the progress made during the 2000-2006 Operational Programme. There were two participant surveys carried out during this period; in 2002 and 2004 with subsequent follow up surveys. For the first sweep of the latter study 4,700 participants were interviewed about their experiences during an ESF project and for the second sweep there were 2,100 interviewed approximately six months after leaving the provision. The research objectives were to:

- obtain information about the longer term impact of the ESF programme (for example retention and progression);
- acquire more detailed information on beneficiaries (for example pay);
- obtain more details about the kind of support offered (for example experiences of training);
- participants' views on the support they received;
- measure the awareness of ESF amongst participants.

Two surveys are proposed for the current programme of research, one reporting in 2010 and the other in 2013 (Table 1). There is particular interest in learning about progression, retention rates and sustainability for different groups. The longitudinal aspect of the cohort study is particularly appropriate for this.

The factors to consider are the overall aims of the study (as different from other parts of the evaluation) and the timing of the study. If the complexity of provision is of importance then a larger sample size than before may be necessary in order to gather sufficient information. The Convergence areas (Cornwall and the Isles of Scilly) may need separate consideration.

Contractors spent a great deal of time in the last participant survey gathering contact details of individuals and consent. Given the individual level data in the new MI system this can be used as a sampling frame and reduce time and cost.

Another objective of the cohort survey is to measure a number of indicators, which cannot be measured through the ESF monitoring information system. These are listed below.

Priority 1 and 4 - Indicators

- Participants who are lone parents
- Participants in work six months after leaving
- Economically inactive participants engaged in jobsearch activity or further learning
- % participants who receive support with caring activities
- % unemployed in work six months after leaving
- % economically inactive in work six months after leaving
- % participants with disability or health problem in work six months after leaving
- % lone parents in work on leaving
- % lone parents in work six months after leaving
- % participants aged 50 or over in work six months after leaving
- % ethnic minority participants in work six months after leaving
- % female participants in work six months after leaving

Priority 2 and 5 - Indicators

- % participants in a managerial position
- % female participants in part-time work
- % part-time female workers who gained basic skills
- % part-time female workers who gained qualifications
- % part-time female workers who gained units or modules of qualifications

ESF research studies

Research studies carried out during the evaluation period will complement the two other strands of work. For example, issues not covered by the indicators in the Operational Programme may be addressed in research examining such areas as longer term impacts on individuals and companies, particularly small firms. The research will use a range of statistical and qualitative methods.

A number of areas of future work have been highlighted in the update to the mid-term evaluation and the ex-ante evaluation. This includes discussion of the most disadvantaged groups, for example those with childcare problems and those who were economically inactive but also disabled people who are close to the labour market. The need to target sectors and businesses with a weak training record is also discussed.

The new research will complement the large volume of ongoing work in related areas in DfES, DWP, LSC and Jobcentre Plus (Hasluck and Green, 2006).

Table 1: Research Studies for 2007-2013 Operational Programme

Year	ESF evaluation databases	Participant studies	Evaluation reporting	Research studies (indicative and provisional)
2008	Regular reporting			- Regional ESF frameworks
2009		Cohort study wave one		- Gender equality and equal opportunities - Higher level skills in Cornwall and the Isles of Scilly - In work training study
2010		Cohort study wave two	Synthesis report	- Sustainable development - Disadvantaged groups
2011				
2012		Second cohort study wave one		
2013		Second cohort study wave two		

			Synthesis report	
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What are the factors which are influencing policy developments and what are the developments and trends which inform the research? One of these factors is the changing national policies on skills and on employment. After 10 years of the New Deal the UK government is likely to reform the next stage of welfare provision for the unemployed and the economically inactive. There will be a refreshed suite of provision of employment and skills programmes. The recently published Freud review has indicated that the role of the private and voluntary sector in the provision of social welfare services is likely to increase in the future. Policy developments are also likely following the Leitch review of skills. It is important to focus on the role ESF plays in strengthening the role of retention and progression in employment and skills policies.

The measurement of soft skills is also of importance. Statistical indicators and targets will address hard outcomes in terms of progression into work and training. It may also be useful to include analysis of soft skills such as confidence building and progression. ESF Evaluation Team are aware of work by DWP Psychology Division into the development of robust tools for the measurement of soft outcomes and ESF Evaluation and WEFO have previously published work in this area.

Such research will address the priorities of the Programme and the cross cutting themes; gender/equal opportunities and sustainable development. Work on these areas will be integrated into the overall evaluation and separate studies will be carried out where necessary.

(i) Gender equality and equal opportunities

This includes issues of gender, ethnicity and disability and also other equality strands. For women, the evaluation will consider issues connected to the gender pay gap, occupational segregation, barriers to obtaining paid employment such as inadequate childcare and discrimination. Similar issues apply to other equality groups also. The objectives of this work are:

- to focus on participation and outcomes of different disadvantaged groups and to examine the factors affecting participation, including discrimination;
- to examine organisational policies within projects as they relate to equal opportunities and the mainstreaming of equal opportunities;
- to make recommendations for good practice to encourage equal opportunities on ESF projects.

The evaluation of equal opportunities will use the same research tools as the main evaluation; the administrative databases to provide regular monitoring data, the Cohort Study to provide analysis of participation and progress and the research studies to provide detailed analysis using statistical and qualitative research.

(ii) Sustainable development

Sustainable development is development which meets the needs of the present without compromising the ability of future generations to meet their own needs. It therefore also deals with environmental development. The analysis of sustainable development will use the same type of research tools as the main evaluation, including case study research where appropriate.

The Managing Authority and ESF Evaluation Team will agree the research studies on an annual basis in the light of available resources, wider labour market and policy developments, and the performance of the programme. New issues may arise during the course of the programme, for example if monitoring reveals a significant departure from goals initially set, or if proposals are made to adjust the programme. There will be up to two research studies each year, so it will be important to prioritise.

The research areas

Below are a number of research areas which are being proposed. It is important not to be too prescriptive at this stage as it is envisaged that new research imperatives will arise during the course of the evaluation period. These areas will be further refined after discussion with other stakeholders. These are not proposals for specific research studies but are topics that may be examined in the cohort surveys, by a single research study or across a number of research studies. It will not be possible to examine all these topics through research studies. Possible topics for research include:

Operational needs

1. **Regional ESF frameworks:** These identify how ESF should address regional employment and skills priorities and needs within the parameters of the national operational programme. Along with the operational programme, they will provide a framework for ESF Co-financing Organisation plans for 2008-11 and 2011-14. The effectiveness of these frameworks in (a) identifying regional priorities and targeting within the parameters of the Operational Programme and (b) informing Co-financing Plans, will be studied. The phasing in areas of Merseyside and South Yorkshire will be of particular interest here, for example the effect of the complementary strand of funding in Merseyside being used to help the hardest to help groups. It will be important to obtain early feedback on the effectiveness of these new arrangements for the operation of ESF in the programme period.
2. **Higher level skills in Cornwall and the Isles of Scilly:** This is a study in the Convergence Area (see below). It is research on ESF support for higher education and the knowledge economy in Cornwall and the Isles of Scilly. This should be an early priority. Studies on the effectiveness of ESF funded support on improving the skills and employability of the NEET group in Cornwall as well as the noted ageing workforce in Cornwall should be carried out in the second half of the operational programme.
3. **Innovative, Transnational and Inter-regional activity:** Later in the programme, evaluation work may be carried out to examine how dedicated innovative, transnational and inter-regional activities have contributed to the objectives of the programme.
4. **Implementation of ESF under an entirely Co-financed system:** Are the new programme arrangements effective in reaching the most disadvantaged participants? E.g. NEETs, people with disabilities and health conditions, lone parents, ethnic minorities, and older workers? The study could examine the tendering and contracting arrangements as well as the involvement of the community and voluntary sector as sub contractors under CFO arrangements.
5. **The changed funding situation and the legacy of ESF in the UK:** ESF funding in has been reduced in the new Operational Programme period compared to 2000-2006. Have previously funded organizations made appropriate strategic decisions

to continue their operation under a reduced funding regime? Have the same organizations made adequate provision to operate in a post ESF environment, that is beyond the 2007-2013 Operational Programme?

6. An evaluation of the programme's information and publicity measures as set out in the communications plan.

Strategic needs

1. Gender equality and equal opportunities: This is a cross cutting theme. This work will examine organisational policies within projects as they relate to equal opportunities and the mainstreaming of equal opportunities. It will also examine good practice to encourage equal opportunities on ESF projects.
2. Sustainable development: This is a cross cutting theme. It will study local initiatives and ways to generate improvements in local training infrastructure and encourage local partnership approaches. It will also focus on environmental development.
3. Key disadvantaged target groups: A number of studies will be carried out in this area. Specific research studies will be carried out to investigate ESF support for key groups and their progression within the ESF programme. Studies may include the workless, those with a disability or health condition, ethnic minorities, lone parents, people with low qualifications, NEETS, women and older workers, and other groups such as ex-offenders and drug users who are not tracked by monitoring indicators. The ex-ante evaluation noted that such studies in the past have focused on single client groups but that those supported by ESF funded provision tend to face multiple disadvantages. There is therefore scope for work on overlapping problems and barriers. We need to build up our knowledge base on effective policies to help those with multiple disadvantages. Evaluations will look at the progression of participants, including issues such as soft outcomes, sustainability and quality of employment.

In work training: Support for companies using ESF to enhance the skills base of employees. ESF has considerable experience in workforce development. This research would test the effectiveness of in work training funded by ESF for both management and participants. Has ESF assisted with skills training in sectors that are traditionally weak at providing staff training? Have policies been effective in persuading employers to release employees for training? During the first half of the programme the following issues will be examined: the acquisition of modules or units of qualifications and other positive results by Priority 2 and 5 participants who do not gain full qualifications; activities and target groups not covered by the indicators, including within Priorities 2 and 5 training of workers in sectors with poor training records and the number of small and medium-sized enterprises that benefit as a result of managerial skills training; the quality of ESF provision and its effects on systems and structures, including the extent to which it is demand-led, meets the needs of individuals and enterprises, and contributes to business performance; and the impact of ESF on businesses whose managers and employees have undertaken in-work training.

4. Case studies: Scope is required within the evaluation strategy to investigate issues as and when they arise over the course of the programme period. It is envisaged that issues will arise through the cohort studies and through

observation of trends in the administrative data that may lead to new areas of research. A flexible research strategy over the life time of programme is required. The ESF Evaluation Team will propose relevant projects and take advice on specific research projects from the twice yearly meetings of the Evaluation Sub Committee of the PMC.

It was felt by the Member States and the Commission that the Mid-term evaluations during the last Programme period were onerous and a constraint on reporting. For this reason they are not a requirement in the new Programme. It will though be important to bring together the findings of the different strands of research and for this purpose synthesis work is proposed during the period. The nature of this reporting will be agreed with the Evaluation Sub-committee.

The synthesis report will seek to draw out from the individual evaluation studies the contribution of the programme to EU, national and regional strategies identified in the Operational Programme. These strategies will provide an overall reference framework for the evaluation. They include:

- Community Strategic Guidelines on cohesion
- Integrated Guidelines for Growth and Jobs
- European Employment Strategy Recommendations to the UK
- labour market aspects of the EU social protection and social inclusion objectives
- Education and training objectives
- EU and national gender equality and equal opportunities strategies
- EU and national sustainable development strategies
- Lisbon National Reform Programme (employment and skills priorities)
- National Strategic Reference Framework (employment and skills priorities)
- labour market aspects of the National Action Plan for Social Inclusion
- regional ESF frameworks.

Cornwall and the Isles of Scilly

The evaluation studies described above will apply to the whole ESF programme i.e. both Community and national funding, and both Convergence and Competitiveness Objectives. However, it will also be important to commission specific studies to evaluate Convergence in ESF and this will be carried out in co-operation with the partnership in Cornwall and the Isles of Scilly.

It is noted within the Operational Programme that the economy of Cornwall and the Isles of Scilly remains dominated by sectors dependent on the public sector and with a tendency to offer low paid and part-time employment. The low proportion of employment in knowledge intensive sectors is a continuing weakness. New developments such as the increased provision of ICT, the development of the Combined Universities in Cornwall (CUC), and the potential for growth in particular parts of Cornwall will create new opportunities. There are over 27,000 people on Incapacity Benefit in Cornwall and there is the potential to help some of these individuals back in to employment.

Qualifications levels remain low in several important sectors in Cornwall, including wholesale/retail, hotels/restaurants, and manufacturing. Overall some 40% of the workforce has low levels of qualifications and given the changing nature of employment, those who do not hold adequate qualifications remain vulnerable to

labour market change. Raising the attainment of those coming through the statutory education system will have a direct impact on the skills and qualifications available to employers in Cornwall. It will also increase the likelihood of young people making a successful transition into work or further education, and eventually progressing into Higher Education.

Evaluation of the Convergence areas will have a number of elements. The evaluation databases will be used to analyse data specifically on these areas to monitor the progress of key groups, for example the economically inactive. Specific targets and indicators are required for the Convergence areas and for the cohort studies over sampling is likely to be used so that analysis for Cornwall and the Isles of Scilly can take place. For the research studies particular attention will be paid at the design stage so that the Convergence Areas are included where appropriate. For example for a study of in-work training a powerful case could be made to include companies in these areas.

Developing higher levels of skills, higher education and the knowledge economy appear to be of particular interest and it is proposed that a study specific is carried out in Cornwall and the Scilly Isles on this. Evaluation will also cover training for environmental capacity building.

Dissemination

It is vital that findings are disseminated as widely as possible. The research reports are published by DWP and are available on the internet at the DWP Research web site and on the web site of the ESF Managing Authority. Findings will also be publicized via the new ESF e-zine and by means of dissemination seminars where relevant. Dissemination of evaluation will be one of the issues discussed with the Evaluation sub-committee of the PMC. The results of evaluations will be sent to the PMC and the European Commission.

Planning committees

The day to day management of the evaluation will be conducted by the ESF evaluation team who are based in the Department for Work and Pensions but who are functionally independent from the Managing Authority to ensure objectivity.

A sub-committee of the ESF Programme Monitoring Committee will be established to deal exclusively with evaluation issues. This will meet twice a year. It will be chaired by the Managing Authority and will include members of the ESF Evaluation Team, and others nominated by the ESF Programme Monitoring Committee. DG Employment will be invited to participate in an advisory capacity.

The current UK Evaluation Standing Group will be renamed the UK ESF Managing Authorities Evaluation Standing Group, meet up to twice a year and be a smaller group than before. It will continue to ensure that appropriate issues are examined, that findings are disseminated and to share good practice across the UK's ESF programmes. There will be representatives from ESF Managing Authorities and evaluation teams in Northern Ireland, Scotland, Wales and England. DG Employment will be invited to participate in an advisory capacity.

Funding and resources

Individual research/evaluation projects will be commissioned through the DWP research framework, established by open and competitive tender and conducted by independent evaluators. They will be managed by the ESF evaluation team and guided by steering groups made up of a number of appropriate stakeholders.

Funding for the ESF evaluation will come from two sources: the DWP Research and other budget and ESF Technical Assistance.

An appropriate level of staffing and resources is required for the evaluation strategy to be effective in the period 2007-2015.

Timing

It is expected that the new Operational Programme will be launched in October 2007 and that project activity will start at the beginning of 2008. The evaluation strategy will be discussed by the Evaluation Sub-committee once it is established in autumn 2007, and signed off by the Managing Authority before the end of 2007

Conclusion

The development of the evaluation strategy is an iterative and interactive process. It involves a review of the last evaluation programme and discussions about the future direction of the Operational Programme and the evaluation process with the Managing Authority and also with LSC, Jobcentre Plus and other ESF stakeholders. This paper is part of that process.

References

Hasluck, C. and Green, A. (2006) Building on New Deal: What Works for Whom? DWP Research Report.

Annex 1: Priorities and key evaluation issues

Regional Competitiveness and Employment Objective

Priority 1. Extending employment opportunities; This supports activities to enhance access to employment and sustainable inclusion in the labour market of unemployed and inactive people. There will be a particular focus on people with disabilities and health conditions (including mental health conditions), lone parents, older workers, ethnic minorities and young people not in education, employment and training (NEET). People who have made the transition to work from unemployment or inactivity will also be eligible for support, regardless of employment sector or size of establishment.

Priority 2. Developing a skilled and adaptable workforce. This supports activities to develop a skilled and adaptable workforce. People who do not possess qualifications up to level 3, or who need to update their qualifications and skills, will be eligible for support within this priority, in any sector or any size of establishment. There will be a particular focus on: workers without basic skills; workers who do not have level 2 qualifications relevant to their current occupation; and women and men who want to enter non-traditional occupations. People who are not employed will also be eligible for support within Priority 2 in order to address individual skills needs and specific skills shortages.

Priority 3. Technical assistance. Indicative activities - technical assistance funds will be available to finance preparatory, management, monitoring, evaluation, information and control activities of the operational programme, together with activities to reinforce the administrative capacity for implementing the funds, at national and regional levels. This will include the programme's publicity and communication strategy, support for cross-cutting themes and development of programme monitoring and evaluation systems. It will also be available to third sector networks to support participation by voluntary and community organizations in the programme

Convergence Objectives for Cornwall and the Isles of Scilly

Priority 4. Tackling barriers to employment. The objective of this priority is to increase employment and to reduce unemployment and inactivity. It will help to tackle barriers to work faced by people with disabilities and health conditions, lone parents, people over 50, ethnic minorities, and people with no or low qualifications. It will also help young people make a successful transition to the world of work, in particular those not in education, employment and training (NEET) or at risk of becoming NEET

Priority 5. Improving the skills of the local work force. The objective of this priority will be to help deliver the learning and skills vision in the Cornwall and Isles of Scilly Strategy and Action Review 2006 – “To help all people in Cornwall achieve the highest levels of skills and qualifications they can in order to enable them to find jobs and improve their chances of career progression”. In addition to the same activities as Priority 2, Priority 5 will also support Cornwall's higher education and skills strategy.

Priority 6. Technical Assistance. Technical assistance funds will be available to finance preparatory, management, monitoring, evaluation, information and control activities of the operational programme, together with activities to reinforce the administrative capacity for implementing the funds. This will include the programme's publicity and communication strategy, support for cross-cutting

themes and development of programme monitoring and evaluation systems. Technical assistance will be available to third sector networks to support the participation of voluntary and community sector organisations in the programme. In the Convergence region, technical assistance will also be used to invest in administrative capacity to facilitate programme delivery and strengthen capacity in impact analysis and evaluation, including supporting the implementation of the Local Area Agreement for Cornwall.

Key evaluation issues identified by the Commission

The relevance of the Structural and Cohesion Fund assistance, which covers analysis of the objectives of a strategy or an operational programme and their adequacy in relation to changes in the social, economic and environmental context during the programming period. It addresses issues such as concentration on the most important needs, on some segments of national policies or on elements of innovation, compared to policies implemented at the national and/or regional levels.

The consistency of the Structural and Cohesion Fund assistance, which aims at analysing the relationships and complementarities between the different priority axes and their contribution to the objectives of an operational programme. The coherence of the assistance and its synergies with Member States' and/or regions' policies, as well as with other Community policies, could also be assessed.

The effectiveness of the Structural and Cohesion Fund assistance, which involves the analysis of outputs, results and impacts and the assessment of their compliance with the expected objectives in order to understand why there are or may be varying degrees of success in this respect. Particular attention should be placed on the variables explaining the effects of interventions and/or deviations from the objectives, including the analysis of processes and implementation mechanisms.

The efficiency of the Structural and Cohesion Fund assistance, which compares processes and effects with respect to the means and resources mobilised, in particular, the costs of the assistance in relation to its effectiveness. These analyses can be carried out by comparing the costs of operational programmes observed with the costs of other similar interventions and by focusing on areas of implementation difficulty that indicate scope for efficiency improvements

Annex 2: High Level Indicators

Numbers rounded to nearest 1,000. Percentages rounded to nearest 1%.

PRIORITY 1: EXTENDING EMPLOYMENT OPPORTUNITIES (REGIONAL COMPETITIVENESS AND EMPLOYMENT)

Resources: €3,587,881,024

Target: To extend employment opportunities by helping more people enter employment or engage in activity leading to employment, particularly disadvantaged groups, as a result of the programme's interventions.

Indicator	2007-13 target	Contextual baseline (annual)	Data source (to measure progress)	Frequency
<i>Outputs</i>				
1.1 Total number of participants	Number of Priority 1 participants: 887,000	Not applicable	Individual participant data	Annual report and PMC meetings
1.2 Participants who are unemployed	(a) Number of unemployed participants (aged over 19) in Priority 1: 371,000 (b) Proportion of Priority 1 participants (aged over 19) who are unemployed: 42%	(a) Number of unemployed people in working age population (LFS): 1,291,000 (b) Proportion of unemployed people in working age population (LFS): 4%.	Individual participant data	Annual report and PMC meetings
1.3 Participants who are inactive	(a) Number of inactive participants (aged over 19) in Priority 1: 303,000 (b) Proportion of Priority 1 participants (aged over 19) who are inactive: 34%	(a) Number of inactive people in working age population (LFS): 6,431,000 (b) Proportion of inactive people in working age population (LFS): 21%.	Individual participant data	Annual report and PMC meetings
1.4 Participants aged 14 to 19 who are NEET or at risk of becoming NEET	(a) Number of Priority 1 participants who are 14-19 year old NEETs or at risk of becoming NEET: 177,000 (b) Proportion of Priority 1 participants who are 14-19 year old	(a) Number of 16 to 19 year old NEETs plus number of 14 and 15 year olds at risk (Connexions): 357,477 (b) Proportion of 16 to 19 year old	Individual participant data	Annual report and PMC meetings

	NEETs or at risk of becoming NEETs: 20%	NEETS plus 14 and 15 year olds at risk in 14-19 population (Connexions): 5%		
1.5 Participants with disabilities or health conditions	Proportion of Priority 1 participants with disabilities and health conditions: 22%	Proportion of people with disabilities or health conditions in the workless population (LFS): 19%.	Individual participant data	Annual report and PMC meetings
1.6 Participants who are lone parents	Proportion of Priority 1 participants who are lone parents: 12%	Proportion of lone parents in workless population (LFS): 9%	Follow-up survey of participants	2010 and 2013
1.7 Participants aged 50 or over	Proportion of <u>unemployed and inactive</u> Priority 1 participants aged 50 or over (i.e. indicator 1.2): 18%	Proportion of people aged 50 or over in the workless population (LFS): 28%.	Individual participant data	Annual report and PMC meetings
1.8 Participants from ethnic minorities	Proportion of Priority 1 participants who are from ethnic minorities: 25%	Proportion of ethnic minority people in workless population (LFS): 18%	Individual participant data	Annual report and PMC meetings
1.9 Female participants	Proportion of Priority 1 participants who are female: 51%	Proportion of women among unemployed people and inactive people who want to work (LFS): 51%.	Individual participant data	Annual report and PMC meetings
<i>Results</i>				
1.10 Participants in work on leaving	(a) Number of Priority 1 participants in work on leaving: 195,000 (b) Proportion of Priority 1 participants in work on leaving: 22%	Proportion of (comparable priority) participants in work on leaving in 2000-06 (2000-06 ESF project closure data): 18%	Individual participant data	Annual report and PMC meetings
1.11 Participants in work six months after leaving	(a) Number of participants in work six months after leaving: 231,000 (b) Proportion of participants in work six months after leaving: 26%	Not available	Follow-up survey of participants	2010 and 2013
1.12 Economically inactive participants engaged in jobsearch activity or further learning (distance travelled indicator)	Proportion of Priority 1 economically inactive participants who on leaving are engaged in jobsearch activity or enter further learning to prepare them for work: 45%	Not available	Follow-up survey of participants	2010 and 2013

1.13 14 to 19 year old NEETs or at risk, in education, employment or training on leaving	(a) Number of Priority 1 NEETs or at risk, in education, employment or training on leaving: 80,000 (b) Proportion of Priority 1 NEETs or at risk, in education, employment or training on leaving: 45%	Not available.	Individual participant data	Annual report and PMC meetings
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Indicators without targets

Indicator	Data source (to measure progress)	Frequency
Outputs		
1.14 % Participants who receive support with caring responsibilities	Follow-up survey of participants	2010 and 2013
Results		
1.15 % Unemployed participants in work on leaving	Individual participant data	Annual report and PMC meetings
1.16 % Unemployed in work six months after leaving	Follow-up survey of participants	2010 and 2013
1.17 % Economically inactive participants in work on leaving	Individual participant data	Annual report and PMC meetings
1.18 % Economically inactive participants in work six months after leaving	Follow-up survey of participants	2010 and 2013
1.19 % Participants with disabilities or health conditions in work on leaving	Individual participant data	Annual report and PMC meetings
1.20 % Participants with disabilities or health conditions in work six months after leaving	Follow-up survey of participants	2010 and 2013
1.21 % Lone parents in work on leaving	Follow-up survey of participants	2010 and 2013
1.22 % Lone parents in work six months after leaving	Follow-up survey of participants	2010 and 2013
1.23 % Participants aged 50 or over in work on leaving	Individual participant data	Annual report and PMC meetings

1.24 % Participants aged 50 or over in work six months after leaving	Follow -up survey of participants	2010 and 2013
1.25 % Ethnic minority participants in work on leaving	Individual participant data	Annual report and PMC meetings
1.26 % Ethnic minority participants in work six months after leaving	Follow-up survey of participants	2010 and 2013
1.27 % Female participants in work on leaving	Individual participant data	Annual report and PMC meetings
1.28 % Female participants in work six months after leaving	Follow-up survey of participants	2010 and 2013
1.29 % Participants who gained basic skills	Individual participant data	Annual report and PMC meetings
1.30 % Participants who gained qualifications	Individual participant data	Annual report and PMC meetings

Notes

The number of participants who are unemployed (1.2), inactive (1.3) or young NEETs (1.4) is smaller than the total number of participants (1.1). This is (a) to provide some flexibility for regions to support additional unemployed or inactive people or NEETs depending on regional priorities and needs, and (b) in exceptional cases to support activities to retain older and disabled workers in employment and prevent worklessness.

Output targets 1.2, 1.3 and 1.4, and 1.4 and 1.7 are mutually exclusive (i.e. a participant cannot be both unemployed and inactive, or unemployed or inactive and a 14-19 NEET, or a 14-19 NEET and an older worker. Other indicators are not mutually exclusive (e.g. a participant can be unemployed and disabled, a lone parent, ethnic minority, older worker and female).

Results targets 1.10 and 1.12 are mutually exclusive.

Numbers rounded to nearest 1,000. Percentages rounded to nearest 1%.

Lone parent targets and indicators will be measured through the follow-up surveys rather than the Management Information system. The LSC does not collect this information as part of its standard data collection about individual LSC participants. Although DWP/Jobcentre Plus does collect some data on lone parents it is only in respect of those in receipt of benefits. Lone parent participation will also be covered at the Managing Authority's regular reviews with beneficiaries.

PRIORITY 2: DEVELOPING A SKILLED AND ADAPTABLE WORKFORCE (REGIONAL COMPETITIVENESS AND EMPLOYMENT)

Resources: €1,967,547,658

Target: develop a skilled and adaptable workforce by helping more people gain basic skills and qualifications as a result of the programme's interventions.

Indicator	2007-2013 target	Contextual baseline (annual)	Data source (to measure progress)	Frequency
Outputs				
2.1 Total number of participants	Number of Priority 2 participants: 825,000	Not applicable	Individual participant data	Annual report and PMC meetings
2.2 Participants with basic skills needs	(a) Number of Priority 2 participants with basic skills needs: 337,000 (b) Proportion of Priority 2 participants without basic skills: 41%	Not available	Individual participant data	Annual report and PMC meetings
2.3 Participants without level 2 qualifications	(a) Number of Priority 2 participants without full level 2 qualifications: 338,000 (b) Proportion of Priority 2 participants without full level 2: 41%	(a) Number of employed people in working age population without full level 2 (LFS): 7,494,000 (b) Proportion of employed people in working age population without full level 2 (LFS): 33%	Individual participant data	Annual report and PMC meetings
2.4 Participants without level 3 qualifications	(a) Number of Priority 2 participants with level 2 but without full level 3 qualifications: 101,000 (b) Proportion of Priority 2 participants with level 2 but without full level 3: 12%	(a) Number of employed people in working age population without level 3 (LFS): 12,785,000 (b) Proportion of employed people in working age population without full level 3 (LFS): 56%	Individual participant data	Annual report and PMC meetings
2.5 Participants with	Proportion of Priority 2 participants	Proportion of employed people in	Individual participant	Annual report and PMC

disabilities or health conditions	with disabilities and health conditions: 15%	working age population with disabilities or health conditions (LFS): 13%.	data	meetings
2.6 Participants aged 50 and over	Proportion of Priority 2 participants aged 50 and over: 20%	Proportion of employed people in working age population aged 50 or over (LFS): 24%.	Individual participant data	Annual report and PMC meetings
2.7 Participants from ethnic minorities	Proportion of Priority 2 participants who are from ethnic minorities: 13%	Proportion of employed people in working age population who are from ethnic minorities (LFS): 10%	Individual participant data	Annual report and PMC meetings
2.8 Female participants	Proportion of Priority 2 participants who are female: 50%	Proportion of employed people in working age population who are female (LFS): 46%	Individual participant data	Annual report and PMC meetings
Results				
2.9 Participants who gained basic skills	(a) Number of Priority 2 participants who gained basic skills: 152,000 (b) Proportion of Priority 2 participants without basic skills who gained basic skills: 45%	Not available	Individual participant data	Annual report and PMC meetings
2.10 Participants who gained full level 2 qualifications	(a) Number of Priority 2 participants who gained full level 2 qualifications: 135,000 (b) Proportion of Priority 2 participants without level 2 who gained full level 2: 40%	Not available	Individual participant data	Annual report and PMC meetings
2.11 Participants who gained full level 3 qualifications	(a) Number of Priority 2 participants who gained full level 3 qualifications: 30,000 (b) Proportion of Priority 2 participants (with level 2 but without level 3) who gained full level 3: 30%	Not available	Individual participant data	Annual report and PMC meetings

Indicators without targets

Indicator	Data source (to measure progress)	Frequency
Outputs		
2.12 % Participants in a managerial position	Follow-up survey of participants	2010 and 2013
2.13 % Female participants in part-time work	Follow-up survey of participants	2010 and 2013
Results		
2.14 % Participants (without level 2 qualifications) who gained units or modules of level 2 qualifications	Individual participant data or survey	Annual report
2.15 % Participants (without level 3 qualifications) who gained units or modules of level 3 qualifications	Individual participant data or survey	Annual report
2.16 % Participants who gained full level 4 or above qualifications	Individual participant data	Annual report and PMC meetings
2.17 % Participants who gained units or modules of level 4 or above qualifications	Individual participant data or survey	Annual report
2.18 % Female participants who gained basic skills	Individual participant data	Annual report and PMC meetings
2.19 % Female participants who gained level 2 qualifications	Individual participant data	Annual report and PMC meetings

2.20 % Female participants who gained level 3 qualifications	Individual participant data	Annual report and PMC meetings
2.21 % Female participants who gained level 4 and above qualifications	Individual participant data	Annual report and PMC meetings
2.22 % Female participants who gained units or modules of qualifications	Individual participant data or survey	Annual report
2.23 % Participants with disabilities or health conditions who gained basic skills	Individual participant data	Annual report and PMC meetings
2.24 % Participants with disabilities or health conditions who gained qualifications	Individual participant data	Annual report and PMC meetings
2.25 % Participants with disabilities or health conditions who gained units or modules of qualifications	Individual participant data or survey	Annual report
2.26 % Participants aged 50 or over who gained basic skills	Individual participant data	Annual report and PMC meetings
2.27 % Participants aged 50 or over who gained qualifications	Individual participant data	Annual report and PMC meetings
2.28 % Participants aged 50 or over who gained units or modules of qualifications	Individual participant data or survey	Annual report
2.29 % Ethnic minority participants who gained basic skills	Individual participant data	Annual report and PMC meetings
2.30 % Ethnic minority participants who gained qualifications	Individual participant data	Annual report and PMC meetings
2.31 % Ethnic minority participants who gained units or modules of qualifications	Individual participant data or survey	Annual report

2.32 % Part-time female workers who gained basic skills	Follow-up survey participants	2010 and 2013
2.33 % Part-time female workers who gained qualifications	Follow-up survey participants	2010 and 2013
2.34 % Part-time female workers who gained units or modules of qualifications	Follow-up survey participants	2010 and 2013

Notes

Participants with basic skills needs (2.2) are participants who on starting ESF are identified as lacking one or more of the following Skills for Life basic skills at level 2: literacy, numeracy, language (e.g. English for Speakers of other Languages) or Information and Communication Technology.

Participants without full level 2 qualifications (2.3) will have basic skills so they are not double counted.

Indicators on the acquisition of units or modules of qualifications (2.14, 2.15, 2.17, 2.22, 2.25, 2.28, 2.31 and 2.34) will be measured by individual participant data from the Management Information system. If this is not feasible, they will be measured through annual surveys of a sample of Priority 2 projects from 2009 onwards, in those years when there are no follow-up surveys. To avoid double-counting, a participant who gains a full qualification will not also be recorded as gaining a unit or module towards the qualification.

The basic skills results target (2.9) will be reviewed and if necessary adjusted in the light of any new data that becomes available on the performance of Skills for Life initiatives, and in the light of the performance of ESF projects.

Numbers rounded to nearest 1,000. Percentages rounded to nearest 1%.

PRIORITY 4: TACKLING BARRIERS TO EMPLOYMENT (CONVERGENCE)

Resources: €99,526,529

Target: To tackle barriers to employment in Cornwall and the Isles of Scilly by helping more people enter employment or engage in activity leading to employment, particularly disadvantaged groups, as a result of the programme's interventions.

Indicator	2007-13 target	Contextual baseline (annual)	Data source (to measure progress)	Frequency
Outputs				
4.1 Total number of participants	Number of Priority 4 participants: 24,500	Not applicable	Individual participant data	Annual report and PMC meetings
4.2 Participants who are unemployed	(a) Number of unemployed participants (aged over 19) in Priority 4: 10,200 (b) Proportion of Priority 4 participants (aged over 19) who are unemployed or inactive: 42%	(a) Number of unemployed people in working age population (LFS): 10,000 (b) Proportion of unemployed people in working age population (LFS): 3%.	Individual participant data	Annual report and PMC meetings
4.3 Participants who are inactive	(a) Number of inactive participants (aged over 19) in Priority 4: 8,400 (b) Proportion of Priority 4 participants (aged over 19) who are inactive: 34%	(a) Number of inactive people in working age population (LFS): 65,000 (b) Proportion of inactive people in working age population (LFS): 22%.	Individual participant data	Annual report and PMC meetings
4.4 Participants aged 14 to 19 who are NEET or at risk of becoming NEET	(a) Number of Priority 4 participants who are 14-19 year old NEETs or at risk of becoming NEET: 4,900 (b) Proportion of Priority 4 participants who are 14-19 year old NEETs or at risk of becoming	(a) Number of 16 to 19 year old NEETs plus number of 14 and 15 year olds at risk (Connexions): 3,775 (b) Proportion of 16 to 19 year old NEETS plus 14 and 15 year olds at risk in 14-19 population	Individual participant data	Annual report and PMC meetings

	NEETs: 20%	(Connexions): 5%		
4.5 Participants with disabilities or health conditions	Proportion of Priority 4 participants with disabilities and health conditions: 27%	Proportion of people with disabilities or health conditions in the workless population (LFS): 23%.	Individual participant data	Annual report and PMC meetings
4.6 Participants who are lone parents	Proportion of Priority 4 participants who are lone parents: 8%	Not available	Follow-up survey of participants	2010 and 2013
4.7 Participants aged 50 or over	Proportion of <u>unemployed and inactive</u> Priority 4 participants aged 50 or over (i.e. indicator 4.2): 30%	Proportion of people aged 50 or over in the workless population (LFS): 42%.	Individual participant data	Annual report and PMC meetings
4.8 Participants from ethnic minorities	Proportion of Priority 4 participants who are from ethnic minorities: 1%	Not available	Individual participant data	Annual report and PMC meetings
4.9 Female participants	Proportion of Priority 4 participants who are female: 51%	Proportion of women among unemployed people and inactive people who want to work (LFS): 51%.	Individual participant data	Annual report and PMC meetings
<i>Results</i>				
4.10 Participants in work on leaving	(a) Number of Priority 4 participants in work on leaving: 5,900 (b) Proportion of Priority 4 participants in work on leaving: 24%	Proportion of (comparable priority) participants in work on leaving in 2000-06 (2000-06 ESF project closure data): 18%	Individual participant data	Annual report and PMC meetings
4.11 Participants in work six months after leaving	(a) Number of participants in work six months after leaving: 7,300 (b) Proportion of participants in work six months after leaving: 30%	Not available	Follow-up survey of participants	2010 and 2013
4.12 Economically inactive participants engaged in jobsearch activity or further learning (distance travelled indicator)	Proportion of Priority 4 economically inactive participants who on leaving are engaged in jobsearch activity or enter further learning to prepare them for work: 45%	Not available	Follow-up survey of participants	2010 and 2013
4.13 14 to 19 year old NEETs or at risk, in education,	(a) Number of Priority 4 NEETs or at risk, in education, employment or	Not available.	Individual participant	Annual report and PMC

employment or training on leaving	training on leaving: 2,200 (b) Proportion of Priority 4 NEETs or at risk, in education, employment or training on leaving: 45%		data	meetings
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Indicators without targets

Indicator	Data source (to measure progress)	Frequency
Outputs		
4.14 % Participants who receive support with caring responsibilities	Follow-up survey of participants	2010 and 2013
Results		
4.15 % Unemployed participants in work on leaving	Individual participant data	Annual report and PMC meetings
4.16 % Unemployed in work six months after leaving	Follow –up survey of participants	2010 and 2013
4.17 % Economically inactive participants in work on leaving	Individual participant data	Annual report and PMC meetings
4.18 % Economically inactive participants in work six months after leaving	Follow-up survey of participants	2010 and 2013
4.19 % Participants with disabilities or health conditions in work on leaving	Individual participant data	Annual report and PMC meetings
4.20 % Participants with disabilities or health conditions in work six months after leaving	Follow-up survey of participants	2010 and 2013
4.21 % Lone parents in work on leaving	Follow-up survey of participants	2010 and 2013
4.22 % Lone parents in work six months after leaving	Follow-up survey of participants	2010 and 2013
4.23 % Participants aged 50 or over in work on leaving	Individual participant data	Annual report and PMC meetings
4.24 % Participants aged 50 or over in work six months	Follow-up survey of participants	2010 and 2013

after leaving		
4.25 % Ethnic minority participants in work on leaving	Individual participant data	Annual report and PMC meetings
4.26 % Ethnic minority participants in work six months after leaving	Follow-up survey of participants	2010 and 2013
4.27 % Female participants in work on leaving	Individual participant data	Annual report and PMC meetings
4.28 % Female participants in work six months after leaving	Follow-up survey of participants	2010 and 2013
4.29 % Participants who gained basic skills	Individual participant data	Annual report and PMC meetings
4.30 % Participants who gained qualifications	Individual participant data	Annual report and PMC meetings

Notes

The number of participants who are unemployed (4.2), inactive (4.3) or young NEETs (4.4) is smaller than the total number of participants (4.1). This is (a) to provide some flexibility to support additional workless people or NEETs during the course of the programme, and (b) in exceptional cases to support activities to retain older and disabled workers in employment and prevent worklessness.

Output targets 4.2, 4.3 and 4.4, and 4.4 and 4.7 are mutually exclusive (i.e. a participant cannot be both unemployed and inactive, or unemployed or inactive and a 14-19 NEET, or a 14-19 NEET and an older worker. Other indicators are not mutually exclusive (e.g. a participant can be unemployed/inactive and disabled, a lone parent, ethnic minority, older worker and female).

Results targets 4.10 and 4.12 are mutually exclusive.

Numbers rounded to nearest 100. Percentages rounded to nearest 1%.

Lone parent targets and indicators will be measured through the follow-up surveys rather than the Management Information system. The LSC does not collect this information as part of its standard data collection about individual LSC participants. Although DWP/Jobcentre Plus does collect some data on lone parents it is only in respect of those in receipt of benefits. Lone parent participation will also be covered at the Managing Authority's regular reviews with beneficiaries.

PRIORITY 5: IMPROVING THE SKILLS OF THE LOCAL WORKFORCE (CONVERGENCE)

Resources: €157,147,152

Target: To improve the skills of the workforce in Cornwall and the Isles of Scilly by helping more people gain basic skills and qualifications as a result of the programme's interventions.

Indicator	2007-2013 target	Contextual baseline (annual)	Data source (to measure progress)	Frequency
Outputs				
5.1 Total number of participants	Number of Priority 5 participants: 50,200	Not applicable	Individual participant data	Annual report and PMC meetings
5.2 Participants with basic skills needs	(a) Number of Priority 5 participants with basic skills needs: 18,200 (b) Proportion of Priority 5 participants without basic skills: 36%	Not available.	Individual participant data	Annual report and PMC meetings
5.3 Participants without level 2 qualifications	(a) Number of Priority 5 participants without full level 2 qualifications: 18,200 (b) Proportion of Priority 5 participants without full level 2: 36%	(a) Number of employed people in working age population without full level 2 (LFS): 63,000 (b) Proportion of employed people in working age population without full level 2 (LFS): 28%	Individual participant data	Annual report and PMC meetings
5.4 Participants without level 3 qualifications	(a) Number of Priority 5 participants with level 2 but without full level 3 qualifications: 5,400 (b) Proportion of Priority 5 participants with level 2 but without full level 3: 11%	(a) Number of employed people in working age population without level 3 (LFS): 116,000 (b) Proportion of employed people in working age population without full level 3 (LFS): 51%	Individual participant data	Annual report and PMC meetings

5.5 Participants without level 4 qualifications.	(a) Number of Priority 5 participants with level 3 but without full level 4 qualifications: 3,800 (b) Proportion of Priority 5 participants with level 3 but without full level 4: 8%	(a) Number of employed people in working age population without full level 4 (LFS): 184,000 (b) Proportion of employed people in working age population without full level 4 (LFS): 81%	Individual participant data	Annual report and PMC meetings
5.6 Participants under taking post-graduate research training	Number participating in research qualifications (Masters/PhD): 800	Not available	Individual participant data	Annual report and PMC meetings
5.7 Graduates placed within SMEs	Number of graduate placements: 1,100	Not available	Individual participant data	Annual report and PMC meetings
5.8 Participants with disabilities or health conditions	Proportion of Priority 5 participants with disabilities and health conditions: 17%	Proportion of employed people in working age population with disabilities or health conditions (LFS): 15%.	Individual participant data	Annual report and PMC meetings
5.9 Participants aged 50 and over	Proportion of Priority 5 participants aged 50 and over: 22%	Proportion of employed people in working age population aged 50 or over (LFS): 25%.	Individual participant data	Annual report and PMC meetings
5.10 Participants from ethnic minorities	Proportion of Priority 5 participants who are from ethnic minorities: 1%	Not available	Individual participant data	Annual report and PMC meetings
5.11 Female participants	Proportion of Priority 5 participants who are female: 51%	Proportion of employed people in working age population who are female (LFS): 47%	Individual participant data	Annual report and PMC meetings
Results				
5.12 Participants who gained basic skills	(a) Number of Priority 5 participants who gained basic skills: 8,200 (b) Proportion of Priority 5 participants without basic skills who gained basic skills: 45%	Not available	Individual participant data	Annual report and PMC meetings
5.13 Participants who gained full level 2 qualifications	(a) Number of Priority 5 participants who gained full level 2 qualifications:	Not available	Individual participant data	Annual report and PMC meetings

	7,300 (b) Proportion of Priority 5 participants without level 2 who gained full level 2: 40%			
5.14 Participants who gained full level 3 qualifications	(a) Number of Priority 5 participants who gained full level 3 qualifications: 1,600 (b) Proportion of Priority 5 participants (with level 2 but without level 3) who gained full level 3: 30%	Not available	Individual participant data	Annual report and PMC meetings
5.15 Participants who gained full level 4 qualifications	(a) Number of Priority 5 participants who gained full level 4: 760 (b) Proportion of Priority 5 participants (with level 3 but without level 4) who gained full level 4: 20%	Not available	Individual participant data	Annual report and PMC meetings
5.16 Participants who gained full level 5 or above qualifications	(a) Number of Priority 5 participants undertaking post-graduate research training who gained level 5 or above: 120 (b) Proportion of Priority 5 participants undertaking post-graduate research training who gained level 5 or above: 15%	Not available	Individual participant data	Annual report and PMC meetings
5.17 Graduates placed within SMEs who gain employment	(a) Number of graduates placed within SMEs who gain employment: 830 (b) Proportion of graduates placed within SMEs who gain employment: 75%	Not available	Individual participant data	

Indicators without targets

Indicator	Data source (to measure progress)	Frequency
Outputs		
5.18 % Participants in a managerial position	Follow-up survey of participants	2010 and 2013
5.19 % Female participants in part-time work	Follow-up survey of participants	2010 and 2013
Results		
5.20 % Participants (without level 2 qualifications) who gained units or modules of level 2 qualifications	Individual participant data or survey	Annual report
5.21 % Participants (without level 3 qualifications) who gained units or modules of level 3 qualifications	Individual participant data or survey	Annual report
5.22% Participants (without level 4 qualifications) who gained units or modules of level 4 or above qualifications	Individual participant data or survey	Annual report
5.23% Participants (without level 5 qualifications) who gained units or modules of level 5 or above qualifications	Individual participant data or survey	Annual report
5.24 % Female participants who gained basic skills	Individual participant data	Annual report and PMC meetings
5.25 % Female participants who gained level 2 qualifications	Individual participant data	Annual report and PMC meetings

5.26 % Female participants who gained level 3 qualifications	Individual participant data	Annual report and PMC meetings
5.27 % Female participants who gained level 4 and above qualifications	Individual participant data	Annual report and PMC meetings
5.28 % Female participants who gained units or modules of qualifications	Individual participant data or survey	Annual report
5.29 % Participants with disabilities or health conditions who gained basic skills	Individual participant data	Annual report and PMC meetings
5.30 % Participants with disabilities or health condition who gained qualifications	Individual participant data	Annual report and PMC meetings
5.31 % Participants with disabilities or health conditions who gained units or modules of qualifications	Individual participant data or survey	Annual report
5.32 % Participants aged 50 or over who gained basic skills	Individual participant data	Annual report and PMC meetings
5.33 % Participants aged 50 or over who gained qualifications	Individual participant data	Annual report and PMC meetings
5.34 % Participants aged 50 or over who gained units or modules of qualifications	Individual participant data or survey	Annual report
5.35 % Ethnic minority participants who gained basic skills	Individual participant data	Annual report and PMC meetings
5.36 % Ethnic minority participants who gained qualifications	Individual participant data	Annual report and PMC meetings
5.37 % Ethnic minority participants who gained units or modules of qualifications	Individual participant data or survey	Annual report

5.38 % Part-time female workers who gained basic skills	Follow-up survey of participants	2010 and 2013
5.39 % Part-time female workers who gained qualifications	Follow-up survey of participants	2010 and 2013
5.40 % Part-time female workers who gained units or modules of qualifications	Follow-up survey participants	2010 and 2013

Notes

Participants with basic skills needs (5.2) are participants who on starting ESF are identified as lacking one or more of the following Skills for Life basic skills at level 2: literacy, numeracy, language (e.g. English for Speakers of other Languages) or Information and Communication Technology.

Participants without full level 2 qualifications (5.3) will have basic skills so they are not double counted.

Indicators on the acquisition of units or modules of qualifications (5.20, 5.21, 5.22, 5.23, 5.28, 5.31, 5.34, 5.37 and 5.40) will be measured by individual participant data from the Management Information system. If this is not feasible, they will be measured through annual surveys of a sample of Priority 5 projects from 2009 onwards, in those years when there are no follow-up surveys. To avoid double-counting, a participant who gains a full qualification will not also be recorded as gaining a unit or module towards the qualification.

The basic skills results target (5.12) will be reviewed and if necessary adjusted in the light of any new data that becomes available on the performance of Skills for Life initiatives, and in the light of the performance of ESF projects.

Numbers rounded to nearest 100 (except 5.15, 5.16 and 5.17). Percentages rounded to nearest 1%.

PROGRAMME PERFORMANCE INDICATORS

Indicator	Target	Data source (to measure progress)	Frequency
Outputs			
1. Total number of participants	Number of participants: 1,790,000	Individual participant data	Annual report and PMC meetings
2. Participants who are unemployed	Number of unemployed participants: 381,000	Individual participant data	Annual report and PMC meetings
3. Participants who are economically inactive	Number of economically inactive participants: 311,000	Individual participant data	Annual report and PMC meetings
4. Participants with basic skills needs	Number of participants with basic skills needs: 355,000	Individual participant data	Annual report and PMC meetings
5. Participants with disabilities or health conditions	Proportion of participants with disabilities or health conditions: 19%	Individual participant data	Annual report and PMC meetings
6. Participants aged 50 or over	Proportion participants aged 50 or over (excluding 14 to 19 year old NEETs and at risk): 19%	Individual participant data	Annual report and PMC meetings
7. Participants from ethnic minorities	Proportion of participants from ethnic minorities: 19%	Individual participant data	Annual report and PMC meetings
8. Female participants	Proportion of female participants: 51%	Individual participant data	Annual report and PMC meetings
Results			
9. Participants in work on leaving (priorities 1 and 4)	Number of Priority 1 and 4 participants in work on leaving: 201,000	Individual participant data	Annual report and PMC meetings
10. Participants in work six months after leaving (priorities 1 and 4)	Number of Priority 1 and 4 participants in work six months after leaving: 238,000	Follow-up survey of participants	2010 and 2013

11. Participants gaining basic skills	Number of participants gaining basic skills: 160,000	Individual participant data	Annual report and PMC meetings
12. Participants gaining full qualifications at level 2 or above (priorities 2 and 5)	Number of priority 2 and 5 participants gaining full qualifications at level 2 or above: 174,000	Individual participant data	Annual report and PMC meetings