

## Chapter 11a - ESF 2007 – 2013 Requirements (England Only)

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### **Requirements:**

Adhere to European Social Fund (ESF) contractual requirements including:

- Document Retention;
- ESF Audit Requirements;
- Marketing and Publicity;
- ESF Cross Cutting Themes; and
- Evaluation.

### **Introduction**

1. This chapter provides information about mandatory requirements that apply to ESF and match funded provision in England. This includes the ESF Support for Families with Multiple Problems provision, the Work Programme, Work Choice and Day One Support for Young People provision in England. Failure to comply with these requirements could result in the withdrawal of funding.
2. Guidance for ESF and match funded provision that went live prior to 2011 is provided in the [2007-2010 European Social Fund chapter](#).
3. The ESF requirements outlined in this chapter apply to you and your whole supply chain throughout delivery. It is your responsibility to adhere to these requirements and to ensure your supply chain does the same. You are ultimately accountable for the ESF compliance of your contract, including your sub contracts. Failure to comply with any of the ESF requirements can result in the repayment of funds.
4. Your DWP Performance Manager (PM) is responsible for the implementation and delivery of these contractual requirements. The PM will ensure that performance and compliance with the regulatory requirements is managed in a formal structured setting.
5. The PM will be assisted by a Compliance Monitoring Officer (CMO). The CMO will be responsible for a programme of contract compliance monitoring to ensure that contracts meet specific European Union regulatory requirements.

### **Document Retention**

6. There are specific rules that apply to the retention of documents; these are detailed at paragraph 12. Documents must be retained until at least 31 December 2022; you will be updated should this date be changed at any stage in the future. The list of documents that must be retained detailed at

paragraph 15 may not be completely exhaustive and could be subject to further review in the future.

7. Where an organisation within your supply chain ceases to trade or is no longer doing business with you, it is your responsibility to recover all relevant and original documents held by the sub-contractor. Those documents are, as specified in the table at paragraph 15 and must be retained for the full retention period i.e. until at least 31 December 2022 (in England).
8. Where you cease to trade or will no longer be doing business with DWP you should discuss retention of documents with your DWP Account Manager.

### **Electronic Document Retention**

9. European Commission regulations allow for documents to be retained as either the original paper copies or as an electronic copy of the originals. The regulations allow for the electronic storage of documents provided that they are stored on a recognised data carrier (e.g. CD ROM, Hard Disk or Magnetic Disk), are certified as being copies of the original, meet national standards and are auditable. Documents must be held on an accepted data carrier. These include:
  - microfiches of original documents; and
  - electronic versions of original documents on data carriers
10. For each data carrier used, you must retain a signed declaration that the documents held within the data carrier are certified as being true copies (conforming to) the originals. The [ESF Declaration](#) on headed paper satisfies this requirement.
11. Minimum requirements associated with completion of the declaration are:
  - all declarations must be made available on request;
  - documents can be certified as true copies of the original document either individually or as a group of documents; however a declaration will be required each time documents(s) are copied and retained for audit purposes;
  - the declaration can be kept as an electronic or paper copy. The declaration can be included on the electronic copy of the documents and stored electronically. If the document(s) are certified using a paper copy it is extremely important that it is stored with the appropriate stored data carrier;
  - electronic copies of original documents must be kept for the same length of time as paper copies. For further information on Document Retention

see paragraph 6;

- the signature can be original or an electronic signature;
- the electronic copies must be reliable for ESF and DWP audit purposes through to 31<sup>st</sup> December 2022. For example, they must be:
  - stored in such a way that they are safe and cannot be modified;
  - can be effectively retrieved; and
  - accessible in a readable format.

NB DWP and The National Archives recommend that electronically held data is migrated onto new formats every 5 years to ensure the data remains readable and usable.

### **Retained Documentation**

12. You must ensure that you have robust systems and controls in place to maintain and monitor access to documentation throughout the retention period.
13. All documents (including any electronic information) must be readily accessible to requests from auditors and DWP upon request and stored in accordance with DWP standards. To support audit activity, it is recommended that a separate file of documentation for each individual participant is linked to a specific Contract Package Area number; and arranged in a filing system that will enable the effective retrieval of documentation.
14. Audits will scrutinise down to the level of an individual participant. Documentation must show that payments claimed in respect of an individual participant were eligible in accordance with the contract terms and conditions. The participant file, either in hard copy or electronic format, must also contain evidence that the participant was made aware that the provision is part funded by ESF.
15. The table below lists the documentation that must be retained as a minimum to meet audit requirements until at least 31 December 2022.

No.	Document/Information
1	Evidence of the 2 way conversation/action planning to support the Attachment Fee payment as detailed in <a href="#">Work Programme Guidance</a>
2	Participant Action Plan or Development Plan

No.	Document/Information
3	Sustainable Development Policy and Action Plans
4	Sustainable 'Health' Action Policy and Plans (London)
5	Equality and Diversity Policy and Action Plans
6	Marketing and Publicity documents including Marketing/Communication plans and products produced to promote ESF to participants
7	Supporting information for job and sustainment claims as detailed in programme specific guidance
8	Supporting information to validate the agreed Progress Measures as detailed in the ESF Families with Multiple Problems Guidance <a href="#">Chapter 6</a> – Attachments, Payments and Evidence Requirements
9	Evidence to support the assessment and decision on eligibility for the ESF Families with Multiple problems programme secondary referral route
10	Document Retention Policy and Plan

16. You should have submitted a document retention policy and plan to your DWP PM within 4 weeks of the contract starting. This will be monitored and reviewed by your Performance Manager.

### ESF Audit Requirements

17. You and your sub-contractors are subject to audit controls and review. The following is a list of the bodies, which require access for audit purposes - it is not exhaustive:

- ESF Audit Authority;
- The European Court of Auditors;
- The European Commission's Auditors;
- The National Audit Office;
- DWP Risk Assurance Division; and
- Other bodies as required by or on behalf of DWP/European Commission.

18. It cannot be emphasised enough that failure to meet audit requirements results in a high financial risk for both providers and DWP, as funds used inappropriately or for ineligible participants or purposes are recoverable.

## Marketing and Publicity

19. There are a number of contractual requirements for all ESF funded and match-funded provision, which apply to you and your sub-contractors in terms of marketing and publicity. Failure to meet these requirements could result in significant financial penalties.
20. You are required to develop and implement a Marketing and Publicity Plan which will detail the activities you will undertake to satisfy the ESF regulatory requirements (see Chapter 9 of this guidance). The plan will be monitored and reviewed by the Performance Manager on a regular basis.

## Contractual Requirements for ESF Marketing and Publicity

21. To meet these requirements, you and your sub-contractors must have specific ESF publicity measures in place which include, but are not restricted to the following:
  - providing DWP with 'Good News' stories/Case Studies on a regular basis;
  - displaying an ESF 2007-2013 plaque;
  - reminding participants of European Union (EU) and ESF support throughout their time on provision;
  - supplying provider and provision details for inclusion in the [ESF public databases](#)
  - using the ESF logo in line with guidance, on websites;
  - ESF publicity materials produced by providers must be approved by Jobcentre Plus before publishing and use;
  - displaying the Cornwall Convergence and Mayor of London logo where relevant.

## Providing Good News Stories/Case Studies

22. DWP/Jobcentre Plus regularly requires information on participants whose individual stories can be celebrated. This information will be used in marketing and publicity products which help celebrate and raise awareness of ESF provision, your provision and DWP/Jobcentre Plus.
23. Consent must be obtained from each individual who agrees to their details being shared before any story can be published. The ESF consent form/good news story template is attached at [Annex 1](#) and must be signed in all cases, for audit purposes.

24. Once completed, a copy of the ESF consent form/good news story template should be sent, via a secure network, to your Performance Manager and Jobcentre Plus ESF Manager. They will ensure you have obtained all the appropriate information required and that the information is forwarded to DWPs national team.
25. The National Marketing and Publicity Manager may use your good news/case study in such things as ministerial speeches, newsletters, magazines, newspapers or television etc. The relevance of the story will be checked with you prior to publishing.
26. Reference to ESF funding must also be used within the body of the text of your good news story for all EU funded and match-funded provision. As an example, if you quote the name of the organisation that has helped someone you could also add 'which is financed by the European Union'.
27. DWP does not stipulate how many ESF good news stories you are required to produce, as a guide, you should aim to provide at least one each month which you can discuss with your Performance Manager at each Contract Performance review.
28. DWP always wish to encourage best practice amongst providers i.e. sharing examples of good working relationships you may have adopted when working with partner organisations or, any events you arranged that were well received. Attached at [Annex 2](#) is a Best Practice Stencil for you to complete and share with your Performance Manager and ESF Manager.

### **Displaying an ESF 2007-2013 Plaque**

29. The ESF plaque must be displayed in a prominent place in the main building where ESF funded/match-funded provision is delivered. It should be clearly visible to staff, participants and, wherever possible, others using the building.

### **Reminding participants of EU/ESF support throughout their time on provision**

30. This should be carried out from the initial stages of each individual agreeing to participate on any ESF funded/match-funded provision. You must also remind participants of EU and ESF support throughout their time on provision and have evidence to support this audit requirement. You can use a DWP produced leaflet (DWPF06) which explains ESF funding.
31. Copies of the DWPF06 leaflet can be ordered through [iON](#) where you will also find information on obtaining this leaflet in other formats.

### **Displaying the ESF Logo on all Marketing and Publicity Products**

32. Any documents you produce concerning the publicity of ESF funded and match-funded activity must use the ESF logo and, where possible, reference to EU funding, in line with the guidance on the following websites:

- [ESF Publicity Works Toolkit](#)
- [ESF Logo Guidance](#)
- [DWP Branding – Communications Centre](#) *For information about logos, click on 'I work with the Department for Work and Pensions as a framework provider or sub-contractor' – 'Using Logos' If you have not already registered with this site, it is advisable to do so.*

33. The ESF logo must also be used on any forms and letters concerning the administration of ESF/match-funded activity, forms, letters, Action Plans and other documents used to support the delivery of ESF and match-funded provision.

34. You must obtain clearance from your Jobcentre Plus ESF Manager for all marketing and publicity material produced to ensure that it is approved from an ESF perspective. This requires you to make a draft version of all material available prior to its final production and issue.

You must send all draft material to your DWP PM and JCP ESF Manager this will then be considered against a set of ESF regulatory requirements to ensure compliance.

### **Additional requirements for provision delivered in Cornwall and the Isles of Scilly and London**

35. If you or your sub-contractors are delivering provision in Cornwall or the Isles of Scilly, you must also use the Cornwall Convergence logo. Information about Cornwall Works communication strategy and the use of the convergence logo can be found at :

<http://www.cornwallworks.org.uk/> and <http://www.erdfconvergence.org.uk/>

If you or your sub-contractors are delivering provision in London; you must also use the Mayor of London logo, for further information or to request clearance of marketing materials contact [Claire.Comben@london.gov.uk](mailto:Claire.Comben@london.gov.uk).

### **Other Marketing and Publicity measures**

36. Adult Learners' Week – Each year the DWP co-sponsor the Adult Learners' Week. All organisations, individuals and groups of learners' who have benefited from ESF can be nominated for an award. A number of specific ESF sponsored awards are open to any customer or group of customers who have benefited from provision fully funded by ESF. Participants can also nominate their ESF project providers for an award.

37. The awards are made on a regional basis and can help to pay for learning resources. Winners receive a framed certificate and an invitation to a national ceremony held in London in May during Adult Learners' Week.

38. If you wish to enter your organisation, nominate an individual or wish to find out more, you should call The National Institute of Adult Continuing Education



(NIACE) on 0116 2044200, or e-mail [alw@niace.org.uk](mailto:alw@niace.org.uk) or visit [www.alw.org.uk](http://www.alw.org.uk).

### **Marketing and Public Relations (PR) planning**

39. You will need to work closely with your Jobcentre Plus group ESF team to ensure that ESF marketing and PR activities are co-ordinated. This is to achieve complementary timing of activity and consistency of message.
40. There will be times when elements of the marketing plans will need changing. For example, you may need to be flexible on timing, if there is a clash, which might lead to confusion for the target audience. Additionally you might need to incorporate ministerial involvement in PR activity.
41. Further information relating to marketing and publicity can be found in Generic Guidance [Chapter 9 Marketing and Participant Communications](#).

### **Cross cutting themes for ESF and Match Provision**

42. You and your sub-contractors are required to take action to support ESF cross cutting themes of Gender Equality and Equal Opportunities, Sustainable Development and Health (London). You should ensure that you and your sub-contractors are aware and fully understand the requirements. The following are some key activities that you are required to carry out:
  - you are required to develop a Diversity & Equality Delivery Plan, within 26 weeks of the contract starting, which must be available on request;
  - ensure a discrimination complaints procedure is in place. Grievance Policy guidance can be found in Generic Guidance [Chapter 2 Delivering DWP Programme Provision](#);
  - ensure an equal opportunities policy and implementation plan for that policy is in place for staff and participants;
  - ensure buildings etc. comply with the requirements of the Equality Act 2010;
  - you will be expected to support and be involved in any equality analysis assessments undertaken by the Department;
  - you are required to have a sustainable development policy and implementation action plan in place, which must be submitted to your DWP Performance Manager within 26 weeks of the contract starting. Guidance on the requirements for sustainable development can be found in Generic Guidance [Chapter 10 Sustainable Development](#); and
  - within London, the prime provider must have a Health plan in place within six months of the contract start, in line with the vision for a

'Sustainable London' whose aim is to seek to improve the well-being of all Londoners.

## Evaluation

43. Independent evaluation will be an important element of the ESF provision. The DWP ESF Evaluation Team has commissioned a series of evaluation studies, you will be asked to support these projects. This will include:
- evaluation by the ESF Managing Authority (DWP);
  - regional evaluation commissioned by or on behalf of the Regional Skills Partnership;
  - programme delivery evaluation commissioned by the DWP Co-Financing Organisation (CFO); and
  - other interested parties may administer further evaluations.
44. Your assistance will be expected, as required.
45. Evaluation by the ESF Managing Authority will include a two stage national cohort study of participants beginning in 2012 and a range of other studies focusing on, for example, gender, disadvantaged groups, equal opportunities, in-work training, sustainable development and the delivery of ESF in relation to [ESF targets and the Regional ESF Frameworks](#)
46. It is likely that you may be asked to participate, and to assist in identifying participants for the cohort and other surveys. This may involve providing contact details for some or all participants, having sought in advance the permission of the individuals concerned.
47. Researchers may wish to visit and interview you, programme participants and partners involved in the provision. Providers delivering this provision will be contacted beforehand. Findings will be disseminated to all providers in order to facilitate sharing and adoption of best practice and continuous improvement of the service. Evaluation findings will also be published as part of the DWP research series.
48. You will also be asked to report on progress and evaluate your own provision at regular intervals to support DWPs reporting requirement to the Managing Authority at regional and national levels. An end of the project evaluation report will also be required, summarising project activities and outcomes achieved, and highlighting issues of special note, such as innovation or achievements against the ESF cross-cutting themes of equality and sustainability.



## Annex 1: Consent Form and Good News Template

### Part 1 – PROVIDER INFORMATION

<b>Name of Provider or sub-contractor:</b>	
<b>Provision Title:</b> <i>(e.g. Work Programme/European Social Fund (ESF)/Work Choice etc.)</i>	
<b>Payment Group:</b>	
<b>Has this story appeared in any other media?</b> <i>(e.g. local/regional newspaper, internal newsletter, any photos – please state)</i>	
<b>Contract Package Area:</b>	
<b>Name of Contact/Adviser:</b> <i>(Please include phone/email details)</i>	
<b>Date form completed:</b>	

### Part 2 – PARTICIPANT DETAILS

<b>Name:</b>	
<b>Age and Sex:</b> <i>(Optional)</i>	
<b>Outcome:</b> <i>(This might be a job OR any positive progress made by the participant)</i>	
<b>Help through ESF?:</b> <i>(i.e. - Is your provision funded or part-funded by ESF? If so, does the participant fall within the group assisted by this funding?)</i>	
<b>Start Date:</b>	



## Promoting Department for Work and Pensions (DWP) and Jobcentre Plus Services

We would like to use your recent experience as an example to tell others about how DWP and Jobcentre Plus can help them. We call this a good news story and it is used to show how our services are helping people to improve their skills and move towards or into employment.

### How will my story be used?

- We may use your case study in local, regional, and sometimes national, newspapers (also known as the press). We would like to use your photograph to accompany your case study wherever possible. Occasionally, we might want to interview you to gather more information.
- We may also use your case study in various magazines, leaflets, newsletters or on websites.
- We may refer to your case study on a radio station or on TV.
- DWP Ministers sometimes use case studies when speaking in Parliament or making speeches.

<b>Part 3 - PARTICIPANT CONSENT</b>		
<b>I give my consent for the DWP, national, local, ESF partner organisations to use my case study for up to 12 months, in the following ways;</b>	<b>To use my name (tick ✓ or x)</b>	<b>To use my photo (tick ✓ or x)</b>
• In newspaper articles (some articles may also appear on the newspaper's website)		
• In leaflets, feature articles (magazines) or digital media, (e.g. websites), radio, local newsletters, exhibition stands etc.		
• In Government Ministers' speeches or in written reports or written reports e.g. DWP annual Reports		
<b>I would like to see any press release written about my good news story before it is sent to the media (tick ✓ whichever applies)</b>	<b>Yes</b>	<b>No</b>
<b>Participant signature:</b>	<b>Date:</b>	



## Anonymity

In exceptional circumstances we may be able to use your good news story without using your real name, for instance, if there are sensitivities around the information you have provided. However, this would greatly limit the use of your story in the general media and we may not be able to use it at all.

### Part 4 - EMPLOYER DETAILS *(Where applicable)*

<b>Name:</b>			
<b>Address:</b>			
<b>Type of Business:</b>			
<b>Employer consent to publicity (tick whichever applies)</b>	<b>Yes</b>	<b>No</b>	<b>Date:</b>
<b>Name &amp; Signature:</b>			

### Part 5 – TIPS FOR COMPLETING THE GOOD NEWS STORY

Please describe your participant's journey using the following criteria, ensuring the narrative includes:

- Brief participant background – route to the provider/why did they join?
- What help did the provider give the participant? Any barriers/obstacles?
- Were there any barriers to learning to overcome
- Progress made, what impact has this had on the participant's life?
- Please include quotes from customer/adviser or employer?
- Does the participant have any future plans/ambitions?

[Generic Provider Guidance - Chapter 11](#)

[Publicity Works toolkit - ESF](#)



Department  
for Work &  
Pensions



European Union  
European Social Fund  
Investing in jobs and skills

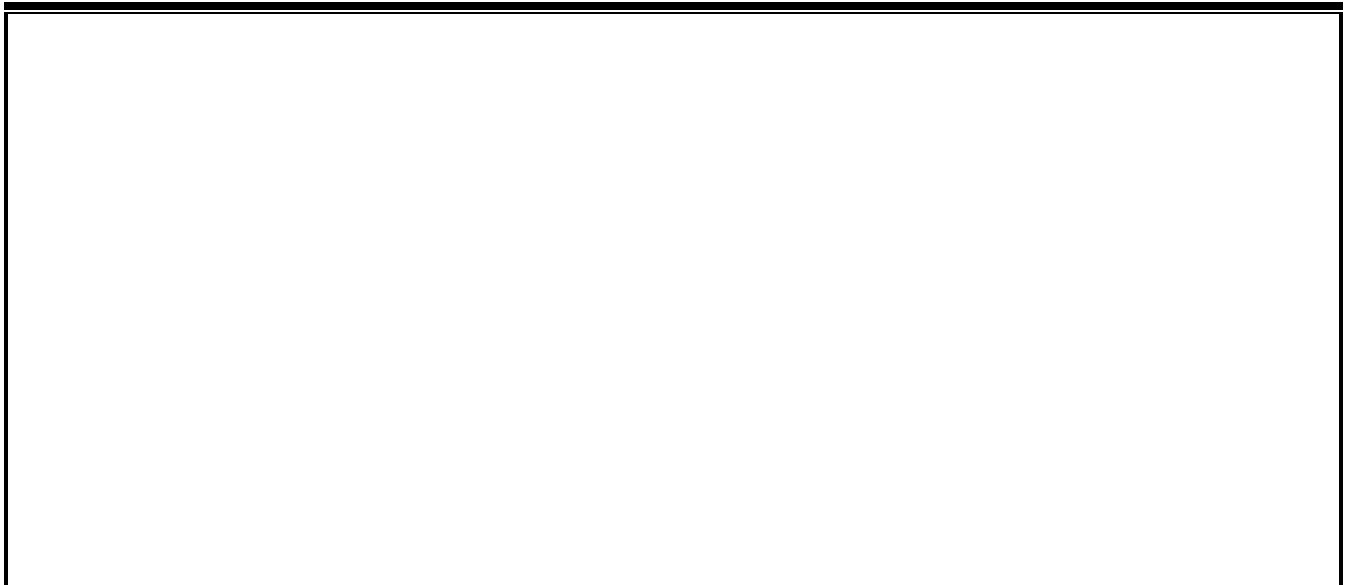
## Part 6 - PARTICIPANTS GOOD NEWS STORY



Department  
for Work &  
Pensions



**European Union**  
**European Social Fund**  
Investing in jobs and skills



## Annex 2: Best Practice Stencil

### Part 1 – PROVIDER INFORMATION

Provider:	
Contract Package Area:	
Name of Contact:	
Phone no. / email address:	
Date form completed:	

### Part 2 – OUTLINE OF BEST PRACTICE REQUIREMENTS

**Please provide details such as the following:**

- Outline the best practice adopted.
- Background to how this came about.
- Parties who have benefited?
- Any barriers/obstacles to overcome when introducing the best practice?
- Impact on delivery of your service. (*Any quotes?*)

Could this best practice encourage good partnership working? For e.g. with Jobcentre Plus, sub-contractors, Local Authorities or anyone else?

### Part 3 - BEST PRACTICE DETAILS

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