

JOBCENTRE PLUS PROVIDER GUIDE

Chapter 12 EUROPEAN SOCIAL FUND

****Note to providers – It is intended that this guidance for providers will be amended before the new 2007-2013 ESF programme begins. It is likely that providers will be expected to broadly follow the guidance of the current programme except that the requirement to complete the ESF/ORC international MI Data Capture System database will no longer be required****

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CHAPTER 12 – EUROPEAN SOCIAL FUND

Introduction

1. This Chapter provides an overview of the action to be taken by providers who deliver Jobcentre Plus Co-financed European Social Funded (ESF) provision. These arrangements apply to English Jobcentre Plus regions only. This guidance is designed to help providers deliver their programmes and may be further enhanced by additional regional guidance. Regional Jobcentre Plus Contracting Teams and/or District Third Party Provision Managers will advise providers where necessary. Note: Appendix 10 contains guidance for those providers who deliver the ESF funded New Deals.
2. This guidance is aimed primarily at those providers with Jobcentre Plus ESF contracts. However, those providers delivering Jobcentre Plus provision that is being used for match funding purposes will need to take note of and comply with the publicity requirements as detailed within this guide. Providers, where necessary will be instructed to undertake the additional actions required by the ESF, for example the collection of Management Information, retention of documents, publicity etc.
3. This Chapter should be read in conjunction with the rest of the Provider guidance that provides generic guidance across all Jobcentre Plus contracted provision. This generic guidance will continue to apply to your provision unless this Chapter, your Contract or any additional locally produced guidance supersedes this. Providers should also ensure that they have read and comply with the Schedules in their Jobcentre Plus contracts.

Different types of provider

4. There are three terms used to describe different types of provider:
 - **Provider:** The general name of an organisation that provides training on behalf of Jobcentre Plus.
 - **Prime contractor:** A provider who has a contract with Jobcentre Plus to provide training and either delivers it themselves or through sub contractors or both.
 - **Sub contractor:** A provider that delivers training on behalf of a prime contractor, and although they don't have a contract with Jobcentre Plus they must follow the same rules/processes as their prime contractor.

Background - ESF Co-financing

5. Each of the nine English regions of Jobcentre Plus operate as Co-financing Organisations. This means that ESF money and domestic funding are brought together and administered on a regional basis for programme provision. Jobcentre Plus regions are co-financing under ESF Objective 1, Objective 2 and/or Objective 3 depending on

geographical locations within each region. Objective 1 covers four areas that are economically disadvantaged these are:

- Merseyside,
 - South Yorkshire,
 - West Wales and
 - Cornwall and the Isles of Scilly.
6. Objective 2 covers areas facing structural difficulties, and Objective 3 aims to support the adaptation of policies and systems of education, training and employment and it operates in all areas except Objective 1 areas.
7. ESF funding can be used to enhance and improve employment opportunities for people unemployed and economically inactive. The EU uses a different definition of unemployed than Jobcentre Plus. Funding can be utilised in a number of ways, for example:
- improving employability,
 - training and education,
 - widening participation and providing advice,
 - guidance and support.
8. As ESF only funds a proportion of the total overall project costs, the rest is found by Jobcentre Plus. To secure ESF funds Jobcentre Plus has to identify broadly similar domestically funded contracts. These are known as 'Match Funded'. Contracts can be part funded by ESF or entirely by ESF. Jobcentre Plus has chosen to fund all its co-financed ESF contracts entirely by ESF, but it can only do this if the total value of other match contracts is in the right proportion of the value of ESF contracts For example, if ESF provide a 45% proportion and domestic funding 55%, for every £45 spent on ESF provision Jobcentre Plus has to show that £55 has been spent on match provision.
9. The customers of ESF provision and match-funded provision are often known as beneficiaries', though in this guidance they will be referred to as 'customers'. One of the conditions of receiving ESF funding is that all customers are made aware that they have been helped by the European Social Fund, hence the additional publicity requirements required by the EU and detailed in this guidance. Where customers have been referred via Jobcentre Plus, their referral letter will also contain the sentence 'Jobcentre Plus provision has been part financed by the European Social Fund'.
10. Some of the key features of ESF provision are:
- A diverse and innovative range of opportunities made available to meet the different needs, background and experiences of customers.
 - All customers should receive training tailored to their individual needs.
 - Participation in provision is voluntary.

- Provision should add value to Government programmes, and not duplicate existing provision.
11. Where ESF provision is designed to enhance Jobcentre Plus New Deal and/or Mainstream programmes the provider and customer must at all times maintain the requirements of those programmes.

Publicising ESF Projects

12. The ESF publicity requirements apply equally to those Providers who deliver ESF funded programmes and those who deliver match funded programmes. Funding can be withdrawn if the publicity requirements are not followed.

ESF Funded Programmes

13. If your programme is wholly funded by ESF the publicity requirements are as follows:
- Providers have a requirement to publicise ESF at induction programmes by displaying the ESF logo on customer action plans and customer application forms and by adding the following sentence onto Training / Action Plans: 'Supported by the European Social Fund'.
 - Providers should also use the ESF logo on all stationery and general literature.
 - The ESF logo can be obtained from your Jobcentre Plus Regional ESF Team or by visiting the Government Office (GO) Website for your region. Details of providers funded by the ESF will also be published on the Jobcentre Plus website.
 - Providers must have an ESF plaque displayed on premises used to deliver ESF funded provision. These can be supplied free, ask your regional office for contact details to obtain them.
 - Any publicity providers undertake, or publicity material that providers produce, must have prior approval by your Third Party Provision Manager.
 - Each customer should be issued with leaflet ESF12JP explaining about the EU and ESF. A copy of ESF12JP can be found at Appendix 3 and full colour copies can be ordered through Meads.

Match Contracts

14. Jobcentre Plus has to identify a certain number of contracts to use as 'match' for its ESF contracts. These are contracts paid for with UK government funds 'domestic funding'. When Jobcentre Plus has identified suitable contracts the Providers concerned will be informed that they will have to abide by the ESF publicity and document retention requirements. It will be possible that owing to a change in the amount of 'match' required a Provider may be asked part way through a year to either start following these requirements or to cease if sufficient 'match' has already been obtained.

15. If your contract to deliver Jobcentre Plus mainstream programmes has been used as match funding, the following publicity requirements must be adhered to:
 - An ESF plaque must be displayed on at least one site used to deliver provision used as match. These can be supplied free of charge, ask your Jobcentre Plus regional office for details of how to obtain them.
 - Each customer must be issued with leaflet ESF11JP explaining about the EU and ESF in enrolment and information packs. Copies of leaflet ESF11JP can be ordered from MEADS and a copy can be found at Appendix 2. Certain documents must be retained for audit purposes – see ‘Document Retention’ later in this guide.
16. The reason for this is because the EU look at both ESF and match funded provision as a single project which places a number of similar requirements on match funded providers. Issuing the leaflet is one of the items that fall under this requirement.
17. Jobcentre Plus may occasionally ask a provider for a Good News story to publicise its ESF provision. This will also publicise the provider.

Customer Eligibility

18. Jobcentre Plus does not have a remit to co-finance activity under all Priorities and Measures within Objective 1 and Objective 3 and does not target all the ESF priority groups that ESF could be used for. It is, therefore essential that all customers undergo an eligibility check prior to commencing provision.
19. The prospectus and specification from which Providers submitted their application details the priority target groups Jobcentre Plus will seek to help through ESF Co-financed provision.
20. Provider's contracts stipulate which customers are eligible to receive help through a project. Only those specified customers are allowed to participate on that ESF programme. Where customers receive a working age benefit they may have to attend Jobcentre Plus mainstream provision where this is mandatory instead of ESF provision. If there is any doubt contact your local Jobcentre Plus Office.
21. Providers must also familiarise themselves with the eligibility condition within the ESF National Guidance and in particular rules on unemployment, as these differ to the normal Jobcentre Plus rules. The ESF National Co-financing Guidance is available by accessing the following website: www.esf.gov.uk.
22. Jobcentre Plus is responsible for checking customer's eligibility for ESF provision where Jobcentre Plus recruited an individual or where a provider initially sees a customer and books a Pre-entry Interview (PEI) before they start on the programme.

23. Where, in exceptional circumstances it has been agreed that a customer cannot undertake a Pre-Entry Interview (PEI) with Jobcentre Plus (e.g. they are in prison) the provider will be responsible for customer identity and eligibility for ESF provision. Form ESF10JP confirms eligibility and identity and in these circumstances must be completed by the provider for each customer.
24. Where it has been agreed that a provider can self refer without a PEI taking place, the ESF10JP must be forwarded to Jobcentre Plus who will check it's complete and update LMS with the correct customer details.
25. The detailed process for eligibility and recruitment is shown in the section: The Referral Process.

Age Limit

26. There is no upper age limit for customers accessing ESF Provision. Even though some contracts might specify which age groups are targeted, any customers outside of this age range must still be allowed to join if they would benefit from the provision and are looking for work.
27. One of the ESF targets for help is for 13 – 19 year olds, Jobcentre Plus does not provide provision for any pre 16 year olds, though its main target group is 18 plus. The Connexions Service deal with customers aged from 13 to 18 and sometimes older.

The Referral Process

Jobcentre Plus Referrals

28. Jobcentre Plus will usually refer customers to a provider by completing a REF2JP form, and will make contact to arrange an appointment where required.
29. Providers need to establish a positive relationship with Jobcentre Plus staff, working closely with those who refer customers to provision.
30. Jobcentre Plus is responsible for checking the eligibility and identity of all referrals made through their offices. Where a PEI is undertaken, form ESF10JP or equivalent will be completed by Jobcentre Plus and retained for audit purposes.

The Pre-entry Interview (PEI)

31. Jobcentre Plus will undertake a PEI for all customers they refer to provision and for those customers recruited direct by providers.
32. The reason for undertaking the PEI is to check and confirm eligibility for the provision, and to confirm the customer's identity. Form ESF10JP is completed at the PEI and retained by Jobcentre Plus for Audit purposes.
33. During the PEI customers are informed about their benefit entitlement whilst on the programme, and any effect that attending the programme

may have. The PEI must always take place prior to the programme start date on form SL2JP (Starter/Leaver notification). Jobcentre Plus will complete this form and send the whole form to the provider.

34. In some circumstances this process may not be possible, for example if providers are delivering provision in prisons, or where the provision is of a drop-in type where the customer is seen only once. A revised procedure has been devised to cover this process see [PEI Not Booked](#).
35. During the PEI a full Labour Market System (LMS) record will be created or updated for existing customers. The purpose of this record is to capture essential management information required by the European Commission to support the audit of ESF funds. In addition, LMS is used to manage and track starter and leaver information for Jobcentre Plus programmes, opportunities and for Job outcomes.

Direct Provider Recruitment

PEI Booked

36. In the majority of cases where providers recruit customers, a PEI at the customer's Jobcentre Plus office should be arranged. Providers should confirm eligibility for the provision before booking an appointment at the customer's nearest Jobcentre Plus office so ineligible customers are not recruited. Providers must also ensure that customers who they start on ESF provision would not be eligible for mainstream provision. This is also checked at the PEI. There may also be cases where a customer in receipt of a working age benefit may be required to attend compulsory provision before the ESF provision can start. In most cases until the PEI has taken place a customer cannot start on a programme.
37. At the PEI Jobcentre Plus will check that all the documentation has been fully completed, complete form ESF10JP, ensure that the customer is eligible and confirm their identity. The customer's circumstances will be compared with the eligibility conditions of the provision, although it is possible that customers not in receipt of a working age benefit can attend ESF funded provision.
38. After the PEI Jobcentre Plus will issue providers with an SL2JP Start/Leaver Notification form. For further information please read the sections on Referrals, Starters and Leavers in Chapter 2 of the Provider Guidance.

PEI Not Booked

39. In certain circumstances, e.g. where a customer is in prison or the provision on offer is drop-in and the District Manager, in consultation with the regional ESF team, has confirmed that a PEI should not take place; providers must follow the process below.
40. Where a provider has self referred customers onto their provision, an ESF10JP should be fully completed and signed by both the customer

and the provider. The provider should note on the ESF10JP the reasons for the customer's eligibility to the provision, and also the means used to confirm identity. The ESF10JP should then be forwarded to the Jobcentre Plus office where a completeness check will be performed and an LMS record will be created/amended from the information provided on the form. Where a form has not been fully completed it will be returned to the provider. No further action can take place until it is returned with the necessary details completed.

41. Jobcentre Plus will issue an SL2JP to the provider. Provision must not start until the SL2JP is received by the provider. Note that the initial interview date on the REF2JP is not the start date on the SL2JP part 3, this date can only be on or after receipt of the SL2JP. It is the provider's responsibility to ensure that the customers they self refer are eligible and that their identity has been checked.
42. Where the provision is of the on-off drop-in type, the start date on the SL2JP must be the day the customer attended the provision, otherwise the process for receipt and payment is the same. When a fully completed ESF10JP has been received by Jobcentre Plus and an LMS record has been set up or amended accordingly, an SL2JP will be issued.
43. Where a PEI is not booked the provider must ensure that there is no mainstream provision that the customer would be eligible to attend at this time. The provider must explain to the customer what their responsibilities are whilst on the course including notifying Jobcentre Plus of any changes in their circumstances.
44. Where this self-referral process has been followed the onus on proving eligibility will remain with the provider. If subsequently through an audit or similar visit it is found that customers were ineligible then Jobcentre Plus will seek a refund of the costs from the provider.

ESF10JP Form

45. This form is used by providers to enable Jobcentre Plus to create a customer record against which information can be stored. It also, importantly, proves the customer's eligibility for ESF funded provision and shows how identity was checked. If an ESF10JP is not completed for every customer who accesses the provision auditors can ensure that Jobcentre Plus pays back the ESF funding it has received for the whole provision, not just that received for customers without ESF10JP forms.
46. The ESF10JP is stored by Jobcentre Plus for six years after the end of the programme as auditing can take place at anytime during this period.

Health and Safety

47. The responsibility for the health and safety of provision participants rests with the provider in the same way as that of employees rests with employers. Providers must comply with the Framework for Safety on Programme Provision on the Health and Safety website.

Customer Attends Provision on the Agreed Start Date

48. If the customer attends provision on the agreed start date, providers must complete part 3 of the SL2JP and return Page 1 to the Jobcentre Plus office to confirm the start. The customer must have signed the SL2JP. Detach page 2 and send this to the regional Payments Team with the next monthly claim form. Retain pages 3 to 5 until the customer leaves the provision.
49. Providers must complete the Jobcentre Plus (ORCI) database either on the day that a customer starts their provision or within 5 days. As sub contractors cannot have access to the database they must send the ESF2 form to the provider with access to complete the Jobcentre Plus database on their behalf. Without timeous completion of this database the MI required by both Jobcentre Plus, Government Office and the European Union could be affected. This database should not be completed before the start date as once the information has been input it can only be made ineligible by the Jobcentre Plus Regional Office database administrator.
50. Payments to providers may be withheld until the database is completed.

Customer Fails to Attend on the Agreed Start Date

51. If the customer fails to attend on the agreed start date, providers must immediately notify the Jobcentre Plus office by telephone, complete part 3 of the SL2JP form and return page 1 to the Jobcentre Plus office on the same day. The remaining pages of the form must be destroyed.

Changes in Customer Personal Circumstances

52. It is the customer's responsibility to report to providers, Jobcentre Plus and other relevant departments any change in personal circumstances. These include change of name, address, telephone number etc. This responsibility will have been explained to the customer during the PEI. When changes are reported to a provider by a customer providers must notify Jobcentre Plus on form AP3JP 'Change of Circumstances'. Further details about this form are given in Chapter 3.

Customer Leaves Provision

53. When the customer leaves ESF provision for whatever reason, providers must complete part 4 of the SL2JP, giving the reasons for the provision ending, the actual end date and, if appropriate, any qualification information. Send Page 3 to the nominated Jobcentre Plus Office immediately. Page 4 should be sent to the Jobcentre Plus Regional Payments Team as supporting evidence with the next monthly claim form. Retain Page 5 for audit purposes on the customer's file or with your invoice details.
54. Some ESF contracts are by their very nature flexible e.g. drop-in centres which have no set course length or times. At the commencement of this type of provision providers must agree with Jobcentre Plus a length of

time when a customer is classed as having last attended e.g. six weeks after last attendance it is deemed that a customer has left that provision. The last day of meaningful attendance being the last day on provision.

Extending End Date to Provision in order to Complete Training

55. Programme access can be extended beyond the originally agreed end date shown on the SL2JP. However, the end date must not exceed the contract end date with Jobcentre Plus. If additional time on the programme is necessary in order for the customer to complete their Training/Action Plan objectives, the provider can agree with Jobcentre Plus a new end date for the customer.

56. Where agreed, providers should complete an AP3JP (change of circumstances) form and send this to the appropriate Jobcentre Plus contact, but need to keep a copy for audit purposes. In these cases, although the customer will continue to be paid for the duration of the extension period, this will be at no additional cost to Jobcentre Plus. Therefore the provider will not be able to claim for any additional expense incurred during the extension period.

Customer Benefit Entitlement

57. Providers will need to have a general awareness of the impact that participating on their provision may have on an individual's benefit entitlement, but are not expected to be an expert in this field. If providers are unsure about the impact their provision may have they should refer the customer to their appropriate Jobcentre Plus office to seek advice. The information below is provided as an overview only.

58. Customers need to be made aware of any possible impact that attending provision may have on their benefit entitlement, which is one of the reasons why a customer must attend a PEI. This impact will depend on the type of benefit a customer is in receipt of and what provision is being delivered, whether it is full time or part time, and also if expenses, allowances or a wage are paid.

59. One of the deciding questions on benefit entitlement is whether the provision is classed as part-time or full-time. Jobcentre Plus will have agreed with a Provider whether the provision being delivered is full or part time. This will have been decided during the contracting process. Jobcentre Plus does not have specific rules on the number of hours classed as part-time or full-time, it depends on what the provision is. Where provision is part-time it is less likely to have an effect on a customer's benefit, but where it is full-time it is unlikely that benefit will be payable.

60. In all cases where a customer is in receipt of benefit, they should be advised that they need to report the receipt of any payments (including fares, childcare or meals) made to them to their local Jobcentre Plus office.

Jobseekers Allowance (JSA)

61. Providers will need to be aware that where customers who are eligible to attend their provision are claiming JSA they must continue to meet JSA conditions while on the programme.

Requirements of JSA

62. While customers continue to receive JSA they must still be available for and actively seeking work.. They sign a declaration to this effect, usually on a fortnightly basis, at their Jobcentre Plus office.
63. Providers must allow customers to have time to attend the Jobcentre Plus office when they are required to. Providers can agree with their local Jobcentre Plus office whether customers will have to attend regular fortnightly interviews at their normal time or whether they will be able to amend the time for the length of the provision.
64. Customer's income and earnings that may be paid by a provider are subject to normal JSA rules. Details on these general rules are available from Jobcentre Plus.
65. Customers in receipt of JSA who wish to participate in provision which is funded purely through ESF, must comply with the JSA part-time study rule. Customers attending provision that is regarded as full-time are unlikely to be able to continue their JSA claim but will need to have their case considered individually by the Sector Decision Maker for advice.

Jobseekers Direction

66. This is an instruction that can be used to mandate a customer to attend a specific place at a specific time, including provision. As ESF provision is voluntary it is inappropriate to use a Jobseeker's Direction.

Jobcentre Plus Allowance Payments

67. Customers participating in co-financed provision that is funded purely through ESF are not eligible for Jobcentre Plus allowance payments.

Income Support (IS)

68. Customers in receipt of Income Support are eligible to continue their claim where ESF funded provision is considered to be part-time. Customers attending full time provision will need to have their case considered by the Sector Decision Maker. As Income Support is a means tested benefit any earnings or income are taken into account subject to normal disregard rules. Because the regulations for claiming Income Support are complex, it is advisable that a check is made to see what effect attending provision may have on a customer's benefit before they start any provision.

Incapacity Benefit (IB)

69. Incapacity Benefit is not usually directly affected by learning activity whether it is ESF funded learning activity or otherwise, as long as

customers only receive travelling and/or meal expenses. Customers must notify their relevant Jobcentre Plus Office that they intend to undertake training activity funded by ESF before starting the provision. Each case will be referred to a Decision Maker for advice.

ESF Training Allowance Payments

70. An ESF Training Allowance is an added incentive to customers, encouraging them to take part in provision by, providing them with more money than they would otherwise receive. An ESF Training Allowance is treated as income in the assessment of a customer's entitlement to means tested benefits. This means they may not retain an entitlement to 'passported' benefits such as housing benefit. It is essential that customers are fully informed of the effects on their benefit entitlement before starting on provision.

ESF Wage Subsidy/ILM

71. Customers participating on ESF provision that offers a wage will not be eligible to continue their claim to benefit. They will lose access to any 'passported' benefits, e.g. housing benefits, that they received when on benefit. Providers must ensure customers are fully informed about the effect on their benefit entitlement, before they commence on provision, so they can make an informed decision whether to participate or not. Customers must inform the relevant Jobcentre Plus office of any changes in their circumstances.

72. Customers participating in provision which has a period of training followed by a period offering a wage must inform the relevant department when the waged period starts. Their claim to benefit will be referred to a decision maker as it may need to be terminated.

73. In some regions, both New Deal and ESF money is being used to fund ILM provision. Therefore:

- Where Jobcentre Plus use ESF as a wage subsidy the maximum amount that can be provided to an employer in subsidy is 45% of the National Minimum Wage (NMW);
- Where Jobcentre Plus use ESF to deliver an ILM (Intermediate Labour Market) the GO will fund 100% of the ESF element of the project i.e. including supporting a 'wage' level to the customer which could be more than the 45% of NMW allowed as a wage subsidy.

74. In cases where funding allocated to deliver the New Deal Employment Option is enhanced by the addition of ESF in some programmes designated as an ILM the following applies. The underpinning principle is that the Employment Option should be used to support a job entry (normally permanent, though temporary jobs can be considered in exceptional circumstances). If Employment Option funding is used, a Performance and Resource Agreement (PRA) placing can be claimed on starting (except for a job designated as an ILM). The Employment Option cannot be used to fund anything designated as an opportunity.

75. The following two examples provide clarity around this area.

76. Where provision has been designated as an ILM this means:

- Any referral to the ILM should be only to an ESF Opportunity Type; and
- No PRA placing can be claimed until the ILM provision has ended; and
- A provider referring to this provision cannot claim a job outcome; an employer statement confirming a job entry, therefore is not appropriate.

77. Where a wage subsidy is being provided to an employer under the New Deal Employment Option this means:

- The referral should be made to a New Deal vacancy;
- PRA placing can be claimed once the person starts the job; and
- A provider who is eligible to claim a job outcome can claim one.

Incentive Payments

78. If providers pay an incentive payment to customers participating on their provision, this payment will be classed as income. If the customer is claiming a means tested benefit receipt of an incentive payment(s) is likely to reduce the level of benefit paid.

Tailoring Provision to meet Individual Customer Needs

79. Provision must be focused on meeting the individual customer's needs. Providers need to carry out a diagnostic assessment of customer needs and discuss and agree with them the activities they will undertake while they are with the Provider. To do this providers can take into account information provided by Jobcentre Plus and/or the customer about any prior activities, including assessments that may have been completed. The agreements reached must then be reflected in the customer's Training or Action Plan.

80. A Provider is not required to address every barrier to employment a customer faces. In some cases there will be very little scope to do so. Individual tailoring needs to take place within the context of the provision you are contracted to deliver. Jobcentre Plus is not seeking a 'One size fits all' approach from Providers.

Training Plans / Action Plans

81. All customers on ESF Jobcentre Plus provision should have a Training Plan or Action Plan, which a Provider is responsible for reviewing and updating. The frequency and content of a review will depend on the individual customer and the type and length of provision they are participating in. However, in general the plans should be individually tailored and include:

- the customer's name, address, date of birth, signature and National Insurance number;
- name and address of the provider and signature of provider representative;
- duration of provision (where applicable);
- details of how the NVQ or other key/core/transferable skills will be assessed and name of assessment centre (if applicable);
- the customer's prior learning and assessed needs;
- the customer's job goals, including short, medium and long term goals as appropriate;
- the start and planned end date of provision;
- agreed attendance including location of training and daily hours;
- the activities which the customer will undertake while on provision, including job search activity;
- the level of support that will be given by the Provider, including any additional support required;
- any training that will be delivered as part of the provision, and any qualifications to be achieved, and how this relates to improving a customer's employability;
- skills and attributes which will be improved by participating and how this will improve a customer's employability, with reference to criteria against which progress can be measured;
- be agreed and signed by both the customer and the Provider; and
- any arrangements for the payment of childcare and travel costs (where applicable).

Time Keeping and Attendance on Provision

82. Hours of attendance will need to reflect the needs of the customer and the activity within the project. Unlike the majority of Jobcentre Plus provision there are no prescriptive rules on hours of attendance. As most ESF provision is part-time the hours of attendance may vary depending on the customer groups requirements. A provider's contract will show the attendance requirements for specific provision.
83. For customers to benefit from participating in provision it is important that they attend regularly and on time. Providers are responsible for actively managing attendance and timekeeping in line with their contract.
84. Customers will need to be made aware of what is expected of them and accurate and up to date attendance records need to be kept. See the information given in Chapter 3 on 'Forms'. Further guidance on recording attendance, timekeeping and absences is given in Chapter 2, in the section 'Delivering Jobcentre Plus Programme Provision'.
85. For ESF projects the national rules on time keeping and attendance shown in Chapters 2 and 3 may not apply. Some types of provision and some customer groups, for example, people with disabilities, will require specifically tailored requirements. In these circumstances the details of

such arrangements should be set out in a providers contract and will have been discussed in any pre-contract briefing. There needs to be some attendance limits set so as to avoid the possibility of disagreements over tracking customer outcomes.

Contracting Issues

Sub-Contractors Under Co-Financing

86. Under ESF rules sub-contracting is only allowed in certain circumstances with advance written approval from Jobcentre Plus. Any change to a Provider's sub-contracting arrangements must be notified to and be approved by Jobcentre Plus, before any change takes place.
87. Jobcentre Plus's contract is with a Provider. It is that Provider's responsibility to ensure that any sub-contractors employed by them work to the processes and standards specified by Jobcentre Plus.
88. Providers are responsible for ensuring that any sub-contractors fully understand the objectives of the provision and their part in the delivery of those objectives, including meeting the needs of the labour market in a particular area, so that there is no compromise to the levels of quality and performance expected.
89. Providers will need to demonstrate effective contract management and close support of any sub-contractors, and ensure that they have appropriate administrative systems in place and will also need to ensure that suitable arrangements are in place to check that sub-contractors meet the health and safety requirements, detailed in the HSQ1, and requirements around customer attendance on provision.
90. Providers must also pass copies of the Provider guidance to all sub-contractors. In line with the terms of the contract with Jobcentre Plus, Providers will need to ensure that Jobcentre Plus has right of access to all sub-contractors.

Successful Providers

91. All Providers who are successful in winning ESF contracts with Jobcentre Plus will have their details displayed on the Jobcentre Plus internet website as per EU requirements. These will give basic details of the contract, who the Providers is and will list a contact name and number for further information enquiries.

Provider Staff Timesheets

92. Where a Provider has a contract for ESF with Jobcentre Plus staff timesheets would not normally be required. However, there may be an exception where the Provider holds a New Deal contract which is directly linked to an ESF contract. The contract may include a clause requiring this data to be kept. It is best practice to retain information on the amount of time staff members spend on this sort of contract.

Funding and Claiming Output Related Funding, Fees, Expenses and Contributing to Costs of Waged Provision

93. Generic funding and claims processes are not in this document because of the range of ESF provision and the different funding methods. The contract specification for provision will give details on what is to be paid and how it will be paid, and Jobcentre Plus Contracting Teams provide further guidance on the funding elements that are applicable in contracts.
94. Providers contracts may specify the requirement to record information on customer 'soft outcomes' – Appendix 4 provides information of soft outcomes that may be useful for providers to align systems for defining and recording data on this type of activity and customer progression.
95. If a particular contract is not performing effectively then Jobcentre Plus reserve the right to extend the length of the contract where it deems that the extension will result in the contract being delivered in full. However, where Jobcentre Plus believes that the contract will not be met in full it may reduce the amount of the contract value. Should the contract performance improve after a reduction has been made then it may be possible to increase the contract back up to its original figure, but only where Jobcentre Plus has the money available to do this.
96. Where the programme price for ESF provision is inclusive of elements such as customer travel expenses, childcare costs and additional support, providers must be able to submit evidence when requested to show that payments have been made to customers. This will involve the retention of e.g. TE2JP (Travel Claim forms), CC4JP childcare expenses claim forms, invoices for specialist equipment for a disabled person etc. Failure to comply with this requirement may mean the recovery of funds and/or revision of the contract price.
97. There are some examples of ESF part-mainstream funded Intermediate Labour Markets (ILMs). These ILMs form a single piece of provision i.e. the customer will receive co-ordinated support usually delivered by a single provider. These types of provision only attract one job outcome payment per customer, payable upon completion of the ILM and the customer stays in employment with the ILM employer or moves into other employment within either the 6 or 13-week tracking periods.

Note: That from April 2006 most contracts have a tracking period of 6 weeks and not 13.

98. There may be cases however, where one customer uses the services of two providers who both claim a job outcome when a customer starts work. Depending on the terms of the contract and where it can be clearly shown that without the benefits of both sets of provision, a customer would not have been able to start work both providers may be able to claim a job outcome. This does not mean a provider can simply move a customer from one piece of provision to another and then claim two job outcomes if they start work. It has to be clearly seen that there is a

progression from one piece of provision to another. Any claim has to be made within 6 weeks of completing the programme.

99. Where a wage subsidy is in place the maximum that can be allowed to an employer is 45% of the National Minimum Wage (NMW) pw for a 40 hour week.
100. Where Jobcentre Plus makes an 'up front' payment to a provider (i.e. to cover advance/start up costs) and when costs are subsequently considered not to have been earned then Jobcentre Plus may seek to recover the payment depending on the funding model.
101. In order to consider whether start up costs may be recovered, a contract for 1 year with a value of £10,000 and 10 customers profiled and 30% advance payment is used below as an example.
102. Scenario 1
 In this scenario the payment model costs are based solely on customer unit costs.
 The agreed unit cost is £1,000 per person. This is split between a £700 start / on programme fee, and £300 outcome fee for each of the 10 customers.
 If an advance of £3,000 is paid, then the unit cost will be reduced accordingly. In this case the remaining contract cost of £7,000. When divided by the number of expected customers there will be a revised unit cost of per person £700. This is £400 per start and £300 per outcome.

 Over the 1 year project the provider achieves 6 starts and 4 outcomes, and are paid £3,600 (6 starts @ £400 plus 4 outcomes @ £300).
 Adding the initial up front payment the total amount paid to the provider is £6,600
 The amount actually 'earned' by the provider based on the original unit price is £5,400 (6 starts @ £700 plus 4 outcomes @ £300).
 Jobcentre Plus will recover the difference of £1,200.
103. Scenario 2
 In this scenario payments based on the achievement of specific milestones / activities that take into account specific start up costs (e.g. purchasing equipment, hire of premises, a marketing campaign etc). Jobcentre Plus makes payments based on achievement of milestones that are defined in the contract/ payment schedule. For example, a milestone relating to the cost of recruiting staff to the project, or the achievement of agreed marketing activity. For the purposes of this example achievement of these milestones would secure payments of £3,000.
 In addition a client unit cost of £700 (split between a £400 start/ on programme fee, and £300 outcome fee) is agreed.

 Over the 1 year project the provider achieves 6 starts and 4 outcomes, and are paid £3,600 (6 starts @ £400 plus 4 outcomes @ £300).

Adding the initial up front payment the total amount paid to the provider is £6,600.

In this example the provider has earned the full amount paid. However if evidence is not provided to confirm the initial outlay of £3,000 was spent on the agreed milestones then there will be unearned money to be recovered.

Where start up costs have been made to a provider, the provider needs to retain records of expenditure and evidence in a format that supports the business case.

Where an advance of funding has been made for items stated in the contract e.g. publicity, equipment etc. but the number of starts throughout the contracting period does not cover the original amounts paid, providing receipts are held and Jobcentre Plus has agreed no refund of money paid will be requested.

Value Added Tax (VAT)

104. VAT is an eligible item of expenditure only if an organisation cannot reclaim it. The treatment of VAT will vary depending on the status of a provider. It is important for a provider to have decided their VAT status with their local Customs and Excise Office.

Additional Support

105. Customers can be paid certain types of expenses to help them access provision which otherwise they may not be able to attend. Whether providers can claim extra funding for additional support and how it should be claimed will be specified within the contract. Items such as fares, childcare etc. will either be as an addition to the contract costs, or the contract will include an amount specified for what it is meant to cover. Providers will need to keep evidence of payments made to customers.

NI Contributions

106. Where a provider pays an allowance or wage to a customer that removes the need for them to continue to claim benefit, it will be that provider's responsibility to ensure that they pay a NI contribution for each of the weeks that the customer is on their provision. This is to ensure that there are no gaps in a customer's contribution record caused by their taking up ESF provision.

ESF Job Entries

107. As a general rule if a customer has benefited from ESF provision and found work then Jobcentre Plus could attribute that work placing to help provided by the ESF provision. As a consequence then a Job entry could be claimed, where a provider's contract allows this. In the main to claim a job entry the same types of evidence as for mainstream provision are required to substantiate a job entry claim. For further details please see Chapter 4 (annex 7) of the Provider Guidance.

108. For ESF contracts signed before April 2006 if a customer starts work within 13 weeks of ceasing provision a Job Entry can be claimed, for contracts signed from April 2006 the period is 6 weeks. A Provider's contract stipulates the length of time that a claim will need to be made in (usually six weeks).

Job Outcomes

109. To satisfy audit rules Jobcentre Plus requires evidence to substantiate output payments claimed. This includes letters and signatures from employers. There may however, be times when it will not be possible to obtain confirmation from an employer of a job outcome. This may be because the customers dealt with have had problems with alcohol and drug abuse, and where the provider is known as dealing with these types of sensitive issues. In circumstances like this it may be possible to accept alternative evidence.

110. In cases like this Providers need to keep a written audit trail.

111. The only alternative evidence that can be accepted (unless stated differently in contracts) is a statement from the customer detailing:

- Name, address, telephone number and contact name of the employer;
- The start date, that the job is for at least 16 hours (although in some contracts this may be less) per week and is expected to last for at least 13 weeks;
- Contract of employment/ pay slip.

112. Where a customer has moved into self-employment, the evidence required is in chapter 4 of the Provider guidance.

Rolled Up Weeks for Domestic Provision

113. If a customer is on a mainstream programme and comes to the end of that programme they may proceed onto ESF provision if a Jobcentre Plus adviser agrees that it is beneficial to them. It is not permissible as a matter of course for a customer to be part way through a mainstream programme and be transferred on to ESF provision and a claim for rolled up weeks to be made. Refer to the Regional ESF Manager if in doubt.

Profit

114. Where contracts have been awarded under open and competitive tendering it is considered that contracts have been awarded as being best value for money. If a profit element is identified and the contract has been through this process then this is acceptable.

115. However, if a contract proves much cheaper to operate than was originally envisaged, e.g. contract for £500,000 but contract found to be delivered for £200,000 then there would be grounds for re-negotiating the contract on value for money. This could happen where a provider has put

in a bid as a best estimate but finds in practice that the contract can be run cheaper maybe by sub contracting it.

116. There could be the case for instance that funding was included for a provider to pay childcare, but very little was paid out - further negotiations may take place to redress this. This could result in the value of the contract being reduced by the amount included in the contract for childcare in excess of that paid.

117. This area will be monitored during the normal FAM and Third Party Provision Manager visits made to providers where they will expect to see evidence as required by the contract including evidence of costs paid to customers.

Forms

118. It is unlikely that providers delivering ESF provision will be required to utilise all the forms detailed in Chapter 3 of the generic guidance. The table below sets out those forms that may be applicable, but providers will need to confirm with their Regional Payments Team which forms they are required to complete. It may be the case that providers need to complete different forms from those given below in order to make claims for payment or provide additional Management Information.

119. Chapter 3 contains a fuller description of the generic forms and gives guidance on how they should be completed. (* denotes that the forms are not included in Chapter 3)

Form No.	Description
AP3JP	Change of circumstances. Customers in receipt of Jobcentre Plus/New Deal Allowance payments, a customer must inform the jobcentre Plus office if their circumstances change.
CC4JP	Child Care expenses claim form
Claim1JP	Provider bank detail form. Used to record provider bank details to which payment will be made.
Claim2JP	Summary Claim Form. The Claim2JP is a fold-out form used to claim retrospectively for the outcome related elements of formula funded provision.
Claim2NPJP	Summary claim form. The Claim2NPJP is a seven-page booklet, which must be completed to claim retrospectively for provision delivered. The Claim2NPJP also enables providers to claim for outcome related elements of funding. The form must be completed in arrears and must relate to specific claim periods as dictated by your Jobcentre Plus Regional Payments Team. Only one claim form should be submitted for each claim period and only one claim should be made per contract.
Claim3JP	Outcome summary sheet. The Claim3JP is a double-sided A4 sheet, which must be used to calculate the amount of money claimed for job outcomes.
*Claim6JP	General Claim Form. Doubled sided A4 sheet.
*ESF2	Start/leave annex. The ESF2 is a two page self-copying form,

	which must be used for the collection of ESF customer information and subsequently input to the web page by the provider
*ESF3 so	Record of Achievement of Soft Outcomes. The ESF3 is a double sided A4 sheet, which must be completed, quarterly, to inform achievement of soft outcomes.
*ESF4	ESF Beneficiary background monitoring form. An A4 form that must be input onto the web-page by the provider.
*ESF10JP	Eligibility and Audit Trail Form. A 3-page form that is used to capture a customer's identity details and verifies eligibility for provision. Once completed it provides an audit trail required by Jobcentre Plus.
JE2JP	Job Entry Validation form (see chapter 5 Management Information)
JO2JP	Job Outcome Claim Form. The JO2JP is a two page self-copying form, which must be completed to support claims for job outcome payments.
JO3JP	Claim for rolled up weeks. The JO3JP is a two page self-copying form, which enable providers to calculate and claim the appropriate amount for rolled up weeks.
ND4	Timesheet. Used to record customers attendance on provision
QO2JP	Qualification Form. Used to record customer qualifications
REF2JP	Referral Form. This form is used to refer customers to provision.
SL2JP	Starter/leaver notification. The SL2JP is a five page self-copying form that is used to notify starts and leavers to the provision. The SL2JP is to be used for all ESF activity.
TE2JP	Travel Expenses claim form

Leaflets

120. The following leaflets have been developed to meet the publicity requirements of ESF for both ESF and Match Funded contracts. The issue of these leaflets to your respective customers will help meet the EU requirements.

Form	Description
*ESF 11	Beneficiary Information Leaflet for Match Funded Customers. An A5 leaflet to be given to all customers attending mainstream provision which is being used for Match Funding by Jobcentre Plus
*ESF 12	Beneficiary Information Leaflet for ESF Funded Customers. An A5 leaflet to be given to all customers attending ESF provision

Retention of Documents

121. There are specific rules that apply to ESF provision about the length of time documents must be retained. This includes documents and information generated by providers. For the current programme 1999 – 2008, ESF documentation must be retained until at least 31 December 2014.

122. Providers with programmes, (both ESF and Match Funded) which are part or fully funded by ESF are required to keep evidence of the project

costs they claim from Jobcentre Plus. The contract will specify what these costs are and the documentation that must be kept. There is a requirement under EU Regulations that these costs must be actual, eligible and relevant to the project and be supported by original documents. Non-compliance can result in recovery of funds.

123. Providers must keep evidence to support the payments made to them. This includes outcome payments, qualifications, soft outcomes etc. The contract will specify the evidence required for the particular contract.
124. Providers are also contractually required in all cases to retain evidence of customer eligibility.
125. The following documents must be retained by providers:
 - SL2 (with customer signature)
 - Attendance register/timesheet
 - Evidence of expenditure for travel and subsistence costs
 - Evidence of expenditure for childcare costs
 - Evidence of expenditure for additional support
 - Publicity evidence
 - Supporting evidence of job outcomes
 - Supporting evidence of qualification outcomes
 - Soft outcome evidence
 - Evidence of wage subsidy payments to employers and notification of state aid requirements where necessary
 - Invoices relating to start up costs
126. Providers are only required to keep evidence to support payments for delivery of their contract. As a Co-financing Organisation (CFO) Jobcentre Plus bears the risk of non-compliance with the Government Office contract.
127. Providers who are contracted to deliver match funded provision will be required to keep all their documentation for the same length of time as for ESF contracts i.e. up to the end of 31/12/2014.
128. Among the documents that a provider can be asked to keep are the following (this list is not exhaustive):
 - Signed Attendance Register/Timesheet
 - Copies of Claim Forms sent to Jobcentre Plus Payment Teams
 - Travel and subsistence costs
 - Childcare costs
 - Publicity evidence
 - Supporting evidence of job outcomes
 - Supporting evidence of qualification outcomes
 - Soft outcome evidence
 - Evidence of wage subsidy payments to employers and notification of state aid requirements where necessary

- Invoices relating to Start-up costs
- In areas that use EROS (Belmin) providers must retain a printed copy of the SL2 form with the customer's signature on

129. The majority of Jobcentre Plus contracts will stipulate that Providers must retain all documentation for a specified period. However, there may be a small number of older contracts where the contract asks for you to retain and handle documentation in a different way. The key principle is that you should always comply with the terms and conditions of the contract. .

Contract Management

130. Jobcentre Plus will use its FAM and contract managers to monitor ESF provision as normal, but will include elements that are specific to ESF – contained within the ESF FAM Framework The FAM team will be concerned with assessing evidence of what Providers do, while the contract managers deal with all the contract management issues including the quality of provision.
131. The Adult Learning Inspectorate (ALI) will inspect ESF provision and make judgments about the quality of provision being delivered using the Common Inspection Framework. Providers are required to complete an annual self assessment report (SAR) and submit it electronically to PD4-Quality-Team@jobcentreplus.gsi.gov.uk. The Quality Team is responsible for assessing the rigour of the reports and giving feedback to providers and contract managers. The ALI will request a copy of the current SAR from providers prior to inspection. Following inspection the inspection report is published on the ALI website (www.ali.gov.uk).
132. Areas for improvement, identified through continuous self-assessment and from inspection, should be included in the Provider Development Plan (PDP). The PDP should be regularly reviewed and updated accordingly.

Audit Arrangements

133. Under EU Regulations ESF projects may be subject to audits by the following:
- External auditors or independent internal auditors, for annual certification requirements.
 - Internal auditors, as part of internal assurance work.
 - GO Financial Appraisal & Monitoring (FAM) Teams.
 - European Commission (EC) auditors.
 - The European Court of Auditors (ECA).
134. Under Co-financing, Providers of ESF funded contracts are not required to provide an annual audit certificate as they would be under direct or alternate bidding rules.

135. Evidence held by the Provider must be available for inspection by auditors as it underpins the claim made by Jobcentre Plus.
133. The only audit visit for Providers will usually be from Jobcentre Plus' own auditors, although it is possible that a Government Office auditor may accompany Jobcentre Plus on occasions. The purpose of their visits will be to provide Jobcentre Plus with the assurance that projects are delivering and making claims in line with a contract and that the risk of non-compliance (and recovery action) is minimised. Jobcentre Plus staff may accompany the GO auditors on their visits.
134. Where audit assurance cannot be gained at Jobcentre Plus level, auditors may either request that evidence is provided by providers or may decide that a visit to the provider is necessary. The EU and ECA auditors have made it clear in their guidance that they have the right to carry out audits at the final recipient level i.e. Provider level, but this will only be in exceptional cases.

Cross Cutting Themes – ESF Provision

135. Jobcentre Plus has agreed to incorporate the three ESF cross cutting themes of Equal Opportunities, Sustainable Development and Information and Communications Technology (ICT) into its day to day activities for ESF Providers.
136. The three elements that have to be addressed are:
- 133. Providing the opportunities for everyone to fulfil their potential – focusing on tackling social exclusion, widening participation in education and training, and helping to overcome any barriers (be they social, economic or cultural) that prevent their becoming involved;
 - 134. environmental protection and enhancement through the delivery of projects. This includes both the direct environmental impacts of delivering ESF projects (e.g. use of resources, generation of waste, how people access the training etc.) and the indirect opportunities that exist (i.e. including environmental modules or awareness raising within training programmes, or using the environment as a way of engaging with hard to reach individuals).
 - providing the skills that businesses both demand and require – now and in the future. Involves ensuring that labour supply meets demand by addressing the generic and specific skill shortages that exist in the labour market, and ensuring an adaptable and flexible labour market. Also includes a focus on the future skill needs of businesses, and highlighting the increasing importance and opportunities of addressing environmental and sustainability issues in business.

Equal Opportunities

137. Jobcentre Plus is committed to ensuring equality of access and outcome for its customers on its programmes and services. Providers are subject to the Jobcentre Plus Quality Framework, which includes an assessment of strategy, promotion and monitoring of performance.

138. During the tendering process, Providers will have been required to answer questions to confirm what their Equal Opportunities policy is and how they will implement this while working with their customer groups. By being awarded a contract Providers have agreed to actively promote equality of opportunity and seek to deliver services in a way that respects individual differences, helps to overcome disadvantages due to ethnicity, gender, age or disability and to achieve the best possible outcome for each beneficiary.
139. During inspection, the Adult Learning Inspectorate will judge how well equality of opportunity is promoted and discrimination tackled within the provision.
140. During visits by Jobcentre Plus staff to Providers the Equal Opportunities policy may well be brought up as a discussion point. This is to ensure that what has been written down, is in effect being put into practice.
141. During any visit where it is considered that a Provider is not living up to their stated Equal Opportunities policies, Jobcentre Plus reserve the right to ask the Provider to put in practice or to make changes in their programme to ensure that their practices meet their obligations. This could mean agreeing to put in practice a number of changes to bring their Equal Opportunities practices up to an agreed standard.
142. Further information on Equal Opportunities may be obtained from the ESF website www.esfgov.uk

Sustainable Development

143. Sustainable development has been given a high priority by all sectors of society. The Department for Work and Pensions has published its Sustainable Development Policy by which all its businesses (including Jobcentre Plus) are bound. As a statutory agency Jobcentre Plus is committed to follow this policy through its contracting processes and its contracts with providers ties them into the same policy.
144. Within ESF the Objective 3 programme promotes Sustainable Development through the principle of simultaneous pursuit of social, environmental and economic goals. The three elements that have to be addressed are:
 - Providing the opportunities for everyone to fulfil their potential – focusing on tackling social exclusion, widening participation in education and training, and helping to overcome any barriers (be they social, economic or cultural) that prevent their becoming involved;
 - environmental protection and enhancement through the delivery of projects. This includes both the direct environmental impacts of delivering ESF projects (e.g. use of resources, generation of waste, how people access the training etc.) and the indirect opportunities

that exist (i.e. including environmental modules or awareness raising within training programmes, or using the environment as a way of engaging with hard to reach individuals).

- providing the skills that businesses both demand and require – now and in the future. Involves ensuring that labour supply meets demand by addressing the generic and specific skill shortages that exist in the labour market, and ensuring an adaptable and flexible labour market. Also includes a focus on the future skill needs of businesses, and highlighting the increasing importance and opportunities of addressing environmental and sustainability issues in business.
145. Providers may need to consider strengthening the sustainable development element of their project in order to meet the growing requirements of this theme within ESF, and may be expected to provide evidence of their compliance when Jobcentre Plus makes a visit to a Provider to see how they are performing with the delivery of their ESF contract.
146. Further information and a Sustainable Development toolkit may be obtained from the ESF website www.esf.gov.uk .

Information and Communications Technology (ICT)

147. One of Jobcentre Plus's objectives is to introduce new technology and to continuously improve that which is already in use. Jobcentre Plus is committed to extending access to IT through the introduction of Job points in Jobcentres and in outreach locations (e.g. libraries), and by encouraging the use of our websites.
148. All providers must deliver ICT as part of key skills training, and all Programme Centre providers must have internet access for their clients. These requirements are a minimum standard and will be developed further to broaden access, especially for disadvantaged clients. What ICT will be used?
- Personal computers and associated peripherals incorporating Microsoft Office or similar;
 - Access to the internet; and
 - Ability to use the telephone, fax and email are regarded as a basic skill required for employment.

How ICT will be used:

149. ICT is likely to be incorporated into the following aspects of provision;
- As a tool for content delivery;
 - As a subject for the development of ICT skills;
 - As a project management tool;
 - As a system to co-ordinate audit and accounting information, financial flows, project monitoring and evaluation and statistical analysis;
 - As a marketing tool and to impart information via websites.

Expected Benefits of using ICT

- The flexibility ICT brings to learning programmes will be a vital ingredient for increasing participation rates of disadvantaged groups;
- ICT plays a significant role in the management of Co-financing. Management Information and financial claims are provided electronically and beneficiary progress will be monitored through an IT tracking system;
- The use of ICT lessens the impact on resources and contributes to customers successfully gaining sustainable employment.

Management Information

150. Management information (MI) is used by Jobcentre Plus, Government Office and the European Commission to measure the performance and success of ESF funded provision.
151. Much of the MI required by Jobcentre Plus will be collected as part of the referral process, from the REF2JP, SL2JP and ESF10JP forms, or by providers using the ESF MI database. The customer information collected on these forms, and the information collected from the customer as part of their pre-entry interview, is fed into the Labour Market System (LMS) and the ESF MI database, and extracted at a later date for MI Purposes.
152. The EU Commission requires MI that is not usually collected by Jobcentre Plus. LMS, therefore, does not capture all the data required to enable Jobcentre Plus to complete quarterly reports and project closure reports. This additional MI is collected via the Jobcentre Plus website (www.jobcentreplus.gov.uk) using the ESF MI Database. ESF providers have a security password to access the website pages, to input the additional MI data. This database must be completed timeously by Providers so that the MI is available to Jobcentre Plus.
153. This information should be input to the database on the day a customer starts their provision or within 5 days. No information about a customer should be input before they start on the provision as failure to attend will require the entry to be made ineligible. Records can only be made ineligible by the Jobcentre Plus Regional Office administrator. For details of the Regional Office Administrator see Annex A.
154. Form ESF2 is available to help providers to gather the information for input to the website. This is especially useful for those organisations that deliver from 'outreach' premises / sites. The form should be completed and the information transferred to the website, it is considered best practice to retain a copy of this form as a recording mechanism for your own audit trail. ESF2 forms are available from MEADS.
155. The ESF2 is a 2 page self-copying A4 form, which is completed in two stages. Part 1, 2, and 3 (page 1) of the form should be completed when the customer starts provision. Part 4 (page 2) should be completed when

the customer completes or leaves provision and the 'outcome' is known within 6 or 13 weeks after leaving provision depending on the contract.

156. Providers must ensure that the ESF MI Database is kept up to date and all relevant customer information is input to the web page by the period end dates. As jobcentre Plus needs the information to claim from the GO, if the database is not kept up to date, payments may be delayed.
157. In exceptional circumstances, for those providers who do not have access to the internet the ESF2 will still need to be completed for all customers participating in provision. The completed form must be sent to the Regional Jobcentre Plus ESF team at each of the stages listed above. This team will input the data onto the website.

Sensitive Information

158. Sensitive information is information that identifies individuals as ex-offenders, drug and alcohol misusers, homeless etc. This information is not collected on an individual basis, instead, it is aggregated and will be collected on a quarterly basis.
159. Providers are required to collate this sensitive information within their organisation and from their subcontractors and input the details onto the appropriate section of the web page by the end of each quarter. In exceptional circumstances, for those Providers who do not have access to the Internet, complete the ESF4 and send it to the Regional Jobcentre Plus ESF Team, at the quarter period end dates. A copy should be retained for audit purposes. The Regional ESF Team arrange for database records to be set up when new providers require access.

ESF Web Page Completion

160. Guidance on how to complete the web pages and to use the system can be found at Appendix 9 of this document.

Soft Outcomes

161. In addition to collecting the above MI Providers are required to give details about the achievement of soft outcomes. Where a Provider has a contract to deliver soft outcomes and is paid for these, details will be given in their contract. The following has been recommended by European Social Fund Division, who are the national body responsible for managing the European Social Fund in the UK, as best practice for collecting information on achievement of soft outcomes.
162. Management Information on the achievement of Soft Outcomes is used to measure the performance, impact and overall success of ESF funded provision.

163. Providers will have agreed, with Jobcentre Plus, which soft outcomes are relevant and achievable through specific provision. These will be reflected in a Provider's contract with Jobcentre Plus.
164. The soft outcomes achieved will depend on the activities and objectives of the projects. See Appendix 4 for a description on soft outcomes. Form ESF3so has entries in every category of soft outcomes.
165. Providers must complete the ESF3so form. Appendix 4 explains why Providers should record and collect achievement of soft outcomes.
166. Information captured on the ESF3so should relate only to customers who have completed the provision in the corresponding quarter, or have left the programme early and are outside the tracking period. The completed ESF3so should be sent to your Jobcentre Plus Third Party Provision Manager within one week of the period end date, unless otherwise agreed.

Timetable of Returns

167. The timetable below confirms the period-end dates and the dates the ESF3so should reach the appropriate Jobcentre Plus District Office.

Customers completing/ leaving the project between:	Period end date	Forms are due at Jobcentre Plus District Offices within 7 days of the period end date or as agreed with your regional office.
01/04/06 and 30/06/06	30/06/06	07/07/06
01/07/06 and 30/09/06	30/09/06	07/10/06
01/10/06 and 31/12/06	31/12/06	07/01/07
01/01/07 and 31/03/07	31/03/07	07/04/07
and thereafter up to 31 December 2008		

168. Providers receiving funding under Objective 1 should continue to complete and return the ESF3so up to the contract end date.

How to complete the ESF3so

169. Providers must complete all elements of the ESF3so:

Provider Name	as in your contract;
Project Name	as specified in your contract;
Measure	as specified in your contract;

Quarter ending	relevant period ending date, see table and
Signature and date	person who completed the form to sign and date it.

170. **Core classifications** - Providers are required to inform the number of outcomes achieved and in narrative format describe the indicators used. In addition the target group(s) should be identified.
171. **General Performance Information** – Providers should summarise performance to date. Providers who are under achieving should describe the measures taken/to be taken to increase performance activity. In addition please use this section to provide details of ‘good news’ stories and other relevant information.
172. Stocks of the ESF3so are not held at Meads, so Providers must copy the form in appendix 4.

Evaluation

173. All providers delivering ESF contracts are required to provide a brief evaluation of their contract at the point of time when ESF funds cease. This is an EU requirement and reports are submitted to the Regional External Relations (ESF) team via the regional administrator. This evaluation should be no more than two sides of A4 and should highlight the achievements against what the original programme was asked to deliver.

Adult Learners Week Awards

174. Each year The Department for Work and Pensions co-sponsor the Adult Learners Week. All organisations, individuals and groups of learners who have benefited from ESF are eligible to apply for an award. A number of special ESF sponsored awards are open to any customer or group of customers who have benefited from ESF. Customers can also nominate their ESF project providers for an award.
175. The awards are made on a regional basis and can help to pay for learning resources. Winners get a framed certificate and an invitation to a national ceremony held in London in May during Adult Learners week.
176. If you want to enter your organization, nominate an individual or to find out more, call the Campaigns Team at NIACE on 0116 2044 200, or e-mail alw@niace.org.uk or visit www.alw.org.uk . Please note, as this is an annual event you will need to contact NIACE for the closing date for nominations

Appendix 1



Esf10.pdf

ESF10JP ESF Referral – Customer Record

Appendix 2



8879 ESF11 A5 flyer.qxd5.pdf

ESF11JP ESF Match Funded Customer Leaflet

Appendix 3



8879 ESF12 A5 flyer.qxd5.pdf

ESF12JP ESF Funded Customer Leaflet

Appendix 4



Provider **Name:**
Project **Name:**

Measure :

Quarter Ending:

Signature:

Date:

Outcome	Specify number of soft outcomes achieved under each core classification. Include a brief narrative describing indicators used and details of target group.
KEY WORK SKILLS:	
ATTITUDINAL SKILLS:	

PERSONAL SKILLS:

PRACTICAL SKILLS:

GENERAL PERFORMANCE INFORMATION: Good news stories related to achievement of soft outcomes

ESF3so

What Are Soft Outcomes?

1. There are no set rules regarding what relates to a particular outcome. However to make it easier to record/monitor achievement of soft outcomes the following 'core' classifications are to be used.
 - Key work skills
 - Attitudinal skills
 - Personal skills and
 - Practical skills

2. Under each of the core classifications fall the indicators by which providers can measure whether the outcomes have been achieved. Not all indicators will be suitable for all target groups, and some will be target group specific.
3. The following are examples of indicators that could be used under each of the core classification headings. Providers may be aware of other indicators that are relevant to their project and target audience.

Outcomes	Indicator
Key Work Skills	The acquisition of key skills e.g. team working, problem solving, numeracy skills, information technology Completion of work placements The acquisition of language and communication skills
Attitudinal Skills	Lower rates of sickness related absence Increased level of motivation Increased levels of confidence Recognition of prior skills
Personal Skills	Improved personal appearance/presentability Improved levels of attendance Improved timekeeping Improved personal hygiene Greater level of self-awareness Better health & fitness Greater levels of concentration and/or engagement
Practical Skills	Ability to complete forms Ability to write a CV Improved ability to manage money Improved awareness of rights and responsibility Ability to use tools & equipment Improved telephone skills

Target Group-Specific Outcomes

4. The following is not an exclusive listing. Some indicators will be more suited to some target groups than other and may not be appropriate for every individual.

Target group	Possible Indicators
Disaffected young people	Improved behaviour Improved attendance on project Improved engagement with learning or project activity
Women returners	Recognition of prior skills and experience
Drug/alcohol ex/abusers	Better health Lower levels of drug or alcohol use Improved personal appearance/presentability
Ex-offenders	Lower rates of reconviction Lower rates of re-offending A slowing of re-offending
Homeless people	Permanent accommodation
People with learning disabilities or mental health	A greater level of self-awareness Reduced anxiety and depression

Why Record And Collect Information On Soft Outcomes

5. Measuring soft outcomes is a crucial indicator of the success of a project. It can also help to evaluate the project and provide a fuller picture of the impact of the project as a whole. Providers need to measure these outcomes to show the real and full impact of your efforts during the life of a project.
6. Target groups that are facing multiple barriers to employment may be a long way from being able to acquire a qualification or employment. Therefore for some customers taking part in the project they will only achieve soft/distance-travelled outcomes. Being made aware of the

distanced they have travelled could be an enormous confidence boost to them.

7. Employers are interested in soft skills, abilities, key skills, personal attributes and attitudes. The customers will be at a distinct advantage in the labour market if they are able to demonstrate possession of such skills and attributes through evidence gained during the project.

How To Measure Soft Outcomes

8. Methods to measure soft outcomes and distance travelled are numerous and varied and will depend very much on the activities and objectives of the project.
9. Providers will need to establish a base line prior to measuring soft outcomes and distance traveled. This can normally be done during the initial assessment when customer's needs are established; barriers to employability and personal development targets are set. Examples of how to collect and record information on soft outcomes and distanced traveled are given in the table below:

Individual action planning, personal action planning and goal setting	The drawing up of individual action plans is normally carried out during the initial assessment session and then reviewed at regular intervals to gauge whether goals have been met. An action plan can include personal objectives, priorities and reflections on progress.
Reviews between trainers/ assessors and customers to record soft outcomes	Improvements over time can be noted and recoded during regular formal or informal reviews. This system is largely reliant on a sound judgement from the customer or project worker and will not provide an absolute or formal measure of distance travelled.
Daily diary or personal journal	Customers can be encouraged to write about progress towards soft outcomes. Issues of confidentiality should be considered.
In-depth reflection during or after the course	Customers could be asked to consider and review their progress as they come to the end of their training course, or a particular element of the project (such as a work placement). This could be incorporated as an assignment that could be included in a customer's portfolio of evidence of achievement. Baseline information is particularly useful here as data can be compared over time. Questionnaires are an important tool for this purpose - see example at Appendix 2.

Recorded observations of group or individual activities	It is important to have comprehensive documentation systems that will allow for the recording of anecdotal evidence of outcomes achieved and progress made. This method requires a high level of observer skill, and there is the danger of observer bias and also that the observer will influence the behaviour being observed.
Presentation of material in a portfolio	This could include evidence of tasks completed successfully indicating achievement of outcomes, or progress towards them. An evidence-based portfolio would be a concrete output that could be presented to an employer.
Tests	Some projects use psychometric testing within the assessment process. This is generally a diagnostic procedure but could be adapted to establish a baseline and measure distance travelled. Tests may be useful in establishing a customer's existing skill level. The test could then be conducted at a later stage to illustrate any progress made.

Guidance

9. It is crucial to establish a baseline of soft skills, aptitudes and attitudes from which individual progress can be measured. This can normally be done during the initial assessment phase when customer needs are established; barriers to employability identified and personal development targets are set. Without this information it would be impossible to determine how far a customer has progressed whilst taking part in the project.
10. As a minimum Providers should record customer details, undertake an initial assessment of customer needs and agree objectives with all customers. Regular reviews should also be held to determine progress against set objectives. However this will depend on the length and nature of the intervention but as a minimum every 4 weeks. Providers should also undertake an Exit Interview. See Appendix 2 for examples.
11. Where possible evidence of soft outcomes should be attached to reviews or exit interviews. This could take the form of observations, witness testimonies, portfolio evidence or written work. The comments of the reviewer or trainee on the review sheet will provide a good record of individual progress against personal aims and objectives, both hard and soft.

Appendix 5

	TRAINEE DETAILS 
--	---

Name:	Date of Birth:
Address:	NI Number:
	Male/Female:
	Length of unemployment
Post Code:	Ethnic origin:

Sub Target Group Eligibility:
Support Measures Required:

Previous Relevant training (accredited/ non-accredited)
Previous Work Experience (full/part-time/voluntary/causal)

Information Attached:			
Date		Date	
Registration		Review 4	
Initial Assessment		Review 5	
Review 1		Review 6	
Review 2		Review 7	
Review 3		Exit Interview	

Declaration: To the best of my knowledge the information is true and accurate	
Signed:	Date:

Checked by:	Date:
--------------------	--------------

Times/Days of Attendance (To be completed during induction/initial assessment period)									
Monday		Tuesday		Wednesday		Thursday		Friday	
AM	PM	AM	PM	AM	PM	AM	PM	AM	PM

Placement Address (Provider premises or work placement)

Start Date:

End Date:

Appendix 6

INITIAL ASSESSMENT



Name:

Start Date:

Proposed End Date:

Individual Training Objectives

Qualification/Course	Level	Target Date

Additional Support (please specify)

What skills do customers have now?

What would customers like to achieve through attending the course/project?

Job Goal:

Agreed Individual Objectives (see guidance on soft outcomes)	Target Date
Trainee Signature: Assessor Signature:	Date: Date:

TRAINEE REVIEW



Trainee Name:

Date:

Reviewers Name:

Position

Progress On Objectives Agreed in Last Review

Objective	Evidence	Action Required	Target date

Any Other Achievements

Trainee Comments:

Reviewer Comments:

Further Agreed Objectives:

Objective:	Target Date:

Trainee Signature:	Date:
Reviewer Signature:	Date:

Appendix 7

EXIT INTERVIEW



Trainee Name:

Date:

Exit Interviewer:

Position:

Training Outcomes

Qualification/Course	Level	Date Achieved

Progress On Objectives Agreed in Last Review

Objective	Comment	Evidence/Action

Details of work placement:

Any other achievements:

Trainee comments:

Exit interview's comments

Job Outcomes /Further Education/Voluntary Work - please give details and attach evidence

Future objectives

Support required for future objectives

One-month follow up	Date:
Three- month follow up	Date:

Further outcomes

Trainee Signature:	Date:
Exit Interviewer Signature	Date:

Appendix 8



ESF Beneficiary Background Monitoring Form

Provider Name	
Contract Number	

Objective		Measure	
------------------	--	----------------	--

Enter the total number of beneficiaries providers have helped who were from the following background:

(Providers may make more than one entry for people falling into a number of categories)

	Male	Female
Ex- Offenders		
Homeless People		
Refugees		
Drug and Alcohol Misusers		
People Returning to the Labour Market		
Lone Parents		
People Living in Rural Areas		

ESF4

Appendix 9

European Social Fund Management Information Data Capture System

Introduction

1. This Chapter provides a guide to using the ESF MI Data Capture System for Providers delivering Jobcentre Plus Co-financed European Social Funded (ESF) provision from 1 April 2003. These arrangements apply to the English Jobcentre regions only. This guidance is designed to help you record the MI information on ESF funded beneficiaries required for Jobcentre Plus to meet its requirement to produce the Closure Report to Government Office.

System Requirements

2. The web application will be operable on all PC's that conform to the minimum specification, are Internet enabled with the appropriate web browser software installed.
3. The ESF web application is designed to operate on the following minimal PC specification: -
 - 800 x 600 screen resolution
 - Level 5 compliant web browsers
 - Web browser settings are set that client side Java script is enabled and storage of cookies is permitted.

PC Requirements:

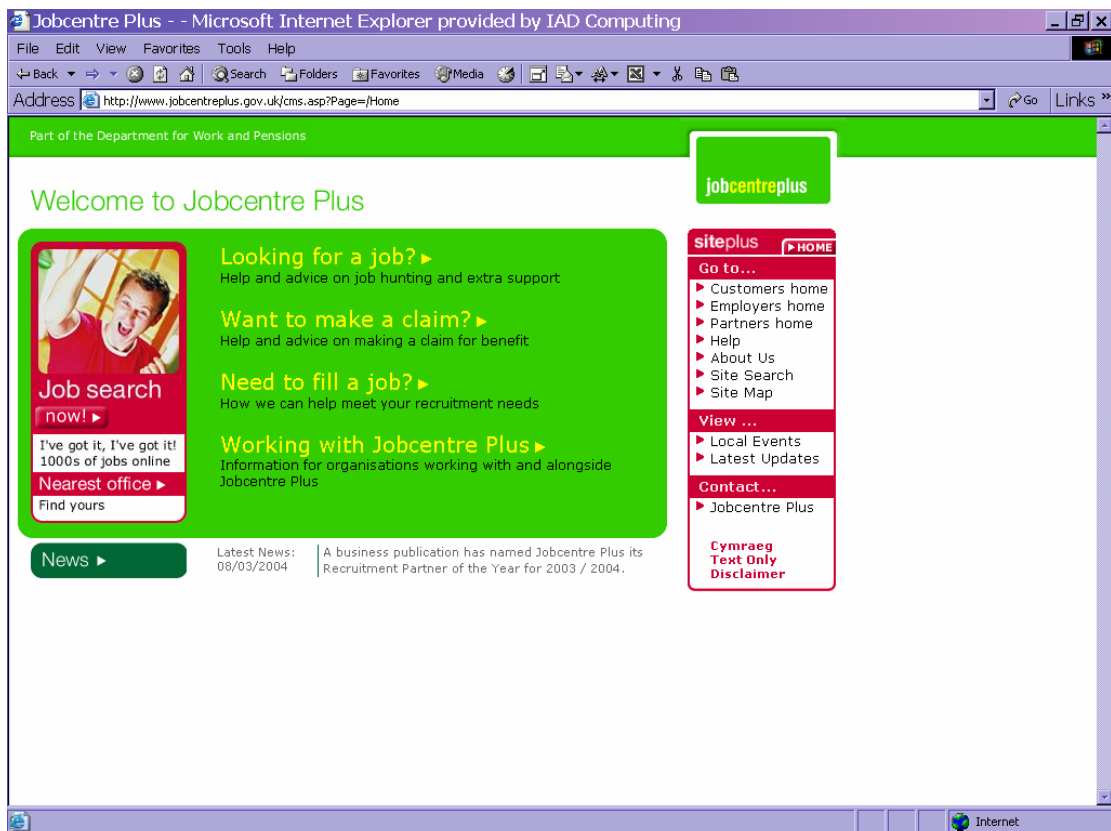
4. IBM Compatible PC with Intel Pentium I, Pentium II, Pentium III, or Pentium 4 Processor (minimum Pentium I with 133 MHz clock speed - or with similar power processor from a non-Intel chip manufacturer such as AMD). Older computer processors such as Intel 486 and Intel 386 etc. are considered inappropriate.
5. Processor speed of at least 133 Megahertz, recommendation is for this to be higher. At least 32 Megabytes of RAM, though 64 Megabytes or higher is recommended (if Windows 2000 being used, then 64 Megabytes is the minimum requirement).
6. At least 800 Megabytes of available disk storage (i.e. the computer may have more than 800 Megabytes of disk storage in total, but at least 800 Megabytes should be unused and available).
7. Modem of at least 28.8 kbps, recommendation is for 56 kbps.
8. Windows 95, 98, ME, 2000, or NT 4 (with Service Pack 3) or above.

Apple Requirements:

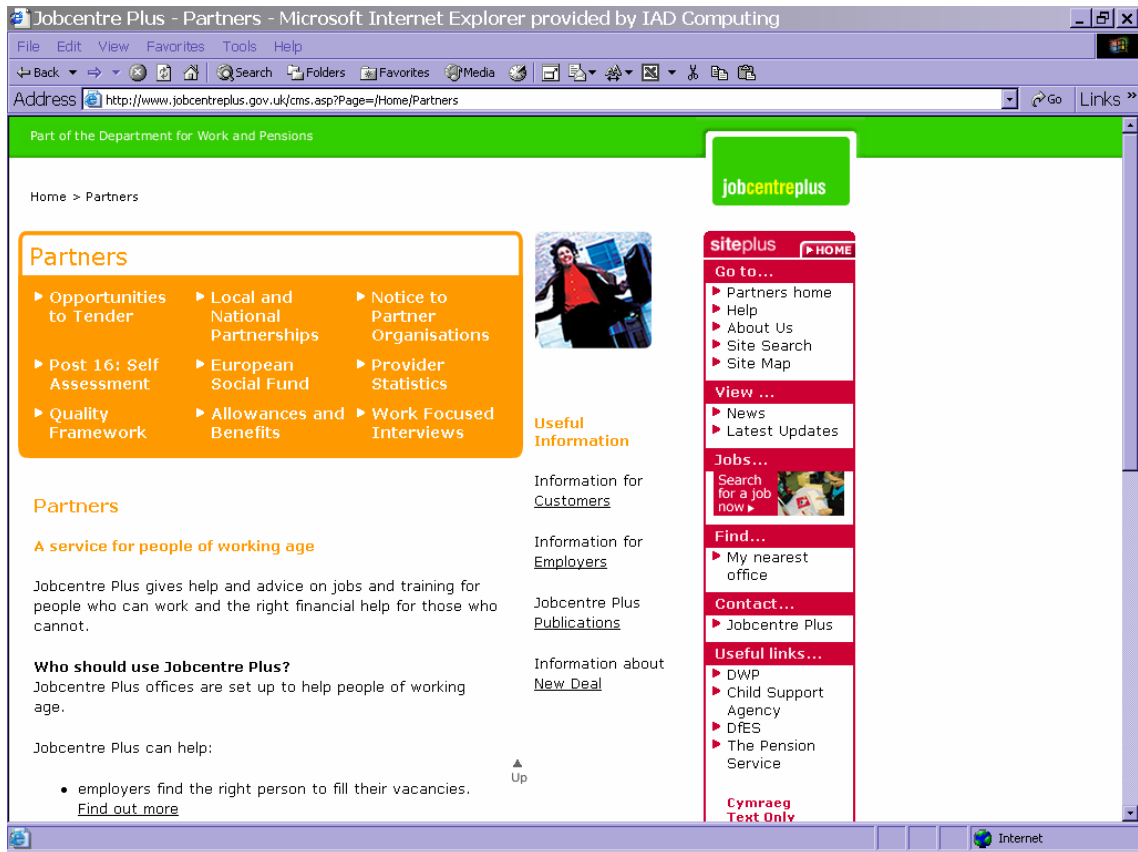
9. An Apple Macintosh / iMac with PowerPC processor
10. At least 16 Megabytes of RAM with Virtual Memory switched on, recommendation is 32 Megabytes or higher
11. Apple MRJ 2.1 or above
12. At least 800 Megabytes of available disk storage (i.e. the computer may have more than 800 Megabytes of disk storage in total, but at least 800 Megabytes should be unused and available)
13. Modem of at least 28.8 kbps, recommendation is 56 kbps
14. Open Transport 1.1.1 or higher with OT PPP or similar PPP connection software (Control Panel) with PPP (Extension)
15. Mac OS 7.6.1 or above, or Version 8, or Version 9, or Version X or better

Accessing the site

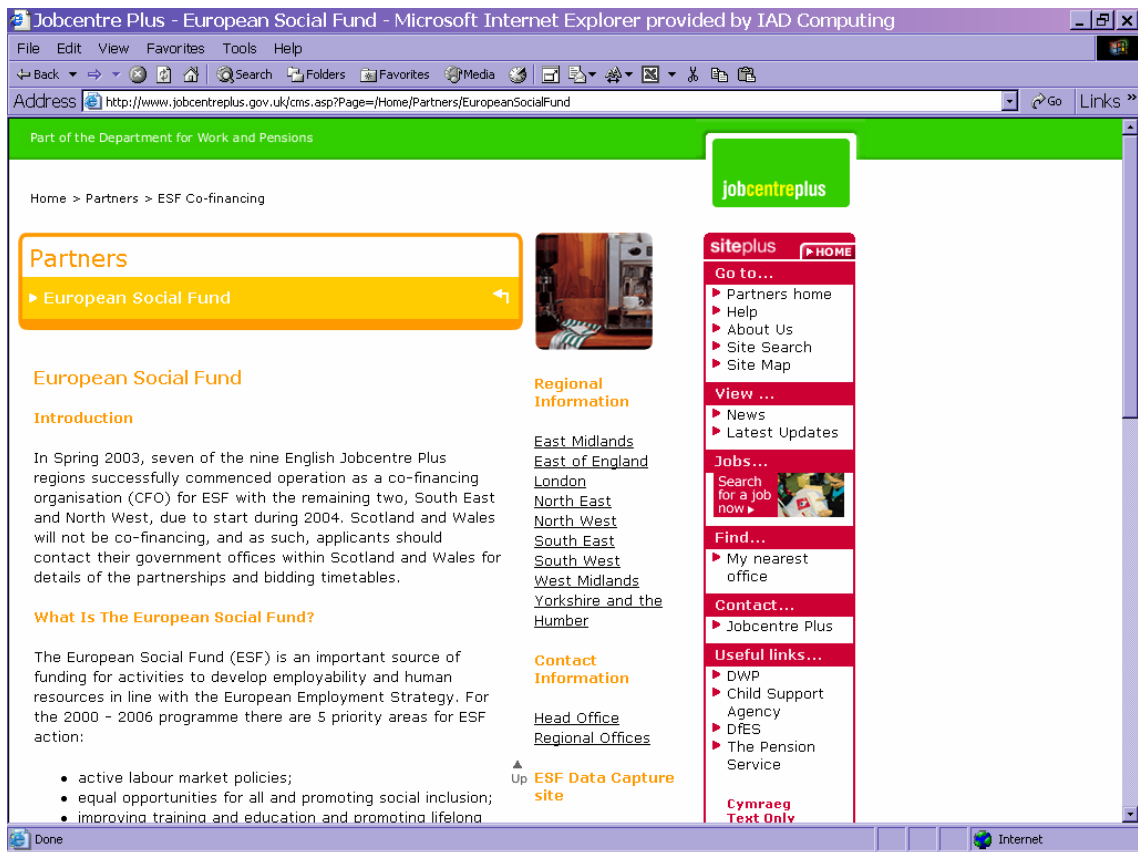
16. The ESF MI Data Capture System can be launched from the ESF section of the Jobcentre Plus website (www.jobcentreplus.gov.uk). The system provides on-line help in addition to a page detailing Frequently Asked Questions.



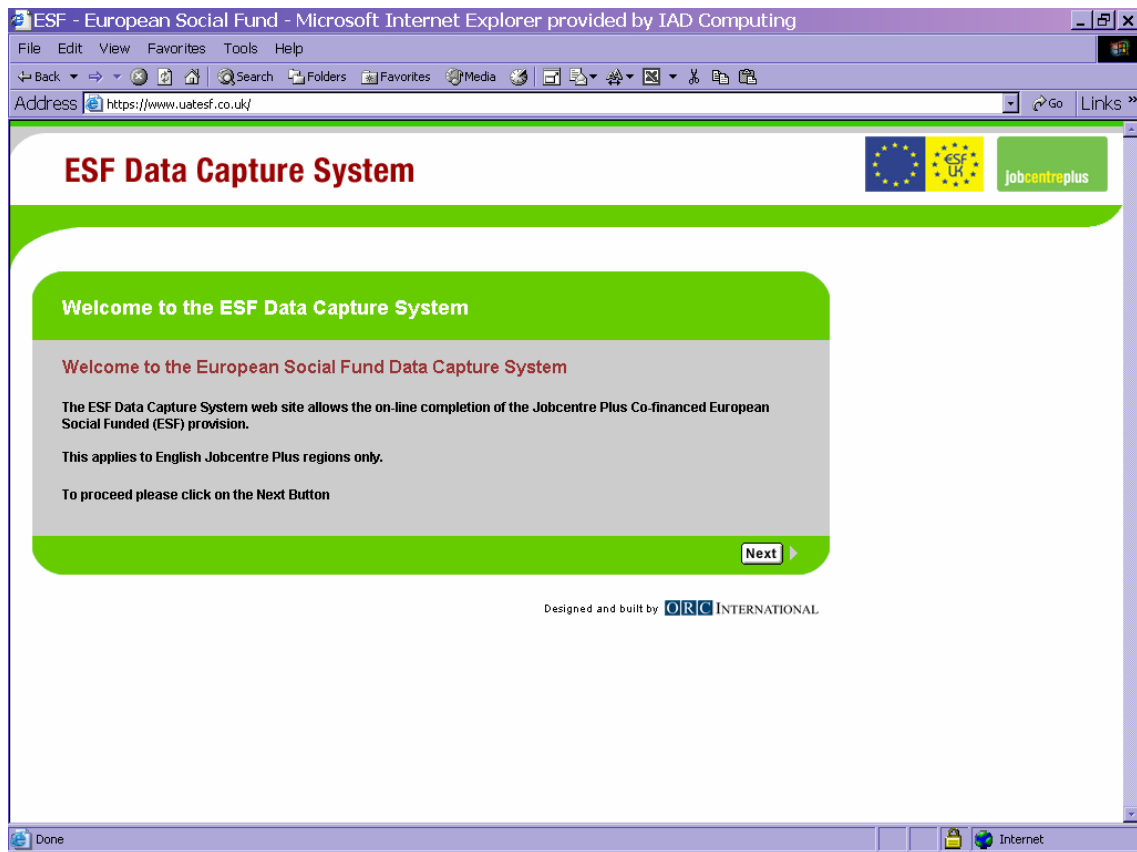
17. Click on Working with Jobcentre Plus - this will take you to the next page.



18. Click on European Social Fund - this will take you to the page containing the link to the ESF MI Data Capture System. Scroll the page down if the link is not visible.



19. On entering the ESF Data Capture System users will be taken to the Welcome page. Clicking on the 'Next' button will take the user to the log on screen.



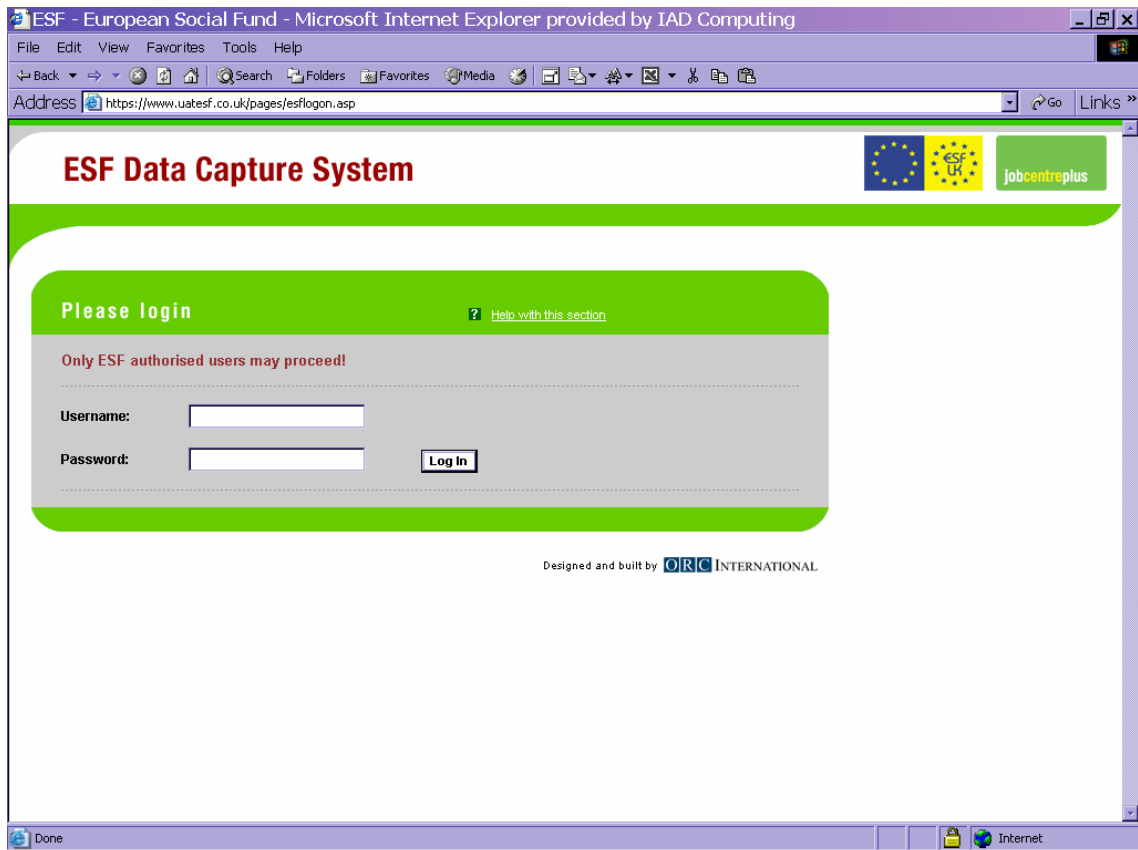
Information/Data Security

20. All access to the system is password controlled. At time of log-on, the supplied username and password will be authenticated. Access to the system will not be granted if authentication fails.
21. Failure to provide correct log on details on 3 successive attempts will result in the User Account becoming de-activated preventing system access. Users must contact the relevant Regional Administrator for access to be restored (see list at Annex A).
22. An ESF Provider Account will only be active throughout the duration of the provider contract.
23. All data collected via the Project Participation Web Form will be securely transmitted and encrypted over the Internet by using 128 bit Secure Sockets Layer (SSL) Technology.

Password Protocols

24. ORCi will provide ESF Providers with a unique Username and password when setting up Provider accounts on the system.
25. In order to satisfy Information Security Policy and Standards, the password system ensures that:
 - every User has a unique Username and password;

- passwords comprise of at least eight characters with one being a number;
 - passwords are not displayed on screen whilst being entered;
26. Users are advised not to store their password but to type it in each time they enter the site.
27. After typing in your Username and Password click on Log In button to enter the system.



28. In the 'Username' field the User should enter the username they have been given.
29. In the 'Password' field the User should enter the password given to them.
30. The first time Users logon using the password issued by ORCi, they will be presented with a screen requesting that they change their password (see screen below). When information is entered into these fields stars will appear instead of text.
31. In the 'New Password' field the User should enter a new password of at least eight characters and contains at least 1 numeric character.
32. In the 'Retype Password' field the User should re-enter the new password.

33. The new password should not:

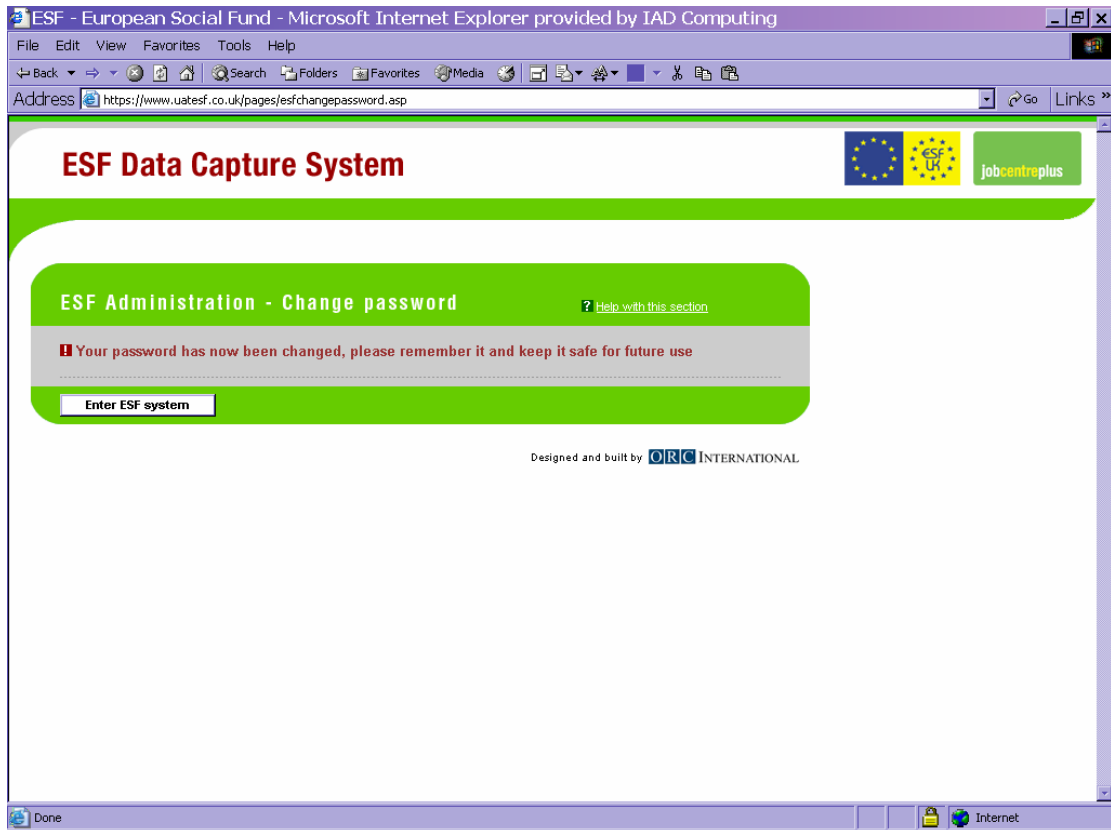
- be the same as their Username;
- use the system name or abbreviations of it (ESF IT System);
- use the Users name; or
- be the User's job title.

34. As a point of good practice Users should;

- use passwords that are a mixture of letters and numbers;
- avoid using family names, telephone numbers, car registration numbers;
- avoid using the date (day month etc.);
- avoid writing them down unless they are stored in a secure location; and
- not disclose them to anyone else.

The screenshot shows a web browser window titled "ESF - European Social Fund - Microsoft Internet Explorer provided by IAD Computing". The address bar shows the URL "https://www.uatesf.co.uk/pages/esflogin.asp". The page content includes the "ESF Data Capture System" header with logos for the European Union, ESF, and Jobcentreplus. Below this is a section titled "ESF Administration - Change password" with a "Help with this section" link. The main content area contains instructions: "For your first entry to the ESF system, you need to change your password. Please enter a new password that is at least 8 characters in length and contains at least 1 numeric character". There are two input fields labeled "Password" and "Retype Password", followed by a "Change Password" button. At the bottom, it says "Designed and built by ORC INTERNATIONAL".

35. Once the new password has been entered you will see the following screen, confirming that your password has changed. Click on 'Enter ESF system' to continue.



36. Failure to use the correct password will result in the message **‘The entered Username/Password is incorrect.’** Appearing on the Log In screen.
37. The User will be locked out of the ESF System after three failed attempts and the message **‘The entered Username/Password is incorrect There has been too many incorrect attempts this account has now been suspended’** appearing on the Log In screen. If this happens the User will need to contact the relevant Regional Administrator (see Annex A) for advice.
38. **Users should note that they will be unable to access the web forms without first changing the initial password issued by ORCi.**
39. After login has been successfully completed the User then enters the secure web site and is presented with a menu of options. The User should then click on the option required.

Creating New Client Form

40. When creating a new record for an individual Beneficiary select ‘New Individual’ from the upper menu bar and the following screen will be displayed.

ESF Data Capture System

[New Individual](#) |
 [Search for Individual](#) |
 [List Forms](#) |
 [ESF4 Form](#) |
 [General Help](#) |
 [FAQ](#) |
 [Log Off](#)

1. New Individual's Details [? Help with this section](#) Sections completed: 1 2 3 4

NI Number / CRN

Title Mr Mrs Miss Ms Other

First Name Surname

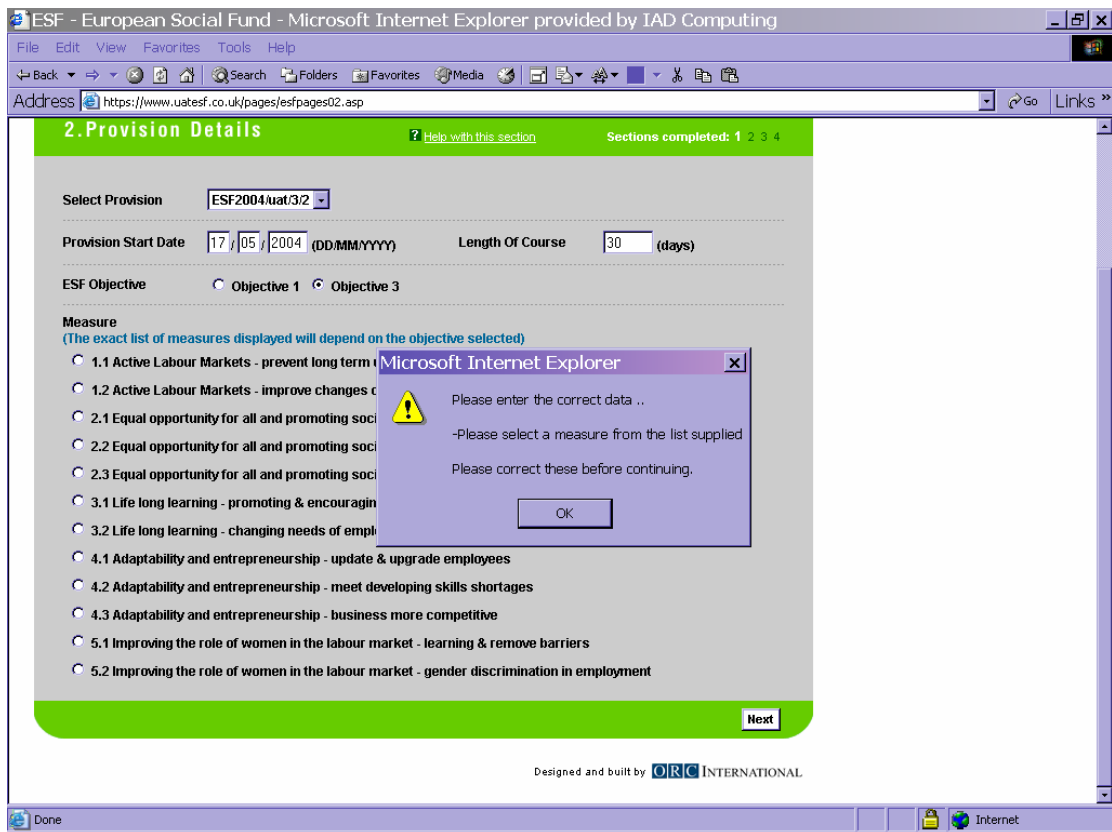
Date of Birth / / (DD/MM/YYYY) Post Code

Next

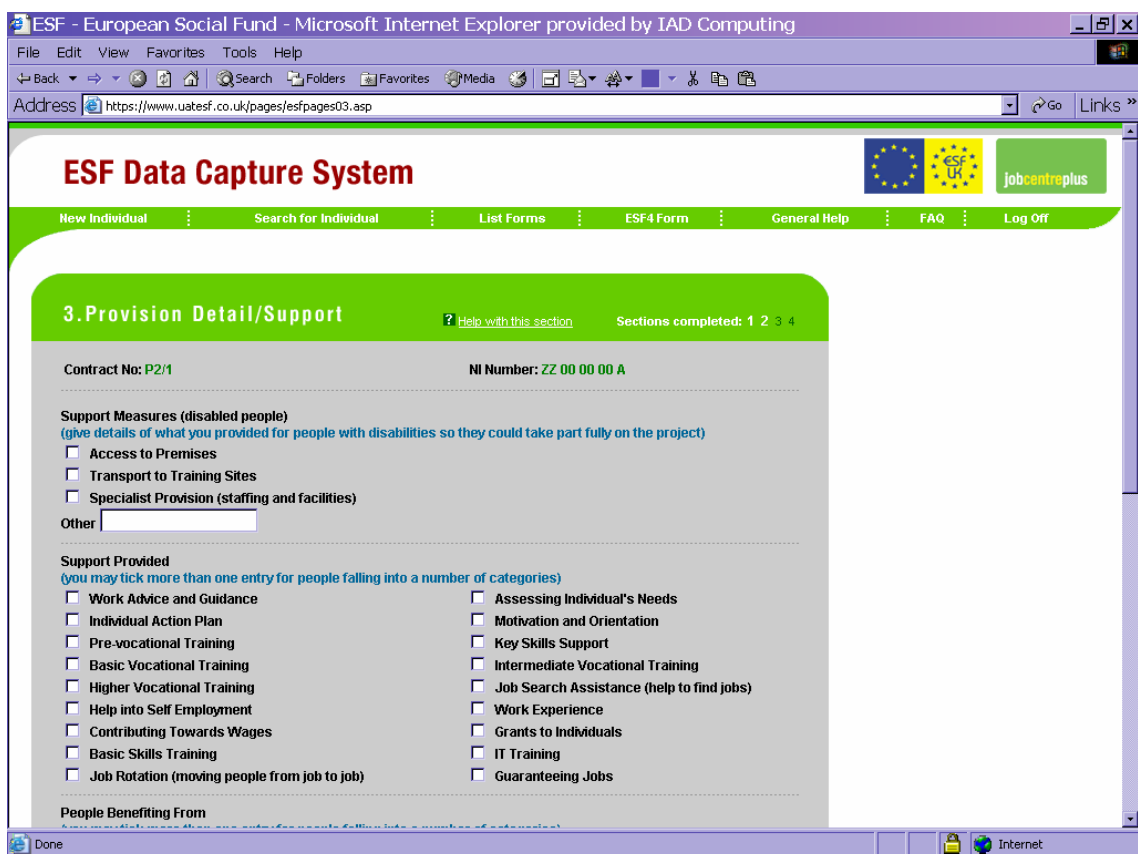
Designed and built by **ORC INTERNATIONAL**

41. Complete the on-screen form by typing in the new individual's details including their National Insurance number or 9 digit Client Reference Number (CRN)
42. Once the details have been entered click on the next button, this will take you to Section 2.

43. Click on the arrow button on the right of 'Choose' this will give a selection of all contract numbers that are relevant to your Username; select the appropriate one for the beneficiary, if there is more than one option. Enter details of the date the individual started and how long the provision will last for. (To enter details of additional provision to an existing client record see Chapter 7, – Amending/Adding Information to an Existing Form).
44. Then select the appropriate ESF Objective by clicking on the Radio button. This will then allow you to select the appropriate measure from the list (choose 1 of the 6 Measures for Objective 1 or 1 of the 12 Measures for Objective 3).
45. If you do not select **one** Measure from the list available an error message will appear as shown below:



46. Once you have entered all of the information click on the 'Next' button, this will take you to section 3.



ESF - European Social Fund - Microsoft Internet Explorer provided by IAD Computing

Address: <https://www.uatesf.co.uk/pages/esfpages03.asp>

Basic Skills Training
 Job Rotation (moving people from job to job)
 IT Training
 Guaranteeing Jobs

People Benefiting From
 (you may tick more than one entry for people falling into a number of categories)

Training in Non-Traditional areas for their sex
 Work Experience in Non-Traditional areas for their sex
 Qualifications in Non-Traditional areas for their sex
 Employment in Non-Traditional areas for their sex
 Improved Awareness of Opportunities in Occupations Dominated by Men or Women

Support measures
 (you may tick more than one entry for people falling into a number of categories)

Childcare
 Training Allowance
 Subsistence (living allowances)
 Counselling, Guidance and Advice
 Other Support Measures
 Care for Dependants
 Travel Support or Provision
 Equipment or Protective Clothing
 Literacy and Numeracy

Beneficiary Occupational Training
 (you may tick more than one entry for people falling into a number of categories)

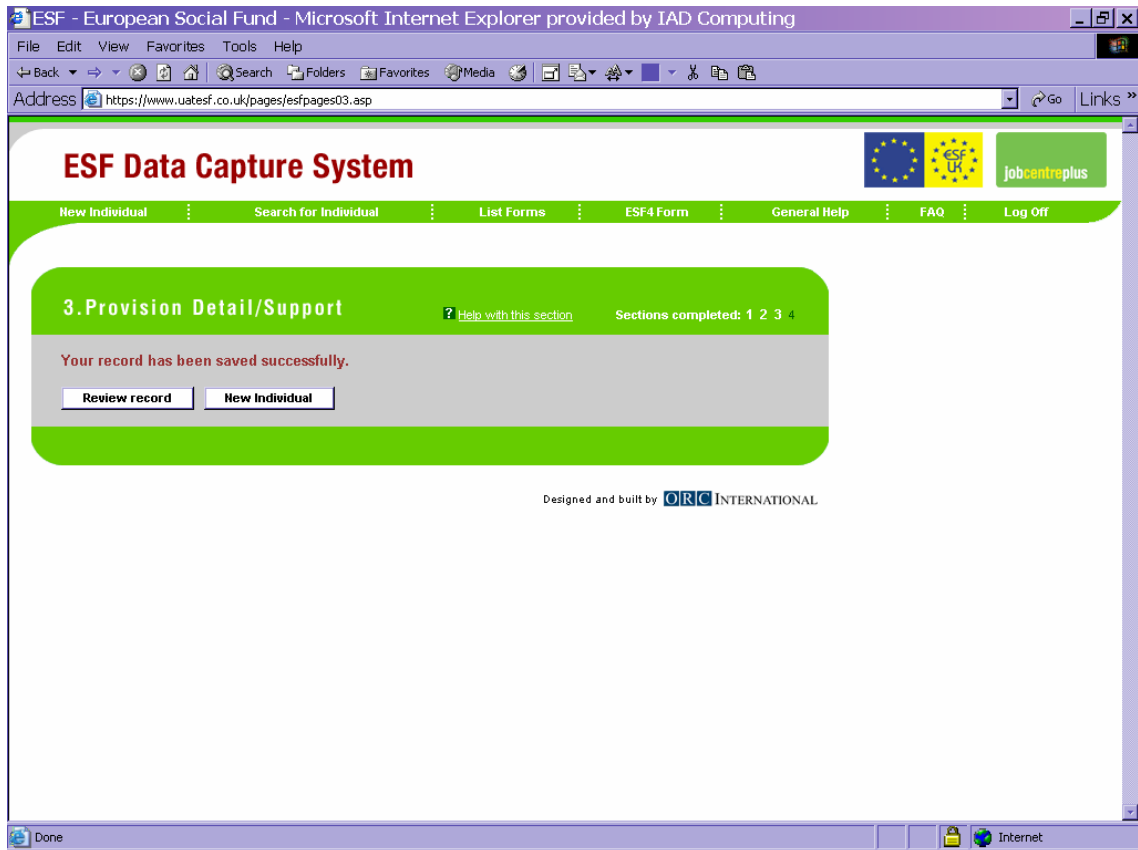
Managers/Admin
 Clerical/Secretarial
 Craft and Related
 Sales
 Other
 Professional
 Associate Professional/Technical
 Personal, Protective (health care, childcare etc)
 Plant and Machine Operators

People threatened with redundancy, are
 in small / medium enterprises (less than 250 employees) in large enterprises (250+ employees)
 Not Applicable

Save New Form

Designed and built by ORC INTERNATIONAL

47. Input the appropriate information in the fields by clicking on the boxes, a number of the questions (Support Measures, Support Provided etc.) you may tick more than one entry for Beneficiaries falling into a number of categories.
48. Sections 1-3 must be completed in the ESF Data Capture System before the form is first submitted. This information should be on the ESF2 form.
49. Once you have input all of the information click on 'Save New Form' button, this will then submit the form and all information will be saved.
50. A page will be displayed telling you that the information has been saved and will give you the opportunity to review the information you have input or input a new individual.



Search for Existing Client

51. To search for an existing beneficiary select Search for Individual from the upper menu bar. The following screen will be displayed.

52. It is possible to search for an existing beneficiary record by any of the following categories;

- National Insurance Number/CRN
- Individual's Firstname
- Individual's Surname
- Contract Number
- Status

53. It is also possible to search for an individual by using a combination of the categories listed above, for example by surname and contract number. To search by status and/or contract number, select the appropriate status option or contract number from the drop-down lists. If you wish to search by NI/CRN, Firstname or Surname, you will need to type this information in to the appropriate field, as shown in the screenshot below.

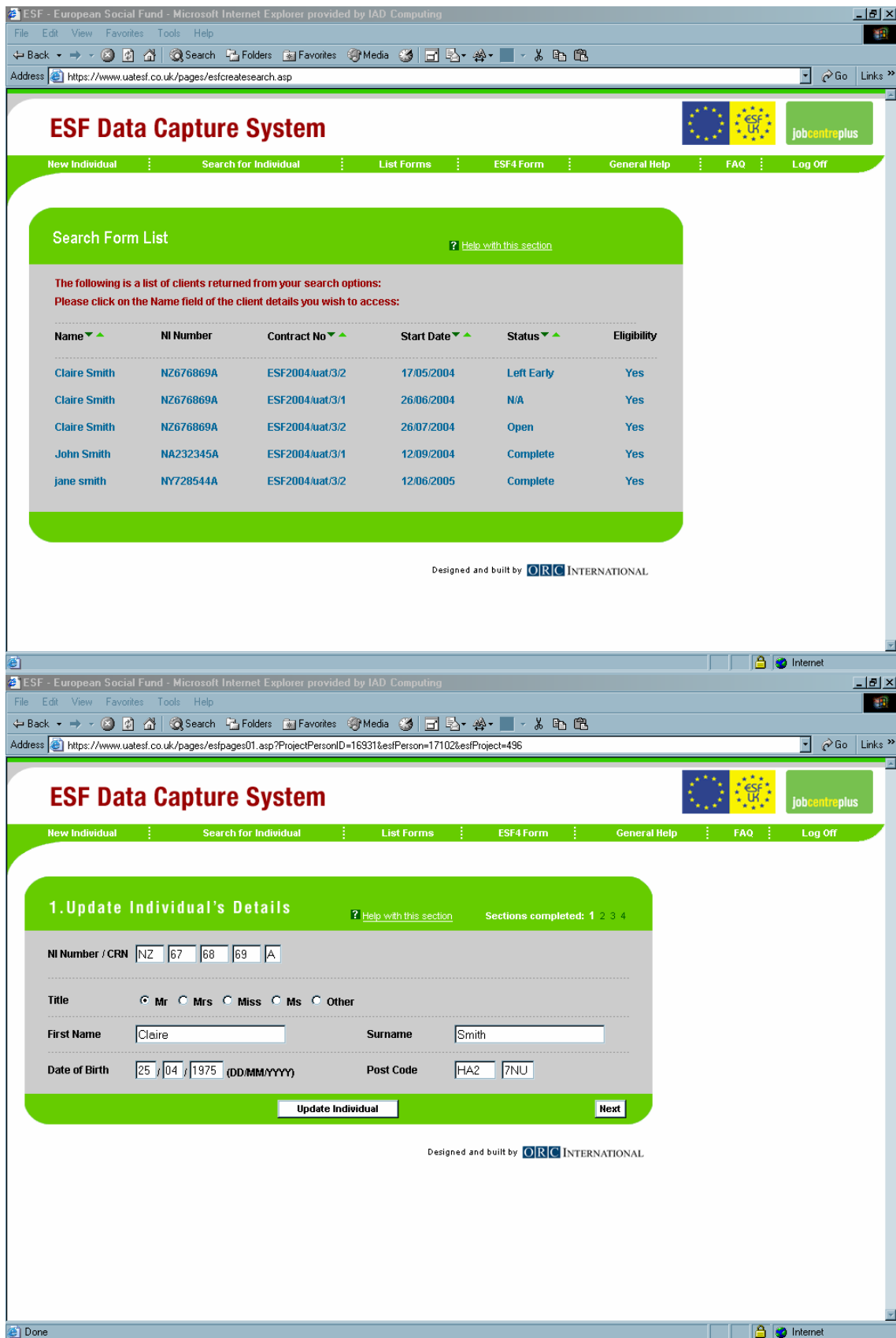
The screenshot shows a web browser window titled "ESF - European Social Fund - Microsoft Internet Explorer provided by IAD Computing". The address bar shows the URL "https://www.uatesf.co.uk/pages/esfcreatesearch.asp". The page header includes the "ESF Data Capture System" title, the European Union flag, the "ESF UK" logo, and the "jobcentreplus" logo. A navigation menu contains links for "New Individual", "Search for Individual", "List Forms", "ESF4 Form", "General Help", "FAQ", and "Log Off".

The main content area is titled "Search Individual" and includes a "Help with this section" link. Below the title, there is a instruction: "To search for an existing individual, fill in the details below and click the search button:". The form fields are as follows:

- National Insurance Number / CRN: Five input boxes followed by the example "eg JM 49 52 46 D".
- Individual's Firstname: A text input field.
- Individual's Surname: A text input field containing "Smith".
- Contract Number: A dropdown menu with "Choose Contract No." selected.
- Status: A dropdown menu with "Choose Status" selected.

A "Search" button is located at the bottom right of the form area. At the bottom of the page, it says "Designed and built by ORC INTERNATIONAL".

54. Once you have input the appropriate information in to the search field(s), select 'search' and the results of your search request will be displayed. To view a record from the list you must click on the name of the beneficiary, as illustrated in the screen shot below.



55. An alternative search method is to select 'List Forms' from the upper menu bar. This will generate a list of beneficiaries currently held against

the provision. The list may be sorted by clicking the arrows next to the column headings. By clicking on the Name, National Insurance number or contract number held for a beneficiary the relevant record may be accessed.

56. The 'Status' of the beneficiary can also be viewed by selecting the 'List Forms' option. There are four status categories outlined in the table below.

Status	
Complete	Beneficiaries who have completed ESF provision.
Left Early	Beneficiaries who have left ESF provision before the completion date.
Open	Beneficiaries who have previously left early and have returned and are still on ESF provision.
N/A	Beneficiaries currently on ESF provision.

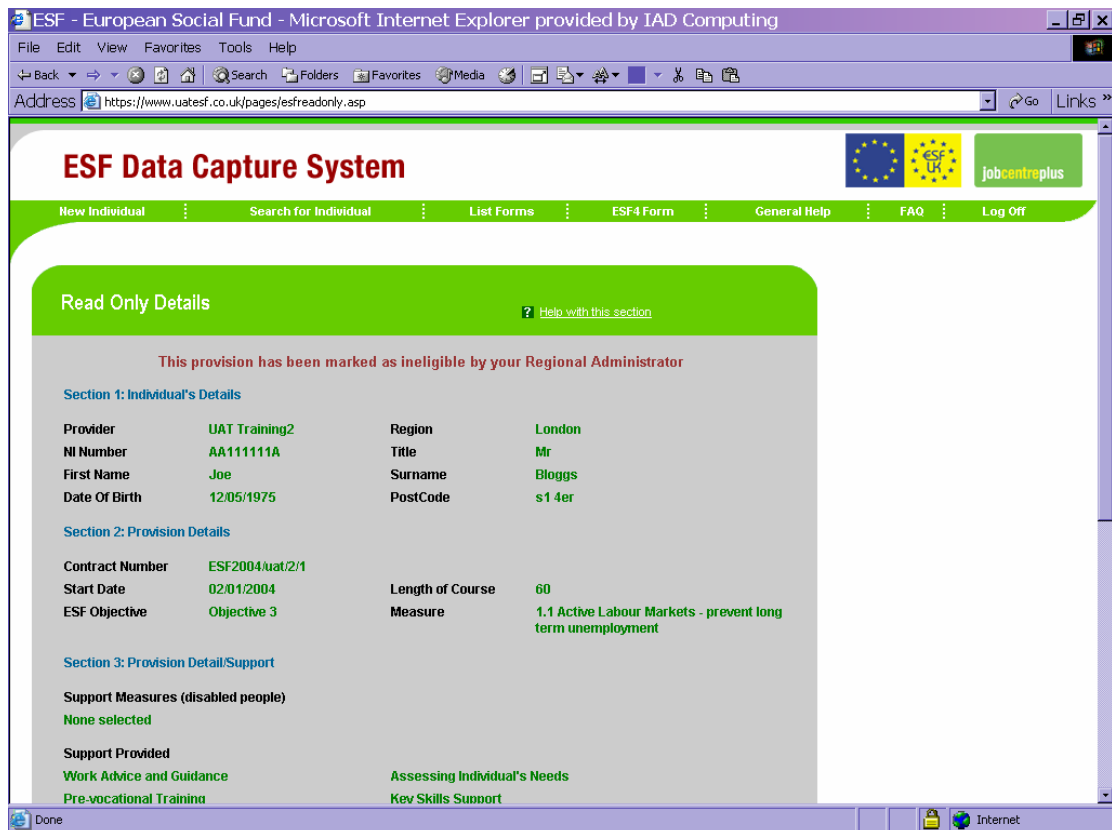
57. The 'Eligibility' of a beneficiary can also be viewed via the 'List Forms' view. Beneficiaries who are eligible are marked 'Yes', beneficiaries who are not eligible are displayed as 'No' in the eligibility column. Regional Administrators are able to mark clients as ineligible as appropriate e.g. a male beneficiary whose record shows him attending provision intended only for female beneficiaries will be marked as ineligible by the Regional Administrator and 'No' will be displayed in the 'Eligibility' column.

The screenshot displays the 'ESF Data Capture System' interface. The main content area is titled 'List Forms' and contains a table with the following data:

Surname	NI Number	Contract No	Start Date	Status	Eligibility
BODIE	ZZ000000A	P2/1	09/03/2004	N/A	Yes
Clarke	NY999999H	P2/1	05/08/2003	N/A	Yes
fish	NY728111H	P2/1	08/03/2004	Complete	Yes
hall	NY676869J	P2/4	04/02/2004	Open	Yes
Hall	JD989910I	P2/1	27/02/2004	Open	Yes
johnson	NZ828255A	P2/1	05/01/2004	Open	Yes
king	NJ816555B	P2/1	08/03/2004	Left Early	Yes
Parton	NZ863333J	P2/3	06/06/2004	Open	Yes

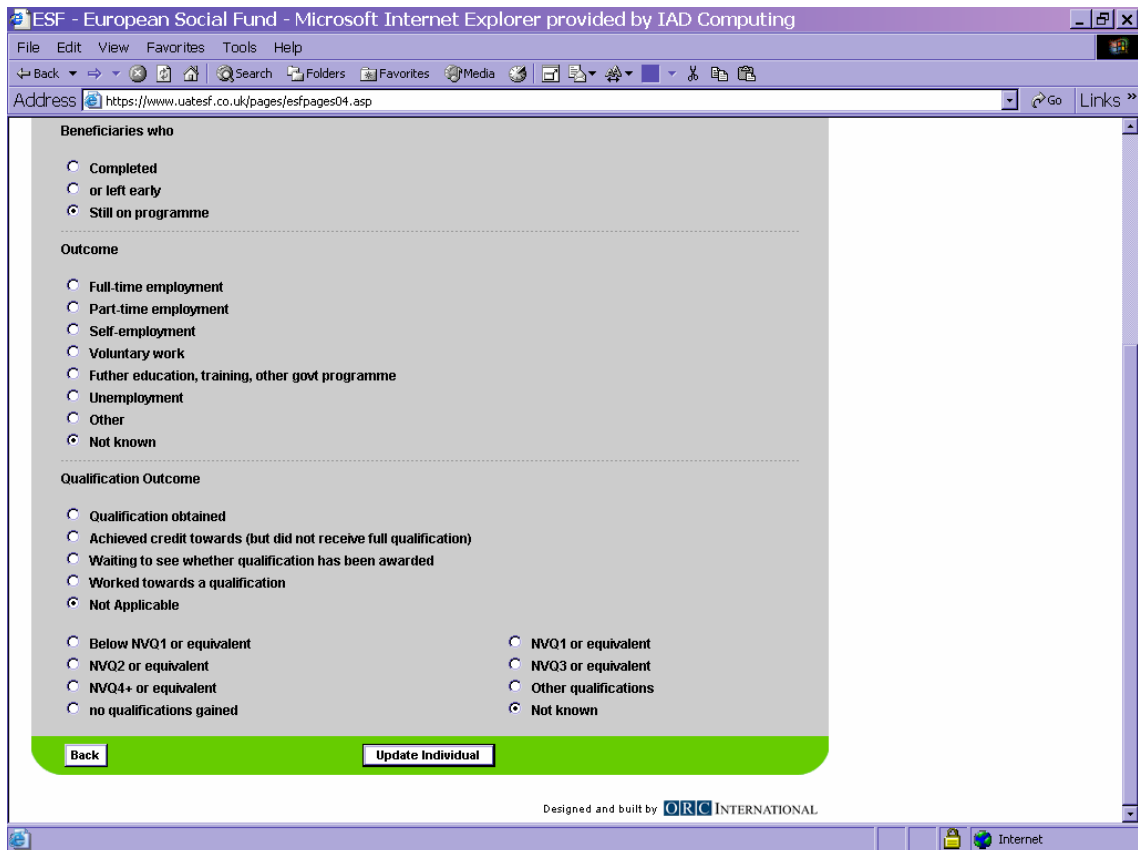
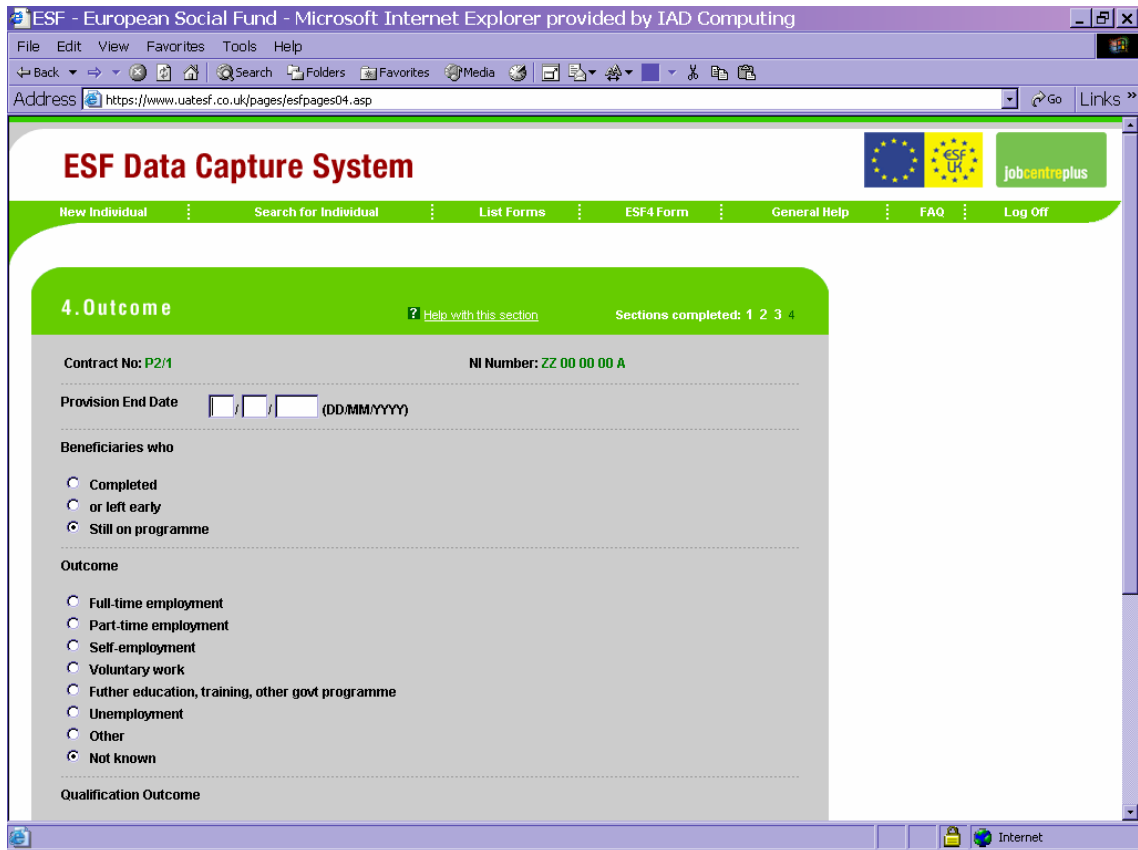
The page footer indicates: 'Designed and built by ORC INTERNATIONAL'.

58. Where a provision has been marked as 'ineligible' by the Regional Administrator, the following message will appear on the screen; "This provision has been marked as ineligible by your Regional Administrator", as illustrated on the screenshot below.



Amending/Adding Information to Existing Form

59. If information has been missed or input incorrectly, or additional information needs to be input against a beneficiary record, then [search for the individual](#). When you find the individual, section 1 will be displayed, add in the new information to the existing form in the appropriate section and when finished click on the 'Update Individual' this will then submit the form and all information will be saved.
60. Section 4: Outcome is input once the Beneficiary has left the provision and a known outcome can be recorded. To get to Section 4 you will have to click on 'Next' at the bottom right of the page to get from Section 1 to Section 4. As with the first three sections select the appropriate outcomes and then click on the 'Update Individual' the information will be saved.



Adding Further Provision For An Existing Beneficiary With The Same Provider.

61. If a Beneficiary attends more than one Provision with the same Provider, subsequent course information can be input against the Beneficiaries existing record.
62. To input the additional information, access the existing Beneficiary record using the Search for Individual or List Forms function (see Section 6 'Search for Existing Client'), and go on screen to Section 2 'Provision Details'. Select 'Add Provision' which appears in blue towards the top right hand corner of the screen, as illustrated on the screen shot below.

The screenshot shows a web browser window titled 'ESF - European Social Fund - Microsoft Internet Explorer provided by IAD Computing'. The address bar shows 'https://www.uatesf.co.uk/pages/esfpages02.asp'. The page has a green header with navigation links: 'New Individual', 'Search for Individual', 'List Forms', 'ESF4 Form', 'General Help', 'FAQ', and 'Log Off'. The main content area is titled '2. Provision Details' and includes a 'Help with this section' link and 'Sections completed: 1 2 3 4'. Below this, there are several form fields: 'Select Provision' (dropdown menu showing 'ESF2004/uat/3/1'), 'Add Provision' (blue link), 'Provision Start Date' (calendar input showing '07/07/2004 (DD/MM/YYYY)'), and 'Length Of Course' (input field showing '80 (days)'). There are also radio buttons for 'ESF Objective' (Objective 1 and Objective 3). A 'Measure' section follows, with a note '(The exact list of measures displayed will depend on the objective selected)'. The list of measures includes: 1.1 Active Labour Markets - prevent long term unemployment, 1.2 Active Labour Markets - improve changes of work, 2.1 Equal opportunity for all and promoting social inclusion - basic skills, 2.2 Equal opportunity for all and promoting social inclusion - remove barriers, 2.3 Equal opportunity for all and promoting social inclusion - fight discrimination, 3.1 Life long learning - promoting & encouraging groups, 3.2 Life long learning - changing needs of employees, 4.1 Adaptability and entrepreneurship - update & upgrade employees, 4.2 Adaptability and entrepreneurship - meet developing skills shortages, 4.3 Adaptability and entrepreneurship - business more competitive, 5.1 Improving the role of women in the labour market - learning & remove barriers, and 5.2 Improving the role of women in the labour market - gender discrimination in employment.

63. If a beneficiary has had their earlier provision marked 'ineligible' by their Regional Administrator, the message 'This Provision has been marked as ineligible by your Regional Administrator' will be displayed when accessing the existing record for that beneficiary. This will not prevent the input of further provision information against the existing record. The add provision option can be accessed by selecting 'Add Provision' which appears in blue on the 'Read Only' record for that Beneficiary, as illustrated on the screen below.

ESF Data Capture System

Navigation: New Individual | Search for Individual | List Forms | ESF4 Form | General Help | FAQ | Log Off

Read Only Details [? Help with this section](#)

This provision has been marked as ineligible by your Regional Administrator

[Add Provision](#)

Section 1: Individual's Details

Provider	UAT Training3	Region	London
NI Number	YY111111H	Title	Mr
First Name	joe	Surname	bloggs
Date Of Birth	12/12/1964	PostCode	s1 4er

Section 2: Provision Details

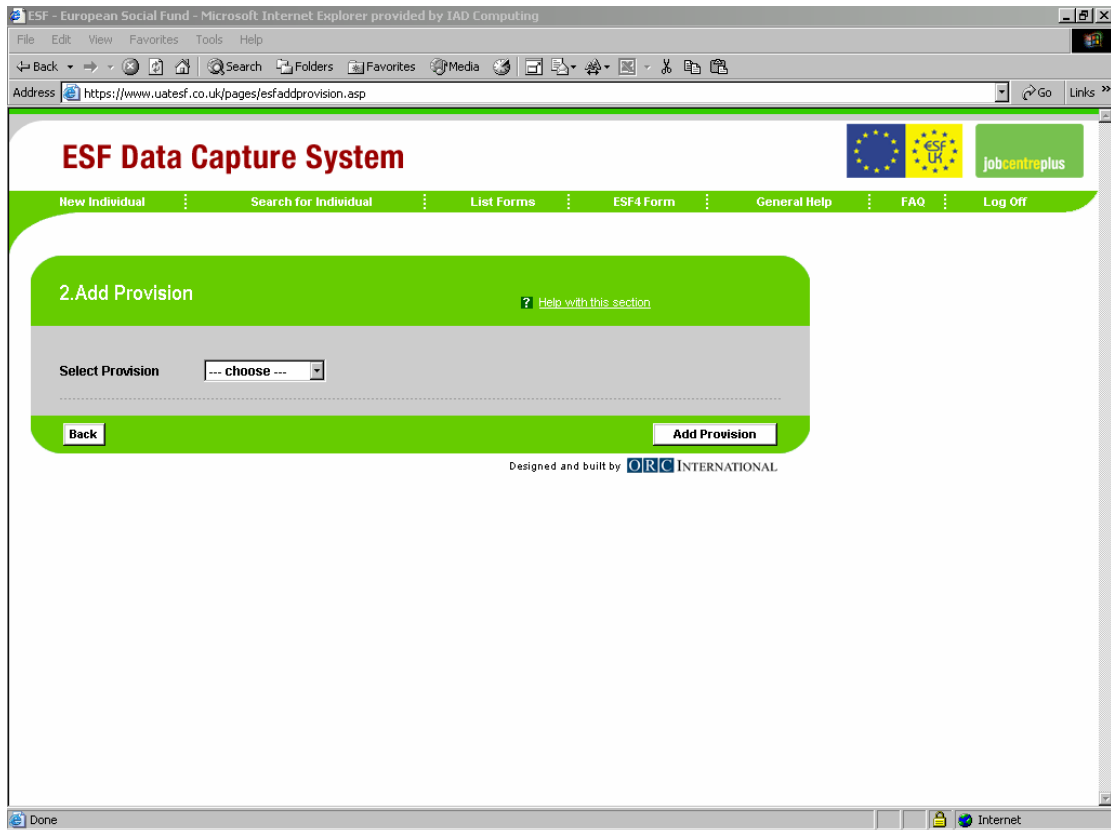
Contract Number	ESF2004uat/3/1	Length of Course	60
Start Date	12/07/2004	Measure	1.1 Active Labour Markets - prevent long term unemployment
ESF Objective	Objective 3		

Section 3: Provision Detail/Support

Support Measures (disabled people)
None selected

Support Provided
None selected

64. When 'Add Provision' is selected the following screen will be displayed. (Please be aware that a beneficiary can only be re-submitted to a Provision with the same contract number if they have a previous outcome of 'completed' or 'left early' for that Provision saved to their original web record.)



65. Choose the appropriate contract number from the drop-down list, and select 'Add Provision' at the bottom right of the screen.
66. Complete the information required in Section 2 'Provision Details' and Section 3 'Provision Detail/Support' on screen. When Sections 2 and 3 have been completed, select the 'Save New Form' button at the bottom of the page. The information will be saved, and there will now be two records displayed for the Beneficiary showing details of existing and previous Provisions. This can be viewed via the List Forms option.

ESF - European Social Fund - Microsoft Internet Explorer provided by IAD Computing

Address: <https://www.uatesf.co.uk/pages/esfpages03.asp>

Basic Skills Training
 Job Rotation (moving people from job to job)

IT Training
 Guaranteeing Jobs

People Benefiting From
(you may tick more than one entry for people falling into a number of categories)

Training in Non-Traditional areas for their sex
 Work Experience in Non-Traditional areas for their sex
 Qualifications in Non-Traditional areas for their sex
 Employment in Non-Traditional areas for their sex
 Improved Awareness of Opportunities in Occupations Dominated by Men or Women

Support measures
(you may tick more than one entry for people falling into a number of categories)

Childcare
 Training Allowance
 Subsistence (living allowances)
 Counselling, Guidance and Advice
 Other Support Measures

Care for Dependants
 Travel Support or Provision
 Equipment or Protective Clothing
 Literacy and Numeracy

Beneficiary Occupational Training
(you may tick more than one entry for people falling into a number of categories)

Managers/Admin
 Clerical/Secretarial
 Craft and Related
 Sales
 Other

Professional
 Associate Professional/Technical
 Personal, Protective (health care, childcare etc)
 Plant and Machine Operators

People threatened with redundancy, are

in small / medium enterprises (less than 250 employees)
 in large enterprises (250+ employees)

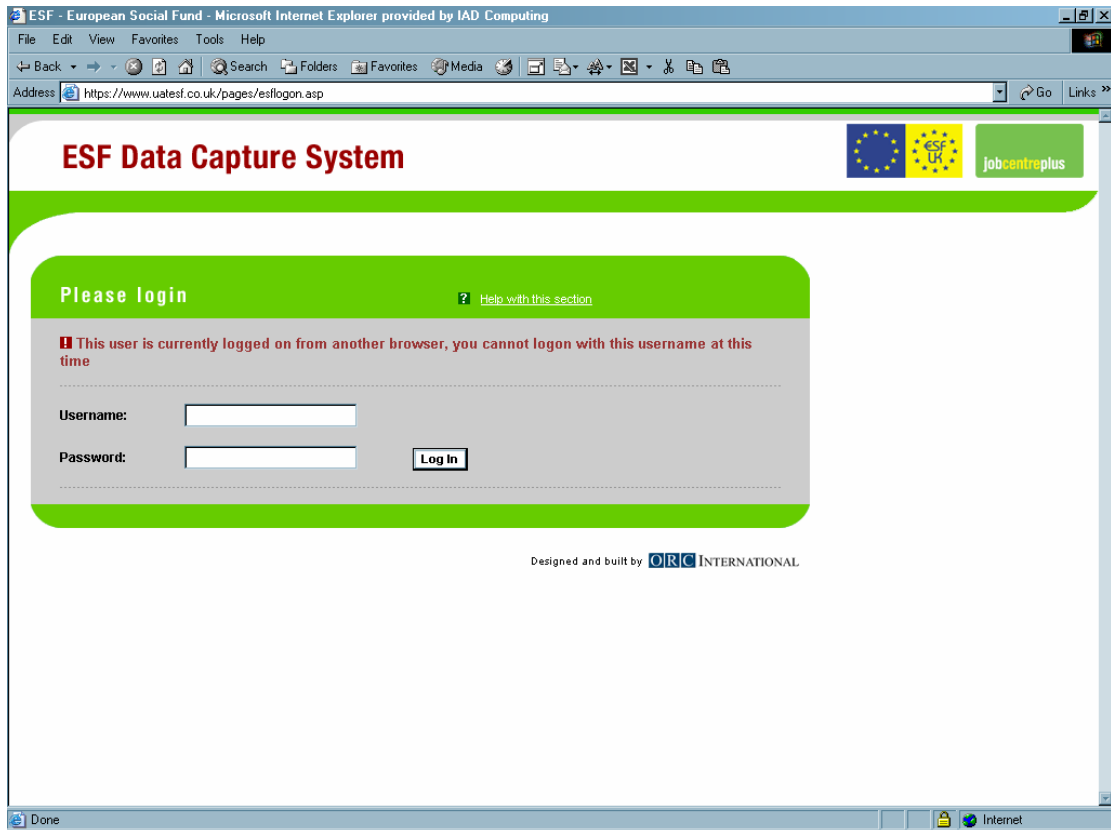
Not Applicable

Designed and built by **ORC** INTERNATIONAL

67. [For details of how to record Outcomes](#) once the Beneficiary has left the provision and a known outcome can be recorded.

System Access for Multiple Users From The Same Provider Organisation

68. The same username and password should not be used to access the system at any one time by more than one user. If an attempt to access the system is made via a username and password which is already in use, the message "This user is currently logged on from another browser, you cannot logon with this username at this time" will appear, as seen below.



69. If a Provider wishes to input information to the system with more than one user accessing the web site at any one time, additional usernames will be required. Additional usernames should be requested from the appropriate Regional Administrator.
70. Where a Provider has multiple users accessing the system, care must be taken to ensure users do not duplicate information. If both users are accessing the same Beneficiary record and an attempt is made by the first user to amend information being input by the second, an error message will appear, as illustrated below;

The screenshot shows a web browser window titled "ESF - European Social Fund - Microsoft Internet Explorer provided by IAD Computing". The address bar shows "https://www.ualest.co.uk/pages/esfpages01.asp". The page header includes the "ESF Data Capture System" logo, the European Union flag, and the "jobcentreplus" logo. A navigation menu contains links for "New Individual", "Search for Individual", "List Forms", "ESF4 Form", "General Help", "FAQ", and "Log Off".

The main content area is titled "1. Update Individual's Details" and includes a "Help with this section" link and "Sections completed: 1 2 3 4 5". A red error message is displayed:

Your changes cannot be saved because another user has amended this record since you started viewing this page.
 You will need to go back a page and re-load this page before you can make your changes and save the record.

The form fields are as follows:

- NI Number: NY 72 65 66 F
- Title: Mr Mrs Miss Ms Other
- First Name: Julie
- Surname: Greenhouse
- Date of Birth: 20 / 06 / 1979 (DD/MM/YYYY)
- Post Code: s1 4dj

At the bottom of the form are two buttons: "Update Individual" and "Next". Below the form, it says "Designed and built by ORC INTERNATIONAL".

71. When this message appears, a user must use the 'Refresh' function on the internet tool bar before they can proceed with the entry.
72. If two or more users attempt to input identical New Beneficiary information into the system at the same time, the following message will be displayed at Section 3 when attempting to save the new record, to alert the second user of the duplication error;

ESF Data Capture System

[New Individual](#) |
 [Search for Individual](#) |
 [List Forms](#) |
 [ESF4 Form](#) |
 [General Help](#) |
 [FAQ](#) |
 [Log Off](#)

3. Provision Detail/Support

[? Help with this section](#) Sections completed: 1 2 3 4 5

■ This record cannot be saved. Since you started inputting data for this customer, one of your colleagues has created and saved a record for this customer.

Contract No: **ORC/2003/1XXX.02** NI Number: **GG 76 75 74 A**

Support Measures (disabled people)
(give details of what you provided for people with disabilities so they could take part fully on the project)

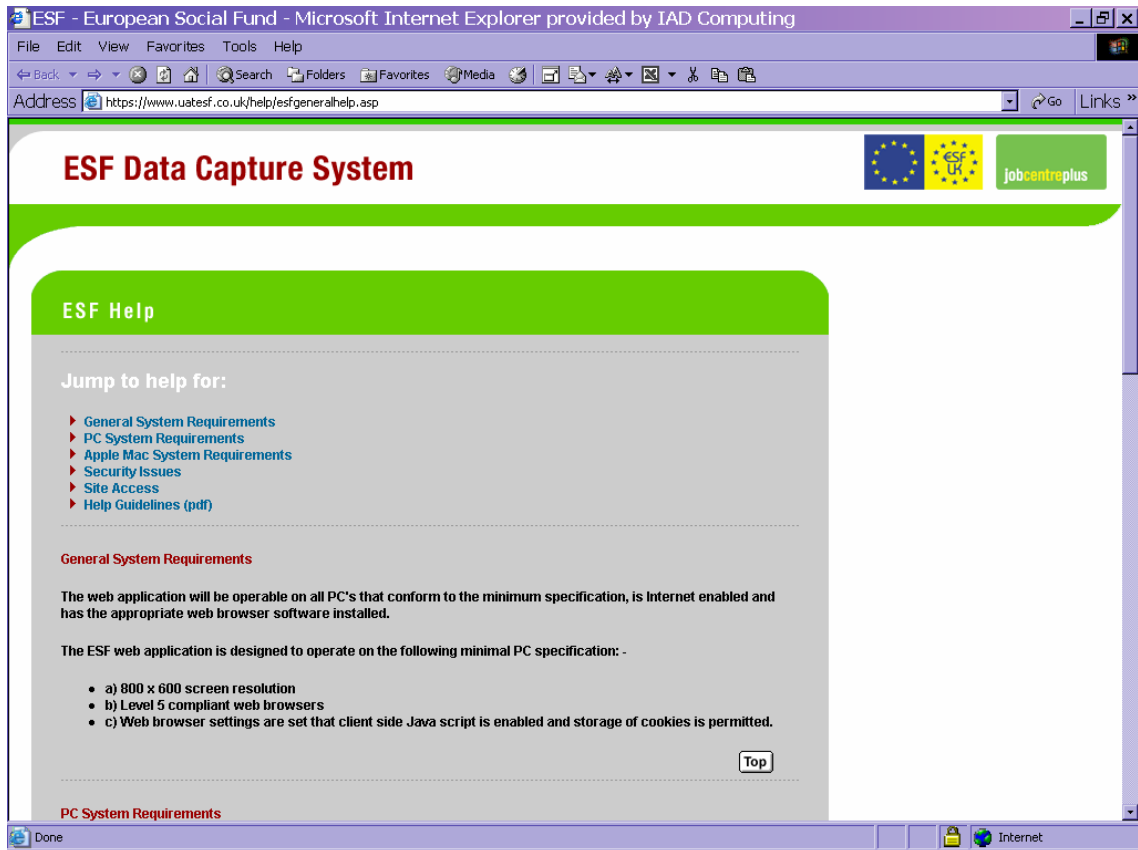
Access to Premises
 Transport to Training Sites
 Specialist Provision (staffing and facilities)
 Other

Support Provided
(you may tick more than one entry for people falling into a number of categories)

<input checked="" type="checkbox"/> Work Advice and Guidance	<input type="checkbox"/> Assessing Individual's Needs
<input type="checkbox"/> Individual Action Plan	<input type="checkbox"/> Motivation and Orientation
<input type="checkbox"/> Pre-vocational Training	<input type="checkbox"/> Key Skills Support
<input type="checkbox"/> Basic Vocational Training	<input type="checkbox"/> Intermediate Vocational Training
<input type="checkbox"/> Higher Vocational Training	<input type="checkbox"/> Job Search Assistance (help to find jobs)
<input type="checkbox"/> Help into Self Employment	<input type="checkbox"/> Work Experience
<input type="checkbox"/> Contributing Towards Wages	<input type="checkbox"/> Grants to Individuals
<input type="checkbox"/> Basic Skills Training	<input type="checkbox"/> IT Training
<input type="checkbox"/> Job Rotation (moving people from job to job)	<input type="checkbox"/> Guaranteeing Jobs

Help

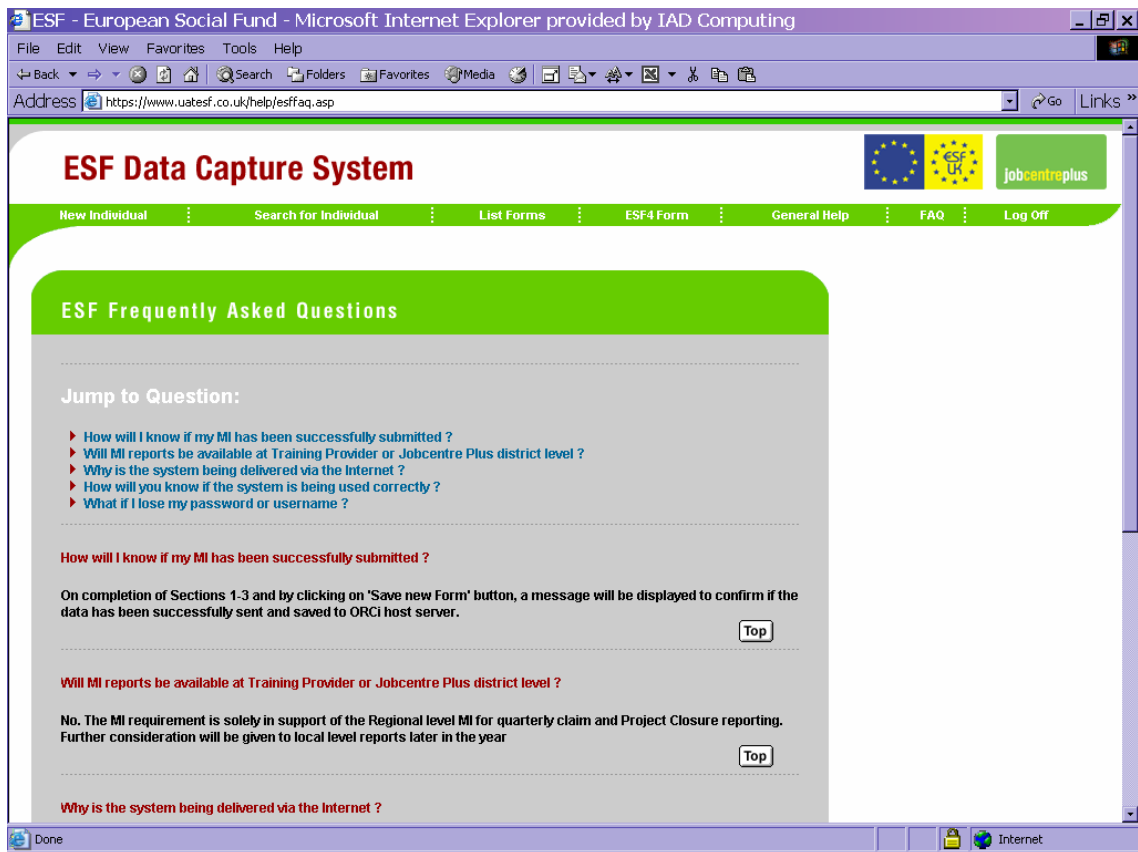
73. If you need help then click on 'General Help' in the top menu bar this will bring up the following page.



74. If the help page or FAQ page fails to provide an answer please contact your Regional Administrator (contact details in Annex A).

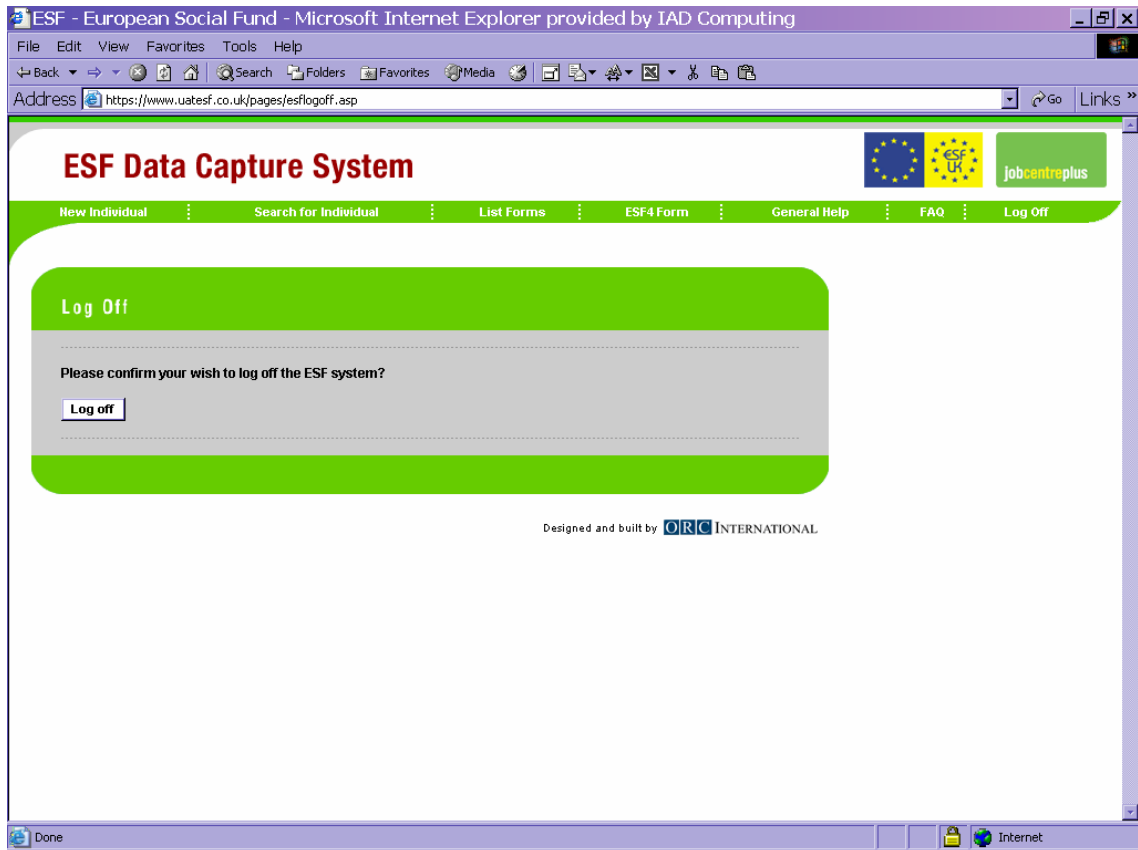
ESF Frequently Asked Questions (FAQ)

75. Clicking on FAQ on the upper tool bar will bring up a list of frequently asked questions. This will be updated on a regular basis as questions arise from ESF Providers/Regions.

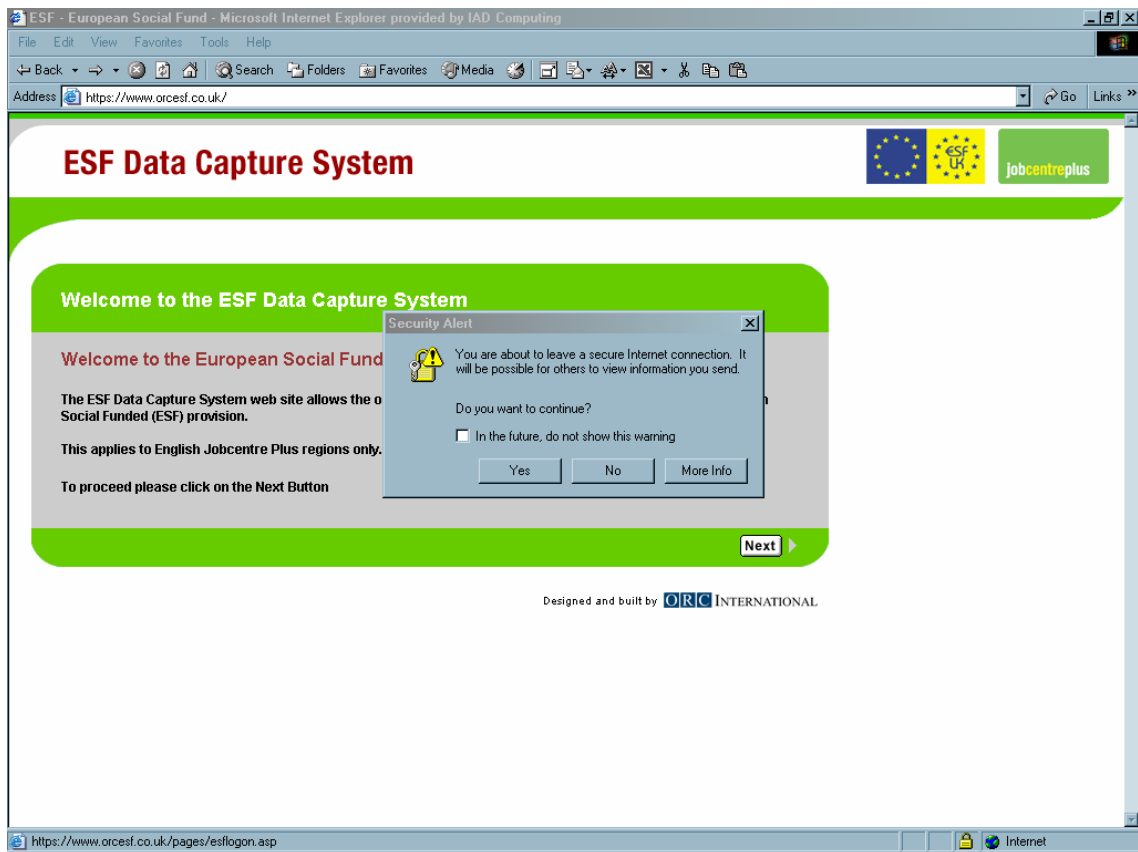


Log Off

76. To exit the system click on the 'Log Off' button. Users will be asked to confirm that they wish to log off the data capture system. On confirmation users will be taken to the "Log In" screen and may exit to their operating system from there. If users do not log off by following the correct process, the system will prevent them from logging back on for 30 minutes. This is because the system cannot recognise that they have logged off, and prevents them from logging on again until their initial log in has been timed out.



77. On leaving the ORCi site to another web page, users may receive a warning message telling them they are leaving a secure site. Clicking on yes to confirm will allow access to the new web page.



ESF4 Beneficiary Background Monitoring Form

78. Providers are required to collect customer background information and enter it on to the ESF4 form on the web-site on a quarterly basis. To access the form select 'ESF4 Form' from the upper tool bar and the following screen will be displayed. Providers must then select the relevant quarter, contract number, objective and measure information from each drop-down list before entering the appropriate number of beneficiaries against each background category. (The categories are: Ex-Offenders, Homeless People, Refugees, Drug and Alcohol and Misusers, People Returning to the Labour Market, Lone Parents, and People Living in Rural Areas).
79. Once this information has been entered, click on the 'Save Form' button at the bottom right of the screen. This process must be repeated for all contracts the Providers is running, showing the correct objective and measure against each contract, at the end of each quarterly reporting period.

ESF Data Capture System

ESF4 - Beneficiary Background Monitoring Form

Provider Name: Prov 2

Quarter: Apr - June 2003 Contract Number: P2/1

Objective: Objective 1

Measure: 1.7 New employment opportunities

Enter the total number of beneficiaries you have helped who were from the following background
(You may make more than one entry for people falling into a number of categories)

	Male	Female
Ex-Offenders	10	5
Homeless People	20	10
Refugees	16	0
Drug and Alcohol Misusers	50	0
People Returning to the Labour Market	0	0
Lone Parents	10	0
People Living in Rural Areas	25	0

Buttons: Quit, Save Form

Amending Incorrect Data Previously Saved on the 'ESF4'

80. If incorrect data has previously been entered in to the beneficiary background categories on an ESF4 form, this information must be corrected to ensure accuracy of Management Information Reporting.
81. To amend incorrect category data the user should access the existing ESF4 form which contains the incorrect information, then delete the incorrect figures and replace them with the correct figures in the relevant category field or fields. The amended ESF4 form must then be re-saved by clicking on the 'save form' button at the bottom right of the screen.
82. If a user has previously selected and saved the wrong measure, contract number, or quarter information on the ESF4 form, they will need to access this form and re-set all the categories to zero before re-saving the form. If the user does not delete this existing information the system will continue to hold the information and it will be included in any subsequent Management Information Reports.
83. Once the original form has been cleared and saved, the user must then proceed by creating a new form on which to enter the correct information, by selecting the correct measure, contract number, and quarter from the drop down lists, before inputting all the correct category data and saving the new form.

Annex A

Region	Regional Administrator	Address & Tel No.
East Midlands	Nic Aucott	2nd Floor, Newtown House, Maid Marion Way Nottingham NG1 6GG 0115 9895798
East of England	Paul Dance	CPC1 Capital Park Fulbourn Cambridge CB1 5XE 01223 884661
London	Bola Loye	236 Grays Inn Rd London WC1X 8HL 020 7211 4201
North East	Allison Ellis	Broadacre House Market East Newcastle NE1 6HH 0191 211 4351
South West	Christine Vine	The Pithay Bristol BS1 2NQ 0117 945 6926
West Midlands	George Verdegem	2 Duchess Place Hagley Road Birmingham B16 8NS 0121 452 5397
Y&H	Shirley Tobin	Whitehall II Whitehall Quay Leeds LS1 4HR 0113 307 8058

South East	Avril Rogers	Ranger House Walnut Tree Close Guildford Surrey GU1 4UL 01483 446034
North West	Kay Morris	3rd Floor, Ontario House Furniss Quay Salford Manchester M50 3XZ 0161 873 1335

Appendix 10 – ESF-Funded New Deal for Young People & New Deal 25 plus in England

Introduction

1. This appendix describes the additional action required for those providers who will be delivering ESF funded New Deal for Young People and New Deal 25 plus provision in parts of England during the 2006-7 and 2007-8 Jobcentre Plus operational years. Please note that the ESF funding applies only for new contracts (it will not apply to provision where the contract is being extended) tendered during the Autumn 2005 tendering exercise. ESF funding will also not be used in the English ESF Objective 1 areas: Merseyside, Cornwall and South Yorkshire. The Invitation To Tenders will have identified which contracts that these procedures apply to. This guidance is designed to help providers meet the ESF requirements within your contract.

2. Providers delivering provision that is part-ESF funded will be required to comply with additional activities in the following areas:

- ESF Publicity
- Referral Process
- Retention of Documents
- Audit Arrangements
- Management Information
- Evaluation

ESF Publicity

3. The ESF publicity requirements are as follows:

- Providers have a requirement to publicise ESF at induction programmes by displaying the ESF logo on customer action plans and customer application forms and by adding the following sentence onto Training / Action Plans: 'Supported by the European Social Fund'.
- Providers should also use the ESF logo on all their locally produced stationery and general literature. The ESF logo can be obtained from your Jobcentre Plus Regional ESF Team or by visiting the Government Office (GO) Website for your region. All providers who are successful in winning ESF contracts with Jobcentre Plus will have their details displayed on the Jobcentre Plus website as per EU requirements. These will give basic details of the contract, who the provider is and will list a contact name and number for further enquiries.
- Providers must have an ESF plaque displayed on at least one project site used to deliver ESF funded provision. These can be supplied free, ask your regional office for contact details to obtain them.
- Any publicity providers undertake, or publicity material that providers produce, must have prior approval by your Third Party Provision Manager.

4. Each customer who starts this provision should be issued with a leaflet explaining about the EU and ESF. Jobcentre Plus will provide these 'flyers'. Leaflet ESF12JP is available through Jobcentre Plus for this purpose and a copy can be found at Appendix 3. These leaflets can be ordered through Meads.

Referral Process

5. Jobcentre Plus will undertake all the recruitment and confirm the eligibility of participants in line with actual New Deal Guidance. See Chapter 7 of the Provider Guidance.

Retention of Documents

6. There are specific EU rules that apply to ESF provision in relation to the length of time key documents must be retained by both Jobcentre Plus and providers. This means that for these contracts programme documentation must be retained until at least 31 December 2014. However, providers should be made aware that the date documents are required to be retained could be extended beyond this date as it will be dependent on the date the European Commission makes the final payment on the programme.

7. Providers are required to keep evidence of the costs they are claiming from Jobcentre Plus associated with this ESF funded provision. The contract will specify what documentation needs to be kept. Among the documents that you should retain are the following (this list is not exhaustive):

- SL2JP (with customer signature)
- Attendance register/timesheet
- Evidence of expenditure for travel and subsistence costs
- Evidence of expenditure for childcare costs
- Evidence of expenditure for additional support
- Publicity evidence
- Supporting evidence of job outcomes
- Supporting evidence of qualification outcomes
- Evidence of wage subsidy payments to employers and notification of state aid requirements where necessary
- Individual Training Plan

8. Providers must retain documents as stated in the terms and conditions of the contract. The Provider also is responsible for ensuring that any subcontractor appointed by it maintains records for the specified period.

Audit Arrangements

9. Under European Union (EU) Regulations ESF funded provision may be subject to audits by the following:

- Internal Jobcentre Plus auditors, as part of internal assurance work.
- DWP ESF Auditors.
- European Commission (EC) auditors.

- The European Court of Auditors (ECA).

10. Evidence held by the provider must be available for inspection by auditors as it underpins the claim made by Jobcentre Plus. See the Retention of documents section of this guidance.

11. Audit visits for providers will usually be made by DWP auditors. The purpose of these visits will be to provide DWP European Social Fund Division and Jobcentre Plus with the assurance that provision is being delivered in line with the contract, including checking compliance against all the ESF and non ESF business processes. The intention is that the risk of non-compliance (and recovery action) is minimised.

12. The EU and ECA auditors have made it clear in their guidance that they have the right to carry out audits at the Provider level, but they will only be undertaken in very exceptional cases.

Management Information

13. Jobcentre Plus is required to provide additional information that is specific to the requirements of the ESF programme. The data is used:

- to provide mandatory MI we are required to include with our financial claims for ESF funding; and
- by Jobcentre Plus to report ESF performance to Government Offices, by DWP analysts to help evaluate ESF provision and by DWP ESF Division to report performance to the European Commission.

14. Government Offices will not pay ESF to Jobcentre Plus without this mandatory MI. No MI, or incorrectly produced MI, will lead directly to a loss of funding and the closure of provision.

15. Given the primary importance of this data we have made the ESF MI process a contractual requirement – it is the Prime Contractor who is responsible for delivering this requirement as described in this appendix and in appendix 9 of this chapter of the Provider Guide.

16. The following action is required to deliver the ESF MI process:

- the completion at all provider sites (including sub-contractors) of form ESF2JP to collate customer details in a format that reflects the ESF Database capture screen;
- the completion of form ESF4JP used to gather aggregated information on specific customer groups – these details will also require input to the ESF Database;
- gaining access to the secure website and the completion of the ESF Database for each customer; and
- responding promptly and efficiently to queries by Jobcentre Plus contract managers about the accuracy of the data input.

ESF2JP

17. The ESF2JP is a two page self copying form. It should be completed when the customer starts on provision and input to the ESF database by the Prime Contractor. Sub contractors must send the completed ESF2JP to their Prime

Contractor for them to input. Sub contractors cannot have access to the ESF database. Copies of the ESF2JP can be ordered from MEADS.

ESF4JP

18. Jobcentre Plus is required to collect sensitive information about its customers for ESF purposes. In order to do this form ESF4JP must be completed and the information fed into the ESF database by the Prime contractor. This information is aggregated and is not used on an individual basis.

19. Prime contractors are required to collate this information and input the details onto the appropriate section of the ESF Database by the end of each quarter. Sub contractors must send a copy of the ESF4 to the Prime Contractor for input. The quarter ending dates are the last day of June, September, December and March. You must retain the ESF4JP for audit purposes. This customer background information will be collected on a quarterly basis, nil returns are required. The National ESF Team will arrange for the database records to be set up when a new Prime Contractor requires access.

ESF Database Completion

20. Guidance on how to complete the ESF Database and to use the system can be found at Appendix 9 in this chapter of guidance. Only prime contractors are allowed (under the Data Protection Act) to access the ESF website.

Checking the Accuracy of Data Input – Exception Reports

21. The ESF MI Website links with the Labour Market system (LMS) – the system that holds all customer records for Jobcentre Plus customers. The Exception Report contains details of customers on the ESF Database who cannot be matched with records on LMS.

22. The most likely cause of a mis-match is input error, for example misspelling the customer's name, mixing up the order of the NINo, incorrect date of birth etc.

23. The OPU receives the report and will contact providers to explain that Jobcentre Plus can find no trace of the customer on LMS. Providers must then check their records to work out where the error has occurred. Once found the details on the ESF Database must be amended. The OPU will check that the information has been corrected to prevent the record appearing on future Exception Reports.

24. Occasionally, providers may have evidence that the information they input is correct. The OPU will request this evidence and will investigate with the customer via the District Third Party Provision Manager. Any amendments will be made to LMS.

25. If this corrective action is not taken, Jobcentre Plus may not have sufficient data to claim ESF funds for these customers.