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# **Funding Rules**

## **2014 to 2020 ESF Programme**

### **ESF Specifications Deliverables Evidence**

### **Requirements**

#### **Version 1**

This document sets out evidence requirements (along with an indicative list of supportive information) for contract deliverables for the 2014 to 2020 European Social Fund Programme.

These rules apply to contracts commencing from 1 April 2019

## **April 2019**

Of interest to providers



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## Evidence Requirements

Deliverable Name	Evidence Requirements
ST01 Participant Assessment and Plan	<p>Completion of ALL of the following documentation:</p> <ul style="list-style-type: none"> <li>• ILR or equivalent signed by participant; and</li> <li>• A copy of a signed Individual Learning Plan (ILP)/Learning Agreement and Initial Assessment; and</li> <li>• Signed provider declaration/form to confirm and detail what supporting evidence they have seen to confirm eligibility/age/employment status to meet ESF requirements and the specific contract requirements. See examples of evidence in the table in the Expected Evidence section; and</li> <li>• Evidence of RQ01 and/or NR01 Start Payment (with the EXCEPTION of IP1.4 Community Grants)</li> </ul> <p><b>For IP2.1 – Skills Support for Workforce/Redundancy only:</b></p> <p>All of the points detailed above, plus the following:</p> <ul style="list-style-type: none"> <li>• Completed company Training Needs Analysis, agreed by the employer; and</li> <li>• Completed General Company Data Capture Form, as prescribed by the ESFA, signed by the employer</li> </ul>
RQ01	<p><b>START PAYMENT</b> – Registration / Application to awarding body</p> <p><b>ACHIEVEMENT PAYMENT</b> – Any of the following evidence:</p> <ul style="list-style-type: none"> <li>• Internal Verification Report – direct claim status ONLY showing participant; or</li> </ul>



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	<ul style="list-style-type: none"> <li>• External Verification Report showing participant; or</li> <li>• Certificate from the Awarding Body; or</li> <li>• Application for the certificate to the Awarding Body; or</li> <li>• Awarding Body results list</li> </ul>
NR01	<p><b>START PAYMENT</b> – evidence that the participant has started on the agreed programme of activity, which will last a minimum of 7 hours.</p> <p><b>COMPLETION PAYMENT</b> – evidence that the agreed programme of activity documented in the ILP has been completed.</p> <p>In circumstances where a participant fully completes their learning or gets a positive outcome the provider should withdraw the original aim and use an appropriate aim for the learning completed at point of progression/completion.</p> <p>Where a participant withdraws or does not fully complete all ILP activity and there is no positive progression, you must NOT amend the aim.</p>
CG01 – Community Grant Payment	<p>Documentary evidence to show what the approved grant funding is purchasing</p> <p><b>AND ALL</b> of the following:</p> <ul style="list-style-type: none"> <li>• Evidence of publication of grants and for applications; and</li> <li>• List of applications for grants received identifying the organisation; and</li> <li>• Copies of applications; initial appraisal and recommendation to panel and they have been assessed according to a fair and transparent process; and</li> </ul>



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	<ul style="list-style-type: none"> <li>List of grant recipients including value of grant awarded, minutes of the original award panel decisions and notices to organisations; and</li> <li>(Where appropriate) subsequent changes between award and payment supported by meeting minutes/documented decisions; and</li> <li>Evidence of defrayed expenditure, supported by bank statements (that the Grant Co-ordinating Body has made payment to the grant recipient before submitting claim to the ESFA); including defrayed staged payments where required.</li> </ul>
CG02 – Community Grant Management Cost	Evidence of grants defrayed (CG01 evidence) and the management fee defined as per percentage detailed in the contract.
PG01 Progression Paid Employment (EMP)	<p>Documentary evidence of start in paid employment showing participant details, job title, employer name and address, start date and hours contracted.</p> <p>For self-employed participants evidence of registration with HMRC for self-employment and documentary evidence to support start on self-employment (see examples in evidence table in the Expected Evidence section).</p> <p>This deliverable must be achieved within 28 days of the participant’s completion of the ESF funded activity.</p>
PG03 Progression Education (EDU)	<p><b>NOTE:</b> At risk of NEET participants will only need to meet * evidence requirements when returning to EET.</p> <p>Documentary evidence of the participant starting on a programme of education and training at a higher level than completed on the ESF programme OR for a minimum of 20 GLH at the same level showing</p>



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	<p>provider/college name, qualification title or course, participant details, start date and planned GLH.</p> <p><b>OR</b></p> <p>*Risk of NEET - confirmation that they are now EET and are continuing in learning (confirmed by the learning institution). This does not have to be at a higher level than completed on the ESF programme.</p> <p><b>FOR PARTICIPANTS COMPLETING CREDITS AT LEVEL 3 OR ABOVE</b></p> <p>Where a participant has completed between 10 and 14 credits from a Level 3 or above qualification (or between 100 and 140 GLH), the provider can claim a PG03 progression where the participant continues to study towards the full Level 3 or above qualification. Documentary evidence showing provider/college name, qualification title or course, participant details and start date.</p> <p>This deliverable must be achieved within 28 days of the participant's completion of the ESF funded activity.</p>
<p>PG04 Progression Apprenticeship (EDU)</p>	<p>Documentary evidence of the participant start on an apprenticeship showing provider/college name, apprenticeship title, employer name, participant details and start date.</p> <p>This deliverable must be achieved within 28 days of the participant's completion of the ESF funded activity.</p>
<p>PG05 Progression Traineeship (EDU)</p>	<p>Documentary evidence of the participant start on a traineeship showing provider/college name, traineeship title, participant details and start date.</p> <p>This deliverable must be achieved within 28 days of the participant's completion of the ESF funded activity.</p>



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<p>SD01 Progression in Work</p>	<p>Documentary evidence from the employer, confirming one of the following in-work progressions:</p> <ul style="list-style-type: none"><li>• Payslip/letter from the employer detailing an increase of at least 1% in pay/salary</li><li>• Previous and revised contract of employment showing increase in hours (e.g. part-time to full-time)</li><li>• Previous and revised contract of employment moving from zero to contracted hours</li><li>• Previous and revised job description showing additional responsibilities.</li></ul> <p>Evidence must include participant name, date of birth or National Insurance Number, job title and employer name.</p> <p>This deliverable must be achieved within 28 days of the participant's completion of the ESF funded activity.</p>
<p>SD02 Delivery Plan</p>	<p>Delivery Plan developed within 6 months of contract start date that will include as a minimum the following:</p> <p>Section 1: An Overview Section 2: Stakeholders Section 3: Key Indicators Section 4: Summary Section 5: Next Steps</p> <p>The plan must be approved by the LEP and the ESFA.</p>



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### Expected Evidence examples

To evidence	Indicative list of supportive documentation
Participant eligibility	<p>The participant is legally able to reside in the UK (and work in the UK) during the period of ESF support; and</p> <p>The project's eligibility criteria are met (the entry conditions that individuals or entities must meet to qualify for support); and</p> <p>The participant is part of the target participant group (specified employment status, educational attainment, age etc.)</p> <p>Provider must provide a written statement confirming what evidence has been seen that must be signed, dated and at least contain:</p> <ul style="list-style-type: none"><li>• name of participant</li><li>• name of ESF project (this is preferable but not a strict requirement) the eligibility criteria being confirmed</li></ul> <p>A participant's eligibility can be confirmed by an introduction / referral or correspondence from DWP / Jobcentre Plus or National Careers Services, Local Authority or a third party organisation that would reasonably be able to confirm the personal circumstances of the individual being supported..</p>



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Examples of evidence:

- Recent payslip = issued in last 3 months.
- Documents produced annually (tax related, tax credits) = latest issued (should therefore be no older than 12 months).
- Award letters (grants, benefits, student loans) – original letter acceptable unless recurring award letters are issued (e.g. annual tax credits notification).
- Other correspondence (non-recurring in nature) = no longer than 12 months old.
- Introductions / referrals from relevant third party = within last 3 months

Evidence of legal residence can be;

- Full passport (EU Member)
- Full passport (not EU Member State) with the following:
  - Passport either endorsed 'indefinite leave to remain – proceed (settled status) or includes work or residency permits or visa stamps (unexpired) and all related conditions met
  - Some non-EEA nationals have an Identity Card issued by the Home Office in place of a visa, confirming the participant's right to stay, work or study in the UK – these cards are acceptable





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	<ul style="list-style-type: none"><li>▪ Letter from the UK Immigration and Nationality Directorate granting indefinite leave to remain (settled status)</li><li>▪ Birth / adoption certificate (EU Member State)</li><li>▪ Residency permits for foreign nationals (usually in a passport)</li></ul>
Employed	<ul style="list-style-type: none"><li>• Contract of Employment</li><li>• Confirmation from the employer that the individual is currently employed by them which must detail participant name, number of hours worked, date started employment, date of birth or National Insurance number</li><li>• Most recent payslip</li><li>• If applicable, copy of redundancy consultation or notice (general notice to group of staff or participant notifications).</li></ul>
People not in work (Unemployed including long term unemployed and economically inactive)	<ul style="list-style-type: none"><li>• DWP/Jobcentre Plus benefits decision notification letter – new claims award/decision or change of circumstances decision letter.</li><li>• Written confirmation/referral of the participants employment status from DWP/Jobcentre Plus or a referral from Careers Service or similar.</li><li>• Where a participant is not engaged with DWP/Jobcentre Plus: written confirmation from a relevant third party that has been assisting the participant and so has an understanding of their current circumstances</li></ul>



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	<p>(for example, Non-Governmental Organisation (NGO), voluntary organisation, charity, third sector/not for profit organisation, social services or other professional providing support and guidance etc.) – but must be independent of the provider’s ESF project management and delivery team. As an alternative to written confirmation, sight of original case notes and support records are acceptable. Photocopies must be suitably redacted to remove sensitive personal data or if photocopies are inappropriate or not permitted, a written agreement that external auditors can access the original on request.</p>
Age at start of the intervention	<ul style="list-style-type: none"><li>• Birth certificate</li><li>• Full driving licence</li><li>• Full passport</li><li>• National Identity Card (EU)</li><li>• Firearms certificate / Shotgun licence</li><li>• Northern Ireland voters card</li><li>• Employment contract / payslip (if date of birth is quoted)</li><li>• Pension statement (if date of birth is quoted)</li><li>• Evidence to show receipt of age-related state benefits</li><li>• Letter/confirmation from educational institution</li></ul>
At risk of becoming NEET	<p>Referral correspondence from school and, preferably, an additional confirmation letter from the local authority confirming that the participant is at risk of becoming NEET.</p>



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Into employment	<p>Any of the following:</p> <ul style="list-style-type: none"><li>• Documented confirmation of employment from employer for the named individual (this must include start date, job title and employment details).</li><li>• Wage slip showing employment on the date for which it is claimed as a progression</li><li>• Contract of employment</li></ul>
Into self-employment	<p>Any of the following evidence that confirms self-employment on the date for which it is claimed as a progression:</p> <ul style="list-style-type: none"><li>• HMRC letter evidencing registration, letter from a professional third party (solicitor, bank official, accountant).</li><li>• Bank statement for business account.</li><li>• Registration with Companies House.</li><li>• A submitted HMRC `SA302` self-assessment tax declaration, with acknowledgement of receipt. SA302s can be requested from HMRC.</li><li>• Where the first SA302 has not yet been submitted, other documentation to show that the trade/business activity is registered with HMRC for tax and national insurance purposes.</li><li>• Records to show actual payment of Class 2 National Insurance Contributions</li><li>• Business records in the name of the business - evidence that a business has been established and is active/operating e.g. lease on premises; purchase/lease of equipment; business invoices.</li><li>• If registered as a limited company; Companies House records/listed as</li></ul>



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	Company Director showing the company is active.
Into education/training	<ul style="list-style-type: none"><li>• Documented evidence of enrolment/registration at school, college, university or learning provider.</li><li>• Documented confirmation from educational/training institution.</li></ul>