



EUROPE & SCOTLAND
European Social Fund
Investing in a Smart, Sustainable and Inclusive Future



EUROPE & SCOTLAND
European Regional Development Fund
Investing in a Smart, Sustainable and Inclusive Future

EUROPEAN STRUCTURAL AND INVESTMENT FUNDS 2014-2020 PROGRAMMES

European Social Fund PARTICIPANT GUIDANCE

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16 March 2015	1	Final	Mark Ashton
2 April 2015	2	Final	Mark Ashton – New Logos added. Amendment of barriers to employment list.
16 April 2015	3	Final	Spelling mistake amended.
12 January 2016	4	Final	David Dean Added hyperlinks to documents on pages 23 and 24.
27 January 2017	5	Final	Lorna Gregson-MacLeod / Eilidh Steele / Lynda Smith - amalgamation of Participant Guidance and Participant Records Guidance documents and updates on referral forms, registers and evidence.
23 March 2017	6	Final	Eilidh Steele – additional examples of evidence documents, LTU update.
12 April 2017	7	Final	Lorna Gregson-MacLeod / Eilidh Steele / Lynda Smith – updates to Eligibility and Definitions sections.
28 February 2018	8	Final	Eilidh Steele – definitions section added to and reorganised alphabetically; amendment of definition of 'low-skilled'; addition of 'materially deprived', 'individuals at risk of becoming NEET' and 'Low Income (social inclusion & poverty) barriers; addition of section relating to SI&P target groups; marking common indicators; additions to Introduction section (definitions of 'supported/unsupported' participants, 'certified' and importance of Project Worker Assessments); addition of Annex A

25 April 2018	9	Final	Eilidh Steele – update to Definitions section (Economically Inactive , Low Income Employed and Primary Carer) providing further clarification on evidence requirements.
16 April 2019	10	Final	Eilidh Steele - addition of Annex B, additions to Introduction section (Introduction, Project Worker Assessment, Common Indicators); Participant Files section (Registration – Employment Status, Qualifications); Monitoring & Evaluation section (correction of typing mistake); Eligibility – Evidence section (Introduction) and Scottish Qualifications and UNESCO ISCED Levels section (addition of SVQ / MA levels).
23 September 2019	11	Final	Eilidh Steele Added sections on participant consent and Omnibus regulation. Points expanded upon for clarity throughout. Annex B added.
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			Both updates apply retrospectively
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28 June 2021	19	Draft	P13 Evidence of settled status for EU Nationals after 30 June 2021. Update to Driving Licence evidence P77 – Annex C – Evidence of settled status for EU, EEA and Swiss Nationals post 30 June 2021.
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27 April 2022	23	Draft	Page 80 - Annex D added. Evidence requirements to support Ukrainian Refugees
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Introduction

Before agreeing to support a participant, Lead Partners should ensure the individual's circumstances are assessed to identify whether they qualify for ESF support.

Suitable documentation must be obtained to evidence that:

- the participant is legally able to reside and (if relevant to the operation) work in the UK (See 'Evidence' section for details of accepted documentation)
- the project eligibility criteria is met in relation to the specific objectives of the relevant ESF Priority e.g.
 - ♦ Employability Pipeline – the participant has multiple barriers to employment, (Please note that if a participant is long-term unemployed, they are deemed to have multiple barriers – see the 'Definitions: Employment Status / Barriers / Social Inclusion & Poverty Target Groups' section for further detail)
 - ♦ Social Inclusion & Poverty – the participant is within one of the key target groups (low income, workless and lone-parent households – see 'Definitions': Employment Status / Barriers / Social Inclusion & Poverty Target Groups' section for further detail)
 - ♦ Youth Employment Initiative – the participant is within the qualifying age range (16 – 29 years) and is NEET on entry.
 - ♦ Developing Scotland's Workforce – the participant must provide evidence of their Qualification Levels on Entry (See 'Evidence' section for details of accepted forms of documentation)

This evidence must be obtained as part of the **Participant Registration** process – see 'Eligibility – Evidence' and 'Definitions: Employment Status / Barriers' section for details of accepted forms of documentation. It should be noted that Participants must not be recorded on EUMIS until documentation can be provided to evidence their eligibility.

Please note that it is not possible for this guidance to take all eventualities into account – the guidance is not exhaustive and it remains the responsibility of the Lead Partner to ensure that evidence is adequate and appropriately verified.

Eligibility evidence should (where possible) be obtained during the registration process.

Use of Statutory Public Registers

Information extracted from and certified via statutory public registers or information held by a public organisations or UK or SG Government departments (e.g. DWP, SEEMIS, SQA) is acceptable for evidence requirements as long as the definitions used comply with those set out in the EC ESF Monitoring and Evaluation Guidance.

Please note that the SQA Navigator report may be used to support any other evidence that is provided but cannot be used as the primary source, with exception of qualification evidence.

This does not have to be via a Referral Form and can be used to evidence the information contained in the Registration Form provided:

- the information is certified (by the issuing institution) **or** sent via their dedicated mailbox;

- the certifying institutions are public (national or local) authorities with access to the national registers containing relevant data on Participants.

For the purposes of ESF, 'certified' is defined as:

- On headed notepaper (e.g. letter): the document must be signed and dated by a representative of the issuing institution.
- Not on headed notepaper (e.g. referral form): the document must be stamped (by the issuing institution) and dated.

Please note that it is important that the document is dated in some way – as this is the only way that the Managing Authority can verify that the information being provided is accurate at the date of registration.

Participant Consent

Lead Partner must ensure each Participant has a signed Registration Form.

Where an individual is under 16, signed consent must be obtained from their parents or legal guardian – this must be accompanied by a copy of a valid passport or photographic ID card (that contains a signature).

Publicity

It is important that the correct ESF logo is used on participant documentation and it is made clear to participants that they are being supported by ESF. Please refer closely to the appropriate publicity guidance (<https://beta.gov.scot/publications/esif-publicity-requirements-2014-2020/>)

'Grand Total' of Participants

The Commission's *Monitoring & Evaluation Guidance* makes it clear that it is acceptable for each Strategic Intervention to have a 'grand total' of participants, including those participants whose basic data relating to the common output indicators either could not be collected or is incomplete (Annex D, p15).

"A distinction is to be made between monitoring of participants on the one hand and eligibility of participants for financial support on the other. Whereas the former...requires a complete set of data on all personal, non-sensitive variables, it may not be a requirement for the latter. Hence, an incomplete set of data might not affect the participant's eligibility to the support in general. However, managing authorities must be able to provide sufficient evidence that a person fulfils the eligibility criteria established for the respective operation/project...."

European Commission Monitoring and Evaluation Guidance, p10

Supported

Where a Participant is eligible for support, but the Lead Partner is unable to produce documentation to evidence their eligibility (e.g. sometime it is difficult to verify the date of birth of some individuals within the Roma community), the participant can be entered onto EUMIS after Registration to reflect the work being undertaken with them, but should not be marked as 'Supported' on EUMIS.;

Unsupported

Where a Participant is not eligible for support (e.g.. because they do not meet the eligibility criteria for that particular intervention) they should not be entered on EUMIS. Where a Participant is found to be ineligible (as a result of verification checks undertaken by either the Lead Partner or the Managing Authority), the 'Supported' function should be 'unticked' on EUMIS. In addition, the 'Notes' field in the 'ESF Recipient' tab of their Participant Record on EUMIS should be updated with 'Ineligible', to distinguish this individual from an eligible Participant whose eligibility could not be fully evidenced.

Registration – Project Worker Assessments

Project Worker assessments are extremely important and should address the Participant's needs in relation to the intervention being proposed - assessments should therefore clearly outline the link between the needs or barriers of the Participant and the positive outcome that it is anticipated ESF assistance will generate.

These assessments may include a record of the individual's eligibility / circumstances / lifestyle and should ideally be signed by the Project Worker and Participant – a Project Worker Assessment combined with a self-certified Registration Form (where self-certification forms part of the evidence requirements detailed in the 'Definitions' section) is always preferable to self-certification on its own.

Data Sets

Where a particular data set has been referred to in the guidance (e.g. SIMD index), it is acceptable to use information from a more up-to-date version of the same data set e.g. where the data set has been refreshed. Please note that this guidance document will not necessarily be updated to reflect changes to data sets.

Common Indicators

Annexes B and C of the European Commission's *Monitoring and Evaluation Guidance* clearly lists the common indicators that must be reported for every participant supported in an ESF intervention.

Some of the common indicators are listed as "barriers" in our registration guidance and on EUMIS. – these have been clearly labelled in the 'Definitions' section of this guidance (any status or barrier with ** relate to the Common Indicators, with those with *** being treated as "other disadvantaged").

It is imperative that Lead Partners collect all data relating to the common indicators when registering participants for ESF support, so that this information can be uploaded to EUMIS – this applies even where the data does not necessarily relate directly to the specific type of ESF intervention.

Lead Partners should therefore note that, although the collection of common indicators data should form part of the registration process, it is not necessary to physically evidence all this data (e.g. via documentary evidence) unless it forms part of the eligibility criteria for that intervention.

Following the publication of the EC 'Omnibus' Regulations in August 2018, indicators relating to 'household situations' (e.g. 'Living in a jobless household', 'Living in a jobless household with dependent children', 'Living in a single adult household with dependent children' etc) are no longer necessary in order to count a participant record as being 'complete' for reporting purposes. However, the Managing Authority would still like Lead Partners to continue gathering this data as it provides important information for both programme evaluation and Scottish Government statistics. Please note that an individual's 'household situation' still needs to be collected and evidenced where it forms part of the eligibility criteria for an intervention (e.g. Social Inclusion & Poverty interventions).

Participant Files

The following documentation should be retained (where appropriate) on each Participant File:

Referral Form

A referral form can be used to evidence both mandatory information and other eligibility criteria (e.g. barriers to employment) where such information has come from a statutory public register (e.g. DWP, SEEMIS) and has been verified (e.g. employment status). Therefore Referral Forms can be used as reliable evidence as long as:

- the definition of indicators in referrals comply with the definitions of the common indicators as set out in the European Commission “ESF Monitoring and Evaluation Guidance” document
- they are certified (by the issuing institution) **or** sent via their dedicated mailbox;
- the certifying institutions are public (national or local) authorities with access to the national registers containing relevant data on Participants.

It should be noted that it is not mandatory to have a referral form in order to support a Participant and there is no requirement for the referral form to be certified if it is not being used as evidence of eligibility.

A referral form (that has not come from a statutory public register) is not evidence of eligibility unless the supporting evidence documentation has been obtained and verified.

The form should include the following information:

- Referral Agency details including:
 - Agency Name
 - Agency Worker Name
 - Agency Worker Job Role
 - Office Address
 - Office Phone Number
 - Mobile Phone Number
 - Email Address
- Participant details including:
 - Name
 - Date of Birth
 - National Insurance Number
 - Address (including postcode) – please note Participants that (as per the *National Rules on Eligibility of Expenditure*) are employed (at the point of registration) can be eligible on the basis of the location of their employer / employment. The only exception to this is the Youth Employment Initiative where participants cannot be employed on entry.
 - Home phone number
 - Mobile phone number
 - Email address
- Employment Status
- Barriers / Disadvantages

- Details of Benefits (where appropriate) including:
 - Benefits currently being claimed
- Additional Information (where appropriate) including:
 - Length of time since Participant last worked (in years and months)
 - Date identified for referral to Work Programme
 - Description of progress made with referring agency
 - Details of all other agencies / services involved with the participant
 - Justification outlining why the participant has been referred

A referral form can be used to evidence both mandatory information and other eligibility criteria (e.g. barriers to employment) where such information has come from a statutory public register (e.g. DWP, SEEMIS) and has been verified (e.g. employment status). Therefore Referral Forms can be used as reliable evidence as long as:

- the definition of indicators in referrals comply with the definitions of the common indicators as set out in the European Commission “ESF Monitoring and Evaluation Guidance” document
- they are certified (by the issuing institution) or sent via their dedicated mailbox;
- the certifying institutions are public (national or local) authorities with access to the national registers containing relevant data on Participants.

Registration Form

Lead Partners should ensure that when delivery agents or delivery organisations are collecting participant information that appropriate documentary evidence is retained. Personal characteristics which are necessary to determine the eligibility of the participant (D.O.B; Legally able to reside (and, if relevant to the operation, work); Address (for YEI only) and Employment Status should be evidenced by supporting documents. All ESF registration forms should include information detailing a participants address and postcode.

Self-declaration will be acceptable in certain limited circumstances (e.g. inactive individuals; individuals living in jobless households; no or limited work experience; etc.). Any clarification should be sought from the Managing Authority.

Participants must meet the appropriate eligibility criteria and should be either a legal resident of the UK or be eligible to take up paid employment in an EU state. If the Participant is a refugee or asylum seeker, the appropriate guidance must be followed and documentation checked accordingly.

The form should include the following information:

- **Project Details** including:
 - Project Name
 - Project Reference Number
 - Date of Registration
 - Details of Referring Agency (where appropriate)
 - Work Programme Eligibility Check (where appropriate)
 - Start Date
- **Participant details** including:

- Name
 - Client Registration Number
 - Key / Project Worker
 - Date of Birth
 - National Insurance Number
 - Current nationality
 - Place / country of birth
 - Address (including postcode)
 - Home phone number
 - Mobile phone number
 - Email address
- **Description of project expectations** e.g.
 - What is the single most important thing stopping you from getting the work you want?
 - What do you hope to get out of working with the project?
 - What are your long-term goals?
- **Employment Status** i.e.
 - Unemployed
 - Long Term Unemployed
 - Economically Inactive
 - Inactive, not in education or training
 - Employed (including self-employed)

In addition, details should be provided outlining the timescales involved e.g.

	Unemployed	Inactive	Employed	In Education / Training
0 – 6 months				
7 to 12 months				
12 – 24 months				
25 – 36 months				
Over 3 years				

Please note that this should relate to an individual’s employment status at the point of registration.

In addition, a participant can only be counted within one of the following groups: employed, inactive or unemployed.

- **Barriers / Disadvantages**
(any status or barrier with ** relate to the Common Indicators, with those with *** being treated as “other disadvantaged”).
 - Above 54 years of age **
 - Armed Forces Veteran ***
 - Asylum seeker ***
 - At risk of becoming NEET ***
 - Criminal convictions ***
 - Disability **

- From Employment Deprived Areas ***
- From Remote Rural Areas **
- From Rural Areas **
- Homeless or affected by housing exclusion **
- Living in a jobless household
- Living in a jobless household with dependent children
- Living in a single adult household with dependent children
- Long-term physical illness / condition **
- Long-term unemployed **
- Looked after young person ***
- Low income employed ***
- Low income (social inclusion and poverty only) ***
- Low skilled ***
- Material Deprivation ***
- Mental health issues ***
- Migrants, people with a foreign background, minorities (including marginalised communities such as the Roma) **
- No or Limited work experience ***
- Primary carer of a child/children (under 18) or adult ***
- Primary carer of older person ***
- Refugee ***
- Substance related conditions ***
- Underemployed ***
- Employed Status affected by Covid-19 ***
- Young People aged <25 impacted by Covid-19 ***
- Households where the youngest dependent is aged less than 1 ***
- Households with 3 dependents or more ***
-
- **Details of Benefits e.g.**
 - Job Seekers Allowance
 - Education Maintenance Allowance
 - Carers Allowance
 - Income Support
 - Incapacity Benefit / ESA
 - Housing Benefit
 - Working Tax Credit
 - Council Tax Benefit
 - Disability Living Allowance / Personal Independence Payment
 - Child Tax Credit
 - Child Benefit
 - Childcare element of WTC
 - Universal Credit
 - Other
- Highest Level of the ISCED **Qualification Levels** (1 to 8) on Entry. Please note that EUMIS records an individual's highest level of qualification / education attainment at registration rather than their highest certificated qualification level (although often these equate to the same ISCED level). As recorded in the qualifications table within the 'Scottish Qualifications and UNESCO ISCED Levels' section, ISCED Level 1 is equivalent to completing primary school education – therefore most Participants will generally have a minimum of ISCED Level 1.

- Additional Information (where appropriate) e.g.:
 - Length of time since Participant last worked (in years and months)
 - Whether the Participant is a 'Workforce Returner'
 - Details of any other agencies/services that the Participant is engaged with
 - Description of Participants Skills and attributes
 - Does the Participant have an active ILA account?
 - Does the Participant have a valid driving licence and/or access to transport

The form should also include an **Equalities Monitoring** section including:

- Age
 - Below 25 Years of age
 - Above 54 years of age
- Does the Participant consider themselves to have a disability?
- Citizenship status
 - EU Citizen
 - UK visa holder
 - Asylum Seeker
 - Refugee
 - Other
- Gender
 - Male
 - Female
- Ethnicity
 - White - Scottish
 - White – English
 - White – Welsh
 - White – Irish
 - White – Gypsy/Traveller/Roma
 - White – other
 - Asian Pakistani
 - Asian - Indian
 - Asian – Bangladeshi
 - Asian – Chinese
 - Asian – other
 - Black – African
 - Black – Caribbean
 - Black – other
 - Multi-ethnic background
 - Other – Arab
 - Other ethnic background

Each form **should be signed** and dated by both the Participant and a Project Worker.

In addition, the participant must be made aware that they are receiving ESF support and appropriate logos must be used.

Work/Learning Plan

This should be signed and dated by the Participant and Project Worker.

Record of referral to other support

Including:

- Project Worker notes (e.g. meetings, telephone conversations etc)
- Copies of all correspondence

Record of all activities and support provided

Including:

- Attendance records
- Project Worker notes (e.g.. meetings, telephone conversations etc)
- Copies of all correspondence
- Evidence of progression through stages of pipeline

Proof of any outcomes

Including:

- Job offer letters
- Qualifications

Leavers Form / Exit Information

This should be signed by the Participant and Project Worker.

Record of all follow-up action

Including:

- 6 month follow-up
- Extension of employment

Monitoring and Evaluation of Participant Data

More detailed guidance on monitoring and evaluation of participant information is contained within the European Commission “**Monitoring and Evaluation of European Cohesion Policy – European Social Fund**” guidance document available on the ESFD website.

However, the following should be considered:

- Lead Partners should ensure that delivery agents or delivery organisations comply with all Data Protection legislation when gathering and storing information.
- If a participant enters and leave the same operation several times during one or several reporting years, data relating to this participant should be recorded, stored and reported only once. The start date and information relating to output indicators should always refer to the first participation (i.e. not changed upon re-entry). The exit date should however be updated to reflect the final exit date and any other previously recorded result indicators should be updated accordingly.
- If a participant leaves one operation and registers with a different operation, the individual can be considered / recorded as a new participant.
- The total number of participants can be calculated by totalling the number of participants within the common output indicators relating to the individual’s employment status i.e. unemployed (including long-term unemployed), inactive and employed (including self-employed) – only one of these categories can be picked for each participant.
- Common immediate result indicators should only relate to results achieved in the 4 week period after the participant has exited the operation.

- Common longer-term results should only relate to results achieved 6 months after the participant has exited the operation.

Eligibility – Evidence

The following is a list of accepted (and preferred) evidence which may be required depending on the type of SI being delivered – please note that only one piece of evidence from each list is required. In addition, it is acceptable to gather documentation that can evidence more than one aspect of eligibility e.g. a passport provides evidence of an individuals’ ‘Right to live and work’ and their ‘Date of Birth’ / ‘Age’. This is not an exhaustive list and a common-sense approach should be applied by Lead Partners the items in the list should not be interpreted as the Managing Authority stating that the evidence provides absolute proof of the eligibility condition. The Managing Authority’s objective is to achieve a reasonable degree of assurance that the participant qualifies for support, without imposing a significant burden on the participant or refusing support to those most in need.

As stated in the ‘Introduction’ section, information extracted from and certified via statutory public registers (e.g. DWP, SEEMIS) is acceptable for evidence requirements as long as the definitions used comply with those set out in the EC ESF Monitoring and Evaluation Guidance.

Eligibility Criteria	Accepted Evidence
<p>Legally able to reside (and, if relevant to the operation, work) in the UK.</p> <ul style="list-style-type: none"> • all ESF participants 	<ul style="list-style-type: none"> • UK (or other EU Member State) Passport – must be valid and unexpired • Non-EU Passport – must be valid, unexpired and endorsed ‘indefinite leave to remain – proceed’ (settled status) or includes work or residency permits or visa stamps (unexpired) and all related conditions met. • EU ID/ EEA Identity Card / Identity Card issued by the Home Office in place of a visa (confirming the individual’s right to stay, NB: EU, EEA or Swiss citizens can continue to use their passport or national identity card to prove they can work in the UK up to and including 30 June 2021. https://www.gov.uk/settled-status-eu-citizens-families <p><u>From 1 July 2021, the Right to Work evidence for EU, EEA and Swiss Nationals can be verified using the Home Office online Right to Work checking service. Please see Annex C.</u></p> <ul style="list-style-type: none"> • UK Driving Licence (Full or Provisional) may be used provided that it is accompanied by further supporting evidence such as a birth certificate, a letter from a Government department including local authorities confirming name & address, a P60. Please note this list is not exhaustive. • Residency permit for foreign nationals • Asylum Seeker - Copy of individual’s Application Registration Card (ARC)

Eligibility Criteria	Accepted Evidence
	<ul style="list-style-type: none"> • Proof of Refugee Status, Humanitarian Protection, Discretionary Leave to Remain or Indefinite Leave to Remain in the UK, including: <ul style="list-style-type: none"> ○ a Home Office letter confirming status and permission to work ○ a Home Office Certificate of Identity ○ a benefits notification letter ○ an Immigration Status Document. • Evidence that the individual is in receipt of State Benefits / Pension e.g. award letter detailing benefits (DWP / Universal Credit / Job Centre Plus / Pension Service correspondence) or print-out from online Universal Credit system. • Birth / Adoption Certificate (EU Member State) • Marriage / Civil Partnership certificate (provided that it can be evidenced that the participant's partner has a legal right to live in the UK) • Evidence that participant is employed in the UK e.g. letter of employment, wage slip, contract of employment • Evidence that participant has been employed in the UK within the last three years e.g. P45, P60, wage slip, contract of employment • National Insurance Number e.g. NI Card, correspondence from HMRC / DWP / Jobcentre Plus / Pension Service, contract of employment, wage slip.
<p>Qualification Levels on Entry - relates to:</p> <ul style="list-style-type: none"> • Developing Scotland's Workforce participants (SFC & SDS SI) • any qualification related barriers to employment (e.g. 'Low Skilled') 	<ul style="list-style-type: none"> • Qualification certificate • Records of the academic institution / qualification body etc • Print-out from 'My SQA' recording details of all qualifications held (from 1995 onwards) http://www.sqa.org.uk/sqa/41324.2548.html <p>Please note that where an individual's qualifications are pre-1995, and they are unable to obtain any evidence from SQA, a signed registration form will be considered acceptable evidence.</p> <p>The SQA website states: "MySQA only holds information from 1995 to present day. To obtain qualifications prior to 1995 you can order a Replacement Certificate at www.sqa.org.uk/eshop. There is a fee for this service..." https://www.mysqa.org.uk/cs8/content/help.action#Can I view qualifications prior to 1995?</p> <p>Replacement certificates can be obtained for participants as part of the percentage of indirect costs.</p>

Eligibility Criteria	Accepted Evidence
	<p>In addition it is possible to apply for an individual's Scottish Candidate Number online using the following link: http://www.sqa.org.uk/sqa/38676.html</p>
<p>Age - generally relates to:</p> <ul style="list-style-type: none"> • YEI participants (must be between 16 and 29 years old) • any age related barriers to employment e.g. 'Above 54 years of age'. <p>However all Participants should be able to evidence that they are of working age (e.g. minimum school leaving age).</p>	<ul style="list-style-type: none"> • Birth Certificate • Driving Licence (Full or Provisional) • UK (or other EU Member State) Passport – must be valid and unexpired • National Insurance Number e.g. NI Card, correspondence from HMRC / DWP / Jobcentre Plus / Pension Service, contract of employment, wage slip • National Identity Card (EU) • Evidence that in receipt of age-related State Benefits. • Proof of Age cards that include the PASS hologram or have been issued by a government agency / statutory body e.g. Young Scot Card, Citizen Card • European Health Insurance Card • NHS Correspondence (where age is stipulated)
<p>Address –relates to:</p> <ul style="list-style-type: none"> • all YEI Participants only.- a signed registration form is acceptable for all non-YEI ESF Participants 	<ul style="list-style-type: none"> • Utility bill • Bank / Credit Card Statement • Council Tax bill • Official correspondence e.g. DWP; NHS; HMRC etc • NHS Medical Card • Driving License (Full or Provisional) - as this is a legal document that must be kept up-to-date, there is no requirement for the driving licence to have been issued / dated within six months of registration. • A postcode check which demonstrates the eligibility of the participant's location is acceptable provided that the LP can evidence the process that has been followed. <p>Please note that:</p> <ul style="list-style-type: none"> • this is not an exhaustive list and a common- sense approach should be applied by Lead Partners • all evidence (with the exception of a Driving Licence) should be dated <u>within 6 months</u> of the Participant's Date of Registration (although an exception can be made for benefits letters that are issued on an annual basis) N.B This does not apply to the postcode check • correspondence from private individuals is not acceptable • where an individual is homeless, evidence of address is not required, although a 'care of' address should be noted (where available). • where a Lead Partner has made reasonable attempts to obtain evidence of the individual's

Eligibility Criteria	Accepted Evidence
	address, but are unable to do so, a signed Registration Form is acceptable (provided the postcode is in the correct format). Please note that this will only be accepted in exceptional circumstances - Lead Partners must attempt to obtain this documentation in all cases.

Scottish Qualifications and UNESCO ISCED Levels

In 2015, the Organisation for Economic Co-operation and Development (OECD) produced the policy profile on education in the UK report <http://www.oecd.org/publications/education-policy-outlook-2015-9789264225442-en.htm>). The report presents comparative analysis of education policies and reforms across the OECD Countries and comparative insight on policies and reforms on selected topics. Following the publication of the report, the Scottish Government has reviewed the mapping of Scottish qualifications against the ISCED Levels. The most notable change being that no Scottish qualification maps to ISCED Level 4. In addition, the European Commission also updated the definitions of each of the levels in June 2015 and a descriptor has been added to the attached document for ease of reference.

SCQF Levels	National Courses	Higher Education	SVQs / MAs	ISCED Levels	Definitions of UNESCO
12		Doctorate	Professional Apprenticeship	Level 8	DOCTORAL OR EQUIVALENT are designed primarily to lead to an advanced research qualification. Programmes at this level are devoted to advanced study and original research and typically offered only by research-orientated tertiary educational institutions such as universities.
11		Masters Degree	Professional Apprenticeship SVQ 5	Level 7	MASTERS OR EQUIVALENT are designed to provide participants with advanced academic and/or professional knowledge, skills and competencies, leading to a second degree or equivalent qualification.
10		Honours Degree	Professional Apprenticeship	Level 6	BACHELOR OR EQUIVALENT are often designed to provide participants with intermediate academic and/or professional knowledge, skills and competencies, leading to a first degree or equivalent qualification. Traditionally offered by universities and equivalent tertiary educational institutions.
9		Ordinary Degree	Technical Apprenticeship SVQ 4		
8		HND	Technical Apprenticeship SVQ 4	Level 5	SHORT CYCLE EDUCATION programmes are often designed to provide participants with professional knowledge, skills and competencies. Typically these are practically based, occupationally specific and prepare students to enter the labour market. However programmes may also provide a pathway to other tertiary education programmes. Programmes at this level have more
7		HNC		Level 5	

SCQF Levels	National Courses	Higher Education	SVQs / MAs	ISCED Levels	Definitions of UNESCO
			Modern Apprenticeship SVQ 3		complex content than programmes at ISCED L3 & 4, but they are shorter and usually less theoretically orientated than ISCED L6 programmes.
	N/A	N/A		Level 4	POST SECONDARY NON TERTIARY education provides learning experiences building on secondary education and preparing for labour market entry as well as tertiary education. It aims at the individual acquisition of knowledge, skills and competencies below the high level of complexity characteristic of tertiary education. Programmes at this level are typically designed to provide individuals who complete ISCED L3 with non-tertiary qualifications that they require for progression to tertiary education or for employment when their ISCED L3 qualification does not grant such access.
7	New Advanced Higher Advanced Higher Scottish Baccalaureates			Level 3	UPPER SECONDARY education programmes are typically designed to complete secondary education in preparation for tertiary education, or to provide skills relevant to employment or both. Programmes at this level are more varied, specialised and in-depth instruction than programmes at ISCED Level 2. They are more differentiated, with an increased range of options and streams available.
6	New Higher Higher Skills for Work Higher		Modern Apprenticeship SVQ 3		
5	National 5 (Intermediate 2) Skills for Work National 5 (Credit Standard Grade)		Modern Apprenticeship SVQ 2		

SCQF Levels	National Courses	Higher Education	SVQs / MAs	ISCED Levels	Definitions of UNESCO
4	National 4 (Intermediate 1) Skills for Work National 4 (General Standard Grade)		SVQ 1	Level 2	LOWER SECONDARY education programmes typically designed to build upon learning outcomes from ISCED L1. Usually the educational aim is to lay the foundation for lifelong learning & human development on which education systems may systematically expand further educational opportunities
3	National 3 Access 3 Skills for Work National 3 (Foundation Standard Grade)				
2	National 2 Access 2				
1	National 1 Access 1				

ISCED 1 – Primary School Education

ISCED 0 – Early Learning and Childcare

Youth Employment Initiative (YEI) – Compliance (Wage Subsidy Scheme)

The following is the minimum level of compliance that must be undertaken by Lead Partners administering a YEI scheme:

Letter

- Each employer should be issued with a Letter / Contract by the Lead Partner confirming the following information (for each young person recruited as part of the scheme): The name and address of the employee;
- The employee's date of birth;
- Confirmation of the employee's legal residency / ability to take up paid employment in an EU State (please note that it is not necessary to provide documentary evidence with the letter – as this should have been collected by the Lead Partner as part of the registration process);
- Job Title;
- Employment start date;
- Details of the wage rates being applied;
- Details of the proposed number of hours worked per week;
- Details of the number of weeks that wage subsidy will apply;
- Employment end date;
- The method and frequency of payments (i.e. weekly via BACs);
- Details outlining the status of the organisation;
- Declaration section – the employer must sign and return a copy of the declaration. In addition, the signed declaration should be counter-signed by the local Authority to confirm the eligibility of both the company and the employee.

Each employee should be issued with a Letter by the employer containing the following information:

- The name and address of the employee;
- The employee's date of birth;
- Confirmation of the employee's legal residency/ability to take up paid employment the UK in an EU State;
- Job Title;
- Employment start date;
- Details of the wage rates being applied;
- Details of the proposed number of hours worked per week;
- Details of the number of weeks that wage subsidy will apply;
- Details of the employer's holiday entitlement;
- Details of the employer's sickness entitlement;
- Employment end date;
- The method and frequency of payments (i.e. weekly via BACs);
- Publicity – a statement should be included advising the employee of the involvement of European funding;
- Declaration section – the employee must sign and return a copy of the declaration. In addition, the signed declaration should be counter-signed by the Local Authority to confirm the eligibility of both the company and employee.

Wage Subsidy – Pipeline and YEI

Publicity

Both the employer and employee must be made aware that the scheme is funded by the European Social Fund.

Publicity guidance is available on the European Structural and Investment Funds website using the following link: <https://beta.gov.scot/publications/esif-publicity-requirements-2014-2020/>.

In addition, copies of the ESF logo can be downloaded from the European Structural and Investment Funds website using the following link:

<http://www.gov.scot/Topics/Business-Industry/support/17404/2007-2013PublicityInfo/PublicityGuidancefor2014-2020>

National Minimum Wage

Information about the appropriate rates payable can be accessed via the following link: <https://www.gov.uk/national-minimum-wage-rates>

In certain circumstances, an employer may opt to pay more than the National Minimum Wage (or the National Living Wage – where an individual is over 25 years of age) , however, the amount claimed should generally be capped at the appropriate national minimum wage rate. However, as per the *National Rules on Eligibility of Expenditure* (page 25) “with prior approval of the MA, it may be acceptable to exceed the minimum”. Please refer to Section 5, Questions 10 and 11 of the *ESF Participant Data and Evidence FAQ* for further detail.

In addition, any accompanying National Insurance / Superannuation contributions should be recalculated on a pro-rata basis. Information relating to the correct National Insurance rates can be accessed via the following link:

<https://www.gov.uk/national-insurance-rates-letters>

In addition, a National Insurance contributions calculator can be accessed via the following link:

<http://nicecalculator.hmrc.gov.uk/Class1NICs1.aspx>

Please note that the National Living Wage is a statutory minimum that employers must pay to individuals aged 25 and over.

In order to verify wage subsidy costs, the following information/documentation must be made available when requested:

Payment between Employer and Employee

Individual paid via Payroll

- Payslip from employer or other appropriate payroll documentation (clearly displaying: Gross Salary; Employer’s National Insurance; Employers Pension cost and Net Pay);
- Where appropriate, BACS or BACS breakdown (clearly showing Net Pay and BACS total);

- Employers Bank Statement (clearly showing the individuals Net Pay or the BACS total);

Individual paid via Petty Cash

- Payslip from employer or other appropriate payroll documentation (clearly displaying: Gross Salary; Employer's National Insurance; Employers Pension cost and Net Pay);
- Employer bank statement showing withdrawal of cash from bank (or ATM statement); petty cash book or record management system showing cash being paid in and list of petty cash payments which should clearly show employee name, date of payment and payment amount (net pay).

Individual paid via a Third Party

- Documentation from Third Party (i.e. a payroll provider) clearly evidencing defrayal.

Payment between Lead Partner and Employer

- Invoice/Proforma from employer requesting payment – each individual employee should be itemised separately.
- Where appropriate, Lead Partner BACS or BACS breakdown.
- Lead Partner Bank Statements (clearly showing payment to employer or the BACS total);

Definitions: Employment Status / Barriers / Social Inclusion & Poverty Target Groups

The European Commission Monitoring and Evaluation Guidance for Programming Period 2014-2020 sets out clear definitions for Common ESF indicators. This document **supplements** this guidance.

Please note that some benefits (e.g. Jobseekers Allowance etc.) will be replaced as a result of the roll-out of Universal Credit – however, similar evidence will be required to evidence this depending on the individual’s UC Labour Market Regime (see Annex B: Labour Market Status Evidence Table – Universal Credit section for additional guidance’).

Please note that any status or barrier with ** relate to the Common Indicators with those with *** being treated as “other disadvantage”.

When using any dataset to evidence a barrier it should be the one which is live at the time of registering a participant that is utilised.

Information extracted from and certified via statutory public registers (e.g. DWP, SEEMIS) is acceptable for evidence requirements as long as the definitions used comply with those set out in the EC ESF Monitoring and Evaluation Guidance.

Employability Pipelines

Please note that if a participant is categorised as being long-term unemployed (see below for definition and evidence requirements), they are automatically deemed to have multiple barriers to employment and are only required to evidence that they are long term unemployed - there is therefore no requirement to evidence an additional barrier (although all additional barriers to employment should still be noted on the participant’s registration form).

If a participant is not categorised as being long-term unemployed, a minimum of two barriers to employment must be appropriately evidenced (see below for definitions and evidence requirements). The evidence requirement is therefore dependent on whether the barrier is being used as one of the two barriers required to be eligible for support or simply as an ‘additional’ barrier i.e. where the two required barriers have already been correctly evidenced (other additional barriers to employment should still be noted on the participant’s registration form – without the need for further documentary evidence.

COVID-19 Barriers

Covid-19 is currently acting as a barrier to people of any employment status in Scotland. People affected by the Covid-19 pandemic will require the necessary support to enable upskilling, retraining or job searching to enable sustained employment. Introducing barriers relating to Covid-19 ensures that support can be given to eligible participants who have been directly affected by this unexpected and unprecedented disruption in the labour market. Participants will also have **one additional barrier** and will require support and advice in order to navigate job searching,

training and employability provision in a completely new environment where physical distancing, sector disruption and local lockdown measures hinder support opportunities.

Registration – Project Worker Assessments

Project Worker assessments are extremely important and should address the Participant’s needs in relation to the intervention being proposed - assessments should therefore clearly outline the link between the needs or barriers of the Participant and the positive outcome that it is anticipated ESF assistance will generate.

Employment Status

Employment Status	Definition	Evidence Required
<p>Economically Inactive **</p>	<p>“Persons currently not part of the labour market (in the sense that they are not employed or unemployed according to the definitions provided).”</p> <p>(European Commission <i>Monitoring and Evaluation Guidance: Annex C1</i>)</p> <p>Individuals who are not employed or registered unemployed.</p> <p>The following individuals are considered ‘inactive’:</p> <ul style="list-style-type: none"> • Full-time students • People on full-time parental leave (understood as absence from work to bring up a child of a young age for a period which does not fall under the classification of maternity or paternity leave) should be considered as ‘inactive’, unless already registered as ‘unemployed’. 	<p>Evidence should be provided by the participant to demonstrate that they have been inactive. (in this case, a signed registration form is acceptable)</p> <p>In addition, evidence should be retained to demonstrate that the Operation (e.g. a Project Key Worker) has assessed whether the information provided in the Registration Form is accurate. (For example a description of the participants circumstances as part of a more detailed assessment.) (If the individual is in receipt of benefits, they may wish to provide the following also: Award letter detailing benefits / print out from online Universal Credit system / copy of individual’s bank statement showing benefits payment)</p> <p>or</p> <p>Referral from recognised agency/service who can reasonably be considered to have an accurate knowledge of the participant’s circumstances (e.g. Housing Association, Local Authority Service, etc.)</p>

Employment Status	Definition	Evidence Required
	<p>Self-employed individuals are not considered inactive.</p> <p>(European Commission <i>Monitoring and Evaluation Guidance: Annex C1</i>)</p>	
<p>Employed (including self-employed) **</p>	<p>Individuals (aged 15 and over) who receive pay from an employer or are self-employed, including:</p> <ul style="list-style-type: none"> • Helping family members (this is considered self-employment) • Individuals on maternity or paternity leave • Individuals in subsidised employment <p>(European Commission <i>Monitoring and Evaluation Guidance: Annex C1</i>)</p>	<p><u>Employed</u></p> <p>Confirmation of employment i.e. letter of employment, wage slip; contract of employment, letter detailing Working Tax Credits etc.</p> <p><u>Self-employed</u></p> <p>Confirmation of self-employment e.g. HMRC letter evidencing registration.</p> <p>or</p> <p>Bank statement for business account.</p> <p>or</p> <p>Registration with Companies House</p>

Employment Status	Definition	Evidence Required
Inactive, not in education or training **	<p>Individuals classed as 'inactive' (see above) who are not in education or training.</p> <p>(European Commission <i>Monitoring and Evaluation Guidance: Annex C1</i>)</p>	See above (under 'Economically Inactive').
Long-term Unemployed **	<p>As per Unemployed, individuals who are registered as unemployed and in receipt of:</p> <ul style="list-style-type: none"> • Jobseekers Allowance or • Employment Support Allowance (Work related Activity Group) <p>But for more than:</p> <ul style="list-style-type: none"> • 6 months continuous unemployment (under 25 i.e. up to the age of 24) or • 12 months continuous unemployment (over 25 i.e. 25 years or more) <p>(European Commission <i>Monitoring and Evaluation Guidance: Annex C1</i>)</p> <p>Please note that Lead Partners are only required to physically evidence the length of unemployment where 'long term unemployed' is being used as one of the main barriers to employment. Lead Partner must be able to evidence that the individual is 'Unemployed (see definition below).</p>	<p>Award letter / print-out from online Universal Credit system. detailing Jobseekers Allowance / ESA (Work Group).</p> <p>or</p> <p>Copy of the individual's bank statement showing benefit payments.</p> <p>or</p> <p>ES40 (Job Seekers Card) or 'My Work Plan demonstrating current status.¹</p> <p>or</p> <p>Local Authority Account Information, e.g. Citizens Account, where data has been supplied or verified by DWP.</p> <p>Please note that the evidence must demonstrate that the Participant has been continuously unemployed for the requisite period of unemployment (dependent on age).</p> <p>Where a participant's benefit claim has recently changed (e.g. from JSA to ESA (WRAG) or JSA to UC) –the evidence must be able to demonstrate that, as a combination of claims, the participant have been continuously unemployed for the requisite period of unemployment (dependent on age).</p>

¹ ES40 is currently being phased out by DWP and being replaced with the 'My Work Plan' document.

Employment Status	Definition	Evidence Required
Unemployed **	<p>“ Persons usually without work, available for work and actively seeking work. Persons considered as registered unemployed according to national definitions are always included here even if they do not fulfil all three of these criteria”.</p> <p>(European Commission <i>Monitoring and Evaluation Guidance: Annex C1</i>)</p> <p>Individuals in receipt of <u>Jobseekers Allowance</u>, irrespective of the length of unemployment. or Individuals in the <u>Employment Support Allowance Work related Activity Group</u></p>	<p>Award letter/ print-out from online Universal Credit system. detailing Jobseekers Allowance / ESA (Work Group). or Copy of the individual’s bank statement showing benefit payments (where the employment status can be clearly demonstrated from the description on the bank statement). or ES40 (Job Seekers Card) or 'My Work Plan' demonstrating current status. or Local Authority Account Information, e.g. Citizens Account, where data has been supplied or verified by DWP.</p>

Please note that any status or barrier with ** relate to the Common Indicators with those with *** being treated as “other disadvantage”.

Barriers / Disadvantages

Barrier	Definition	Evidence Required
Above 54 years of age **	Individuals must be 55 years and above - the age of the participant is calculated from the date of birth and determined on the date of entering the ESF operation.	Official documentation showing date of birth such as birth certificate, driving licence, passport, etc.
Armed Forces Veteran ***	Former member of the UK Armed Forces	<p>Discharge papers.</p> <p>or</p> <p>Referral from recognised agency/service who can reasonably be considered to have an accurate knowledge of the participant’s circumstances. (DWP, Local Authority Service, third sector veterans support services etc.).</p>

Barrier	Definition	Evidence Required
Asylum seeker ***	<p>An individual who 'has applied for asylum and is waiting for a decision as to whether or not they are a refugee.'</p> <p>An asylum seeker is someone who has asked a Government for refugee status and is waiting to hear the outcome of their application.</p> <p>http://www.gov.scot/Topics/People/Equality/Refugees-asylum</p>	<p>Copy of individual's Application Registration Card (ARC)</p> <p>https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/257376/applicationregistrationcard.pdf</p>
At risk of becoming NEET ***	<p>The Scottish Government defines NEET as individuals between the ages of 16 and 19 who are not in employment, education or training.</p> <p>The main focus of the pipeline is to assist individuals with multiple barriers to employment (and who are the furthest away from the labour market) to progress into or through employment - Lead Partners can therefore work with individuals who are 'working age' or around 6 months prior to the individual reaching 'working age'.</p> <p>For the purposes of ESF, the 'working age' is the same as 'the minimum school leaving age' – since this is generally the earliest point that an individual can leave full-time education.</p> <p>Where someone is in full-time education, they should be recorded as 'Economically Inactive', regardless of whether they have a part-time job.</p>	<p>Evidence should be provided by the participant to demonstrate that they have been inactive. (in this case, a signed registration form is acceptable)</p>
Criminal convictions ***	<p>This relates to any individual who has a criminal conviction that:</p> <ul style="list-style-type: none"> • Is not 'spent' 	<p>A signed registration form is acceptable.</p>

Barrier	Definition	Evidence Required
	<ul style="list-style-type: none"> • is exempt from becoming 'spent' • remains a barrier to progressing within the labour market e.g. gaps in c.v. <p>Supplementary Information The Rehabilitation of Offenders Act 1974 (ROA) states that anyone who has been convicted of a criminal offence and sentenced to less than two and a half years in prison can be regarded as rehabilitated after a specified period with no further convictions. After the specified period the original conviction is considered to be spent. The specified period varies between 6 months and 10 years depending on the length of sentence. Convictions involving sentences of over 2.5 years are never spent.</p> <p>However, some types of jobs are exempt from this Act – this means that individuals have to disclose spent convictions as well as unspent ones. These jobs include:</p> <ul style="list-style-type: none"> • working with children and vulnerable adults, such as elderly and disabled people • senior roles in banking and the financial services industry • certain posts connected to law enforcement, including the judiciary and the police • work involving national security • certain posts in the prison service • certain professions in areas such as health, pharmacy and the law • private security work. 	<p>In addition, evidence should be retained to demonstrate that the Operation (e.g. a Project Key Worker) has assessed whether the information provided in the Registration Form is accurate. (For example a description of the participants circumstances as part of a more detailed assessment).</p> <p>or</p> <p>Referral from recognised agency/service who can reasonably be considered to have an accurate knowledge of the participant's circumstances. (DWP, Local Authority service, Criminal Justice, specialist agencies etc.).</p>

Barrier	Definition	Evidence Required
	http://www.gov.scot/Topics/archive/law-order/law/RehabofOffenders	
Disability **	<p>"Participants with disabilities" are persons who are registered disabled according to national definitions.</p> <p>(European Commission <i>Monitoring and Evaluation Guidance: Annex C1</i>)</p>	<p>A signed registration form is acceptable</p> <p>In addition, evidence should be retained to demonstrate that the Operation (e.g. a Project Key Worker) has assessed whether the information provided in the Registration Form is accurate. (For example a description of the participants circumstances as part of a more detailed assessment.)</p> <p>(If the individual is in receipt of benefits, they may wish to provide the following also: Award letter detailing benefits e.g. Disability Living Allowance, Employment Support Allowance, Personal Independence Payment etc, copy of individual's bank statement showing benefits payment.)</p> <p>or</p> <p>Referral from recognised agency/service who can reasonably be considered to have an accurate knowledge of the participant's circumstances. (DWP, Local Authority Service, Specialist 3rd Sector Agency, etc.)</p>
From Employment Deprived Areas ***	<p>Residing in SIMD 15% most employment deprived geographies (see list).</p> <p>The following link provides details of the 2020 SIMD index and shows the top 15% of Employment deprived areas. and has been updated since the 2016 checker. When using any dataset it should be the one which is live at the time of registering a</p>	<p>A screenshot of the participants postcode entered into the 2020 From Employment Deprived Areas demonstrating eligibility is acceptable. This must match the postcode recorded on the Participants registration form.</p>

Barrier	Definition	Evidence Required
	<p>participant that is utilised. Link to SIMD Postcode Checker:</p> <p>European Social Fund: participant postcodes - employment deprived areas - gov.scot (www.gov.scot)</p> <p>Only one geographical barrier can be claimed for any participant. Meeting the definitions for 2 or more only count as one barrier.</p>	
From Remote Rural Areas **	<p>Living in an area defined as “<i>remote rural</i>” or “<i>very remote rural</i>” in the Scottish Government 8 Fold Urban Rural Classification (see ‘Rural Area Rating’ column on ESF Scottish Local Authority Rural Area Postcodes list).</p> <p>http://www.gov.scot/Topics/Statistics/About/Methodology/UrbanRuralClassification</p> <p>Only one geographical barrier can be claimed for any participant. Meeting the definitions for 2 or more only count as one barrier.</p>	<p>A screenshot showing the participants postcode on the “From Remote Rural Areas” postcode list should be provided . This must match the postcode recorded on the Participants registration form.</p>
From Rural Areas **	<p>"From rural areas" is to be understood as persons residing in thinly populated areas according to the Degree of urbanisation (DEGURBA category 3) classification. Thinly-populated areas means that more than 50 % of the population lives in rural grid cells.</p> <p>(European Commission Monitoring and Evaluation Guidance: Annex D)</p>	<p>•A screenshot showing the participants postcode on the “From Rural Areas” postcode list should be provided . This must match the postcode recorded on the Participants registration form.</p>

Barrier	Definition	Evidence Required
	<p>Only one geographical barrier can be claimed for any participant. Meeting the definitions for 2 or more only count as one barrier. Please use this classification when eligible and only use Remote Rural Areas for any other areas (see ESF Scottish Local Authority Rural Area Postcodes list).</p>	
<p>Homeless or affected by housing exclusion **</p>	<p>In the absence of a national definition for "homeless or affected by housing exclusion" the term should be understood according to the ETHOS (European Typology of Homelessness and Housing Exclusion) definition which is derived from the physical, social and legal interpretation of what a 'home' means. It classifies the following four living circumstances as homelessness or extreme forms of housing exclusion:</p> <ul style="list-style-type: none"> • Rooflessness (people living rough and people in emergency accommodation), • Houselessness (people in accommodation for the homeless, in women's shelters, in accommodation for immigrants, people due to be released from institutions and people receiving long-term support due to homelessness), • Insecure accommodation (people living in insecure tenancies, under threat of eviction or violence), and • Inadequate housing (living in unfit housing, nonconventional dwellings e.g. in caravans without adequate access to public utilities such as water, electricity or gas or in situations of extreme overcrowding). 	<p>Confirmation from Local Authority Housing service.</p> <p>or</p> <p>Referral from recognised agency/service who can reasonably be considered to have an accurate knowledge of the participant's circumstances. (Housing Association, Local Authority Service, etc.)</p> <p>or</p> <p>A signed registration form is acceptable</p> <p>In addition, evidence should be retained to demonstrate that the Operation (e.g. a Project Key Worker) has assessed whether the information provided in the Registration Form is accurate. (For example a description of the participants circumstances as part of a more detailed assessment.)</p>

Barrier	Definition	Evidence Required
	<p>Adults living with their parents should not be registered under this indicator unless they are all homeless or living in insecure or in inadequate housing.</p> <p>(European Commission Monitoring and Evaluation Guidance: Annex C1)</p> <p>The definition of homeless can also include ‘sofa surfing’ - the practice of staying temporarily with various friends and relatives while attempting to find permanent accommodation.</p>	
<p>Living in a jobless household</p>	<p>“Households where no member is in employment i.e. all members are either unemployed or inactive”</p> <p>“ A household is defined as a housekeeping unit or, operationally as a social unit:</p> <ul style="list-style-type: none"> • having common arrangements • sharing household expenses or daily needs • is a shared common residence <p>A household includes either one person living alone or a group of people, not necessarily related, living at the same address with common housekeeping i.e. sharing at least one meal per day or sharing a living or sitting room.”</p> <p>(European Commission <i>Monitoring and Evaluation Guidance: Annex C1</i>)</p> <p>Only one jobless household barrier can be claimed for any participant. Meeting the definitions for 2 or more only counts as one barrier.</p>	<p>Referral from recognised agency/service who can reasonably be considered to have an accurate knowledge of the participant’s circumstances. (Housing Association, Local Authority Service, etc.)</p> <p>or</p> <p>A signed registration form is acceptable)</p> <p>In addition, evidence should be retained to demonstrate that the Operation (e.g. a Project Key Worker) has assessed whether the information provided in the Registration Form is accurate. (For example a description of the participants circumstances as part of a more detailed assessment.)</p>

Barrier	Definition	Evidence Required
<p>Living in a jobless household with dependent children</p>	<p>"Jobless" and "households" are defined above.</p> <p>“Dependent children refers to individuals aged 0-17 years and 18-24 years if inactive and living with at least one parent.”</p> <p>"Jobless" and "household" are defined above.</p> <p>(European Commission <i>Monitoring and Evaluation Guidance: Annex C1</i>)</p> <p>Only one jobless household barrier can be claimed for any participant. Meeting the definitions for 2 or more only counts as one barrier.</p>	<p>A signed registration form is acceptable.</p> <p>In addition, evidence should be retained to demonstrate that the Operation (e.g. a Project Key Worker) has assessed whether the information provided in the Registration Form is accurate. (For example a description of the participants circumstances as part of a more detailed assessment.)</p> <p>(If the individual is in receipt of benefits, they may wish to provide the following: Award letter detailing benefits e.g. Child Benefit, Housing Benefit, Council Tax Reduction, copy of individual’s bank statement showing benefits payment)</p> <p>or</p> <p>Referral from recognised agency/service who can reasonably be considered to have an accurate knowledge of the participant’s circumstances. (Housing Association, Local Authority Service, etc.)</p>
<p>Living in a single adult household with dependent children</p>	<p>“ An ‘adult’ is a person above 18 years of age”</p> <p>“Household” is defined above.</p> <p>(European Commission <i>Monitoring and Evaluation Guidance: Annex C1</i>)</p>	<p>A signed registration form is acceptable.</p> <p>In addition, evidence should be retained to demonstrate that the Operation (e.g. a Project Key Worker) has assessed whether the information provided in the Registration Form is accurate. (For example a description of the participants circumstances as part of a more detailed assessment.)</p> <p>(If the individual is in receipt of benefits, they may wish to provide the following: Award letter detailing benefits e.g. Child Benefit, Housing Benefit, Council Tax Reduction, copy of individual’s bank statement showing benefits payment)</p>

Barrier	Definition	Evidence Required
		<p>or</p> <p>Referral from recognised agency/service who can reasonably be considered to have an accurate knowledge of the participant’s circumstances. (Housing Association, Local Authority Service, etc.)</p>
<p>Long-term physical illness / condition **</p>	<p>As the definition of the indicator in Annex C of the Commission guidance specifically refers to “registered disabled” it is recommended that persons considered to be disabled but who are not registered are counted as “Long-term physical illness / condition’ and not as “Participants with disabilities”.</p> <p>“In this respect, it may be helpful to note the definition of the United Nations Convention on the Rights of Persons with Disabilities which considers disabled people to be those with “long-term physical, mental, intellectual, or sensory impairments which in interaction with various barriers may hinder their full and effective participation in society on an equal basis with others.””</p> <p>(European Commission <i>Monitoring and Evaluation Guidance: Annex D</i>)</p> <p>The Equality Act (2010) states that ‘long-term’ is defined as a period of 12 months or more.</p> <p>More detailed guidance is available via the following link: https://www.gov.uk/equality-act-2010-guidance</p>	<p>A signed registration form is acceptable.</p> <p>In addition, evidence should be retained to demonstrate that the Operation (e.g. a Project Key Worker) has assessed whether the information provided in the Registration Form is accurate. (For example a description of the participants circumstances as part of a more detailed assessment.)</p> <p>(If the individual is in receipt of benefits, they may wish to provide the following: Award letter detailing benefits e.g. Disability Living Allowance, Employment Support Allowance, Personal Independence Payment etc, copy of individual’s bank statement showing benefits payment).</p> <p>or</p> <p>Referral from recognised agency/service who can reasonably be considered to have an accurate knowledge of the participant’s circumstances. (DWP, Local Authority service, NHS, specialist services, etc.)</p>

Barrier	Definition	Evidence Required
Long-term Unemployed **	See Above (under 'Employment Status')	See Above (under 'Employment Status')
Looked after young person ***	<p>Under the provisions of the Children (Scotland) Act 1995, 'Looked After Children' are defined as those in the care of their local authority. The majority will come into one of these categories:</p> <ul style="list-style-type: none"> • Looked after at home • Looked after away from home <p>http://www.gov.scot/Topics/People/Young-People/protecting/lac/about</p> <p>This definition also includes young people leaving care up to and including the age of 25. Children and Young People (Scotland) Act 2014</p> <p>http://www.gov.scot/Topics/People/Young-People/legislation</p>	<p>Confirmation from Local Authority.</p> <p>or</p> <p>Referral from recognised agency/service who can reasonably be considered to have an accurate knowledge of the participant's circumstances. (DWP, Local Authority service, specialist services such as Barnardos, Scottish Throughcare and Aftercare Forum, etc.)</p>
Low income employed ***	<p>"Income below 60% of the national median equivalised disposable income after social transfers. "</p> <p>(European Commission <i>Monitoring and Evaluation Guidance: Annex D</i>)</p> <p>The Scottish Government Analytical Services Division uses the following methodology:</p> <p>Total household income (after taxes, benefits and earnings of all household members) is equivalised to take account of household size e.g. a household</p>	<p>A signed registration form is acceptable</p> <p>In addition, evidence should be retained to demonstrate that the Operation (e.g. a Project Key Worker) has assessed whether the information provided in the Registration Form is accurate e.g. copy of household income assessment by money adviser. Please note that it is not necessary to provide additional evidence of household income.</p> <p>(If the individual is in receipt of benefits, they may wish to provide the following also:</p>

Barrier	Definition	Evidence Required
	<p>with two adults and three children would need greater resources than a single adult The poverty threshold is 60% of the UK median – a ‘reference household’ is a couple with no children. http://www.gov.scot/Resource/0045/00454875.pdf</p> <p>Based on the 2015 / 2018 figures – the current poverty threshold is £302 a week (or £15,800 a year) for a couple (with no children)</p> <p>Poverty and income inequality in Scotland: 2015-2018</p> <p>Please note that, in certain circumstances, there may be justification for using a higher threshold amount as a result of differences in the local economy e.g. the cost of living may be higher in some areas.</p>	<p>Award letter detailing In-work benefits i.e. Working Tax Credits, Income Support (if less than 16 hours a week), Child Benefit, Housing Benefit).</p> <p>or</p> <p>Copy of the individual’s bank statement showing benefit payments.</p> <p>or</p> <p>Referral from recognised agency/service who can reasonably be considered to have an accurate knowledge of the participant’s circumstances. (DWP, Local Authority service, specialist services, etc.)</p>
Low skilled ***	<p>Individual’s highest level of qualification is at ISCED Level 2 or below, or instances where the participant has minimal qualifications at level 3 and their skills level can be deemed a barrier to employment e.g. poor literacy and / or numeracy skills.</p> <p>A table comparing the Commission ISCED levels to Scottish Qualification levels is available earlier in this guidance.</p>	<p>Evidence should be provided by the participant to confirm whether they are low skilled – see ‘Qualification’ table within ‘Eligibility – Evidence’ section for further guidance (where ‘low skilled’ is not being used as one of the two barriers that are required to be evidenced, a signed registration form is acceptable).</p> <p>In addition, evidence should be retained to demonstrate that the Operation (e.g. a Project Key Worker) has assessed whether the information provided in the Registration Form is accurate. (For example a description of the participants circumstances as part of a more detailed assessment.)</p>
Material Deprivation ***	<p>“Material deprivation refers to the situation of people who cannot afford a number of necessities</p>	<p>Evidence should be provided by the participant to confirm whether they consider themselves to meet the criteria defined</p>

Barrier	Definition	Evidence Required
	<p>considered essential to live a decent life in Europe. Individuals are considered to be under material deprivation if living in households who lack at least three of the following nine items because they cannot afford them:</p> <ol style="list-style-type: none"> 1. to face unexpected expenses; 2. one week annual holiday away from home; 3. to pay for arrears (mortgage or rent, utility bills or hire purchase instalments); 4. a meal with meat, chicken or fish every second day; 5. to keep home adequately warm; 6. to have a washing machine; 7. to have a colour TV; 8. to have a telephone; 9. to have a personal car <p>(see: http://ec.europa.eu/eurostat/documents/3217494/5722557/KS-31-10-555-EN.PDF.)”</p> <p><i>(European Commission Monitoring and Evaluation Guidance: Annex D)</i></p>	<p>in Annex D (in this case, a signed registration form is acceptable).</p> <p>In addition, evidence should be retained to demonstrate that the Operation (e.g. a Project Key Worker) has assessed whether the information provided in the Registration Form is accurate. (For example a description of the participants circumstances as part of a more detailed assessment.)</p>
<p>Mental health issues ***</p>	<p>Mental Health issues affect the way an individual thinks, feels and behaves, often has an impact on their day-to-day life and their ability to relate to others.</p> <p>The following list is indicative, but not inclusive, of the range of mental health issues that may be experienced:</p> <ul style="list-style-type: none"> • Depression • Anxiety • Phobias 	<p>A signed registration form is acceptable.</p> <p>In addition, evidence should be retained to demonstrate that the Operation (e.g. a Project Key Worker) has assessed whether the information provided in the Registration Form is accurate. (For example a description of the participants circumstances as part of a more detailed assessment.)</p> <p>or</p>

Barrier	Definition	Evidence Required
	<ul style="list-style-type: none"> • Eating Disorders • Personality Disorders <p>www.mind.org.uk</p>	<p>Referral from recognised agency/service who can reasonably be considered to have an accurate knowledge of the participant’s circumstances. (DWP, Local Authority service, NHS, specialist services, etc.)</p>
<p>Migrants, people with a foreign background, minorities (including marginalised communities such as the Roma) **</p>	<p><u>Migrants</u> Non-national permanent residents in a country, people with a foreign background or nationals from a minority (according to national definitions). (European Commission Monitoring and Evaluation Guidance: Annex C1)</p> <p><u>Minorities</u> “There is no single definition of a minority group. In general, when linked with disadvantage, the term minority can be taken to refer to any group with personal characteristics that are subject to discrimination, which range from ethnicity or religious belief to sexual preference. The precise definitions adopted for ESF monitoring will, therefore, depend on national definitions. In relation to ethnic minorities, which are likely to constitute the most widely recognised minority groups, the working definitions of previous ESF evaluations may be used:</p> <p>Ethnic minority – individuals with a different cultural tradition or background from the majority of the population.</p> <p>National minority – individuals from relatively well-established minority groups living in particular EU countries. National minorities have been established for a number of generations in some EU countries, such as Russians and Poles in the</p>	<p><u>Migrants / Foreign Background</u> Copy of passport / visa / work permit to confirm nationality and that the individual has the right to legally reside (and, if relevant to the operation, work) in the UK.</p> <p><u>Personal characteristics that are subject to discrimination</u> A signed registration form is acceptable</p> <p>In addition, evidence should be retained to demonstrate that the Operation (e.g. a Project Key Worker) has assessed whether the information provided in the Registration Form is accurate. (For example a description of the participants circumstances as part of a more detailed assessment.)</p>

Barrier	Definition	Evidence Required
	<p>Baltic States, and the Hungarian minority in Romania.</p> <p>Indigenous minorities - ethnic groups that are long-standing residents of a particular EU country. They may have a migrant, indigenous or landless nomadic background. (European Commission <i>Monitoring and Evaluation Guidance: Annex D</i>)</p> <p><u>Foreign background</u> "Similarly, in the absence of a national definition for "people with a foreign background" the term should be understood according to the following international recommendation (UNECE in cooperation with Eurostat): persons with a foreign background are "... persons whose parents were born outside the country. The persons in this group may or may not have directly experienced an international migration" (European Commission <i>Monitoring and Evaluation Guidance: Annex D</i>)</p>	
<p>No or Limited work experience ***</p>	<p>Individuals who have no, or limited, experience of paid employment.</p> <p>This can include individuals who have a notable gap(s) within their work history e.g. due to being inactive from the labour market because of family / caring responsibilities, periods of ill health etc</p> <p>In addition, this can include individuals who have worked for very limited periods of time e.g. Christmas cover.</p>	<p>Evidence should be provided by the participant to confirm whether they have work experience (in this case, a signed registration form is acceptable).</p> <p>In addition, evidence should be retained to demonstrate that the Operation (e.g. a Project Key Worker) has assessed whether the information provided in the Registration Form is accurate. (For example a description of the participants circumstances as part of a more detailed assessment.)</p> <p>or</p>

Barrier	Definition	Evidence Required
		Referral from recognised agency/service who can reasonably be considered to have an accurate knowledge of the participant's circumstances. (DWP, Local Authority service, SDS, specialist services, etc.)
Primary carer of a child/children (under 18) or adult ***	Primary carer of a child/children (under 18) or adult.	<p>Evidence should be provided by the participant to demonstrate that they are the primary carer of a child/children (under 18) or an adult. (in this case, a signed registration form is acceptable)</p> <p>In addition, evidence should be retained to demonstrate that the Operation (e.g. a Project Key Worker) has assessed whether the information provided in the Registration Form is accurate. (For example a description of the participants circumstances as part of a more detailed assessment.)</p> <p>(If the individual is in receipt of benefits, they may wish to provide the following also: Award letter detailing benefits e.g. Carers Credit, Carers Allowance, copy of the individual's bank statement showing benefit payments.)</p> <p>or</p> <p>Referral from recognised agency/service who can reasonably be considered to have an accurate knowledge of the participant's circumstances. (DWP, Local Authority service, specialist services, etc.)</p>
Primary carer of older person ***	Primary carer for a person over the age of 65 (this is the threshold used to qualify for Attendance Allowance).	Evidence should be provided by the participant to demonstrate that they are the primary carer of an older person. (in this case, a signed registration form is acceptable)

Barrier	Definition	Evidence Required
		<p>In addition, evidence should be retained to demonstrate that the Operation (e.g. a Project Key Worker) has assessed whether the information provided in the Registration Form is accurate. (For example a description of the participants circumstances as part of a more detailed assessment.)</p> <p>(If the individual is in receipt of benefits, they may wish to provide the following also: Award letter detailing benefits e.g. Carers Credit, Carers Allowance, copy of the individual's bank statement showing benefit payments.)</p> <p>or</p> <p>Referral from recognised agency/service who can reasonably be considered to have an accurate knowledge of the participant's circumstances. (DWP, Local Authority service, specialist services such as Carers UK, etc.)</p>
<p>Refugee ***</p>	<p>An individual who 'owing to a well-founded fear of being persecuted for reasons of race, religion, nationality, membership of a particular social group, or political opinion, is outside the country of his nationality, and is unable to or, owing to such fear, is unwilling to avail himself of the protection of that country'</p> <p>(Article 1, 1951 Convention Relating to the Status of Refugees)</p> <p>A refugee is entitled to the same social and economic rights as any UK citizen. Refugees have full access to medical treatment, education, housing and employment.</p>	<p>Proof of Refugee Status, Humanitarian Protection, Discretionary Leave to Remain or Indefinite Leave to Remain in the UK, including:</p> <ul style="list-style-type: none"> • a Home Office letter confirming status and permission to work • a Home Office Certificate of Identity • a benefits notification letter • an Immigration Status Document. <p>http://www.scottishrefugeecouncil.org.uk/</p>

Barrier	Definition	Evidence Required
	http://www.gov.scot/Topics/People/Equality/Refugees-asylum	
Substance related conditions ***	<p>The continued misuse of substances (typically alcohol or drugs) that severely affects an individual's physical and mental health, social situation and responsibilities.</p> <p>This can include individuals in recovery where this remains a barrier to progressing within the labour market.</p>	<p>A signed registration form is acceptable.</p> <p>In addition, evidence should be retained to demonstrate that the Operation (e.g. a Project Key Worker) has assessed whether the information provided in the Registration Form is accurate. (For example a description of the participants circumstances as part of a more detailed assessment.)</p> <p>or</p> <p>Referral from recognised agency/service who can reasonably be considered to have an accurate knowledge of the participant's circumstances. (DWP, Local Authority service, NHS, specialist services, etc.)</p>
Underemployed ***	<p>This barrier relates to 'Employed' participants only.</p> <p>An employment situation that is insufficient in some important way for the worker</p> <p>Examples include</p> <ul style="list-style-type: none"> • holding a part-time job despite desiring full-time work, • skills underutilisation - where the employee has education, experience, or skills beyond the requirements of the job. 	<p>Evidence should be provided by the participant to demonstrate that they are underemployed. (in this case, a signed registration form is acceptable)</p> <p>In addition, evidence should be retained to demonstrate that the Operation (e.g. a Project Key Worker) has assessed whether the information provided in the Registration Form is accurate. (For example a description of the participants circumstances as part of a more detailed assessment.)</p> <p>or</p> <p>For Universal Credit claimants copy of 'My Work Plan' or other DWP document demonstrating requirement to increase working hours.</p> <p>or</p>

Barrier	Definition	Evidence Required
		Referral from recognised agency/service who can reasonably be considered to have an accurate knowledge of the participant's circumstances. (DWP, Local Authority service, specialist services, etc.)

Barrier	Definition	Evidence Required
<p>Households where the youngest dependent is aged <1 ***</p>	<p>A participant who resides in a household which includes a dependent under 1 year of age</p> <p>“Dependent children refers to individuals aged 0-17 years and 18-24 years if inactive and living with at least one parent.”</p> <p>Please note the participant may not necessarily be the primary carer.</p>	<p>Referral from recognised agency/service who can reasonably be considered to have an accurate knowledge of the participant's circumstances. (e.g. Housing Association, Local Authority Service, DWP, Specialist 3rd Sector Agency, etc.)</p> <p>OR</p> <p>A signed registration form is acceptable</p> <p>In addition, evidence should be retained to demonstrate that the Operation (e.g. a Project Key Worker) has assessed whether the information provided in the Registration Form is accurate. (For example a description of the participants circumstances as part of a more detailed assessment.)</p> <p>Please refer to the ESF FAQ, Q20, Page 25 on the importance of the project worker assessment which links the participants needs & barriers with the activity being proposed.</p> <p>Or</p> <p>Where the individual is in receipt of benefits they may wish to provide the following: Award letter detailing benefits eg, child benefit, housing benefit, council tax reduction, copy of individuals bank statement showing benefits payment.</p>

Barrier	Definition	Evidence Required
<p>Households with 3> Dependents ***</p>	<p>A participant who resides in a household where there are 3 dependents or more</p> <p>“Dependent children refers to individuals aged 0-17 years and 18-24 years if inactive and living with at least one parent.”</p> <p>Please note the participant may not necessarily be the primary carer.</p>	<p>Referral from recognised agency/service who can reasonably be considered to have an accurate knowledge of the participant’s circumstances. (e.g. Housing Association, Local Authority Service, DWP, Specialist 3rd Sector Agency, etc.)</p> <p>OR</p> <p>A signed registration form is acceptable</p> <p>In addition, evidence should be retained to demonstrate that the Operation (e.g. a Project Key Worker) has assessed whether the information provided in the Registration Form is accurate. (For example a description of the participants circumstances as part of a more detailed assessment.)</p> <p>Please refer to the ESF FAQ, Q20, Page 25 on the importance of the project worker assessment which links the participants needs & barriers with the activity being proposed.</p> <p>Or</p> <p>Where the individual is in receipt of benefits they may wish to provide the following: Award letter detailing benefits eg, child benefit, housing benefit, council tax reduction, copy of individuals bank statement showing benefits payment.</p>

Barrier	Definition	Evidence Required
Employment Status affected by Covid -19 ***	<p>A participant who has at least one additional barrier and their employment status has been affected by the Covid-19 pandemic including:</p> <ul style="list-style-type: none"> • Redundancy • Leaving employment due to health reasons in relation to Covid-19 • Under employed because of Covid-19² • Unable to enter education and training due to Covid-19 • Self employed participants who are not working or are working reduced hours as a result of Covid-19 	<p><u>Redundancy</u></p> <p>Letter from employer notifying redundancy</p> <p>And</p> <p>Evidence should be retained to demonstrate that a Project Key Worker has assessed the participants circumstances prior to Covid-19 and can confirm that they are have been made redundant due to the impact of Covid-19</p> <p>Please refer to the ESF FAQ, Q20, Page 25 on the importance of the project worker assessment which links the participants needs & barriers with the activity being proposed</p> <p>OR</p> <p>Signed Registration form is acceptable.</p> <p>Evidence should be retained to demonstrate that a Project Key Worker has assessed the participants circumstances prior to Covid-19 and can confirm that they have been made redundant due to the impact of Covid-19</p> <p>Please refer to the ESF FAQ, Q20, Page 25 on the importance of the project worker assessment which links the participants needs & barriers with the activity being proposed</p>

² Under-employed because of Covid-19 and Under-employed are distinct barriers and only one should be used. Under-employed because of Covid-19 is a situation where a person has been made redundant due to Covid-19 and any new employment situation is insufficient for the worker eg, working reduced hours or working in a lower skilled job.

Barrier	Definition	Evidence Required
		<p><u>Leaving employment due to ill health</u></p> <p>Letter to employer giving notice period which cites health reasons in relation to Covid-19.</p> <p>OR</p> <p>A signed registration form is acceptable</p> <p>In addition, evidence should be retained to demonstrate that the Operation (e.g. a Project Key Worker) has assessed whether the information provided in the Registration Form is accurate. (For example a description of the participants circumstances as part of a more detailed assessment.)</p> <p>Please refer to the ESF FAQ, Q20, Page 25 on the importance of the project worker assessment which links the participants needs & barriers with the activity being proposed.</p> <p><u>Underemployed because of Covid-19</u></p> <p>For Universal Credit claimants copy of 'My Work Plan' or other DWP document demonstrating requirement to increase working hours.</p> <p>AND</p> <p>Evidence should be retained to demonstrate that a Project Key Worker has assessed the participants circumstances prior to Covid-19 and can confirm that they are under-employed due to the impact of Covid-19</p> <p>Please refer to the ESF FAQ, Q20, Page 25 on the importance of the project worker assessment which links the participants needs & barriers with the activity being proposed</p>

Barrier	Definition	Evidence Required
		<p>OR</p> <p>Written Confirmation from an Employer or a Payslip demonstrating receipt of the Corona-Virus Job Retention Scheme (Flexible Furloughed) or any replacement / future / additional Schemes</p> <p>OR</p> <p>Referral from recognised agency/service who can reasonably be considered to have an accurate knowledge of the participant's circumstances. (DWP, Local Authority service, specialist services etc.)</p> <p>OR</p> <p>A signed registration form is acceptable</p> <p>In addition, evidence should be retained to demonstrate that the Operation (e.g. a Project Key Worker) has assessed whether the information provided in the Registration Form is accurate. (For example a description of the participants circumstances prior to Covid-19 that identifies which of the give definitions is applicable as part of a more detailed assessment.)</p> <p><u>Unable to enter education and training due to Covid-19</u></p> <p>A signed registration form is acceptable</p> <p>In addition, evidence should be retained to demonstrate that the Operation (e.g. a Project Key Worker) has assessed whether the information provided in the Registration Form is accurate. (For example a description of the participants circumstances as part of a more detailed assessment.)</p>

Barrier	Definition	Evidence Required
		<p>Please refer to the ESF FAQ, Q20, Page 25 on the importance of the project worker assessment which links the participants needs & barriers with the activity being proposed</p> <p>OR</p> <p>Letter/email from College or training provider explaining that they cannot accommodate further education or training due to Covid-19.</p> <p><u>Self Employed participants who are not working or are working reduced hours as a result of Covid-19</u></p> <p>Self-employed Confirmation of self-employment e.g. HMRC letter evidencing registration. or Bank statement for business account. or Registration with Companies House</p> <p>AND</p> <p>Evidence should be retained to demonstrate that a Project Key Worker has assessed the participants circumstances prior to Covid-19 and can confirm that the impact of Covid-19 has resulted in them working reduced hours or not working at all.</p> <p>OR</p> <p>A signed registration form is acceptable</p> <p>In addition, evidence should be retained to demonstrate that the Operation (e.g. a Project Key Worker) has assessed whether the information provided in the Registration Form is accurate. (For example a description of the participants circumstances prior to Covid-19 that identifies which of the give</p>

Barrier	Definition	Evidence Required
		<p>definitions is applicable as part of a more detailed assessment.)</p> <p>Please refer to the ESF FAQ, Q20, Page 25 on the importance of the project worker assessment which links the participants needs & barriers with the activity being proposed.</p>
<p>Young People Aged <25 impacted by Covid-19 ***</p>	<p>Individuals must be aged 24 years and below. The age of the participant is calculated from the date of birth and determined on the date of entering the ESF operation.</p>	<p>Official documentation showing date of birth:</p> <ul style="list-style-type: none"> • Birth certificate • Driving licence (full or provisional) • Passport (UK or other EU Member State) – must be valid and unexpired • National Insurance number eg, NI Card, correspondence from HMRC / DWP / Jobcentre Plus / Pension Service, contract of employment, wage slip • National Identity Card (EU) • Evidence that in receipt of age related state benefits • Proof of age cards that include PASS hologram or have been issued by a government agency / statutory body eg, Young Scot Card, Citizen Card • European Health Insurance Card • NHS Correspondence (where age is stipulated) <p>AND</p> <p>Evidence should be retained to demonstrate that a Project Key Worker has assessed the participants circumstances and can confirm that Covid-19 has impacted on their life.</p>

Social Inclusion & Poverty - Target Groups

Please note that although Social Inclusion & Poverty Inclusion deals with households, participants should be registered and entered on EUMIS on an individual basis (where appropriate). Participants must be able to demonstrate that they are within one of the key target groups of Workless, Lone Parent or Low Income households. There is no requirement for individuals to have multiple barriers to employment, however, it is expected that many of the participants will have additional barriers / disadvantages (over and above the main target groups) and this information should still be collected on registration forms and MI Systems (along with the other common indicators).

Please note that a “household” is defined as:

“a housekeeping unit or, operationally as a social unit:

- having common arrangements
- sharing household expenses or daily needs
- is a shared common residence

A household includes either one person living alone or a group of people, not necessarily related, living at the same address with common housekeeping i.e. sharing at least one meal per day or sharing a living or sitting room.”

(European Commission *Monitoring and Evaluation Guidance: Annex C1*)

Target Group	Definition	Evidence Required
<p>Workless Household **</p>	<p>All individuals living within the household must be either unemployed or inactive (please refer to the ‘Employment Status’ table above for further definitions).</p> <p>Please note that for the purposes on reporting on EUMIS, either ‘Living in a Jobless Household’ or ‘Living in a jobless household with dependent children’ should be selected.</p>	<p>Evidence should be provided by the participant to demonstrate that they are living in a jobless household. (in this case, a signed registration form is acceptable)</p> <p>In addition, evidence should be retained to demonstrate that the Operation (e.g. a Project Key Worker) has assessed whether the information provided in the Registration Form is accurate. (For example a description of the participants circumstances as part of a more detailed assessment.)</p> <p>or</p> <p>Referral from recognised agency/service who can reasonably be considered to have an accurate knowledge of the participant’s circumstances. (Housing Association, Local Authority Service, etc.)</p>

Target Group	Definition	Evidence Required
<p>Low Income Household ***</p>	<p>It should be noted that under Social Inclusion & Poverty interventions, this target group includes Workless Households.</p> <p>As described earlier in the 'Definitions' section, 'Low Income' is defined as: "Income below 60% of the national median equivalised disposable income after social transfers. " (European Commission <i>Monitoring and Evaluation Guidance: Annex D</i>)</p> <p>The Scottish Government Analytical Services Division uses the following methodology:</p> <p>Total household income (after taxes, benefits and earnings of all household members) is equivalised to take account of household size e.g. a household with two adults and three children would need greater resources than a single adult The poverty threshold is 60% of the UK median – a 'reference household' is a couple with no children. http://www.gov.scot/Resource/0045/00454875.pdf</p> <p>Based on the 2015 / 2018 figures – the current poverty threshold is £302 a week (or £15,800 a year) for a couple (with no children)</p> <p>Poverty and income inequality in Scotland: 2015-2018</p> <p>In certain circumstances, there may be justification for using a higher threshold amount as a result of differences in the local economy e.g. the cost of living may be higher in some areas.</p>	<p>A signed registration form is acceptable.</p> <p>In addition, evidence should be retained to demonstrate that the Operation (e.g. a Project Key Worker) has assessed whether the information provided in the Registration Form is accurate e.g. copy of household income assessment by a money adviser. Please note that it is not necessary to provide additional evidence of household income.</p>

Target Group	Definition	Evidence Required
	<p>In addition, participants who are considered to be experiencing 'Material deprivation' can be considered as being within the 'Low Income' target group.</p> <p>As described earlier in the 'Definitions' section, 'Material Deprivation refers to the situation of people who cannot afford a number of necessities considered essential to live a decent life in Europe. Individuals are considered to be under material deprivation if living in households who lack at least three of the following nine items because they cannot afford them:</p> <ol style="list-style-type: none"> 1. to face unexpected expenses; 2. one week annual holiday away from home; 3. to pay for arrears (mortgage or rent, utility bills or hire purchase instalments); 4. a meal with meat, chicken or fish every second day; 5. to keep home adequately warm; 6. to have a washing machine; 7. to have a colour TV; 8. to have a telephone; 9. to have a personal car <p>Please note that for the purposes on reporting on EUMIS, 'Low Income (social inclusion and poverty)' should be selected.</p>	
Lone Parent Household ***	<p>" An 'adult' is a person above 18 years of age"</p> <p>"Dependent children refers to individuals aged 0-17 years and 18-24 years if inactive and living with at least one parent."</p>	<p>A signed registration form is acceptable.</p> <p>In addition, evidence should be retained to demonstrate that the Operation (e.g. a Project Key Worker) has assessed whether the information provided in the Registration Form is</p>

Target Group	Definition	Evidence Required
	<p>(European Commission Monitoring and Evaluation Guidance: Annex C1)</p> <p>Please note that for the purposes on reporting on EUMIS, 'Living in a single adult household with dependent children' should be selected.</p>	<p>accurate. (For example a description of the participants circumstances as part of a more detailed assessment.)</p> <p>(If the individual is in receipt of benefits, they may wish to provide the following: Award letter detailing benefits e.g. Child Benefit, Housing Benefit, Council Tax Reduction)</p> <p>or</p> <p>Referral from recognised agency/service who can reasonably be considered to have an accurate knowledge of the participant's circumstances. (Housing Association, Local Authority Service, etc.)</p>

ANNEX A: Acceptable Evidence (01/01/15 – 31/03/17)

The following should be noted for participant information collected in 2015 and 2016 (and up to 31 March 2017).

General

- Disclosure forms should not be used to evidence any information recorded in the Registration Form and must not be forwarded to the MA.
- Where documentation can be presented that provides a narrative about the Participant, the MA may accept this in lieu of evidence listed in the 'Eligibility – Evidence' section of the guidance. This will be considered on an individual basis and should only be used in exceptional circumstances.

Registration Form

- A Registration Form is a basic requirement to be able to evidence participant eligibility.
- The Registration Form must adhere to the information recorded within the Participant Guidance. In addition, forms should be signed by the participant as a minimum and, where possible, a Case Worker. The MA will accept unsigned Registration Forms where a narrative can be provided via other documents e.g. a signed Action Plan. The participant must be made aware that they are receiving ESF support and appropriate logos must be used.
- Lead Partners should consider whether using generic Registration Forms (e.g. forms that are not specifically created for 'ESF' or relate to another source of funding) meet the basic requirements detailed in the Participant Guidance. Lead Partners should note that it may be difficult e.g. to evidence additionality or to ensure that the Participant is aware they are receiving ESF funding where generic forms are used.
- Where errors are made on the Registration Form, e.g. the employment status of 'Unemployed' is selected when 'Inactive' is actually the correct status, a file note should be added outlining the error, the reason the error was made, how the error has been rectified and confirmation that the correct information has now been recorded on both the Lead Partners Management Information System and EUMIS.

Common Indicators

Disability or Long-term physical illness/condition

- The Participant Guidance makes clear that a signed registration form is acceptable for the participants registered in 2015 and 2016 and it is not necessary to provide an additional Project Worker assessment also.

Education

- A signed registration form is acceptable for Employability and Social Inclusion & Poverty only unless 'Low Skilled' is being used as one of the two main barriers to employment. Please note that where participants are funded under ESF Priority 3, Lead Partners must provide evidence to demonstrate the qualification levels of the individual at registration.

Employment Status

- **Employed** – the evidence should comply with the information recorded in the 'Definitions' section of the Participant Guidance.

- **Inactive** – a signed registration form is acceptable to evidence this status. Where participants have been registered in 2015 and 2016 the Participant Guidance makes clear that it is not necessary to provide an additional Project Worker assessment.
- **Long-term Unemployed** – the evidence should comply with the information recorded in the ‘Definitions’ section of the Participant Guidance. Where this is not possible, it must be demonstrated that a reasonable attempt has been made to evidence the ‘length of unemployment’. In cases where the Lead Partner is still unable to provide this evidence a signed registration form may be used together with the evidence of the attempts. The Lead Partner must also demonstrate that the individual is ‘Unemployed’ in line with the ‘Definitions’ section of the Participant Guidance.
- **Unemployed** – the evidence should comply with the information recorded in the ‘Definitions’ section of the Participant Guidance.

From Rural Areas

- The evidence should comply with the information recorded in the Participant Guidance. Where a reasonable attempt has been made to evidence the Participant’s ‘address’ and the Lead Partner is still unable to do so, a signed registration form is acceptable provided the postcode is in the correct format.

Homeless or affected by housing exclusion

- The evidence should comply with the information recorded in the Participant Guidance.
- ‘Sofa-surfing’ – a signed registration form is acceptable.

Living in a Jobless Household

- The Participant Guidance makes clear that a signed registration form is acceptable for the participants registered in 2015 and 2016 and it is not necessary to provide an additional Project Worker assessment.

Living in a jobless household with dependent children

- The Participant Guidance makes clear that a signed registration form is acceptable for the participants registered in 2015 and 2016 and it is not necessary to provide an additional Project Worker assessment.

Living in a single adult household with dependent children

- The Participant Guidance makes clear that a signed registration form is acceptable for the participants registered in 2015 and 2016 and it is not necessary to provide an additional Project Worker assessment.

Migrants, people with a foreign background, minorities (including marginalised communities such as the Roma)

- The evidence should comply with the information recorded in the Participant Guidance.

Other Eligibility Criteria

Address

- For YEI only. Evidence should comply with the information recorded in the Participant Guidance Where a Lead Partner has made reasonable attempts to obtain evidence of the

individual's address, but are unable to do so, a signed Registration Form is acceptable (provided the postcode is in the correct format). Please note that this will only be accepted in exceptional circumstances - Lead Partners must attempt to obtain this documentation in all cases. .

Age

- Employability and Social Inclusion & Poverty only: In addition to the acceptable forms of evidence highlighted in the Participant Guidance, for participants registered in 2015 and 2016 the MA will accept evidence of a National Insurance Number as proof that the individual is of 'minimum working age'. Where the Lead Partner is unable to provide documentation confirming the National Insurance Number the MA will accept a signed registration form provided the National Insurance Number is recorded in the correct format. In addition, the MA will accept evidence that the individual is receiving benefits as proof of age. Please note that YEI participants must be between 16 and 29 years of age and Lead Partners must provide evidence to demonstrate the age of the participant at registration.

Legally able to reside (and, if relevant to the operation, work) in the UK.

- In addition to the acceptable forms of evidence highlighted in the Participant Guidance, for participants registered in 2015 and 2016 the MA will accept evidence of a National Insurance Number as proof that the individual is able to live and work in the UK. Where the Lead Partner is unable to provide documentation confirming the National Insurance Number the MA will accept a signed registration form providing the National Insurance Number has been recorded in the correct format. In addition, the MA will accept evidence that the individual is receiving benefits as proof of the right to reside and work in the UK.

'Low Skilled'

- The evidence should comply with the information recorded in the 'Eligibility – Evidence' and 'Definitions' section of the Participant Guidance. Where a reasonable attempt has been made to evidence the individual's qualifications and the Lead Partner is still unable to do so this information can be evidenced by a signed registration form.

Annex B - Labour Market Status Evidence Table – Universal Credit

ESF Labour market status	UC Labour Market Regime (LMR)	LMR Descriptor	Evidence NB: For using UC Account Screen Evidence – please refer to ‘how to use this table’ guidance (below this table) covering screenshot evidence and joint declarations.
Employed	Working enough (Conditionality group = “no work-related requirements”)	UC claimants whose earnings are over the individual or household conditionality earnings threshold (CET) OR self-employed and minimum income floor (MIF) applies.	<ul style="list-style-type: none"> • Evidence of employed – see ‘Employment Status’ table in the ‘Definitions’ section of this guidance (if this is available, then there is no need for any additional UC evidence as detailed below) <p style="text-align: center;">OR</p> <ul style="list-style-type: none"> • Official UC correspondence / correctly certified evidence from a Job Centre Work Coach (where possible) confirming the individual is in the LMR ‘working enough’ or any other information they can supply confirming that the individual is in paid employment. <p style="text-align: center;">OR</p> <ul style="list-style-type: none"> • Screenshot evidence from personal UC account – which could include one or more of the following <ul style="list-style-type: none"> - Evidence of income within payments screen - No 35 hour job search requirement within the claimant commitment - Change of work details recorded within the Journal

ESF Labour market status	UC Labour Market Regime (LMR)	LMR Descriptor	Evidence NB: For using UC Account Screen Evidence – please refer to `how to use this table` guidance (below this table) covering screenshot evidence and joint declarations.
Employed	Light touch (Conditionality group = “All work related requirements”)	Claimants with individual or household earnings above the Administrative Earnings Threshold (AET) but earnings are not enough to take them above the relevant individual or household Conditionality Earnings Threshold (CET)	<ul style="list-style-type: none"> • Evidence of employed – see ‘Employment Status’ table in the ‘Definitions’ section of this guidance (if this is available, then there is no need for any additional UC evidence as detailed below) <p style="text-align: center;">OR</p> <ul style="list-style-type: none"> • Official UC correspondence / correctly certified evidence from a Job Centre Work Coach confirming (where possible) the individual is in the LMR `light touch` or any other information they can supply confirming that the individual is in paid employment. <p style="text-align: center;">OR</p> <ul style="list-style-type: none"> • Screenshot evidence from personal UC account – which could include one or more of the following <ul style="list-style-type: none"> - No 35 hour job search requirement - Evidence of some income - Meeting with Work Coach required within claimant commitment and change of work details recorded within the Journal <p>(NB: those in `Light Touch` because of their partners circumstances should be treated as being unemployed.)</p>

ESF Labour market status	UC Labour Market Regime (LMR)	LMR Descriptor	Evidence NB: For using UC Account Screen Evidence – please refer to ‘how to use this table’ guidance (below this table) covering screenshot evidence and joint declarations.
Economically inactive	No work related requirements (Conditionality group = “no work related requirements”)	Claimants not expected to work at present. This includes: <ul style="list-style-type: none"> - Claimants with limited capability for work related activity following the Work Capability Assessment (WCA) - Over state pension age - Significant caring responsibilities for severely disabled person for at least 35 hours per week; - Lead carers with a child under 1 year of age. 	<ul style="list-style-type: none"> • Official DWP / UC correspondence / correctly certified evidence from a Job Centre Work Coach confirming (where possible) the individual is in the LMR ‘no work related requirements’ or any other information they can supply including confirmation that individual has not been assigned a work coach – or confirmation that the individual is only required to meet work coach infrequently. <p>OR</p> <ul style="list-style-type: none"> • Screenshot evidence from personal UC account – which could include one or more of the following <ul style="list-style-type: none"> - No evidence of income deductions from UC claim - Not assigned a work coach OR only required to meet work coach infrequently - Evidence of attending work capability assessment - Evidence such as absence of work-coach meetings / liaison - Within the Journal, a letter confirming the claimant has Limited Capability to Work - Within the payments screen, an LCWRA element payable, to those who have Limited Capability for work. - Within the payments screen, a Carers element payable to those who have caring responsibilities for over 35 hours per week.

ESF Labour market status	UC Labour Market Regime (LMR)	LMR Descriptor	Evidence NB: For using UC Account Screen Evidence – please refer to `how to use this table` guidance (below this table) covering screenshot evidence and joint declarations.
Economically Inactive	Work preparation (Conditionality Group = Work Preparation).	Claimants expected to work in the future but are currently nominated lead carers for children. This includes: <ul style="list-style-type: none"> - those assessed as having limited capability for work (LCW) - lead carer where the youngest child is aged 2 	<ul style="list-style-type: none"> • Official UC correspondence / correctly certified evidence from a Job Centre Work Coach confirming (where possible) the individual is in the LMR `work preparation` or any other information they can supply confirming that the individual is neither employed nor unemployed (actively seeking) – or confirmation that the individual is only required to meet work coach infrequently. <p>OR</p> <ul style="list-style-type: none"> • Screenshot evidence from personal UC account – which could include one or more of the following: <ul style="list-style-type: none"> - no evidence of income deductions from UC claim - not assigned a work coach OR only required to meet work coach infrequently - Within the Journal, a letter confirming the claimant has Limited Capability to Work. - For those with lead caring responsibilities, the claimant commitment will reflect only the following work preparation type activities. <ul style="list-style-type: none"> • attending a skills assessment • preparing a CV • improving personal presentation • participating in an employment programme • developing a business plan • research childcare costs and provision

ESF Labour market status	UC Labour Market Regime (LMR)	LMR Descriptor	Evidence NB: For using UC Account Screen Evidence – please refer to ‘how to use this table’ guidance (below this table) covering screenshot evidence and joint declarations.
Economically Inactive	Work focussed interview	Claimants expected to work in the future but are currently nominated lead carers for children. This includes: <ul style="list-style-type: none"> • a nominated lead carer of a youngest child aged 1 • a single foster carer / main carer in a fostering couple where certain conditions apply • family and friends carer (also known as kinship carer) for the first year that the claimant is the responsible carer for a child under 16 	<ul style="list-style-type: none"> • Official UC correspondence / correctly certified evidence from a Job Centre Work Coach (where possible) confirming the individual is in the LMR ‘work focussed interview’ or any other information they can supply confirming that the individual is neither employed nor unemployed (actively seeking) or any other information they can supply including confirmation that individual has not been assigned a work coach – or confirmation that the individual is only required to meet work coach infrequently. <p>OR</p> <ul style="list-style-type: none"> • Screenshot evidence from personal UC account – which could include one or more of the following: <ul style="list-style-type: none"> - no evidence of income deductions from UC claim - not assigned a work coach OR only required to meet work coach infrequently - no requirement to actively seek employment or undertake work related activities in claimant commitment.

ESF Labour market status	UC Labour Market Regime (LMR)	LMR Descriptor	Evidence NB: For using UC Account Screen Evidence – please refer to `how to use this table` guidance (below this table) covering screenshot evidence and joint declarations.
Unemployed NB Some of these people may be working but earning very low amounts	Intensive work search	Claimants not working and those working but earning very low amounts and expected to take intensive action to secure work or work more.	<ul style="list-style-type: none"> • Official DWP/ UC Correspondence / Evidence from a Job Centre Work Coach (where possible) confirming the individual is in the LMR `intensive work search` or any other information they can supply confirming that the individual is neither employed nor unemployed (actively seeking) or has not been assigned a work coach – or confirmation that the individual is only required to meet work coach infrequently <p>OR</p> <ul style="list-style-type: none"> • Screenshot evidence from personal UC account – which could include one or more of the following: <ul style="list-style-type: none"> - claimant commitment refers to the need for the individual to be looking for work (it may specify up to 35 hours / week job search) – see Intensive Work Search claimant commitment - claimant has been assigned a Job Centre Work Coach who he/she has to meet / meets on a regular basis (once a month or more) - no evidence of income

How to use this table – including screenshot evidence and joint declarations.

This table sets out evidence that can be used to verify eligibility (in relation to labour market status) for people in receipt of Universal Credit and who wish to join ESF.

It should be remembered that **eligibility³ relates to the date the individual joins the ESF operation** eg, the participant has multiple barriers. There are three scenarios:

1. **Where a participant newly registers for Universal Credit**, the dates used in any evidence should indicate that they at least cover the date that the individual joined. UC benefits are often paid on a monthly cycle – so it may take some time before any receipt of benefit appears on the individual's UC account. It is possible that an individual applying for ESF is genuinely unemployed – but this is not fully reflected in the account / latest screenshot because they have only recently become unemployed. In this instance, in the absence of any other available evidence, a brief record of the individual's personal circumstances (including details of their unemployment) be kept alongside a signed self-certification and that the relevant UC screenshot evidence be collected as soon as possible after it appears in the account.
2. Where a participant is **already registered** for Universal Credit, evidence of payments made to the participant must be collected and retained **within 4 weeks** of the registration date. If the evidence from the UC system includes the UC header and footer, and the participants name then there is no need to get the participant to sign and date the document. **If the documentation does not include the participants name then physical hard copies should be printed-off and countersigned / dated by the individual participant and Project Worker as part of a joint declaration.**
3. Where a participant registers for Universal Credit, starts the assessment period but leaves⁴ before they get the first payment evidence, a signed registration form, a brief record of the individual's circumstances and a print out of My Commitments or Journal Page should be retained.

³ Eligibility for ESF programme rather than eligibility for Universal Credit

⁴ For example, participant moves into employment

Background Information on UC Online Accounts

Universal Credit On-line accounts help individuals:

- keep a record of the actions they have undertaken to prepare or look for work;
- communicate with work coaches (messages can be sent via the system – and individuals can read their work coaches replies)
- report a change of circumstance
- provide details about a health condition or disability
- see details on how much UC benefits payments
- record (claimant) commitments – what the individual has agreed to do.
-

UC On-line Account: `To-do list`

Things that an individual need to do whilst applying for / on Universal Credit are set out in the `to do` list section of the UC online account. These could be things that need to be done to complete a claim or things the individual has agreed to do as part of their claimant commitment.

Tasks that have been completed in the `to-do` list are moved from the `to-do` list to the `journal`.

UC On-line Account: `The Journal`

The journal keeps a record of everything that the individual has done whilst claiming Universal Credit

The journal can be used to send / receive messages to work coaches and a record of the online conversation are stored on the journal

Individuals should use the journal to tell their r work coach of actions they have taken such as: job-applications; job interviews; and any training undertaken. CVs can also be stored on the journal.

UC On-line Account: Payments

The online account will show details of Universal Credit payments – including an explanatory breakdown of payments.

Payments: Contains a monthly statement, detailing UC payments and details of any earnings.

My commitments: Contains the latest claimant commitment.

Journal: Details of activities undertaken and changes declared.

The screenshot shows the Universal Credit portal interface. At the top, the navigation bar includes 'Universal Credit', 'To-do list', 'Claimants', 'Colleagues', 'Teams', and 'Telephone ID check'. The user is logged in as 'agent2084' and can 'Sign out'. The main content area is titled 'Viewing Algermon Bondmartin' and has a 'Close view' link. Below this is a navigation bar with 'Home', 'To-do list', and 'Journal'. The 'Home' section displays: 'Your next payment is due in 12 days.', 'How much you'll get will depend on your circumstances from 1 July 2018 to 31 July 2018.', and several action buttons: 'Report a change of circumstances', 'View to-do list', 'Payments', and 'Job applications' (interested, applied, interviewing). The 'Journal' section has an 'Add a note to your journal' button. The 'To-do list' section has a 'My commitments' button and a 'Guide' button. Below the main content is a section titled 'Your commitments' with explanatory text: 'This is what you've agreed to do in order to receive Universal Credit.', 'It's important that you understand that in return for your Universal Credit payment you're agreeing to look for extra work.', and 'You'll need to do everything you reasonably can to increase your earnings. Your work coach will help you agree your commitments.'

Example Commitment for:

- Working enough
- No work related requirements

The screenshot shows a web browser window displaying the Universal Credit portal. The address bar shows the URL: <https://agent-training02.digital.uc.dwp.gov.uk/agentv>. The page header includes the Universal Credit logo and navigation links: [To-do list](#), [Claimants](#), [Colleagues](#), [Teams](#), and [Telephone ID check](#). The user is logged in as 'agent2084' with a 'Sign out' link. The page title is 'Viewing Terry Bondmartin' with a 'Close view' link.

Below the header is a navigation bar with three tabs: 'Home', 'To-do list', and 'Journal'. The 'To-do list' tab is active.

My commitments

Accepted on 26 July 2018.

I'll use my online account to report changes to my circumstances.

Using my online account

I'll sign in to my online account often to:

- complete all activities in my to-do list
- report changes to my circumstances promptly, including changes to work

If I can't get online, I'll report any changes by calling 0800 328 5644 (Textphone: 0800 328 1344).

[Back](#)

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At the bottom of the page, there is a footer with links for [Contact](#), [Privacy](#), and [Cookies](#), and the Royal Coat of Arms.

The Windows taskbar at the bottom shows the time as 11:52 on 26/07/2018.

Example Commitment for: Light Touch

Universal Credit To-do list Claimants Colleagues Teams Telephone ID check agent2084 Sign out

Viewing Algemon Bondmartin Close view

Home To-do list Journal

My commitments

Accepted on 18 June 2018.

I'll do everything that I can to find work or earn more.

Meetings with my work coach I'll attend and take part fully in all meetings with my work coach. I'll tell my work coach immediately if I can't do this.

Using my online account I'll sign in to my online account often to:

- complete all activities in my to-do list
- report changes to my circumstances promptly, including changes to work

If I can't get online, I'll report any changes by calling 0800 328 5644 (Textphone: 0800 328 1344).

[More about sanctions](#)

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11:56 26/07/2018

Example Commitment for: Intensive work search

The screenshot shows a web browser window with the URL <https://agent-training02.digital.dwp.gov.uk/agent/v>. The page title is 'Intensive work search regime | DWP Instant'. The user is logged in as 'agent2084' and can sign out. The page content is as follows:

My commitments

Accepted on 18 June 2018.

I'll do everything that I can to find work or earn more.

Work I can do	<p>I'll look for and take any work that I'm able to do, including:</p> <ul style="list-style-type: none">• Waitress• Customer service <p>I'll also apply for any jobs recommended by my work coach.</p> <p>I'll look for full-time work for the minimum wage or more.</p>
My availability	<p>I'm available for job interviews immediately and will participate fully. I'm available to start work immediately.</p>
Travel to work	<p>I can travel up to 90 minutes to work.</p>
What I'll do	<p>I'll normally spend 35 hours a week looking and preparing for work.</p> <p>I've agreed with my work coach that I'll:</p> <ul style="list-style-type: none">• Internet search• Putting CV's in to cafe's and restaurants
Extra activities	<p>I haven't discussed any extra activities.</p>
Meetings with my work coach	<p>I'll attend and take part fully in all meetings with my work coach. I'll tell my work coach immediately if I can't do this.</p>
Using my online account	<p>I'll sign in to my online account often to:</p> <ul style="list-style-type: none">• complete all activities in my to-do list• report changes to my circumstances promptly, including changes to work <p>If I can't get online, I'll report any changes by calling 0800 328 5644 (Textphone: 0800 328 1344).</p>

Example Journal:

Universal Credit To-do list Claimants Colleagues Teams Telephone ID check agent2084 Sign out

Viewing Algenon Bondmartin Close view

Add a journal note

This will be added to the claimant's journal

[Attach a file](#)

Notify claimant by text or email

[Save journal note](#)

Journal entries

18 Jun 2018 at 11:11am	About reduced payments (sanctions)	Completed by an agent
18 Jun 2018 at 11:11am	Accept your commitments completed	Completed by an agent
18 Jun 2018 at 11:11am	Report change of work details	Completed by an agent
18 Jun 2018 at 11:11am	Work and earnings - declare changes completed	Completed by an agent
18 Jun 2018 at 11:08am	Entitlement to Universal Credit approved	
18 Jun 2018 at 11:07am	Personal Security Number issued	Completed by an agent
1 May 2018 at 1:55pm	Previous earnings from work	
1 May 2018 at 1:53pm	Get your identity documents ready completed	

Example Report change of work details:

https://agent-training02.digital.uc.dwp.gov.uk/agentv Journal - Universal Credit agent2084: Sign out

Universal Credit To-do list Claimants Colleagues Teams Telephone ID check

Viewing Algernon Bondmartin Close view

Home To-do list Journal

Report change of work details

Monday 18 June 2018 11:11am

Change of work details

The change occurred on 1 May 2018
Algernon currently does not receive additional payment
Algernon currently does not receive maternity allowance
Algernon is currently employed.
Algernon currently works **16** hours per week.
Algernon usually earns **£150** per week.

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Contact Privacy Cookies



12:02 26/07/2018

Example statement of payment:

Any additional elements i.e. Carers element will appear underneath the Standard allowance.

The screenshot shows the Universal Credit portal interface. At the top, there is a navigation bar with links for 'To-do list', 'Claimants', 'Colleagues', 'Teams', and 'Telephone ID check'. The user is logged in as 'agent2064' and can 'Sign out'. The main content area displays the following information:

- Your payment this month is**
£317
This will be paid by 8pm on 7 July 2018
- How we calculate your payment**
Your payment is based on what you've told us and covers the period between **1 June** and **30 June**.
- Standard allowance** £317.82
You receive a standard Universal Credit allowance each month
- Total before adjustments** £317.82
- Total payment for this month** £317.82

A callout box with an arrow points to the 'Standard allowance' row, stating: 'Any additional elements i.e. Carers element will appear underneath the Standard allowance.'

Glossary of some of the UC terms used in Annex B

- **Universal Credit Personal Account – Full Service**

Universal Credit full service is available to all claimants in certain areas of GB. Claimants will have an online UC account to manage their claim. Eventually, all claimants will have access to full service / account.

- **Conditionality Group**

A claimant's circumstances will place them in a particular 'conditionality' group and an associated labour market regime which defines the level of support they can expect to receive, and the framework of what can be expected of them.

There are 4 conditionality groups:

- All work related requirements
- Work preparation requirements
- Work-focused interview requirements only
- No work-related requirements

- **Labour market regime**

On making a new claim, every claimant is automatically allocated to a labour market regime based on their individual and household circumstances. The regime that a claimant is allocated to is reassessed as circumstances change.

- **Claimant Commitment**

Claimants are expected to complete and accept a tailored 'commitment' which sets out what they have agreed to do in order to prepare for and look for work – or increase their earnings if they are already working.

- **AET – Administrative Earnings Threshold**

The AET has been introduced to help highlight those claimants with no income, or on a very low income below AET, so they can receive the most intensive support. It is set at individual level and at household level.

- **CET – Conditionality Earnings Threshold**

The Conditionality Earnings Threshold (CET) ensures that claimants earnings above a certain level will not be asked to carry out work-related activity. The CET is calculated on an individual basis, by multiplying the National Minimum Wage (NMW) by the claimant's expected hours. Individuals earning above the CET threshold are placed in the 'working enough' regime.

- **MIF – Minimum Income Floor**

The MIF is an assumed level of earnings for a gainfully self-employed claimant, and is based on the earnings the DWP expect a claimant with similar circumstances to achieve. It is designed to encourage and incentivise individuals to increase their earnings through developing their business, and is applied if earnings are below that level (and the individual is not in a business start-up period). Individuals who are subject to MIF will not be subject to work search or availability requirements, allowing them to concentrate on making a success of their business and maximising their returns up to and beyond the level of the MIF.

- **Work Capability Assessments (WCA) / Limited Capability Work Related Assessment (LCWRA)**

Universal Credit claimants may be asked to attend a WCA to find out if their health condition or disability affects their ability to work. A decision-maker will use the outcome of the WCA to decide if the claimant:

- is fit for work
- has limited capability for work – this means the claimant will not have to look for work, but will need to take steps to prepare for work
- has limited capability for work and work-related activity – this means the claimant will not be asked to look for or prepare for work

ANNEX C

ELIGIBILITY OF EEA NATIONALS FOR ESF SUPPORT

From 1 July 2021 the Right to Work evidence for EU, EEA and Swiss (EEA) citizens can be verified using the Home Office online [Right to Work Checking Service](#).

The online checking service supports checks in respect of those who hold:

- a biometric residence permit
- a biometric residence card
- status issued under the EU Settlement Scheme
- A frontier worker permit
- Status under the UK points based immigration system

How does the online checking service work and how can it be applied in the context of ESF eligibility checks?

The service works on the basis of the individual first viewing their own Home Office 'right to work' record.

When an individual wishes to share their 'right to work in the UK' using this service, they should obtain a 'share code' generated by the service. They may provide this directly to the LP/DA or they may choose to send this via the service in which case an email will come from right.to.work.service@notifications.service.gov.uk

Step 1 Use the Home Office online Right to Work checking service for people who wish to participate in ESF operations

Once in receipt of the share code, the LP/DA will need to go to the 'View a job applicant's right to work details' on GOV.UK and enter the share code along with the individual's date of birth. The share code will be valid for 30 days, after which a new code will be required to conduct an online check.

The LP/DA **MUST** use the Home Office online right to work checking service to conduct an online check. It is **NOT** sufficient to simply view the details provided to the individual on their part of the service, 'Prove your right to work to an employer'.

Step 2: Verification

The LP/DA must check that the photograph of the person on the online 'right to work' check is of the actual individual presenting themselves to join the ESF operation (i.e. the information provided by the check relates to the individual and not an imposter). The service will provide a very clear image of the individual and it should be straightforward to check whether the individual presenting themselves at the operation is the same as the person in the check photograph. If the person presenting themselves appears to be different from the photographic image provided in the check, the 'right to work' evidence cannot be accepted as eligibility for ESF.

The right to work check will usually have a statement at the top of the check document clearly explaining the duration of the 'right to work in the UK'. For example, 'John Smith can work in the UK until 30 April 2023'.

The LP/DA must check the conditions section of the 'right to work' check as well and take note of any dates relating to visa expiring etc. so that the person is not on ESF beyond such dates. (Of course, a right to work check can be undertaken again at a later date if there is a possibility of an extension of entitlement to work in UK).

Lead Partners/Delivery Agents must carry out all other necessary eligibility checks to establish any other relevant ESF eligibility factors that aren't covered by the data contained in the migrant record (for example, employment status or disadvantage etc.).

Step 3 – ESF Records

The LP/DA should open and download a full PDF copy of the 'right to work check' and keep this copy on the participant's records - so that an auditor can see that such a check has been undertaken. The PDF will include a box entitled 'details of check' which includes details of the date the check was made as well as a reference number – these should be retained as part of the 'full PDF copy' of the check.

This record, in common with all other ESF records, will need to be processed in line with GDPR regulatory requirements.

Organisations wishing to check the right to work status of an individual who has granted them permission to do so can access their service via [GOV.UK](https://www.gov.uk)

ANNEX D

EVIDENCE REQUIREMENTS TO SUPPORT UKRAINIAN REFUGEES

Ukrainian refugees will enter the UK via:

- The Ukraine Family Scheme –allows applicants to join family members or extend their stay in the UK
- The Ukrainian Sponsorship Scheme – allows Ukrainian nationals and their family members to come to the UK if they have a named sponsor under the Homes for Ukraine Scheme.

When granted permission, Ukrainian individuals will receive either:

- A UK approved Visa or
- Valid Ukrainian International Passport endorsed with a 6 month entry stamp from UK Border Force officials.

This entry stamp is evidence of their right to work, study and claim benefits in the UK. **Lead Partners must retain a copy of the individual passport or visa as evidence of eligibility.**

Please note that some Ukrainian individuals may have travelled with an expired passport but this must have a formal extension stamp issued by the Ukrainian Government. The Managing Authority will accept this passport as long as it has the extension stamp.

Ukrainian nationals can apply to extend their stay for up to 3 years and will be issued with a biometric residence permit (BRP) as evidence of immigration status. **It is the Lead Partners responsibility to follow up with the individual and collect a copy of the biometric residence permit if the individual has extended their stay.**

Further information can be found on the UK Government website [UK visa support for Ukrainian nationals - GOV.UK \(www.gov.uk\)](https://www.gov.uk/guidance/uk-visa-support-for-ukrainian-nationals) or [Apply for a visa under the Ukraine Sponsorship Scheme \(Homes for Ukraine\) - GOV.UK \(www.gov.uk\)](https://www.gov.uk/guidance/apply-for-a-visa-under-the-ukraine-sponsorship-scheme)

Poverty and Social Inclusion

Ukrainian individuals will fall into one of the key target groups for this priority. Either Workless, Lone Parent or Low Income Households.

There is **no requirement to evidence the whole household**. Host families or sponsors should be disregarded and assessment should be made on whether the individual meets other eligibility barriers. There is no requirement for individuals to have multiple barriers to employment, however, it is expected that many of the participants will have additional barriers / disadvantages (over and above the main target groups) and this information should still be collected on registration forms and MI Systems (along with the other common indicators).

Participants should be registered and entered on EUMIS on an individual basis (where appropriate).