



Department
for Work &
Pensions

Youth Engagement Fund Provider Guidance

(Version 11 - September 2016)

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Chapter 1: Introduction to the Youth Engagement Fund

Introduction

- 1.1 This is the Programme Specific Guidance for Investors/Intermediaries who hold a contract with DWP (For the purpose of this guidance Contractors be they Investor or Intermediary/Special Purpose Vehicle will be referred to as Providers) for Youth Engagement Fund (YEF). Delivery Bodies will need some of the information, so Providers will need to share this guidance with them where relevant.
- 1.2 Notwithstanding the information and agreed measures included in contracts, providers should use this guidance in conjunction with the information provided as part of the tendering process and [DWP Framework Generic Provider Guidance](#) where it is relevant to their Youth Engagement Fund programme.

Background

- 1.3 On 30 April 2014, the Deputy Prime Minister announced a new cross-government 'Youth Engagement Fund' (YEF) of £16.04m over three years from 2014/15 (with outcome payments beginning in 2015/16) to reduce the number of young people who become NEET (not in education, employment or training) using social impact bonds (SIBs). The Fund will support disadvantaged young people, including those already NEET, and those at risk of disadvantage aged 14 to 17 years of age in England.
- 1.4 The YEF will test the extent to which a payment by results approach involving social investors and local financial contributions can drive improved educational and employment outcomes for the most disadvantaged young people in society. YEF aims to support up to 18,000 young people in over 100 schools.
- 1.5 Targeting 14 to 17 year olds is a preventative measure, aimed at reducing the number of young people that go on to become long term NEET at age 16 years and above. Evidence shows that being NEET is a significant drain on the public purse and can have long term damaging effects on young people's lives: by the age of 21, young people who have been NEET for six months or more are more likely to be unemployed, earn less, receive no training, have a criminal record and suffer poor health and depression. There is also a strong correlation between being NEET and both early parenthood and offending. Some estimates indicate that young people who are NEET are, on average, 20 times more likely to be convicted of a crime and those with poor or no qualifications are also more likely to reoffend.
- 1.6 Disadvantaged young people are a very diverse group with a variety of different needs. A range of risk factors are associated with a greater risk of becoming NEET, including low educational attainment, truancy, exclusion, teenage parenthood and having a learning difficulty and/or disability.

Participant Eligibility

1.7 Projects must support the most disadvantaged young people in society who are at risk of becoming long term NEET (rather than those who spend a short time NEET whilst in transition between other activities). DWP particularly looked for proposals which had a clear focus on young people who have a history of offending or are at increased risk of offending behaviour, as well as looked after young people and care leavers, but equal consideration was given to bids for other disadvantaged groups. DWP expected providers to develop a convincing rationale for focusing on particular groups of young people, noting that evidence shows that there are groups of vulnerable young people who are at particular risk of poor outcomes associated with becoming long term NEET. These include young people who:

- have a history of offending or who have been identified as being at a high risk of becoming an offender by their school or local Youth Offending Team;
- have left school or are likely to leave school with few or no qualifications;
- have behavioural or mental health issues;
- have high levels of absence from school;
- are in a gang;
- are teenage parents;
- have no fixed abode;
- are using or have used drugs;
- are looked after young people or are care leavers;
- have a learning difficulty and/or disability

Participant Groups

1.8 Youth Engagement Fund participants are young people aged between 14 and 17 years. Providers can work with these young people for up to three years and claim outcomes during this period.

1.9 Providers can only begin working with young people aged between 14 and 17 years. Participation ends the day before the participants' 20th birthday, as no one 20 or over can participate on YEF.

1.10 Young persons aged 18 or over cannot be accepted onto YEF. You should not accept any referrals where the young person's 18th birthday has passed.

Chapter 2: Recruiting, Starting, Leaving, and Completing YEF

Introduction

- 2.1 This chapter gives Providers information on recruiting and starting participants on Youth Engagement Fund provision, during provision, completing provision and changes of circumstances. It is the Provider's responsibility to ensure their Delivery Bodies take the correct actions to allow Providers to fulfil their obligations relating to claiming valid outcome payments, supply the supporting evidence detailing information about the Participant and reporting Management Information.
- 2.2 Providers are responsible for recruiting appropriate participants and generating their own referrals. Please see [Chapter 9 of the Framework Generic Provider Guidance](#) for further information on marketing standards. It is for Providers to identify and work with local contacts to ensure an effective referral and engagement process is in place.
- 2.3 The method of engagement is detailed in the providers bid.
- 2.4 At the initial referral stage, providers will need to implement their own consent procedures if the delivery organisation requires personal information about the young person to be shared from the referral body (e.g. school). It is the responsibility of the referral body to discuss and obtain signed consent from the young person, and to pass that consent form to the provider.

Starting Youth Engagement Fund Provision

- 2.5 Before a participant can be started on the programme, Providers, through their Delivery Bodies, will need to meet with them and establish eligibility and suitability for their programme.
- 2.6 At this meeting, providers must identify and agree the service, support and expected outcome/s to be provided to the Participant, focusing on helping them to prepare for future employment and/or to obtain and retain employment.
- 2.7 Providers must ensure the Participant is appropriately inducted. Any individual arrangements must be discussed with the Participant on a one to one basis. Please see [Chapter 2 of the Framework Generic Provider Guidance](#).
- 2.8 Providers are required to complete and agree an Action Plan and obtain the Participant's clear written consent (see Annex 3) to use their personal information when contacting third parties to obtain the outcome evidence as outlined in the contract.

- 2.9 Young people can only be classed as a 'start' on the programme once the Action Plan has been completed, agreed and signed, and the Participant has given their consent as indicated above.

Action Plans

- 2.10 Providers have the freedom to develop processes to support Participants, plan activity and manage their experience whilst on Youth Engagement Fund provision. This will be driven by the providers' delivery model.
- 2.11 Providers, through their Delivery Bodies, must ensure that, as a minimum, the Action Plan includes all on-going activities a Participant is to undertake, what the expectations are and when the aims/goals are to be achieved. This must be in a single, clearly written document, regularly reviewed and in a format that is easily accessible for the Participant. All activities included in the plan must adhere to SSMART (Specific, Stretching, Measurable, Achievable, Realistic and Time bound) principles and include details of review dates.
- 2.12 As part of the Performance Management and Provider Assurance processes, DWP may sample a selection of Action Plans.

Consent

- 2.13 The Participant Privacy Notice and Consent Form, which cannot be altered in any way as they contain the appropriate legal wording, can be found at [Annex 1](#).
- 2.14 The Privacy Notice and Consent Form have been designed in conjunction with data protection lawyers. The Form covers a number of consent statements which have been set out separately on the Form to reflect the differing nature of the consent sought in each case.
- 2.15 If participants do not give their consent under **Part 1** of the Form, in relation to contacting the education provider, employer or work host, it will not be possible to ascertain and confirm outcomes. Providers must explain to the participant why their permission is being sought and inform them that they themselves may be contacted to confirm details of their employment and/or educational achievement. If a Participant refuses to sign Part 1 of the Consent Form, then assuming they have agreed to participate, Providers may continue to work with the Participant but they will not be classed as, and should not be recorded as, a start on YEF and no outcomes will be paid for that Participant.
- 2.16 The consent under **Part 2** of the Consent Form relates to sensitive data about health, youth offending and ethnicity. Consent is sought to confirm the young person's willingness to share these types of information with DWP, Cabinet

Office, Department for Education and Ministry of Justice for the purposes of research, analysis, the publication of statistics and the evaluation of the programme. Providers, through their Delivery Bodies, must explain to the Participant why their permission is being sought.

- 2.17 **Part 3** of the Consent Form seeks the young person's consent to pass their contact details to an external research organisation for evaluation purposes. It is really important to highlight here that this statement **only** seeks consent to pass their contact details to the research organisation. When the research organisation actually makes contact with them, the young person will have the opportunity to opt-out of the research study. By agreeing to this statement they are **not** agreeing to participate.
- 2.18 It is imperative that consent is sought from each participant who joins the programme. As indicated above, the consent sought under Part 1 is essential, as without this the participant will not be classed as a start on YEF and no outcome payments will be made. It is preferable that consent is sought for all three sections of the form, so that YEF objectives can be monitored and achieved and the programme as a whole can be evaluated. The form is clear and simple to understand, reflecting the ages of the young people.
- 2.19 In the event that a young person seeks any clarification of the role of the key departments mentioned on the form please refer to the list below;
- **Department for Work and Pensions (DWP)** - DWP is a Government Department which provides support services for people of working age, employers, disabled people, pensioners, families and children.
 - **Cabinet Office (CO)** – is a Government Department that supports the Prime Minister and Deputy Prime Minister to ensure the effective running of Government
 - **Ministry of Justice (MoJ)** – is a Government Department that works to protect the public and reduce reoffending, and to promote a more effective, transparent and responsive criminal justice system
 - **Department for Education** - is a Government Department responsible for issues affecting people in England up to the age of 19, including education.
 - **Provider Assurance Team (PAT)** – The role of this team is to provide the DWP Contracted Employment Provision Director with an assurance that; payments made to DWP Contracted Employment Programme Providers are in accordance with DWP and Treasury requirements; public funds and DWP data are protected; and value for money has been obtained.
 - **Performance Managers** - Youth Engagement Fund contracts will be managed by DWP Performance Managers, who monitor the performance of all contracted employment programmes. Performance Managers may access Participant records and files to ensure compliance and determine the customer journey is as detailed in the contract.

- **Analysts** - Government analysts produce official statistics, for example recording how many people participate in government programmes. They also conduct/oversee analysis and research into how effective programmes are. Government analysts may view some data on individuals, but this doesn't contain information which would enable an individual to be easily identified.
- **External Evaluator** - Researchers are contracted by government to evaluate the effectiveness of contracted programmes. To do this, they carry out interviews/surveys with consenting programme Participants and staff. Researchers will see contact details for individuals, in order to arrange interviews or distribute surveys.
- **Internal Audit and Investigations** - Internal auditing is an independent, objective assurance and consulting activity designed to improve an organisation's operations. It helps an organisation accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes.
- **Youth Offending Teams** – Are multi-agency teams based within local authorities and have a range of responsibilities from prevention of youth offending to supervision and rehabilitation of young offenders in the community.

2.20 Once consent has been obtained, this will need to be recorded on the MI spread sheet in the column relating to consent. DWP expects providers to make arrangements to securely store signed consent forms.

2.21 Consent is required from the young person themselves, including those aged 14 and 15 years of age, on the basis of legal advice that young people aged 14-15 years are considered 'sufficiently competent' to give their informed consent. Where a young person has a Statement of Special Educational Need (SEN) or a learning disability, consent should be sought from their parent or guardian.

2.22 The Consent Form must be completed and signed by the Participant and kept on file in the Provider's/Delivery Body's premises.

NOTE: Providers/Delivery Bodies must retain the Action Plan and Consent Form for 7 years, as they will need to be made available to DWP and other external bodies.

2.23 Providers and their Delivery Bodies need to comply with the appropriate Safeguarding Vulnerable Groups legislation. They will also need to ensure that young people are not exploited or helped to engage in activities which could put young people at risk, or bring providers, their Delivery Bodies or DWP into disrepute. Please see [Chapter 2 of the Framework Generic Provider Guidance](#).

Self-Employment

- 2.24 Providers may wish to offer support to participants in planning and running their own business. Please see Chapter 2 of the Framework Generic Provider Guidance.

Additional Support

- 2.25 Providers/Delivery Bodies are responsible for participants' travel costs, participants' childcare costs, replacement caring costs and additional support costs whilst the Participant is on the Youth Engagement Fund. Providers, their agents or any Delivery Bodies shall not levy any charge on Participants in respect of the Services except as expressly permitted in advance and in writing by DWP.

Changes in Personal Circumstances

- 2.26 If the YEF participant is claiming benefits, it is their responsibility to report any change in personal circumstances to DWP e.g. change of address, started work, etc. If they are a dependant of a benefit claimant, the participant must inform the benefit claimant so that they can notify DWP.

Leaving Youth Engagement Fund provision

- 2.27 There may be occasions when, having started provision, a participant's circumstances change and they are unable to continue, or decide they no longer wish to continue, on the programme (for example, moving out of the delivery area, moving to other provision or a breakdown in relations). It will be for the provider to determine the appropriate course of action, which may include using other parts of the supply chain, changing the method of delivery, or making alternative arrangements.
- 2.28 If providers continue to provide support and progress the participant's Action Plan, YEF provision can continue; unless the participant has moved to provision that cannot be done alongside YEF. See Chapter 7.

NOTE: A participant can only remain on YEF provision whilst support as, detailed in the delivery model contained in the bid, is actively being given and an Action Plan is being progressed by the provider.

- 2.29 If YEF support no longer continues, the leaving date is the date support is withdrawn and providers should record this date on the YEF MI form ([see Chapter 5](#) for further detail about the collection of MI).
- 2.30 Where a participant leaves YEF, providers may still claim any outcome payments outlined in [Chapter 4](#), where the outcome was **achieved** within the 26 week tracking period following the participant leaving the provision.

Restarting to Youth Engagement Fund provision

- 2.31 There may be occasions when, having left provision, a participant's circumstances change and they want to return to the programme or continue their support with another YEF provider (for example, moving back to the delivery area or moving to another provider's delivery area).
- 2.32 In these circumstances, providers cannot claim for any outcomes that have been previously paid to them, or a previous YEF contract holder, for the same participant. It is for providers, to determine whether a participant has previously received YEF support and what outcomes have been paid to a previous provider as part of developing and agreeing the Action Plan. If participants restart YEF provision any remaining time can only be up to the age of 20. All participants must have exited YEF provision no later than 31 March 2018 (end of contract period).

Completing Youth Engagement Fund provision

- 2.33 A participant completes YEF provision when:
- the provider has claimed the final eligible outcome payment as outlined in their contracts; **or**,
 - the total value of outcomes paid to the provider for that participant has reached the £11,800 (**exclusive of VAT**) limit; **or**,
 - if applicable, Jobcentre Plus has made a decision that it is appropriate for the participant to be referred to other programmes that cannot be done alongside the YEF; **or**,
 - the participant completes all actions in their Action Plan; **or**,
 - the participant completes the required course or programme; **or**,
 - the participant leaves the area or UK; **or**
 - the participant dies.

NOTE: This list is not exhaustive.

Chapter 3: Delivering Youth Engagement Fund Provision

Introduction

- 3.1 Notwithstanding the Specification, information and the terms and conditions of the contract with DWP, this chapter gives Providers/Delivery Bodies general information on delivering Youth Engagement Fund.

Administration

- 3.2 The Provider is responsible for the administration of the provision, including ensuring their Delivery Bodies take required actions. These responsibilities, including compliance with legislation, business continuity, health & safety, diversity & equality, sustainable development, delivery of the performance outlined in your bid. Providers are responsible for managing arrangements with their Delivery Bodies. Please see [Chapter 2 of the Framework Generic Provider Guidance](#) for further information. This should be read in conjunction with the terms and conditions of the contract and, where applicable, the Provider's delivery model.

Grievance and Complaints

- 3.3 Providers must have an appropriate process across the whole of the supply chain/social investment partnership which allows participants to raise grievances and for complaints to be resolved. Providers, through their Delivery Bodies, must give all participants information about the complaints process when they start provision.
- 3.4 Where a participant is unhappy about the service they receive from providers/Delivery Bodies, they will need to raise the issue according to the delivery model complaints process. If a participant goes through all the stages of the complaints process and is still unhappy with the response, they may complain direct to the Independent Case Examiner (ICE). Please also see Chapter 2 of the Framework Generic Provider Guidance.
- 3.5 ICE is an independent office holder, supported by DWP staff, with three stages of complaint examination. At every stage, providers/Delivery Bodies will have the opportunity to give their version of events and offer any supporting evidence.

Stage 1: Resolution

- 3.6 ICE will liaise with the parties involved and try to reach an agreement which is satisfactory to all parties. If a complaint is resolved at this stage then no determination of fault will be made and no recovery will apply.

Stage 2: Settlement

- 3.7 If the complaint cannot be resolved, ICE will consider what needs to be done to put matters right, and what redress might be appropriate. Following a review of the case papers, ICE will propose a way forward. If Providers/Delivery Bodies agree the actions ICE propose, and the Participant is satisfied that they address their complaint, the case will be closed. Again, no determination of fault will be made and no recovery will apply.

Stage 3: Investigation Report

- 3.8 If ICE is unable to reach an agreement between the participant and the provider/Delivery Body, it will prepare a report setting out its findings in respect of each element of the complaint. Where appropriate it will include recommendations focusing on what needs to be done to put matters right and provide appropriate redress (including potential financial redress).
- 3.9 If a complaint is upheld against Providers and their Delivery Bodies at this investigation stage, £5,000 will be recovered from the Provider to go towards funding the ICE service for Provider complaints in the following year. DWP will conduct an annual review of this level of recovery.
- 3.10 Providers/Delivery Bodies will also be liable to pay any financial redress deemed by ICE to be due to the participant. ICE will apply the following DWP policy when considering if any redress is due to the Participant: [Compensation for poor service: staff guide](#).

Fraud Prevention

- 3.11 DWP places the utmost importance on the need to prevent fraud and irregularity in the delivery of its contracts. Providers' responsibilities are outlined in the contract. Please also see [Chapter 2 of the Framework Generic Provider Guidance](#).

Information Security

- 3.12 Notwithstanding information and agreed measures included in the terms and conditions of the contract, please see [Chapter 8 of the Framework Generic Provider Guidance](#).

Provider Assurance

3.13 Contracts will be subject to normal provider assurance arrangements. Please see [Chapter 6 of the Framework Generic Provider Guidance](#).

Self-Assessment

3.14 Contracts will be subject to normal self-assessment arrangements. Please see [Chapter 7 of the Framework Generic Provider Guidance](#).

Chapter 4: Financial Procedures

Introduction

- 4.1 This chapter gives Providers information on claiming, evidencing, and validating Youth Engagement Fund outcome claims. Due to the nature of Youth Engagement Fund contracts, a clerical validation and payment process will be operated.

Funding and Payment

- 4.2 DWP will perform validation checks on all outcomes.
- 4.3 For Universal Credit purposes, the Participant must be:
- **Either** off benefit for 91 days (Payment Groups 3,4,5,6,7) or 182 days (Payment groups 1,2,9)
 - **Or**, for those who remain on Universal Credit, have earnings of at least the threshold level for 91 days (Payment Groups 3,4,5,6,7) or 182 days (Payment Groups 1,2,9).

Pre-Payment Checks

- 4.4 DWP will pay for one or more outcomes per participant providing:
- Providers have nominated the particular outcome in their bid which is included in the contract;
 - the outcome is achieved after the Participant's start date;
 - the total value of outcomes for that Participant does not exceed £11,800 **Exclusive of VAT**; and
 - no other Youth Engagement Fund Provider has claimed that outcome for that Participant.
 - the appropriate evidence of the outcome has been provided and validated

Start Date

- 4.5 The start date is the date the Action Plan is agreed and Part 1 of the consent form signed ([see Chapter 2](#)).

Outcomes

- 4.6 Payments can be made for one or more of the outcomes per Participant outlined in the table at [Annex 2](#).

- 4.7 Although DWP does not require Outcome Verification Templates nor is it prescribing the way in which Providers track Participants and obtain information about the outcomes, there are a number of pieces of evidence that Providers must obtain and submit to DWP along with their invoice/claim form when making their claim. These are also outlined in the table at Annex 2. Providers must also keep track of the number and value of the outcomes claimed per participant and are responsible for ensuring that the outcome cap of £11,800 (excluding VAT) each participant is not exceeded.
- 4.8 Where YEF participants transfer between YEF providers they must exchange information about which outcomes have already been claimed and paid in order to ensure the overall outcome cap of £11,800 (excluding VAT) is not exceeded.
- 4.9 The templates Providers must use can be found at [Annex 3 of this chapter](#). DWP will accept copies of originals. However, copies must be suitably annotated certifying that they are true copies. **Use of the outcome letters provided at Annex 3 is mandatory for those outcomes, therefore the content of the letters must not be altered except where indicated or by explicit permission received in advance from DWP.** Outcome payments will not be paid where these letters have been altered, without agreement from DWP.
- 4.10 Providers must ensure that they have a correctly completed Action Plan and Participants Consent form, from the outset of the Participant starting on this provision, as part of the evidence and in line with the definition of the start date. DWP may request these are made available to checking teams and Provider Payment Validation Team.
- 4.11 Providers can only claim an outcome once the Participant has correctly started on the programme ([see Chapter 2 of this guidance](#)).
- 4.12 Providers can only claim each individual outcome once per participant. For example, DWP will only pay once for the achievement of the first level 1 or 2 Qualifications and Credit Framework (QCF) outcome even if a Participant has multiple level 1 or 2 QCF outcomes during their time on YEF.
- 4.13 If a level 1 outcome is achieved with support from the YEF provider, it is acceptable to subsequently claim for a level 2 outcome.
- 4.14 However, if a level 2 outcome is achieved first, it is not possible for the Provider to claim an outcome payment for a level 1. For example, it would not be possible to claim an outcome payment for both QCF level 1 and level 2 if a Participant achieved 7 or more full GCSE/IGCSE passes at grade A* to C. The achievement of a QCF level 2 outcome directly would supersede and prevent a claim for a QCF level 1 outcome.

- 4.15 All QCF level 1 qualifications will attract the appropriate outcome payment regardless of whether an Award, Diploma or Certificate.
- 4.16 For a level 1 qualification to be challenging and valuable to participants, however, the expectation is that qualifications offered will be at least 120 guided learning hours.
- 4.17 Outcome payments can be claimed for up to 26 weeks following the end of provision. DWP will not pay for outcomes which occur more than 26 weeks beyond the end of the contract or date of termination.

Employment Outcomes – Further Information

- 4.18 Job Start date is the date a Participant starts a job which:
- is for a minimum of 16 hours per week (a week is defined as a period of 7 calendar days);
 - takes the Participant off benefit (if benefit is claimed); and,
 - is after the Participant's start date.
- 4.19 Job outcomes (Entry into First Employment Achievement) can be claimed when:
- there has been either a continuous or cumulative period of employment or self-employment for 13 weeks (a week is defined as a period of 7 days); a cumulative period would be 13 weeks from the job start date within a period not exceeding 26 weeks;
 - the participant is off benefit;
 - the participant has worked for a minimum of 16 hours per week in each of the 13 weeks;
 - the participant has been in employment/self-employment/subsidised employment i.e. an apprenticeship and off benefit (if benefit is claimed) in each week of the period; and
 - the job outcome is after the Job Start date.

If the participant is a Universal Credit claimant, they must be:

- **Either** off benefit for 91 days (Payment Groups 3,4,5,6,7) or 182 days (Payment groups 1,2,9)
- **Or**, for those who remain on Universal Credit, have earnings of at least the threshold level for 91 days (Payment Groups 3,4,5,6,7) or 182 days (Payment Groups 1,2,9).

NOTE: Outcomes will only be paid for the **first** job that meets the criteria;

- the number of hours worked cannot be made up of more than one employer or from a mixture of employment and self-employment;
- the period begins to accrue from and including the Job Start date;
- only one job outcome payment can be claimed for each Participant;
- outcomes can include self-employment and subsidised employment;
- the days counted towards the cumulative period of employment for a job outcome can be isolated days, blocks of days or weeks;
- for self-employed jobs, evidence of trading includes accounts, profit and loss statements and work diaries showing the number of hours worked each week. It is up to the Provider to verify this evidence before an outcome claim is made.

4.20 Sustained job outcomes can be claimed when:

- there has been a period of employment lasting for at least 26 weeks (a week is defined as a period of 7 days);
- the participant is off benefit;
- the participant has worked for a minimum of 16 hours per week in each of the 26 weeks (if a claiming Jobseekers Allowance);
- the participant has been in employment and off benefit (if benefit is claimed) in each week of the period; and
- a job outcome payment, as defined above, has been paid; and
- there have been another thirteen continuous weeks in employment since the Entry into First Employment Achievement date.

For Universal Credit purposes, the participant must be:

- **Either** off benefit for the entire 4 week period
- **Or**, for those who remain on Universal Credit, have earnings of at least the threshold level during the period of the claim.

Note: For UC claimants earnings for the month will be measured against a monthly earnings threshold. For April 2016 – March 2017 this threshold will be measured against the threshold of £272 per month.

- 4.21 DWP acknowledges that Providers may employ individuals who originally start out as a YEF Participant. This is acceptable; however it is not acceptable for you to continuously turnover your employee base with YEF Participants, merely as a means of claiming Job Outcomes.

Claiming for Outcomes Achieved

- 4.22 As outlined in the contract, providers will be required to report all relevant outcomes achieved, on a monthly basis.

- 4.23 The Youth Engagement Fund Outcome Claim Form (YEFOCF1) will form the basis for the claim for payment ([see Annex 4](#)). DWP will send the YEFOCF1 to the Provider's nominated email address in advance of the first period they are due to report potential outcomes.
- 4.24 The YEFOCF1 is an Excel based electronic document that Providers must use to record the required information, either electronically or clerically. Providers must print the document and sign the declarations before sending it via secure post, together with supporting evidence for each participant, to:

Provider Payment Validation Team

DWP

2nd Floor, Dominick House

St Albans Road

Wallasey

Merseyside CH44 5XY

- NOTE:** Providers must clerically sign the declarations and send the original via secure post. DWP will not accept electronic signatures or photocopies of the YEFOCF1. Providers must also keep track of the number and the value of the outcomes claimed per Participant, and are responsible for ensuring that the outcome cap of £11,800 (excluding VAT) per Participant is not exceeded.
- 4.25 Before the YEFOCF1 is sent, Providers must provide details of the bank account for DWP to use to issue payments to them. Providers must nominate a person/ persons within their organisation that is/are authorised to sign the YEFOCF1. Providers must also provide specimen signatures of all the authorised individuals. DWP will send Providers a form to use for this purpose as part of contract start-up. Without the information, payments cannot be made.
- 4.26 If any of the authorised signatories or the bank account details changes, providers must complete a new form and forward it to DWP at the address given above.
- 4.27 Providers are responsible for ensuring that all outcomes they report to DWP are valid and supported by accurate and verified evidence. Providers must sign all the declarations on the YEFOCF1 clearly stating this before it is submitted.
- 4.28 Providers must return the correctly completed YEFOCF1, together with all the required supporting evidence listed in [Annex 2](#), to the DWP payment team. Claims must be sent via secure post and on the 5th working day of each calendar month.

- 4.29 Providers must check that all participants for which outcomes have been claimed are listed and correspond to an entry on the Evaluation MI spread sheet.

Retaining Supporting Evidence

- 4.30 Providers must retain robust data to support every claim. Providers are expected to maintain a robust system of internal control which includes appropriate checks, monitoring arrangements and adequate records to demonstrate that they are entitled to make a claim.
- 4.31 The information that Providers retain to support their claims must be compliant with information security requirements and be made available to DWP and other external bodies.

Validating Claims

- 4.32 On receiving the YEFOCF1 and supporting evidence, DWP will process the claim by matching the outcomes claimed with the Participant information details and confirming that the evidence Providers have submitted meets the criteria of the Outcome being claimed.
- 4.33 If the evidence is verified, the individual outcome payment will be authorised.
- 4.34 If the evidence is not verified, that particular outcome payment will be rejected.
- 4.35 Once all outcomes on the YEFOCF1 have been checked, details of all the outcome payments approved will be passed for payment. As outlined in the contract, Providers will receive payment within 30 calendar days of DWP receiving the correctly completed YEFOCF1 and all supporting evidence.
- 4.36 If the claim includes any outcomes not approved, DWP will notify Providers of all those rejected and why. Under the terms of the contract, Providers will be entitled to re-claim a rejected outcome payment by resubmitting it with any new and/or amended evidence as part of a subsequent monthly claim. Resubmitted claims will be subject to the same pre-payment validation checks as above.

NOTE: DWP Payment and Validation Team will not accept ad-hoc claims. All claims must be submitted on the normal monthly reporting cycle.

- 4.37 DWP will keep information regarding the payment validation process (particularly outcome payments that have been rejected and those DWP are unable to validate) and this will be passed to DWP Performance Managers.

Irregularities/Potential Fraud

- 4.38 Providers have a responsibility to minimise the risk of fraud within the programmes delivered. Funding should be safeguarded against fraud and serious irregularity on the part of directors, employees or Delivery Bodies. Such abuse would include false or misleading claims for payments, whether designed to gain immediate financial advantage or overstate performance.
- 4.39 Deliberate and/or persistent non-compliance with prescribed standards of delivery would also be subject to investigation if a possible financial impact was identified.
- 4.40 In such instances DWP may contact Providers to pursue enquiries relating to potential abuses of funding. The remit will be, primarily, to investigate fraud and financial irregularity but it may in certain circumstances extend to non-compliance with delivery, contract and guidance.
- 4.41 Providers should therefore ensure that all staff involved in the delivery, administration and management of YEF contracts (including Delivery Bodies) are fully aware of the risks and consequences of any falsification, manipulation, deception or misrepresentation. Occurrence of fraud within any individual programme could lead to the termination of all contracts held as well as civil or criminal proceedings against those implicated.

Local Contributions

- 4.42 Local Contributions shall be paid by way of cleared funds to the designated bank account, for the avoidance of doubt; Local Contributions shall not be paid in kind.
- 4.43 The Provider must hold Local Contributions in a separate and designated bank account which must be managed transparently. For the avoidance of doubt, no other funds apart from the Local Contributions shall be held in this separate and designated bank account and no funds shall be taken out of or put into this bank account without the prior written notification from DWP. DWP will reserve the right to request evidence of the funds in the account at any time during the duration of the Agreement.
- 4.44 Once the funds are paid over to the contract holder the contract holder will nominally divide the funds across the financial years: 2015-16; 2016-17; 2017-18 and 2018-19 based on the same profile as the overall contract value is split over the years of the contract (i.e. if 30% of the overall contract value falls in financial year one, 30% of the Local Contributions will be nominally allocated to financial year one).
- 4.45 The funds that constitute the Local Contributions shall not be paid out by the Provider until such time as Outcomes are achieved, claimed by the Provider and validated by DWP.

- 4.46 When Outcomes become payable (on a monthly basis) the Provider will submit a claim to DWP with the appropriate evidence. DWP will seek to validate Outcomes through a range of pre-payment validation checks and having done so will pay the relevant percentage of each monthly claim out of the central Government funds and will notify the Provider in writing to draw down the remaining percentage of the claim from the Local Contributions pot. The relevant percentage will replicate the percentage of the total contract value that the Local Contributions represent.
- 4.47 If, at the effective date of expiry or termination of the Agreement there are funds from the Local Contributions remaining, they can be paid back to the Local Contributors in the proportions in which they were provided (i.e. if a school provided 50% of a project's Local Contribution and a local authority 50% and they are the only two Local Contributors, any remaining funds would be paid back 50/50). It is the sole responsibility of the Provider to make these refund payments as appropriate and DWP will not get involved in any dispute on refunds between the Local Contributors and Providers.
- 4.48 Where and if post payment validation of Outcomes identifies an error rate, extrapolation of this error rate can be applied to recover the percentage of funding that has been erroneously claimed. Since Outcomes are paid partly by the DWP and partly by the Local Contributor(s), DWP will recover only their share of the overpayments. Providers upon the instruction of DWP and in such circumstances shall refund the other share of the overpayments to the Local Contributions pot. DWP will reserve the right to seek assurance that this has happened.
- 4.49 Any interest accruing on the funds held by the Provider are the responsibility of the Provider to manage. DWP will not stipulate what happens to the interest and will not get involved in any dispute between Local Contributors and Providers about such accrued interest.

Chapter 5: Management Information

Introduction

- 5.1 This chapter gives Providers/Delivery Bodies information on the collection, collation and reporting of Youth Engagement Fund Management Information (MI).
- 5.2 Robust, complete and timely MI is crucial to managing performance and evaluating each Youth Engagement Fund programme/project/activity. As well as collecting MI on outcomes, DWP will also need demographic information about Participants when they start the programme (see Chapter 4, para 4.5 for the definition of a 'start').
- 5.3 The MI will:
- provide an understanding of individual Participant characteristics;
 - provide information about the numbers of Participants supported through the Youth Engagement Fund provision; and
 - support the independent evaluation of the Youth Engagement Fund pilots.

Reporting MI

- 5.4 The Provider is responsible for collecting and submitting collated MI to DWP on a monthly basis. It is for Providers to identify the most effective method of communicating, collating and retaining the required information from their Delivery Bodies to enable them to do this.
- 5.5 The Delivery Bodies contracted by the Providers will complete the YEF MI Form (see Annex 5) and return it to the Provider. The Provider will then combine all the returns onto the Collation Template and return the collated template to DWP ensuring that both the Excel spreadsheet name and the names of the tabs within the spreadsheet are correctly named.
- 5.6 Providers must report all relevant MI on the YEF MI Collation template (see [Annex 5](#)). Only this template is to be used.
- 5.7 Only one template is required for each Youth Engagement Fund project for the life of the contract. The template and form contain notes to help with completion. Further guidance can be found at Annex 5. DWP will send the YEF MI form to the provider's nominated email address in advance of the first period they are due to report potential MI.

NOTE: If Providers have not received the Information reporting form ahead of the first reporting date, they must inform their Performance Manager.

- 5.8 The MI must be reported monthly and as a cumulative total from the start of the programme up to and including the last working day of each month. The template should be renamed with the Provider's organisation name and the month the data is cumulative to (e.g. BrownsApr15 before being saved and returned to DWP).
- 5.9 Providers must return the correctly completed collation template to DWP via secure email by the **5th working day** of each calendar month.
- 5.10 Providers are responsible for ensuring that all MI reported to DWP is accurate and valid.
- 5.11 DWP expects providers to conduct the following quality checks before the spread sheet is submitted each month;
- The formats in each variable of the excel spread sheet are correct;
 - The date variables include the correct format;
 - There are no duplicate entries;
 - There is no missing data;
 - No new additional rows or columns have been created by the delivery organisations; and,
 - The free text columns are completed correctly.
- 5.12 Providers should allow sufficient time to conduct these quality checks before the spread sheets are submitted to DWP.
- 5.13 Providers must make provision to ensure that MI reporting forms are returned on time.
- 5.14 Providers must electronically sign the declaration on the form by inserting their nominated person's name and company position before it is submitted. It is the Provider's responsibility to check and verify that participant information remains valid and update the MI details on a monthly basis to reflect this.
- 5.15 Where information has been updated, Providers must make this clear by highlighting the relevant cell using the colour 'red'. Providers are also required to indicate any changes in column BC. Guidance notes for populating the template are available in the third tab within the spreadsheet.
- 5.16 When DWP receives the completed form, the data will be cleansed before it is merged with the outcomes Providers reported on the YEFOCF1. From the combined data, MI reports will be produced for use by Performance Managers and others within DWP/CO and MoJ.

- 5.17 Providers need to ensure that their Delivery Bodies have systems and processes in place to submit management information in a timely manner, to comply with reporting schedule for monthly returns.

NOTE: Any queries regarding the completion of the YEF MI form or collation template should be raised through the Provider's Performance Manager.

- 5.18 Once your MI return has been received it will be used, in conjunction with outcomes payments, to generate MI that will be used by providers' Performance Managers.

Secure Email

- 5.19 DWP uses the PGP Universal Secure Email application to secure data, allowing approved secure email users to send encrypted, digitally signed, emails to named individuals and to decrypt incoming emails. DWPs preferred method of secure transfer is via **Open PGP** – for those external organisations that use PGP encryption tools such as PGP Desktop Pro.

- 5.20 DWP will set up the Provider's nominated users according to the software used to allow these users to exchange the required information by secure email.

NOTE: Providers should ensure that the secure email facility they use is set up and ready to use ahead of the first reporting date.

Sharing MI

- 5.21 There are rules around the sharing of MI. These are detailed in the contract and the terms and conditions. Providers must not (and must ensure that their Delivery Bodies and any of their sub-Providers do not) at any time publish, disclose, or divulge any of the MI to any third party unless given explicit permission by DWP.

Evaluation

- 5.22 Each YEF contract will be evaluated to determine its success and evaluation will start once contracts are awarded. Evaluation will be conducted by an independent research organisation/s, commissioned by Cabinet Office and/or DWP and is likely to continue for up to two years after contracts have ended.

- 5.23 Providers must fully cooperate with the evaluation activity commissioned by Cabinet Office/DWP and participate in interviews, surveys and the collection of MI. DWP requires providers to encourage participants to take part in evaluation and obtain written consent to that effect.

Chapter 6 – Performance and Category Management, Assurance and Evaluation

Introduction

6.1 This section covers:

- Performance Management and Category Management
- Assurance
- Contracted Employment Programmes (CEP) Provider Assurance Team

Performance Management

- 6.2 YEF contracts are managed by Performance Managers. Provider performance will be based on the achievement of outcomes as outlined in their bid and included in their contract and a range of factors including compliance with the service delivery model, delivery of performance outcomes and security requirements.
- 6.3 Providers are responsible for managing the contract, including the performance management of Delivery Bodies. Providers must ensure that all systems and processes used for the monitoring and recording of performance are robust, provide a clear audit trail of evidence, and give confidence to DWP that Providers and Delivery Bodies are delivering the Programme in accordance with Providers overall contractual obligations.
- 6.4 Providers must appoint appropriate named contacts who will work with the DWP Performance Managers to ensure that YEF is delivered as specified in the contract and that required standards and performance levels are met.
- 6.5 DWP Performance Managers will hold regular Contract Performance Review (CPR) meetings with providers which will focus on achieving contractual performance and service targets and improving performance and delivery in line with the Contract.
- 6.6 Standard DWP performance procedures will be followed for YEF, whilst taking into account the unique nature of the pilot scheme and pioneer for the Social Investment model. As such, processes have been developed to ensure that formal intervention would only be considered in the case of extreme, persistent underperformance. See Annex 6 for the Performance Intervention process.
- 6.7 DWP will, in the main, use MI presented via the excel spread sheet as detailed in Chapter 5 and information obtained from assurance activities for the on-going management of the provision and for discussion with Providers.

- 6.8 As DWP is committed to transparency on how its programmes are working, Providers need to be aware that MI may also feed into published Official Statistics on YEF. Consequently Providers must treat information they and their Delivery Bodies have access to as restricted, and for Providers use only, ahead of formal publication. Official Statistics may also cover performance expectations at provider level.

Cohort-based Management Information

- 6.9 DWP will measure the performance of the contracts using cohort-based Management Information (MI). A cohort is a group of Participants starting provision in a set period. Cohorts for 14/15 year olds and 16+ participants will be monitored separately. Outcomes achieved at age 16 for participants who started aged 14 or 15 will be recorded against the 14/15 cohort group. For YEF DWP will measure monthly cohorts.
- 6.10 Providers have set targets for end-of-cohort outcomes, i.e. how many Participants starting on the scheme are expected to achieve a certain outcome by the time they leave the provision. However, as the journey through the programme will take many months, DWP needs an indication of progress towards outcomes. Therefore Providers were asked to supply outcome profiles: when they anticipate outcomes to be achieved over time. This way DWP can measure performance for a cohort without waiting for it to 'mature'.
- 6.11 DWP will build a model of anticipated outcomes over time, using the expected pattern of outcomes supplied. DWP will apply this pattern to each monthly cohort of starts, and combine this information to calculate how many outcomes we would expect in a given calendar month. DWP will use this metric to calculate how the contract is performing.
- 6.12 In the following example, the top table shows the Provider estimates 80% of starts will achieve an outcome (row 4). Row 2 of the top table shows the percentage of this target expected to be achieved on a month-by-month basis. By month six the Provider expects all outcomes from a cohort to be achieved (100% of the 80% conversion rate). The second table calculates profiled outcomes based on the number of starts in each month. These outcomes are then added together to calculate the in-month outcomes, or 'layered profile'. This is used to measure performance; e.g. if in March a total of 40 outcomes are achieved, the contract is underperforming; if 55 outcomes are achieved, the contract is exceeding expectations.

Month	1	2	3	4	5	6	7	8	9	10	11	12
Outcomes	10	30	10	45	5	0	0	0	0	0	0	0
(Cumulative)	10	40	50	95	100	100	100	100	100	100	100	100
MPL:	80%											

	Outcomes:												Cohort outcomes	
	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec		
Jan	90	7	22	7	32	4	0	0	0	0	0	0	0	72
Feb	140		11	34	11	50	6	0	0	0	0	0	0	112
Mar	88			7	21	7	32	4	0	0	0	0	0	70
Apr	152				12	36	12	55	6	0	0	0	0	122
May	74					6	18	6	27	3	0	0	0	59
Jun	120						10	29	10	43	5	0	0	96
Jul	82							7	20	7	30	3	0	66
Aug	55								4	13	4	20	2	44
Sep	140									11	34	11	50	106
Oct	115										9	28	9	46
Nov	90											7	22	29
Dec	54												4	4
In-month outcomes:		7	33	48	77	103	77	100	66	77	82	69	88	826

Assurance

6.13 It is essential that DWP can provide assurance to the taxpayer that publicly funded provision is delivering a quality service and value for money has been obtained. This will be measured using the following methods:

- Provider representation at local performance meetings as agreed with DWP. These might include Start Up meetings, Contract Review Meetings and any other ad hoc meetings;
- Performance as specified in bid;
- Providers' procedures to handle Participant complaints, which must be available to DWP and the Independent Case Examiner (ICE) upon request;
- Provider's annual self-assessment report (further information regarding self-assessment is available in Chapter 7 of Generic Provider Guidance);
- Payment validation by contacting the claimant and/or provider to obtain information and evidence to support claims made;
- Audit by DWP or National Audit Office (NAO) auditors.

Contracted Employment Programmes (CEP) Provider Assurance Team (PAT)

6.14 The primary purpose of the (CEP) Provider Assurance Team is to provide the DWP Contracted Employment Provision Director with an assurance that

- payments made to DWP Contracted Employment Programme Providers are in accordance with DWP and Treasury requirements;
- public funds and DWP data are protected;
- value for money has been obtained.

6.15 This work is carried out by reviewing Providers' internal control systems to assess their ability to manage risk across four key areas:

- **Governance Arrangements** – covering the Provider’s governance arrangements, systems for tracking and reporting performance and their anti-fraud measures;
- **Service Delivery** – includes the Provider’s systems for starting, ending and moving claimants through provision and generally looks to ensure that DWP is getting the service it is paying for. This section also covers management of the supply chain;
- **Claim Procedures and Payments** – looks to ensure that Providers have in place effective systems to support their claims for payment, including appropriate segregation of duties; and
- **Data Security** – looks to ensure that Providers have in place adequate systems to safeguard DWP data whilst it is being stored and/or transmitted around their organisations.

- 6.16 The Provider Assurance Team operate at a national level enabling them to present CEP Providers operating across regions with a single view of the effectiveness of their systems – each Provider will have a nominated Senior Provider Assurance Manager and therefore a single point of contact within DWP for management of assurance related issues/concerns.
- 6.17 On completion of each review, Providers are awarded an assurance rating from the following four categories; weak, limited, reasonable and strong. They are also sent a formal report which details the review findings including key strengths and areas for improvement; where weaknesses have been identified they are asked to complete an action plan setting out appropriate steps for improvement and this is followed up at an agreed point.
- 6.18 The timescale for a subsequent review is determined by several risk factors these include the Provider’s current assurance rating, the contract value and intelligence from internal stakeholders.
- 6.19 Provider reviews are conducted over a period of 18 weeks. The resource allocated to each review depends on the complexity of the contract delivery.
- 6.20 Findings from each review are routinely reported to the relevant category manager/supplier manager and other DWP stakeholders but specific action is also taken in the following circumstances.
- 6.21 Where a provider fails to improve on a weak or limited assurance level, the category/supplier manager will take remedial action which may lead to breach activities if the provider fails to improve.
- 6.22 Where there are suspicions that a Provider may be acting inappropriately the team will refer to Internal Investigations as the experts trained in the legalities and techniques required to do formal investigations.

- 6.23 Where there are serious concerns around data security these are reported through the respective channels to colleagues in Supply Chain Information Assurance Team.
- 6.24 The results of any investigations carried out by these teams will be fed back to the Provider Assurance Team and this information will be used to inform future reviews and to target specific areas for testing.
- 6.25 The Provider Assurance Team will work with Providers to ensure that they understand what is expected and are, therefore, adequately equipped to develop robust systems to support their service delivery model throughout the duration of the contract.

Merlin Standard

- 6.26 Contract Holders will be required to achieve Merlin accreditation within 15 months of the Services Commencement Date. The Merlin Standard will be applied in a way that is appropriate to the social investment market and YEF.
- 6.27 The Merlin Standard is an assessment-based standard of excellence in supply chain management developed by DWP in conjunction with the Welfare to Work sector. Independent assessment and accreditation against the Standard is a requirement of suppliers of DWP contracts let from ERSS and HDA Frameworks, which does not include YEF contacts.
- 6.28 The following link contains guidance on the [Merlin Standard](#).

Chapter 7: Accessing Other Programmes etc.

Introduction

- 7.1 There is a range of major national programmes, schemes, grants, and incentives used to support young people at risk of becoming NEET. Some YEF participants can access these initiatives subject to a range of criteria being met and the availability of places. Providers and their Delivery Bodies are expected to broker agreements with other service providers or Jobcentre Plus to allow participants to access these initiatives, if appropriate.
- 7.2 Eligibility and suitability should be considered on an individual basis. Providers and their Delivery Bodies are expected to understand what each initiative can provide, what the eligibility and suitability criteria are, and how to refer a participant if appropriate. Providers' Delivery Bodies should not assume that YEF participants are automatically entitled to access initiative programmes / schemes / grants / incentives.

How the Youth Engagement Fund fits with other Welfare to Work Programmes

- 7.3 Participants will be free to undertake mainstream education and training provision before, after, and alongside the YEF provision and this may contribute to some outcomes.
- 7.4 The following table shows other provision a young person can access whilst on YEF. It also lists provision which a young person can move from to access YEF.

NOTE: Any movements/referrals to other programmes do not generate outcome payments. However, an outcome payment may be claimed if a voluntary referral to the Work Programme results in a job outcome lasting a minimum of 13 weeks or meets the criteria for universal credit job outcomes. This must have taken place during the 26-week tracking period.

DWP Programme	Compatible with YEF?
Work Programme - mandatory	No
Work Programme voluntary	No
New Enterprise Allowance	No
Work Clubs	Yes
Work Experience	Yes
Work Together	Yes
Sector Based Work Academies	Yes
16 / 17 Year JCP Pilots	No

Residential Training Colleges	No
Work Choice	No
Access to Work	Yes
Community Work Placement – Mandatory	No
Supervised Jobsearch Pilots	No
New Enterprise Allowance (NEA Mentoring)	Yes
Other Government Departments	
Education Provision for those in custody	No
Higher Education Skills Training	Yes
Youth Contract	Yes
Youth Offending Team supervision	Yes
National Offender Management Service	Yes

Note: This list is not exhaustive; Providers will need to demonstrate that they are not duplicating existing programmes available in the chosen location.

Annex 1: YEF Privacy Notice and Consent Form

[Insert name of Delivery Body/Contract Holder] will collect, store and process your personal information in accordance with the Data Protection Act (1998). We will:

- Ask you for some information
- Get some information from your education provider and/or other relevant person or organisation.

As a Youth Engagement Fund (YEF) provider, ***[insert name of Delivery Body/Contract Holder]*** will share your personal information with the Department for Work and Pensions (DWP) to claim a Youth Engagement Fund payment. DWP will use the personal information we share with them to review our:

- governance arrangements (systems for tracking and reporting performance and our anti-fraud measures)
- service delivery (how we start, end and move young people through our YEF provision, to make sure our service offers value to young people)
- claim procedures (to make sure we have effective systems in place to support our claims for payment)
- data security (making sure your personal information is safe when it is stored and shared).

DWP may also use this personal information for the purpose of carrying out financial audits, and to review the effectiveness of the Programme.

The information that we share with DWP is also really important in helping them understand how many young people are being helped by the YEF Programme. It is also really important to the Ministry of Justice (MoJ) and the Cabinet Office (CO) who want to find out how successful this kind of project is in helping young people and how useful it could be in helping other groups of people too. Because of their roles in relation to the Programme, DWP, MoJ and CO all have legal responsibility for safeguarding your personal information. To help them get a full picture of what works to help young people like you, DWP may match your personal information with other information held by DWP, for instance benefits information. They may also share your personal information with MoJ and CO for research and analysis into how the Programme is working.

DWP may also share your personal information with other government departments, for instance the Department for Education (DfE), for checking and research purposes.

All the information shared with these bodies about you will be treated in the strictest confidence.

[Insert name of Delivery Body / Contract Holder] will need to contact your education provider, employer or work host to confirm that you have achieved the outcome(s) you have been working towards with the Programme. DWP may also need to do this. The education provider, employer or work host will need your consent to provide personal information about the outcome(s) you achieved while on the Programme.

Youth Engagement Fund Consent Form

Part 1

I *[print participant name in full]* volunteer to participate in the Youth Engagement Programme.

Insert name of contact will explain what personal information about you needs to be shared with DWP. They will also explain what DWP will do with your information, who DWP will share it with and why DWP will share it.

I *[print participant name in full]* confirm that:

- **Insert name of contact** has explained the reasons for sharing my personal information.
- I understand why this information sharing is needed and how this information will be used.
- I authorise **[name of Delivery Body/Contract Holder]** and DWP to contact my education provider, employer or work host to check that I have achieved the outcome(s) described in my Action Plan with the Programme.
- I authorise my education provider, employer or work host to share information about my achievement(s) on the Programme with **[name of Delivery Body/ Contract Holder]** and DWP.

Participant's Signature:

Date:

Part 2

If applicable – Health, Police, Youth Offending Team and Probation Information

We may obtain any Health, Police, Youth Offending Team and Probation information which we believe will help us identify how best to support you.

We would like to share this information with DWP, MoJ, DfE and CO (together with its research contractor) for research and statistics about the YEF Programme.

Please tick the boxes below and sign to say which information we can share:

Health information - this may include information about registered disability, drug or alcohol use

Youth offending information – this may include information about reprimands, warnings, youth cautions, court convictions, probation and stays in prison (including secure children's homes, secure training centres and young offender institutions)

I agree that you can share the information I have ticked above and understand that I can change my mind about this at any time.

Signed.....

I do not agree to any Health, Police, Youth Offending Team and Probation Information being shared.

Signed.....

Ethnicity

You do not have to provide your ethnicity, but it would be helpful if you do. We may share your ethnicity which will help get a full picture of how the Programme is helping young people.

Yes, I agree that my ethnicity can be shared and understand that I can change my mind at any time.

Signed.....

No, I do not agree to my ethnicity being shared.

Signed.....

Part 3

DWP, CO and MoJ will also ask an independent research organisation to look at whether the Programme is helping young people like you. To find out about your experiences of the Programme, the research organisation would like to contact you. They would like to get important feedback from you about what you like and don't like about the Programme.

If you agree that the research organisation can contact you to talk to them about your experiences, please sign below. After you've been contacted, you can say no if you don't want to take part.

Participant's Signature:

Date:

Your consent is voluntary. This means that you may withdraw your consent at any time in the future. You can do this by contacting **[contact details to be added]**.

Annex 2: Outcomes

A2.1 This table provides a definitive list of the Outcomes the Youth Engagement Fund will pay for, a clear definition of each Outcome, and the type of evidence we expect Providers/Delivery Bodies to collect and store for payment validation purposes.

A2.2 The total cost of Outcomes payable for each individual Participant cannot exceed £11,800 (excluding VAT). This figure is based on a proportion of the cost of being NEET over a three-year period¹.

A2.3 Whilst the aim of the Youth Engagement Fund is to support 14-17 year olds, DWP recognises that providers will be working with Participants for up to three years and will pay for Outcomes achieved during this period.

Checking qualification eligibility for outcome payments

A2.4 For an up-to-date list of qualifications at each level, providers should visit the [Ofqual Register of Regulated Qualifications](#) at: and search for 'Entry Level', 'Level 1', 'Level 1/2' (these are mainly GCSEs), 'Level 2' or 'Level 3' (this includes all AS and A levels) qualifications in the 'Qualification Level' search field. Providers can browse the list of qualifications at each level, or choose to 'Export' and download these as a .csv file which contains information on the GLH of each qualification. If some of the qualifications listed do not meet the minimum GLH requirement, then DWP will not pay for an outcome. The aim of YEF is to support young people to achieve high quality outcomes that will aid their progression into further education, employment or training.

A2.5 Please note that the list of eligible qualifications at each level may change, as the QCF is revised and modified, and new qualifications are accredited. Providers will therefore need to keep abreast of changes and updates.

Nature of Outcome by age group of young person	Definition of Outcome	Information required for payment validation	Information required to support the validity of claims
Age 14 and 15 years			
<p>"Progress Measures" First Improved attitude to school/education</p>	<p>The Participant demonstrates a positive change in their disposition towards learning (e.g. willingness to learn; completing homework); a positive attitude towards classroom peers, and those in authority (i.e. teachers/head teachers).</p> <p>This must be identified and verified by a teacher.</p> <p>The improvement has to be demonstrated for a minimum of 13 continuous weeks (not including school holidays) to generate an Outcome payment.</p> <p>(This outcome can be claimed in both the 14-15 age group and the 16 plus).</p>	<ul style="list-style-type: none"> • Participant's name and date of birth; • age when Participant started on provision; • name, occupation and contact details of person verifying the information; • that improvement in attitude has been achieved; • the period of the improvement, clearly stating that the minimum 13 week criteria has been met. 	<ul style="list-style-type: none"> • A signed and dated confirmation letter from school/teacher/home tutor on official headed paper • The evidence should include details about how the young person's attitude has improved <p>Evidence template at Annex 3 must be used to claim this outcome.</p>
<p>Improved attendance at school</p>	<p>Participants who are 'Persistent absentees' means students/pupils absent from school for more than 10% of sessions over the past three terms (authorised or unauthorised absence, as identified by teachers or attendance records).</p> <p>Persistent absence has to decrease to attendance levels associated with the average student, in the Participant's school year.</p>	<ul style="list-style-type: none"> • Participant's name and date of birth; • age when Participant started on provision; • name, occupation and contact details of person verifying the information; • the period of the improvement, clearly stating that the minimum 	<ul style="list-style-type: none"> • A signed and dated confirmation letter from school/teacher/home tutor on official headed paper • The letter should include details of the improved attendance level achieved by the young person and indicate the attendance levels associated with the average

	<p>The improvement has to be demonstrated for a minimum of 13 continuous weeks (not including school holidays) to generate an Outcome payment.</p>	<p>13 week criteria has been met;</p> <ul style="list-style-type: none"> attendance levels have improved to those associated with the average student. 	<p>student in that school year.</p> <p>Evidence template at Annex 3 must be used to claim this outcome.</p>
<p>Improved behaviour at school</p>	<p>Participants who are at risk of exclusion, or whose behaviour has been identified as poor. This means those “whose behaviour is unacceptable, who break school rules or who fail to follow a reasonable instruction (Section 91 of Education and Inspection Act 2006)”.</p> <p>Behaviour must improve to the standard of behaviour expected of pupils at the school as set out in the school behaviour policy.</p> <p>The improvement has to be demonstrated for a minimum of 13 continuous weeks (not including school holidays) to generate an Outcome payment.</p>	<ul style="list-style-type: none"> Participant’s name and date of birth; age when Participant started on provision; name, occupation and contact details of person verifying the information; that improvement in behaviour has been achieved; the period of the improvement, clearly stating that the minimum 13 week criteria has been met. 	<ul style="list-style-type: none"> A signed and dated confirmation letter from school/teacher/home tutor on official headed paper The letter should include details of the improved behaviour level achieved by the young person and indicate the behaviour levels outlined in the school behaviour policy. <p>Evidence template at Annex 3 must be used to claim this outcome.</p>
<p>Qualifications and Credit Framework (QCF) accredited Entry level qualifications (below GCSE)</p>	<p>The achievement of a first Qualifications and Credit Framework (QCF) accredited Entry level qualification (below GCSE).</p> <p>These include the following: Skills for Life* at Entry level, Entry level awards*, certificates and diplomas*, Foundation Learning Tier pathways* and Functional Skills at Entry level*</p> <p>*With a minimum of 40 Guided Learning</p>	<ul style="list-style-type: none"> Participant’s name and date of birth; age when Participant started on provision; name, occupation & contact details of person verifying the information; the qualification achieved and grade if appropriate; the date of achievement/ 	<ul style="list-style-type: none"> A signed and dated confirmation letter from school/teacher/home tutor on official headed paper covering all the information required; or Exam results slips or notifications from educational establishments; or

	<p>Hours (GLH)</p> <p>These are Entry Level qualifications (below GCSE) accredited in the Qualifications and Credit Framework (QCF). The Youth Engagement Fund will pay for the achievement of a <u>first</u> Entry Level qualification, i.e. where the participant has not previously received the qualification at this level or higher.</p> <p>The Fund's specification further stipulates that Entry Level qualifications can include QCF qualifications (regulated by Ofqual and present on the Register of Regulated Qualifications), that have a minimum of 40 Guided Learning Hours (GLH). Such qualifications will currently mainly include: Skills for Life at Entry level, Entry level awards, certificates and diplomas, Foundation Learning Tier pathways and Functional Skills at Entry level.</p>	<p>award;</p> <ul style="list-style-type: none"> ▪ the Awarding Body ▪ number of guided learning hours. ▪ The qualification accreditation number which can be checked on the <u>Ofqual Register of Regulated Qualifications</u> 	<ul style="list-style-type: none"> ▪ A copy of the certificate showing the Participant's name and date of birth, the Awarding Body, the date of achievement/ award and/or course completion date and the qualification accreditation number <p>Evidence template at Annex 3 must be used to claim this outcome.</p>
<p>Age 16 years plus – Level 1 - Level 3 qualifications can only be claimed once the young person reaches age 16.</p>			
<p>Improved attitude to school / education</p>	<p>The Participant demonstrates a positive change in their disposition towards learning (e.g. willingness to learn; completing homework); a positive attitude towards classroom peers, and those in authority (i.e. teachers/head teachers). This must be identified and verified by a teacher.</p> <p>The improvement has to be demonstrated for a minimum of 13 continuous weeks (not including school holidays) to generate an Outcome payment.</p>	<ul style="list-style-type: none"> ▪ Participant's name and date of birth; ▪ age when Participant started on provision; ▪ name, occupation and contact details of person verifying the information; ▪ that improvement in attitude has been achieved; ▪ the period of the 	<ul style="list-style-type: none"> • A signed and dated confirmation letter from school/teacher/home tutor on official headed paper; • The evidence should include details about how the young person's attitude has improved <p>Evidence template at Annex 3 must be used to claim this</p>

	(This outcome can be claimed in both the 14-15 age group and the 16 plus).	improvement, clearly stating that the minimum 13 week criteria has been met.	outcome.
<p>Basic Skills</p> <p>The achievement of a first QCF accredited Entry level qualification (below GCSE) with a literacy and numeracy focus</p>	<p>The achievement of a first QCF accredited Entry level qualification (below GCSE) with a literacy and numeracy focus</p> <p>These include the following Entry level awards:</p> <ul style="list-style-type: none"> ▪ Entry Level Certificate in Adult Literacy* ▪ Entry Level Certificate in Adult Numeracy* <p>*With a minimum of 40 Guided Learning Hours (GLH)</p> <p>These are Entry Level qualifications (below GCSE) accredited in the Qualifications and Credit Framework (QCF) with a literacy and numeracy focus. This outcome is aimed specifically at students aged 16 or above who are working below GCSE level.</p> <p>The Youth Engagement Fund will pay for the achievement of a <u>first</u> such Basic Skills qualification, i.e. where the participant has not previously received the qualification at this level or higher.</p> <p>The Fund's specification further stipulates that Basic Skills qualifications can include QCF qualifications (regulated by Ofqual and present</p>	<ul style="list-style-type: none"> ▪ Participant's name ▪ age when Participant started on provision; ▪ The qualification accreditation number which can be checked on the <u>Ofqual Register of Regulated Qualifications</u> 	<ul style="list-style-type: none"> • A signed and dated confirmation letter from school/teacher/home tutor on official headed paper covering all the information required; or • Exam results slips or notifications from educational establishments; or • A copy of the certificate showing the Participant's name and date of birth, the Awarding Body, the date of achievement/award and/or course completion date and the qualification accreditation number. <p>Evidence template at Annex 3 must be used to claim this outcome.</p>

	<p>on the Register of Regulated Qualifications) that have a minimum of 40 GLH. Currently, the Qualifications and Credit Framework includes the ‘Entry level certificate in literacy’ and ‘Entry level certificate in numeracy courses’ that fit this description. As the operational end date for a number of these courses is 2016, Entry Level courses focusing on Mathematics and English will also be accepted for this outcome, as long as they meet the minimum 40 Guided Learning Hours Requirement.</p>		
<p>The achievement of First QCF Level 1 qualification</p>	<p>The achievement of First QCF Level 1 qualification Achievements counted as Level 1 in the following qualifications include:</p> <ul style="list-style-type: none"> • At least one GCSE pass (at any pass grade) • BTEC awards*, diplomas* and certificates* at Level 1 • Cambridge Nationals Level 1* and 2* • Key Skills* level 1 • NVQ* at level 1 • Skills for Life* at level 1 • Functional Skills* level 1 • Foundation Learning Tier Pathway* at level 1 <p>*With a minimum of 120 GLH</p> <p>These are Level 1 qualifications accredited in the Qualifications and Credit Framework (QCF). The Youth Engagement Fund will pay for the</p>	<ul style="list-style-type: none"> • Participant’s name and date of birth; • age when Participant started on provision; • name, occupation and contact details of person verifying the information; • the qualification achieved and grade if appropriate; • the date of award or achievement; • the Awarding Body • the number of guided learning hours. • The qualification accreditation number which can be checked on the <u>Ofqual Register of Regulated Qualifications</u> 	<ul style="list-style-type: none"> • A signed and dated confirmation letter from school/teacher/home tutor on official headed paper covering all the information required; or • Exam results slips or notifications from educational establishments; or • A copy of the certificate showing the Participant’s name and date of birth, the Awarding Body, the date of achievement/award and/or course completion date and the qualification accreditation number <p>Evidence template at Annex 3 must be used to claim this outcome.</p>

	<p>achievement of a <u>first</u> such qualification, i.e. where the participant has not previously received the qualification at this level or higher. The Fund's specification further stipulates that Level 1 qualifications can include QCF qualifications (regulated by Ofqual and present on the Register of Regulated Qualifications) that have a minimum of 120 GLH. Note that qualifications meeting the GLH requirement will currently mainly include GCSE passes, BTECs, OCR Awards, NVQs, as well as a range of other Level 1 diplomas, certificates and awards.</p>		
<p>The achievement of First QCF Level 2 qualification</p>	<p>The achievement of First QCF Level 2 qualification Achievements counted as Level 2 in the following qualifications include;</p> <ul style="list-style-type: none"> • 5 full GCSE/iGCSE passes including English and Mathematics at grade A* to C or • 2 AS level at grade A to E or • 1 A/A2 level at grade A to E or • 1 NVQ*/full VRQ* pass at Level 2 or higher; or • 1 International Baccalaureate pass <p>* With a minimum of 325 GLH</p> <p>These are Level 2 qualifications accredited in the Qualifications and Credit Framework (QCF). The Youth Engagement Fund will pay for the</p>	<ul style="list-style-type: none"> • Participant's name and date of birth; • age when participant started on provision; • name, occupation and contact details of person verifying the information; • the qualification achieved and grade if appropriate; • the date of achievement or award; and • the Awarding Body. • number of guided learning hours. • The qualification accreditation number which can be checked on the Ofqual Register of 	<ul style="list-style-type: none"> • A signed and dated confirmation letter from school/teacher/home tutor on official headed paper covering all the information required; or • Exam results slips or notifications from educational establishments; or • A copy of the certificate showing the Participant's name and date of birth, the Awarding Body, the date of achievement/award and/or course completion date and the qualification accreditation number

achievement of a first such qualification, i.e. where the Participant has not previously received a qualification at this level or higher. The Fund's specification further stipulates that Level 2 qualifications can include QCF qualifications (regulated by Ofqual and present on the Register of Regulated Qualifications) that have a minimum of 325 GLH. The aim of the Fund, as stated in the specification, is for Level 2 qualifications to include 5 GCSEs including English and Mathematics at grades A*-C, or equivalent qualifications including 2 AS Levels at grades A-E, 1 A/A2 level at grades A-E, NVQs or Level 2 diplomas. These qualifications must meet the minimum 325 GLH requirement.

Note: That in some circumstances, it is acceptable to combine courses to achieve the GLH minimum. For example, most GCSEs are 120 GLH each; if a student achieves five GCSEs at the specified grades this satisfies the requirement. This may also be the case with other courses, such as BTECs where schools may offer a number of BTECs in addition to or instead of GCSE provision, in order to achieve the equivalent of five GCSEs. However, if Providers want to deliver a standalone Level 2 course, this must meet the 325 GLH requirement individually.

Completion of first QCF Level 3

Achievements counted as Level 3 in the following qualifications include;

Regulated Qualifications.

Evidence template at Annex 3 must be used to claim this outcome.

- Participant's name and date of birth;

- A signed and dated confirmation letter from

<p>training/vocational qualifications.</p>	<ul style="list-style-type: none"> • 4 AS level at grade A to E • 2 A/A2 level at grade A to E • 1 NVQ*/full VRQ* pass at Level 3 or higher • 1 International Baccalaureate pass • 2 Pre-U Principal Subject or 4 Pre-U Short Course Subjects <p>* With a minimum of 595 GLH</p>	<ul style="list-style-type: none"> • age when participant started on provision; • name, occupation and contact details of person verifying the information; • the qualification achieved and grade if appropriate; • the date of achievement or award; and • the Awarding Body. • number of guided learning hours. • The qualification accreditation number which can be checked on the Ofqual Register of Regulated Qualifications. 	<p>school/teacher/home tutor on official headed paper covering all the information required; or</p> <ul style="list-style-type: none"> • Exam results slips or notifications from educational establishments; or • A copy of the certificate showing the participant's name and date of birth, the Awarding Body, the date of achievement/award and/or course completion date and the qualification accreditation number
<p>Entry into First Employment (16 or more hours per week) with training element (e.g. an Apprenticeship, or work-based learning).</p>	<p>Entry into employment of 16 hours per week or more. For under 18s this includes a part-time education or training element [which counts towards the 16 hours]. A part-time education or training element is defined as at least 280 guided learning hours per year.</p> <p>This employment must have lasted for a minimum of 13 continuous or cumulative weeks in order for it to generate an Outcome payment. Self-employment is also included.</p> <p>Please Note</p> <ul style="list-style-type: none"> • This period begins to accrue from and 	<ul style="list-style-type: none"> • Participant's name, date of birth and NINO; • age when Participant started on provision; • whether the Participant is self-employed or employed; • if the Participant is under 18, whether a training element of at least 280 guided learning hours per year is included; • employer's full address, business telephone 	<p>The Employer Verification Template must be supported by either:</p> <ul style="list-style-type: none"> • company letter headed paper; or • compliments slip; or • company stamp; or • business card; or • trade invoices - an invoice for goods or services bought by the employer organisation relevant to the employer business; or

	<p>including the job start date;</p> <ul style="list-style-type: none"> • An individual must have been in employment and off benefit. <p>The job Outcome must be claimed after the young person has started on YEF provision. For Universal Credit purposes the participant must be:</p> <ul style="list-style-type: none"> ▪ Either off benefit for 91 days (Payment Groups 3,4,5,6,7) or 182 days (Payment groups 1,2,9) ▪ Or, for those who remain on Universal Credit, have earnings of at least the threshold level for 91 days (Payment Groups 3,4,5,6,7) or 182 days (Payment Groups 1,2,9). <p>*For Universal Credit, earnings for the month will be measured against a monthly earnings threshold. For 2015/16, this earnings threshold is set at £338 pcm for Participants aged 25 and over, £272 pcm for young people aged under 25.</p>	<p>number and e-mail* address;</p> <ul style="list-style-type: none"> • name, occupation and contact details of person verifying the information; • job start dates (and end dates if applicable); • hours; and • employee identifier such as works or payroll number*. <p>*if applicable</p>	<ul style="list-style-type: none"> • trade receipts - receipt/sales invoice for goods or services supplied by the employer organisation relevant to the employer business; or • utility bills – a utility bill for gas, electricity or water consumed by the employer organisation; or • fax headers – where a fax header is set up using the fax settings and this is clearly displayed on an incoming fax to a provider from an employer, this will be treated in the same way as company letter headed paper; or • a company payslip; or • an employer's liability insurance certificate. <p>In all cases, the supporting documentation must show the name of the employer organisation (and ideally the address) and be signed by the same person who signed the Employer Verification Template. To minimise the risk of potential collusion, DWP would expect the supporting evidence to be official and would not therefore accept</p>
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			<p>documentation where the employer details are handwritten.</p> <p>For under 18s details of the part-time education or training element is also required to confirm the employment meets the necessary Guided Learning Hours requirement.</p> <p>In the cases of self employment</p> <p>The self employed Participant is allowed to complete the 'Employer' Verification Template (Self-employment Verification Template). This is the only instance where DWP will accept the Participant's word that the job is 16 hours or more and expected to last at least 13 continuous weeks without an independent statement to this effect (because the Participant is in effect the employer).</p> <p>However this Self Employment Verification Template must be supported by evidence that the individual is trading. This can include:</p> <ul style="list-style-type: none"> • a letter from a business start-up organisation which must
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			<p>include a business plan; or</p> <ul style="list-style-type: none"> • evidence of trading that is clearly linked to the company, this might include: • trading bank statements; • day book / takings book / accounting records; • trade invoices; • Natl Ins. Contributions Account showing self employment; or, • evidence that the customer has registered with HMRC. <p>Note: it is accepted that the nature and volume of this evidence will be commensurate with the size and type of the self-employed undertaking, however, all evidence should be consistent with (i.e. dated on or after) the date on the Self Employment Verification Template which it supports.</p> <p>DWP recognises that not all evidence supplied may have a single date, e.g. a daybook or accounting records may have a variety of dates covering the period from the date that self-employment commenced up to the end of the period for which</p>
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			<p>evidence is being submitted (i.e. either 13 or 26/30 weeks, depending upon whether it is a short job Outcome or a sustained job Outcome).</p> <p>Evidence template at Annex 3 must be used to claim this outcome.</p>
<p>Entry into sustained employment – 26 weeks</p>	<p>Sustained employment is where a participant has been in employment and off benefit for a total of 26 weeks: and specifically where</p> <ul style="list-style-type: none"> • a Job Outcome payment has been paid; and • thirteen continuous weeks in employment have elapsed between the Job Outcome payment date <p>Again, for under 18s, a part-time education or training element is required. For Universal Credit purposes, a sustainment payment will be paid for each subsequent four week period the participant is:</p> <ul style="list-style-type: none"> ▪ Either off benefit for the entire 4 week period ▪ Or, for those who remain on Universal Credit, have earnings of at least the threshold level during the period of the claim <p>*For Universal Credit, earnings for the month will be measured against a monthly earnings threshold. For 2015/16, this earnings threshold</p>	<ul style="list-style-type: none"> • Participant’s name, date of birth and NINO; • age when Participant started on provision; • whether the job is employment or self-employment; • if the Participant is under 18, whether a training element of at least 280 guided learning hours per year is included; • employer’s full address, business telephone number and e-mail* address; • name, occupation and contact details of person verifying the information; • job start dates (and end dates if applicable); • hours; and • employee identifier such 	<p>Confirmation letter from employer (as per above Outcome). Including for under 18s details of the part-time education or training element is also required to confirm the employment meets the necessary Guided Learning Hours requirement.</p> <p>Self-Employment job Outcomes will need to be verified as per the above Outcome.</p> <p>Evidence template Annex 3 must be used to claim this outcome.</p>

	is set at £338 pcm for Participants aged 25 and over, £272 pcm for young people aged under 25.	as works or payroll number*. *if applicable	
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Annex 3: Mandatory Evidence Requirements

A3.1 The following example letters should be used by Providers to support outcome claims.

Educational Qualification

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/467236/nnex-3-mandatory-evidence-requirements-educational-qualification.rtf

Employment

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/467237/nnex-3-mandatory-evidence-requirements-employment.rtf

School Improved Attitude

NB use of these templates is Mandatory for these outcomes.

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/467243/nnex-3-mandatory-evidence-requirements-school-improved-attitude.rtf

School Improved Attendance

NB use of these templates is Mandatory for these outcomes.

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/552928/nnex-3-mandatory-evidence-requirements-school-improved-attendance.rtf

School Improved Behaviour

NB use of these templates is Mandatory for these outcomes.

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/467247/nnex-3-mandatory-evidence-requirements-school-improved-behaviour.rtf

Annex 4: Youth Engagement Fund Outcome Claim Form (YEFOCF1)

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/467307/annex-4-youth-engagement-fund-outcome-claim-form-yefocf.xls

Note: This will be replaced with an electronic version which is currently work in progress

Annex 5: MI Forms, instructions and timetable

A5.1 The MI Templates have been designed to improve data quality, by ensuring mandatory fields are completed and MI reported in a consistent manner.

MI Reporting Form

A5.2 The process for recording Participants' details means that a template must be completed for each individual. The template is attached below, along with completion instructions, and a list of data variables required for each Participant. The sheet containing the template has been protected to ensure data quality, so copying and pasting information from other sources is not possible. The Delivery Bodies are responsible for entering Participant data, before submitting to the Provider on a monthly basis.

Annex 5: MI Reporting Form

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/467308/annex-5-mi-reporting-form.xls

A5.3 There are four sheets within this template.

- The first sheet is an Introduction, highlighting the key functions in the MI Form.
- The second sheet is the Cover Sheet and requires completion of all relevant provider details and their delivery organisations plus information on the overall number of participants.
- The third sheet is the MI Variables Detail which provides more information about the data to be entered through the form.
- The final sheet is the MI form for entry of detailed information about individual participant.

A5.4 Please read all the instruction pages carefully before entering any data.

MI Collation Template

A5.5 On receipt of the templates from the Delivery Bodies, Providers need to collate the MI gathered by the Delivery Organisations. This should be done by copying the YEF MI form received from each Delivery Body and pasting these as new sheets into the MI Collation Template. The MI Collation template is attached below.

Annex 5: MI Collation Template

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/467311/annex-5-mi-collation-template.xls

A5.6 The YEF MI Collation template contains two sheets. Providers should ensure that the contact details of their organisation are provided in the YEF Cover Sheet along with the total number of participants on their programme to date in each age group (ages 14, 15, 16 and 17 separately).

A5.7 The Introduction Page in the MI Collation Template provides instructions on how to paste in the new sheets with the MI submitted by the Delivery Bodies. This must be done by copying each sheet containing MI data and pasting as a new sheet into the MI Collation template.

File Naming Conventions

A5.8 In Excel the worksheet name can only be up to 31 characters in length and given some of the delivery organisation names and months (e.g. November) there will need to be some abbreviation of these to make them fit. So that the data loading goes smoothly from month to month, DWP needs these to be consistent and so File naming conventions must be adhered to and files names must be formatted as follows:

- UnlockingpotentialMay15.xls
- PrevistaMay15.xls
- FutureshapersMay15.xls
- TeensandToddlersMay15.xls

A5.9 Any deviation from this convention will result in a failure in the data upload. The database has been designed to upload an exact number of named delivery organisations. Therefore there must be a tab within Provider's submitted spread sheet for each of their notified Delivery Bodies, regardless of whether there is any data being submitted. If this is the case the worksheet should retain the column headings but otherwise remain blank.

A5.10 Tabs should be named as per the above naming convention ie [OrganisationNameMay15.xls]. Again any deviation from this convention will result in a failure in the data upload.

MI Timetable

A5.11 The collation template needs to be populated with MI from each Delivery Body and submitted to DWP by the fifth working day of each month. The timetable for returns for 2016 / 2017 is attached below.

Annex 5: MI Timetable

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/467257/annex-5-mi-timetable.pdf

Annex 6: Performance Intervention Process

A6.1 Standard DWP performance procedures will be followed for YEF, whilst taking into account the unique nature of the pilot scheme and pioneer for the social investment model. As such, processes have been developed to ensure that formal intervention would only be considered in the case of extreme, persistent underperformance.

Intervention process – overview

A6.2 Intervention follows a four-stage process of routine, informal and formal action as outlined below.

Level	Type	Lead
1	Performance Management Regime – Routine action	<ul style="list-style-type: none"> Performance Manager led routine performance reporting and performance improvement activity. Any areas of concern will be noted as Action Points
2	Informal action	<ul style="list-style-type: none"> Performance Manager initiated specific action in consultation with SPM – including Action Plan to improve performance.
3	Informal action	<ul style="list-style-type: none"> Action initiated and led by Work Programme Division (WPD) senior managers. Action Plan to improve performance.
4	Formal action	<ul style="list-style-type: none"> Formal action initiated and led by WPD senior managers, after full consultation with Category Managers and all key stakeholders consistent with contractual obligations.

A6.3 The performance requirements for the contract are the outcome targets outlined and profiled by Providers, included in Schedule 1 Part 5 (and as amended) of the contracts.

A6.4 Due to the nature of the YEF programme as a pilot and pioneer of the social investment model, there are a number of additional considerations that will be taken into account at all stages of the informal and formal intervention process. These include but are not limited to:

- Performance Manager assessments of the quality of service delivered;
- Impact of the school year, especially the summer holidays, causing temporary underperformance against profile;
- Impact on performance due to Providers working with especially hard-to-help participants; relative performance of different outcomes, e.g. performance for

level 1 qualifications is under profile, but performance for level 2 qualifications is over profile.

Intervention level 1 – Performance Management Regime

A6.5 This is the day-to-day Performance Management of the contracts, and combines both a quantitative and qualitative assessment of the contract's performance.

A6.6 Performance on both criteria will be discussed at Contract Performance Review (CPR) meetings, generally held on a monthly basis. Performance Managers (PMs) will assess quantitative performance through performance against cohort profile, as measured by monthly Outcome Dashboard MI packs, available on a monthly basis from when the first outcomes are claimed. These will be shared with Providers. PMs will assess qualitative performance through:

- PM Record Checks – assessing the quality of a sample of Action Plans;
- Go-Look-See observations of actual service delivery;
- Both these actions will normally take place on a quarterly basis.

A6.7 Should PMs identify underperformance; this will be raised at the following CPR, allowing the Provider to outline actions to be taken to mitigate this. These will be noted as Action Points on the minutes of the CPR, and updates on these Action Points will be sought at subsequent CPRs.

Intervention level 2 – informal PM-led action

A6.8 Where Action Points have been noted and there has been no improvement in performance over two months, PMs will decide on further action to be taken in consultation with their Senior Performance Manager (SPM), taking into account both quantitative and qualitative assessment of the contract's performance. Informal actions at this stage may include an Action Plan developed by the Provider and agreed by WPD, including a Flight Path outlining when performance is expected to return to target.

A6.9 Actions of this nature will be outlined in internal performance reports by the lead SPM for YEF, to be shared with senior stakeholders and Category Managers. Where a Provider fails to improve as a result of the actions requested and within the timescales required, there will be an escalation to level 3.

Note: These Action Plans contain no contractual content and are not formal PIPs.

Intervention level 3 – informal nationally led action

A6.10 This action can occur at any point before formal action, but it is anticipated that it would normally be when level 2 interventions has not had the required results in improving performance and/or programme delivery. This action will be initiated by a letter from CEPD senior managers to Providers.

A6.11 While senior managers may also contact Providers to congratulate them when performance is meeting or exceeding expectations, in the context of informal intervention this will be a management letter asking for performance to improve and articulating DWP's expectations.

A6.12 Following this letter being issued, PMs and Providers will draw up a new Action Plan, including flight paths for performance to return to targets. This may also include a face to face meeting with Senior Managers.

A6.13 These actions will be outlined in performance reports by the lead SPM for YEF, to be shared with senior stakeholders and Category Managers.

Note: this letter contains no contractual content and is not a formal PIP.

Intervention level 4 – formal nationally-led action

A6.14 Formal contractual action or Performance Improvement Notice (PIN) action will be undertaken at a national level by the WPD, after consultation with senior stakeholders within DWP and in Cabinet Office.

A6.15 DWP will work with you to avoid formal contractual action and PINs as far as possible, taking into account the pilot nature of the scheme and associated scope for changes to delivery models. In consultation with senior stakeholders and providers, the following courses of action may be considered:

- Amendments to Provider Guidance, including further clarity over requirements,
- Additional support and training to the Provider.

A6.16 If all other courses of action have been considered involving all key stakeholders, and there has been persistent underperformance, then the formal Performance Improvement Process will be initiated.

A6.17 DWP will work collaboratively with Providers at all stages, considering all other options as outlined above, to ensure performance can be put back on track.