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**Building Better Opportunities**

West of England Works

**Participant File Guidance**

**Version 2 – June 2017**

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**1. Introduction**

This document is designed to provide partners of West of England Works with clear advice, guidance and explanation of the requirements for the completion of Participant paperwork for the Building Better Opportunities project.

Please take some time to read this document and familiarise yourself with the requirements of each individual document, and how and when documentation will be required to be submitted to the West of England Works team.

The paperwork required for submission has been designed by both the Big Lottery Fund and the West of England Works team and when completed together will make a full and compliant participant file that meet requirements as set out by the Big Lottery Fund and the European Social Fund.

During the project, requirements and paperwork may change, as and when such instances arise, amended paperwork and an amended guidance document will be made available.

**1.1Helpful Links, Acronyms and Terminology**

* **Big Lottery Fund (BLF):** One of the funders of the project.
* **European Social Fund (ESF):** One of the funders of the project.
* **Building Better Opportunities (BBO):** Bringing together funding from the Big Lottery Fund and the European Social Fund (ESF) to help tackle the poverty and social exclusion faced by the most disadvantaged people in England.
* **West of England Works (WoEW):** The team from the lead organisation, responsible for the grant and the lead partner for the project.
* **European Economic Area (EEA):** A Full list can be found at – https://www.gov.uk/eu-eea
* **Participant:** Anyone who will directly benefit and enrolled onto the West of England Works Project.
* **Claim Period:** This is the period within which you are reporting participant information.
* **BBO Guidance:** Full comprehensive guidance from BLF - https://www.biglotteryfund.org.uk/global-content/programmes/england/~/link.aspx?\_id=50FAB7D4B5A248F8A8C8F5D4D33F9E0F&\_z=z
* **Proof of Identity Checklist:** Full list of documents that can be used as acceptable proof of identity can be found at - https://www.gov.uk/government/publications/proof-of-identity-checklist/proof-of-identity-checklist

**1.2 Participant File Paperwork**

The Participant File is made up of a mixture of paperwork provided by the Big Lottery Fund and paperwork generated by West of England Works. Together, the paperwork creates the full ‘Participant File’ which needs be submitted fully to the West of England Works team.

The Participant File will be made up of:

* **Participant Entry Form Annex H** (A *Big Lottery Fund* generated document, required to be completed and submitted at the start of the participant’s time on the project)
* **Initial Assessment and Entry Survey** (A *West of England Works* generated document, required to be completed at the start of the participant’s time on the project)
* **Participant Progress Form Annex I** (A *Big Lottery Fund* generated document, required to be completed throughout the programme and provided to the West of England Works monthly throughout the participant’s time on the project)
* **Progress Review and Survey** (A *West of England Works* generated document, required to be completed throughout the programme and provided to the West of England Works monthly throughout the participant’s time on the project)
* **Expenses, Incentives and Allowances Form Annex N** (A *Big Lottery Fund* generated document, required to be completed throughout the programme and provided to the West of England Works monthly throughout the participant’s time on the project)
* **Participant Exit Form Annex J** (A *Big Lottery Fund* generated document, required to be completed and submitted at the end of the participant’s time on the project)
* **Exit Form and Survey** (A *West of England Works* generated document, required to be completed and submitted at the end of the participant’s time on the project)
* **Any other evidence as required**

Paperwork and evidence for the previous month must be scanned to West of England Works by the last working day of each calendar month at the very latest to ensure that claims are processed and invoiced in time by the West of England Works team. It is crucial that paperwork is fully compliant, legible and timely. It is the partner’s responsibility to ensure the quality of their submitted paperwork meets the criteria. Any omitted evidence could result in invoices being delayed and unpaid.

**2. Section A – Entry and Eligibility**

The first section, which includes the **Participant Entry Form** and **Initial Assessment and Survey** must be completed before the individual can start on the project. The ‘start’ of the project is defined by the Big Lottery Fund as learning or support that has actually begun, not any inductions, initial assessments or any other enrolment activities (including completion of the Participant Entry Form).

All “Section A” paperwork, must be provided to the West of England Works at the start of the learners programme. Scans are to be sent and originals are to be kept by the partner until the end of the project (31st December 2019), when the full hard copy will be submitted to West of England Works.

A comprehensive guide to eligibility and criteria has been created by the Big Lottery Fund and can be accessed:

<https://www.biglotteryfund.org.uk/global-content/programmes/england/~/link.aspx?_id=50FAB7D4B5A248F8A8C8F5D4D33F9E0F&_z=z>

**2.1 Participant Entry Form (Annex H)**

This form collects contact information for the participant and gathers all the outputs you will need to report to the West of England Works team. Participants must sign a hard copy of this form which confirms that the participant is happy for personal information to be stored and used by partners of the project and that they understand the project is part-funded by the European Social Fund.

**Part One – Summary:** This is completed by the project officer once the participant’s eligibility has been confirmed.

**Part Two – Your Details:** Participant details are requested in this section, and information such as the participant’s contact information, gender, date of birth and address are captured.

**Part Three – Your Ethnicity:** Asks for the participant to provide their ethnic background.

**Part Four – Your Eligibility:** This is where an item of evidence is asked to be provided to prove the participant has the right to live and work in the United Kingdom.

**Part Five – Your Employment Status**: Captures whether the participant is unemployed or economically inactive and requests an item of evidence to provide this.

**Part Six – Your Education**: Asks for the participant to confirm the highest level of education or qualification they currently hold.

**Part Seven – Household Situation**: Establishes whether the participant is homeless or living with other adults who are unemployed and whether they have dependent children in the household.

**Part Eight – Other Information:** Asks for the participant to declare their sexual orientation and whether they have a disability or a work limiting health condition.

**Part Nine – Participant Declaration:** A signed declaration from the participant. The date should match the Project Officer’s date

**Part Ten – Project Officer Declaration:** A signed declaration from the project officer for

the partner organisation. The date should match the Participant’s date

**2.2 Evidence of Right to Work**

The project is required to check that the participant has the right to live and work in the UK. To ensure the participant meets this criteria, the participant must provide one of the following pieces of evidence and tick on the Participant Entry Form which item of evidence they are providing.

**Evidence of Right to Live and Work in UK**

A **Passport** showing the holder, or a person named in the passport as the child of the holder, is a British citizen of the UK and Colonies having the right of abode in the UK.

A **Passport** or **National Identity Card** showing the holder, or a person named in the passport as the child of the holder, is a national of a European Economic Area county or Switzerland.

A **Registration Certificate** ***or*** document **Certifying Permanent Residence** issued by the Home Office to a national of a European Economic Area country or Switzerland.

A **Permanent Residence Card** issued by the Home Office to the family member of a national of a European Economic Area country or Switzerland.

A ***current*** **Biometric Immigration Document** (Biometric Residence Permit) issued by the Home Office to the holder indicating that the person named is allowed to stay indefinitely in the UK***, or*** has no time limit on their stay in the UK or enough time remaining to complete the activities the project will deliver

A ***current*** **Passport** endorsed to show that the holder is exempt from immigration control, is allowed to stay indefinitely in the UK, has the right of abode in the UK, or has no time limit on their stay in the UK, or enough time remaining to complete the activities the project will deliver.

A ***current*** **Immigration Status Document** issued by the Home Office to the holder with an endorsement indicating that the named person is allowed to stay indefinitely in the UK ***or*** has no time limit on their stay in the UK, or enough time remaining to complete the activities the project will deliver, ***together with*** an official document giving the person’s permanent **National Insurance number** ***and*** their name issued by a Government agent of a previous employer.

A full **Birth *or* Adoption Certificate** issued in the UK which includes the name(s) of at least one of the holder’s parents or adoptive parents, ***together with*** an official document giving the persons permanent **National Insurance Number**.

A **Birth *or* Adoption Certificate** issued in the Channel Islands, the Isle of Man or Ireland, ***together with*** an official document giving the person’s permanent **National Insurance Number** ***and*** their name issued by a Government agency or a previous employer.

A **Certificate of Registration** or Naturalisation as a British citizen, ***together with*** an official document giving the person’s permanent **National Insurance Number** ***and*** their name issued by a Government agency or a previous employer.

**2.3 Evidence of Unemployment**

The project must also establish whether the participant is not working and unemployed, which means the participant is looking for work and may be receiving unemployment benefits of some kind or whether the participant is not work and economically inactive, which means the participant is not current looking for work for some reason.

**Evidence of Unemployment**

If the participant is **Registered Unemployed**, a letter or document from the Department for Work and Pensions confirming this.

If the participant is unemployed but **not Registered Unemployed**, a letter or document from a government agency, such as the Careers Service, confirming this.

If the participant is **Economically Inactive**, a letter or document to support this, such as a doctors letter, entitlement to state retirement pension letter or correspondence from an educational establishment if you are a full time student. If no documentation can be obtained to support this, a self-declaration document is acceptable ***providing*** a robust explanation is given regarding the measures taken attempting to acquire the appropriate documentation.

**2.4 Initial Assessment and Entry Survey**

Before deciding whether to support a participant, it is good practice to undertake an early assessment of their circumstances to decide if the project will be suitable and effective to address the participants needs and to establish the participant’s expectation’s and goals whilst on the project and any particular barriers and challenges they may face in reaching these goals.

The **Initial Assessment and Entry Survey** document has been designed by the West of England Work’s team to help partners establish whether the learner is suitable for the project, and to create a delivery plan for the participant. The document also incorporates a survey that will be reoccurring during the participant’s time with the project to help monitor progress made. The form should be completed by the project officer except for part six, which should be completed by the participant. Part five should be completed by both the participant and the project officer.

**Part One – Participant Details:** This captures the participant’s name, date of birth, national insurance number and partner organisation so that the West of England Works team can ensure it is placed in the correct participant file.

**Part Two – Self Assessment:** The participant is asked to provide details of any recent jobs, work experience, volunteering activities they have been involved in as well as asking for the participant to declare any qualifications or certificates they have previously achieved and what they consider to be their best skills and qualities.

**Part Three – Participant Expectations and Goals:** The participant is asked to detail what they expect and hope to achieve whilst with the project

**Part Four – Barriers and Action Plan:** This is where potential barriers to achieving the participant’s expectations and goals are detailed. A summary of discussion and the short-term and long-term plan to overcome these barriers are to be described here.

**Part Five – Other Information**: The participant can provide any other information that they feel is relevant for us to know at this point.

**Part Six – Interview and Survey**: A number of statements, with a grading scale are provided for the participant to answer based on their own opinions – participants should answer these statements without any input from a project officer.

**Part Seven – Declaration and Signatures**: A signed declaration from the participant and member of staff at the partner organisation.

**3. Section B – Progress**

Whilst the participant is engaged on the project, you will be required to keep a record of the participant’s attendance, activities that they have undertaken and a record of the participant’s development throughout the programme. To do this, you will be required to complete the **Participant Progress Form** and the **Progress Review and Survey** documents.

The **Participant Progress Form and** the **Progress Review and Survey** will need to be submitted to the West of England Works team, monthly for each participant.

**3.1 Participant Progress Form (Annex I)**

The **Participant Progress Form** must be used to document an individual’s attendance on the project, activities undertaken and document progress of development. The document needs to be signed by both the project officer ***and*** the participant each time that an activity has been undertaken.

**Part One – Attendance:** To document attendance, you will be required to describe the activity that was undertaken and provide the length of time it took for the participant to complete each activity.

**Part Two – Your Development:** Similarly, you will need to document progress made when targets have been achieved and again obtain a signature by both the project officer and participant to confirm each stage of the development.

When documenting both the participant’s attendance and development, you will be required to provide evidence such as attendance sheets, course notes, submitted work, emails, job search/applications etc. and any other relevant information to show progress for the participant on the project and that it is in line with their personal action and development plan. They **must** always be verified, signed and dated by a member of staff on behalf of the partner to confirm they are true copy of the original.

**3.2 Progress Review and Survey**

The **Progress Review and Survey**, which is one of the West of England Works designed forms, works alongside the **Participant Progress Form** and acts as a ‘action and development plan’ and includes the survey that will be used by West of England Works to monitor development of each participant. This document ***must*** be provided to the West of England Works team monthly and must be completed together by the participant and project officer. However, we would expect to receive a completed **Progress Review and Survey,** at least every six weeks for each participant. The form should be completed by the project officer, except for Part four, which should be completed by the participant. Part five, should be completed by both the participant and the project officer.

**Part One – Participant Details:** This captures the participant’s name, date of birth, national insurance number and partner organisation so that the West of England Works team can ensure it is placed in the correct participant file.

**Part Two – SMART Targets:** The participant and project officer are asked whether all SMART *(Smart, Measurable, Achievable, Realistic and Timely)* targets have been achieved fully or partially, whilst then giving the reviewer space to set SMART targets for the month ahead.

**Part Three – Additional Comments:** The project officer has the opportunity to make any additional comments that they feel are relevant for and behalf of the participant.

**Part Four – Survey:** A number of statements (the same as those from the Entry documents), with a grading scale are provided for the participant to answer based on their own opinions – participants should answer these statements without any input from a project officer.

**Part Five – Declaration and Signatures:** A signed and dated declaration from the participant and the project officer, with matching dates.

**4. Expenses, Incentives and Allowances**

The Big Lottery Fund detail in their published guidance that:

*“We expect these to be limited to costs that are absolutely essential to the delivery of the project. For each individual allowance or incentive, we need to understand how it will:*

Represent value for money

 Be based on comparable, local costs

*Affect the level of benefits the participant is be entitled to, which you’ll need to discuss with the local*

 *Jobcentre plus Office*

Confirm to HM Revenue and Customs rules on taxable income”

Each time an expense, allowance or incentive is given, you will need to complete a **Participant Expense, Allowance and Incentive Form**, which needs to be scanned to the West of England Works team during the relevant month the claim was made.

**4.1 Participant Expenses, Incentives and Allowances Form (Annex N)**

The **Participant Expenses, Incentives and Allowances Form** is required to be completed each time a claim is made, and submitted to the West of England Works team by the last working day of the month following when the claim was made.

**Part One – Summary:** This captures the participant’s name, national insurance number, customer reference number and partner organisation, so that the West of England Works team can ensure it is placed in the correct participant file.

**Part Two – Expenses:** The nature of the expense is to be described as fully as possible. There is a table provided allowing the participant to enter a description of the expense, the date of the expense and the total amount of the expense. Guidance for providing sufficient evidence is provided to the participant in this section. You ***must*** provide proof of the expense, such as a receipt of your journey. One Annex N per participant, could be submitted on a monthly basis.

**Part Three – Allowances and Incentives:** The nature of the allowance or incentive needs to be provided as fully as possible. Comprehensive guidance is provided on the form detailing how this section should be completed fully.

**Part Four – Participant Declaration:** A signed declaration from the participant, confirming that the information provided is true and correct.

**Part Five – Project Officer Declaration:** A signed declaration from a member of staff at the partner organisation confirming the information on the form is correct and original documentation has been collected and retained.

*Please note - The signed and dated declarations should have matching dates.*

**Evidence of Expenses, Incentives and Allowances**

A **written explanation** of the reasons for offering the allowance or incentive and how this presents good value for money.

A **record of the advice** received from Job Centre Plus, HM Revenue and Customs and other bodies concerning each individuals participant’s existing allowance or incentives.

**Financial records** showing the participant, date and amount paid, including a signed declaration.

A **record** of the participant that fulfils the terms of the allowance or incentive.

**5. Section D – Exit and Results**

Participant exit paperwork and evidence must be completed when an individual leaves the project. The Big Lottery Fund defines ‘leaving the project’ as the point at which the participant has finished their last activity on the project. For example, they’ve reach the end of their training and have no further activities planned with the project or they have commenced employment.

The **Participant Exit Form and the Exit Survey** should be completed at this point, and documents the results that the participant has achieved which will count towards your project targets.

Depending on the participant circumstances recorded at the start of the programme when completing the entry paperwork, participants achieve a result if they:

Move into education or training

 Move into employment or self-employment

 Gain a qualification

Are economically inactive and move into job-search

Are disadvantaged and achieve a result

The Big Lottery Fund state that a participant may achieve more than one result but a result can only ever be achieved once and it must be recorded within *four weeks* of the date that a participant leaves the project. However, in order for you to ‘count’ a result against targets, you must have retained evidence to provide that the result has actually been achieved.

**5.1 Participant Exit Form (Annex J)**

The **Participant Exit Form** is used so that you are able declare that you have checked, copied and retained documentation to prove that the participant has achieved a result. The type of evidence required is dependent on the participant’s result.

**Part One – Summary:** This is completed by project staff, and captures the participant’s name, national insurance number, customer reference number, partner organisation and the leaving date from the project.

**Part Two – Participant Results on exit from the project:** Tick all of the options that are relevant to the participant. Evidence will be required for all that are ticked as described below from Part Three to Part Six.

**Part Three – Education or Training:** The participant must provide details of their education or training on the **Participation Exit Form**, whilst a letter or document from the school, college, university or learning provider demonstrating that the participant has formally registered and started the education or training ***must*** be provided.

**Part Four – Employment or Self-Employment:** The participant must provide details of their employment or self-employment on the **Participant Exit Form**, whilst providing one of either a letter or document from the employer confirming that the participant has started their new job, or a payslip or a signed contract of employment if the learner has moved into employment.

If the participant has moved into self-employment the participant must provide a letter or document showing that the business activity is registered with HMRC for tax, VAT or National Insurance purposes and/or a record showing that the business activity is active and operating such as a bank statement or a lease/purchase agreement on equipment and premises or if registered with Companies House, a record listing the participant as a company director.

**Part Five – Job Search**: The participant must provide details of their job-searching on the **Participant Exit Form** and provide evidence such as a CV and a list of jobs applied for, and when or a letter or document from the Department for Work and Pensions that confirms the individual is registered unemployed, or a letter or document from a government agency showing the participant has newly engaged with mainstream support and are actively working with them to apply for jobs, or a bank statement showing benefit payments.

**Part Six – Employment Status on Leaving the Project**: This ***must*** be completed by all participants. The participant ticks the box that accurately represents their employment status at the time of leaving the project.

**Part Seven – Participant Declaration:** A signed declaration from the participant, confirming that the information provided is true and correct. .

**Part Eight – Project Officer Declaration:** A signed declaration from a member of staff at the partner organisation confirming the information on the form is correct and original documentation has been collected and retained.

*Please note - The signed and dated declarations should have matching dates.*

***All results must start within four weeks of the participants exit from the project.***

**5.2 Exit Form and Survey**

The **Exit Form and Survey** allows the West of England Works team to monitor progress made by the participant from the start of the project to the time they leave the project.

**Part One – Participant Details:** This captures the participant’s name, date of birth, national insurance number, customer reference number and partner organisation so that the West of England Works team can ensure it is placed in the correct participant file.

**Part Two – Survey:** A number of statements (the same as those from the Entry documents), with a grading scale are provided for the participant to answer based on their own opinions – participants should answer these statements without any input from a project officer.

**Part Three – Declaration and Signatures:** A signed declaration from the participant and member of staff at the partner organisation, with matching dates.

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| All forms can be downloaded from the West of England Website. [**http://www.westofenglandworks.org.uk/downloads/**](http://www.westofenglandworks.org.uk/downloads/)Please contact the West of England Works Operations Team for the password to access the website. |