# Updates in version 9.0 – Annex L Participant monitoring spreadsheet

## General

* These updates have been made to align with the new Data collection forms published in May 2018, address grant-holder feedback and to stop collecting sensitive data that is no longer needed by the programme.
* Number of Rows increased to 3,500.

### Summary Information

* Project Reference updated to Project Outline Reference.
* Claim period drop-down values restricted to Q3-2018 to Q4-2020
* Validation errors appear if key project information has not been entered in the Project details summary section.
* Dynamic table for Output target summary added to mimic the table in Annex E. Date range for table is calculated directly from the Project Start Date and Project End Date.
* Count of participants with other Gender status added to Output target summary (Row 30)
* Formula updated in Number of Participants who move into education or training on leaving row to not count participants that were Engaged in education or training when they joined the project.

### Participant Data

* Start date with project data input validation updated to ensure manually entered values are not after the claim end date.
* New drop-down option Added to Title field (Column G) - Mx
* New drop-down option added to Gender (Column J) – Other
* Telephone number and Mobile number columns (P and Q) cell format updated to text to prevent leading zero being removed by Excel.
* Cornish field removed from column V.
* Sexual orientation field removed from column AI.
* Notes field removed from column AJ.
* Length of time unemployed on leaving added in Column AL. This is a mandatory field that should contain a whole number when the Employment status on leaving is Unemployed, including long-term unemployed.
* Evidence of results seen, copied and retained field removed from Column AP
* Share contact details for DWP Evaluation is the new field in column AO. This is a mandatory field with the following drop-down options:
	+ Yes
	+ No

The default value of Yes will be automatically populated in the spreadsheet when a leaving date is entered. Selecting No will prevent the full contact details for this participant from being shared with the Managing Authority (DWP). This should be used to protect vulnerable participants from being contacted or where participants have withdrawn their consent to participate in the DWP's evaluation activities.

A No value can be added at any time.

### Derived Data

* Age on Joining Formula updated to handle invalid dates entered as Start date with Project or Date of Birth. Error Message appears instead of the default Excel **#VALUE!** Warning, so other validation messages appear as expected.
* Disadvantage formula updated to check ethnic minority status. When From and ethnic minority is a yes, Disadvantage will also be a yes.

### Validation

* Duplicated validation rules removed to reduce overall size of file by roughly 2Mb.
* Order of validation error messages changed to display in the same order as the fields in the Participant Data sheet.
* Start date with project validation added. Value cannot be earlier than the Project Start Date.
* Sexual orientation validations removed.
* Consistency validation between Engaged in Education or training and Engaged in Education or training upon leaving removed.
* Validation rule added to check that Engaged in Education or training upon leaving value is a valid drop-down option.
* Validation rule added to check that Length of time unemployed on leaving is either N/A or a number. This rule only applies when participants have a leaving date on or after 1st July 2018.
* Validation rule updated for An offender or ex-offender so this field can be left blank when the investment priority is 1.2. This field is optional under investment priority 1.2 so a genuine drop-down value can be selected if evidence has been collected to support the data. The field remains mandatory for investment priority 1.4.
* Validation rule added to check that Share contact details is a valid drop-down option.
* Category of Region validation formula updated to handle missing Project Outline Reference from Summary Sheet.
* Address Validations (House Name/number, Address 1, Address 2, Address 3, County and Participant Postcode) no longer trigger for homeless participants (when Homeless or affected by housing exclusion is set to Yes).
* Validation rule added to check that leaving date is not earlier than start date with project.
* Validation rule added to check that leaving date is not greater than claim end date.
* Evidence of results seen, copied and retained validations removed.

## Q&A

**Why have you made these changes?**

These updates have been made to align with the new Data collection forms published in May 2018, address grant-holder feedback and to stop collecting sensitive data that is no longer needed by the programme.

**What Quarter should I use this file for?**

Annex L version 9 should be used for the Q3-2018 claim onwards.

**Do I need to move my existing data across from version 8? How can I do this easily?**

Yes, you still need to include all existing participant data in Annex L version 9.

Table 1 at the end of this document shows where columns have moved to between version 8 and version 9. Table 2 at the end of this document shows the data ranges that can be selected and pasted across from version 8 into version 9.

**What should I do when a participant changes address or phone number?**

You should enter the most recent contact details into the Annex L spreadsheet. If these details change from the time that the participant joined your project you should maintain an audit trail of any changes to contact details.

**Why do I lose the leading zero from a phone number when I paste data into the spreadsheet?**

When you paste data from one excel file to another, this will often also paste across any existing formatting information into the new spreadsheet. To avoid this you should make sure that you right click and select the paste special option, then select 'values'. Alternatively you can use the CTRL+ALT+V keyboard shortcut. 

**What should I do if a participant has worked on another project in our LEP area?**

You should enter each participant's outputs and results as normal in Annex L to reflect the time spent on your project. We will compare the data from all projects in each LEP area and use the participant's national insurance number to provide an aggregated record to the DWP for participants that have engaged with more than one project.

These outputs and results can still count towards the targets that your project is working towards. However if there is more than one project working in your LEP area, when participant data is reported to the DWP, all of these outputs or results will not necessarily contribute towards the LEP level ESF outputs and results.

**Why did you delete the notes field, can we have it back?**

In preparation for the new GDPR regulations we completed a data protection impact assessment and identified that this field was being used by some grant-holders to provide a lot more personal-sensitive information about participants than we needed. We decided to remove this field from the spreadsheet as we do not need to see this information in order to complete our eligibility checks and report to the DWP.

**How do we calculate the length of time unemployed on leaving? What about existing participant records?**

This should be calculated in much the same way as the length of time unemployed that is recorded when a participant joins/registers with your project. It is the number of whole months that a participant has been out of work at the time that they leave the project.

There is no need to enter a value for this field for any participants that have a leaving date that is earlier than 1st July 2018. You should not automatically calculate this number, instead this should be collected in the new exit forms.

**How do you calculate the job-search result?**

The job-search result is recorded whenever a participant's employment status moves from 'Inactive, including not in education or training' upon joining a project to 'Unemployed, including long-term unemployed' on exit.

**Have you changed what counts as a result for moving into education or training?**

Nothing has changed in terms of the 'moving into education or training' result, this was defined at the start of the ESF programme in the [ESF Output and Result Indicator definitions guidance](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/506534/MI_definitions__Final_V1_20160210.pdf).

The definition for ESF CR02 Participants in education/training upon leaving is clear that the participant should not be in education/training when they enter a project to claim this result.

The update we have made is to allow scenario to be entered into the spreadsheet when a participant is in education or training when they join and still in education or training when they leave. This is still a valid scenario for an individual but does not count as a result.

**When do we update the new 'Share Contact details for DWP Evaluation' field?**

This field will default to a yes when a leaving date is manually entered into the spreadsheet. However there are some scenarios when a 'No' value can be selected. These include (but are not limited to):

* Transsexual participants without a Gender Recognition Certificate
* VIPs: Members of Parliament, Senior Armed Services Personnel, Senior Civil Servants and Members of the Peerage. Please note that local dignitaries, pop stars and sports personalities are not classed as VIPs
* Participants who have served a serious custodial sentence (e.g. murder)
* Participants who have given evidence to police in criminal cases
* Participants who have run away from home to escape an arranged marriage
* Participants who consider themselves to be at serious risk of domestic violence
* Participants who have withdrawn consent to participate in the ESF evaluation

A 'No' value can be entered into the column when a participant joins your project. The reason that the participant's details should not be shared does not need to be recorded in Annex L.

When a participant leaves the project and completes an Exit form, they should be given a copy of the project's privacy notice which explains that they may be contacted as part of the ESF evaluation that the DWP are conducting. This advises participants to contact the DWP in order to delete their data from their records, but these requests may be made at a time before the Big Lottery Fund has passed on the data to the DWP evaluators. Marking this field as a 'No' will prevent their details from being shared in the first place.

**Do we need to enter the participant's contact details in this case?**

Yes, their contact details are still needed in order to administer the BBO and ESF programmes and for audit purposes.

Table 1: Column mapping between version 8 and version 9 of Annex L

|  |  |  |  |
| --- | --- | --- | --- |
| **Column**  | **Version 8**  | **Column**  | **Version 9** |
| B | Category of region | B | Category of region |
| C | Delivery postcode | C | Delivery postcode |
| D | National Insurance Number | D | National Insurance Number |
| E | Customer Reference number | E | Customer Reference number |
| F | Start date with project | F | Start date with project |
| G | Title | G | Title |
| H | Forename(s) | H | Forename(s) |
| I | Surname | I | Surname |
| J | Gender | J | Gender |
| K | Date of birth | K | Date of birth |
| L | House Name/Number | L | House Name/Number |
| M | Address 1 | M | Address 1 |
| N | Address 2 | N | Address 2 |
| O | Address 3 | O | Address 3 |
| P | County | P | County |
| Q | Participant postcode | Q | Participant postcode |
| R | Telephone number | R | Telephone number |
| S | Mobile number | S | Mobile number |
| T | Email address | T | Email address |
| U | Ethnicity | U | Ethnicity |
| V | Cornish |   |  **REMOVED** |
| W | Evidence of eligibility seen, copied and retained | V | Evidence of eligibility seen, copied and retained |
| X | Employment status | W | Employment status |
| Y | Length of time unemployed (months) | X | Length of time unemployed (months) |
| Z | Engaged in education or training | Y | Engaged in education or training |
| AA | Highest educational attainment (upon joining) | Z | Highest educational attainment (upon joining) |
| AB | Lacks basic skills | AA | Lacks basic skills |
| AC | Homeless or affected by housing exclusion | AB | Homeless or affected by housing exclusion |
| AD | Live in a jobless household | AC | Live in a jobless household |
| AE | Live in a jobless household with dependent children | AD | Live in a jobless household with dependent children |
| AF | Live in a single adult household with dependent children | AE | Live in a single adult household with dependent children |
| AG | An offender or ex-offender | AF | An offender or ex-offender |
| AH | Has a disability | AG | Has a disability |
| AI | Sexual orientation |   | **REMOVED** |
| AJ | Notes |   | **REMOVED** |
| AK | Participant Entry Form signed by Participant | AH | Participant Entry Form signed by Participant |
| AL | Leaving date | AI | Leaving date |
| AM | Engaged in education or training upon leaving | AJ | Engaged in education or training upon leaving |
| AN | Employment status on leaving | AK | Employment status on leaving |
|   | **NEW FIELD** | AL | Length of time unemployed on leaving (months) |
| AO | Gained basic skills on leaving (COR/2/1 only) | AM | Gained basic skills on leaving (COR/2/1 only) |
| AP | Evidence of results seen, copied and retained |   |  **REMOVED** |
| AQ | Participant is in sustained employment (London based projects only) | AN | Participant is in sustained employment (London based projects only) |
|   |  **NEW FIELD** | AO | Share contact details for DWP Evaluation |

Table 2: Ranges to select in version 8 and paste destination in version 9

|  |  |  |
| --- | --- | --- |
| **Range in version 8** | **Names** | **Paste values to version 9** |
| Columns (B:U) | Category of Region : Ethnicity | Cell B2 |
| Columns (W:AH) | Evidence of eligibility seen, copied and retained : Has a disability | Cell V2 |
| Columns (AK:AN) | Participant Entry Form signed by Participant : Employment status on leaving | Cell AH2 |
| Column (AO) | Gained basic skills on leaving (COR/2/1 only) | Cell AM2 |
| Column (AQ) | Participant is in sustained employment (London based projects only) | Cell AN2 |