

## **Annex A**

### **Participants Database**

The following information should be collected for each participant receiving support. Further guidance can be found in the Priority-level ESF definitions and the European Commission Monitoring and Evaluation Guidance document for ESF.

The data to be collected cover a range of personal information (sex, age, labour status, level of education, etc.), including some variables that may be considered as “sensitive” (i.e. those related to disability, migrant or minority status, and/or other disadvantages).

In line with Article 6 and 7 of the Directive 95/46 of 24 October 1995 on the protection of individuals with regard to the processing of personal data, the ESF regulation provides Member States with the legal basis to justify collection and processing of personal data for the purposes of monitoring and reporting on ESF funded actions. This means that all personal variables should be collected for all participants and the ESF regulation foresees no scope for derogation in this respect. These are marked in the following table with a \*.

The only case where data may, under certain conditions, be incomplete is in relation to indicators dealing with variables considered as sensitive according to Article 8 of the Directive (i.e. those relating to disability, migrant/ethnic status and other disadvantage). For these sensitive variables, individuals have the right to refuse consent for the data to be collected, if indeed the data is collected based on the consent of individuals (Art. 8(2)(a) Data protection directive). In this case documentary evidence showing that an attempt to collect the information was made must be maintained. These are marked in the following table with a \*\*

A spreadsheet template for reporting the data with your claims can be found here: <http://gov.wales/funding/eu-funds/2014-2020/delivering-your-project/esf-indicators1/?lang=en> .

	Category	Criteria	Guidance
<b>Identifier</b>			
	Participant ID	Free	This is a unique identifier which as an Operation you use to identify a Participant. It must be unique for all Participants in your Operation.
	National Insurance number	XX ## ## ## X	
	Unique learner number	XXXXXXXXXX	
<b>Contact details</b>			
	Title	Free	Contact details must be provided for all participants.
	Surname	Free	
	First Name(s)	Free	
	Address line 1	Free	This is the home address of the Participant on date of entry into the intervention.

	Category	Criteria	Guidance
	Address line 2	Free	
	Town/City	Free	
	Unitary Authority	Blaenau Gwent; Bridgend; Caerphilly; Cardiff; Carmarthenshire; Ceredigion; Conwy; Denbighshire; Flintshire; Gwynedd; Isle of Anglesey; Merthyr Tydfil; Monmouthshire; Neath Port Talbot; Newport;	This is the Unitary Authority of the Participant on date of entry into the intervention.

	Category	Criteria	Guidance
		Pembrokeshire ; Powys; Rhondda Cynon Taf; Swansea; Torfaen; Vale of Glamorgan; Wrexham; Outside of Wales	
	Postcode *	XX###XX	Contact purposes and to confirm location. This field will be used to calculate if a participant is from a rural location.
	Preferred language for communication	Welsh; English	In order to assess the lasting effects of Structural Funds WEFO will need to carry out research. For the purpose of this research WEFO may need to contact Participants.
	Contact telephone number	Number	Number including area code
	Alternative	Number	Alternative number: for example, work or mobile number

	Category	Criteria	Guidance
	contact telephone number		
	Email address	Free	
<b>Demographic / characteristics</b>			
	Date of birth*	dd/MM/yyyy	Used to calculated age at start of project.
	Gender*	Male; Female	<p>EC guidance states that the gender of all participants should be recorded when they start on an operation.</p> <p>The term "sex" refers to the biological and physiological characteristics that define men and women while the term "gender" refers to the social representation of male and female attributes. Given that for some people the issue of gender is sensitive, for the purposes of ESF monitoring it is recommended that:</p> <ul style="list-style-type: none"> <li>- in cases where information is collected directly from participants the gender identity of participants should be recorded (i.e. the sex/gender that the participant wishes to be identified with);</li> <li>- in cases where information is taken from registers the existing records can be used without further enquiry.</li> </ul>
	From a Black	Yes; No;	Ethnic origin questions are not about nationality, place of birth or citizenship. They are about

	Category	Criteria	Guidance
	and Minority Ethnic background**	Information Refused	<p>broad ethnic groups.</p> <p>Black and Minority Ethnic groups include people who may face barriers because of their ethnic origin, in accessing opportunities in Wales.</p>
	Ethnicity**	Free	Data collection should be in line with the UK census
	Employment Status at point of intervention*	<p>Employed (excluding self employed);</p> <p>Self employed;</p> <p>Long-term unemployed;</p> <p>Short-term unemployed;</p> <p>Economically inactive (excluding full time education or training);</p> <p>Full time education or training</p>	<p><i>Employed (including those self employed)</i></p> <p>Employed persons are persons aged 15 and over who performed work for pay, profit or family gain or were not at work but had a job or business from which they were temporarily absent because of, for instance, illness, holidays, industrial dispute, and education or training. There are no minimum hours which need to be worked but there should be a contract of employment.</p> <p>Self-employed persons with a business, farm or professional practice are also considered to be working if one of the following applies:</p> <ol style="list-style-type: none"> <li>1) A person works in his/her own business, professional practice or farm for the purpose of earning a profit, even if the enterprise is failing to make a profit.</li> <li>2) A person spends time on the operation of a business, professional practice or farm even if no sales were made, no professional services were rendered, or nothing was actually produced (for example, a farmer who engages in farm maintenance activities; an architect who spends time waiting for clients in his/her office; a fisherman who repairs his boat or nets for future operations; a person who attends a convention or seminar).</li> <li>3) A person is in the process of setting up a business, farm or professional practice; this includes the buying or installing of equipment, and ordering of supplies in preparation for opening a new business. An unpaid family worker is said to be working if the work</li> </ol>

	Category	Criteria	Guidance
			<p>contributes directly to a business, farm or professional practice owned or operated by a related member of the same household.</p> <p><i>Unemployed (including those who are long-term unemployed)</i></p> <p>Unemployed are persons usually without work, available for work and actively seeking work. Persons considered as registered unemployed, i.e. in receipt of Job Seeker's Allowance (JSA).</p> <p>The definition of Long-term unemployed (LTU) varies with age:</p> <ul style="list-style-type: none"> <li>- Youth (under 25 years of age) – more than 6 months continuous spell of unemployment.</li> <li>- Adult (25 years of age or more) – more than 12 months continuous spell of unemployment.</li> </ul> <p><i>Economically inactive (excluding full time education or training)</i></p> <p>Inactive are persons currently not part of the labour force (in the sense that they are not employed or unemployed according to the definitions provided).</p> <p><i>Full time education or training</i></p> <p>Persons are considered to be in full time education or training when engaged for 16 hours or more per week.</p>

	<b>Category</b>	<b>Criteria</b>	<b>Guidance</b>
	If Employed, are they Underemployed?	Yes; No	This is defined as working part-time involuntarily.
	At Risk of becoming NEET	Yes; No	Risk of NEET (11-24) – means individuals 11-24 in education or training who are at risk of dis-engagement or at risk of becoming NEET upon leaving. This is only applicable to Specific Objective 2 of the Youth Priority.
	Existing Qualification Level*	None; Below CQFW level 1; CQFW level 1; CQFW level 2; CQFW level 3; CQFW level 4; CQFW level 5; CQFW level 6; CQFW level 7; or	A qualification would be defined as being with the Credit and Qualification Framework for Wales (CQFW).



	Category	Criteria	Guidance
		CQFW level 8	
	Single adult household*	Yes; No	A single adult household is where the household includes only one adult (individual aged 18 or above), irrespective of their employment status.
	Jobless Household*	Yes; No	<p>A Jobless household is where no household member is in employment, i.e. all members are either unemployed or inactive, including full time education or training.</p> <p>Note: the indicator refers to all household members irrespective of age so that a young unemployed participant living with retired grandparents would be counted as living in a jobless household.</p>
	Dependant children*	Yes; No	<p>One or more dependent child/children within household, which means individuals aged 0-17 years or 18-24 years if inactive and living with at least one parent. The latter category of older dependent children excludes people who are unemployed (because they are economically active) but includes full-time students.</p> <p>If the participant meets the above criteria then they would be counted as a dependent child.</p>
	Homeless or affected by housing exclusion *	Yes; No	<p>A person is homeless if there is no accommodation available for the person's occupation, in the United Kingdom, which the person—</p> <ul style="list-style-type: none"> <li>• is entitled to occupy by virtue of an interest in it or by virtue of an order of a court,</li> <li>• has an express or implied licence to occupy, or</li> <li>• occupies as a residence by virtue of any enactment or rule of law giving the person</li> </ul>

	Category	Criteria	Guidance
			<p>the right to remain in occupation or restricting the right of another person to recover possession.</p> <p>A person is also homeless if the person has accommodation but— .</p> <ul style="list-style-type: none"> <li>• cannot secure entry to it, or .</li> <li>• it consists of a moveable structure, vehicle or vessel designed or adapted for human habitation and there is no place where the person is entitled or permitted both to place it and to reside in it. .</li> </ul> <p>A person is not to be treated as having accommodation unless it is accommodation which it would be reasonable for the person to continue to occupy.</p> <p>A person is threatened with homelessness if it is likely that the person will become homeless within 56 days.</p>
	Migrant Status**	Yes - EU; Yes - non-EU; No; Information refused	A migrant is classed as a person who has changed their country of residence for a period of at least a year to the UK, but is not a citizen of the UK.
	Work limiting health	Yes; No; Information	This should be self-reported by the Participant. That is, Participants should be asked whether they face barriers to employment due to a work limiting health condition.

	Category	Criteria	Guidance
	condition	refused	
	Disability**	Yes; No; Information refused	<p>The Social Model of Disability recognises that disabled people are people with impairments who are disabled by their environment. This Model is recognised by disabled people and was formally adopted by the Welsh Government in 2002.</p> <p>The Social Model of Disability makes the important difference between 'impairment' and 'disability'. It recognises that people with impairments are disabled by the barriers that commonly exist in a society. In simple terms, it is not the inability to walk that prevents a person entering a building unaided but the existence of stairs that are inaccessible to a wheelchair-user. In other words, 'disability' is socially constructed.</p> <p>The Social Model of Disability requires society to remove the barriers in order that all people have equality.</p> <p>Further information can be found at <a href="http://www.disabilitywales.org/">http://www.disabilitywales.org/</a></p>
	Care or childcare responsibilities	None; Primary carer of a child/children (under 18); Primary carer of disabled adult (18 and over); or Primary carer	<p>A carer is anyone who cares, unpaid, for a friend or family member who due to illness, disability, a mental health problem or an addiction cannot cope without their support (Carers Trust <a href="http://www.carers.org/what-carer">http://www.carers.org/what-carer</a>).</p> <p>Childcare: An individual with childcare responsibilities is the primary carer (parent or guardian) for a child who is under 16.</p>

	Category	Criteria	Guidance
		of older person/people (65 and over)	
	Impacted by redundancy prior to intervention	Yes; No	An individual impacted by redundancy is a working age adult (25 and over) under formal notice of redundancy or made redundant within the past 3 months. The age of the participant is determined on the date of entering the Operation. This is only applicable to Specific Objective 1 of the Poverty Priority.
	Understand Welsh	Yes; No	This criterion is about whether a Participant understands Welsh and is exclusive from the language criteria below, which are about use of Welsh.
	Speak Welsh	Yes; No	
	Read Welsh	Yes; No	
	Write Welsh	Yes; No	
<b>Activity indicators</b>			
	Course Title	Free	This should be a course title or alternative name by which the participant will recognise the project. If the participant is contacted as part of future project or programme level evaluation, this field should increase the chances of the participant remembering the project, which

	Category	Criteria	Guidance
			should lead to better response rates and therefore better quality evaluations.
	Start date*	dd/MM/yyyy	This should be the start date of the Participants engagement with the intervention, e.g. training, and does not include the date of enrolment or registration prior to start of training.
	Completion date	dd/MM/yyyy	This should be the date that the Participant completes their engagement with the intervention, be this completion or early departure, and does not include time elapsed before a qualification is granted.
	Early Leaver	Yes; No	This is whether or not the Participant finished their engagement with the intervention prior to when planned.
	Received provision in Welsh?	Yes - fully; Yes - partially; No	That is, was the intervention delivered to the Participant through the medium of Welsh? Partially refers to situations such as a training course being delivered by two trainers and only one of the trainers engages with the Participant in Welsh, or where trainers are engaging in Welsh but course material is in English.
	Specific Objective	SO#.#	This is the Specific Objective of the Structural Funds Operation/project.
	Beneficiary	Free cell	Business Party Name of the organization responsible for managing/providing the intervention.
<b>Results</b>			

	<b>Category</b>	<b>Criteria</b>	<b>Guidance</b>
	Improved Labour Market situation upon leaving	Yes; No	Persons who are employed when entering ESF support and meet the definitions set out in the relevant indicator definitions for the Specific Objective.
	Job searching upon leaving	Yes; No	Applicable to Economically Inactive participants. "Engaged in job searching" is to be understood as persons usually without work, available for work and actively seeking work as defined in the employment status, "Unemployed" above. "Upon leaving" is to be understood as up to four weeks after the exit date of the participant.
	Entering education/training upon leaving	Yes; No	Persons who have received ESF support and who are newly engaged in education <sup>1</sup> (lifelong learning, formal education) or training activities (off-the-job/in-the-job training, vocational training, etc.) immediately upon leaving the ESF operation. "Upon leaving" is to be understood as up to four weeks after the exit date of the participant.
	Qualification gained upon leaving	Yes - Below CQFW level 1; Yes - CQFW level 1; Yes - CQFW level 2;	Participants who gained a qualification upon leaving the ESF operation. Only qualifications which have been achieved as a result of an ESF intervention should be reported. The highest level of qualification should be reported i.e. a person should be counted once per operation. A qualification would be defined as being with the Credit and Qualification Framework for Wales (CQFW). There are three pillars of learning within the CQFW.

<sup>1</sup> For Risk of NEET participants engagement in education does not need to be newly engaged in education

	Category	Criteria	Guidance
		Yes - CQFW level 3; Yes - CQFW level 4; Yes - CQFW level 5; Yes - CQFW level 6; Yes - CQFW level 7; Yes - CQFW level 8; or No	<p>"Upon leaving" is to be understood as up to four weeks after the exit date of the participant.</p> <p>More details on the levels and approved providers can be found at:  <a href="http://wales.gov.uk/topics/educationandskills/qualificationsinwales/creditqualificationsframework/?lang=en">http://wales.gov.uk/topics/educationandskills/qualificationsinwales/creditqualificationsframework/?lang=en</a></p>
	Work relevant certification upon leaving	Yes; No	<p>Work relevant certification could be units towards a full qualification or unaccredited training which is necessary for work e.g. a CSCS card or a food hygiene certificate.</p> <p>The types of training should be outlined in your business plan and agreed in advance with WEFO.</p> <p>This is only applicable to the poverty priority.</p>

	Category	Criteria	Guidance
	Entered employment, including self-employment, upon leaving	Yes; No	Persons who are employed when leaving ESF support and meet the definitions set out in the relevant indicator definitions for the Specific Objective. "Upon leaving" is to be understood as up to four weeks after the exit date of the participant.
	Completing work experience placement	Yes; No	<p>A work experience placement is defined as a paid placement or short period of fixed duration spent in a workplace with the aim of providing an insight into what it is like to do that kind of work and to develop skills, understandings and attributes which will increase employability.</p> <p>This is measured by the completion of the placement, activity or period of time spent in the workplace.</p> <p>This is only applicable to the poverty priority.</p>
	Completing volunteering opportunity	Yes; No	<p>A volunteering opportunity is defined as a placement or activity whereby a participant works for an organisation without being paid, both helping that organisation and developing skills, understandings and attributes which will increase employability.</p> <p>This is measured by the completion of the placement, activity or period of time spent in the workplace.</p> <p>This is only applicable to the poverty priority.</p>
	Training in maths, Science Engineering and	Yes - completing training in	<p>STEM subjects are those in the areas of science, technology, engineering and maths. Welsh Government Guidance on STEM can be found at:  <a href="http://wales.gov.uk/topics/educationandskills/publications/guidance/stemguidance/?lang=en">http://wales.gov.uk/topics/educationandskills/publications/guidance/stemguidance/?lang=en</a></p>



	Category	Criteria	Guidance
	Technology	STEM; Yes - continue studying STEM post 16 upon leaving; No	This is only applicable to Specific Objective 3 of the youth priority.
	Increase in hours worked upon leaving	Yes; No	Those participants whose contracted hours increase post intervention.
	Returning to work after a period of absence	Yes; No	Those participants with work limiting health condition or disability who are enabled, as a result of ESF provision, to return to work after a period of continuous absence of four weeks or more. This is only applicable to Specific Objective 3 of the poverty priority.
	At reduced risk of becoming NEET	Yes; No	A measurable reduction in risk of becoming NEET upon leaving the operation which has been identified using the system set out in the business plan. This is only applicable to the poverty priority.  This is only applicable to the Specific Objective 2 of the youth priority.

	<b>Category</b>	<b>Criteria</b>	<b>Guidance</b>