

NWDA Output Definitions for Single Programme and ERDF Programme

1. Introduction

- 1.1 It is important that the monitoring of outputs is robust and consistent across all projects and programmes. This document provides definitions for each output and advice on when they should be counted.
- 1.2 Each output attempts to provide as much detail as possible about which outputs can be counted and gives guidance on the type of verification evidence that should be supplied.
- 1.3 Where possible the outputs have been made consistent across SP and ERDF, however there are some that are relevant just for Single Programme and some that are additional for ERDF and these are clearly shown. ERDF also requires targets to be set at a results (outcome) level.
- 1.4 The Appendix provides a summary of some frequently asked questions.

2. General Criteria

- 2.1 An activity can only be counted as contributing to an output if it fulfils the following criteria:
 - a) Definition – the activity must fall within the scope of activities defined for the output.
 - b) Direct – outputs must be a direct consequence of the NWDA funded project. Subsequent or indirect outputs are defined as outcomes (SP) or results (ERDF) and should be separately identified on Development and Appraisal Forms.
 - c) Counted in the current period – i.e. in the time period they are delivered
- 2.2 Projects use outputs to measure the progress of the project activities. Outputs therefore have to be capable of being forecast and delivered as part of the project and are monitored and verified during the life of the project. Outputs are a contractual commitment and should, therefore be realistic.
- 2.3 Projects may produce either a single output or multiple outputs depending on the nature of the project. Outputs forecast and reported must be directly related to project activity and linked clearly to project objectives.
- 2.4 Total outputs, for both the Single Programme and ERDF, will be recorded on PMS and/or MCIS at contract, forecast and actual as the total gross figure. However, to enable Single Programme outputs to be attributed to the share of NWDA SP funding a new characteristic is available on PMS to allow the % of NWDA to overall public funding to be entered and used to calculate the level of output attribution.
- 2.5 Projects also generate outcomes/results – the consequences the project is seeking to achieve as set out in its objectives. Outcomes are the results that follow from the project activities as part of the logic chain, and so generally follow after the project has completed and are gathered as part of the evaluation. However, for ERDF some results may need to be forecast and

counted during the lifetime of the project as part of the monitoring. The relevant data and evidence should be set out in the monitoring and evaluation plan so that it can be collected and assessed at the appropriate stage.

3. Beneficiary Characteristics/Analysis

3.1 In addition to the basic output and result indicators the NWDA has selected a range of requirements to provide a further level of analysis and evidential detail on how the agency investment has been used and the benefits achieved. Targets will be set for sectors and forecasts provided on PMS, however, beneficiary analysis will be used for reporting and not for setting targets. The analysis will be recorded on PMS. Each output definition shows what analysis is appropriate to that output.

3.2 **Beneficiary characteristics: Equality Monitoring** – four categories are:

a) Gender - Male
- Female

b) Disability - Yes
- No

Disability is defined as a physical impairment or mental health condition which has lasted, or is expected to last, at least 12 months and which has an adverse effect on the individual's ability to carry out normal day-to-day activities.

c) Age - 16-25
- 26-50
- 51-65
- over 65

d) Race - White
- Black or Black British
- Asian or Asia British
- Mixed Heritage
- Chinese
- Any other ethnic group
- Not stated

Please note: Although the NWDA is only recording these 6 categories partners will be required to request information using the 16 census categories, which will need to be aggregated for reporting output numbers to the NWDA. Partners will be expected to store the full 16 category information for use by the NWDA if required. The 16 categories are:

White - British
- Irish
- Other white background

Black or Black British - Caribbean
- African
- Other black background

Asian or Asia British - Indian
- Pakistani
- Bangladeshi
- Other Asian background

Mixed Heritage - White and black Caribbean

- White and black African
- White and Asian
- Other mixed background

Chinese
Any other ethnic Group

3.3 Business Characteristics: Equality Monitoring

- a) Gender - Male
 - Female

A female-led business is defined as a company, business or social enterprise in which at least 51% of owners, partners or directors are female.

- b) Disability - Yes
 - No

A disabled-led business is defined as a company, business or social enterprise in which at least 51% of owners, partners or directors are disabled people.

- c) Age - 16-25
 - 26-50
 - 51-65
 - over 65

For multi-owner businesses age categorisation will not be possible

- d) Race - BME lead
 - Non-BME lead

A BME-led business is defined as a company, business or social enterprise in which at least 51% of owners, partners or directors are from a BME background (defined as any category in list above other than White-British).

Please note: It has been decided that certain types of business and/or support should be excluded from the requirement to collect equality monitoring data – i.e.

- very large multi-national businesses;
- foreign owned companies
- businesses assisted under universal support definition

3.4 When entering beneficiary characteristics for business into PMS, this should be done against the type of business.

3.5 Sector Analysis:

- a) Priority Sector or Employment Sector
b) Classify as 'Other' where it is not known or in other sector

Priority Sectors:

- Biomedical
- Energy
- Advanced Engineering
- Food
- Digital
- Business and Professional

Employment Sectors:

- Maritime
- Construction

- Visitor
- Retail
- Public
- Health

Note: Businesses assisted under universal support definition do not need to be analysed by sector.

4. Monitoring and Verification

4.1 It is important that all data reported to NWDA is accurate and reliable. There are a number of aspects of a project's systems that need to be checked to ensure monitoring reports are correct, and information will be available when evaluation is undertaken.

a) Data Collection Systems

- Are the appropriate output definitions understood and in use?
- Is all the necessary output data being collected?
- What systems are being used to collect data? Are they robust and secure?

b) Output Evidence

- What verification evidence is being collected?
- Is it acceptable in relation to types of evidence and authenticity?
- How is this information being stored?
- Is it easily accessible for checking?
- Have adequate consents been obtained from the individuals concerned?

c) Output Reporting

- Who completes and checks the Output Monitoring Return? Is it the appropriate people?
- Are returns submitted on time with the appropriate information?

In reviewing the processes and systems for collection/storing and reporting of data and information please note the requirements of Data Protection at 4.3 below.

4.2 Article 13

With the responsibility for the delivery of ERDF being undertaken by the Agency there are monitoring and evaluation functions required by the EU under Article 13 of Regulation 1828/2006. This means there are specific requirements to ensure there is a robust control environment to minimise incorrect and un-supported reporting of achievement. In addition to the on-going Contract Management and monitoring of partners, including the regular Progress Monitoring Reports, there are 2 types of visits that are required:

Project Engagement Visit (PEV) – this must be undertaken by the Contract Manager to all projects. The visit should take place following the agreement and signing of the Offer Letter, ideally before the first claim/progress report is completed by the partner organisation. The visit is to ensure that the team delivering the project fully understand the requirements of the NWDA and the ERDF programme and have in place adequate processes and systems (and understand verification requirements for the outputs they are delivering). The visit must be documented.

Project Progress and Verification Visit (PAV) – is undertaken by the Programme Office QA team, at least once during the life of the project, to access progress against targets and to verify that any expenditure and outputs claimed are correct and are supported by adequate auditable evidence. The results of this visit must also be fully documented.

4.3 Data Protection

Data protection is becoming an increasingly sensitive issue, so the Agency must ensure it only requests information about individuals that it really needs and that can be supported by a Business Case.

Information is a key asset and its proper use is fundamental to the delivery and evaluation of programmes and projects. Where information is held on individuals, companies or organisations they are entitled to expect that:

- their privacy will be protected, subject to Freedom of Information requirements;
- information risks (confidentiality, integrity, availability, storage) will be assessed and mitigated (including incident management) to an acceptable level;
- the data will be protected, used and handled professionally and only for the purposes it was collected

The verification evidence in the following output definition tables is that which should be held by the delivery body. The delivery body is responsible for collecting and storing the data on individual beneficiaries. Where outputs are being reported through the Progress Monitoring Report to the RDA, whether for Single Budget or ERDF, it is only necessary to provide aggregate numbers not the information on individual beneficiaries. **However, this means that partner organisations need to ensure they have robust and secure systems for protection of the data on individuals/business owners they collect and they should ensure they obtain agreement that the information can be made available to the Agency and other auditors/consultants we may require to review the data, for example for verification and evaluation purposes.** The Grant Funding Agreement now reflects these requirements and Agency staff working with Delivery partners must ensure adequate processes and systems are in place.

Data Protection Act

The Data Protection Act protects the rights of people about whom data is collected and processed. It is therefore important that the methodology applied conforms to accepted standards.

When programmes and projects require the collection of data about a beneficiary, the key principles below should be followed (but it should not be construed as legal advice):

- Inform: provide information to the individual about why the information is being collected, how it will be used and what will be done to protect confidentiality. Where it is necessary to collect information individual consent forms should be used, or where this is not practicable, individuals should be informed that they may be contacted in the future to provide feedback for verification or evaluation purposes (see example below).
- Confidentiality: when data is held on paper records it should be locked away in a secure place e.g. a locked cupboard, when not in use. If the records are to be held electronically they should be password protected. When data is held and accessed on ICT systems access should be by

authentication (user name, password and best commercial practice) avoiding use of removable media e.g. laptops, CDs, USBs etc for storage or access, where possible. On completion the material used to store personal data should be subject to controlled disposal (incineration, pulping, shredding, secure destruction, overwriting, or erasure).

- Voluntary: completion of equality monitoring forms by individuals is voluntary though care should be taken that this is not overstated as it may encourage non-returns. It is best practice to encourage individuals to provide the information, by explaining the purpose and use of the data. However, do not say or imply that providing the information is compulsory i.e. it should not be a mandatory field in electronic forms. All completed forms should be signed by the individual concerned.
- Self-classification: wherever possible, self-classification should be used with individuals completing a declaration form. Only in exceptional circumstances should beneficiaries be classified by another individual (other classification). CRE Guidance advises that if the individual absolutely refuses to supply the information, their manager or some other appropriate person should classify them according to what is already known about the person. They should be notified of the classification and given the opportunity to confirm or correct it. The record must show that the information it contains was based on this 'other classification' method.
- Recording: if the beneficiary does not provide the information you should record them as a nil response and in an unknown category.

Example

A large company is safeguarding 700 jobs as part of the project. An agreement was reached that the company would provide the NWDA with an anonymised list of the 700 jobs to be safeguarded as a baseline. The list would contain the job title, salary band, site/department location and start date of the occupant of the job. The company itself would have the full list which identified the individuals by name. At the end of the 12 month period the company's external auditors would undertake a random sample check

Output indicators structure

SP and ERDF outputs		ERDF Results		CITN Ref*
People				
1	Jobs created or safeguarded (SP only)	R1	Jobs created or safeguarded	R1 (a + b)
2	People helped to secure employment, education or training (SP/ERDF)	R5	Individuals who gain employment within 6 months of intervention	05 R5 (a + b)
3	People assisted in their skills development (SP/ERDF)			06
Business				
4	Businesses Created (SP only)	R2	Businesses Created	R2
4a	Business Creation – pre-start assistance (ERDF only)			
5	Businesses Assisted (SP/ERDF)	R3	Businesses improving their performance	03 (a, c, d + e) R3
Finance				
6	Public and private leverage (SP/ERDF)			07
Place				
7	Brownfield Land reclaimed, redeveloped or regenerated (SP/ERDF)			04
8	New or upgraded Floorspace (SP only)	R4	New or upgraded Floorspace	R4
9	Public Realm created or improved (SP)			
Tourism/Marketing				
10	Number of visitors attracted (SP/ERDF)			n/a
11	Economic impact from major events and tourism marketing (SP only)	R8	Visitor Spend	n/a
Sustainability				
12	Tonnes of Carbon Dioxide generated (SP/ERDF)			n/a
13	Environmental Businesses Supported (ERDF only)			n/a
14	Environmental products Supported (ERDF only)			n/a
15	Number of applications of Low Carbon Technology (ERDF only)			n/a

* The Technical Note of Combined Indicators for RDA Single Budget and ERDF Programme 2007-13 (CITN) is a national document, produced by OffPAT on behalf of the RDAs and CLG (ERDF programme). The CITN references (in shaded column) should be used in MCIS recording of outputs. For further information the NWOP quantification document can be found on the ERDF website.

The CITN provides definitions for common core SP and ERDF outputs and results. However, the Agency has developed this document and guidance for staff which details its own interpretation of the outputs it wishes to collect, and there are some differences. This document references ERDF exclusions and differences as appropriate

3. People assisted in their skills development	
PMS Codes	S/T – Skills Development (by learning type) S/SEC – Skills Development (by sector)
Unit of measurement	Number of individuals
Counted	When individual has undertaken required amount of development or achieved required qualification. Assistance for the individual can only be counted once per project. The output supports lifelong learning and includes individuals of all ages or employment status (except individuals under 16 and in statutory education – though see count under sub-set 10below).
ERDF Requirements	<p>The following types of learning are eligible for ERDF:</p> <ul style="list-style-type: none"> ▪ Level 3 qualification ▪ Foundation degree or higher ▪ Work based training ▪ Leadership & Management skills <p>The activity must not be eligible for ESF support and must be in line with the investment frameworks (check with EPE team for any clarification).</p>
Exclusions	<p>Services as part of legal, statutory obligation on the part of others to provide education up to the age of 16.</p> <p>Anything counted as employment, education or training support in output 2</p>
Skills development	<p>The development of an individuals transferable skills, a formal qualification is only required where specified as part of the sub set.</p> <p>Can include:</p> <ul style="list-style-type: none"> ▪ Learning through presentations, demonstrations and instruction ▪ Individual learning through coaching ▪ Mentoring in the workplace ▪ Technology based learning
Assisted	Assistance should be minimum of 6 hours either as single block or cumulatively. Assistance must be part of the project, where assistance involves capital investment e.g. provision of facilities, it can only be counted if the contract schedule includes a target for individual skills development as a direct result of the project
Verification	<p><u>Provider details:</u> Name, address (inc. post code/tel no.)</p> <p><u>Type of assistance:</u> Type of training, number of hours, start and end dates</p> <p><u>Individual:</u> Name, address, post code, attendance register/statement, copy of qualifications/certificates (if applicable) + beneficiary data</p>
Analysis	<p>Beneficiary by:</p> <ul style="list-style-type: none"> ▪ Gender ▪ Age ▪ Ethnicity ▪ Disability <p>Skills development by</p> <ul style="list-style-type: none"> ▪ Priority sector/Employment Sector (where appropriate)

	By type of learning as defined in sub-sets below:
1. Basic skills	<p>Individual must achieve one of the following qualifications</p> <ul style="list-style-type: none"> ▪ Literacy, numeracy or ESOL at entry level 3 or above ▪ Key Skills in Application of number or communication at levels 1 or 2/GCSE in Maths or English at Grade C or above <p>Only the first qualification attained by an individual counts for this output.</p>
2. Level 2 Qualification	Achievement of a National Vocational Qualification (NVQ) at Level 2, or equivalent qualification. Details of equivalent qualifications can be found on the DCSF Qualifications website.
3. Level 3 Qualification	Achievement of a National Vocational Qualification (NVQ) at Level 3, or equivalent qualification. Equivalent qualification at this level can include University Certificates.
4. Foundation Degree or Higher Level Qualification	Achievement of a National Vocational Qualification (NVQ) at Level 4 or 5, or equivalent qualification
5. Work based training	Learning which takes place in the workplace or outside the workplace but is related to a specific job or is paid/provided by the employer. The training can have a direct relationship to the job or could be part of a skills development plan. No formal qualification is required
6. Leadership & Management	<p>Training/Development relating to the overall management of a company. This includes accredited or non-accredited provision e.g. taught programmes, action centred learning, mentoring and coaching.</p> <p>Can also include training/development about CSR (Corporate Social Responsibility)</p>
7. Enterprise Skills	Training/development relating to the development of entrepreneur skills. Can be accredited or non-accredited provision including generic 'enterprise' skills for employed or unemployed young people or adults.
8. Apprenticeships	Training as part of an apprenticeship programme combining learning, paid employment and leads to a qualification i.e. Foundation Apprenticeship at level 2 or Advances Apprenticeship at level 3.
9. Economically inactive completing vocational training	<p>Courses to better equip people to obtain sustainable, productive employment. A formal qualification is not required</p> <p>Vocational training courses containing knowledge and skills relevant to particular sectors of industry or occupations.</p> <p>They can be</p> <ul style="list-style-type: none"> a) general, introducing learners to a broad sectors of industry and business, encouraging understanding, key concepts and theories and may include some basic skills e.g. literacy, numeracy or IT skills; b) specific, return to work, introducing theories, conventional practices, including skills needed for a particular job or occupation;
10. Under 16's undertaking non-statutory vocational training	Training or development for young people to prepare them for work. The training does not have to take place within an educational institution, and covers pupils who are still within statutory education. Does not need to lead to a formal qualification

Skills

Q. Can we claim skills outputs when the project involves training individuals who will deliver the project e.g. local authority or partner's staff?

A. No. The training here is for input resources to deliver the project. The only exception would be if one of the stated project objectives is to raise the capacity of delivery in the region.

Q. Where does a full ECDL qualification sit in relation to NVQ equivalents?

A. Information on qualifications can be found on the Qualifications and Curriculum Authority website <http://www.qca.org.uk>

Q. Can we count (1) non UK nationals (2) non EC nationals as beneficiaries for skills outputs.

A. Yes, if they are resident or working in the region.

Q. In a project to provide work experiences to graduates can the individuals be included under the skills output as the work experience opportunity offers a different opportunity for skills development, depending on the company and project requirements?

A. Not if the objective of the project is to provide work experience not skills training, it should be counted under output 2 'People helped to secure employment, education or training. If the project objective is skills development then the project focus should identify this and relate it to the relevant project objective.

Q. Can the six hours training be delivered in modules i.e. not in one day? Can the six hours training be made up of two separate courses i.e. one learner attending two different three hour courses on separate subjects e.g. H&S and First Aid? If a learner does six hours of training with one organisation, and is then referred on to another and they do a different six hours training with them, can each organisation claim one output?

A. Assuming the training modules are part of the same project whether by the same or different training organisations. The output unit is the learner and to count the individual has to receive a minimum of 6 hours (there is no maximum figure). In the second example the individual would receive 12 hrs of training but could only be counted once under the project.

Q. Can projects claim the skills outputs for learners who have been resident in the UK for less than 3 years? The LSC ESOL can only fund those that have been resident for 3 years plus, hence the question?

A. Yes. Skills outputs only require that the person receives a minimum of 6 hours training.

Q. There is some confusion over counting *individuals assisted in their skills development* outputs for under 16's and what is meant by the following exclusion: '*Services that are the legal statutory responsibility of other organisations e.g. provision of statutory education to 16*' Does this mean that we can't count skills that are delivered as part of the national curriculum, or that are delivered in the classroom during normal school hours?

A. The principle here is that the core activities for which the delivery body receives funds that are voted from Parliament are not 'topped up' by other public bodies. Where a project is additional to those statutory requirements then the individuals assisted can be counted e.g. where the objectives of a project is to encourage pupils to take up science subjects through organising science fairs that compliment the national curriculum then the participants may be counted, if they meet all the other criteria.

Q. Are ICT skills now part of Basic Skills?

A. No. The definition of Basic Skills has not changed; it still refers to “functional literacy and numeracy skills”. The literacy standards cover the skills of speaking and listening, reading and writing. The numeracy standards cover the skills of interpreting, calculating and communicating mathematical information. These basic skills are fundamental to all other learning and skills development. While ICT Skills are an essential skill for life they fall out with the basic skills definition and so cannot be counted under this output.

Q. There is a general principle that where a public sector body receives core funding for its activities then other public sector bodies, such as the RDA’s should not fund the same activities. As the LSC is responsible for funding training on basic skills is it appropriate for RDA’s to fund project delivering basic skills?

A. Yes. As the original output was agreed as part of the RDA Tasking Framework, the responsible department recognised that while the LSC is the prime funder of basic skills and other skills outputs (Level 2 qualifications etc.) there will be circumstances where RDA investments do lever such outputs, either in joint funding initiatives with LSC’s or where LSC funding is not involved. RDA outputs against these indicators will be relatively small compared to the local LSC outputs, it will be for project appraisals to test for project additionality and ensure that the RDA is not funding something that the LSC should fund.

Q. If an individual already has a numeracy qualification but then achieves a literacy qualification can they be counted under this output?

A. No, only the first qualification attained by an individual counts for this output. Subsequent basic skills qualifications do not count.

Q. Can we count prisoners under the basic skills output?

A. Yes. Offenders and ex-offenders are one of the basic skills target groups identified in the Departmental Skills for Life Strategy.

Q. Can we count migrant workers, now resident in the region, towards basic skills outputs, if they are attaining basic skills in English as their first qualification in the UK, when they have already have qualifications in their country of origin?

A. Acquisitions of functional English Language Skills are included in the ESOL for Work Qualifications. Migrant workers may be counted where they do not have functional English and the project objective is to assist them to attain it. Where the project is using the ESOL for Work Qualification to enable the migrant workers to attain functional English has funding been sought from the LSC in the first instance?
Useful websites:

- Skills for life Network website – <http://www.skillsforlifeframework.com>
- Skills for Life improvement Programme website – <http://www.sflip.org.uk>
- Skills benchmarking source
<http://www.isc.gov.uk/providers/data/statistics/success>

Q. Is one A level classed as an equivalent for a Level 2 qualification?

A. DCSF confirmed that this is correct for counting numbers towards the Level 2 PSA target.

Changes in Version 4:

Edited page references

- Page 3/12 Inclusion of para 3.4 for clarification of PMS entry requirements
- Page 4 /12 Clarification that businesses assisted under 'universal' support do not need to be analysed by sector
- Page 8/12 Skills development – some clarification on eligibility to confirm that the output supports lifelong learning and includes individuals of all ages or employment status.
- Page 9/12 Skills development (learning type) – type descriptions for 6 and 8 have been swapped to bring into line with Outputs annex and PMS