



## GLA Adult Education Budget (AEB) Procured Provision

Guidance Note Version 2, September 2019

### ESF LEARNER ENROLMENT CHECKLIST for GLA AEB PROCURED PROVISION

#### Purpose

This guidance note aims to support providers to ensure that the essential Learner information is captured for the purposes of ESF. The checklist provided below sets out the information which must be sought as part of the learner’s registration and confirms the evidence that is required to be retained on site for inspection by GLA provider managers during monitoring visits, or by ESF Auditors, to verify the eligibility of claims submitted to the GLA.

For clarity, national ESF eligibility requirements are confirmed in the European Social Fund Programme for England 2014-20 National Eligibility Rules. The eligibility requirements to access AEB Procured funding are broadly that (i) the learner must meet the general ESF criteria of being legally resident in the UK (and legally able to work in the UK – *there are exceptions to this requirement, please see the GLA AEB 2019-23 Funding and Performance Management Rules for Procured Providers*) during the period of ESF support; and (ii) the learner must meet the ‘contract-specific’ AEB eligibility criteria.

The *ESF National Eligibility Rules* can be found at:

[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/626878/ESF\\_national\\_eligibility\\_rules.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/626878/ESF_national_eligibility_rules.pdf)

The definitions of ESF outputs and Results are set out in the *2014-2020 European Growth Programme Output and Result Indicator Definitions Guidance for the European Social Fund* [the ESF Output and Result Indicator Definitions]. This document includes basic data validation checks, which are required for each learner in line with European Commission guidelines for data gathering, and can be found at:

[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/746927/output\\_and\\_results\\_indicator\\_definitions.pdf?\\_ga=2.195152554.708723936.1566829322-65127895.1566829322](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/746927/output_and_results_indicator_definitions.pdf?_ga=2.195152554.708723936.1566829322-65127895.1566829322)

In addition, further guidance on the evidence requirements required to support eligibility at enrolment can be found in the *ESF Data Evidence Requirements – Eligibility and Results* [the ESF Data Evidence Requirements], found at;

[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/746948/data\\_evidence\\_guidance.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/746948/data_evidence_guidance.pdf)

The *GLA Adult Education Budget 2019-23 Funding and Performance Management Rules for Procured Providers for the 2019 to 2023 funding period (1 August 2019 to 31 July 2023)* [“The AEB Procured Rules”] further expand on these requirements and give examples of suitable evidence. Contractors should also review the AEB Procured Rules for the correct and appropriate application of ‘The Four Steps Rule’ regarding Learner Self-Declaration (see Section 4, “Principles of evidence for learning”).

Contractors should note that the information regarding evidence requirements given in this form is intended as a guide. If there are any discrepancies between this document, the *ESF National Eligibility Rules*, the ESF Output and Result Indicator Definitions or the ESF Data Evidence Requirements, the national ESF guidance will normally take precedence. This document should always be read alongside the AEB Procured Funding Rules as the ESF requirements are in addition to the AEB requirements. If you have any queries you should refer to your provider manager for clarification.



## Learner Information Checklist

Please note that the GLA AEB Procured Privacy Notice for Learner Enrolment Forms which can be found at <https://www.london.gov.uk/what-we-do/skills-and-employment/skills-londoners/adult-education-budget/information-gla-aeb-providers#acc-i-57898> must be signed by all learners in addition to the enrolment declaration below.

The table below provides guidance on the types of data that should be captured to confirm a learner’s eligibility for ESF purposes on their first day of learning. This is normally captured during learner enrolment, but any changes affecting eligibility between enrolment and the first day of learning must be captured and verified (e.g. labour market status, right to live or work, London residency etc.).

The table below also indicates whether supporting evidence will be required. Where supporting evidence is not required a self-declaration, signed and dated by the learner will be sufficient evidence for ESF purposes. For examples of evidence that is suitable to satisfy ESF requirements, please refer to both the AEB Procured Rules and the ESF Data Evidence Requirements. Where appropriate, one source of evidence may be used to verify responses to more than one of the enrolment form questions below (for example a birth certificate may evidence both a learner’s age and their name).

## Registration

Enrolment Form Question	Notes/Information	Evidence Required?
1. Unique Personal Identification Number (UPIN)	<i>Generated by the ILR and/or Provider or Sub-Contractor.</i>  <i>No specific evidence required.</i>	
2. Sub-Contractor	<i>Supplied by a sub-contractor if they register a Learner as one of their students.</i>  <i>No specific evidence requirements.</i>	
3. Enrolment date	<i>Supplied by the Provider or sub-contractor who registers a Learner as one of their students.</i> <i>Can be evidenced by an enrolment form, signed and dated by both the provider and learner.</i>	Yes
4. First Name and Surname:	<i>Supplied by the Learner.</i> <i>This must be the same as the name and surname given in any additional evidence provided to support areas indicated below.</i>	Yes
5. Address and postcode	<i>Supplied by the Learner.</i> <i>Evidence must verify that the learner is a resident of a London borough.</i>	Yes
6. Phone number (home and mobile)	<i>Supplied by the Learner.</i>  <i>No specific evidence required.</i>	
7. Email address	<i>Supplied by the Learner.</i>  <i>No specific evidence required.</i>	

Enrolment Form Question	Notes/Information	Evidence Required?
8. Right to live in the UK	<p><i>Supplied by the Learner.</i></p> <p><i>Evidence will need to verify the following:</i></p> <ul style="list-style-type: none"> <li>- <i>The learner has a legal right to live in the UK</i></li> </ul> <p><i>This right to live in the UK begins before and lasts for at least the duration of the period that the learner will receive support from the AEB Procured programme.</i></p>	Yes
9. Right to work in the EU and/or UK.	<p><i>Supplied by the Learner.</i></p> <p><i>Evidence will need to verify the following:</i></p> <ul style="list-style-type: none"> <li>- <i>The learner has a right to work in the UK or</i></li> <li>- <i>The learner has a right to work in the EU</i></li> <li>- <i>This right to work begins before and lasts for at least the duration of the period that the learner will receive support from the AEB Procured programme.</i></li> </ul>	Yes
10. Gender	<p><i>Supplied by the Learner.</i></p> <p><i>Options are;</i></p> <ul style="list-style-type: none"> <li>- <i>Male</i></li> <li>- <i>Female</i></li> <li>- <i>Other</i></li> <li>- <i>Learner failed to say (no signed exemption)</i></li> </ul> <p><i>No specific evidence required.</i></p>	
11. Date of birth	<p><i>Supplied by the Learner.</i></p> <p><i>Evidence must verify that the learner is aged 19 or older as set out in paragraph 28 of the GLA AEB Procured Funding Rules.</i></p>	Yes
12. Labour Market Status	<p><i>Supplied by the Learner.</i></p> <p><i>Options are;</i></p> <ul style="list-style-type: none"> <li>- <i>At Risk of becoming NEET (CO03) (Learners recorded as 'At Risk of becoming NEET' for project eligibility purposes will be reported as 'Inactive'). Note, for the avoidance of doubt, a learner who is in employment cannot be recorded as 'At risk of becoming NEET'.</i></li> <li>- <i>Unemployed (CO01)</i></li> <li>- <i>Long-Term Unemployed (under 25) (CO02)</i></li> <li>- <i>Long-Term Unemployed (25+)</i></li> <li>- <i>Economically Inactive</i></li> <li>- <i>Economically Inactive, not in education or training (including NEET)</i></li> <li>- <i>Employed (including Self-Employed)</i></li> </ul> <p><i>The definitions of some types of Labour Market Status vary for AEB and ESF funding. In order to ascertain Labour Market Status it is suggested that the following questions should be asked;</i></p> <ul style="list-style-type: none"> <li>- <i>Are you currently in paid employment?</i></li> </ul> <p><i>1. If No, are you in education or training?</i></p>	Yes

Enrolment Form Question	Notes/Information	Evidence Required?
	<p>2. <i>If No, how long have you been out of work?</i></p> <p>3. <i>If No, are you available to start work?</i></p> <p>4. <i>If No, are you actively seeking work?</i></p> <p><i>If the answers to both questions 3 and 4 above are Yes, then the learner is either unemployed or long term unemployed, dependant on the answer to question number 2 above. If the learner is aged under 25 and has been unemployed continuously for 6 months or if the learner is aged 25 or over and has been unemployed continuously for 12 months they are 'Long-Term Unemployed'. If they are not in paid employment and they are not long term unemployed, then they are 'Unemployed'.</i></p> <p><i>If the answer to one of questions 3 or 4 above is No, then the learner is economically inactive. If the answer to question 1 above is No they are 'Economically Inactive, not in education', otherwise they are 'Economically Inactive'.</i></p> <p><i>If they answered Yes to the question "Are you currently in paid employment?" they are 'Employed (including Self-Employed)'.</i></p> <p><i>Providers should refer to the GLA AEB Procured Decision Tree Guidance Note and the GLA AEB Procured Decision Tree Note at <a href="https://www.london.gov.uk/what-we-do/skills-and-employment/skills-londoners/adult-education-budget/information-gla-aeb-providers#acc-i-57898">https://www.london.gov.uk/what-we-do/skills-and-employment/skills-londoners/adult-education-budget/information-gla-aeb-providers#acc-i-57898</a></i></p>	
13. Highest Educational attainment upon joining	<p><i>Supplied by the Learner.</i></p> <p><i>Options are;</i></p> <ul style="list-style-type: none"> <li>- <i>Below Primary education (ISCED level 0) – Other disadvantaged</i></li> <li>- <i>Primary education or equivalent (ISCED1)</i></li> <li>- <i>Lower secondary education or equivalent (ISCED 2)</i></li> <li>- <i>Upper secondary education or equivalent (ISCED 3)</i></li> <li>- <i>Post-secondary (non-tertiary) education or equivalent (ISCED 4)</i></li> <li>- <i>Tertiary education or equivalent (ISCED5-8)</i></li> <li>- <i>Not Known</i></li> <li>- <i>None</i></li> </ul> <p><i>No specific evidence requirements.</i></p>	

Enrolment Form Question	Notes/Information	Evidence Required?
14. Basic Skills Requirements	<p><i>Supplied by the Learner.</i></p> <p><i>Options are;</i></p> <ul style="list-style-type: none"> <li>- Yes</li> <li>- No</li> <li>- Learner failed to say (no signed exemption)</li> </ul> <p><i>No specific evidence requirements. However, where there is an expectation that Basic Skills training may be required or where Basic Skills training forms an element in the learner's training course, Providers and Sub-Contractors should be able to evidence that they have tested the learner to assess their basic skills needs and the level of training/support required using an appropriate method. For more information please refer to the guidance in the GLA AEB Supplementary Data Collection Template at <a href="https://www.london.gov.uk/what-we-do/skills-and-employment/skills-londoners/adult-education-budget/information-gla-aeb-providers#acc-i-57898">https://www.london.gov.uk/what-we-do/skills-and-employment/skills-londoners/adult-education-budget/information-gla-aeb-providers#acc-i-57898</a></i></p>	
15. Currently in Education or Training	<p><i>Supplied by the Learner.</i></p> <p><i>Options are:</i></p> <ul style="list-style-type: none"> <li>- Yes</li> <li>- No</li> <li>- Learner failed to say (no signed exemption)</li> </ul>	Yes
16. Ethnic Origin	<p><i>Supplied by the Learner.</i></p> <p><i>Options are;</i></p> <ul style="list-style-type: none"> <li>- White – English/Welsh/Scottish/Northern Irish/British</li> <li>- White – Irish</li> <li>- White Roma Gypsy or Irish Traveller</li> <li>- White - Other</li> <li>- Asian or Asian British – Bangladeshi</li> <li>- Asian or Asian British - Chinese</li> <li>- Asian or Asian British – Indian</li> <li>- Asian or Asian British – Pakistani</li> <li>- Asian or Asian British - Other</li> <li>- Black or Black British – African</li> <li>- Black or Black British – Caribbean</li> <li>- Black or Black British – Other</li> <li>- Mixed/Multiple Other</li> <li>- Mixed /Multiple White and Asian</li> <li>- Mixed /Multiple– White and Black African</li> <li>- Mixed / Multiple– White and Black Caribbean</li> <li>- Other Ethnic Group - Arab</li> <li>- Other Ethnic Group - Other</li> <li>- Learner chose not to say (signed exemption)</li> <li>- Learner failed to say (no signed exemption)</li> </ul>	

Enrolment Form Question	Notes/Information	Evidence Required?
	<i>No specific evidence requirements.</i>	
17. Single Adult Household with Dependent Children	<p><i>Supplied by the Learner.</i></p> <p><i>Options are;</i></p> <ul style="list-style-type: none"> <li>- Yes</li> <li>- No</li> <li>- Learner chose not to say (signed exemption)</li> <li>- Learner failed to say (no signed exemption)</li> </ul> <p><i>No specific evidence requirements.</i></p>	
18. Jobless Household with Dependent Children	<p><i>Supplied by the Learner.</i></p> <p><i>Options are;</i></p> <ul style="list-style-type: none"> <li>- Yes</li> <li>- No</li> <li>- Learner chose not to say (signed exemption)</li> <li>- Learner failed to say (no signed exemption)</li> </ul> <p><i>No specific evidence requirements.</i></p>	
19. Jobless Household	<p><i>Supplied by the Learner.</i></p> <p><i>Options are;</i></p> <ul style="list-style-type: none"> <li>- Yes</li> <li>- No</li> <li>- Learner chose not to say (signed exemption)</li> <li>- Learner failed to say (no signed exemption)</li> </ul> <p><i>No specific evidence requirements.</i></p>	
20. Homeless	<p><i>Supplied by the Learner.</i></p> <p><i>Options are;</i></p> <ul style="list-style-type: none"> <li>- Yes</li> <li>- No</li> <li>- Learner chose not to say (signed exemption)</li> <li>- Learner failed to say (no signed exemption)</li> </ul> <p><i>No specific evidence requirements.</i></p>	
21. Disability DDA definition includes amongst others the following conditions:	<p><i>Supplied by the Learner.</i></p> <p><i>Options are;</i></p> <ul style="list-style-type: none"> <li>- Yes</li> <li>- No</li> <li>- Learner chose not to say (signed exemption)</li> <li>- Learner failed to say (no signed exemption)</li> </ul> <p><i>No specific evidence requirements.</i></p>	

Enrolment Form Question	Notes/Information	Evidence Required?
- Progressive conditions (cancer, multiple sclerosis, muscular dystrophy, HIV) Under the definition of the 2010 Equality Act, do you consider yourself to be disabled?		
22. Privacy Notice (see below) and Learner's Declaration	<i>Supplied by the Learner.            Declaration must be dated and signed.</i>	
23. Provider's Declaration/counter-signature	<i>Supplied by the Provider or sub-contractor who registers a Learner as one of their students.            Declaration must be dated and signed.</i>	

### Learner Declaration

I confirm that;

- the information provided in this Enrolment Form is correct to the best of my knowledge;
- I will inform you of any changes in my circumstances which may affect my eligibility between now and my first day of learning; and

Print Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Date \_\_\_\_\_

### Provider Declaration

I confirm that I have verified the eligibility of the learner and hold on file a copy of all required evidence in line with the ESF and AEB requirements.

Provider Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_