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**PARENTAL EMPLOYMENT SUPPORT FUND 2020-22**

**MONITORING AND EVALUATION FRAMEWORK**

1. **INTRODUCTION**

The delivery of the Parental Employment Support Fund (PESF) will take place across the four localities in the City of Edinburgh boundary area. The PESF aims to programme to support families impacted by the Covid-19 pandemic and in line with the principles of the Scottish Government’s No-one Left Behind and Every Child, Every Chance policies. The fund will be focussed on parents from two main groups:

* Those who are out of work and in receipt of benefits;
* Those who are in low income employment.

The PESF Monitoring and Evaluation (M&E) framework will enable detailed reports on outcomes and related indicators that will illustrate how well the PESF is reaching and supporting parents in the city. While PESF provision will take various shapes across the city, applying the M&E framework consistently across the project will ensure that there is a common understanding of performance, making it easier for policy and delivery to learn, respond and adapt.

This Monitoring and Evaluation framework will act as a guide for providers when reporting and contains information on the following areas: the management and information system CASELINK; milestone and outcome definitions; and audit & compliance.

1. **CASELINK**

The information management system CASELINK is used by all City of Edinburgh Council funded employability projects and will be used by all projects delivering through the PESF. Caselink will facilitate the collection of comprehensive data on the delivery of support for the parents who engage in this project. There is likely to be some parent-specific data that is not captured on Caselink, CCP will discuss clerical capture of this information with successful applicants.

Caselink training will be provided to all members of staff required to use the system. CCP’s Business and Intelligence Manager will deliver the training and provide ongoing Caselink support to Managers and Case Workers throughout the duration of the PESF project.

1. **CASELINK MILESTONES AND INDICATORS**

| **Milestones** | **Caselink and evidence requirements** | **Source** |
| --- | --- | --- |
| No. participants completed registration and assessment documentation. Engagements | All registration and assessment documents are completed to allow clients to be included on Caselink, including Data Protection Statement and PESF Start Form. All paperwork should be kept in client file as evidence. | Caselink Engagement |
| No. participants completed and signed off action plan documentation. | Action Plan updated at least at 3 month intervals. Action Plan to be kept in client file as evidence. | Caselink Engagements as all clients who engage should have completed and signed off action plan and documentation. |
| Progressions to work | Count of Caselink Outcomes for Employment and Qualifications | Number of VERIFIED Outcomes. |
| Progressions in work | Count of Caselink Outcomes for In-work progressions | Number of VERIFIED Outcomes |

1. **CASELINK OUTCOMES AND DEFINITIONS**

| **Outputs** | **Definition** | **Evidence required** |
| --- | --- | --- |
| Start/Engagement | Enrolment on course *or* programme. Assessment *or* action plan completed. | Auditable signed evidence kept at provider’s premises. Action plan signed and dated by both service provider and service user. Progress reviews should take place regularly and be kept on file. |
| Increased skills | Completion of non-certificated vocational training course.  Completion of an employability skills course. (Including certificated courses validated by e.g. SQA, FE College) | Email, *or* document signed and dated, from trainer confirming dates and hours of attendance.  Copy of certificate awarded, *or* printout from service user’s SQA record showing certification *or* email, *or* document signed and dated from trainer confirming dates and hours of attendance. |
| Achieved qualification | Successful completion of modules, units, *or* assessed training courses accredited by SQA *or* other national body. | Copy of certificate awarded, *or* printout from service user’s SQA record showing certification. |
| New employment or self-employment | “Full time job” means at least 24 hours per week. “Part time job” means less than 24 hours per week. Must be within 26 weeks of service user leaving date from the programme.  “Self Employment” means participant has traded independently working at least 8 hours per week for their business for at least 13 weeks; | Email *or* signed/stamped and dated evidence from employer confirming job start date *or* payslip.  Self-employment declaration completed stating number of hours worked in the business per week and date started self-employment, including name and address of company and proof of trading (e.g. business bank account details, *or* correspondence with HM Customs). |
| Sustained employment or self-employment for 13 weeks | “Sustained” means a job of at least 8 hours per week paid at National Minimum Wage that is expected to last for at least 13 weeks’ duration | Email *or* signed/stamped and dated evidence from employer confirming service user in post at 13 weeks *or* payslip. |
| Parents achieve an increased hourly rate from their paid employment | Increased rate of pay from their paid employment. | Email *or* signed/stamped and dated evidence from employer confirming wage increase *or* payslip. |

1. **AUDIT AND MONITORING**

As part of Capital City Partnership’s responsibilities for contract and grant management on behalf of City of Edinburgh Council, audit and monitoring visits for all funded providers will be carried out.

The purpose of these visits is to ensure that providers of services are delivering their projects in accordance with the terms of their funding agreements and/or contracts. The audit team will compare records in Caselink with evidence held in client files and ensure that appropriate evidence is held for any outcomes claimed. Visits will take place at providers’ premises and will follow a five-stage process as follows:

**Stage 1 – Audit Client Sample Preparation**

The audit team from CCP will be responsible for preparing a client sample in advance of the visit. The number of client records sampled will be proportionate to the number of engagements/outcomes stipulated in the provider’s grant agreement/contract and the volumes visible on Caselink MIS. The sample will be selected from the current financial year activity as reported on Caselink. The sample will consist of:

* Client IND number
* Client Surname

Once completed, the client samples will be encrypted with the previously circulated passwords and sent on to the provider.

**Stage 2 – Scheduling Visit**

Providers will be given at least two weeks’ notice of the visit, allowing time to prepare the client sample files for inspection. Providers must confirm via email that they are happy with the date/time suggested, as well as confirming that all selected files will be available for inspection on the day.

**Stage 3 – Audit Visit**

When visiting a provider, the audit team will discuss the audit on arrival with the named contact. This will include the reason for the visit, the process involved and any feedback which will be provided upon completion. No provider presence is required during the inspection process as the audit team will work autonomously and discretely, thus minimising disruption to the provider organisation/staff.

Visits should take between 1-2 hours depending on the client sample size. During this time, the audit team will check through the paper files held by the provider for each client and make notes on the evidence held. The aim will be to ensure that the paperwork held meets compliance requirements and matches the support logged on Caselink. Mandatory supporting documentation includes:

* Valid Data Protection Statement (downloadable from Caselink)
* Evidence for reported outcomes (see PESF Monitoring and Evaluation Framework)
* Evidence for reported progressions (see PESF Monitoring and Evaluation Framework)
* Casenotes/evidence of service provision/Action Plan

**Stage 4 – Feedback Summary**

An informal summary of audit findings will be provided verbally to the named contact, with formal feedback provided in writing to the named contact and CCP contract manager within a given timescale thereafter. Written feedback should be provided no later than 30 days from site visit.

Following the visit, the audit team will prepare formal feedback for providers. This will include the client sample spreadsheet, showing what was found in both the Caselink records and the hard copy records for each client, as well as some general notes. The client sample will be RAG rated, showing which files require urgent action (red), which need some work (amber) and which are suitable (green). A feedback summary sheet, which follows a template, will also be given to providers.

An email will be sent to the provider outlining the feedback from the visit. The email will contain two attachments:

* Client record feedback sheet – password protected. This provides comment on each file checked on the day. It is also RAG rated (green ok, amber needs attention, red is urgent action required)
* Monitoring visit sign off form – a sign off sheet for the provider’s records, summarizing the findings, making recommendations, and noting further action required.

For example, should a file have no signed Data Protection Statement, feedback will state the provider will be required to gain one from the client retrospectively within an agreed time period. If a DP statement cannot be produced within this period, the client record should be removed from Caselink.

**Stage 5 – Follow Up**

Dependent upon the nature of the issues, remedial actions could include:

* Removal of clients from Caselink
* Removal of outcomes from Caselink
* Amended quarterly reports to reflect these changes

Where there are major issues with the client sample, the contract manager may decide to take appropriate action, as outlined in the Capital City Partnership Contract Management Resolution document. Providers will be given timescales to rectify concerns raised in the feedback and follow up visits could be scheduled to evidence that remedial actions have been taken.

Audits will be undertaken twice during the project as follows:

* Six months into project – initial support visit for file management discussion.
* 15 months into project – full audit visit as per five-step process.