

Withdrawn

This publication has been withdrawn.

It is no longer current.

DWP Provider Guidance Chapter 4

ESF Support for Families with Multiple Problems (England)

Chapter 4 - Completion of ESF14 & Attachments

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ESF14 Referral to ESF Admin Team

1. You must complete the [ESF14 form](#) for each individual family member who wishes to participate and for the Qualifying Person, who may or may not be a participant. Further information on how to complete the ESF14 can be found in [Annex 4](#).
2. Completed ESF14 forms must be sent securely and must contain a single point of contact for the ESF Admin Team to either contact for queries or return the ESF14 forms to.

Identify the Qualifying Person for each family

3. A Qualifying Person must be in receipt of a DWP working age benefit ([see Chapter 3, paragraph 20](#)) (the individual can still be the Qualifying Person even if they have a current benefit sanction).
4. **Please Note:** Once the Qualifying Person has been identified there is no requirement to reconfirm their eligibility as a Qualifying Person for future referrals of their family members. You will need to take the following action:

- obtain agreement to act as the Qualifying Person (even if they do not want to participate in ESF provision);
- complete a separate ESF14 for each individual family member including the Qualifying Person (even if they do not participate in the provision);
- complete Section 4 of the relevant ESF14 to show who the Qualifying Person is;
- explain that by signing the form the individual is giving their consent that this information is used and shared for the purposes you have described;
- once you have completed the ESF14, issue leaflet [DWP F06](#) to all family members planning to join the provision;
- send completed ESF14 forms to your designated ESF Admin Team by secure post. When sending ESF14 forms you **must** send them by fully tracked courier service. Please see [DWP Generic Provider Guidance Chapter 8](#) for more information;
- agree a date when the family members will start provision pending Jobcentre Plus ESF Admin team confirming benefits in payment.
- where the individual/qualifying person has been referred by the primary referral route, inform the Local Authority of any family/individual members who have decided not to join provision.

5. Failure to complete ESF14 forms accurately will result in Jobcentre Plus returning the form(s) to you. This will delay family members starting provision.

National Insurance Number

6. If an individual does not have a National Insurance number, they should go to the [GOV.UK](#) website for instructions on how to apply for a National Insurance number.

7. If the individual can't remember or has lost their National Insurance Number, go to the [GOV.UK](#) website for information on how to get written confirmation of their National Insurance number.

8. Important: Do not under any circumstances send an ESF14 form for an individual until all of the identity checks have been undertaken and you have confirmed they have a National Insurance Number.

ESF Admin Team – Confirmation Process

9. ESF Admin Teams are responsible for undertaking appropriate checks of the ESF14 to ensure they are fully, accurately completed and the benefits stated are in payment. They will confirm whether an individual can start on the provision.

Return of the correct ESF14 Form

10. The Admin Team will record the referral on the appropriate DWP IT system which will result in a referral via the Provider Referrals and Payments system (PRaP) for your acceptance.

11. When the referral is accepted the form will be returned to your single point of contact for your records. See [Attachments paragraph 25](#) regarding attachments for eligible individuals.

ESF14 Form Activity is incomplete, incorrect or individual is ineligible

12. If the ESF14 is incorrect, incomplete or the individual is ineligible, the expectation is that the ESF 14 form will be returned to you within 5 -10 working days following its receipt.

13. Check Section 5 where Jobcentre Plus will annotate if:

- the ESF 14 not completed correctly or incomplete;
- information on the ESF14 does not match the information Jobcentre Plus holds;
- the qualifying person is not on a DWP Working Age Benefit ([see Chapter 3, paragraph 20](#));
- no ESF14 held for the qualifying person quoted in Section 3;
- individual not eligible e.g. due to participating in other provision.

14. **Please Note:** Where Jobcentre Plus returns an ESF14 and you are resubmitting it you will need to ensure that the individual signs the ESF14 where a correction has been made. For example:

- minor changes - these can be initialled on the original ESF14
- where there are a number of changes needed it may be sensible to complete a new ESF14 form. This will ensure a clear audit trail.

Information on the ESF14 does not match the information that Jobcentre Plus holds, e.g. different address or identity details held

15. Where the individual confirms that the information provided on the ESF14 is incorrect or out of date it is important that their DWP records are brought up to date before we can accept the ESF14. Please advise the individual to confirm their record with Jobcentre Plus or Carers Allowance unit as appropriate ([See Chapter 9](#)). Make arrangements for the individual/family members to initial/sign the ESF14 where amendments have been made and send the completed ESF14 form to your designated ESF Admin Team by secure post.

Qualifying Person is not on a DWP working age benefit

16. If Jobcentre Plus identifies that the Qualifying Person is not on a DWP working age benefit you will need to identify an alternative Qualifying Person for the family ([see Chapter 3 paragraph 20](#)).

No ESF14 held for the Qualifying Person

17. If the ESF Admin Team do not hold an ESF14 for the Qualifying Person mentioned on an individual's ESF14 you should submit a separate ESF14 for that Qualifying Person.

Individual not eligible

18. Where the ESF Admin Team advises that the person is not eligible you should contact the individual to inform them they are not eligible for ESF provision. Where the referral has come from the Local Authority you also need to inform them that the individual is ineligible for ESF provision.

Please Note: You cannot claim payments for an ineligible individual. Where an individual is found to be ineligible, payments will be recovered.

Sensitive cases

Multi Agency Public Protection Arrangements (MAPPA) cases

19. The Jobcentre Plus nominated officer will contact you to discuss any risks or restrictions that should be in place for each MAPPA referral. Risks or restrictions will be different for every MAPPA participant.

20. Further explanatory information about MAPPA cases is contained in [Generic Provider Guidance Chapter 2 – Delivering DWP Programme Provision](#).

21. In some cases, some MAPPA cases may also have SCR status. You must ensure that you treat these cases as you would any other SCR case.

Special Customer Records (SCR) - including MAPPA cases given SCR status

22. Where individuals have Special Customer Record (SCR) status Jobcentre Plus will hold clerical records. You will be made aware if an individual has SCR when you initially send the ESF14 to the ESF Admin Team to check eligibility, and you must also only keep clerical records.

- The ESF Admin Team will complete the ESF14 and forward to you, identifying to you that the customer is subject to SCR processes. On receipt of form ESF14, you must retain the ESF14 and advise the ESF Admin Team Nominated Officer when the individual starts provision. You should also send a photocopy of Page 1 of the ESF14 form to the Provider Payment Validation Team (PPVT) accompanied by the relevant PRaP11 form in order to claim progress measure or Job Outcome payments.

23. Further explanatory information about SCR cases is contained in [Generic Provider Guidance Chapter 2 – Delivering DWP Programme Provision](#)

24. **Please Note:** As there will be no computer records for these participants, once you have engaged with the individual/family and they have signed an initial Action Plan, you must ensure you set up a prompt to notify you when the individual has completed 52 weeks on ESF provision.

Attachments

25. You must engage with the individual within 5 days of receiving the PRaP notification. You must conduct an in-depth needs assessment with the individual and produce an agreed initial Action Plan within 20 days of accepting the referral on PRaP ([See Chapter 5](#)).

26. An attachment will be required for each individual starting on ESF provision and can only be input to PRaP once an agreed Action Plan has been agreed, signed and dated by the individual.

27. The attachment date is the date the initial Action Plan is signed and this will be the date that you will input to PRaP, along with an anticipated End Date. You will not be able to make subsequent claims for Progress Measures or Job Outcome payments until you have registered a valid attachment

28. For further information regarding accepting attachments on PRaP you should consult the UPK tutor job aid “Advise Start Provision/Attachment Date”.

Evidence Requirements

29. You are required to retain appropriate evidence (Initial Action Plan, signed and dated by the individual) to show attachment activity has taken place.

Inappropriate/Incorrect PRaP Referrals

30. There may be occasions where the ESF Admin Team incorrectly refer individuals to you on PRaP. When the error is discovered by the ESF Admin Team they will telephone you to advise that an individual has been referred to you incorrectly.

31. Upon receipt of this telephone call, you should take no further action with the individual until further instruction from the ESF Admin Team.