

Withdrawn

This publication has been withdrawn.

It is no longer current.

DWP Provider Guidance Chapter 7

ESF Support for Families with Multiple Problems (England)

Chapter 7 – Payments, Timing and Evidence Requirements

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Background

1, There are two payments associated with this provision, Progress Measures and Job Outcomes. Each requires that you follow certain processes as well as meeting the relevant evidence requirements prior to submitting any claims to DWP.

2. DWP Compliance & Monitoring Officers and Performance Managers will carry out compliance and quality checks on both during the life of the contract. The Provider Payment Validation Team will also undertake validation checks on job outcome payments.

Claiming Payments

3. All payments made in respect of this provision will be made via the Provider Referral and Payments system (PRaP).

4. You will also be expected to maintain a robust system of internal control which must include appropriate checks, monitoring arrangements and adequate records to demonstrate that you are entitled to make the claim. The records maintained need to be sufficient not only to support any claim for Progress Measures and Job Outcomes payments but also to support your internal management checks and independent validation for example by DWP and other external bodies. The records maintained should document how and when the information was obtained.

Progress Measures Payment

5. Your Progress Measure (PM) payment will now be made in 4 payments, these are:

- an initial 25% interim PM payment available from 10 weeks if the set criteria is met; and
- up to 3 individual PM payments for completion of a Progress Measure, each worth 25% of the overall PM payment

6. To claim the Interim Payment, individuals must:

- have been attached to the provision for 10 weeks; and
- be actively engaged on the provision at the 10 week stage with an up to date, signed Action Plan; and
- have identified at least one progress measure on their Action Plan

Note: The 10 weeks can be cumulative as long as the Provider has evidence to support their engagement over the required period.

7. To claim an individual Progress Measure, you must:

- wait for the 10 week from attachment date to be reached before claiming any Progress Measure payments (even where the Progress Measure is achieved within this period); and
- retain robust evidence to demonstrate that each Progress Measures has been completed as per the requirements set out below and as detailed in [Chapter 6](#) and your own Progress Measure description

8. Only one Full Progress Measure payment will be payable for each individual who completes/achieves three Progress Measures as detailed in the Action Plan. You are responsible for keeping evidence to validate the agreed Progress Measures ([See Chapter 6](#)).

Evidence Requirements

9. To ensure evidence supporting completion/achievement for the Progress Measures satisfies requirements, the following principles (in addition to ESF audit requirements) must be adhered to:

- Each progress measure must be detailed in full in the action plan which must have been signed and agreed by the participant before the progress measure activity commences
- Each Progress Measure must demonstrably address a need identified in the In Depth Needs Assessment
- Evidence provided must be auditable i.e. information directly relates to the individual's participation in and/or achievement of the Progress Measures
- Evidence must clearly show which individual it relates to and must include their name, date of birth or national insurance number (evidence may comprise one or more pieces of documentation)
- Each Progress Measure must confirm when it was undertaken/achieved
- If the Progress Measures were achieved via an independent organisation including Supply Chain/Employer, appropriate 'objective' evidence must be submitted

- Similarly if the Provider delivers in-house there must be appropriate verification.

Job Outcome Payment

10. A Job Outcome Payment can be claimed once an individual moves into sustainable employment which satisfies the Job Outcome criteria below. You can only claim one job outcome per individual during the life of the contract.

11. An eligible job is defined as:

- in employment and off benefit; and
- there has been a continuous or cumulative period of employment, the length of which varies depends on whether an individual is a benefit claimant and if so which Working Age Benefit they claim as set out below

12. Job Definition periods of employment:

- 26 weeks consecutive or cumulative for JSA customers
- 13 weeks consecutive or cumulative for JSA ex-IB customers
- 13 weeks consecutive or cumulative for other benefits or non claimants

13. For all other individuals who are not in receipt of a Working Age Benefit an eligible job is defined as a minimum of 16 hours employment per week lasting 13 consecutive or cumulative weeks.

14. If the individual is self employed, you cannot claim an outcome until a participant is off benefit and trading independently. Once a participant has traded independently for 13 or 26 weeks as appropriate (and provided the self employment meets the relevant outcome definition) you will be entitled to claim a job outcome payment.

15. When calculating cumulative periods of employment or self employment, each full week can be added to other full weeks of paid employment within the eligible period to achieve the minimum number required for a job outcome payment. A full week is defined as a 7 day period.

16. Subsidised employment will count towards an eligible job outcome.

17. You must retain evidence to support all job outcomes claims.

Participant Consent

18. The designation order applied for and granted on 24th February 2014 giving Providers the legal authority to contact employers without first obtaining the participants' permission does not apply to the ESF Support for Families with Multiple Problems programme.

19. There is therefore still a requirement for you to obtain participant consent to allow DWP to contact a participant's employer or for you to contact an employer in connection with Outcome or Sustainment payments. You may also share this information with the Department for Work and Pensions.

20. An example of a written and informed consent form can be found in [Annex 1](#) below.

21. You will need to obtain from the participant's employer as much of the following information as possible to share with DWP:

- the date the participant began each period of employment;
- whether the employment is continuing;
- if not continuing, the date each period of employment ended;
- whether the participant was employed during a specific period;
- the number of hours worked each week;
- the amount of earnings each week;
- the participant's employee number or other unique identifier. This information can only be provided where company payroll/structures exist, and therefore if no payroll numbers or detail is present, this information cannot be supplied.

Timing of Job Outcome Claims

22. The ESF contracts allow a maximum 104 weeks from attachment during which paid job activity can accumulate to support a job outcome claim (subject to the final claim date of 24 August 2015 by which date all eligible claims must be made to DWP). The required number of weeks for the job outcome claim must be worked within the 104 week period following attachment; any time in work beyond this will not be counted towards a job outcome, even if the job started during the 104 weeks.

Note: In the ESF Convergence area of Cornwall and the Isles of Scilly jobs must have ongoing support, training and/or personal development. In these cases you can claim job outcome payments.

Claiming Job Outcomes for Completers/Leavers

23. If an individual starts employment during the 26 week period from the date the individual became a Leaver or completed the provision, and completes a period of employment as defined above, you can claim a job outcome payment (only one Job Outcome Payment can be claimed for an individual during the life of the contract). Depending on the Job Outcome qualifying period applicable, this means that, usually, the job outcome payment can be claimed up to 39 – 56 weeks after the individual leaves or completes the ESF provision, unless the contract is nearing its end and when this occurs. ([See paragraph 24 below](#)).

Claiming payments during the final year of the contract

24. During the life of the contract, Performance Managers will discuss with you the implications of the final payment timing for their profiling of activity and expenditure.

25. **17:00 Monday 24 August 2015** is the deadline for the submission on Provider Referral and Payments (PRaP) of the final valid claims for Progress Measures and Job Outcome Payments. Claims made up to 17:00 will be processed and validated as per business as usual. However, we cannot guarantee that any claims made after 17:00 on Monday 24 August 2015 will be processed and paid.

26. On Tuesday 25 August 2015 the contracts on PRaP will be frozen, therefore, any claims submitted on or after this date will not be processed under any circumstances and will be deemed invalid. This deadline applies to new claims as well as previously failed validation cases that Providers resubmit.

27. This means that:

- All activities and evidence to support progress measure claims must be completed on or before 30 June 2015 to ensure a valid claim by 17:00 on 24 August 2015. All existing requirements must also be met.
- For job outcome payments existing definitions apply and therefore to claim a job outcome payment by 17:00 on 24 August 2015:
 - JSA customers must be in employment for 26 weeks (cumulative or continuous) and off benefit. This means that to meet the 24 August 2015 claim deadline, they must start work on or before 24 February 2015 if in continuous employment, dates will vary for those where the 26 weeks is cumulative.
 - JSA ex IB customers must be in employment for 13 weeks (cumulative or continuous) and off benefit. This means that to meet the 24 August 2015 claim deadline, they must start work on or before 26 May 2015 if in continuous employment, dates will vary for those where the 13 weeks is cumulative.
 - Other benefit claimants or non claimants must be in employment for 13 weeks (cumulative or continuous) and off benefit. This means that to meet the 24 August 2015 claim deadline, they must start work on or before 26 May 2015 if in continuous employment, dates will vary for those where the 13 weeks is cumulative.

28. Providers should ensure that claims are submitted correctly on PRaP and that as much information as possible is provided to support the validation of each claim. Resubmission of claims with no additional information will be rejected.

Compliance Monitoring and Payment Validation

29. DWP will conduct percentage checks of Action Plans and Progress Measures and Job Outcome post-payment validation checks. You will be required to provide robust evidence to validate all individual payments.

30. The sample size of any compliance, quality checks and post payment validation checks will vary during the life of the contract and can be a 100% check where required. Compliance Monitoring Officers may carry out compliance checks after the contract ends at a later date.

Retention of Supporting Evidence

31. You are required to retain robust data / documentation to support all claims and you must adhere to European Social Fund (ESF) requirements. Details of document retention are available in the [DWP Generic Provider Guidance Chapter 11](#).

Annex 1

Employment Programmes – consent to share information

You have been working with [Provider] to help you find and keep work. The Department for Work and Pensions (DWP) may pay [Provider] for everybody they help into work. To do this, DWP and [Provider] need to confirm the details of your employment.

DWP and [Provider] can only do if you agree to:

- [Provider] and DWP contacting your employer to get details about your employment
- your employer giving details of your employment to [Provider] and DWP

DWP and [Provider] will only use your details for this purpose.

You do not have to agree to this. If you do not agree to this it will not affect:

- any benefits you may get
- your placement with [Provider]
- any employment or future offer of employment

You can find out more about how DWP will use and store your information in their privacy policy at <https://www.gov.uk/government/organisations/department-for-work-pensions/about/personal-information-charter> and how [Provider] will use and store your information in their privacy policy at [Provider’s privacy policy link]

If you agree to this you can change your mind at any time by writing to [Provider].

I agree to:

- [Provider] and DWP contacting my employer to get details about my employment
- my employer giving details of my employment to [Provider] and DWP

Signature

Print Name.....

Date.....