

Withdrawn

This publication has been withdrawn.

It is no longer current.

DWP Provider Guidance Chapter 8

ESF Support for Families with Multiple Problems (England)

Chapter 8 - Performance Management and ESF Compliance

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Managing ESF Families Provision contracts

1. A DWP Performance Manager (PM) will be assigned to your contract. Your Performance Manager is responsible for managing the delivery and performance of your contract. They will hold regular contract performance review (CPR) meetings with you to discuss all issues relating to the delivery and performance of your contract. You are expected to fully support these meetings and comply with any requests for information, including information about supply chains that form part of your service delivery.

2. Overall responsibility for ESF Families provision lies with the DWP Work Programmes Division. The National Team Leaders lead on performance management of ESF Families Provision supported by Senior Performance Managers (SPMs) who manage contracts across regions and Performance Managers (PMs). SPMs may lead or attend contract review meetings.

3. Account Managers work with Framework Providers at an executive level and manage across the range of contracts and provision delivered by the Provider. They are copied into performance reports and may become involved in resolving more complex or serious commercial issues.

4. The Jobcentre Plus ESF Manager has a role in ensuring partnerships with Local Authorities are working and supporting customer needs. Performance Managers will therefore work closely with Jobcentre Plus ESF teams, keeping them informed and ensuring your ESF provision does not overlap with other provision or services in the CPA.

The Role of Providers and DWP Performance Managers

5. Performance Management is about the effectiveness of your relationship with Local Authorities and other delivery partners, including Jobcentre Plus Districts, and the achievement of progress measures and job outcomes. All aspects of your operational capacity to manage, deliver and achieve performance will be taken into account.

6. You are required to appoint a nominated representative who will work with the PM to ensure that provision is delivered as specified in your contract; and that required standards and performance levels are met across your supply chain.

7. Your PM will work with you to help you achieve the best possible performance for ESF Families provision. This is about helping both the individual and the family achieve progress measures which support their journey towards employment and the performance offers outlined in your contract. ([See Chapter 3 of DWP Generic Provider Guidance for a detailed description of PM role](#)).

8. Your Performance Manager will work with you to agree performance profiles and discuss progress towards these. They will also support you in reviewing, amending or adding to your Progress Measures and will advise on any special circumstances for individual participants that you wish to raise with them.

Contract Performance Review (CPR)

8. Your PM will arrange to meet with your nominated representative to carry out a formal CPR each month. The Performance Manager, who will be responsible for chairing the meeting, will issue an agenda at least five days in advance. A Compliance Monitoring Officer and representative from Jobcentre Plus may also be in attendance.

9. All parties will review contract performance to date; and measures will be agreed and put in place to improve performance.

10. In addition to CPRs, your Performance Manager will ask for ad hoc meetings to discuss specific issues, for example referral arrangements, or working with Jobcentre Plus Districts or Local Authority relationship issues.

Performance Development Plan (PDP)

11. The purpose of the PDP is to report how performance delivery is continually being assessed and what measures are being taken to improve and optimise delivery throughout the life of your contract.

12. Having a PDP in place is not an indication of poor performance. The PDP is a key tool in achieving continuous improvement.

13. You are responsible for recording on your PDP all areas for improvement and actions agreed at CPR meetings and Compliance Monitoring Officer (CMO) visits. You must send an updated copy of the plan to your PM & CMO

within ten working days of the CPR meeting. This is in addition to the requirement to submit monthly MI

14. Your Performance Manager will complete a provider performance Summary Report and send to you within ten working days of the CPR meeting.

15. It is also recommended that you send an updated copy of the Performance Development Plan to your Performance Manager every month to coincide with monthly performance analysis and in readiness for CPRs.

Compliance Monitoring

16. ESF Compliance Monitoring Officers (CMOs) provide a key role in protecting DWP's ESF funding claimed from the European Commission (EC).

17. Your contract will be allocated a CMO who will on their first meeting with you explain their function and the frequency and nature of their checks, gain an understanding of your processes and supply chain and set up the ongoing compliance monitoring regime.

18. CMOs will support any ESF audits by helping you to ensure that you identify, obtain and retain evidence to support claimed outcome payments. CMOs will also obtain evidence that all ESF and Match funded Providers are adhering to the delivery models set out in their contracts and that the ESF Regulatory Requirements are being met, for example publicising the role of ESF in funding the provision.

19. CMOs will conduct a range of checks to establish and support the effective delivery of the ESF provision and will check random samples of your customer records including Action Plans, to ascertain whether you are fully compliant in the areas of contract delivery and compliance with ESF regulatory requirements.

20. Findings will be reported to Performance Managers, Account Managers and the Provider Assurance Team as well as yourselves. You will be expected to resolve any issues and these will be tracked through your PDP at the CPRs.

21. There are two distinct areas of CMO activity:

- Contract Delivery
- ESF Regulatory Requirements

22. CMOs follow a plan of visits to providers. The Contract Delivery aspect of the CMO checks is completed on a monthly basis for each contract. These are based on Customer Record Checks within a Provider's systems. The CMO will randomly select a sample of customer records; they will assess the customer records to ascertain whether the Provider Guidance is being followed and the delivery model is being delivered.

23. The ESF Regulatory Requirements aspect of the CMO checks is completed on a six monthly basis – during this visit the CMO will examine evidence to gain assurance that ESF Regulatory Requirements in terms of Marketing & Publicity, Sustainable Development, Equality & Diversity, Document Retention and Health (in London only) are being adhered to.

24. The compliance visits inform CPR meetings and are conducted in order to satisfy EU audit requirements and to seek evidence that the provision is being delivered in accordance with the minimum service requirements set out in the contract and the delivery model outlined in your tender.

25. The findings of compliance monitoring visits will be forwarded to PMs and included on the agenda for contract performance review meetings. Any outstanding issues need to be included in your PDP. Compliance issues are factored into your overall risk rating and frequency of future contract performance reviews and compliance monitoring visits. (See [Chapter 11 of Generic Provider Guidance](#) for detailed information about mandatory requirements that apply to ESF and match funded provision in England).