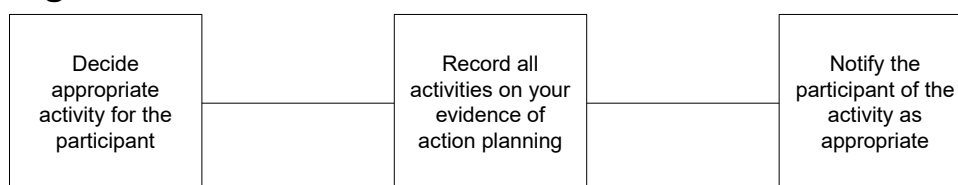


## Chapter 3b– Action Planning

This chapter covers:

- [Action Planning](#).
- [Detailed Background and Further information](#)

### High Level Must Dos



### Action Planning

1. You have the freedom to develop your own processes to support participants, plan activity and manage their experience whilst on the Work Programme in line with your delivery model and contract terms and conditions.
2. Your evidence of action planning must comply with your minimum service delivery standards, the content of your successful bid and other requirements set out in your contract.

### Actions

3. The minimum requirements are:
  - All mandatory activities must be recorded in your evidence of action planning. In so doing:
    - you must make it clear to the participant where activities are mandatory
    - the participant must understand what they are being asked to do, why they are being asked to do it and when it must be completed by
    - all 'live' mandatory requirements must be held in a single document. This should include a clear explanation of what the activity is, when it occurs, when it must be completed by, and what evidence is required to demonstrate completion of the activity
    - the evidence of action planning must be completed, dated and held for all participants
    - the information must be available to the participant at their request.
4. In addition, you must:

- ensure all relevant information is included in your evidence of action planning in compliance with your contract and minimum service delivery standards, including obtaining participant signatures (only where this is stipulated in your bid)
- retain your evidence of action planning securely to support compliance checks by European Social Fund (ESF) Compliance Monitoring Officers (CMO) and ESF audit activity
- comply with other details and processes as specified in your contract/minimum standards.

**Consequence:** Failure to adhere to your contractual requirements on action planning will result in not meeting the audit requirements of the European Social Fund and can potentially lead to the recovery of funds.

## Detailed Background and Further information

### Compliance Checks

5. The ESF CMO will review evidence of your action planning at regular intervals against what you agreed to deliver in your contract. For example, if your minimum service delivery standards state that your action planning will include specific criteria, such as agreed actions, target completion dates, frequency of reviews and participant signatures etc, the CMO will check that these steps have been followed to be assured of compliance with your contractual requirements.

### Audit Activity

6. The ESF Audit Authority will undertake annual checks on a sample of provider contracts to inspect that delivery complies with contractual requirements. They will check evidence to verify the eligibility of payments made in respect of a sample of individual participants. This will include your action planning as evidence to support engagement activity and payment of the attachment fee to meet ESF audit requirements. (Further information regarding ESF can be found in the [Generic Provider Guidance Chapter 11 – ESF requirements](#)).

### Exit Reports

7. You are required to complete and return Exit Reports for each participant in receipt of a benefit and due to return to Jobcentre Plus. You should consider the level of information that Jobcentre Plus will need when developing your systems for action planning, as much of this information will be required to support completion of the Exit Reports. (Further information can be found in [Chapter 10 of the Work Programme Provider Guidance](#)).

### **Complaints Process**

8. Evidence of your action planning may also be needed where a participant is unhappy about the service they receive from you. It may be necessary to provide this evidence to support your complaints process or if the complaint cannot be resolved, the evidence may be needed by the Independent Case Examiner (ICE) to help bring the participant's complaint to a satisfactory conclusion. (Further information can be found in the [Work Programme Provider Guidance, Chapter 16 - Participant Complaints](#)).