



Department
for Work &
Pensions

Supervised Jobsearch Pilots Provider Guidance

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Section 1 – Claimant Group and Claimant Referrals

This section covers:

- [Introduction.](#)
- [Claimant Group.](#)
- [Supervised Jobsearch Referrals.](#)
- [Important JSA Claimant Commitment / JSAg information](#)

Introduction

- 1.1 The Supervised Jobsearch Pilots were announced as part of the Help to Work package of support for Jobseekers' Allowance (JSA) claimants.
- 1.2 The pilots are being funded by the European Social Fund monies DWP receives as a Co-financing Organisation.
- 1.3 The aim of the Supervised Jobsearch Pilots (SJP) is to test the impact of a prolonged period of Supervised Jobsearch activity for two groups of claimants to help make their jobsearch more effective and increase their likelihood of moving into work. The two pilots are:
 - The pre-Work Programme (WP) pilot will explore whether more intensive support prior to referral to the WP will have a positive impact (NB West Yorkshire are only doing the post-WP pilot); and
 - The post-WP pilot will test the approach on the long term unemployed who have received 26 weeks of Post Work Programme Support (PWPS) or Help to Work (HtW) support since completing the WP.
- 1.4 This DWP Provider Guidance supports you, the Prime Provider, in the delivery of SJP on behalf of the Secretary of State for Work and Pensions. It forms part of your contract and provides guidance on processes and requirements, contract details and the legal arrangements for delivery.
- 1.5 This guidance must be read in conjunction with:
 - The Invitation to Tender (ItT);
 - The SJP Contract Package Information; and
 - [DWP Generic Provider Guidance](#) – via the hyperlinks which are embedded throughout this Supervised Jobsearch Specific Guidance.
- 1.6 If there is any conflict between the SJP Call-Off Terms and Conditions and this guidance, the SJP Call-Off Terms and Conditions takes precedence. If there is any conflict between the specification and this guidance in relation to DWP's internal procedures and processes, this guidance takes precedence.

- 1.7 You must ensure that any organisations with which you have a sub-contractual relationship also have access to, and read, this guidance and associated documents at para 1.5.

Claimant Group

- 1.8 Claimants are mandated to attend your premises for up to 35 hours per week (less any agreed restrictions on their availability as notified by JCP) Monday to Friday, to undertake Supervised Jobsearch activities and apply for jobs with intensive support and supervision for a period of 13 weeks. All Supervised Jobsearch activities are mandatory. The two pilots are:
- The pre-WP pilot will test Supervised Jobsearch for claimants who display behaviour which indicates a need for further support where JCP is satisfied the claimant is not as effective in their job search as they could be in order to secure employment; and
 - The post-WP pilot will test the impact of Supervised Jobsearch on claimants who have received support after returning from the WP.

Supervised Jobsearch Referrals

- 1.9 A Random Allocation Tool (RAT) will be used to randomly allocate claimants between the pilot and the control group.
- 1.10 JCP Work Coaches will refer eligible claimants by contacting you and arranging a warm handover with the claimant. You must have a designated point of contact to field and manage phone calls to book these appointments and provide the JCP Work Coach with the date, time and location of the appointment and your contact details.
- 1.11 The JCP Work Coach will also notify you of the expected end date (13 calendar weeks from the start date).
- 1.12 Once the JCP Work Coach has agreed the appointment they will deliver information to the claimant (or their representative) about the claimant's rights and responsibilities, mandate them to attend the Initial Interview and make an electronic referral. This will create a referral in the Provider Referrals and Payments (PRaP) system. The referral information sent as part of all referrals will include:
- Full name (including title);
 - National Insurance Number;
 - Address and contact telephone number (where available);
- If a claimant has informed JCP that they have a health condition. **Please Note:** You will be notified when a JSA claimant has informed JCP that they are disabled, however this will not include what their disability is. Claimants with disabilities may require reasonable adjustments and additional support/arrangements. You should ensure that this information is sought as part of your Initial Interview;
- A claimant's attendance arrangements;
 - The claimant's expected end date;
 - If a claimant has childcare/caring needs, such as lone parents or carers; and

- details of any employment such as:
 - types of work from the Claimant Commitment (CC) / JSAg; and
 - any availability or work restrictions agreed on the CC / JSAg.

1.13 **Please Note:** The referral will not be available to you in PRaP until the day following the JCP referral.

1.14 On receipt of the PRaP claimant referral you must immediately 'Acknowledge' by selecting 'Acknowledge - Accept'.

1.15 **Please Note:** The only occasion where you should not select 'Acknowledge - Accept' are in circumstances where JCP have contacted you and request you do not do so (further information regarding Inappropriate Referrals can be found at [Annex H](#))

Important JSA Claimant Commitment / JSAg information displayed in the Action Plan 'Aims' field in the PRaP referral

1.16 JSA claimants referred to Supervised Jobsearch will have agreed a Claimant Commitment (CC) / JSAg with JCP which will state that the claimant has been referred to Supervised Jobsearch. The CC / JSAg places a strong focus on the responsibility that claimants have to do all they can to look for work.

1.17 Moving to the CC has resulted in changes to the way in which important information will be delivered and displayed via the PRaP referral. The Purchase Order – Action Plan Items – 'Aims' field will now detail the key information you need regarding:

- Types of Work the claimant is seeking; and,
- Any agreed participation restrictions (regarding availability or work restrictions).

1.18 Where no participation restrictions apply the 'Aims' field will detail 'no restrictions apply'.

1.19 If you see the text "Employment restrictions apply" in the AP 'Aims' free text box you must contact your JCP SPOC prior to agreeing any activities with the claimant. This information will not be around general availability but specifically about the type / areas / locations of activity that the claimant is not allowed to carry out for legal reasons e.g. due to a court judgment, some claimants are not allowed to work in certain locations.

1.20 **Please Note:** If the 'Aims' field does not detail either participation restrictions , or include text stating that 'no restrictions apply' and the claimant is informing you that they have restrictions, then you must telephone and query this with your JCP Single Point of Contact (SPOC).

1.21 The claimants PRaP purchase order will also detail 'Other Activities' and 'Agreed Restriction' fields which may contain historical information which must be ignored. The only participation restrictions you are required to take into account when planning your delivery is contained in the 'Aims field'.

Section 2 – The Initial Interview, Provision and Mandation

This section covers:

- [The Initial Interview](#)
- [Establishing suitable Supervised Jobsearch capacity](#)
- [Undertaking and planning Supervised Jobsearch for the claimant](#)
 - [Disclosure and Barring Service / Protecting Vulnerable Groups checks](#)
- [Identifying additional support requirements:](#)
 - [Travel Expenses](#)
 - [Funding Childcare](#)
- [Claimant jobsearch activity](#)
- [Communicating your feedback and complaints procedure](#)
- [Provider Mandation to Employment](#)
- [Notifying claimants of mandatory activities and their responsibilities:](#)
 - [Mandating claimants to undertake activity](#)
- [Developing an individually tailored Action Plan](#)
- [Appropriate Alternative Format](#)
- [Use of USB sticks](#)

The Initial Interview

2.1 The Initial Interview is the start on Supervised Jobsearch and activities should start immediately after this Interview.

2.2 Where a claimant attends their Initial Interview, you must:

- Undertake a claimant analytical interview including career guidance, mentoring and counselling to improve their job skills ;
- Undertake an assessment on how job ready the claimant is;
- Undertake and plan any required Supervised Jobsearch pre-entry activity;
- Identify any additional support requirements (e.g. travel costs, childcare, caring responsibilities, adult replacement care costs, reasonable adjustments etc) and how these may impact on the claimant's potential work opportunities;
- Undertake an assessment of the claimant's basic IT skills;
- Agree claimant Supervised Jobsearch activity;
- Communicate your feedback and complaints procedure;
- Ensure that a contact telephone number and an emergency number has been made available to the claimant;
- Ensure claimant has an email address and knows how to access it and use email appropriately and effectively;
- Ensure the claimant is informed about online security;
- Issue the claimant with an electronic data storage device e.g. [USB memory stick](#) and advise on its use;
- Ensure the claimant is familiar with the use of Universal Jobmatch or linking in with Claimant Commitment / JSAG;

- Start to develop and agree an individually tailored Action Plan and agree claimant goals for the duration of Supervised Jobsearch; and
- Notify claimants of mandatory activities in writing and ensure claimants have a clear understanding of their responsibilities whilst participating on the provision and the consequence of any failure to fulfil mandated activities.

- 2.3 You must ensure at this Initial Interview that you obtain contact details from the claimant “in case of emergency” for example should they be taken ill during attendance.
- 2.4 There is a contractual target for both a provider-claimant Initial Interview and subsequent start on Supervised Jobsearch to take place and be recorded in PRaP. The JCP Work Coach will refer eligible claimants by contacting you to arrange a one-to-one, face-to-face initial meeting.
- 2.5 You must ensure that this Initial Interview can be conducted within 5 working days of the warm handover from the JCP Work Coach. (Further information regarding Supervised Jobsearch starts can be found in [Section 3](#).)
- 2.6 You must notify the claimant in writing (or [appropriate alternative format](#) if required) and ensure claimants have a clear understanding of their responsibilities and the consequences of any failure to fulfil mandated activities, including Decision Making and Appeals (DMA) action ([JSA SJP MAN 1](#)). This letter must be handed and explained to the claimant at the Initial Interview. You must record that this has been done. If, for any reason the claimant cannot read the notification, this must be noted. It is possible that a person trusted by the claimant can read out the notification to the claimant.
- 2.7 If you are unable to issue the claimant with the [JSA SJP MAN 1](#) letter during the Initial Interview, you must hand it to the claimant (or send it) within 2 working days of the Initial Interview. You must record that this has been done.
- 2.8 Until the claimant receives or is deemed to have received the written notification (allowing 2 days for postage) the notification is not valid and they cannot be sanctioned.
- 2.9 **Please Note:** Guidance regarding what is required where a claimant fails to attend their Initial Interview can be found in [Section 3](#).
- 2.10 You must issue DWP F06 (ESF leaflet) to the claimant and explain that Supervised Jobsearch is ESF funded. You must record that this has been done. An accessible format of this leaflet is available in Chapter 11 of the generic provider guidance - <https://www.gov.uk/government/publications/how-the-european-social-fund-is-helping-you>.
- 2.11 You must ensure that in all communications with claimants or their advocates you are satisfied you are engaging with the correct person. To do this, you may decide to ask them to state a combination of their personal information such as full name, address,

NINo, or other information such as details that were included within the original referral from JCP or other details you may hold.

- 2.12 You will need to identify wherever possible if Supervised Jobsearch participants are serving community sentences, and ensure that the Supervised Jobsearch activities complement the requirements of the Criminal Justice System (for example, individuals may be required to undertake unpaid work, have restrictions on their movements, or be subject to curfew at certain times as part of the conditions of their sentence).
- 2.13 If a claimant is serving a community sentence e.g. Community Payback (CP), this should be moved to accommodate the requirement of the Supervised Jobsearch activities. **Please Note:** The claimant should inform their responsible officer at CP they are required to participate in Supervised Jobsearch and that the CP is to be moved, for example to the weekend.
- 2.14 During the Initial Interview you must advise the claimant and record that you have done so, the following:
- The importance of punctuality and consequences of late attendance e.g. consistent late attendance could be categorised as failure to participate;
 - Health and Safety requirements whilst attending Supervised Jobsearch;
 - If they are found using the computers for anything other than jobsearching and legitimate research (for example Facebook), they will be treated as not participating in the session, and therefore this could affect their benefit;
 - The importance of behaviour standards (including restrictions on use of mobile phones), and explain how these may be treated as not participating in the session therefore this could have an affect on their benefit;
 - Inform the claimant that they will be expected to attend any appointment arranged by the Jobcentre; and
 - That they are aware as part of their Claimant Commitment / JSAG they must continue to be available for and actively seeking work to meet the requirements for benefit entitlement.

Establishing suitable Supervised Jobsearch capacity

- 2.15 You must ensure there is sufficient capacity regarding space and resources for every claimant who attends on a given day to jobsearch, for example ensuring there is provision (per person) such as:

- Minimum supervision ratio 1:12;
- Desk space – minimum cubic metres per person to meet the requirements of the Workplace (Health, Safety and Welfare) Regulations 1992;
- Any reasonable adjustments or special equipment where required;
- Working computers;
- Printers;
- Internet;
- Wi-fi;
- Phones;

- Stationery;
- Facility to use data storage devices (e.g. USB sticks);
- Must be available for up to 35 hours per person each week (less any agreed restriction on availability as notified by JCP);
- There must be easy access to:
 - food;
 - water;
 - break rooms;
 - kitchen facilities;
 - First Aid / Sick room; and
 - toilet facilities.
- You must ensure you provide appropriate facilities / equipment to ensure compatibility with the [Equality Act 2010](#).

2.16 You must ensure that the facilitators recruited for the delivery of the Supervised Jobsearch have the following competencies to support the claimant move closer or into work but not be limited to:

- The ability to provide career guidance, mentoring and counselling to support the claimants job search activities;
- The ability to sensitively probe and explore potential barriers / issues;
- They understand the importance of the social and economic values of work;
- They fully understand the claimant's personal circumstances and appreciates the impact these can have on looking for work such as (but not limited to):
 - who they live with;
 - friendship circle;
 - social circle; and
 - hobbies.
- They can critically evaluate and use logical reasoning to provide accurate analysis of claimants' development and support requirements;
- They can identify a range of activities which will broaden the claimants' perception of their own capabilities;
- They can assess how job ready the claimants are;
- They are able to challenge claimants appropriately and constructively when evidence indicates they can do more;
- Be honest yet constructive about the strengths and weaknesses of the claimants' job search and manage expectations;
- Praise the claimant as steps are achieved;
- They can assess that the claimants' job goals are feasible and appropriate to their abilities and the local labour market;
- They must have a calm, engaging and motivating manner;
- They have the ability to build the confidence of claimants;
- They must work well within a team environment;
- They are aware of what employers are looking for in a jobseeker;
- They are aware of what employers are looking for in a good CV;

- They are able to create a spirit of partnership around the intent to get the claimant back to work;
- They have excellent interpersonal and written communication skills; and
- They can produce well written and clear records of agreed activities in plain English.

Undertaking and planning Supervised Jobsearch for the claimant

- 2.17 You must ensure that any restrictions on the type of work the claimant is seeking are taken into account when discussing jobsearch activities - for example, if a claimant has a particular religious belief impacting on the type of work they can carry out or, a claimant is unable to do heavy lifting due to a health condition or disability.
- 2.18 Where claimants have agreed attendance and participation restrictions with JCP (and only where JCP have notified you as detailed on the PRaP referral or change of circumstances notification e.g. they may only be required to be available for jobsearching activities for 20 hours a week) then the activities must reflect this and you must not mandate claimants to undertake activity that contradicts these restrictions.
- 2.19 You must ensure that claimants are engaged in a [healthy and safe working environment](#), are not worse off by virtue of attending Supervised Jobsearch and understand your expectations regarding behaviour. As a result, as part of your Initial Interview you may choose to put in place plans and processes to ensure that:
- All Supervised Jobsearch activities are arranged and recorded;
 - The claimant understands what constitutes appropriate behaviour whilst participating on Supervised Jobsearch; and
 - Any required [additional support](#) is arranged.
- 2.20 You should manage claimants' expectations of available opportunities but wherever possible activities must be appropriate to the claimant's desired employment sector and/or occupation type, and local labour market. Jobsearching activities must be designed to help strengthen their CVs and enable them to compete more effectively in the job market.
- 2.21 It is important that you ensure your process for establishing suitable jobsearching activities is robust. On completion of Supervised Jobsearch you will be asked to provide information regarding why the jobsearching activities were chosen for the claimant and the skills the claimant has developed throughout their participation.
- 2.22 Group sessions must not make up more than 10% per week.
- 2.23 Time spent travelling to and from the provider must not be included in the hours of attendance. Travel duration and distance must be appropriate and reasonable to the claimant's circumstances.
- 2.24 In the claimant commitment / JSaG, claimants are allowed a reasonable amount of travel time to get to a job interview and this is included in the hours of attendance.

- 2.25 Claimants are not expected to search for or take up paid work in any location which would normally take the claimant more than 90 minutes to travel to or from their home. Travel time to the provision will be treated as travel time to a job and you must not require the claimant to undertake activity more than 90 minutes to or from their home.

Disclosure & Barring Service/ Protecting Vulnerable Group Checks

- 2.26 Should a job vacancy / employment opportunity require (previously referred to as CRB checks) Disclosure & Barring Service checks (Protecting Vulnerable Group checks in Scotland) providers are responsible for the associated costs (further information can be found in [Chapter 2 of Generic Provider Guidance](#)).

Identifying additional support requirements

- 2.27 You will be responsible for the claimant's travel costs, childcare costs, caring responsibility costs, adult replacement care costs and any additional support in association with the mandatory Supervised Jobsearch activities.
- 2.28 Additional support is defined as any support that allows a claimant who needs extra help to attend and participate fully in provision and this may include:
- Clothing and travel expenses to attend job interviews;
 - Any specialist clothing and/ or equipment;
 - Providing appropriate facilities / equipment to ensure compatibility with the [Equality Act 2010](#); and
 - As part of your obligations under the duties in the [Equality Act 2010](#), take the necessary steps to obtain and provide special aids or services that might be needed for participation.

Travel Expenses

- 2.29 Claimants should not experience any additional financial difficulty because they have been mandated to this provision.
- 2.30 You are responsible for paying directly to claimants any reasonable travel expenses incurred during their time on the pilot as follows:
- Travel by public transport based on the cheapest reasonable return fare;
 - Reimburse fares actually incurred, taking into account that a return journey will need to be made where a return ticket could not be purchased;
 - Travel by private motor vehicle will be paid only when public transport is not available or not suitable;
 - Taxi fares if public transport is not available or the claimant is unable to use (for example, people with mobility issues) and where prior approval has been given by the provider in line with guidance supplied by DWP, or, if the claimant did not seek approval, it is clear the claimant required a taxi to attend the provision; and
 - Other expenses: miscellaneous costs incurred, such as parking and bridge tolls, and congestion charges. These costs will only be met if they relate to the journey to or from the provision.

- 2.31 Any public transport or taxi receipts should be produced by the claimant to validate the claim. If a ticket or receipt cannot be produced, or has been lost, payment may be made providing the claim seems reasonable.
- 2.32 You will manage the payment of travelling expenses to standards which will involve but not be limited to:
- The collection of all relevant information to enable payment, including bank account details;
 - Ensuring complete accuracy in all payments of expenses; and
 - Providing an effective system to pay and monitor all expenses payments and appropriate audit trails:
- 2.33 You will need to consider if advance payments should be offered to a claimant who may be attending longer spells of support outside the provider interventions. This should always be considered in cases where attendance will cause financial difficulties.
- 2.34 Consideration should be given to purchasing weekly travel passes, and for the pre-WP claimants, consideration should also be given to discounted railcard eligibility.
- 2.35 You are required to keep auditable records of travel cost payments with evidence of the expense incurred by claimants. You must also ensure that you do not place undue financial hardship on claimants e.g. do not automatically leave the claimant to fund their own travel each day and then reimburse them at the end of week.

Funding Childcare

- 2.36 Childcare for attendance should only be funded for time on Supervised Jobsearch (including travel), attendance at jobsearch activity and attendance at the Initial Interview and any subsequent interviews if deemed appropriate. Childcare must be provided by:
- Carers registered with Ofsted (Office for Standards in Education), the Scottish Commission for the Regulation of Care or Welsh equivalent;
 - A carer accredited under the Childcare Approval Scheme, run on school premises out of school hours or as an out of hours club by a local authority; or
 - Schools or establishments exempted from registration under the Children's Act 1989 or operated on Crown property.
- 2.37 The parent, carer or guardian can make alternative arrangements. However, payment cannot be authorised unless the arrangements are in one of the above categories.
- 2.38 The child /children must satisfy the age requirement and be a dependant of and residing with the claimant.
- 2.39 **Please Note:** You must not recommend particular childcare facilities to claimants. This is to ensure that you and/ or DWP do not take on the liability for the safety of children.

Parents are best placed to choose the correct provision for their child and it is the parents' responsibility to decide with whom they entrust the care of their children.

Claimant jobsearch activity

- 2.40 Supervised Jobsearch activities will last for the duration of [allotted time](#).
- 2.41 Whilst participating in Supervised Jobsearch you must ensure the claimants are aware that as part of their Claimant Commitment / JSAg they must continue to be available for and actively seeking work to meet the requirements for benefit entitlement.
- 2.42 You may decide to undertake the Supervised Jobsearch in house, or source the support via your subcontractors but you must oversee the Supervised Jobsearch and collect and retain any supporting evidence.
- 2.43 Any third party training that is arranged must be undertaken on your premises or that of your subcontractors.
- 2.44 The Supervised Jobsearch must be tailored to each individual and should focus on the claimant gaining and enhancing the skills required to move closer or into work. This should include ensuring that:
- Their job goals are feasible and appropriate to their abilities and the local labour market;
 - Career guidance, mentoring and counselling to improve their job skills must be provided throughout the claimants' time on Supervised Jobsearch;
 - They understand the use of websites and are using them appropriately;
 - Encourage claimants to use the Universal Jobmatch facility to search for vacancies;
 - Curriculum Vitae (CVs) are up to date and are individually tailored effectively to vacancies;
 - Any application forms and covering letters are tailored appropriately; and
 - Claimants understand how to present themselves at an interview to heighten their chances of finding employment.

Remote Supervised Jobsearch

- 2.45 Remote Supervised Jobsearch activities are not acceptable.

Information Sharing

- 2.46 You will be expected to seek feedback from potential and actual employers in order to help inform future jobsearch activities and the claimant's action plan, and to support the claimant in areas of weakness to improve their chances of success.

- 2.47 Where appropriate, you will be expected to share this information with DWP.

Communicating your feedback and complaints procedure

- 2.48 You must ensure that you fully explain your comments and complaints procedure to each participant as part of their Initial Interview.

- 2.49 You must have an appropriate complaints process across all your subcontractors to attempt to resolve claimants' complaints. Where complaints cannot be resolved, a claimant can complain to the Independent Case Examiner (ICE). The ICE will mediate between the prime provider and claimant to attempt to broker a resolution.
- 2.50 If a resolution cannot be agreed between either party, ICE will undertake a full investigation of the complaint. If the complaint is upheld at this stage, in part or in full then the provider will be charged a fee of £5,000 and will also be liable for any financial redress recommended by ICE. In the event that the complaint against the prime contractor or sub-contractor is dismissed, no fee shall be payable. Any fees in respect of complaints that have been upheld against the prime contractor or the sub-contractor and any financial redress due to the claimant shall be paid within four (4) weeks of the date of the ICE final investigation report.
- 2.51 For further information regarding Complaint Resolution please see [Chapter 2 of Generic Provider Guidance](#) and the [Core briefing pack for providers complaints resolution](#).

Notifying claimants of mandatory activities and their responsibilities

- 2.52 You will be responsible for every aspect of the scheduling and management of the Supervised Jobsearch including the issuing of appointment letters and the issue of any subsequent notifications (in [appropriate alternative format](#) if required – see guidance at paras 2.80 – 2.81). If, for any reason the claimant cannot read the notifications, this must be noted. It is possible that a person trusted by the claimant can read out the notifications to the claimant.
- 2.53 **Mandation involves notifying the claimant in writing of the specific action that they are required to undertake and that only mandated actions have sanctionable consequences.** You must ensure there is a clear link between cause and consequence (that failing to comply with a mandated activity will result in a sanction being imposed if there is no genuine reason for non-compliance).
- 2.54 This includes any subsequent change to the original notification issued to the claimant that affects their participation on the pilots e.g. changes to start or finish times, change of location, or any change in what the claimant is required to do (not exhaustive). The provider must discuss the change and issue the claimant with the SJP MAN 01 (in [appropriate alternative format](#) if required) explaining the changes and explaining their responsibilities and the consequence of any failure to fulfil requirements of the changes imposed.
- 2.55 If during discussion of the impending changes you were unable to issue the claimant with a letter explaining their responsibilities and the consequence of any failure to fulfil requirements of the changes imposed, you must hand (or send) this letter within 2 working days of the discussion with the claimant (in [appropriate alternative format](#) if required).

- 2.56 Until the claimant receives or is deemed to have received the written notification (allowing 2 days for postage) the notification is not valid and they cannot be sanctioned.
- 2.57 If you fail to issue a proper notice, the claimant is not required to attend Supervised Jobsearch until this is rectified and you will have failed to meet the requirement within the [Minimum Service Levels](#).
- 2.58 You may mandate claimants to attend and participate in meetings and activity in relation to Supervised Jobsearch for example:
- Attend and participate in specific Supervised Jobsearch activities.
- 2.59 You must ensure a separate specific notification is given to the claimant for each activity they are required to undertake and it must be clear on the notification that the activity is mandatory.
- 2.60 Any change to what is required must be notified on a new notification to the claimant so that it is specific to the new activity.
- 2.61 **Please Note:** It is important for the DMA process that all notifications are recorded as issued in the event that information is required as evidence should the claimant be sanctioned and subsequently appeal.

Mandating claimants to undertake activity

- 2.62 The following steps must be taken on every occasion you want to mandate a claimant to undertake activity:
- Ensure that the activity is reasonable in the claimant's circumstances;
 - Ensure you provide the claimant with an adequate opportunity to make representations as to the activities they will undertake before they are mandated to them and give proper consideration to those representations. **Please Note:** You must also ensure that any representations are recorded and the reasons why the claimant is nonetheless required to undertake activities are explained;
 - Ensure that the claimant is aware of the consequences of failing to comply with the mandated activity;
 - Notify the claimant in writing on a Mandatory Activity Notification ([SJP MAN 01](#)):
 - The specific action that they are required to undertake;
 - When or by when they must undertake it;
 - That the action is mandatory;
 - What evidence, if any, they must supply to demonstrate completion; and
 - The potential consequences should the participant fail to comply.
 - Ensure the MAN is either, handed direct to the claimant or sent by post in good time (a minimum of 2 working days prior to required action). You may also choose to use registered post to ensure delivery; and
 - Record the information in relation to the activity (the details of the MAN) along with all other ongoing mandatory requirements in a single Action Plan document (Further information regarding the Action Plan can be found later in this Section).

2.63 **Please Note:** You are required to use the SJP MAN 1 and SJP MAN 2 templates within this guidance when mandating claimants to activity. The SJP MAN 1 to be used when mandating claimants to their Supervised Jobsearch activities, can be found in [Annex B](#) (The SJP MAN1), and the SJP MAN 2 template for mandating claimants to other Supervised Jobsearch related meetings/ activity in [Annex C](#) (The SJP MAN2).

2.64 You may detail multiple weeks' attendance on one notification provided you ensure you clearly detail the claimant's participation requirements e.g.:

For the period 20 October 2014 to 26 October 2014 we have made arrangements for you to participate in Supervised Jobsearch Activities for up to 35 hours (less any agreed restrictions on their availability as notified by JCP) - details of your attendance requirements are shown below.

Day	Date	Morning Attendance		Afternoon Attendance	
		From	To	From	To
Monday	20 October	9:00	12:00	13:00	17:00
Tuesday	21 October	9:00	12:00	13:00	17:00
Wednesday	22 October	9:00	12:00	13:00	17:00
Thursday	23 October	9:00	12:00	13:00	17:00
Friday	24 October	9:00	12:00	13:00	17:00
Saturday	25 October	-	-	-	-
Sunday	26 October	-	-	-	-

For the period 27 October 2014 to 2 November 2014 we have made arrangements for you to participate in Supervised Jobsearch Activities for up to 35 hours (less any agreed restrictions on their availability as notified by JCP) - details of your attendance requirements are shown below.

Day	Date	Morning Attendance		Afternoon Attendance	
		From	To	From	To
Monday	27 October	9:00	12:00	13:00	17:00
Tuesday	28 October	9:00	12:00	13:00	17:00
Wednesday	29 October	9:00	12:00	13:00	17:00
Thursday	30 October	9:00	12:00	13:00	17:00
Friday	31 October	9:00	12:00	13:00	17:00
Saturday	1 November	-	-	-	-
Sunday	2 November	-	-	-	-

*The above is an example only, the 7 day week should detail dates and represent the start date + the following 6 days e.g. Monday - Sunday, or Wednesday - Tuesday depending on Start and detail attendance for the duration of the period being notified.

2.65 You must ensure you issue the SJP MAN 1 to the claimant stating their attendance requirements for each week they are required to participate. You may decide the period for which these notifications are issued, for example a notification with 2, 4, or 8 etc. week's participation requirements detailed.

- 2.66 **Please Note:** You must retain copies of the mandatory attendance notifications or have a mechanism to create a copy and are obligated to provide DWP with copy promptly on request. You may also choose for the claimant to sign for any mandation correspondence issued to them. If a claimant refuses to sign you should note this and reference in any subsequent failure to participate referral.
- 2.67 You are required to deliver Supervised Jobsearch for up to 35 hours a week (less any agreed restrictions on their availability as notified by JCP) per claimant, excluding breaks. When notifying claimants in writing of specific activities they are required to undertake, you must be clear about how many hours claimants are required to participate each day, being explicit about breaks which are not counted as participation.
- 2.68 For example, if a claimant's day on Supervised Jobsearch begins at 9am and finishes at 5pm, but with a 1 hour break such that the day only counts for 7 hours of participation, the written notification must either (a) state that claimants will be given a one hour break from requirement to undertake activity within those hours or (b) define the requirement for the claimant to attend between 9am and 12pm, and 1pm and 5pm.
- 2.69 Any changes to the Supervised Jobsearch provider / subcontractor or previously notified attendance requirements will require a new [SJP MAN 1](#).
- 2.70 If public holidays or other business closures fall within the claimant's Supervised Jobsearch activity period, you must ensure that the claimant's notification letter sets out precisely when they are expected to attend. For example, over the Christmas and New Year period, there are public holidays, and there may be additional days you and your subcontractor may choose to close. The claimant will not be expected to make up any time lost due to business closure on the public holidays or any additional days (further information regarding absences can be found in [Section 4](#)).
- 2.71 **Please Note:** Where you mandate, you must always take follow up action if the claimant fails to comply with the mandated activity by undertaking the failure to participate process (Further information regarding the failure to participate process can be found in [Section 3](#)).

Provider Mandation to Employment

- 2.72 As part of your contract you, your employees (including temporary staff) and subcontractors have been designated as Employment Officers for the purposes of section 19(2)(c) of the Jobseekers Act 1995 which enables the mandation of claimants to apply for and take up employment opportunities and make referrals to a decision maker to consider higher-level sanctions should they fail to apply or take up that employment opportunity. **You must refer to the Provider Mandation to Employment for JSA claimants guidance - see [Annex L](#).**

Developing an individually tailored Action Plan

- 2.73 You must chart and record all the activities agreed with the claimant throughout their time on the Supervised Jobsearch, including all mandatory activities.
- 2.74 The action plan must be individually tailored to track the activities of each claimant.
- 2.75 The action plan must contain all evidence of job search activities, job applications, job interview preparation, job interview attendance and any job interview review and follow up.
- 2.76 The plan must be signed by you 'the provider' and claimant, initially at the Initial Interview and when each activity has taken place (within 1 working day). If for any reason the claimant cannot sign the action plan, this must be noted on the action plan. It is possible that a person trusted by the claimant can read out the updates to the claimant. This must be reviewed and updated as a minimum weekly and you must retain evidence of:
- Career discussions (to be held at least fortnightly);
 - Assessment of the claimant's readiness for work (to be held at least fortnightly);
 - Current email address;
 - Action planning and all the jobsearching activities undertaken;
 - Any updates to the claimant's 'My Workplan' as part of the claimant commitment / JSAg;
 - Key jobsearch web sites used on a regular basis;
 - A list of recruitment agencies to support claimant's job searching;
 - Evidence of all job applications and the outcomes / responses;
 - Any assistance given/needed with job applications; and
 - Any support given for job interview skills including preparation and presentation at interview.
- 2.77 Evidence of action planning must comply with your minimum service levels, the content of your successful tender and the SJP contract.
- 2.78 You must have robust systems in place to ensure that documents and data (whether paper or electronic) are securely held and are easily accessible.
- 2.79 All activities that you plan for the claimant must be recorded in evidence of action planning.
- 2.80 The action plan must be up to date when the claimant completes Supervised Jobsearch as the action plan will form part of the claimant portfolio. The claimant portfolio is to be compiled for the claimant before they leave the Supervised Jobsearch.
- 2.81 The action plan must be kept until 31 December 2023 and made available for ESF ([See Section 7](#)) and other audit purposes, including HMRC who may audit this provision up to 4 years after the end of Supervised Jobsearch and DWP Contracted Employment Provision Directorate (CEPD).

Appropriate Alternative Format

- 2.82 'Appropriate alternative format' can be Braille, audio recording, SMS texts (if requested), large print and e services. During the Initial interview, you should discuss the right format with the claimant to ensure they receive information in a way they can access. If the claimant has the relevant technology to ensure the claimants receive information in the format they need.
- 2.83 The provider must use existing processes to ensure that they meet the requirements within the [Equality Act 2010](#).

Use of USB sticks

- 2.84 You must ensure that the issue and usage of USB sticks to claimants meets certain requirements:
- The IT equipment used to facilitate the Supervised Jobsearch activities / CV / portfolio could be networked but it is expected that it would be suitably separated from systems processing bulk personal data. i.e. the Core Customer Relationship Management (CRM) system;
 - You must ensure that the claimant is aware that when they start using the USB for Supervised Jobsearch they will input their own personal information;
 - Claimants must understand that once received they take full responsibility and ownership for the memory stick;
 - They understand that it is their responsibility to keep the USB stick safe;
 - You must ensure that the claimants are aware of their responsibilities around security;
 - You must ensure that the claimants are aware of [online security](#);
 - The personal data on the USB must be kept to a bare minimum and not include NINO on their CV or any financial details or sensitive data;
 - They must be made aware that the primary use of the USB stick is for jobsearching activities;
 - You must stipulate that the USB sticks must not be used on DWP equipment;
 - DWP accepts no responsibility for the USB sticks; and
 - The USB sticks must not be branded back to the company that are providing the service.
- 2.85 You should back up information in case the claimant loses the USB stick. If a claimant is persistently losing their USB stick to an extent that it is disrupting their participation and progress in the scheme, then you should discuss this with the claimant and explain that you may consider sending a referral for failing to participate. The LMDM would then make a decision depending on the individual case.

Section 3 – Supervised Jobsearch starts, failure to comply and Decision Making and Appeals

This section covers:

- [Supervised Jobsearch starts](#)
- [Failure to comply and Decision Making and Appeals](#)
- [Making unencrypted Supervised Jobsearch DMA e-mail referrals](#)
- [Failure to attend the Initial Interview](#)
- [Re-referring of claimants who fail to start \(New Referrals\)](#)
- [Failure to comply as mandated once a claimant has started Supervised Jobsearch](#)
- [Claimant to be dismissed from Supervised Jobsearch due to misconduct](#)
- [Further information required by LMDM team](#)
- [Decisions, Reconsiderations and Appeals](#)

Supervised Jobsearch starts

- 3.1 The Initial Interview is the start on Supervised Jobsearch which must be conducted within 5 working days of the contact from the JCP Work Coach.
- 3.2 You must acknowledge each referral within 1 working day of receipt from JCP.
- 3.3 The Supervised Jobsearch start date will be the date the Initial Interview has been conducted and must be recorded in PRaP (this will trigger the Supervised Jobsearch start fee for that claimant).
- 3.4 You must record in the 'create advanced shipment notice' screen in PRaP:
 - **Date 1:** The date the claimant attends the Initial Interview (date notified and agreed by JCP Work coach); and
 - **Date 2:** The anticipated end date of provision (13 calendar weeks from the start date).
- 3.5 Once the claimant has started Supervised Jobsearch it is important that you record details of the Initial Interview and the expected completion date in PRaP.
- 3.6 If the claimant cannot start e.g. needs to attend a job interview, refer back to JCP Work Coach so that they can issue a new appointment letter (SJPL1) to the claimant. Do not close the referral on PRaP.

Failure to comply and Decision Making and Appeals

- 3.7 As attendance is mandatory, if a claimant is deemed to have acted in a way that could give rise to a benefit sanction, (e.g. failing to comply/ participate/ attend, as mandated) you are required to make Decision Making and Appeals (DMA) referrals, and keep supporting evidence, which includes information regarding:

- Failing to attend / participate in the Initial Interview having been notified of the requirement to attend / participate;

- Failing to attend / participate in Supervised Jobsearch activities having been notified of the requirement to attend / participate;
- Failing to attend Supervised Jobsearch when notified of the requirement to attend by JCP, demonstrated by a failure to attend an Initial Interview;
- Failure to attend or participate in any meeting or activity without the previous agreement of the provider, having been notified of the requirement to attend by the scheme provider; and
- Losing a place on a Supervised Jobsearch through misconduct.

3.8 **Please Note:** The sanction regime for Supervised Jobsearch is a 4 week benefit sanction for the first failure followed by a further 13 week benefit sanction for any second and/or subsequent offence within 12 months (where a second failure is more than 14 days after the first failure). The sanction will remain in place even if the customer re-engages with Supervised Jobsearch. **In addition,** please see the Provider Mandation to Employment for JSA claimants guidance at [Annex L](#) for details of when higher level sanctions may be imposed.

3.9 You are responsible for the initiation of the sanctions process. A DWP Decision Maker will then have responsibility for making a decision as to whether or not a sanction should be applied to the claimant's JSA.

3.10 For the purposes of Supervised Jobsearch, you will make DMA referrals to specific LMDM teams (please see [Annex D](#)). In the majority of cases this will be via [unencrypted email](#) rather than by post.

3.11 There are differing processes and actions you are required to undertake dependant on what the claimant has failed to comply with. These processes are covered below and are:

- DMA processes - prior to a claimant starting Supervised Jobsearch, where:
 - A claimant fails to attend the Initial Interview; and
 - A claimant attends the Initial Interview but fails to participate as mandated.
- DMA processes - once a claimant has started Supervised Jobsearch, where:
 - A claimant fails to comply as mandated; and
 - As a last resort, and as agreed with JCP a claimant is to be dismissed from Supervised Jobsearch due to misconduct.

Making unencrypted Supervised Jobsearch DMA e-mail referrals

3.12 You will make Supervised Jobsearch DMA referrals to specific LMDM teams (please see [Annex D](#)). In the majority of cases this will be via unencrypted email rather than by post. LMDM teams will also send sanction decision notifications back to you via unencrypted e-mail.

3.13 The unencrypted e-mail process must be built into your IT systems and internal processes to allow for the raising of Supervised Jobsearch DMA referrals via e-mail (further information regarding Supervised Jobsearch DMA e-mail referrals can be found in [Annex D](#)).

3.14 To make an unencrypted Supervised Jobsearch DMA e-mail referral you are required to:

- Complete the relevant SJP DMA form. **Please Note:** A copy of the Mandatory Activity Notification (MAN) or other documents is not required. No other documents may be attached to the e-mail; all relevant information must be noted on the SJP DMA form itself;
- Ensure that the correct email address for the return of the sanction decision, queries or further correspondence is included in the SJP DMA form. **Please Note:** This must be the generic in-box address, not the individual adviser address;
- Ensure each e-mail **ONLY** contains the following standard content. **Please Note: No other information may be transmitted by e-mail:**
 - Standard wording to be displayed in e-mail 'Subject Box':
 - SJP DMA;
 - Claimant's surname;
 - Last 3 characters of the claimant NINO; and
 - E.g. '**SJP DMA Smith 78A**'.
 - Standard wording to be displayed in e-mail 'Narrative Box':
 - Sender contact details; and
 - Email attachment - Completed SJP DMA form.
- E-mail the SJP DMA form to your linked Benefit Centre LMDM designated Administration Team e-mail address.

3.15 The naming convention for providers to use is:

- DMA-referring provider name-00000000000000000000000000000000@referring provider name

3.16 **Please Note:** It is a key security requirement that only one SJP DMA form is included per e-mail. You cannot, for example, include several SJP DMA referrals for the same claimant in one e-mail.

3.17 **Please Note:** Each email should not contain details of more than one claimant.

3.18 **Please Note:** While we expect that the vast majority of DMA referrals to be made via e-mail, there may be a very small number that you may need to make clerically e.g. in the event that a claimant already on Supervised Jobsearch becomes a Special Customer Record (SCR) case (further information regarding SCRs can be found in [Chapter 2 of Generic Provider Guidance](#)). In these circumstances you must securely send a clerical copy of the referral form to your linked LMDM team.

Failure to attend the Initial Interview

3.19 Where claimants fail to attend their Initial Interview as required it may not be possible to achieve SJP Starts. Where appropriate you are required to show that you have taken action and raised timely, appropriate Decision Making and Appeals (DMA) referrals.

3.20 Where a claimant fails to attend their Initial Interview you are required to make an immediate (within 1 working day) DMA referral directly to the appropriate LMDM team and update PRaP (within 1 working day of the failure to attend). Do not ask the claimant why they did not attend.

3.21 The actions you are required to undertake are:

- Complete the [SJP DMA 01](#) form and e-mail it to the appropriate LMDM team (The [SJP DMA 01](#) form along with detailed information relating to its completion is included in [Annex F](#)); and
- Update PRaP in the 'Orders' tab selecting '**Cancel – Did Not Attend**' (This action will close the referral in PRaP and you are not required to take any further action in relation to the claimant).

Re-referring of claimants who fail to start (New Referrals)

3.22 Where a claimant has failed to attend their Initial Interview as mandated, JCP will be notified via the action you take in PRaP (recording the Did Not Attend (DNA) which will close the referral).

3.23 JCP will then establish the reasons why a claimant may have failed to attend/ start and will establish if Supervised Jobsearch support remains appropriate. Where JCP establish that Supervised Jobsearch support remains appropriate for a claimant they will make a **new** referral, following the same process in which the original referral was made (ringing you, booking an initial engagement meeting and making a new electronic referral – see [Section 1](#)).

Failure to comply as mandated once a claimant has started Supervised Jobsearch

3.24 Whilst participating in Supervised Jobsearch and where attendance is mandated, if a claimant fails to comply you are required to make a DMA referral, and keep supporting evidence (further information regarding evidence requirements is included at [Section 7](#)).

3.25 Once a claimant has started Supervised Jobsearch the DMA referral must be made at the end of the claimant week for which any subsequent failures to attend/ participate occur, for example where a claimant has been notified to participate for the period 20 October to 26 October and fails to participate/ comply on the 21 October you should make the referral on the 26 October and ensure all failures within that claimant week are notified.

3.26 You must complete the [SJP DMA 01](#) form and e-mail it to the appropriate LMDM team where a claimant has failed to comply in a mandated activity. Detailed information relating to the completion of [SJP DMA 01](#) is included at [Annex F](#)).

3.27 It is important to note that the information from the relevant MAN should be transcribed onto the [SJP DMA 01](#) form rather than the MAN itself being attached. The LMDM team will work on the assumption the claimant was correctly mandated and notified (as detailed in [Section 2](#)).

- 3.28 If the claimant raises the issue of notification, e.g. states they didn't receive the letter, in those cases the LMDM will ask to see the JSA SJP MAN 01 and may ask you to supply further information.
- 3.29 You are not required to establish why the participant failed to comply to determine whether or not to make a DMA referral. You are required to make a referral (at the end of the claimant week) irrespective of whether or not the claimant offers an explanation afterwards. The LMDM team will consider the reasons given and decide whether the claimant has shown good reason for their failure to participate. If the claimant tells you the reason you should record this on the [SJP DMA 01](#) form you send to the LMDM team.
- 3.30 You must make a DMA referral where a claimant fails to comply as mandated and you need not wait to be notified of previous referral decisions before making further referrals.
- 3.31 **Please Note:** Once a claimant has started Supervised Jobsearch i.e. attends the Initial Interview and fails to comply you are not required to update PRaP with details of the failure to comply. You should continue to engage with the claimant in line with your delivery model irrespective of the outcome.

Claimant to be dismissed from Supervised Jobsearch due to misconduct

- 3.32 Where a claimant's inappropriate behaviour is of a minor nature, such as an initial refusal to co-operate where the activity is mandatory, you should raise failure to participate referrals in relation to the activity the claimant was mandated to participate in, and failed to undertake.
- 3.33 If a claimant's behaviour is such that effective participation is not possible, in the first instance you must discuss this with JCP. As a last resort a decision may be made by JCP to exclude them due to misconduct and if so a DMA referral must be raised using the SJP DMA 02 form and the claimant will be returned to JCP support (further information regarding unacceptable behaviour can be found in [Section 4](#) and in [Chapter 2 of General Provider Guidance](#)).
- 3.34 You must complete the [SJP DMA 02](#) form detailing the reasons for dismissal including details of any warnings you may have given the claimant in relation to their behaviour and attach copies where appropriate and e-mail it to the appropriate LMDM team. Detailed information relating to the completion of [SJP DMA 02](#) form is included in [Annex G](#).
- 3.35 You must then end the provision in PRaP using the 'create advanced shipment notice' screen, recording the end date as their last day on Provision and using end reason 'Excluded'.

Further information required by LMDM team

- 3.36 There may be occasions where the LMDM team will need to clarify information that you have sent with the DMA referral. You must retain copies of the mandatory attendance notifications or have a mechanism to create a copy and are obligated to provide DWP

with copy or related information promptly on request. You must set up a Single Point of Contact (SPOC) locally for this purpose.

Decisions, Reconsiderations and Appeals

- 3.37 Where a claimant approaches you regarding imposed benefit sanctions you should **not** attempt to answer the questions, but direct them **immediately** to speak to the contact given on the decision letter they received.
- 3.38 Reconsiderations are a crucial part of the decision making and appeals process and are designed to put right incorrect decisions at the earliest opportunity.

This guidance was archived on 22 June 2015

Section 4 – Participation, absences and changes of circumstances

This section covers:

- [Benefit conditionality while participating on Supervised Jobsearch](#)
- [Participation requirements](#)
- [Unreported Absences](#)
- [Reported Absences](#)
- [Attendance at job interview, JCP interview or medical appointment](#)
- [Domestic emergencies and other unexpected events](#)
- [Civic Duties](#)
- [Attendance at Open University residential courses](#)
- [Sickness](#)
- [Reported Absences \(other\)](#)
- [Claimant Changes of Circumstance](#)
- [Reclaims to benefit](#)
- [Claimant changes address](#)
- [Claimant holiday entitlement](#)
- [Unacceptable Behaviour](#)
- [Bank Holidays](#)
- [Christmas and New Year opening](#)

Benefit conditionality while participating on Supervised Jobsearch

- 4.1 Whilst on Supervised Jobsearch, claimants will remain on JSA and therefore will be required to attend the Jobcentre for Work Search Reviews (every fortnight) or any JCP appointment and confirm they are continuing to meet JSA conditionality (actively seeking and available for work). Wherever possible JCP will arrange a suitable time to ensure that this or any other required attendance does not impact negatively on the claimant's participation on Supervised Jobsearch.
- 4.2 Where it is not possible to make such an arrangement, and a claimant's JCP work search review falls within a proposed period of attendance you must allow claimants time to attend and ensure that reasonable (in the claimant's circumstances) travel time from the Supervised Jobsearch location to the attendance site and back again is factored into any planning for Supervised Jobsearch activities and any mandate to do so.
- 4.3 You must count the claimant's travel and attendance at JCP work search reviews towards the claimant's weekly attendance but must ensure you document and evidence the time.

Participation requirements

- 4.4 Each claimant is required to participate in Supervised Jobsearch activities up to 35 hours per week (less any restrictions as notified by JCP Work Coach) for 13 weeks.
- 4.5 **Please Note:** Unless a claimant has participation restrictions which have been agreed with JCP. You will be notified of any participation restrictions within the information

delivered within the claimant referral and, where notified, must reduce claimant Supervised Jobsearch activities accordingly.

- 4.6 Participation on Supervised Jobsearch is on the claimant's rolling week. For example if the claimant attends the Initial Interview on a Wednesday they will complete 13 weeks on the relevant Tuesday.
- 4.7 You must keep a daily record of attendance for each individual claimant for ESF, HMRC and other audit requirements. Any absences must be clearly noted and whether they are approved or unauthorised absences.
- 4.8 You must ensure that you can evidence all Supervised Jobsearch activities (per individual) which includes records of daily attendance hours undertaken and which have been endorsed by the claimant and your facilitators.
- 4.9 The aim of the pilots is to test the impact on claimants of up to 35 hours per week (less any agreed restrictions on their availability as notified by JCP) at your (or subcontractor) premises. Therefore, claimants participating in Supervised Jobsearch will be out of scope of other Jobcentre provision while on this scheme. However, there may be elements of Access to Work (AtW) that you may be able to seek assistance with e.g. a communicator at a job interview. Please check the details at <https://www.gov.uk/access-to-work>.

Unreported Absences

- 4.10 If your subcontractors inform you, or you establish that a mandated claimant is absent (and has not made contact to inform you why they could not participate) you must make a DMA referral on the grounds that the claimant has not attended as required and therefore failed to comply.
- 4.11 The DMA referral must be made at the end of the provision week for which any failures to attend/ participate occur, for example where a claimant has been notified to participate for the period 20 October to 26 October and has an initial unreported absence on the 21 October you should make the referral on the 26 October and ensure all periods of failure within that claimant week are notified.

Reported Absences

- 4.12 Where the claimant has made contact prior to attendance of a mandated activity and has stated they cannot attend you must investigate whether the claimant has an acceptable reason for non-attendance. Acceptable reported absences are defined below

Attendance at job interview, JCP interview or medical appointment

- 4.13 Claimants require flexibility to attend occasional JCP interviews, medical appointments (i.e. doctor, dentist, hospital) and job interviews that cannot be arranged at a time outside the hours of the Supervised Jobsearch activities.

4.14 Provided the claimant has written evidence of their appointment, and notifies you in advance of the absence, a DMA referral would not be appropriate where a claimant is absent due to a job interview or medical appointment.

4.15 **Please Note:** In exceptional circumstances i.e. where the claimant has had little time to obtain evidence a first appointment may be accepted without written evidence, but you must warn the claimant that any subsequent or recurrent job interviews or medical appointments that they can not verify by evidence will result in a DMA referral being made.

Domestic emergencies and other unexpected events

4.16 Whilst participating in Supervised Jobsearch, claimants may request time off due to domestic emergencies, e.g. a burst water pipe, fire, a break in at home, funerals, serious illness or accident of a close relative or close friend etc.

4.17 If a claimant informs you that they are unable to comply with a mandated activity due to a domestic emergency or other unexpected event, you must phone your contact in JCP to check if the claimant's reason for absence can be accepted.

4.18 **Please Note:** Where JCP informs you the reason for the domestic emergency or other unexpected event cannot be allowed you must reiterate to the claimant their requirement to comply and that failure to comply may result in a benefit sanction. Should the claimant not comply a DMA referral must be made (at the end of the claimant week - LMDM teams will then investigate further and request the claimants' reasons for non-compliance).

4.19 Where a claimant informs you that they cannot attend due to a domestic emergency or other unexpected event and is not present (e.g. is contacting you by telephone) you must tell the claimant that you need to contact JCP and establish if the absence is reportable. It is therefore vital the claimant understands that you will be contacting them to inform the result of the conversation with JCP and if no contact can be made the claimant will be subject to a DMA referral should they not participate as mandated.

Civic Duties

4.20 Whilst participating in Supervised Jobsearch claimants may require time to attend civic duties such as reserved forces training, life boat crew duties, school governors, part time fire persons, volunteer special constables, lay member of police authorities, youth offender panels, jury service and members of patient and public involvement forums (this list is not exhaustive).

4.21 When a claimant contacts you to say they are unable to attend a mandated activity due to a civic duty, you must advise the claimant to phone JCP. Jobcentre Plus will advise how you should proceed.

4.22 Where participation in civic duties can be verified and evidenced, you may count this participation (for the duration of evidenced duties) towards claiming completion outcomes.

Attendance at Open University residential courses

4.23 Whilst participating in Supervised Jobsearch claimants may require time to attend Open University residential courses. Where a Supervised Jobsearch claimant informs you in advance that they will be absent due to an Open University residential course, you must direct the claimant to report this to JCP. JCP will check with the claimant to ensure they will be Available and Actively Seeking Employment throughout the proposed period and will notify you provided this is accepted.

Sickness

4.24 It is the claimant's responsibility to notify JCP when they are sick. However if anyone within your subcontractors inform you, or you establish that the claimant is absent due to sickness you must phone your JCP SPOC to notify them that the claimant is sick and allow JCP to check the claimant's sickness record.

4.25 Where JCP informs you that the claimant has already had two periods' (of up to 2 weeks each) absence due to sickness in the previous 12 months you must make a DMA referral (at the end of the current claimant week) detailing on the DMA referral the date the claimant states they became sick and any other relevant information (LMDM teams will then investigate further and request the claimants reasons for non-compliance).

Reported Absences (other)

4.26 You must ensure that you give sufficient information to your JCP SPOC to enable them to be able to make decisions (e.g. whether absences can be 'treated as straightforward') promptly and accurately in regard to issues including:

- Periods of sickness (is this a one off or is there a pattern emerging e.g. every Monday morning).
- Domestic emergencies (e.g. a burst water pipe, fire, a break in at home, funerals, serious illness or accident of a close relative or close friend etc).
- Easements for parents (one off event that prevents child attending school/ nursery e.g. strike or the child has an infectious disease).

4.27 When a claimant fails to participate due to an absence and the absence cannot be treated as straightforward, you will need to maintain a record of the discussion with the claimant and forward that to the JC Work Coach for them to action at the next Work Search Review. [Form SJP F1](#) (see Annex J) can be used

Claimant Changes of Circumstance

4.28 It is the responsibility of the claimant to notify JCP of any change in their circumstances that occur whilst they are on Supervised Jobsearch provision. Where a claimant informs you of a Change of Circumstance (CoC), you are to direct claimants to immediately report the change to JCP. You must also inform JCP using form [SJPF1](#) (see Annex J) within 1 working day of the request or notification from the claimant.

4.29 JCP will then review the CoC and notify you of the change. JCP will do so by contacting your nominated contact by telephone and following this up with a written

notification of the CoC. You must then consider the impact of the CoC on your delivery for the claimant (e.g. restrictions in activity requirements where appropriate) and take immediate action.

- 4.30 There may be a few exceptional circumstances and depending on the claimant's CoC, where the claimant becomes ineligible for Supervised Jobsearch whilst they are with you. In these instances you must contact JCP who will decide whether they should be exited from the pilot. Do not close the referral on PRaP.

Reclaims to benefit

- 4.31 Where a claimant's benefit claim ceases (having started but not completed Supervised Jobsearch within the 13 week period) and a subsequent reclaim to JSA is made, JCP will notify you (contacting your nominated contact by telephone) to arrange re-engagement and participation to complete their remaining [allotted time](#).
- 4.32 Where a claimant has previously started Supervised jobsearch there will not be another electronic referral and you will not be paid a further start fee for claimants who leave benefit (e.g. for employment) but then return to Supervised Jobsearch during the allotted time period.

Claimant changes address

- 4.33 JCP will notify you if a claimant changes their address and also if the change affects the claimant's participation.
- 4.34 Once the claimant has started with you, if the change of address means that the claimant continues to attend a JCP office within the district area, their participation on the pilot will be unaffected.
- 4.35 If the claimant's Supervised Jobsearch remains in the claimant's local travel area (a journey of no more than 90 minutes (each way) by public transport) participation should continue.
- 4.36 If the claimant moves address outside of the pilot / district area then their participation in the pilot ends and the providers delivery requirements will cease. Do not close the referral on PRaP in case the claimant returns to the pilot area within the 13 weeks.

Claimant holiday entitlement

- 4.37 Jobseeker's Allowance Regulations allow claimants to be treated as actively seeking employment when away from home on holiday for up to two weeks within the UK (once in a rolling 12 month claim period) but they must be willing and available to return immediately to take up employment.
- 4.38 Where a Supervised Jobsearch claimant informs you in advance that they would be absent on holiday and will be unable to comply with a mandated activity, you must direct the claimant to report this to JCP. JCP will check with the claimant to ensure they will be available and actively seeking employment throughout the proposed period and will notify you provided this is accepted.

Unacceptable Behaviour

- 4.39 You may experience a wide range of behaviour from the claimant group referred to Supervised Jobsearch. This may include those claimants who exhibit difficult, aggressive, or sometimes violent behaviour. However, you cannot select the claimant with whom you work. (further information regarding unacceptable behaviour can be found in [Chapter 2 of Generic Provider Guidance](#)).
- 4.40 Claimants on DWP provision have a responsibility to behave in an appropriate manner, just as they would if they were in employment and you must explain what constitutes appropriate behaviour as part of the claimant's Initial Interview.
- 4.41 Where cases of misconduct or unacceptable behaviour by claimants arise, you must immediately deal with it in the most appropriate manner. Where the inappropriate behaviour is of a minor nature, such as an initial refusal to co-operate where the activity is mandatory, you must make a DMA referral in relation to the activity the claimant failed to undertake.
- 4.42 If a claimant's behaviour is such that effective participation is not possible, in the first instance you must discuss this with JCP. As a last resort a decision may be made by JCP to exclude due to misconduct (further information regarding excluding claimants on the grounds of misconduct found in [Section 3](#)).

Bank Holidays

- 4.43 Where a bank holiday falls on a day that a claimant would be required to attend Supervised Jobsearch activities the claimant must be excused attendance on Supervised Jobsearch and the hours of attendance for that week should be reduced by 1/5th to take account of the bank holiday. The claimant should therefore complete 28hrs (or hours proportionate to their restrictions) on Supervised Jobsearch activities where there is a bank holiday day during the participation week.
- 4.44 Claimants are not required to undertake Supervised Jobsearch activity on bank holidays.

Christmas and New Year opening

- 4.45 You are expected to provide appropriate Supervised Jobsearch activities for days that your subcontractors are closed and your organisation is open.
- 4.46 You must ensure your designated point of contact for the booking of Initial Interviews is resourced where JCP referral offices are open over Christmas and New Year.

Section 5 – Allotted time, Payments and Compliance Monitoring

This section covers:

- [Allotted Time](#)
- [Payment Standards](#)
- [Start Fee](#)
- [Service Delivery Fee](#)
- [Final Payments](#)
- [Compliance Monitoring and Reporting Process](#)
- [CMO Compliance Monitoring Activity](#)

Allotted Time

- 5.1 Supervised Jobsearch allotted time is 13 weeks. The allotted time period is continuous and starts at the point that the claimant attends the Initial Interview. From this point you will have 13 consecutive weeks to deliver your service requirements.
- 5.2 **Please Note:** Where a claimant's benefit claim ceases and a subsequent [reclaim to JSA](#) is made beyond 13 weeks following referral, the claimant will not return to you to complete a 'balance of time'. Claimants will only be signposted back to you to complete any remainder of allotted time (not balance of time) e.g. where a claimant started Supervised Jobsearch, gained employment and left provision at week 2 of allotted time, and returned to benefit 6 weeks later they would be required to undertake the remaining 5 weeks Supervised Jobsearch allotted time.

Payment Standards

- 5.3 You must ensure that you hold adequate information / evidence to support any payments made to you in respect of Supervised Jobsearch
- 5.4 Supporting evidential requirements are referenced throughout this guidance and are detailed within the Minimum Service Level requirements.
- 5.5 DWP may contact you or your sub-contractor directly to make checks on claimant records held. You do not require the claimant's consent to allow this.
- 5.6 You must maintain a robust system of internal control which must include appropriate checks, monitoring arrangements and adequate records to support payments made to you.
- 5.7 The records maintained need to be sufficient not only to support any payments made to you but also to allow internal management checks and independent validation, for example by DWP and other external bodies. The records maintained should document how and when any jobsearching activity or information was obtained and be made available for testing by DWP and other external bodies.

Start Fee

5.8 The start fee shall be limited to 10% of the overall maximum individual participant cost.

5.9 You will be eligible to claim a start fee once the claimant has attended the Initial Interview.

5.10 Before you make a claim for the start fee you must;

- Ensure that you hold evidence to support the payment to be made and have recorded all the evidence e.g. evidence of attendance at the initial Interview and requirements to meet the [Minimum Service Levels](#); and
- Update PRaP that the claimant has attended the Initial Interview. This will trigger the payment for the start fee.

5.11 Only one start fee will be payable for each claimant.

Service Delivery Fee

5.12 The service delivery fee shall comprise a sum totalling 50% of the overall maximum contract value.

5.13 The service delivery fee will be paid monthly at 5% over the six month duration of the provision.

5.14 These will be automatically processed at the end of each month between October 2014 and March 2015 via PRaP, but will actually be 'paid' i.e. in your bank account up to 5 days later due to the standard BACS clearance process.

Final Payments

5.15 Final payments are calculated at 60% of the overall maximum contract value. There will be three payments.

5.16 These payments will be processed at the end of each month between February, March and April 2015 via PRaP but will actually be 'paid' i.e. in your bank account up to 5 days later due to the standard BACS clearance process.

5.17 Final payments will be made subject to the achievement of the requirements of the Minimum Service Levels in [Annex K](#).

5.18 The table below gives an indication of the number and timings of the CMO checks to be undertaken. Checks conducted for the first three months will not contribute to the calculation of the final payments. These checks will enable you to ensure your systems and process are compatible with the requirements prior to the checks conducted in the final three months which will be the calculators for the Final Payments:

CMO check	Oct 14	Nov 14	Dec 14	Jan 15	Feb 15	Mar 15	CMO Check Total (Calculators)
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							for the final payments)
Starts	X25 Claimants*	X25 Claimants*	X25 Claimants*	X100 Claimants	X100 Claimants	X100 Claimants	Starts Total (x300)
Action Plan				X100 Claimants	X100 Claimants	X100 Claimants	A/Plan Total (x300)
Portfolio				X100 Claimants	X100 Claimants	X100 Claimants	Portfolio Total (x300)
Jobsearch				X100 Claimants	X100 Claimants	X100 Claimants	Jobsearch Total (x300)
Attendance	X25 Claimants*	X25 Claimants*	X25 Claimants*	X100 Claimants	X100 Claimants	X100 Claimants	Attendance Total (x300)
DMA	X25 Claimants*	X25 Claimants*	X25 Claimants*	X100 Claimants	X100 Claimants	X100 Claimants	DMA Total (x300)
Exit Reports				X100 Claimants	X100 Claimants	X100 Claimants	Exit Report Total (x300)
*These checks will not contribute to the calculation of the final payments.							Contributes to a Maximum of 60% payment

5.19 Each Minimum Service Level is scored independently e.g. Starts on the Programme has a value of 12.5% and the CMO report scores will combine to give a final total as to how this area has scored from the checks undertaken.

5.20 The MSL Achievement Template will be used to calculate the Final Payments ([see Annex S](#)).

Compliance Monitoring & Reporting Process

5.21 Before compliance monitoring starts, the Compliance Monitoring Officer (CMO) will contact you and request that you complete the ESF2 document ([see Annex P](#)). The ESF2 is used as a basic overview and background information for when the CMO carries out their checks e.g. you will give an overview on 'how you start claimants to the pilot or DMA processes' etc.

5.22 At the same time as obtaining the ESF2 information, the CMO will arrange for you to send start lists to them and discuss possible visit dates for records to be checked.

5.23 Once they have received the lists from you, the CMO will use a random selection process to select the relevant sample required.

5.24 Once random selection has been carried out the CMO will send you the sample 48 hours (2 working days) before they are due to conduct the visit.

- 5.25 During the visit the CMO will complete either ESF 2a abridged ([see Annex Q](#)) or ESF 2a ([see Annex R](#)) whichever is appropriate.
- 5.26 If any issues are found, the CMO will give you 48 hours (2 working days) following the visit to provide any additional evidence that may not have been viewed during the visit.
- 5.27 After the 48 hour (2 working days) 'additional evidence period' has ended, the CMO will consider all evidence and score the ESF3 Report ([see Annex T example only](#)) and involve the Performance Manager in a QA of the final report.
- 5.28 After consideration of any outstanding evidence the actual Final Payment Fee will be assessed.

CMO Monitoring Activity over the life of the Supervised Jobsearch Pilot

- 5.29 CMOs will request a number of claimant files each month to ensure that they meet the service delivery requirements. The visits will be conducted as follows:
- **November 2014:**
25 claimants are checked across the 'Joining', 'During' and 'DMA' headings. CMOs will use the Random Selection Tool to select **October** intake claimants to be checked. ESF 2a abridged ([see Annex Q](#)) will be completed.
 - **December 2014:**
25 claimants are checked across the 'Joining', 'During' and 'DMA' headings. CMOs will use the Random Selection Tool to select **November** intake claimants to be checked. ESF 2a abridged ([see Annex Q](#)) will be completed.
 - **January 2015:**
25 claimants are checked across the 'Joining', 'During' and 'DMA' headings. CMOs will use the Random Selection Tool to select **December** intake claimants to be checked. ESF 2a abridged ([see Annex Q](#)) will be completed.
 - **February 2015:**
100 claimants are checked across **all** Minimum Service Levels. CMOs will use the Random Selection Tool to select 'Completers' from the **October** cohort who have ended provision. ESF 2a ([see Annex R](#)) will be completed.
 - **March 2015:**
100 claimants are checked across **all** Minimum Service Levels. CMOs will use the Random Selection Tool to select 'Completers' from the **November** cohort who have ended provision. ESF 2a ([see Annex R](#)) will be completed.
 - **April 2015:**
100 claimants are checked across **all** Minimum Service Levels. CMOs will use the Random Selection Tool to select 'Completers' from the **December** cohort who have ended provision. ESF 2a ([see Annex R](#)) will be completed.

This guidance was archived on 22 June 2015

Section 6 – Completing Supervised Jobsearch, the claimant portfolio and exit feedback

This section covers:

- [Completing Supervised Jobsearch and returning exit feedback](#)
- [The Claimant Portfolio](#)
 - [The curriculum vitae \(CV\)](#)
 - [Provider reference](#)

Completing Supervised Jobsearch and returning exit feedback

- 6.1 A claimant will be deemed a Supervised Jobsearch Completer where they
- Completed their [Allotted Time](#), or
 - Claimant deceased.
- 6.2 If the customers' representative notifies you that the customer has died, you must notify your JCP contact straight away by telephone and follow up in writing as usual. **Please note:** you should only note your records at this stage. Do not undertake any action to input the completer reason until you receive confirmation of the customers' death from JCP.
- 6.3 You must conduct an exit interview and complete the [Exit Feedback Template](#) (see [Annex A](#)) with all claimants that have completed their [Allotted Time](#) on Supervised Jobsearch.
- 6.4 If the claimant does not attend the exit interview you must still complete the [Exit Feedback Template](#) and annotate that the claimant did not attend.
- 6.5 **Please Note:** That PRaP will not automatically close the referral. Therefore you must ensure that you input the completion date in PRaP.
- 6.6 For each claimant that completes Supervised Jobsearch allotted time, remains on benefit and is to return to JCP support, DWP require providers to:
- Supply each claimant with a claimant portfolio; and
 - Send an [Exit feedback Template](#) in relation to the claimant to reach JCP within 5 working days of the claimant's last day on Supervised Jobsearch.
- 6.7 Where claimants are no longer on benefit at the point of completing Supervised Jobsearch, DWP do not require providers to return an exit report or deliver a claimant portfolio to these claimants.

Claimant Portfolio

- 6.8 You must compile and maintain a claimant portfolio for each claimant throughout their participation on Supervised Jobsearch.

- 6.9 This section details the information we would expect to see included within a claimant portfolio. Claimant portfolios should be of a professional standard in line with your delivery proposal (e.g. we would not expect a portfolio to simply be a piece of paper in a plastic wallet).
- 6.10 You or your subcontractors should devise your own professional format for the delivery of claimant portfolios but must ensure as a minimum that the [claimant CV](#), [action plan](#) and the [provider reference](#) are included.
- 6.11 You must ensure that the claimant portfolio is compliant with [ESF](#) requirements and must display the ESF logo on the cover.
- 6.12 You should include any additional information, products, certificates, covering letters, relevant emails they feel may help the claimant market themselves to prospective employers.
- 6.13 **Please Note:** The claimant portfolio is to be delivered to the claimant when they complete Supervised Jobsearch and you must retain evidence of doing so. You must also ensure a copy of the information included in the claimant portfolio is retained with the individual claimant record.

The Curriculum Vitae (CV)

- 6.14 You or your subcontractors must coach, help update, review, and support the claimant and improve their CVs and ensure that this is:
- Up to date (rewritten if required);
 - Claimants should have a stock of these (paper copies and electronic);
 - Relevant and positive, emphasising their achievements, strengths, and successes;
 - Tailored effectively to vacancies applied for; and
 - Robust and individually tailored.
- 6.15 There is no set format. However, you must ensure they include at least the following information:
- **Claimant contact details:** name, address, phone number, e-mail address;
 - **A personal profile:** a short succinct statement or bullet points at the beginning of the CV to sell the claimant, their skills, experience and personal qualities;
 - **The claimant's career history:** if any are known including dates with the most recent detailed first;
 - **Qualifications, training and skills:** including any qualifications and training from previous jobs with the most recent first and include any qualifications from school/ college/ university, certifications, licenses, etc; and
 - **Achievements:** information regarding claimant's past successes, including in past jobs, which could be relevant to the type of work the claimant is applying for or demonstrate desirable characteristics (e.g. ambition, dedication).
- 6.16 Optional but may be of benefit:

- **Interests:** hobbies and leisure activities that highlight responsibilities, skills and behaviours that may be relevant and attractive to prospective employers.

6.17 You must ensure that the claimant has both a hard copy and an electronic copy for example on the electronic storage device (USB memory stick) issued on the first day of attendance.

6.18 CVs must not contain:

- Passport number;
- NINO;
- Bank details; or
- Date of birth.

Provider Reference

6.19 The provider reference must be an overview of the positive aspects of the claimant's attendance whilst on Supervised Jobsearch including behaviours, performance, attention to detail and enthusiasm. It should also detail any work-related skills the claimant has demonstrated, all areas in which the claimant has developed and how they have done so.

6.20 We are not prescriptive regarding the format of the claimant provider reference, however in addition to the above requirements providers should consider:

- Business letter format e.g. address the reference "To whom it may concern;
- Starting with a brief introduction e.g. a brief sentence or two explaining the provider's position;
- Wherever possible and appropriate the claimant's desired employment sector and/or occupation type, and local labour market;
- Use plain English;
- Close the reference on a positive note, and if you are willing to receive further correspondence about prospective job applications, make this clear (including contact details where appropriate); and
- Ending "Yours faithfully".

6.21 Within the reference, the provider must avoid:

Mentioning any weaknesses the candidate has (this where appropriate can be covered in the exit feedback);

- Saying anything that could be construed as libel;
- Writing in an informal manner;
- Including personal information not relevant to the application; and
- Spelling or typing errors and avoid use of jargon: this reference is hugely important to the claimant, and providers should take care to make it look professional.

Section 7 – Evidence Requirements and ESF

This section covers:

- [Evidence Requirements](#)
- [Electronic Signatures and records](#)
- [European Social Fund](#)
- [ESF requirements for Marketing and Publicity](#)
- [Cross Cutting Themes for ESF Provision](#)
- [ESF Documentation Retention Requirements](#)
- [Evaluation and Reporting](#)

Evidence Requirements

- 7.1 You must keep evidence that can support delivery of the provision as specified within this provider guidance document.
- 7.2 You must keep key documentation about the delivery of provision. It is the Prime Provider's responsibility to ensure that documents and data can be relied on. You must have robust systems in place to ensure that documentation (paper or electronic) is securely held and are easily accessible.
- 7.3 **Please Note:** that this is generic guidance for supervised Jobsearch. You must ensure that any notifications, letters or forms issued to the claimant display the ESF logo.
- 7.4 This section gives an overview of the documentation that must be retained as a minimum. **Please Note:** In England only, to meet audit requirements for ESF this evidence must be retained until at least 31st December 2023.

Electronic Signatures and records

- 7.5 Electronic signatures and records are acceptable and you must observe the requirements set out in Electronic Signatures Regulations 2002. It is your responsibility to meet the minimum requirements for evidence and that these need to be sufficient for audit purposes (e.g. ESF).
- 7.6 DWP are not prescriptive on how you meet the minimum requirements. It is your responsibility to establish adequate procedures that will ensure the completeness, accuracy and security of data for electronic records. You must be able to demonstrate that the procedures are operating satisfactorily, if required to do so.
- 7.7 **Please Note:** In England only, to meet audit requirements for ESF, where you keep electronic records you must ensure that the systems you use can be accessed at any time up to 31st December 2023. DWP will need assurance from you that this requirement can be met.
- 7.8 **Please Note:** DWP and the National Archives recommend that electronically held data is migrated onto new formats every 5 years to ensure the data remains readable and usable.

European Social Fund

7.9 It is your responsibility to adhere to all ESF requirements and to ensure your subcontractors do the same. You are accountable for the ESF compliance of your contract. In addition to this annex further details and requirements can be found in the [ESF Guidance](#)

ESF requirements for Marketing and Publicity

7.10 You are responsible for complying with contractual requirements for publicity and information-related measures to support ESF, including complying with the publicity requirements of the European Commission.

7.11 You must include the costs of producing publicity material in your tenders.

7.12 DWP will work with you on the information that your material needs to cover to ensure the relevant DWP and ESF standards are met. DWP must approve all publicity material before publication or use.

7.13 You must ensure your subcontractors:

- Displays an ESF 2007-2013 plaque (or equivalent specified by DWP) in their main delivery locations in a prominent place, where it is clearly visible to staff, individuals and wherever possible, others using the building;
- Use the ESF logo on, all documents providers use to support the delivery of Supervised Jobsearch, provider websites and leaflets, forms and letters. Further details can be found in the [ESF Guidance](#) (you should regularly check and review this guidance);
- If you or your subcontractors are delivering provision in London, you must also use the Mayor of London logo. Providers will also be asked to enter and maintain details of the provision in the forthcoming directory of ESF Skills and Employment Services for London;
- Remind claimants in England of the ESF financial support throughout their activity;
- Provide the Provider with provision details for inclusion in the ESF public databases;
- Provide DWP with 'Good News' stories, including collecting the relevant information and obtaining individuals permissions for use by DWP in publicising on the ESF website; and
- Issue individuals when they start ESF activity with an ESF leaflet DWPF06 - which explains ESF funding.

7.14 The ESF Managing Authority will maintain a database of contracts on the national ESF website. This will include the names of projects, project Providers and the amount of funding allocated to the project. This will be generated from information supplied by the DWP CFO to the Managing Authority. It may also be used on the European Commission's website. The ESF Managing Authority also publish a communications plan which includes information about the role of Providers in helping to raise awareness of ESF support for employment provision among both ESF individuals and the wider general public.

Cross Cutting Themes for ESF Provision

- 7.15 You and your subcontractors are required to take action to support ESF cross cutting themes of Gender Equality and Equal Opportunities and Sustainable Development.
- 7.16 You must fully understand the requirements and the following are some key activities that you and your subcontractors are required to do:
- Maintain an equality policy, training plans and supplier diversity plan;
 - Ensure that a discrimination complaints procedure is in place. Grievance Policy guidance can be found in [Chapter 2 of Generic Provider Guidance](#);
 - Ensure an equal opportunities policy is in place for claimants and staff including any key workers;
 - Ensure buildings including outreach centres comply with the [Equality Act 2010](#);
 - Support and be involved in equality impact assessments undertaken by the Department; and
 - Ensure a sustainable development policy and implementation plan is in place which must be submitted to the ESF Performance Manager within 6 months of the contract starting and annually thereafter. Guidance on the requirements for sustainable development can be found in Provider Guidance.

ESF Documentation Retention Requirements

- 7.17 You must keep key documentation in support of the delivery of and payments for ESF provision. It is the Prime Provider's responsibility to ensure that documents and data can be relied on for ESF audit purposes. You must have robust systems in place across your subcontractors to ensure that documentation (paper or electronic) is securely held and is easily retrievable and accessible throughout the retention period.
- 7.18 You are required to retain all relevant documentation until at least 31st December 2023. This must cover:
- A complete audit trail of all relevant documents at all stages of the process (e.g. participant and claim-related documentation);
 - Documentation down to individual level against a specific contract number to provide evidence of payments claimed from DWP – a key EU audit requirement; and
 - Evidence to show compliance with ESF publicity requirements, sustainable development, equality, diversity and equal opportunities.

7.19 Documentation must be:

- Properly organised (it is recommended that all the required information for an individual participant is held on a personal file linked to a contract number, which is cross-referenced to a main file to aid retrieval of specific documents to support audit activity);
- Maintained in good condition to protect the integrity of the information; and,

- Secure, controlled and easy to access if and when required for audit purposes throughout the retention period.

7.20 A document retention policy must be in place and submitted to DWP within four weeks of the contract start. This must include details on how the policy will be implemented, maintained and monitored by the Prime Provider.

7.21 The Prime Provider (including their subcontractors) can be audited by DWP Internal Auditors, ESF Audit Authority, the European Court of Auditors or the European Commission and the DWP ESF Managing Authority.

7.22 Further details on ESF documentation requirements including electronic document retention are included in the generic Provider Guidance.

Evaluation and Reporting

7.23 Independent evaluation will be an important element of the ESF provision and you will be asked to cooperate in a range of evaluations, commissioned by the DWP ESF Managing Authority and the DWP CFO.

7.24 As part of the evaluation work, researchers may wish to visit, observe and interview you and your subcontractors, participants and facilitators involved in the Supervised Jobsearch. You may be asked to provide the relevant contact details and in order to facilitate this process you should notify claimants in advance of the possibility that they will be contacted directly by researchers.

7.25 Advance notice will be given to you where your cooperation is required.

7.26 An external evaluation report will be produced covering details of the support provided; claimant experiences; and an assessment of whether the pilots were designed in the most effective way and how they might be improved.

This guidance was archived on 22 June 2015

Section 8 – Additional Information

This section covers:

- [Additional Information](#)
- [Fraud Prevention](#)
- [Data Protection](#)
- [Legislation and Principal Regulations](#)
- [Diversity and Equality](#)
- [Accident reporting](#)
- [Quality](#)
- [Flexible Support Fund \(FSF\)](#)

Additional Information

Fraud Prevention

- 8.1 If you suspect that a claimant is committing fraud you should follow the procedures outlined via the National Fraud Hotline: <https://www.gov.uk/report-benefit-fraud>.

Data Protection

- 8.2 In order to protect Departmental information appropriately, you must put into effect and maintain the security measures and safeguards appropriate to the nature and use of the information throughout your subcontractors. All providers of services to DWP must comply, and be able to demonstrate compliance, with the Department's relevant policies and standards. The Standards are based on and follow the same format as International Standard 27001, but with specific reference to the Department's use. Departmental information must not be processed outside the United Kingdom without the express written permission of DWP in line with the DWP Security Policy for Contractors and DWP Terms & Conditions.
- 8.3 Security assurance for you and your subcontractors is through completing a draft security plan. You will have submitted a draft security plan as part of your response to this competition and are expected to maintain this. This will set out the security measures to be implemented and maintained by the prime provider throughout the entire supply chain in relation to all aspects of the service, including processes associated with delivery.
- 8.4 Data security is one of the areas risk assessed by the (CEP) Provider Assurance Team. In addition data security will remain subject to spot checks by the Supply Chain Information Assurance Team (SCIAT). Furthermore, the Head of Compliance will continue to regularly report the number and outcomes of data security checks carried out during the previous quarter to the DWP Permanent Secretary.
- 8.5 In the event of any breach of information security which may or may not result in an investigation by the Information Commissioner's Office (ICO), DWP will consider whether a major breach of contract has occurred within the T&Cs. You will be

responsible for paying any fine levied on DWP following an investigation by the ICO in relation to a provider breach.

Legislation and Principal Regulations

- 8.6 You must ensure that you and your subcontractors remain compliant with current and future changes in the law and DWP Policy. For example:
- Ensuring the SJP supports the DWP's Public Sector Equality Duty as outlined in the [Equality Act 2010](#);
 - Providing appropriate services to ensure compatibility with the [Equality Act 2010](#) for example, to enable communication with claimants who do not speak English as a first language or who are deaf, hearing impaired or have a speech impediment; and
 - Where you are operating in an area with a high ethnic minority population, materials in the appropriate ethnic minority language must be made available on request.

Diversity and Equality

- 8.7 The [Equality Act 2010](#) replaces all previous legislation covering discrimination. You must ensure that you and your subcontractors comply with the [Equality Act 2010](#) and also comply with and assist DWP to comply with the Welsh Language Act 1993 and other measures to promote the use of the Welsh language in Wales.
- 8.8 As you will be aware, your approach to diversity and equality is an important factor in the delivery of a DWP contract. You should refer to the Diversity and Equality Schedule in the contract documentation you have and raise any queries and issues with your performance manager.

Accident reporting

- 8.9 All relevant accidents and incidents should be reported to your JCP contact. In addition to your normal arrangements for managing and reporting accidents which may involve claimants on your own provision or with your subcontractors that you have organised, you must also notify your Performance Manager immediately by telephone of any relevant accident. For further information regarding Accident Reporting please see [Chapter 2 of Generic Provider Guidance](#).

Quality

- 8.10 It is important all organisations responsible for the delivery of DWP Contracted Employment Provision are committed to raising standards. The primary responsibility for improving the quality of provision rests with you, and you will be expected to build and maintain a culture of continuous improvement.

- 8.11 The key elements of the DWP approach to quality improvement are:

- [Generic Guidance Chapter 7 - Continuous Self-Assessment](#)
- [Generic Guidance Chapter 7 - Planning for Improvement](#)
- [The Merlin Standard](#)

8.12 This provides the basis of our approach to maintaining and improving quality in DWP Contracted Employment Provision.

Flexible Support Fund (FSF)

8.13 JCP operate a Flexible Support Fund (FSF) managed locally by District Managers. FSF support cannot be accessed by Supervised Jobsearch claimants.

8.14 You must ensure you provide support required by claimants to attend and participate fully in provision (e.g. clothing and specialist equipment, adaptations and aids etc). Please see [Section 2](#) for further information regarding Additional Support.

Business Continuity Arrangements

8.15 You will need to ensure that sufficient arrangements are in place to manage service delivery during any periods of disruption. This may include:

- Loss of People -.e.g. due to severe weather, transport difficulties or illness;
- Loss of Premises - loss of utilities, fire, flood etc; and
- Loss of IT and / or communication channels.

8.16 You should have in place Business Continuity and Disaster Recover plans for all services delivered and regularly test arrangements to ensure they are fit for purpose.

8.17 Plans should include:

- An agreed process to notify customers of any disruption and the action they will need to take;
- How priority services will be delivered in the event of Loss of People, Premises or IT; and
- A process to notify DWP of all disruptions / incidents.

8.18 A copy of the Business Continuity plan should be made available to the DWP if requested.

This guidance was archived on 22 June 2015

Section 9 – Performance and Account Management, Assurance, and Evaluation

This section covers:

- [Performance Management and Account Management:](#)
 - [Minimum Service Levels](#)
- [Assurance:](#)
 - [European Social Fund \(ESF\) Compliance Monitoring](#)
 - [Contracted Employment Programmes \(CEP\) Provider Assurance Team](#)
- [Pilot Evaluation](#)

Performance Management and Account Management

- 9.1 Supervised Jobsearch contracts are managed by Account Managers and Performance Managers. Provider performance will be based on an assessment of performance priority which considers a range of factors including contract value, compliance with the contract, performance and security.
- 9.2 You are responsible for managing the contract, including addressing poor performance, arrangements within your supply chain and also the performance of your sub-contractors. You must ensure that all systems and processes used for the monitoring and recording of performance are robust, provide a clear audit trail of evidence, and give confidence to DWP that you and your subcontractors are delivering Supervised Jobsearch in accordance with your overall contractual obligations.
- 9.3 You must appoint appropriate named contacts who will work with the DWP Account Manager and Performance Managers to ensure that Supervised Jobsearch is delivered as specified in the contract and that required standards and performance levels are met.
- 9.4 DWP Performance Managers will hold regular Contract Performance Review (CPR) meetings with you which will focus on achieving contractual performance and service targets and improving performance and delivery in line with the Contract. Staff representing JCP districts and Benefit Centres may also attend these meetings.
- 9.5 DWP will, in the main, use MI presented by PRaP and from assurance activities for the ongoing management of the provision and for discussion with you. However, you must ensure that any data you or your subcontractors hold for each claimant and evidence to support the Supervised Jobsearch activities (including weekly attendance records endorsed by claimant and your subcontractors) is also available on request.
- 9.6 As DWP is committed to transparency on how its programmes are working, you need to be aware that MI may also feed into published Official Statistics on Supervised Jobsearch. Consequently you must treat information they have access to as restricted, and for your use only, ahead of formal publication. Official Statistics may also cover performance expectations at provider level.

Minimum Service Levels

- 9.7 You are required to actively manage provision to ensure appropriate action takes place and is evidenced within prescribed timescales and quality required. The measures to

identify that timely access to provision, appropriate communication channels and robust processes are in place.

- 9.8 In Supervised Jobsearch pilot areas only it is your responsibility to adhere to all ESF requirements, including the retention of relevant evidence documentation until at least the end of 2023, and to ensure your subcontractors do the same. You are ultimately accountable for the ESF compliance of their contract. Further information can be found in [Section 7](#) and in the [ESF Guidance](#).
- 9.9 Further information within the Minimum Service Levels are at [Annex K](#).

Assurance

European Social Fund (ESF) Compliance Monitoring

- 9.10 In Supervised Jobsearch pilot areas only, Compliance Monitoring Officers (CMOs) will perform regular evidence based checks to ensure that you adhere to the delivery models set out in your contracts. CMOs will also check that the ESF Regulatory Requirements, in terms of Marketing & Publicity, Sustainable Development; Equality & Diversity; Document Retention and Health (in London only) are being adhered to. Further information regarding ESF can be found in [Section 7](#) and [Chapter 11 of the Generic Provider Guide](#).
- 9.11 The CMOs monitoring visits include checking the evidence held in the samples of participant records on eligibility and on Supervised Jobsearch activity and payment for these individuals supported by you (the Prime Provider) and your subcontractors.
- 9.12 All issues arising from CMO monitoring visits are reported to the Performance Management Team, Account Manager and Provider Assurance Team.
- 9.13 Contract review meetings with DWP Performance Managers will include discussions around compliance issues identified by CMOs.

Contracted Employment Programmes (CEP) Provider Assurance Team

- 9.14 The Contracted Employment Programmes (CEP) Provider Assurance Team provides the DWP with an assurance that:

- Payments made to DWP Contracted Employment Programme Providers are in accordance with DWP and Treasury requirements;
- Public funds and DWP data are protected; and,
- Value for money has been obtained.

- 9.15 This work is carried out by reviewing your internal control systems to assess your ability to manage risk across four key areas:

- **Governance Arrangements** – covering your governance arrangements, systems for tracking and reporting performance and their anti-fraud measures;
- **Service Delivery** – includes your systems for starting, ending and moving claimants through provision and generally looks to ensure that DWP is getting the service it is paying for. This section also covers management of subcontractors;

- **Financial Procedures** – looks to ensure you have in place effective systems to support your claims for payment, including appropriate segregation of duties; and
- **Data Security** – looks to ensure you have in place adequate systems to safeguard DWP data whilst it is being stored and/or transmitted around your organisations.

- 9.16 The CEP Provider Assurance Team operate at a national level enabling them to present CEP providers operating across regions with a single view of the effectiveness of their systems – you will have a nominated Senior Provider Assurance Manager and therefore a single point of contact within DWP for management of assurance related issues/concerns.
- 9.17 On completion of each review, you are awarded an assurance rating from the following four categories – weak, limited, reasonable and strong. You will also receive a formal report detailing the review findings including key strengths and areas for improvement; where weaknesses have been identified you are asked to complete an action plan setting out appropriate steps for improvement and this is followed up at an agreed point.
- 9.18 The rating awarded will determine the timescale for subsequent visits (dependant on resources) and this ranges from within 3 months, where the assurance level is weak up to 12-18 months where the assurance level is strong.
- 9.19 Findings from each review are routinely reported to the relevant performance manager/account manager and other DWP stakeholders. Specific action will be taken where:
- 9.20 You fail to improve on a weak or limited assurance level, the account manager will take remedial action which may lead to breach activities if you fail to improve.
- 9.21 There are suspicions that you may be acting inappropriately, the team will refer you to Internal Investigations who are the experts trained in the legalities and techniques required to do formal investigations.
- 9.22 There are serious concerns around data security, these are reported through the respective channels to colleagues in Supply Chain Information Assurance Team.
- 9.23 The results of any investigations carried out by these teams will be fed back to the Provider Assurance Team and this information will be used to inform future reviews and to target specific areas for testing.
- 9.24 The Provider Assurance Team will work with you to ensure that you understand what is expected and are, therefore, adequately equipped to develop robust systems to support your service delivery model throughout the duration of the contract (for further information please see [Chapter 6 of the Generic Provider Guide](#)).

Pilot Evaluation

- 9.25 Independent evaluation will be an important element of the ESF provision and you will be asked to cooperate in a range of evaluations. Advance notice will be given to you where your cooperation is required.

9.26 As part of the evaluation work, researchers may wish to visit, observe and interview you and your subcontractors, participants and facilitators involved in the Supervised Jobsearch. You may be asked to provide the relevant contact details and in order to facilitate this process you should notify claimants in advance of the possibility that they will be contacted directly by researchers.

9.27 Evaluation leads will gather informed consent from any claimants involved in the evaluation. Whilst we would like claimants to participate, there is absolutely no obligation for them to do so, and any participation (or non-participation) will have no bearing on the support given to them as part of the SJP programme.

9.28 The evaluation will measure the outcomes of both pilots. Evaluation methods may include qualitative and quantitative research with claimants, your staff, your subcontractor's staff and JCP staff. This may involve observation and on-site interviews. This research will gather evidence on a wide range of topics which will entail:

- Details of the support;
- Delivery challenges;
- The experience of staff delivering Supervised Jobsearch;
- The experience of claimants whilst on the Supervised Jobsearch pilots;
- Any WP starters that have previously participated in the pre WP Supervised Jobsearch pilot;
- Claimants' perception of their increased jobsearch skills, job application skills and interview skills;
- Claimants' perception of their readiness for work;
- In addition to the claimants research, we may ask claimants to complete self-assessment pro-formas prior to referral and at the end of the Supervised Jobsearch;
- Analysis of benefit of flow; and
- Analysis of job entry data measured by Her Majesty's Revenue and Customs (HMRC) data and the quantitative surveys.

This guidance was archived on 22 June 2015