

Withdrawn

This publication has been withdrawn.

It is no longer current.



DWP Provider Guidance Chapter 6

ESF Support for Families with Multiple Problems (England)

Chapter 6 – Progress Measures

This chapter explains Progress Measures and sets out the process for agreeing changes to existing Progress Measures and adding new ones.

An Introduction to Progress Measures	1
Developing and Drafting Progress Measures.....	3
Process to Agree Progress Measures	5
Progress Measure Assessment Panel (PMAP) Arrangements.....	6
Assessment Criteria.....	6
PMAP1.....	8

An Introduction to Progress Measures

1. Progress Measures are substantial interventions designed to address an individual's or family's most significant barriers to work and/or address the difficulties that families with multiple problems face and which prevent them moving towards or into work.

2. As DWP, through this contract, want you to help families with multiple problems, Progress Measures should be designed to address the many issues and difficulties that families face as a whole and individually. As these issues vary by locality and labour market, and in order for Progress Measures be effective, they should reflect local needs and be substantial both in terms of time and application.

3. Once agreed with a participant Progress Measures must form part of their individual Action Plan. The customer Action Plan and Action Plan Reviews should support the Progress Measures the participant is undertaking. The Action Plan should detail why the Progress Measure was selected, evidence of completion to support the Progress Measure payment, development/progress towards the Progress Measure and any information relating to changes in chosen Progress Measures due to the participants individual circumstances.

4. You should therefore liaise with Local Authorities (LA), strategic and local partners to develop Progress Measures that are suitable for individuals and families within your Contract Package Area (CPA) and take into account existing DWP and other

programmes and local arrangements to ensure that alignment of the ESF Families provision and LA support are appropriate for the CPA.

5. Progress Measures vary by provider and are designed to provide added value locally but broadly fall into the following four categories:

- **Interventions to Overcome Family Related Barriers** (this might include support for effective parenting, providing positive role models/peer support, engaging with family stakeholders for example schools and Jobcentre Plus (JCP) and support for needs related to children, where these needs are a barrier to an individual finding work etc).
- **Reducing Social and Economic Isolation** (this might include addressing debt and money management, increasing knowledge of the labour market, confidence in dealing with support agencies etc).
- **Interventions to Tackle Work-Related Barriers** (this might include developing vocational skills, work related certification and courses, volunteering, involvement in social enterprises, work experience, improved information technology experience / knowledge, self-employment etc).
- **Addressing Health- and Housing-Related Barriers** (this might include participation in a substance rehabilitation programme, active and constructive engagement with health promotion services, permanent accommodation etc).

6. When assessing Progress Measures, Performance Managers (PM) will look at how you have demonstrated your awareness of local issues and your knowledge of the problems faced by the families in your area, as well as your provision capability to address these problems appropriately. The rationale for proposed Progress Measures will be assessed on a number of key criteria as detailed in [Assessment Criteria](#) and also the following:

- a knowledge and understanding of the needs of local families with multiple problems;
- a demonstration that the proposed measures meet individual/family needs;
- the proposed content, approach and underlying rationale;
- a demonstration that effective LA engagement has been undertaken and good partnerships are in place;
- that there is an understanding of, and evidence to support, a wider family approach; and
- That the service offer complements and adds value to the Work Programme and other local services.

7. DWP expects Progress Measures to be substantial both in terms of time and application, with robust evidence retained to substantiate the Progress Measure. When assessing Progress Measures we will consider if you have detailed the evidence required supporting the Progress Measure and if you have considered the following:

- a) All Progress Measures must be set out in an agreed Action Plan.
- b) The evidence must be comprehensive enough to meet stringent ESF audit requirements and must demonstrate the individual's continued and/or significant

involvement in the Progress Measure. This may require more than one source of evidence.

- c) Where evidence is provided directly it must be authorised at an appropriate level and be independent (e.g. if the supply chain delivers the provision, then they should provide evidence, such as a certificate of completion); and the evidence must be for each individual and support each individual Progress Measure achieved.
- d) At the same time we recommend that when designing your arrangements to retain evidence you consider the requirements and linked together for each individual e.g. through the Action Plan or participant file. (This is especially important where several suppliers or advisers are working with the individual).

Developing and Drafting Progress Measures

8. During the life of the contract providers have the opportunity to amend existing or submit new Progress Measures based on your experiences of working with families and delivering Progress Measures to participants. New and amended Progress Measures must demonstrate that they relate to issues and barriers faced by families/individuals in their area and must be:

- tangible and specific;
- give the rationale for proposing or changing these measures;
- demonstrate how you intend to evidence each Progress Measure you have proposed; and
- where evidence is provided directly by your organisation it must be authorised at an appropriate level.

9. Local delivery partners and Local Authorities should be included in the identification of new and amended Progress Measures; this will ensure all identified help is needed within the CPA is captured and relevant.

10. When drafting any new or amended Progress Measures you should ensure the Progress Measure states clearly what is being proposed; demonstrates added value where there is a referral to existing local provision; and explains in detail what activities will be undertaken by participants, how the Progress Measure will be delivered and how it will be evidenced, together with confirmation that the Progress Measure is not being offered by any other route within your CPA.

11. All Progress Measures must be submitted using form [PMAP1](#) which can be found below. All of your new/amended/resubmitted Progress Measures should be submitted in one word document, in numerical order and **NOT** in a Winzip file.

Please Note: If Progress Measures are not received by the ESF Policy Team in the format specified they will not go forward to [Progress Measures Approval Panel \(PMAP\)](#) and will be returned to you via your PM.

12. Progress Measures must be additional to and not replicate the minimum support requirements listed in [Chapter 5](#) and they must be tangible, specific and reliably evidenced.

13. When developing and drafting your Progress Measures it is important to remember the following:

- a) **Innovation** - innovative approaches in developing Progress Measures are welcome and it is expected that your Progress Measures will demonstrate that you are aware of the specific problems, issues and barriers faced by families in your area.
- b) **Rationale** – DWP need to understand why a Progress Measure is required and what the benefits of the Progress Measure will be. You should explain what consultations have been undertaken and detail geographical coverage to appropriately reflect the needs of the area.
- c) **Description** – It is important to be specific when detailing the activities that will need to be undertaken to complete a Progress Measure. You should make reference to all the activities that the participant will need to undertake to progress towards work and describe the types and level of service that an individual/ family should expect, including outreach and/or key workers where appropriate and the fit with LA support. Where appropriate, Progress Measures should provide flexibility to fit the need of individual participants and families.
- d) **Local requirements** - DWP need to see how you have demonstrated your awareness of local issues and knowledge of the problems faced by the individual group in their area as well as their capability to address these problems appropriately. It is important that the Progress Measure is described in the context of your delivery model in the CPA.
- e) **Quantifying Progress Measures** - Your programme of tailored/flexible Progress Measures will be substantial both in terms of time and application, you will need to detail timings and reflect the length of time the Progress Measure will require to complete. Some Progress Measures contain a series of detailed activities and a commitment to undertaking a minimum of these activities while others require attendance at a recognised course which requires a commitment to attend for a set number of sessions over a period of weeks. However, DWP do recognise that not everyone requires exactly the same amount of support with some requiring intensive, longer term support and others only a minimum of support and, by allowing this flexibility, you can identify the exact activities and develop a bespoke course for each individual to undertake to complete the Progress Measure.
- f) **Benefits** – Each Progress Measure must detail the benefit of that Progress Measure to the individual and/or family. This should include a description of how the Progress Measure relates to improving employability and moving towards the labour market.
- g) **Evidence** - Must be robust and retained to substantiate the Progress Measures relevance and achievement. All Progress Measures must be set out in the participant's agreed Action Plan, the evidence must be comprehensive enough to meet stringent ESF audit requirements and must demonstrate the individual's continued and/or significant involvement in the Progress Measure. Where evidence is provided directly by your organisation it must be authorised at an appropriate level;

- h) Where appropriate, evidence should be independent (e.g. if the supply chain delivers the provision, then they should provide evidence, such as a certificate of completion)
- i) All Progress Measure evidence must be retained in line with ESF requirements on document retention. Evidence should be as simple as possible but be sufficient to show that the Progress Measure has been delivered and supports the payment claim.
- j) **Delivery** - When describing the delivery of the process measure you need to make clear if the Progress Measure will be delivered by you as the provider, your supply chain or if it would be existing local provision (i.e. not funded by the ESF provision) available locally. Where there is a referral or signposting to existing provision you will need to show the added value that you will provide to the participant to enhance and embed the Progress Measure to ensure that they achieve it.

Process to Agree Progress Measures

14. Once drafted and formatted on the correct form you should email your new, resubmitted and amended Progress Measures to your PM by the agreed date. Your PM will then undertake an initial assessment of your proposed Progress Measures. The [Assessment Criteria](#) that will be used by your PM are included for your reference below.

15. Once the initial assessment is complete your PM will decide if your Progress Measures are ready to be submitted for consideration at Progress Measures Approval Panel (PMAP) or if more work is required on the detail within your Progress Measures. If appropriate the PM will also discuss their assessment with their Senior Performance Manager (SPM).

16. If more information and detail is required before your Progress Measures are ready for consideration by PMAP, your PM and/or SPM will discuss where and what additional information and detail is required within your Progress Measure and ask you to make the necessary amendments before you resubmit them to your PM.

17. When your PM considers that your Progress Measures are ready they will send your proposed Progress Measures to the ESF Policy Team, who will organise a PMAP where your proposed Progress Measures will be discussed.

18. PMAP will make a decision on each individual Progress Measure. Progress Measures will be marked either:

- Approve – ready for inclusion within a contract variation and for use by providers
- Resubmit – more detail and information required before it is ready to use and include within a contract variation
- Reject – does not meet the requirements for a Progress Measure and should not be submitted for PMAP consideration again.

19. Detailed feedback will be provided to you for those Progress Measures marked Resubmit/Reject to ensure that you are aware of why the PMAP decision was made and the additional information and detail that is required.

20. Where you have the option to resubmit you should make the necessary amendments to provide PMAP with the detail and information required to enable them to reconsider your Progress Measures. Your amended Progress Measures should be returned to your PM, who will forward them to the ESF Policy Team who will arrange a further PMAP where your amended Progress Measures will be reconsidered.

21. Once your Progress Measures have been approved by PMAP and are ready for use and inclusion in a contract variation, the contract variation will be drafted and issued by your Account Manager. Each version of Progress Measures that are approved will be allocated a version control number for post payment validation and audit purposes. The contract variation start date will be the date that your Progress Measures are approved by PMAP and the Progress Measures detailed will be published here <http://www.dwp.gov.uk/supplying-dwp/what-we-buy/welfare-to-work-services/european-social-fund/support-for-families/current-progress.shtml>, once you have signed and returned your contract variation.

Progress Measures Approval Panel (PMAP) Arrangements

22. PMAP is the approving body for managing Provider proposed Progress Measures (PM) for Work Programmes Division (WPD).

23. PMAP is chaired by the ESF Provision Team within Work Programmes Division and will include membership from across Work Programmes Division including the ESF Policy, Performance Management and Account Management teams.

24. The panel will provide the assurance that decisions taken are in line with the Policy intent.

25. As PMAP is a decision making body, members will be empowered to make decisions for their area of responsibility.

26. To facilitate decision making there must be a minimum of 3 attendees at any PMAP, and there needs to be a WPD Policy Lead and Account Management representative at every PMAP.

27. The PMAP responsibilities will be to:

- Act as the decision making body for agreeing Provider proposed PMs and amendment to existing PMs;
- Discuss and assess Providers' proposed PMs in relation to the agreed [Assessment Criteria](#) below;
- Where relevant, provide a written or verbal steer to Providers by identifying gaps in proposals or where additional evidencing information is required;

Assessment Criteria

27. Progress Measures should be evaluated on the substance and quality of the measures offered, and ensuring they do not offer activities already required under the minimum service requirements. The viability of a proposed Progress Measure should be assessed on a number of key criteria as follows:

Is it a Progress Measure?

- Is the PM demonstrably over-and-above the minimum requirements (i.e. is it substantial)?
- Does it have a clear outcome (i.e. is it tangible and specific)?
- Is it achievable in 12 months?

If so, is the Progress Measure acceptable?

- Does it address what we would consider a significant barrier to work?
- Does it fit with the policy intent of the programme?
- Would it potentially bring with it a risk to the Provider's and/or the Department's reputation?
- Does the rationale justify the value of the PM?
- Does the PM clearly show what the individual would need to do to achieve the PM?
- Does it demonstrate an understanding of the wider family approach?
- Does it demonstrate an awareness of local issues?
- Have they demonstrated that good partnerships are in place to be able to deliver effectively?
- Would this add value to WP and other existing services?
- Can it be tailored to the requirements of an individual?

If so, is the evidence acceptable?

- Is the proposed evidence auditable? i.e. Will the information directly relate to the individual's participation in and/or achievement of the PM?
- Will the evidence clearly identify the individual it relates to by including their name, date of birth or national insurance number?
- Will the evidence confirm when each PM was undertaken/achieved?
- If the PM is to be achieved via an independent organisation, including Supply Chain/Employer, will appropriate 'objective' evidence be submitted?
- If the Provider delivers in-house, will the evidence be authorised at an appropriate, separate, level?
- Will the evidence directly relate to the individual's participation in and/or achievement of the PM?

PMAP1

ESF Progress Measures PMAP1 – **Please insert Provider name and CPA number**

Rationale of Progress Measure

Please provide information on why this Progress Measure is required within the CPA and how this fits with your delivery model.

Is this a New, Amended or Resubmitted Progress Measure?

Please add if this is a New, Amended or Resubmitted Progress Measure. If amended or resubmitted please provide the PM reference number.

Proposed Progress Measure

Progress Measure (PM) Ref No. and Category	Title and Full Description of Progress Measure (Include for example, what the PM involves, duration, what is expected of Participant, are multiple events planned or one-off event.)	How will the PM benefit attached ESF Participant?	Describe the robust evidence retained to substantiate that the PM has been completed	Who will deliver PM? If not the Prime Contractor (your organisation) is the supplier from your supply chain? Or is this a referral to existing provision, if so where is the added value?

Consultations Undertaken

Including Local Authority and/or delivery partner discussions.

Performance Manager Initial Assessment and Comments

PMAP Decision (✓)

Accepted (in principle)

Resubmit

Reject

Reason for PMAP decision and feedback