

Withdrawn

This publication has been withdrawn.

It is no longer current.

European Social Fund Provider Memo

To: All ESF Families Provision Providers

From: DWP Change, Policy and Planning Division

All ESF Senior Performance Managers
All ESF Performance Managers
John Tiplady / Mike Jones
Central Performance Team

Memo Serial Number: LR 43

Date: 20 August 2015

Subject: ESF Families Contract Closure Activities

Action: Information and Action
Please cascade to your suppliers.

Timing: Immediate

Summary

The purpose of this memo is to inform ESF Families Providers of the final Compliance Monitoring Officer (CMO) activity associated with this provision.

Background

As you are aware the ESF Families contract has come to an end; however as part of our Contract Closure procedures DWP needs to have an assurance that each Provider's archiving systems and processes are fully operational.

As per guidance, Providers should retain files/records (either clerical or electronically) until 31 December 2022 as per your contract terms.

Action / Next Steps

As part of our Contract Closure processes, CMOs will carry out a **File & Retrieval Check**, covering all 12 ESF CPAs, to provide assurance that archiving processes are in place and that records can easily be retrieved upon request. This is also a chance for Providers to view how their own processes operate in a live test situation if they have not done so already.

It is anticipated that this work, including one visit per ESF CPA, will be carried out in October/November 2015.

Process Overview

So that Providers understand what should happen next, the File / Retrieval process is as follows:

1. The CMO will contact each ESF Families Provider to obtain your most up to date list of archived records at that point. [Contact from CMOs should be expected in September / early October].
2. The CMO will use your Archive List to randomly select 20 records which are to be retrieved from your archives.
3. The CMO will inform you which 20 records have been selected and arrange a date to attend your premises to check/view the retrieved records (the visit dates will accommodate retrieval timescales).
4. During the Provider visit the CMO will use a basic stencil to check which files have been successfully retrieved and also carry out some basic checks on File Content e.g. Action Plans, ESF14 documents.

[Note: The CMO checks will be via electronic and/or paper-based records, as per each Provider's archiving system].
5. Once the visit has ended, the CMO will compile a report summary outlining their retrieval check findings. This will be issued internally and to Providers.
6. If archiving issues have been found e.g. if DWP are not fully assured with regard to archiving processes, these will be raised internally and with yourselves.

It is anticipated that the 'CMO visit day' should take from a half to a full day depending on issues found.

Further Information and Contact Details

All enquires on the subject of this Memo should be raised with your Performance Manager in the first instance; they will endeavour to provide you with an answer as soon as possible.

Regards

Compliance Management Team