

Withdrawn

This publication has been withdrawn.

It is no longer current.



Health Care Provider Guidance for ESA Pilots 18-24 Month Prognosis Claimants

Chapter 1 General Process

Contents

What the pilot can provide	2
Initial Referral.....	2
Referral-more information	2
Action to take when referral received.....	2
Initial Assessment interview.	3
ID Checks	3
Vulnerable Participants.	4
Participant fails to attend the initial engagement interview.....	4
Decisions, Reconsiderations and Appeals.....	4
Participant fails to attend subsequent interviews	4
Provider considers that ESA participant has re-complied.	5
Follow up interviews.....	5
Excluded and Exempt Claimants.....	5
Ineligible referrals – excluded and exempt claimants	6
Duplicate Referrals.....	6
Provision Leavers.....	6
Participant completes provision - completer	6
Special Customer Records.....	7
Multi Agency Public Protection Arrangements (MAPPA) records	7
Additional Information.....	8
Payment of Interviews	8
All payments need to be claimed no later than 13 March 2015:	8
Participant returns to you after a break in the provision.	8
Change of Circumstances (COC).....	9
Participant changes address	9
Unacceptable Behaviour	10
Travel expenses	10
Childcare.....	10
Additional expenses.....	10
Additional Support.....	10
Use of Jobcentre Premises	11
Evaluation.....	11
Complaints.....	11
ESF requirements	11
Definitions.....	11
Business as usual (BAU)	11

What the pilot can provide

This pilot will test if a series of face to face interviews with a Health Care Provider (HCP) can move participants closer to, or into, work than the current Jobcentre Plus (JCP) offer. Claimants who are in the Work Related Activity Group (WRAG) and have an 18-24 month prognosis of being unable to return to employment will be mandated to attend a series of face-to-face work-focused interviews. Referrals from JCP to you will commence 25 November 2013 and will be made until 29 August 2014. The pilot will end on 26 August 2016.

It will also test whether a focus on the health of Employment and Support Allowance (ESA) claimants delivered by mandatory engagement with each of Health Care Provider, increased Jobcentre Plus Adviser resource or the Work Programme (WP) is more or less effective than Business As Usual (BAU).

Further information is provided in the [additional](#) information section.

Initial Referral

Claimants will be referred by their Jobcentre Plus Adviser to their initial assessment interview with you. At the Jobcentre Plus interview they will be given information about their rights and responsibilities. They will be issued with a claimant fact sheet outlining key facts about your provision.

Referral-more information

The JCP Adviser will refer eligible claimants to you in Labour Market Systems (LMS) and you will receive the referral via PRaP. Where special requirements are identified the Jobcentre will telephone with the claimant's contact details.

The referral should include any restrictions the claimant has on their availability and details of any additional support the claimant might need to attend the initial interview.

You must notify details of the initial interview in writing to the participant or their representative within 2 working days of the JCP referral. The referral letter will explain the mandate to the interview.

The initial appointment should be booked to be conducted within 10 working days of the original referral. The JCP Adviser will notify you if this is not feasible and give an indication of when the claimant is available for interview. You will be required to supply Management Information for the reasons the appointments bookings were held outside of the 10 day window.

Action to take when referral received

The following action needs to be taken when a referral is received:

- Accept/reject the referral via PRaP. The only circumstances where a rejection is required is if you identify that an inappropriate referral has been made;
- You should telephone the participant prior to the interview to determine any special requirements. The initial interview will be arranged at this point;

- You are required to book the first appointment to be conducted within 10 working days of receiving the PRaP referral;
- [A letter inviting the participant to attend the first mandatory face to face interview](#) must be sent to the participant within 2 days of the PRaP; referral; and
- If the initial interview cannot be held within this time frame you are required to keep management information of these appointments to supply to the JCP.

Please Note: The PRaP referral will not be available to update until the day after the referral from JCP as the information processes overnight.

Initial Assessment interview.

The purpose of the initial interview with the claimant is not to establish a clinical diagnosis. The initial assessment is to establish the support required by the participant to move them closer to, or into work. The initial assessment interview will last a minimum of 60 minutes and should include the following. This list is not exhaustive:

- Check that the participant is eligible to take part in the provision;
- Identify any additional support requirements such as childcare, travel, caring responsibilities and special adjustments;
- Develop and agree an electronically held action plan. (This will not be shared with the Jobcentre);
- Explain the standard of behaviour expected from participants;
- Assess existing skills and experience;
- Assess the level of support the participant is receiving from other sources;
- Give advice on local specialised services that can support the participant;
- Ensure participants have a clear understanding of their responsibilities and any consequence of any failure to attend and participate in all interviews;
- Date 1 and Date 2 should be recorded in PraP as the date the interview took place;
- Obtain a clerical signature from the participant that they have attended the interview; and
- Fully explain to the participant your complaints procedure and tell them about escalating their complaint via the Independent Case Examiner (ICE) process if you cannot reach a resolution. See [Chapter 2 Provider Guidance](#).

ID Checks

You must ensure that in all communications with participants 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;
- Date of birth;
- Address;
- National Insurance Number;
- Other information, such as details that were included within the original referral from Jobcentre Plus; and
- Details you hold on your records.

You must ensure that you keep all personal data secure and not share it with any unauthorised third parties.

Vulnerable Participants.

Also see [Chapter 4](#)

Every effort must be taken to contact participants before considering a Labour Market Decision Maker (LMDM) team referral. It is appropriate to make a home visit to this group. The activities taken to contact the participant should be included with any referral to the LMDM.

Participant fails to attend the initial engagement interview

If the participant fails to attend the initial engagement meeting you need not take any action on PRaP. The referral will remain open for the life span of the pilot unless the participant status changes to completer.

After considering vulnerability, including the need for a home visit, you must complete the [HCP 08](#) and send it by e-mail to the appropriate LMDM team's e-mail box on the same day the participant fails to attend. A new appointment should be booked within 1 day. It is not necessary to wait for a decision from the LMDM team before rebooking.

You are required to post a re-compliance letter to the participant. This gives details of the new appointment time and informs the participant that a decision will be made by the LMDM team on whether to sanction the participant for not attending their interview. Please refer to [Chapter 4](#).

It is important that the HCP08 is completed and sent as soon as possible, to ensure that there is a clear link in the participant's mind between failing to attend the interview and the sanction that can be applied.

Once the LMDM team has determined whether or not the participant had good cause not to attend the interview with you and, where the participant remains entitled to continue their claim to ESA, the Decision Maker will advise you and the participant of the outcome.

Where a participant has failed to attend, a further interview must be booked within 1 day of the fail to attend giving 5 working days notice to allow the participant make suitable arrangements to attend.

Decisions, Reconsiderations and Appeals

Where a participant approaches you regarding imposed benefit sanctions you should immediately direct them to ask their questions to the contact given on the decision letter they received.

If an ESA participant receives a sanction they may be eligible to claim hardship from day 1 of the sanction. The participant should be directed to the Jobcentre to make a claim.

Participant fails to attend subsequent interviews

If the participant fails to attend subsequent interviews you need not take any action on PRaP. The referral will remain open for the life span of the pilot unless the participant status changes to completer.

After considering vulnerability, including the need for a home visit, you must complete the [HCP 08](#) and send it by e-mail to the appropriate LMDM team's e-mail box on the same day the participant fails to attend. A new appointment should be booked within 1 day. It is not necessary to wait for a decision from the LMDM team before rebooking.

Provider considers that ESA participant has re-complied.

ESA participants can have a sanction lifted subject to a further fixed period sanction when they successfully re-comply through attendance at an interview or give an indication of future attendance. Further information can be found in [Chapter 4 Mandation](#).

The following is required.

Actions:

- Decide if the participant has agreed to participate in agreed interviews;
- Take action to notify the LMDM the participant has re-complied on form [HCP09](#).

Follow up interviews

You are required to complete 2 further mandatory (paid) face to face interviews, booked to be conducted within 26 weeks of original referral date. For interviews two and three, attendance must be confirmed via PraP to generate a payment. Date 1 and Date 2 should be recorded in PraP as the date the interview took place. Payment cannot be claimed without a signature of attendance.

Two further mandatory face to face interviews, (interviews four and five), are required on or around 12 and 18 months from the date of referral. No action on PRaP is required for interviews four and five as no payments are attached to these interviews. See the [letter for interviews 2 to 5](#).

The following actions are required Please note this list is not exhaustive:

Action

- Date 1 and Date 2 should be recorded in PRaP as the date the interview took place. This should be entered for all 3 paid interviews;
- Review and update the record of attendance (do not share any information with JCP);
- Update the action plan ensuring that new agreed activities are realistic and have agreed timescales for completion based on an assessment of claimant's perception of health condition and progress made;
- For mandatory interviews these should be conducted face to face except by exception. For example extreme health issues or logistics;
- Ensure that a signature of attendance is taken from the participant for audit and payment verification;
- If you are completing an intervention by any other means than face to face, arrangements to obtain a signature are required and;
- Agree the interval for the next contact and set an action to the Contact Centre to complete this.

Excluded and Exempt Claimants.

The following claimants should not be included in this pilot. A check to ensure that none are included in the interview process should be undertaken by the Contact Centre. If an individual has been identified that is exempt please contact the referring Jobcentre.

- Lone Parents with a child under one;
- Full time Carers;
- Contributions only claimants;
- Claimants who are pregnant and within 3 months of their expected date of confinement,
- Claimants in residential rehabilitation for substance misuse;

- Claimants who are currently in hospital;
- Claimants with a confirmed job start within 90 days;
- Claimants currently attending Work Choice;
- Claimants currently attending residential training for adults;
- Claimants living outside the pilot area; and
- Claimants already on the work programme

Ineligible referrals – excluded and exempt claimants

There may be a small number of claimants referred to you who later turn out not to be eligible for the pilot. Such as the participant may be a full time carer or an expectant mother.

Where the error is discovered and notified prior to acknowledgement and/or acceptance in PRaP - you are required to reject the referral in PRaP recording a rejection reason of 'Other'.

Where the error is discovered and notified after acceptance but prior to the first interview' in PRaP - you are required to cancel the referral in PRaP recording a cancellation reason of 'No Contact'.

Where the error is discovered and notified after the first interview in PRaP - You will advise the PRaP Operational Support Team (POST) via PRAP 14 who will arrange for the referral to be 'backed-out' of PRaP. POST will then email you when this action has been completed and you must then cancel the referral in PRaP within 1 working day, recording a cancellation reason of 'Did Not Start'.

Duplicate Referrals

There may be a small number of occasions where you receive a duplicate referral for a participant. If an error is discovered please advise the referring JCP.

If you receive duplicate referrals it is your responsibility to notify JCP. Any duplicate start fees that are paid will be recovered from you.

Where the error is discovered you must continue to work with the participant.

Provision Leavers

For this group of participants it is possible that their circumstances will change and they will come back into the pilots. Please see definitions for a description of participants in this category. **For this reason PRaP should remain open.**

The definition of leaver is as follows:

- Participant moves outside the pilot area;
- Participant goes into hospital;
- Participant goes into residential rehabilitation;
- Participant becomes a full time carer;
- Participant claims a different benefit;
- Participant's health gets worse and they move into the support group;
- Participant finds work; and
- Contact with the participant is lost.

Participant completes provision - completer

- A participant who has completed the full 104 weeks of the pilot;
- A participant who has left benefits for a period of time which takes them beyond 104 weeks of allotted time;

- A participant has returned to the pilot after a period of absence to complete 104 weeks ;or
- A participant who has died.

Actions

- Signpost the participant back to the Jobcentre;
- Telephone JCP to advise them the participant has completed the provision;
- Where the participant is deceased complete a change of circumstances form and forward to the referring Jobcentre;
- End the referral on PRaP by selecting the appropriate end reason e.g. customer deceased; and
- Date 1 and Date 2 should be recorded as the last day on provision.

Special Customer Records

All referrals in this participant group will be made clerically. These are cases where Special section D of Her Majesty's Revenue and Customs (HMRC) have granted the claimant 'Special Claimant Records Status' due to certain personal circumstances.

In these cases the initial contact to arrange the appointment with you will be followed by a SL2 clerical referral form. [Provider Guidance Chapter 2](#) gives instructions on what you need to do.

A Nominated Officer of management level is required to deal with these participant's records.

Actions

- No electronic records are allowed;
- All records to be kept securely;
- Nominated officer required to liaise with the Jobcentre and Benefits Delivery Centre;
- A control sheet recording access is required to be kept with the files;
- All records to be marked as restricted;
- For more information regarding how to deal with these cases please see [Provider Guidance Chapter 2](#).

Multi Agency Public Protection Arrangements (MAPPA) records

Offenders who are released into the community and MAPPA managed may have time limited restrictions placed upon them by a variety of legal requirements which may affect the type of employment and training accessible to them.

Whilst the reasons for the restrictions will be given, neither JCP, nor yourselves will be told about the offence/reason for a participant having been given MAPPA status, you will only be told of any restrictions placed on the participant by the responsible authorities; **these restrictions must be strictly adhered to.**

Electronic records are allowed but should only contain information required for the day to day running of the account.

Due to the nature of the participant's prognosis it is unlikely that any of this group referred to you will be considered for employment or training. However the requirements for dealing with this group and dealing with their records are mandatory.

Actions

- A Nominated Officer is required;
- Any clerical records to be locked away securely;
- Any change of circumstances to be sent to the Single Point Of Contact (SPOC) at the Jobcentre; and
- All records to be destroyed at the end of the pilot.

More information in background and [Provider Guidance Chapter 2](#)

Additional Information

Further flexible interviews such as telephone interviews and e-mail contact can be used by arrangement and, once agreed, will be mandatory. A letter of confirmation of the interview should be posted or handed to the participant giving 5 working days notice.

A signature of attendance is required for audit purposes for all interviews attended. If you are completing an interview by any other means than face to face, arrangements to obtain a signature are required. This can be in person or by signing a declaration of attendance retrospectively at the next face to face interview or obtained by post. You cannot claim a payment without a corresponding [signature of attendance](#).

The participant is not expected to travel more than 90 minutes each way (by public transport) to an interview location.

You are required to work with the participant for the full 2 years of the pilot unless the participant completes the provision.

Payment of Interviews

All payments need to be claimed no later than 13 March 2015:

- You will receive a fee at the point a participant has attended the initial assessment interview;
- You will receive further payments following the next two face to face interviews. All requests for payment must be made via PRaP; and
- There is no payment for the mandatory face to face interviews at 12 and 18 months.
- Please refer to Chapter 2 Financial Procedures for detail

A signature from the participant is required for all interviews and other interventions. This must be made available for audit and to comply with ESF funding audit requirements. You are required to sign and date the form next to the participant's signature following every interview and upon receipt of a postal signature. See [Chapter 11 of Provider Guidance](#).

Please note where a participant has left the HCP Pilot and then returns within the life span of the pilot you must resume working with the participant. No further payment will be made if all three payments for that participant have been made.

Participant returns to you after a break in the provision.

If the claimant leaves the pilot and then returns with the same prognosis, they would pick up the pilot at the point they left. The exception to this would be if the point of the return to the pilot would take the claimant beyond the 104 weeks of allotted time

Where a participant leaves the pilot, for example ill health, the referral will remain open on PRaP. If the participant does not return during the 104 weeks from the date of referral PraP will automatically end these as auto completers. No action is required by you.

JCP will issue a change of circumstances form to tell you that the participant's circumstances allow them to rejoin the pilot. The following actions are required:

- Arrange to meet with the participant to review their record of activities;
- Make any amendments/alterations needed;
- Arrange for them to restart any agreed activities; and
- Issue a Mandatory Interview Notice (MIN) to the participant regarding any interview you require the claimant to undertake (see [Chapter 4 Mandation](#)).

Change of Circumstances (COC)

It is the responsibility of the participant to notify JCP of any change in their circumstances that occur whilst they are participating in the pilot. Where a participant informs you of a change of circumstance, you are to direct them to report the change to JCP as soon as possible on form [HCP 07](#). On receipt of the notification of the change you should consider the impact on your engagement/support with the participant.

Failure to review a change may result in you providing inappropriate support for your participants.

Circumstances where you notify the Jobcentre Plus of a change in circumstances

In the following circumstances you are required to notify the JCP via the [HCP 07](#).

If the participant fails to attend the initial engagement meeting, you need not take any action on PRaP. The referral will remain open for the life span of the project unless the participant status changes to completer.

After considering vulnerability, including the need for a home visit you must complete the [HCP 08](#) and send it by e-mail to the appropriate LMDM team's e-mail box on the same day the participant fails to attend. A new appointment should be booked within 1 day. It is not necessary to wait for a decision from the LMDM team before rebooking.

Immediate action is required to ensure the correct benefits are paid:

- The participant's health has got worse and they have moved to the support group;
- The participant has found work;
- The participant has died; and
- The participant has been involved in an accident or incident on your premises.

Participant changes address

JCP will notify you if the participant changes their address and also if the change affects their participation with you.

If the change of address means that the participant continues to reside within your pilot area their engagement on the provision will be unaffected.

If the participant's treatment provision remains in the participant's local travel area (a journey of no more than 90 minutes (each way) by public transport) engagement should continue.

If the change does mean that the participant will no longer be with you, do not amend PRaP, if the participant changes address back into the pilot area they will be signposted back to you to complete the balance of their allotted time. The exception to this would be if the point of the return to the pilot would take the participant beyond the 104 weeks of allotted time

Unacceptable Behaviour

See [Provider Guidance Chapter 2](#)

You may experience a wide range of behaviour from the customer group referred to this pilot. This may include those customers who exhibit difficult, aggressive, or sometimes violent behaviour. However, you cannot select the customers with whom you work. Generic provider guidance provides further details.

Participants on HCP provision have a responsibility to behave in an appropriate manner, just as they would if they were in employment.

Where cases of misconduct or unacceptable behaviour by participants arise, you must immediately deal with it in the most appropriate manner.

If a participant's behaviour is such that effective participation is not possible, follow the process for participants failing to attend an interview and refer to the Decision Maker See 16 & 17 above.

Further information regarding unacceptable behaviour can be found in [Provider Guidance Chapter 2](#).

Travel expenses

See [Provider Guidance Chapter 2](#)

Participants should not be worse off by virtue of attending interviews with you. You are responsible for funding the participant's travel costs during their time on the pilot and covering the cost of attendance to any recommended activities. The payment should be made direct to the participant and paid as follows:

- Travel by public transport based on the cheapest reasonable return fare;
- Travel by private motor vehicle will be paid at 25p per mile, only when public transport is not available or not suitable;
- Taxi fares if public transport is not available or the participant is unable to use this because for example mobility issues;
- Other related expenses such as parking and bridge tolls. These costs will only be met if they relate to interviews with the you or to attend agreed activities; and
- A receipt should be produced by the participant for reimbursement of expenses.

Childcare

See [Chapter 2 Provider Guidance](#).

Additional expenses

You are responsible for other reasonable costs incurred to support the participant attend interviews such as payment for a British Sign Language Interpreter.

Additional Support

Additional support is defined as any support that allows a claimant who needs help to attend and participate fully in provision (e.g. clothing and specialist equipment). You must as part of your

obligations in the Equality Act 2010 take the necessary steps to obtain and provide special aids or services that might be needed for participation.

Use of Jobcentre Premises

JCP is committed to making its premises available to their local strategic and service delivery partners, when and where spare capacity exists. For the initial engagement with the claimant, you may wish to consider the use of JCP premises on an ad-hoc basis. Discussions should be initiated with the local JCP Manager on the viability of this.

Evaluation

As part of their evaluation work researchers will wish to visit and interview the supplier and their supply chain, participants and sub contractors involved in the provision. The supplier may be asked to provide the relevant contact details and in order to facilitate this process they should seek advance agreement from participants to take part in evaluations.

Complaints

You should ensure that you fully explain your complaints procedure to each participant as part of their initial engagement process. See guidance for [complaints resolution](#).

ESF requirements

See [Chapter 11 of Provider Guidance](#)

Pease Note: ESA pilots 18-24 month prognosis claimants is European Social Fund (ESF) funded and you must display the ESF logo on all your participant facing materials ([DWP Provider Guidance Chapter 11 - ESF Requirements \(England Only\)](#)). You must also display the DWP logo ([communication centre](#)) alongside the ESF logo. It is important that you access the most up to date information on logos whenever you make a change to your notifications. You are responsible for adhering to all ESF requirements and must ensure that your supply chain does the same.

Definitions

Business as usual (BAU)

ESA work related activity group claimants who have an 18-24 month prognosis are currently mandated to the Jobcentre Plus Offer and receive an average of 88 minutes of Jobcentre Personal Adviser time per year. Referral to the Work Programme is voluntary for this claimant group.

Initial Assessment Interview

This comprises an interview to review the participant's health condition and how this impacts on their capability to work. The interview will also cover any skills, experience and any other barriers which may impact the claimant's opportunities for progressing closer to the labour market.