

Withdrawn

This publication is withdrawn.
The publication is no longer current.

Section 16 Financial Procedures

**NOTE: THE GUIDANCE IN THIS SECTION APPLIES TO
THE ORIGINAL WORK CHOICE CONTRACTS i.e.
ALL PROGRAMME REFERRALS PRIOR TO 25th OCTOBER 2015
EXCEPT REEMPLOY**

**FOR PROGRAMME REFERRALS FROM 25th OCTOBER 2015 ALL
PROVIDERS SHOULD FOLLOW GUIDANCE IN SECTION 16a**

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Introduction

- 16.1. This section summarises the Work Choice funding approach, the use of the Provider Referrals and Payments (PRaP) system, outlining the action to be taken by individuals involved in the claims process, and also details the evidence requirements you will need to supply.
- 16.2. You must also read [Annex 1](#) of this Guidance which details the Work Choice-specific PRaP actions. You should refer to UPK/Tutor PRaP on-line Guidance, and [DWP Generic Provider Guidance Chapter 5](#)

Overview

- 16.3. As a Provider delivering the Work Choice programme you will have won your contract(s) based on a competition that covered price as well as quality. The price submitted in your successful bid forms the basis on which all subsequent payments will be calculated and paid.
- 16.4. The funding approach for Work Choice contracts follows the Department for Work and Pensions (DWP) standard funding approach principles. It has the following payment elements and ratios:
 - **a service fee** which will be paid monthly in arrears. The service fee will equate to 70%* of the Provider's contract price and is intended to provide a degree of certainty in meeting fixed costs, such as travel and childcare, associated with delivery of service;
 - achievement of **short job outcomes**. Payment will be made on a unit price basis, which will be calculated by dividing 15%* of the Provider's contract price by the number of job outcomes offered in your bid. (See below for short job outcome definitions); and
 - achievement of **sustained unsupported job outcomes**. Payments will be made on a unit price basis, which will be calculated by dividing the remaining 15%* of the Provider's contract price by the number of expected sustained job outcomes offered in your bid. The number of expected, sustained job-outcomes must be a minimum of 60% of the number of **unsupported** job outcomes offered in the bid. (See below for sustained job outcomes definitions).
- 16.5. * This calculation excludes the additional money that was added to contract prices to cover existing financial commitments (Financial Incentives and protected places within Supported Businesses). The money needed to continue to meet these ongoing financial commitments will be paid to Providers as part of your service fee payment (in effect increasing the overall value of the service fee payment, commensurate with the level of financial commitment involved in each contract package). See Schedule 5 of your Term and Conditions.

Service Fee

- 16.6. An important element of Work Choice is to provide not only support to those who have a chance of progressing into unsupported employment, but to support and provide a quality service to those for whom working without support is not a realistic option. In view of this we expect suppliers to maintain a minimum number of people on the programme at any one time.
- 16.7. The service fee is intended to provide you with a guaranteed monthly payment by way of contribution towards the delivery of the contract service and to meet fixed costs.
- 16.8. You will be paid a service fee in line with your agreed bid price and the amounts as agreed in the contract schedules. Service fee payments will be automated, when due, through the Provider Referral and Payment (PRaP) system, and will form the content of VAT compliant claim for processing through the self-billing function. Service fee payments will be subject to validation rules.
- 16.9. Service fees will be paid direct to your designated bank account monthly in arrears. Please also see Schedule 5, Service Fee Tolerance, in your contract.

Claiming Job Outcomes

- 16.10. It will be the responsibility of you, the Provider, to report achievement of job outcomes/ sustained job outcomes to DWP and therefore initiate the claim for payment.
- 16.11. You will normally claim Job Outcomes via the Provider Referrals and Payments System (PRaP) and should refer to UPK/Tutor (available via PRaP on-line help) and [Annex 1](#) of this guidance for details on the process for claiming job outcomes. Only staff who have been nominated by your organisation to have 'administrator access' are authorised to use PRaP to input data to generate claims for outcome payments on behalf of your organisation.
- 16.12. Before doing so you will need to satisfy yourself that the outcome meets the standard definitions, **as applied to Work Choice**, given in the paragraphs below.

Employing Work Choice Participants

- 16.13. DWP acknowledges that you may employ individuals who originally start out as a Work Choice participant. This is acceptable. However, the strategic intent of the Work Choice programme is to place participants into sustained employment that extends beyond the duration specified for performance and payment processes.

- 16.14. In that respect, DWP would not find it acceptable for you to continuously turnover your employee base with Work Choice participants merely as a means of enabling Job Outcomes to be reported and subsequent payments to be claimed.
- 16.15. This also applies to participants placed into a Supported Business (please see sections 13 and 14 of this guide for further information on Supported Businesses). The main aim of the placement within a Supported Business must be to eventually place that individual into sustained employment rather than exit from the Work Choice programme once that period of supported employment ends.
- 16.16. Evidence of preparing the participant to sustain open employment at the end of any short period of work or paid placement within your own organisation must be fully documented and retained for scrutiny by DWP.

Short Job Outcomes - Definition

- 16.17. In Work Choice short job outcomes may be claimed for either a supported or an unsupported outcome. The definition of a short job outcome in Work Choice is as follows:
- An **unsupported** outcome i.e. where the participant is **not** supported in employment by the Work Choice Provider:
 - involves a minimum of 16 hours per week;
 - involves continuous employment which is expected to last 13 weeks (no breaks in employment); and
 - started prior to, or within six weeks (the tracking period, see paragraph 16.27) of, a participant leaving Work Choice;
 - a self employed participant must be expected to trade independently for 13 continuous weeks.
 - 16 hours unsupported employment may be made up of more than one job, but each job must, therefore, be evidenced.
 - A **supported** outcome i.e. where the participant **is** supported in employment by the Work Choice Provider
 - involves a minimum of 16 hours per week;
 - involves continuous supported employment which is expected to last 13 weeks (no breaks in employment); and
 - started after the participant was admitted to your programme and remains on the Work Choice programme with your support;
 - a self employed participant must be expected to trade, independently with your support, for 13 continuous weeks.
 - 16 hours supported employment may be made up of more than one job, but each job must, therefore, be evidenced.

- 16.18. **Please Note:** You may only claim one short job outcome per participant for each period spent on your provision.
- 16.19. A period is defined as time spent on Work Choice between the formal “start provision” date, as recorded on PRaP, and the formal “end provision” date, as recorded on PRaP.
- 16.20. Short job outcome payment will be made on a unit price basis, which will be calculated by taking 15% of the total contract price and dividing it by the number of job outcomes that you have offered in your bid.
- 16.21. You will normally be required to claim your short job outcome payment via PRaP (Further information regarding claiming job outcomes can be found on: [Provider Referrals and Payments \(PRaP\) system for DWP](#)) however, before doing so you have a responsibility to ensure that the job outcomes you report to DWP are valid, i.e. that the individual is in work and has been in work for the required period of time and, if required, can be supported by evidence that the job outcome definition has been met in full.

Sustained Job Outcomes - Definition

- 16.22. In Work Choice, a **sustained** job outcome may only be claimed for an **unsupported** job. The definition of a sustained job outcome is a job that:
- involves a minimum of 16 hours per week;
 - involves employment that lasts for at least 26 weeks out of 30 **starting from the date of progression into unsupported employment** (breaks in employment must total no more than four weeks). Note: progression means the point at which the participant leaves the programme and continues in employment without your support; and
 - for self employment, once the participant has traded independently for 26 weeks out of 30 week period starting from the date of progression into unsupported employment you can claim the sustained job outcome.
- 16.23. **Please note:** You may only claim one sustained job outcome per participant for each period on your provision.
- 16.24. A period is defined as time spent on Work Choice between the “start provision” date, as recorded on PRaP, and the formal “end provision” date, as recorded on PRaP.
- 16.25. Sustained job outcome payment will be made on a unit price basis, which will be calculated by taking 15% of the total contract price and dividing it by the number of sustained job outcomes that you have offered in your bid.
- 16.26. You will be required to claim your sustained job outcome payment via the PRaP system (further information regarding claiming job outcomes can be

found in: [The Provider Referrals and Payments user guide](#)). However, before doing so you have a responsibility to ensure that the sustained job outcomes you report to DWP are valid, i.e. that the individual is in work and has been in work for the required period of time, and if required can be supported by evidence to support that the job outcome definition has been met in full.

The Tracking period

- 16.27. The tracking period lasts for 6 weeks, and will commence on the date a participant leaves a period of participation in Module One of Work Choice without a job, and has been exited from the programme via PRaP.
- 16.28. This six week period allows you to claim outcome payments for participants who have found unsupported work within six weeks of formally leaving your programme.
- 16.29. You should note: the tracking period applies only to **unsupported** jobs. Should a supported job offer arise after your participant has formally exited the programme, this would entail a return to Work Choice in order to enter Module Two (via Module One). You should advise your former participant to contact their DEA to discuss a re-referral to Work Choice - see [Section 7: Returning to the Programme](#).
- 16.30. However, should a firm supported job **offer** arise before exhaustion of Module One but, unavoidably, the actual **start date** falls outside of the maximum period permitted in Module One, you may keep the participant in your programme until the transfer to Module Two can be effected. This is to avoid disadvantaging a Work Choice participant who needs your continued support.
- 16.31. Should this situation arise you must fully document the date the job offer was confirmed and liaise with your Performance Manager over how long a delay is considered reasonable, given the particular circumstances of the case. Your PM will consider all factors including the risk of a participant, e.g. someone with a fluctuating health condition, failing to sustain the job if unsupported, and having to go through the Retention and/or re-referral process.

Retentions

- 16.32. You may be required to supply Work Choice support to employed people (who are in unsupported work), in order that they may retain their job. These may be newly disabled employees or employees whose existing disability-related support needs change in a way that affects their work. This is termed 'Retention'. Full details are to be found in [Section 8](#) of this guidance.

- 16.33. Retentions are viewed as successful if, following your intervention; the employee sustains their employment with their existing employer for at least 26 weeks out of 30, **from the date that Work Choice support is withdrawn**. You will claim a sustained job outcome, as detailed above.
- 16.34. No short job outcome can be claimed for Retention, as the participant was already in work at the time they joined your programme, but they will be recorded as a participant and count towards your starts target.

Former WORKSTEP Participants

- 16.35. Employed participants transferring into the Work Choice Programme from WORKSTEP who remain in their supported jobs and are allocated to either Module Two or Three will not attract a short job outcome payment at the point of transfer. This also applies to former WORKSTEP participants who declined to transfer to Work Choice before Work Choice go-live date, but reconsider and apply to return to the programme within six weeks of go-live. However, former WORKSTEP participants who were in the pre-employment stage of WORKSTEP and transfer into Module One will attract a short job outcome payment, as defined at 16.16.
- 16.36. You will, however, be able to draw down a sustained job outcome payment for any former WORKSTEP participants who move into unsupported sustained employment following their transfer to Work Choice, (i.e. within 26 weeks out of the 30 from the date that Work Choice support is withdrawn).
- 16.37. All types of job outcome must be employment for at least 16 hours per week and must comply with any applicable minimum wage legislation.

PRaP Operational Support Team (POST)

- 16.38. The PRaP Operational Support Team (POST) will carry out administration and approval functions to support provider referrals and payments on PRaP (Further information and full details of the POST role can be found in: [The Provider Referrals and Payments user guide](#)).

Self Employment

- 16.39. A self employed participant must be expected to trade independently for 13 continuous weeks. Provided the job meets the outcome criteria you will be entitled to claim for a short job outcome. If the participant trades for 26 weeks out of a 30 week period, following withdrawal of Work Choice support, and provided the job meets the outcome criteria, you can claim a sustained job outcome payment.

Evidencing CEP Provider Payments for Work Choice

16.40. You should note that Work Choice definitions do not always conform to DWP Standard Definitions and differ as detailed below:

Standard Definition	Work Choice Definition
<p>Short Job Outcome</p> <p>Employment of 16 hours per week or more expected to last 13 weeks and started whilst in, or within 6 weeks of leaving, provision.</p>	<p>Short Job Outcome</p> <p>Supported or Unsupported employment of 16 hours per week or more expected to last 13 continuous weeks and started prior to, (or, for unsupported job, within 6 weeks of) leaving Module One.</p>
<p>Sustained Job Outcome</p> <p>Sustained employment of 16 hours per week or more for at least 26 weeks out of a period of 30 weeks</p>	<p>Sustained Job Outcome</p> <p>Sustained employment of 16 hours per week or more for at least 26 weeks out of a period of 30 weeks after leaving the Work Choice programme.</p> <p>NOTE: When the Short Job Outcome was supported, this 26-30 week period will commence on the day that the participant progresses into sustained unsupported employment and Work Choice support is withdrawn.</p> <p>A Sustained job is thus defined as commencing at the point the participant leaves Work Choice and continues to work without the support of the programme. This point can be reached following either a supported or an unsupported short job outcome.</p> <p>Progression means the point at which the participant leaves the programme and continues in employment without your support.</p>

16.41. In supplying evidence to support a Sustained Job Outcome you must keep in mind the variation in definition given at paragraph 16.41 above. Note: when claiming the sustained job outcome payment, PRaP will

prompt you for the date the job started, **BUT** if the participant is leaving a period of **supported** employment you must input the date the sustained period started. This is date you withdrew Work Choice support.

16.42. You should refer to UPK/Tutor (available via PRaP on-line help) and [Annex1 of this guidance for further procedural guidance](#).

Claiming Supported Short Job Outcomes - Clerical Procedure for Participants Referred to the Programme before 25 July 2012

[**NOTE:** Since over 12 months have elapsed since publishing these paragraphs, they are now retained for any outstanding claims and for reference.]

16.43. Please note that this process applies only to claims for **Supported Short Job Outcomes for participants referred to the programme before 25 July 2012**. PRaP was updated on 25 July 2012 enabling you to record Supported Short Job Outcomes via the PRaP system. All Unsupported and Sustained Job Outcomes should be claimed through PRaP as normal.

16.44. Form PRaP11 (Work Choice) must be used to claim payment for Supported Short Job Outcomes for participants referred to the programme before 25 July 2012.

[Download PRaP11 Work Choice form](#)

16.45. Ensure the job meets the Supported Short Job Outcome definition.

16.46. For each outcome claimed Providers must attach a copy of the evidence i.e. Employer Verification Template – EVT or Customer Verification Template CVT together with supporting wage slips or evidence of self-employment. Note: When submitting their claim, providers should send **photocopies** of the evidence held for each entry on [form PRaP11](#) (Work Choice). Originals should be retained by the provider in line with contractual requirements. All claims and supporting documents should be sent by registered post or courier.

16.47. Where a Provider holds more than one Work Choice contract, a separate [PRaP11](#) (Work Choice) must be used for each contract.

16.48. Complete [PRaP11](#) (Work Choice) with Provider contract details plus the contact name and phone number of a person who will be available to respond to any queries that Provider Payment and Validation Team (PPVT) may have on the claim.

16.49. For each Supported Job Outcome being claimed, enter in column:

- the participant's name
- the participant's National Insurance number
- the PRaP purchase order number relating to that participant
- Module 2 or 3 start date
- the date on which supported work of 16 or more hours began

Note: if this date doesn't match the job start date on EVT/CVT the claim will be rejected.

16.50. Make no entries in columns 6 - 11. These are for DWP PPVT use only

16.51. Cross through diagonally any remaining unused lines. Read the declaration, complete, sign and date the form.

16.52. **Remember to attach the EVT/CVT for each job outcome being claimed.** Failure to do this will result in delayed payment.

16.53. Providers may wish to retain a copy of [PRaP11](#) (Work Choice) to facilitate reconciliation.

16.54. Send the completed form and evidence by secure post or courier to:
Provider Payment Validation Team
Room GW10
Quarry House
Leeds
LS2 7UA

Process For Unsupported Short Job Outcomes

Evidence to support Unsupported Short Job Outcome claims - expected to last 13 weeks

16.55. In order to support your claim for a job outcome for employment of 16 hours per week or more which is expected to last 13 continuous weeks you are required to obtain verification templates. There are three types of verification templates:

- from the employer;
- from the participant if self-employed;
- from the participant as a self declaration if unable to obtain an employer declaration.

16.56. In all cases, the verification templates must be supported with documentation. Documentation used to support the verification templates is detailed below.

16.57. The definition of expectation in relation to the job outcome claim is the employment at the time the individual commenced work was expected to last 13 continuous weeks or more. The expectation is not that the individual will remain in the job for 13 weeks but that the job itself was a permanent opportunity of 13 weeks or more.

Employer Verification

16.58. To claim the outcome the provider must obtain a signed and dated statement from the employer(s) stating:

- the customer's name and National Insurance number;
- the date the customer started the job;
- the minimum number of hours **expected to be worked** per week;
- that the job is **expected to last** a minimum of 13 continuous weeks;
- the employer's name;
- the employer's address;
- the employer's telephone number; and
- the employer's contact name.

Note: if the employment is with more than one employer e.g. 10 hours per week with one employer and 6 hours per week with a different employer then two statements should be obtained. The statement from the employer(s) must be obtained on or after the start date of the job(s) and be supported as defined below. You should be clear: when a part time job of fewer than 16 hours increases to 16 hours or more, or a second job increases the total hours worked to 16+, the expectation that the employment will last 13 weeks must be evidenced from the date that 16+ hours begins – **not** from the point the participant started any work of fewer than 16 hrs.

Note: In the case of "Zero Hours Contracts", the key evidence criteria for Work Choice outcome validation is that the employer **expects** the job to be for a minimum of 16 hours per week and to last 13 continuous weeks. This is regardless of the details on any contract of employment, so long as the statement is made by the employer, supported by acceptable evidence, the outcome is achieved.

Acceptable Employer Evidence

16.59. The Employer Verification Template must be supported by either:

- company letter headed paper; or
- compliments slip; or
- company stamp; or
- business card.

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- trade invoices - an invoice for goods or services bought by the employer organisation relevant to the employer business; or
- trade receipts - receipt/sales invoice for goods or services supplied by the employer organisation relevant to the employer business; or
- utility bills – a utility bill for gas, electricity or water consumed by the employer organisation; or
- fax headers – where a fax header is set up using the fax settings and this is clearly displayed on an incoming fax to a provider from an employer, this will be treated in the same way as company letter headed paper; or
- a company payslip; or
- an employer's liability insurance certificate.

16.60. In all cases, the supporting documentation must show the name of the employer organisation (and ideally the address) and be signed by the same person who signed the Employer Verification Template. To minimise the risk of potential collusion, we would expect the supporting evidence to be official and would not therefore accept documentation where the employer details are handwritten.

Self Declaration

16.61. Where a signed statement cannot be obtained from the employer, the only alternative evidence that can be accepted is a declaration signed and dated by the customer stating:

- the customer's name and National Insurance Number;
- the date the customer started the job;
- the minimum number of hours worked per week;
- that the job is expected to last a minimum of 13 continuous weeks;
- the employer's name; the employer's address; the employer's telephone number.

16.62. The customer verification template must be obtained on or after the start date of the job(s) and must be supported by independent evidence that fully supports the job outcome definition.

16.63. Payslips are the most common form of independent evidence.

However, whilst a single payslip can be used to verify that an individual is in work, it often wouldn't confirm the number of hours worked and very rarely (if ever) confirms that the job is expected to last 13 weeks. If this is the evidence route chosen then additional (independent) evidence must be supplied if one payslip does not provide all of the required information.

Typically, the additional evidence could include:

- A job offer letter from the employer (providing it supports that part of the job outcome definition not covered by the payslip); or

- A contract of employment (again providing it supports that part of the job outcome definition not covered by the payslip).
- 16.64. Should the provider be unable to obtain the required evidence from either the employer or the individual at the start of the job, then it would be acceptable to gather sufficient wage slips to make a claim in retrospect although clearly this is subtly changing the job outcome definition to 'has been in work' 13 weeks as opposed to 'expected to last' 13 weeks.

Self Employed Verification

16.65. To claim the outcome the provider must obtain a **signed and dated statement from the participant** stating

- the customer's name and National Insurance number;
- the date the customer started self employment;
- the **minimum** number of hours worked per week;
- that the self employment is expected to last a minimum of 13 continuous weeks;
- the company name; the company address and phone number.

16.66. The declaration/self employment verification template must be completed on or after the start date of the job(s) and must be supported by the appropriate acceptable evidence.

Clarification Of Acceptable Evidence To Support Self Employed Jobs

16.67. The self employed Participant is allowed to complete the 'Employer' Verification Template (Self-employment Verification Template). This is the only instance where DWP will accept the participant's word that the job is 16 hours or more and expected to last at least 13 continuous weeks without an independent statement to this effect (because the participant is in effect the employer).

16.68. However **this Self Employment Verification Template must be supported by evidence that the individual is trading**. This can include:

- a letter from a business start-up organisation which must include a business plan; **or**
- evidence of trading that is clearly linked to the company, this might include:
 - trading bank statements;
 - day book / takings book / accounting records;
 - trade invoices;
 - N.I. Contributions Account showing self employment; or,
 - evidence that the customer has registered with HMRC.

Note: it is accepted that the nature and volume of this evidence will be commensurate with the size and type of the self employed undertaking, however, all evidence should be consistent with (i.e. dated on or after) the date on the Self Employment Verification Template which it supports.

DWP recognises that not all evidence supplied may have a single date, e.g. a daybook or accounting records may have a variety of dates covering the period from the date that self-employment commenced up to the end of the period for which evidence is being submitted (i.e. either 13 or 26/30 weeks, depending upon whether it is a short job outcome or a sustained job outcome).

16.69. If Provider Payment Validation Team (PPVT) require to see the evidence then providers should send **photocopies** of the evidence. Originals should be retained by the provider in line with contractual requirements. All claims and supporting documents should be sent by registered post or courier.

Evidence Checks

16.70. Whilst most job outcomes will be paid automatically when the invoices are input to PRaP, some invoices will not. These will be items which PRaP has selected for 'random check'. These invoices will go 'on hold'. For each invoice placed 'on hold' you will need to send to the PPVT, copies of the evidence to support your claim for payment.

Please note: DWP will **not** notify you of claims requiring you to submit evidence. It is your responsibility to check your own "on hold" invoices in PRaP. Each day, you will need to check to see if any job outcome invoices input on the previous day have been placed on hold by PRaP. This can be completed by taking the following steps:-

16.71. On a daily basis:

- Log into PRaP
- If prompted, select the 'DWP iSupplier Portal Manager' responsibility
- Select the 'Finance' tab
- Click the 'Invoice Status' drop-down list and select 'On Hold'
- Click on 'Go'

16.72. For the first search, you should not specify any date ranges as you will need to see everything that is on hold. After this time, you should search daily. The invoices placed on hold that day will always be dated the day before. For example, if you are performing the search on 19/1/09, you should ask PRaP to return invoices dated from and to 18/1/09.

16.73. If there are any invoices on hold, PRaP will now list them. The details of the customer, including the Programme, will be shown under the 'PO Description' heading.

- 16.74. Due to the significant numbers of invoices being checked, failure to attach a Claim Cover Sheet means that PPVT will be unable to link the evidence submitted with the appropriate 'On Hold' invoice/claim. PPVT will return the evidence unprocessed and the payment will remain on hold.
- 16.75. You will need to submit your job outcome evidence to support the job outcome claims relevant to these invoices. The evidence required is listed in the paragraphs above. If you have any queries regarding the information held within the guidance, you should contact your DWP Performance Manager. When submitting your evidence, you must ensure that you fully complete for each customer a Claim Cover Sheet and send it to PPVT together with copies of the appropriate evidence.
- 16.76. If PPVT consider the evidence to be satisfactory, they will take the appropriate action on PRaP to release the Job Outcome payment to you quickly.
- 16.77. To comply with Data Protection legislation you should ensure that a declaration is included in the customer's induction pack which when completed by the customer gives authority for the provider to contact third parties (including employers), appropriately and proportionately, to request the passage of information about the customer. The declaration should be completed and signed by the customer and kept on file.

Claiming Sustained Job Outcomes

- 16.78. In most cases, the department will be able to obtain confirmation to support your Sustained Job Outcome claims. This confirmation will be via a check of the benefit system to ensure that the individual is no longer claiming working age income replacement benefits at the end of the sustained employment period and has been so for at least 26 weeks out of 30 weeks. However, before submitting the claim you have a responsibility to ensure that the job outcomes you report to DWP are valid, i.e. that the individual is in work and has been in work for the required period of time and if required can be supported by evidence to support that the job outcome definition has been met in full..
- 16.79. You should refer to the UPK/Tutor (available via PRaP on-line help) for details on the process for claiming sustained job outcomes.
- 16.80. The PRaP system will automatically validate outcome payments by cross-checking with benefit systems to confirm that the customer is off benefit. **Where an outcome claim fails an off-benefit check, or is selected for sampling, it will be placed on 'hold'**. You will need to identify these cases from the 'Hold Reason' within the 'Invoice information' screen and submit evidence to support your claim to the PraP Operational

Support Team. Refer to UPK/Tutor (available via PraP on-line help) for detailed information.

Evidence to support Sustained Job Outcome Claims

16.81. In order to claim a Sustained Job Outcome, you must hold evidence that shows that the customer has been in work (including self employment) of at least 16 hours a week for 26 weeks out of a 30 week period after leaving the work choice programme.

16.82. In the cases where the off-benefit check indicated that the participant has been claiming benefits then you will have the opportunity of providing alternative evidence in the format of verification templates as described below. It is important that the department obtains adequate, auditable, alternative evidence at this point, not only to support release of the payment, but also to inform any subsequent referral for benefit fraud investigation.

Evidence requirements for any job outcomes that fail the off-benefit check and/or sampling hold

16.83. To support your claims for job outcomes which fail the off-benefit check, or are placed on sampling hold, you are required to obtain employer / customer verification templates. **It is suggested that you collect this alternative evidence as a matter of course rather than simply waiting for any off-benefit rejections before doing so**, on the understanding that, if it is needed, payment will not be made until it is supplied to the Department and meets the relevant job outcome definition.

16.84. In order to support your claims for job outcomes you are required to obtain a signed employer verification template stating:

- the customers name and National Insurance Number;
- the date the customer started the job;
- the minimum number of hours worked per week;
- that the job is expected to last 13 weeks (short JO);
- or has lasted 26 weeks out of 30 (sustained JO);
- the date the job ended (if applicable).
- the employer's name, the employers address, the employer's telephone number and a contact name for the employer.

16.85. The employer verification template must be supported by one of the following:

- company letter headed paper;
- compliment slip;
- company stamp;

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- business card.
- trade invoices - an invoice for goods or services bought by the employer organisation relevant to the employer business; or
- trade receipts - receipt/sales invoice for goods or services supplied by the employer organisation relevant to the employer business; or
- utility bills – a utility bill for gas, electricity or water consumed by the employer organisation; or
- fax headers – where a fax header is set up using the fax settings and this is clearly displayed on an incoming fax to a provider from an employer, this will be treated in the same way as company letter headed paper; or
- a company payslip; or
- an employer's liability insurance certificate.

16.86. In all cases, the supporting documentation must show the name of the employer organisation (and ideally the address) and be signed by the same person who signed the Employer Verification Template. To minimise the risk of potential collusion, we would expect the supporting evidence to be official and would not therefore accept documentation where the employer details are handwritten.

16.87. **Note:** if the period of employment was with more than one employer then verification templates will be required from all the employers, this applies to both the short job outcome (13 weeks of continuous employment) and the sustained job outcome (26 weeks out of 30 weeks). The verification templates must evidence 16 hours each week of either the 13 week continuous period or 26 out of the 30 weeks.

16.88. Alternatively if you cannot obtain an employer verification template you must obtain a signed customer verification template stating:

- the customer's name and National Insurance Number;
- the date the customer started the job;
- the minimum number of hours worked per week;
- that the job has lasted 26 weeks out of 30 for a sustained job outcome;
- the employer's name, the employer's address, the employer's telephone number and a contact name for the employer;
- the date the job ended if applicable.

16.89. The customer verification template must be obtained on or after the start date of the job(s) and must be supported by independent evidence that fully supports the job outcome definition.

16.90. Payslips are the most common form of independent evidence. However, whilst a single payslip can be used to verify that an individual is in work, it often wouldn't confirm the number of hours worked and very rarely (if ever) confirms that the job is expected to last 13 weeks. If this is the evidence route chosen by the provider then additional (independent)

evidence must be supplied if one payslip does not provide all of the required information. Typically, the additional evidence could include:

- A job offer letter from the employer (providing it supports that part of the job outcome definition not covered by the payslip); or
- A contract of employment (again providing it supports that part of the job outcome definition not covered by the payslip).

16.91. Should the provider be unable to obtain the required evidence from either the employer or the individual at the start of the job, then it would be acceptable to gather sufficient wage slips to make a claim in retrospect although clearly this is subtly changing the job outcome definition to 'has been in work' 13 weeks as opposed to 'expected to last' 13 weeks.

Evidence Requirements For Self Employed Sustained Job Outcomes That Fail The Off-Benefit Check

16.92. In order to support your claims for self employed job outcomes which fail the off-benefit check you are required to obtain a signed self employment verification template stating:

- the customers name and National Insurance Number;
- the date the customer started self employment;
- the minimum number of hours worked per week;
- that self employment has lasted 26 weeks out of 30 for a sustained job outcome;
- the company name, the company address, and telephone number;
- the date the job ended if applicable.

16.90 The declaration/self employment verification template must be completed once the 26/30 weeks trading has been completed and must be supported by evidence **that the individual is trading.**

The sustained job outcome must be supported by:

- evidence of trading that is clearly linked to the company, this might include:
 - trading bank statements;
 - day book / takings book / accounting records;
 - trade invoices;
 - N.I. Contributions Account showing self employment; or,
 - evidence that the customer has registered with HMRC.

Note: it is accepted that the nature and volume of this evidence will be commensurate with the size and type of the self employed undertaking, however, all evidence should be consistent with (i.e. dated on or after) the date on the Self Employment Verification Template which it supports.

DWP recognises that not all evidence supplied may have a single date, e.g. a daybook or accounting records may have a variety of dates covering the period from the date that self-employment commenced up to the end of the period for which evidence is being submitted (i.e. either 13 or 26/30 weeks, depending upon whether it is a short job outcome or a sustained job outcome).

Therefore, DWP **will not accept** a signed and dated Self-Employment verification template supported by a letter from a business start-up organisation that includes a business plan, as this will not meet the definition of the sustained job outcome or meet the criteria of trading.

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