Withdrawn

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Chapter 3 - Referral Process

Contents

Introduction ... 1
Referral to Initial Assessment ... 2
Provider receives referral to Initial Assessment from DEA/Specialist Adviser ... 2
The Initial Assessment ... 3
Provider Agrees the Start and Registers with JCP ... 3
Customer not suitable ... 4
Participant Leaves SES Programme ... 5
Re-Referrals ... 5
Referral from a Statutory Referral Organisation (SRO) ... 5
Clerical Referrals ... 7
Multi Agency Public Protection Arrangements (MAPPA) cases ... 7
Detailed Background and Further Information ... 7

Introduction

3.01 Admission to your SES programme is a two stage process:

3.02 The Initial Assessment, which will be conducted by you to inform the second stage of the referral.

3.03 Selection and agreement of the Strand (SESMP or SESSB) of provision you deem most beneficial to the participant and the anticipated start and end date.

3.04 The Disability Employment Adviser (DEA) (or JCP Work Coach/Adviser with DEA duties/functions) is responsible for determining potential participants' eligibility and suitability for SES. They will ensure wherever possible that only those who are eligible and suitable are referred to your programme. See Chapter 2 of this guidance for details of SES eligibility and suitability.

3.05 The DEA will not determine or advise the potential participant which strand of SES might be the most suitable i.e. SESMP or SESSB. You will decide this with the customer at the Initial Assessment.

3.06 Note: should you receive a referral from a Statutory Referral Organisation (SRO), you are responsible for determining potential participants' eligibility and suitability for SES. See below for further information about SROs.

Referral to Initial Assessment

3.07 The majority of referrals will be made electronically via the Provider Referral and Payment (PRaP) system, except in a small number of cases, for example if the customer has been given Special Customer Record (SCR) status.

3.08 The DEA or specialist adviser within Jobcentre Plus will assess the customer, confirm their eligibility and suitability for the provision overall and gain their agreement to attend provision.

3.09 You must ensure that you supply suitable marketing materials and updates for DEAs so that potential participants can make an informed choice of provider.

3.10 The DEA will telephone you (i.e. your Call Centre telephone number) to arrange an appointment for the customer to attend an Initial Assessment with you. The customer will be present during this call to ensure clear communications.

3.11 Note: if you have no more appointments available that month the DEA will discuss with the customer whether they wish to try another provider or are happy to try at a later date to get an Initial Assessment with you, their first choice provider.

3.12 If you can offer an appointment, the DEA will make a referral to the SES Initial Assessment opportunity on LMS.

3.13 The DEA will complete parts 1 – 3 of the Customer Tracker Document (see Annex 1) and send to you, via unencrypted email copying the email to the SES Policy inbox.

3.14 You have 20 working days from the date the customer is referred to you for the Initial Assessment to start the customer fully onto your provision. You will need to ensure that you input this start date onto your relevant systems and track progress to enable you to achieve this 20 day contractual target.

Provider receives referral to Initial Assessment from DEA/Specialist Adviser

3.15 Prior to the initial appointment, you will receive the tracker document (see Annex 1) by unencrypted email from a DEA or specialist adviser with the relevant chapters completed.

3.16 As per the above instructions, you will have agreed the date of the initial assessment with the DEA and customer in advance, by telephone.

3.17 You will also receive a referral to the Initial Assessment via the PRaP system

Actions

3.18 Review the Customer Tracker Document received from JCP. Ensure any reasonable adjustments (if needed) are in place for the customer to attend the initial assessment.

3.19 Access the PRaP system and acknowledge the referral (further information regarding the use of the PRaP system can be found within the on-line UPK guidance) and in Chapter 11 of this guidance

3.20 Further detail is provided in the detailed Background and Further Information chapter, below.

The Initial Assessment

3.21 At the initial meeting with the customer, you must undertake an analysis of their needs and decide which of the two strands of provision is most suitable for them: Specialist Employability Support Main Provision (SESMP) or Specialist Employability Support Start Back (SESSB). See Chapters 5 and 6 of this guidance for more information about these strands. The Disability Employment Adviser (DEA) or JCP Work Coach/Adviser) is responsible for determining potential participants' eligibility and suitability for SES not the provider.

Actions

3.22 Assess the needs of the customer and agree the appropriate strand of provision and anticipated start and end date.

3.23 Complete the Customer Tracker Document, including start and end dates, and return it, by unencrypted email, to the DEA/Specialist adviser and SES Policy in box SES.POLICY@DWP.gsi.gov.uk

3.24 Ensure the customer is clear about their next steps with you.

3.25 Access the PRaP system and accept the referral when it arrives. This will be following the LMS referral being made by the DEA / Specialist advisor on receipt of the updated Customer Tracker Document from yourselves.

3.26 Further detail is provided in the detailed Background and Further Information chapter, below.

Provider Agrees the Start and Registers with JCP

3.27 Once the DEA/Specialist adviser receives your completed Customer Tracker Document confirming the strand of provision the participant will be undertaking, they will get in touch with the customer.

3.28 The DEA will confirm the start date, time and venue with the customer and make a 2nd LMS/WSP referral to that strand of your provision, which you will subsequently receive via the PRaP system.

3.29 Please ensure when completing the Customer Tracker Document that you specify the start and end dates.

3.30 The DEA will complete part 5 of the Customer Tracker Document with the date of the 2nd LMS/WSP referral and return to you via unencrypted email.

Actions

3.31 Access the PRaP system and both acknowledge and accept the referral to provision.

Customer not suitable

3.32 Occasionally, at the Initial Assessment you may feel that the customer is not suitable for provision, for example they have not fully understood the suitability conditions for participating in SES, or the voluntary nature of the provision and no longer wish to participate or it is deemed that the jobcentre has made an inappropriate referral. In these instances the provider must:

3.33 Contact the referring DEA/Work Coach direct from details on the Customer Tracker form and explain why they feel this customer should be rejected.

3.34 If the DEA/Work Coach agrees with the Provider, then the provider should email the Customer Tracker form back to the DEA/Work Coach, copying in the SES policy inbox and Performance Manager with ‘Rejected’ in the title heading.

3.35 The Provider must then complete PRaP action putting a start and end date for the Initial Assessment.

3.36 On the Customer Tracker form the provider must clearly state the reason for the rejection and confirmation that they have spoken to the referring DEA/Work Coach who has agreed the rejection.

3.37 The DEA/Work Coach carries out the necessary LMS/WSP action and clearly explains to the customer why they have been rejected by the SES provider and reviews next steps for customer.

3.38 If the DEA/Work Coach does not agree that the customer should be rejected after the provider has explained why they want to reject the customer, then the provider must accept the customer on provision.

3.39 The Provider completes the Customer Tracker form as normal with strand of provision and emails back to DEA/Work Coach to continue the referral process.

Participant Leaves SES Programme

Action

3.40 Complete part 6 of the Customer Tracker Document when the participant leaves your programme to enable the participant, and if they wish it, their DEA to consider the next steps for the participant.

3.41 This will either be the scheduled end date of the provision or, if the participant leaves early, the early finish date and the reason why they have left early.

3.42 See Chapter 14 of this guidance for notes on Exit Planning.

Re-Referrals

3.43 As SES is entirely voluntary there will be no re-referrals of customers to SES. Providers will work closely with participants on their programme so you should be aware of any issues and must work to keep your participants on provision and engaged wherever possible.

Referral from a Statutory Referral Organisation (SRO)

3.44 In addition to DEAs and/or Jobcentre Plus Advisers, a limited number of organisations will be authorised to act in partnership with you in order to directly introduce suitable disabled people to SES. We term these organisations Statutory Referral Organisations (SRO). See Annex 4 of this guidance for details of how to identify SROs.

3.45 When proposing a customer for your provision, you must instruct your Statutory Referral Organisation to telephone you to introduce the customer as a potential SES participant and arrange an Initial Assessment interview. See Annex 1 of this guidance for full details of this referral process.

3.46 During this introductory phone call the Statutory Referral Organisation should agree and confirm the interview date, time and venue with the customer, and you should complete form SESSRO1, Part 1 (Statutory Referral Organisation details) and Part 2 (the customer's title, surname, forename and national insurance number). Form SESSRO1 will be found in Annex 1 of this SES Guidance.

3.47 Also during this phone call you are advised to check that the customer the SRO wishes to introduce is not ineligible because they are already participating in the Work Programme or another incompatible DWP programme. This will ensure that customers are not inconvenienced by being introduced or started on provision in error.

3.48 Upon first meeting a potential participant introduced to you by Statutory Referral Organisation, you must immediately establish their eligibility and suitability for SES by completing the remainder of the SESSRO1 form. (Please note: these customers are viewed as 'introduced', rather than referred, until their eligibility and suitability is confirmed).

3.49 Once you have established eligibility you should undertake an Initial Assessment with the potential participant to understand their needs and decide which strand of provision is most appropriate, as you would with a referral from a DEA/Specialist Adviser.

3.50 You should establish whether the customer has already spent time in SES and decide whether another period on the programme is appropriate. You should also establish whether the customer is participating in any other DWP programme. If this is the case SES will probably not be suitable as SES is not compatible with other DWP funded programme. Please refer to Annex 2 of this guidance for compatibility guidance.

3.51 If the customer is eligible and suitable and your provision is not full you must accept them onto your programme. After completion you must print a paper copy of the form to obtain the customer's signature and you must offer the customer a copy of the completed form. You must retain the original and send a copy of the complete form, including the consent part, to your agreed JCP contact.

3.52 All SESSRO1 forms must be sent by secure post (a minimum of Track and Trace) and must be logged for audit purposes. You should then notify your JCP contact that the documents have been sent.

3.53 Upon receiving the form, Jobcentre Plus will notify you of receipt, (create a customer record, if necessary) and make a referral to both the Initial Assessment and the specific Strand of your SES provision via the PRaP system in the standard way.

3.54 See PRaP guidance in Chapter 11 of this guidance

3.55 If you should find that the customer is not eligible and suitable for SES, you must enter the reason in Part 4 of the SESSRO1 form, explain this to the customer and contact the Statutory Referral Organisation to refer the customer back to them, if the customer wishes. You should retain a copy of the form, including the reason not accepted onto SES, for inspection by your DWP Performance Manager.

Clerical Referrals

3.56 Customers who have been granted Special Customer record status will be referred to you clerically using the SL2 clerical form.

3.57 There is no requirement for clerical cases to be acknowledged or accepted. However, you must complete the referral form and return it to the JCP nominated officer.

Actions

- JCP will complete page 1 (of three) of form SL2, forwarding the entire form to your nominated officer.
- On receipt you must undertake the same activity as you would with an electronic referral and complete page 1 (retaining pages 2+3) and return to the JCP nominated officer.
- Following your assessment of the customer, complete and return the referral form to the JCP nominated officer.
- All forms must be returned using secure methods- for details on information security refer to Chapter 8 - Information Security

Multi Agency Public Protection Arrangements (MAPPA) cases

3.58 MAPPA cases not given Special Customer Record status will be referred through PRaP, you will receive the referral, minus the address, postcode and contact telephone number.

Actions

- The nominated officer from Jobcentre Plus will contact your nominated officer to give details of any restrictions that may be imposed on the participant.
- Take the same action on PRaP as for non MAPPA cases to acknowledge and accept the referral.

Detailed Background and Further Information

Referrals

Participant's referral from Jobcentre Plus

3.59 Information sent as part of the referral via PRaP is personal data within the meaning of the Data Protection Act and handling, processing and transmission rules apply. The information sent as a minimum will include:

- full name including title;
- National Insurance Number;
- full address inc. post code;
- telephone number inc. STD code;
- other telephone number (mobile);
- qualifications;
- Driving Licence;

- aims (free text field);
- job preferences;
- employment history;
- preferred hours;
- Incident Marker – Notification where a participant has had an incident recorded while working with Jobcentre Plus. Further information on incidents can be requested by contacting Jobcentre Plus;
- Disability Status – Notification that the participant has informed Jobcentre Plus that they are disabled. (Please note: Under current processes you will be notified that the participant is a disabled person but you will not be notified what the disability is) disabled participant's may require special arrangements when you meet with them;
- childcare needs/arrangements e.g. lone parent, preferred working pattern;
- participant's claim pattern;
- Jobcentre Plus agreed employment restrictions on availability;
- Welsh language written or spoken;
- referral ID;
- provision ID;
- date of referral;
- vulnerable participant status – this will be notified in the form of the word "Safeguard" which will be detailed within the Action Plan Items of the field of the referral; and
- Disadvantaged marker set Y (yes) or N (no). Where information states disadvantaged marker set 'Y' you will need to ask the participant to disclose any disadvantages they have.

MAPPA cases

3.60 The Jobcentre Plus nominated officer will contact your nominated officer to discuss any risks or restrictions that should be in place for each MAPPA referral. They will forward to you a copy of the MAPPA J form which will detail the restrictions. Risks or restrictions will be different for every MAPPA case.

3.61 The MAPPA J form and any other clerical documents for each claim must be held securely, with restricted access, following the same process as you would for SL2's.

3.62 The Jobcentre Plus nominated officer will also provide you with the participants contact details.

3.63 You can set up normal electronic records on your IT systems for MAPPA participants. However, the record must only contain information regarding the day to day running of the claim and should be marked that it is a MAPPA case and that further information can be obtained from your nominated officer. Therefore, access to this record does not need to be restricted.

3.64 If it is deemed appropriate, the Jobcentre Plus nominated officer may also issue letters to the participant which you would normally have issued.

3.65 Further explanatory information about MAPPA cases is contained in Generic Provider Guidance Chapter 2 – Delivering DWP Programme Provision.

Clerical referrals

Special Customer Records (SCR) - including MAPPA cases given SCR status

3.66 Participants who have been granted Special Customer Record status will be referred to you clerically following the SL2 process: There is no clerical equivalent of accepting a PRaP referral for Special Customer Records (SCR) cases, so this step does not apply in these instances. Provider action starts following initial engagement when you should claim the attachment fee.

3.67 Further explanatory information about SCR cases is contained in Generic Provider Guidance.

3.68 You must ensure you have a full understanding of who these participants are and how you should deal with them. You must ensure full compliance with the SCR clerical record process.

3.69 The clerical completion and return of SL2 Forms for Special Customer Records (SCR) participants should always be undertaken by your Nominated Officer who must ensure that “SCR participant” is clearly marked at the top of each form.

3.70 All information on SCR participants whether received from Jobcentre Plus or generated by yourselves must be stored securely at all times. Further information is contained in Generic Provider Guidance Chapter 8 - Information Security

Claimant is referred in error

3.71 It is possible that, on occasions Jobcentre Plus may make a referral in error for a claimant who is ineligible for SES.

3.72 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’.

3.73 Where the error is discovered and notified after acceptance but prior to attachment in PRaP - You are required to cancel the referral in PRaP recording a cancellation reason of ‘Did Not Start’.

3.74 Where the error is discovered and notified after attachment in PRaP - Jobcentre Plus will advise the PRaP Operational Support Team 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 24 hours recording a cancellation reason of ‘Did Not Start’.