

# Withdrawn

This publication is withdrawn.

The publication is no longer current.

## Chapter 13 – Universal Credit

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## Introduction

- 13.01 This chapter supports you in the delivery of Specialist Employability Support (SES) provision when working with claimants in receipt of Universal Credit (UC). This chapter should be read in conjunction with [Chapter 2 Target groups, Eligibility and Suitability](#), [Chapter 5 SES Main Provision](#) and [Chapter 6 Start Back](#) of this SES provider guidance.
- 13.02 Full information about UC for Providers of DWP Programmes is to be found on [DWP's Universal Credit Toolkit](#) page for partner organisations. For the most up to date information regarding Universal Credit please refer to the GOV.UK website.
- 13.03 The JCP Work Coach is responsible for determining UC claimants' eligibility and suitability for SES. They will ensure wherever possible that only those who are eligible and suitable are referred to the programme. See [Chapter 2](#) of this guidance for details of SES eligibility and suitability.
- 13.04 The JCP Work Coach will not determine or advise the UC claimant which strand of SES might be the most suitable i.e. SES Start Back (SESSB) or SES Main Provision (SESMP). You will agree this with the claimant at the Initial Assessment.
- 13.05 Admission to the SES programme is a two stage process:
- The Initial Assessment, which will be conducted by you to inform the second stage of the referral.
  - Selection and agreement of the strand of provision you deem most beneficial to the participant and the anticipated start and end date.

**Note:** should you receive a referral from an approved Statutory Referral Organisation (SRO), you are responsible for determining potential participants' eligibility and suitability for SES (SRO's need to be agreed with the SES policy team).

## Referral to Initial Assessment

- 13.06 The majority of referrals will be made electronically via the Provider Referral and Payment (PRaP) system. You will recognise a UC claimant by the PRaP purchase order number starting '2'. Non-UC referrals will continue to be identified by the purchase order number starting with '1'.
- e.g.
- UC referral – 200123456
  - Non-UC referral – 100123456

- 13.07 A small number of cases will be referred clerically, for example if the claimant has been given Special Customer Record (SCR) status.
- 13.08 The PRaP interface is not currently able to transfer information about a UC claimant's job goals, preferred hours and any special arrangements. The JCP Work Coach will record this information on form UCPR1 for each UC referral for an Initial Assessment. The UCPR1 will be sent to you along with the Claimant Tracker document UC452 via first class post on the same day that the PRaP referral is made.
- 13.09 The JCP Work Coach will talk to the claimant, confirm their eligibility and suitability for the provision overall and gain their agreement to attend provision.
- 13.10 You must ensure that you supply suitable marketing materials and updates for JCP Work Coaches so that UC claimants can make an informed choice of provider.
- 13.11 The JCP Work Coach will telephone you (i.e. your Call Centre telephone number) to arrange for the claimant to attend an Initial Assessment. The claimant will be present during this call to ensure that expectations and next steps are clearly communicated. This is referred to as the Warm Handover. You may wish to take the JCP Work Coaches contact details as you may need to contact them in the future.

**Note:** if you do not have any Initial Assessments available the JCP Work Coach will discuss with the claimant whether they wish to attempt another provider or are happy to try at a later date to get an Initial Assessment with you, their preferred provider. If you can offer an Initial Assessment, the JCP Work Coach will make a referral to the SES Initial Assessment opportunity.

- 13.12 The JCP Work Coach will complete parts 1 – 4 of the Claimant Tracker document UC452 (see Annex 7) and send it to you, along with the UCPR1 form, via first class post.
- 13.13 You have 20 working days from the date the claimant is referred to you for the Initial Assessment to start the claimant fully onto 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 Initial Assessment referral from JCP Work Coach**

- 13.14 Prior to the Initial Assessment, you will receive the Claimant Tracker document UC452 (see Annex 7) with parts 1-4 completed and the additional information form UCPR1 by first class post. If you have not received the forms by the 4th working day from the date of referral you should contact your JCP SPoC.

- 13.15 As per the above instructions, you will have agreed the date of the initial assessment with the JCP Work Coach and claimant in advance, by telephone.
- 13.16 You will also receive a referral to the Initial Assessment via the PRaP system, you will recognise a UC claimant by the PRaP purchase order number starting '2'. Non-UC referrals will continue to be identified by the purchase order number starting with '1'.
- 13.17 Review the Claimant Tracker document UC452 and UCPR1 received from JCP. Ensure any reasonable adjustments (if needed) are in place for the claimant to attend the Initial Assessment. Non-receipt of UCPR1 does not negate providers' contractual requirement to meet with every potential SES participant within ten working days of receiving a referral.
- 13.18 Access the PRaP system and acknowledge the referral. Further information regarding the use of the PRaP system can be found within the on-line User Productivity Kit (UPK) guidance and in [Chapter 11 of this guidance](#). Further detail is provided in the detailed Background and Further Information section.

## Conducting the Initial Assessment

- 13.19 At the Initial Assessment with the claimant, you must undertake an analysis of their needs and decide, where applicable, 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 [Chapter 5](#) and [Chapter 6](#) of this guidance for more information about these strands.
- 13.20 Assess the needs of the claimant and agree, where appropriate, the relevant strand of provision and anticipated start and end dates.
- 13.21 If the claimant is being recommended to SESSB or SESMP you must complete the Claimant Tracker document UC452, ensuring part 6 is fully completed with anticipated start and end dates. You must return the UC452 by unencrypted email, to the Universal Credit Service Centre inbox [universalcredit.servicecentre@dwpgsi.gov.uk](mailto:universalcredit.servicecentre@dwpgsi.gov.uk) and SES Policy inbox [ses.policy@dwpgsi.gov.uk](mailto:ses.policy@dwpgsi.gov.uk).
- Note:** You must keep a copy of the UC452 in order to notify the UC Service Centre when the participant exits provision. **Please only send 1 Claimant Tracker form UC452 per email back to the UC Service Centre inbox.**
- 13.22 If the claimant is **not** being recommended for SESSB or SESMP you must complete the Claimant Tracker document UC452, ensuring part 7 is fully completed. You must return the UC452, 1 form at a time, by unencrypted email, to the Universal Credit Service Centre inbox

[universalcredit.servicecentre@dwp.gsi.gov.uk](mailto:universalcredit.servicecentre@dwp.gsi.gov.uk) and the SES Policy inbox  
[ses.policy@dwp.gsi.gov.uk](mailto:ses.policy@dwp.gsi.gov.uk)

- 13.23 Ensure the claimant understands their next steps with you.
- 13.24 Further detail is provided in the detailed Background and Further Information section, below.

### Provider agrees the start and registers with JCP

- 13.25 When the JCP Work Coach receives the Claimant Tracker document UC452 they will contact the claimant.
- 13.26 The JCP Work Coach will confirm the start date, time and venue with the participant and make a 2<sup>nd</sup> referral to the SESSB or SESMP, via the PRaP system.
- 13.27 Access the PRaP system and both acknowledge and accept the referral to the specific strand of provision.

### Claimant not suitable

- 13.28 Occasionally, at the Initial Assessment you may feel that the claimant has not fully understood the suitability conditions for participating in SES or the voluntary nature of the provision.
- 13.29 You must try to resolve the suitability issue with the claimant, yourself, but you may contact your JCP SPoC to discuss the relevant suitability issue, if necessary.
- 13.30 If, following the Initial Assessment and a full discussion, you still believe the claimant is not suitable for your provision you may agree this with the claimant.
- 13.31 You must telephone the JCP SPoC to inform them of the outcome, there would need to be a clear reason as to why the claimant is not suitable (e.g. the claimant is going abroad for a month). **You must not record sensitive information on the Claimant Tracker document for security reasons.** Include your contact details at part 7 so that a JCP Work Coach can contact you if required.

### Claimant is referred in error

- 13.32 It is possible that, on occasions Jobcentre Plus may make a referral in error for a claimant who is ineligible for SES.
- 13.33 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'.

- 13.34 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'.
- 13.35 Where the error is discovered and notified after attachment in PRaP - Jobcentre Plus will advise the PRaP Operational Support Team (POST) 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'.

### **Participant leaves SES programme**

- 13.36 Complete part 8a of the Claimant Tracker document UC452 when the participant leaves your programme early, to enable the participant and their JCP Work Coach to consider the next steps. Enter the early leaving date and the reason why they have left.
- 13.37 Complete part 8b of the Claimant Tracker document UC452 when the participant completes your programme. Enter the actual end date that the participant completed the provision.
- 13.38 See [Chapter 14 of this guidance](#) for additional information on Exit Planning.

### **Re-referrals**

- 13.39 As SES is entirely voluntary there will be no re-referrals of claimants to SES. You will work closely with participants on your 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)**

- 13.40 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 (SROs). See [Annex 4](#) of this guidance for details of how to identify SROs.



- 13.41 When proposing a referral for your provision, you must instruct your Statutory Referral Organisation to telephone you to introduce the claimant as a potential SES participant and arrange an Initial Assessment interview. See [Annex 1](#) of this guidance for full details of this referral process.
- 13.42 During this introductory phone call the Statutory Referral Organisation should agree and confirm the interview date, time and venue with the claimant, and you should complete form SESSRO1, Part 1 (Statutory Referral Organisation details) and Part 2 (the claimant's title, surname, forename and national insurance number). Form SESSRO1 will be found in [Annex 1](#) of this SES Guidance.
- 13.43 Also during this phone call you are advised to check that the claimant 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 potential participants are not inconvenienced by being introduced or started on provision in error.
- 13.44 Upon first meeting a potential participant introduced to you by a Statutory Referral Organisation, you must immediately establish their eligibility and suitability for SES by completing the remainder of the SESSRO1 form. (Please note: these claimants are viewed as 'introduced', rather than referred, until their eligibility and suitability is confirmed).
- 13.45 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 JCP Work Coach.
- 13.46 You should establish whether the potential participant has already spent time in SES and decide whether another period on the programme is appropriate. You should also establish whether the claimant is participating in any other DWP programme. If this is the case SES will probably not be suitable as it is not compatible with other DWP funded programmes. Please refer to [Annex 2](#) of this guidance for compatibility guidance.
- 13.47 If the potential participant 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 claimant's signature and you must offer the claimant 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 SPoC.
- 13.48 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 SPoC that the documents have been sent.

- 13.49 Upon receiving the form, Jobcentre Plus will notify you of receipt, (create a claimant 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.
- 13.50 See PRaP guidance in [Chapter 11](#) of this guidance.
- 13.51 If you should find that the claimant is not eligible and suitable for SES, you must enter the reason in Part 4 of the SESSRO1 form, explain this to the claimant and contact the Statutory Referral Organisation to refer the claimant back to them, if the claimant wishes. You should retain a copy of the form, including the reason not accepted onto SES, for inspection by your DWP Performance Manager.

### **Special Customer Records (SCR) Cases**

- 13.52 Claimants who have been granted Special Customer record status will be referred to you clerically using the SL2 clerical form.
- 13.53 There is no requirement for clerical cases to be acknowledged or accepted in PRaP. However, you must complete the referral form and return it to the JCP nominated officer.
- 13.54 JCP will complete page 1 (of 3) of form SL2, forwarding the entire form to your nominated officer.
- 13.55 On receipt you must complete page 1 (retaining pages 2 and 3) and return to the JCP nominated officer.
- 13.56 Following your assessment of the claimant, complete and return the referral form to the JCP nominated officer.
- 13.57 All forms must be returned using secure methods- for details on information security refer to generic provider guidance [Chapter 8 - Information Security](#)

### **Multi Agency Public Protection Arrangements (MAPPA) cases**

- 13.58 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.
- 13.59 The nominated officer from Jobcentre Plus will contact your nominated officer to give details of any restrictions that may be imposed on the participant.
- 13.60 Take the same action on PRaP as for non MAPPA cases to acknowledge and accept the referral.

## Detailed background and further information

### Participant's referral information from Jobcentre Plus

- 13.61 Information sent to you as part of the referral is personal data within the meaning of the Data Protection Act and handling, processing and transmission rules apply. Further information about information can be found in [Generic Provider Guidance Chapter 8 - Information Security](#)

### Referral data

- This includes:
  - Referral ID – PRaP will use this to identify the referral. UC referrals will be identified by the purchase order number starting with '2'. Non-UC referrals will continue to be identified by the purchase order number starting with '1'. For example:  
     UC referral – 200123456  
     Non-UC referral – 100123456
  - Provision ID – Identifies the provision to which the participant is being referred;
  - Referral Date – The business date on which the referral was made

### Claimant data

- 13.62 This includes:
- Title;
  - Forename;
  - Surname;
  - NINO;
  - Client No. – A unique system generated number given to each participant on the system;
  - Telephone number, including standard code;
  - Alternative telephone number;
  - Full address, including post code;
  - Disability status – Indicates whether the participant has a disability;
  - Work search review appointment;
  - Incident marker – Signifies whether or not an incident has occurred involving a participant on Jobcentre Plus premises;
  - Childcare requirements – Helps to identify possible additional support requirements;
  - Driving licence details; and
  - Licence endorsement – Indicates if a claimant has endorsements on their driving licence.

### **Employment history data**

13.63 This includes:

- A description of the participant's most recent job with start and end dates; and
- A description of the participant's previous job with start and end dates.

### **Qualifications data**

13.64 This includes:

- Number – A sequence number to indicate the chronological order in which the participant's qualifications were gained;
- Level – The level of qualification achieved;
- Subject – The subject of the qualification;
- Outcome – The outcome of the qualification taken;
- Start Date – The date on which the participant started taking the qualification;
- End Date – The date on which the participant completed or abandoned taking the qualification.

### **Additional referral information**

13.65 You will receive an additional information form (UCPR1) to supplement the PRaP referral information for each claimant. This form will be sent to you by post on the same day that the PRaP referral is made.

13.66 The Additional Information form (UCPR1) will cover the claimant's:

- Job aims;
- Job preferences;
- Preferred hours;
- Availability restrictions;
- Special arrangements (for example, wheelchair access; translator or any specific support needs); and
- Complex needs and any additional requirements (used at the JCP Work Coach's discretion to tell you of any pertinent information).

13.67 Where you do not receive the UCPR1 form within 4 working days of receiving the PRaP referral, you should contact the JCP SPoC and request a duplicate copy. This will be issued on the same day by post.

### **MAPPA Cases**

13.68 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 (by secure post) which will detail the restrictions. Risks or restrictions will be different for every MAPPA case.

- 13.69 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.
- 13.70 The Jobcentre Plus nominated officer will also provide you with the participant's contact details.
- 13.71 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.
- 13.72 If it is deemed appropriate, the Jobcentre Plus nominated officer may also issue letters to the participant which you would normally have issued.
- 13.73 Further explanatory information about MAPPA cases is contained in [Generic Provider Guidance Chapter 2 – Delivering DWP Programme Provision](#).

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

- 13.74 Participants who have been granted Special Customer Record status will be referred to you clerically using 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.
- 13.75 Further explanatory information about SCR cases is contained in Generic Provider Guidance.
- 13.76 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.
- 13.77 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.
- 13.78 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.