

# Withdrawn

This publication is withdrawn.  
The publication is no longer current.

## Chapter 12 – Universal Credit

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This Section pertains to all referrals to SES provision during the contracts' extension period nationally from September 2017. For guidance pertaining to all referrals to SES made prior to this extension period please see the previous version of SES Provider Guidance which has been retained on GOV.UK for reference:

<https://www.gov.uk/government/publications/specialist-employability-support-provider-guidance>

### Introduction

- 12.01 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 3 Referral Process](#) and [Chapter 5 SES Provision](#) of this SES provider guidance.
- 12.02 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](#).
- 12.03 The JCP work coach is responsible for determining whether a customer is eligible and suitable for SES. See Chapter 2 of this guidance for details of SES eligibility and suitability.

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

### JCP Referral to SES

- 12.04 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
- 12.05 A small number of cases will be referred clerically, for example if the claimant has been given Special Customer Record (SCR) status.
- 12.06 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. The UCPR1 will be sent to you via first class post on the same day that the PRaP referral is made.
- 12.07 The DEA/Work Coach within Jobcentre Plus will assess the customer, confirm their eligibility and suitability for the provision overall and gain their agreement to attend provision. As places are limited and JCP needs to provide an assurance that the hardest to help are able to access SES, customers will be prioritised within the JCP Group before the DEA/Work Coach notifies you of the referral.
- 12.08 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.
- 12.09 If successful, the customer's details will be added to a monthly referral spreadsheet which will be sent to you at the end of each month from the Operational Excellence Directorate. The DEA/Work Coach will telephone you (i.e. your contact or Call Centre telephone number) to confirm the details for the customer. This may include the customer being present on the call. This is known as the Warm Handover call. On this phone call you should take the referring DEA's/ Work Coach's phone number and email address.
- 12.10 The DEA/Work Coach will make a referral to the SES P2 National opportunity on WSP. The JCP Work Coach will send the UCPR1 form, via first class post. You will access the PRaP system and accept the referral when it arrives. This

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will follow the WSP referral being made by the DEA / Work Coach after the warm handover call.

- 12.11 You have 20 working days from the date the claimant is referred to you 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.
- 12.12 In order to meet your contractual 20 working day target for getting started on provision, it would be good working practice to complete the process where you contact the customer and conduct a Provider Handover to arrange a date and time for their first day on provision and establish any special requests/needs **within 5 working days from the date the customer is referred to you.**
- 12.13 You must not start work with the customer until their start date has been entered in PRaP. Further detail is provided in the detailed Background and Further Information chapter below and the PRaP guidance [in Chapter 10 of this guidance](#).
- 12.14 Further detail is provided in the detailed Background and Further Information section.

### **Claimant not suitable**

- 12.15 If the customer's circumstances have changed since the work coach and customer agreed they were suitable for provision, for example the customer has decided they no longer wish to participate, or you are unable to contact the customer after multiple attempts (usually classed as 3). In these instances the provider must:
  - 12.16 Contact the referring DEA/Work Coach directly from details from the Warm Handover call and explain why you feel this customer is unsuitable. If the DEA/Work Coach agrees, then referral to SES P2 National maybe rejected.
  - 12.17 The DEA/Work Coach will explain to the customer why they are no longer suitable for SES provision and reviews next steps with the customer.
  - 12.18 If the DEA/Work Coach does not agree that the customer is unsuitable after the provider has explained why they want to reject the referral, then the provider must accept the customer on provision.
  - 12.19 The Provider accepts the referral to SES P2 National to continue the referral process.

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### Claimant is referred in error

- 12.20 It is possible that, on occasions Jobcentre Plus may make a referral in error for a claimant who is ineligible for SES.
- 12.21 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'.
- 12.22 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'.
- 12.23 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'.

### Customer leaves SES programme

- 12.24 Complete the [Customer Exit Note](#) and the Leaver Report when the customer leaves your programme to enable the customer, and if they wish it, their DEA to consider the next steps for the customer.
- 12.25 This will either be the scheduled end date of the provision or, if the customer leaves early, the early finish date and the reason why they have left early.
- 12.26 See Chapter 13 of this guidance for additional information on Exit Planning.

### Re-referrals

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

### Referral from a Statutory Referral Organisation (SRO)

- 12.28 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.

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- 12.29 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 customer. See [Annex 1 of this guidance](#) for full details of this referral process.
- 12.30 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.
- 12.31 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 customers are not inconvenienced by being introduced or started on provision in error.
- 12.32 Upon first meeting a potential customer 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).
- 12.33 If the potential 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 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.
- 12.34 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.

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- 12.35 Upon receiving the form, Jobcentre Plus will notify you of receipt, (create a claimant record, if necessary) and make a referral to SES provision via the PRaP system in the standard way.
- 12.36 See PRaP guidance in [Chapter 10 of this guidance](#).
- 12.37 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

- 12.38 Claimants who have been granted Special Customer record status will be referred to you clerically using the SL2 clerical form.
- 12.39 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.
- 12.40 JCP will complete page 1 (of 3) of form SL2, forwarding the entire form to your nominated officer.
- 12.41 On receipt you must complete page 1 (retaining pages 2 and 3) and return to the JCP nominated officer.
- 12.42 Following your assessment of the claimant, complete and return the referral form to the JCP nominated officer.
- 12.43 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

- 12.44 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. Complete the Name, NINO and contact number fields in WSP and complete the MAPPA marker on WSP.
- 12.45 The nominated officer from Jobcentre Plus will contact your nominated officer to give details of any restrictions that may be imposed on the customer.
- 12.46 Take the same action on PRaP as for non MAPPA cases to acknowledge and accept the referral.

### Detailed background and further information

#### Customer's referral information from Jobcentre Plus

- 12.47 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 customer is being referred;
  - Referral Date – The business date on which the referral was made

#### Claimant data

- 12.48 This includes:
- Title;
  - Forename;
  - Surname;
  - NINO;
  - Client No. – A unique system generated number given to each customer on the system;
  - Telephone number, including standard code;
  - Alternative telephone number;
  - Full address, including post code;
  - Disability status – Indicates whether the customer has a disability;
  - Work search review appointment;
  - Incident marker – Signifies whether or not an incident has occurred involving a customer 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.



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### **Employment history data**

12.49 This includes:

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

### **Qualifications data**

12.50 This includes:

- Number – A sequence number to indicate the chronological order in which the customer'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 customer started taking the qualification;
- End Date – The date on which the customer completed or abandoned taking the qualification.

### **Additional referral information**

12.51 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.

12.52 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).

12.53 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**

12.54 The Jobcentre Plus nominated officer will contact your nominated officer to discuss any risks or restrictions that should be in place for each MAPPA

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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.

- 12.55 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.
- 12.56 The Jobcentre Plus nominated officer will also provide you with the customer's contact details.
- 12.57 You can set up normal electronic records on your IT systems for MAPPA customers. 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.
- 12.58 If it is deemed appropriate, the Jobcentre Plus nominated officer may also issue letters to the customer which you would normally have issued.
- 12.59 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**

- 12.60 Customers 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.
- 12.61 Further explanatory information about SCR cases is contained in Generic Provider Guidance.
- 12.62 You must ensure you have a full understanding of who these customers are and how you should deal with them. You must ensure full compliance with the SCR clerical record process.
- 12.63 The clerical completion and return of SL2 Forms for Special Customer Records (SCR) customers should always be undertaken by your Nominated Officer who must ensure that "SCR customer" is clearly marked at the top of each form.
- 12.64 All information on SCR customers 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](#)