Withdrawn

This publication is withdrawn.
The publication is no longer current.

Chapter 3 - Referral Process

Contents

This Section pertains to all referrals to SES provision during the contracts' extension period nationally effective 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:
SES Stage 2
https://www.gov.uk/government/publications/specialist-employability-support-provider-guidance-effective-from-september-2017

SES Stage 1
https://www.gov.uk/government/publications/specialist-employability-support-provider-guidance

Introduction

3.01   Admission to your SES programme: The Disability Employment Adviser (DEA) (or JCP Work Coach) is responsible for determining potential customers' 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.
Note: should you receive an introduction from a Statutory Referral Organisation (SRO), you are responsible for determining potential customers' eligibility and suitability for SES. See below for further information about SROs.

JCP Referral to SES

3.02 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.

3.03 The DEA or 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 sends you the referral.

3.04 You must ensure that you supply suitable marketing materials and updates for DEAs/Work Coaches so that potential customers can make an informed choice of provider.

3.05 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 as you will need these details when the customer exits provision.

3.06 The DEA/Work Coach will make a referral to the SES P2 National opportunity on LMS/WSP [UC]. You will access the PRaP system and accept the referral when it arrives. This will follow the LMS /WSP referral made by the DEA / Work Coach.
In order to meet your contractual 20 working day target for getting the customer started on provision, it would be good working practice if within 5 working days from the date the customer is referred to you, you contact the customer and conduct a welcome call, arranging a date and time for their first day on provision and establishing any special requests/needs. You must start the customer fully onto your provision within 20 working days from the date the customer is referred. You will need to ensure that you input this start date onto PRaP and your relevant systems, and track progress to enable you to achieve this 20 day contractual target. **You must not start working with the customer until their start date has been entered in PRaP**. Further detail is provided in the Detailed Background and Further Information paragraph[s]below and the PRaP guidance in Chapter 10 of this guidance.

Mid-Month Referrals

3.07   Unfilled places, from the main end of month referral spreadsheet exercise, will be populated onto a second referral spreadsheet which will be submitted to you on the first Monday following the 14th of each month by Operational Excellence Directorate. The spreadsheet will also comprise re-allocated places to compensate for any shortfalls in starts from earlier months' referrals. Where any provider's cumulative starts to date are below 95% of profile, referrals will be sought to bring providers back up to +/-5% of profiled starts. On receipt of this spreadsheet you will follow the previous steps of starting the customer on provision.

Customer not suitable

3.08   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:

- Contact the referring DEA/Work Coach directly from details from the Warm Handover call and explain why you feel this customer is not suitable. If the DEA/Work Coach agrees, then the referral to SES P2 National in PRaP may be rejected. (See PRaP guidance Chapter 10 for more information).

3.09   The DEA/Work Coach will then arrange to contact the customer to discuss why SES is no longer suitable and consider the next steps for the customer.

3.10   If the DEA/Work Coach does not agree that the PRaP referral should be rejected after the provider has explained why they deem the customer unsuitable, then the provider must accept the customer on provision.

3.11   The Provider accepts the referral to continue the referral process. See Chapter 10 to complete PRaP action.

Customer is referred in error

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

3.13   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'.

3.14   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'.

3.15   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'.

Customer Leaves SES Programme

Action

3.16   Complete the Customer Exit Tracker Document (insert link) when the customer leaves your programme to enable the customer, and if they wish it, their DEA/Work Coach to consider the next steps for the customer. 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.

3.17   See Chapter 13 of this guidance for notes on Exit Planning.

Re-Referrals

3.18   As SES is entirely voluntary there will be no re-referrals of customers to SES. Providers will work closely with customers on their 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)

3.19   In addition to DEAs/Work Coaches, 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.

3.20   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 customer. See Annex 1 of this guidance for full details of this referral process.

3.21   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.

3.22   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 and Health Programme or another incompatible

DWP programme. This will ensure that customers are not inconvenienced by being introduced or started on provision in error.

3.23   Upon first meeting a potential customer 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).

3.24   You must assess the customer's needs and 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 programmes. Please refer to Annex 2 of this guidance for compatibility guidance.

3.25   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.

3.26   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.

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

3.28   See PRaP guidance in Chapter 10 of this guidance

3.29   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

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

3.31   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

3.32   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 customer.
- Take the same action on PRaP as for non MAPPA cases to acknowledge and accept the referral.

Detailed Background and Further Information

Referrals

Customer's referral from Jobcentre Plus

3.33   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 customer has had an incident recorded whilst working with Jobcentre Plus. Further information on incidents can be requested by contacting Jobcentre Plus;
- Disability Status – Notification that the customer has informed Jobcentre Plus that they are disabled. (Please note: Under current processes you will be notified that the customer is a disabled person but you will not be notified what the disability is. Disabled customer's may require special arrangements when you meet with them;
- childcare needs/arrangements e.g. lone parent, preferred working pattern;
- customer's claim pattern;
- Jobcentre Plus agreed employment restrictions on availability;
- Welsh language written or spoken;
- referral ID;
- provision ID;
- date of referral;
- vulnerable customer 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 customer to disclose any disadvantages they have.

MAPPA cases

3.34   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.

3.35   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.

3.36   The Jobcentre Plus nominated officer will also provide you with the customer's contact details.

3.37   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.

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

3.39   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

3.40   Customers 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.

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

3.42   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.

3.43   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.

3.44   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](#).