

# Withdrawn

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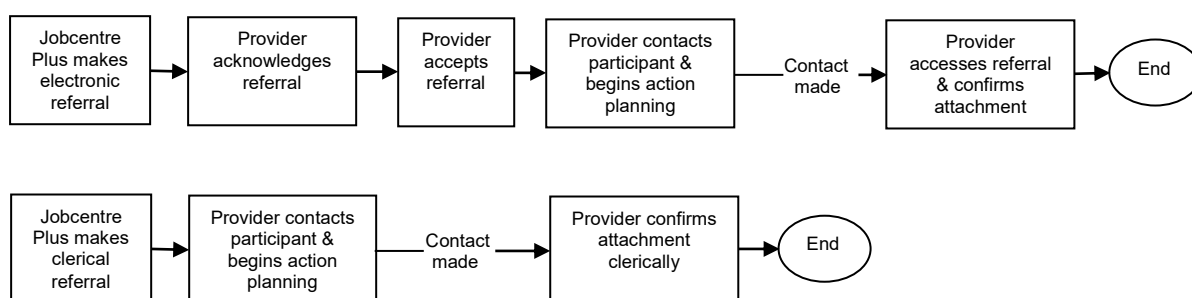
## Chapter 4 – Accepting Referrals, Initial Participant Engagement and Registering an Attachment

**Please Note: Referrals to this programme ended on 31 March 2017. This guidance is for existing Work Programme participants only**

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### High Level Must Dos



### Referral

1. You will need to work with your local Jobcentre Plus contacts to ensure an effective referral and engagement process with the participant.
2. The date the referral is made by Jobcentre Plus is day one of the 104 week period that you have to work with the participant.
3. Prison leavers who make a claim to Jobseeker's Allowance (JSA) within five weeks of their expected release date will be referred to you by the Employment and Benefit Adviser (EBA) within the prison. The only exception is where the claimant is already receiving support to address barriers to employment, further information can be found in [paragraph 30](#).

### Background

4. Further detail is provided in the [Detailed background and further information section](#).

### **Provider acknowledges referral**

5. You are required to 'acknowledge' the participant's referral made by Jobcentre Plus.

#### **Action**

- Access the Provider Referral and Payments (PRaP) system and acknowledge the referral. Further detail on the process by which this action needs to be undertaken is covered within the interim UPK topics.

#### **Consequence**

Failure to acknowledge a referral will mean that you will be unable to accept a referral or record an attachment date and that you will be unable to receive any resulting payments.

### **Provider accepts referral**

6. You are required to 'accept' the participant's referral made by Jobcentre Plus.

#### **Action**

- Access the PRaP system and accept the referral. Further information regarding the use of PRaP can be found in the Provider Desk Manual which forms part of the UPK/Tutor Help function embedded within PRaP.

#### **Consequence**

Failure to accept a referral will mean that you will be unable to register an attachment and therefore you will be unable to claim any Job Outcome payments.

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

7. MAPPA cases who have not been given Special Customer Record (SCR) 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 contact details and 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.

#### **Background**

8. Further detail is provided in the [Detailed background and further information section](#).

## Clerical referrals

### SCR - including MAPPA cases given SCR status

9. Participants who have been granted SCR status will always be referred to you clerically using the SL2 clerical referral form. There is no requirement for clerical cases to be acknowledged or accepted. The first step in the clerical process is to claim the attachment following your initial engagement with the participant in PRaP.
10. In rare cases, some MAPPA participants may be given SCR status. You must ensure that you treat these cases as you would any other SCR participant.

### Actions

- Jobcentre Plus will complete page one (of three) of the form SL2, forwarding the entire form to your Nominated Officer.
- On receipt of form SL2 from Jobcentre Plus, you must undertake attachment activity (retaining pages two and three of the SL2 form) and complete and return page one to the Jobcentre Plus Nominated Officer.
- You should also send a photocopy of page two of the SL2 form to the Provider Payment Validation Team (PPVT) accompanied by the relevant PRaP11 form in order to claim the attachment fee. Form SL2 (will be added soon). For further information about information security refer to [Generic Provider Guidance Chapter 8 - Information Security](#).

### Background

11. Further detail is provided in the [Detailed background and further information section](#).

### Initial engagement activity

12. You must engage with the participant by discussing the programme and begin action planning with them. As a minimum, this must include the next steps for the participant to take on either a voluntary or mandatory basis. The way in which you contact participants is at your discretion.

### Actions

- You must keep evidence of this two-way discussion.
- You must issue any mandatory activities to the participant in writing. Further information can be found in [Action planning minimum requirements](#).

### Provider registers attachment

13. Once you have engaged with the participant you are required to register the attachment. We expect initial engagement and attachment to take place within 15 working days of the referral.
14. If the participant is referred to you for Day One Support and has made an advance claim to JSA prior to leaving prison we expect engagement and

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attachment activity to take place within 25 working days of the referral. We expect prison leavers who are making their claim to JSA within 13 weeks of release or those referred following transforming rehabilitation support to be attached within 15 working days.

### Actions

- You must record the attachment in PRaP. The actions needed to undertake this are covered in the UPK Topic 'Advise Start Provision Date.'
- Input both 'date 1' and 'date 2' as the same date when recording the participant's attachment.
- The attachment date you record in PRaP must always be "today's date." This date may not necessarily be the date on which the two-way discussion actually took place but the date cannot be backdated in PRaP.

### Consequence

Failure to complete attachment activities in PRaP as soon as you have taken the action could result in:

- non payment of outcomes if the job start date falls before an attachment has been recorded
- failing to meet audit requirements, leading to a recovery of funds.

## Detailed background and further information

### Referral

#### Participant's referral from Jobcentre Plus

15. Information sent as part of the referral 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 (NINO)
- full address including post code
- telephone number inc area code
- other telephone number (mobile)
- qualifications
- Driving Licence
- aims (free text field)
- job preferences
- employment history
- preferred hours
- participant's payment group
- if the participant is voluntary or mandatory
- Incident Marker – notification where a participant has had an incident recorded while working with Jobcentre Plus. The Jobcentre will issue you with a notification of control measures form by post to make you

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aware of any measures following an incident. 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 participants may require special arrangements when you meet with them
- childcare needs/arrangements, for example lone parent, preferred working pattern
- participant's signing cycle
- participant's claim pattern
- Voluntary Early Entry Category
- JSA signing day
- 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 field of the referral
- claimants who require additional support – this will be notified by the inclusion of the wording "May require reasonable adjustment or additional support" on their action plan
- 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.

### **JSA Claimant Commitment**

16. The JSA Claimant Commitment sets out both the period the claimant is available for work each week and the actions they agree to undertake each week, in order to retain their entitlement to benefit.
17. Claimants are encouraged by their Work Coach to take more responsibility for planning and undertaking these activities.
18. To help ensure that claimants are motivated and committed to meeting these requirements, the consequences of not complying are recorded together with the agreed actions.
19. So that all parties are aware of the requirements placed on the claimant in order for them to receive benefits, it is beneficial for the claimant to share their Claimant Commitment with you.
20. Sharing of the Claimant Commitment is voluntary but is encouraged with a view to offering claimants the best support possible to help them move into employment. If the claimant declines to share their Claimant Commitment you should not take any further action to pursue.

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21. If the claimant does grant you access to their Claimant Commitment, it will provide you with:
- an understanding of the level and type of activities a claimant has previously committed to undertake
  - information that you can use for comparison purposes following your own assessment of claimants capability
  - information on messaging around a claimant's non-compliance with work related requirements
  - any adjustments that may have been made for the claimant, so you may consider these when agreeing activities and participation whilst on the Work Programme.
22. All claimants can ask for their Claimant Commitment to be changed at any time. If a Work Programme participant asks for a change to their Claimant Commitment, Jobcentre Plus will discuss the proposed changes with the participant and where helpful to do so, consult with the Work Programme Provider to clarify activities that the participant wants to add to their Claimant Commitment. Co-operating with Jobcentre Plus will ensure participants have accurate Claimant Commitments, which will assist you in delierving the right level of support. If you are unable to provide clarification at the point of Jobcentre Plus contact, Jobcentre Plus will consider whether to include the changes based on the information given to them by the claimant.

### **Additional information for prison leavers who are referred as an advance claim**

23. Prison leavers are given the opportunity to make an advanced claim to JSA up to five weeks prior to their release and will be referred to you in the usual way via PRaP. You will be unable to undertake attachment activities until they have been released from prison.
24. On referral you will be sent the usual referral information as well as contact details for the EBA within the prison and the expected date of release.
25. It may not always be possible to include the participant's signing day and cycle on the referral. If it is not included you should contact Jobcentre Plus.
26. In some circumstances, the Jobcentre contact details of the participant will be incorrect. This is due to Jobcentre details being associated with the EBA. If this is the case, the EBA will add a note to the action plan to notify you of the participant's signing Jobcentre.
27. The participant referral should not be made without a correspondence address. Where a participant is of No Fixed Abode or a Person without Accommodation, their EBA will ensure that a correspondence address is supplied as part of the referral. The correspondence address could be, for

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example, a friend's address or if no other address is available, their local Jobcentre.

28. The participant will also be informed that if they do not check regularly for any correspondence from you, and subsequently fail to undertake a mandatory activity, it could result in their benefit being affected.
29. You will **not** receive confirmation that the prison leaver was released on the specified date. However you will be informed if they are not released as expected.

### **Transforming Rehabilitation for Prisoners**

30. New legislation has come into force that means prisoners released from short sentences (anything more than one day) will now receive statutory supervision in the community.
31. From 1 May 2015 providers from private, public and voluntary sectors will deliver support and rehabilitation to low and medium risk offenders through 21 Community Rehabilitation Companies (CRCs) across England and Wales (but not Scotland).
32. CRC support will commence from a date prior to their release from prison and Jobcentre Plus Employment Benefit Advisors (EBA's) will have the flexibility to defer referring the prison leaver to the Work Programme for up to 13 weeks if they are already receiving support that addresses barriers or employability needs which may impact on them effectively participating in the Work Programme.
33. The claimant will remain with the CRC for at least 12 months following their release from prison, however the Jobcentre Plus Work Coach will refer the claimant to the Work Programme at the end of the deferral period.
34. In these cases you will be expected to work in conjunction with the CRC to ensure that the participant receives support to find sustained employment.

### **Scottish Prison Leavers**

35. Due to Scottish legislation, DWP are unable to mark the records of Scottish prison leavers without their consent. Contingency arrangements are in place to obtain consent from the prisoner and mark records where agreement has been obtained.
36. This may have an impact on the number of referrals made to Work Programme providers within Scotland.

### **Prison leaver release date delayed**

37. It is expected that the majority of prison leavers who have made an advanced claim to JSA will be released on the date specified. However, in some instances this may not be possible.



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38. Should the release date be delayed you will be notified by the EBA on the day after the scheduled date of release or as soon as possible after that.
39. Once you receive confirmation that they were not released you should take steps to cancel the referral in PRaP as per current guidance.

### **Unattached Prisoner Referrals**

40. If a prison leaver fails to sign after being released from prison you will be notified by Jobcentre Plus.
41. You must retain the referral in case the prison leaver re-claims benefit within 13 weeks of discharge from prison.
42. If the claimant has not been attached to the Work Programme after 18 weeks of referral you must contact Jobcentre Plus to confirm whether they have failed to make a JSA claim
43. If no claim to JSA has been made you should cancel the referral on PraP using the cancellation reason “did not start” and send it back to Jobcentre Plus.
44. If a claim to JSA was made within the specified 18 weeks, the referral should remain unattached unless there is a “live” claim in payment. Where there is a live claim you will need to take normal attachment action.

### **Vulnerable ESA Participants**

45. On the referral information you will be informed if an ESA participant is in a vulnerable group. This will allow you to assess whether you need to make any adjustments to the participant’s engagement process.
46. After the initial referral it will be your responsibility to continually assess your participants to:
  - determine if any change of circumstances has caused them to become a vulnerable participant
  - be aware of changes to vulnerable status that are communicated by DWP. Further information can be found in [Work Programme Provider Guidance Chapter 4b – Safeguarding and Vulnerability](#).

### **Participants Requiring Support**

47. Some participants who do not meet the Work Programme definition of vulnerable may still require extra support in accessing Work Programme services.
48. Where a participant needs additional support to help them understand what is expected of them while on the Work Programme or to access services, Jobcentre Plus will annotate the action plan with the following note:

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“May require reasonable adjustment or additional support.”

49. As you are already required to consider an individual’s circumstances when you engage with them this note is merely to alert you that extra support may be required when engaging with them.

### **MAPPA cases**

50. The Jobcentre Plus nominated officer will contact your nominated officer to discuss any restrictions that should be in place for each MAPPA referral. They may decide to 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.
51. 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.
52. The Jobcentre Plus nominated officer will also provide you with the participant’s contact details.
53. 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.
54. Further information regarding MAPPA cases can be found in [Generic Provider Guidance Chapter 2 – Delivering DWP Programme Provision](#).

### **Clerical referrals**

#### **SCR - including MAPPA cases given SCR status**

55. Participants who have been granted SCR status will be referred to you clerically following the SL2 process. There is no clerical equivalent of accepting a PRaP referral for SCR cases, so this step does not apply in these instances. Provider action starts following initial engagement when you should claim the attachment fee.
56. Further explanatory information about SCR cases is contained in [Generic Provider Guidance Chapter 2 – Delivering DWP Provision](#).
57. 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.
58. The clerical completion and return of SL2 Forms for 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.

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59. All information on SCR participants whether received from Jobcentre Plus or generated by yourselves must be stored securely at all times. Further information can be found in [Generic Provider Guidance Chapter 8 - Information Security](#).

### Payment Group (PG) 8 Referrals

60. Prior to 2 March 2015, claimants receiving Incapacity Benefit (IB) or Income Support (IS) in England could volunteer to be supported by the Work Programme. These claimants were referred to Work Programme providers via PG8.
61. PG8 is funded through our European Social Fund (ESF) allocation (2007 – 2013), which closed on 2 March 2015.
62. If you receive any referrals for PG8 you should immediately contact the Work Services Manager (WSM) at the Jobcentre concerned. If the WSM confirms a referral was made in error they will ask you to cancel or reject the referral.

**Please note:** You **must not** cancel or reject a referral before speaking to the WSM as the decision whether the referral is incorrect lies with them.

### Inappropriate Referrals

63. Situations may arise where Jobcentre Plus make a referral which is inappropriate. An inappropriate referral may be because:
- [a claimant may be ineligible for the Work Programme](#)
  - [a claimant is referred as part of the wrong claimant group](#).
64. In these cases and only these cases, there are processes to correct the error. The error should be identified by Jobcentre Plus who will instigate the appropriate action.
65. When the error is discovered by Jobcentre Plus, they will telephone you to advise you what has occurred. Upon receipt of this telephone call, you should take no further action with the participant until further instruction from Jobcentre Plus.
66. You should advise the PRaP Operational Support Team (POST) and each Jobcentre with whom you work of your nominated contact person for these occurrences as soon as possible.
67. If you discover an error with the referral, you should immediately contact the WSM at the Jobcentre concerned.

**Please note:** You **must not** cancel or reject a referral before speaking to the WSM as the decision as to whether the referral is incorrect lies with them.

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68. The outlined scenarios, prompted by Jobcentre Plus, are the only circumstances in which 'Rejections' or 'Cancellations' in PRaP should be recorded for Work Programme participant referrals.

### **A claimant is ineligible for Work Programme**

69. When it is discovered that a referral has been made for a participant who is ineligible, Jobcentre Plus will contact the participant to determine whether they wish to remain on the Work Programme or leave to be referred at the correct time.
70. If the participant wishes to stay, Jobcentre Plus will advise you of this and you may then continue to work with the participant.
71. If the participant wishes to leave, Jobcentre Plus will advise you accordingly and your subsequent actions will depend on the action you have already taken.
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.'
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.'
74. Where the error is discovered and notified after attachment in PRaP - Jobcentre Plus will advise the POST who will arrange for the referral to be 'backed-out' of PRaP. POST will 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'. The participant will then be referred to the WP at the correct time.

### **A claimant is referred as part of the wrong claimant group**

75. 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.'
76. 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.'
77. Once the inappropriate referral has been rejected/cancelled, Jobcentre Plus will refer the participant back to you using the correct claimant group.
78. Where the error is discovered and notified after attachment in PRaP - If you have already attached, there is no further action to take. The participant will remain with you and remain in the incorrect claimant group and all payments will correlate to this claimant group.

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**Please Note:** Where the participant is to remain in the incorrect claimant group Jobcentre Plus will advise and notify you of which 'claimant group' the participant should have been referred under. It is important that you record this information as this will inform you of the participant's participation requirements, for example participation on a mandatory or voluntary basis.

### Initial engagement activity

79. Once you have accepted the participant's referral from Jobcentre Plus you are required to engage with the participant by:

- discussing the Work Programme with them and
- beginning your action planning with them.

80. It is for you to determine the most appropriate means of contact with the participant and evidence of the two-way discussion must be recorded.

81. To ensure timeous attachment you may choose to mandate (mandatory) participants to engage. Where you do so, you must ensure you meet regulatory commitments. In all cases you must also take follow up action where a participant fails to comply with the stated mandatory action. Further information regarding mandating participants can be found in [Work Programme Provider Guidance Chapter 3a – Mandation](#).

82. Unless the participant made an advance claim to JSA as a prison leaver prior to release, you are expected to engage with the participant, identify any disadvantages where the disadvantaged marker is notified as set and register the attachment on PRaP within 15 working days of the referral. DWP Performance Managers will monitor volumes of participant's who do not fall within this timeframe. Therefore, consideration needs to be given to the evidence you record regarding your efforts to engage with all participants.

83. If the participant has been referred to following release from prison having made an advance claim to JSA prior to release, you are expected to engage with the participant and register the attachment on PRaP within 25 working days of the referral. A separate report will be generated to allow DWP performance managers to monitor volumes of these participants who do not fall within this timeframe. Therefore, consideration needs to be given to the evidence you record regarding your efforts to engage with all participants. Further information can be found in [Work Programme Provider Guidance Chapter 12 – Performance Management](#).

84. DWP expect you to have effective processes in place to meet this requirement and be able to demonstrate that you have conducted the necessary actions.

**Please Note:** It is essential that you retain robust evidence of the two-way conversation/action planning which supports the Attachment Fee payment. This evidence will be subject to validation, audit and the evidence must be retained in line with ESF document retention requirements. Further

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information can be found in [Generic Provider Guidance Chapter 11 – European Social Fund](#).

### **Initial engagement activity for prison leavers**

85. Prisoners who wish to make their claim to JSA prior to release will be able to do so. The EBA based within prisons will facilitate this and consider making a referral to the Work Programme or deferring for up to 13 weeks to access transforming rehabilitation support.
86. Where the participant is referred to the Work Programme if you wish to share any information with the prisoner in the period between referral and release, you should send this via the EBA.
87. In some prisons it may also be possible for you to work with the EBA to arrange warm handovers.

### **Day One Mandation for prison leavers**

88. Claimants who have already made their claim to JSA prior to leaving prison can be mandated to attend provision on the date of release.

**Please Note:** if you mandate the participant on the day of release, you must ensure that the location and the timing of the mandated activity is reasonable for them to achieve. Otherwise any compliance doubt may be allowed.

89. Prison leavers who do not choose to make their claim to JSA prior to their release, but go on to make a claim within 13 weeks of their release date will also be considered for mandation to the Work Programme from their date of claim.
90. Prison leavers can be mandated to undertake activities in the same way as other mandatory participants. Unless you are informed that they were not [released as expected](#), you must take follow up action where a participant fails to comply with the stated mandatory action. Further information regarding mandating participants can be found in [Work Programme Provider Guidance Chapter 3a – Mandation](#).
91. Prison leavers claiming JSA are **not** required to be actively seeking and available for work for seven days following the date of their release. Therefore, you cannot raise a WP10 entitlement doubt for this period. Further information regarding entitlement doubts can be found in [Work Programme Provider Guidance Chapter 8 – JSA Entitlement Doubt](#).

### **Participant Contact**

92. The frequency and means (text, email, etc) by which you contact participants will be driven by your delivery model.

### **Identity Checks**

93. You must ensure that in all communications with participants you are satisfied you are engaging with the correct person.

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94. To do this, you may decide to ask them to state a combination of their personal information such as:
- full name
  - address
  - NINO
  - other information, such as details that were included within the original referral from Jobcentre Plus
  - details you hold on your records.

### **Action Planning – Minimum Requirements**

95. You must ensure that, as a minimum, participant's have access to all ongoing mandatory requirements in a single document that is available to them at their request. This should include a clear explanation of what each activity is, when it occurs, when it must be completed by and what evidence is required to demonstrate completion of the activity. Further information regarding Action Planning requirements can be found in [Work Programme Provider Guidance Chapter 3b – Action Planning](#).

### **Participant starts work between referral and attachment**

96. Claimants may report that they have found a job in between their referral interview with Jobcentre Plus and engaging with you.
97. If you are notified before the job start date you should endeavour to engage with them and complete attachment activity, up to and including the day before they actually start work.
98. Undertaking this action promptly will enable you to offer the claimant both the initial support they may require to begin work, for example travel expenses, clothing etc, and ongoing in-work support to help them sustain employment.
99. In these circumstances you will be eligible for the attachment fee and any subsequent outcome/sustainment payments in line with current award criteria. If you are unable to complete engagement activity before the claimant starts work, you must not attach them.
100. Should the claimant become unemployed and makes a new claim to an eligible benefit for the Work Programme within 104 weeks, they will be sent back to you.