



Department  
for Work &  
Pensions

# RESTART SCHEME

## Provider Guidance

### **Please note:**

This Provider Guidance is not to be used in conjunction with any other Guidance product, this includes the Generic Provider Guidance

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# Chapter 01: Introduction and Overview

## Navigating this guidance product

- 1.01 This guidance has been structured to help you find information or the action you need to take, as quickly as possible. All chapters of this product are contained in a single document, so you can use search options such as:
- web-links provided on the left side of this page
  - Control F (Ctrl-F) to search for key words
  - the 'Find' option (see 3 dots) at the top right of the page
  - in addition, when searching for key words, the Glossary will help in terms of summarising or providing a key search-word or phrase.
- 1.02 The Restart Scheme Provider Guidance will sometimes use the term “you” or “your” to mean the Providers of the Restart Scheme. Likewise, it will sometimes say “we” to mean DWP.
- 1.03 The guidance is set out in sections based on the Participants’ journey throughout their time on the Restart Scheme following:
- Joining the Restart Scheme
  - During the Restart Scheme
  - Leaving the Restart Scheme.
- 1.04 Guidance relevant to aspects of the Restart Scheme that can cover any stage of the Restart journey, such as IT and Performance Management, are grouped together in a separate section.

**Please note:**

The Generic Provider Guidance on gov.UK is not linked and should not be referenced in relation to the Restart Scheme.

## Introduction to the Department for Work and Pensions (DWP)

- 1.05 The Department for Work and Pensions (DWP) is responsible for welfare, pensions and child maintenance policy. As the UK’s biggest public service department, it administers the State Pension and a range of working age, disability and ill health benefits to around 20 million Claimants and customers. Read further information [about DWP](#).

## Aims of DWP Provision

- 1.06 DWP's Contracted Employment aims to deliver the best possible service to the people who are Participants on DWP programmes. Read the [values and aims of DWP](#).
- 1.07 The aim of DWP Contracted Employment provision is to support these values by helping and supporting people who are out of work to move into and remain in employment, recognising work as the primary sustainable route out of poverty and reducing the number of children in workless households.
- 1.08 Your performance contributes directly to that of DWP overall and we therefore have a shared interest in the success of your provision. DWP operates a policy of continuous improvement in which we work to raise all aspects of quality and performance in the services we deliver, and you are expected to work with us in doing so. All DWP provision is designed to tackle specific barriers that unemployed people face in finding and retaining work. You are expected to provide people with a professional, high quality, personalised and work-like experience that delivers a sense of pace and purpose in their efforts to find work.

## The DWP Customer Charter

- 1.09 DWP is committed to providing high quality and efficient services to our customers. The [DWP Customer Charter](#) sets out the standards that customers can expect and what their responsibilities are in return.
- 1.10 DWP is dedicated to raising the standards of all our contracted provision and require all Providers and sub-contractors to embed the principles of the Customer Charter into the services you deliver on DWP's behalf. The 'shared promise on customer care', developed by the Employment Related Services Association and supported by DWP, makes the commitments given in the DWP Customer Charter more specific for welfare to work Providers to enable them to sign the Shared Promise. DWP will expect you and your sub-contractors to support the commitments contained in it.
- 1.11 In addition to the above, an outline of what your responsibilities are in return, can be found in [DWP procurement policies and procedures](#).

## This Guidance

- 1.12 This Provider Guidance is not a contractual document however it is intended to help you to deliver the service as outlined in your contract.
- 1.13 It uses different terms depending where someone is in relation to their benefit claim and their journey on the provision:
- whilst a person remains entitled to Universal Credit or Income Based Jobseekers Allowance (JSA (IB)), they may still be referred to as a Claimant by Jobcentre Plus,

- once a Jobcentre Plus Work Coach considers someone to be eligible and suitable for the Restart Scheme, they may be referred to as a “Potential Participant” until the point at which they attend their Initial Meeting and start on the provision or are no longer being considered for referral,
  - after attending their Initial Face to Face Meeting and starting on the provision, the person will be referred to as a “Participant”.
- 1.14 Whilst the Restart Scheme is designed to include Face to Face contact, circumstances can suddenly change and make Face to Face contact impractical. This guidance has been written as though Face to Face contact will be permissible. However, should this not be possible due to national or local circumstances, then alternative arrangements such as telephone or video conferencing should be utilised. **Please refer to Chapter 02: Joining the Restart Scheme, paragraph 2.30 - 2.31 and Chapter 03 Restart Scheme – During Restart, the Please Note box above paragraph 3.32.**
- 1.15 All Restart Scheme Provider Guidance must be read in conjunction with:
- the “Restart Call-Off Specification”
  - your Terms and Conditions
  - your Contract
  - DWP IT Systems User Guidance, and
  - DWP Supplier Code of Conduct.
- 1.16 This guidance provides additional information to the schedules of your contract(s). Provider Guidance does not look to replicate or replace the details within your contract, and you are responsible for ensuring you read, understand and are complying with your contract.
- 1.17 You must ensure that any organisations with which you have a sub-contractual relationship also have access to, and have read, the Restart Scheme Provider Guidance.
- 1.18 If you have any questions which are not covered by this guidance, please raise with your Employment Account Division Performance Manager (EAD PM) in the first instance.

## Restart Scheme - General Information

- 1.19 The Restart Scheme provides intensive support for up to 12 months (a maximum of 365 days in total) to help Participants into sustained work. It is designed for people who are currently in the Intensive Work Search Regime (IWSR) and have been claiming Universal Credit or JSA (IB) for a minimum of 9 months. There is opportunity for discretionary referrals to the Restart Scheme at the right time in an individual’s journey. Claimant and Jobcentre Plus Work Coach discussions will provide an opportunity to decide if someone will benefit from the scheme and that this will be the most appropriate route into work for them.

- 1.20 The Restart Scheme provides additional tailored support above what is available through Jobcentre Plus, supporting Participants into sustainable work.
- 1.21 This DWP Programme-Specific Provider Guidance supports you in your delivery of the Restart Scheme on behalf of the Secretary of State for Work and Pensions. It provides guidance on processes and requirements for the Restart Scheme, supporting the scheme contract details and the legal arrangements for delivery.

## Overview of the Restart Scheme

- 1.22 To meet ministerial intent, the Restart Scheme has 4 key objectives:
- **Job Outcomes** - The Restart Scheme should help long-term unemployed Claimants to get back into work on a secure, sustained basis. The Restart Scheme should provide Job Outcome focussed support, tailored towards the Participants' needs
  - **Providing a locally tailored, adaptable support offer** - The Restart Scheme should design and tailor interventions in accordance with the labour market at a local level. This means seeking out and taking advantage of opportunities such as local growth sectors, local training initiatives and flexing the offer throughout the lifetime of the Restart Scheme based on emerging labour market challenges and opportunities. The Restart Scheme should maintain strong working relationships with key local stakeholders to ensure the Restart Scheme's offer is complementary to local efforts on an ongoing basis
  - **Value for Money** - The Restart Scheme should deliver support as effectively as possible, so that the fiscal return measured for the Restart Scheme (from additional employment gained and time on benefits reduced) should exceed the cost of the Restart Scheme
  - **Evidence** - The Restart Scheme should build the evidence base for the design and delivery of large-scale employment programmes for long-term benefit Claimants.
- 1.23 The Restart Scheme is based around principles of engagement, collaboration and joint endeavour between the Participant, Jobcentre Plus Work Coach and you.
- 1.24 Handovers, facilitated by the Jobcentre Plus Work Coaches support these principles by enabling you to introduce yourself and your Provision to the Potential Participant while they are with someone who they already have a relationship with.
- 1.25 Whilst on the Restart Scheme the Participant will also continue to meet regularly with their Jobcentre Plus Work Coach to discuss progress. This may include a review of their Restart Scheme Action Plan.
- 1.26 Participants, Jobcentre Plus Work Coaches or yourselves can initiate a three-way conversation at any point during the Participant's time on the scheme. These conversations will allow open dialogue between all

parties and encourage participation on the Restart Scheme. For more information, please refer to Chapter 03: Restart Scheme – During Restart.

**Please note:**

Whilst on the Restart Scheme Participants will be required to continue to meet their benefit conditionality, such as regular interviews with Jobcentre Plus Work Coaches. Their participation on the scheme will be incorporated into their Claimant Commitment.

**Please note:**

The Restart Scheme is a mandatory employment programme for eligible Participants. You may mandate Participants to undertake activity to help them to prepare for or move into work, subject to their circumstances and capabilities. However, mandation must only be considered where alternative attempts to engage and encourage the Participant to undertake activity have failed, and it is reasonable to expect the Participant to undertake the activity.

## Restart Scheme Quick Start Guide

1.27 The table below shows a high-level overview of a Participant’s journey highlighting the minimum interactions that happen between the Jobcentre Plus Work Coach, Provider and Participant.

	High Level Steps	Action	Chapter Ref
1	Pre-Referral Stage (Universal Credit)	Claimant is identified as a Potential Participant on Universal Credit (9 months + on Universal Credit) and on IWSR.	N/A
2	Pre-Referral Stage (Universal Credit)	Jobcentre Plus Work Coach confirms the Potential (Universal Credit) Participant is eligible and suitable for the Restart Scheme	N/A
3	Pre-Referral Stage (JSA(IB))	Jobcentre Plus Work Coach identifies a Potential (JSA IB) Participant is eligible and suitable for the Restart Scheme	N/A
4	Warm Handover Booking	Jobcentre Plus Work Coach uses local arrangement to book a Warm Handover call with the Provider	2
5	Warm Handover Call and Initial Face to Face Meeting Appointment	Jobcentre Plus Work Coach, Potential Participant and Provider attend the Warm Handover. The Provider then books the Initial Face to Face Meeting with the Potential Participant	2

	<b>High Level Steps</b>	<b>Action</b>	<b>Chapter Ref</b>
6	Referral to the Restart Scheme	Jobcentre Plus Work Coach refers the Potential Participant to the Provider.	2
7	Acknowledge Referral on PRaP	Provider checks referral information is complete/accurate and acknowledges the referral.	2 & 9
	Customer Service Standard 1a	(a) 85% of cases start on the Restart Scheme within 30 working days of referral	2
	Customer Service Standard 1b	(b) 70% of cases start on the Restart Scheme within 15 working days of referral	2
8	Initial Face to Face Meeting Attended	Provider and Potential Participant successfully complete the Initial Face to Face Meeting	2
9	Start registered on PRaP	The Provider registers the start on PRaP for this Participant (Day 1 of 365 Days)	2 & 9
	Customer Service Standard 2	Initial Diagnostic Assessment completed within 8 weeks of referral	3
	Customer Service Standard 3	Initial SMART Action Plan completed/signed by both parties within 8 weeks of referral	3
	Customer Service Standard 4	Deliver one to one Support at least every ten (10) working days	3
	Customer Service Standard 5	Conduct a one-to-one face to face review no less than every twenty (20) working days	3
	Customer Service Standard 6	Diagnostics Assessment reviewed no less than every 4 months	3
	Customer Service Standard 7	Review and update SMART Action Plan no less than every 4 weeks	3
10	Participant Completes the Restart Scheme	The Participant's Restart Scheme participation ends after 365 Days	8 & 9
11	Automated PRaP Action	PRaP automatically changes the Participant's Restart Scheme status to Completer at Day 365	9
12	Participant Tracking Period	Outcomes can be claimed/paid within 182 days after Participant completion at Day 365	5
13	Automated PRaP Action	PRaP automatically closes the Participant record at Day 547	9

# Who is Eligible to be Referred to the Restart Scheme?

## Universal Credit Claimant Eligibility

- 1.28 To be eligible, the Jobcentre Plus Work Coach will determine that the Claimant must:
- Have been in receipt of Universal Credit or JSA (IB) for at least 9 months with no upper limit, and be in the Universal Credit IWSR at the point of referral
  - have no sustained PAYE earnings at the point of referral
  - not be identified as Gainfully Self-employed (GSE)
  - have the right to work in the UK
  - reside in England or Wales
  - be of working age (See Please note box below)
  - not currently on other DWP Contracted Employment Provision
  - not be in a Control Group or public Sector Comparator where participation on this scheme would affect the validity of those groups
  - has not previously participated on the Restart Scheme.

## JSA (IB) Claimant Eligibility

- 1.29 To be eligible, the Jobcentre Plus Work Coach will determine that the Claimant must:
- be currently in receipt of JSA (IB)
  - have been in receipt of JSA (IB) for a minimum of 9 months with no upper limit
  - have no sustained PAYE earnings at the point of referral
  - have the right to live and work in the UK
  - reside in England or Wales
  - be of working age (See Please note box below)
  - not currently on other DWP Contracted Employment Provision
  - not be in a Control Group or public Sector Comparator where participation on this scheme will affect the validity of those groups
  - has not previously participated on the Restart Scheme.
- 1.30 Self-employed JSA (IB) Claimants can be eligible for the Restart Scheme.

**Please note:** In England and Wales “working age” is defined as starting from 16 years of age to State pension age. However, in England 16 to 17 year-olds who are not in work, are required to stay in education or training, so whilst 16 to 17 year-olds can access the Restart Scheme in Wales, in England they will not be able to access the Restart Scheme until they reach 18 years of age.



- 1.31 The Jobcentre Plus Work Coach will confirm eligibility and determine the Claimants suitability for the Restart Scheme, before booking the Warm Handover at the point of referral.

## **Suitability – All Claimants**

- 1.32 Checks will be carried out by the Jobcentre Plus Work Coach prior to referral, to determine if the Restart Scheme is suitable for the Claimant and their current circumstances. In addition to confirming eligibility, the following factors will be considered:
- is the Claimant likely to be given a start date for employment soon? If so, consider deferring the referral until their employment status is known?
  - are there any Easements in place? (Although this does not automatically exclude someone)
  - is there other support which may be more appropriate?
  - is the Claimant ready to take advantage of the support? (i.e. there are not more complex barriers to work that will need to be addressed before they can benefit from the Restart Scheme support).
- 1.33 This list is not exhaustive.

## **Suitability – Universal Credit Claimants**

- 1.34 Checks will be carried out by the Jobcentre Plus Work Coach prior to referral to determine if the Restart Scheme is suitable for the Claimant and their current circumstances. In addition to confirming eligibility, the following factors will be considered:
- Claimants who are considering self-employment and those who have not been found to be Gainfully Self-employed (GSE), can be considered for the Restart Scheme. This includes those who may continue to report self-employed earnings
  - is there a Work Capability Assessment (WCA) or appeals interest? (Although this does not automatically exclude someone).
- 1.35 This list is not exhaustive.

## **Claimants with a Health Condition**

- 1.36 The Restart Scheme has been designed to support the majority of Claimants in the Universal Credit IWSR or in receipt of JSA (IB). Claimants in this group will have a variety of needs; including Universal Credit Claimants who are on a health journey.
- 1.37 Universal Credit Claimants in the IWSR currently on a health journey, can be considered for referral to the Restart Scheme. This includes Claimants who:
- have a fit note
  - are awaiting a WCA, or
  - are awaiting the outcome of a WCA.

- 1.38 Having a health condition does not, of itself, preclude Claimants from participation on the Restart Scheme and is not a reason to reject the referral. You should accept all referrals of Potential Participants who are deemed suitable by the Jobcentre Plus Work Coach. If you have any concerns about the suitability of a Potential Participant, you should speak to your Jobcentre Plus SPOC or the Potential Participant's Jobcentre Plus Work Coach, please refer to Chapter 02: Joining the Restart Scheme.

**Please note:**

If any Claimant is within the first 14 days of their fit note, the Potential Participant will have been informed by their Jobcentre Plus Work Coach that any Work Search Activities are voluntary until the 14 days expires. This requirement does not prevent a referral to the Restart Scheme.

- 1.39 Jobcentre Plus Work Coaches will consider each referral to the Restart Scheme and assess a Claimant's suitability for the Restart Scheme. If participation on the Restart Scheme is considered realistic and achievable for the Claimant, and they are likely to benefit from this additional support, a referral will be made. The expectation is that for a significant number of Claimants with a health condition, the Restart Scheme will be suitable. In all cases, the Jobcentre Plus Work Coach will have made the Claimant aware that participation in the Restart Scheme is mandatory.
- 1.40 A referral to the Restart Scheme can also be made for Claimants in the Universal Credit IWSR or in receipt of JSA (IB), who are not on a health journey but have an ongoing health condition or disability. This includes Claimants who:
- do not have a current fit note or medical evidence
  - are not awaiting a WCA, or
  - have been found fit for work and continue to submit a fit note or medical evidence for a condition which is the same (or substantially the same) as the condition on which the WCA decision was made.
- 1.41 You are expected to accept referrals where the Potential Participant has a health condition or disability. You should make reasonable adjustments to enable Participants to receive the full benefits of the Restart Scheme. You may wish to consider the following methods of support; this is not an exhaustive list:
- using alternative methods to Face-to-Face Interventions
  - using alternative methods of communication such as braille
  - ensuring appointments are conducted at an accessible location, or
  - booking interactions around medical appointments.
- 1.42 If you use alternative methods of support, these methods should be clearly noted in the Participant's notes, including the reason why an

alternative method was necessary. This may be requested as evidence to show that Customer Service Standards have been met.

- 1.43 A Participant's Induction Pack must be provided in hard copy. If a Face-to-Face Intervention could not take place due to a health condition, an Induction Pack can be issued electronically, followed by a hard copy in the post, to be returned with the Participant's signature.
- 1.44 A Participant's Action Plan should include what steps will be taken to help the Participant overcome barriers, progress towards participating in Face-to-Face Interventions and into employment. Where the health condition presents an ongoing barrier to employment, you should work with the Participant to identify suitable employers and job roles to aspire to.

## **Claimants with Communication Needs and/or have Complex Needs**

- 1.45 DWP and its contracted Providers have a legal duty to enable communication with Participants who do not speak English as a first language and/or require tailored support in response to their complex needs. This is sometimes referred to as English for Speakers of Other Languages (ESOL) and relates to Participants who do not speak English as a first language.
- 1.46 The Restart Scheme has been designed to suit Participants with a range of needs including those with communication needs and/or complex needs. Providers are expected to make reasonable adjustments to help support these Participants whilst on the Restart Scheme.
- 1.47 For further information on working with Participants with communication and/or complex needs, for further information **please see Chapter 03: Restart Scheme – During Restart, paragraphs 3.92 to 3.97 Supporting Participants with Complex Needs.**

## **Provider Referrals and Payments (PRaP)**

- 1.48 Claimants identified as being eligible and suitable for the Restart Scheme will be referred to Providers by Jobcentre Plus Work Coaches. You will receive a referral from the Provider Referrals and Payments (PRaP) system. The PRaP system enables secure, automated exchanges of information about Participants referred to Contracted Employment Programmes (CEP) and payments from DWP to Providers.
- 1.49 You must not work with any Potential Participant without a PRaP referral.

- 1.50 The PRaP system also provides DWP and Providers with transparent data about the cost and performance of CEP, supporting contract and performance management.
- 1.51 For more information and PRaP actions please see **Chapter 09: Using the Provider Referrals and Payment System for the Restart Scheme and Funding Model.**

## Provision Duration

- 1.52 Once your Participant has started on the Restart Scheme you will have 365 days to deliver a tailored package of support.
- 1.53 After the 365 days has lapsed, there will be a tracking period of 182 days, which is specifically for claiming Job Outcome payments which become eligible during this period. During the tracking period, although the Participant's time on the Restart Scheme will have ended, it is up to you to decide whether you want to continue to provide support e.g. to support someone entering or in employment or part of keep-in-touch arrangements on an individual basis.
- 1.54 The duration of your support offer may be less than 365 days in circumstances where your Participant exits the scheme as an early completer, see **Chapter 08: Completers, Early Exits and Change of Circumstances Completers.**

# Chapter 02: Joining the Restart Scheme

2.01 This chapter explains the actions that you will need to take once an eligible and suitable Participant has been identified by the Jobcentre Plus Work Coach for referral to the Restart Scheme. It covers your roles and responsibilities at the Warm Handover and Initial Face to Face Meeting.

**Please note:**

Should your Participant not attend and comply then you should consider **Chapter 09: Using the Provider Referrals and Payments System for the Restart Scheme and Funding Model, paragraph 9.20 to 9.23 Rejecting a Referral and Cancelling Acknowledgment, for any PRaP actions in relation to the 'Did not Attend' process**

## Customer Service Standards

2.02 Restart Scheme Providers are required to deliver eight Customer Service Standards, designed to ensure that all Participants receive a quality service during their time on Provision. The Customer Service Standards covered in this chapter are:

Description of CSSs	System used for measurement and % of achievement to meet CSSs
<p>Customer Service Standard 1 - Providers must ensure that an Initial Face to Face Meeting is conducted with a Participant and a start is recorded on Information Communication Technology (ICT) systems as a minimum:</p> <p>85% of cases within 30 working days of referral and 70% of cases within 15 working days of referral</p> <p>In both instances the date of the referral is counted as day zero. The Provider must satisfy both measures in order to achieve the standard.</p>	<p>DWP IT systems. 100% are compliant.</p>

## Warm Handover - Information

2.03 In all cases the Jobcentre Plus Work Coach is responsible for assessing a Potential Participant and confirming their eligibility and

suitability for the Restart Scheme and booking the Warm Handover (WHO) meeting. Most Warm Handover meetings will be held via a three-way conference call facilitated by the Jobcentre Plus Work Coach and attended by the Potential Participant and you.

- 2.04 The focus of the Warm Handover meeting is on engagement and encouragement. It is the first contact you will have with your Potential Participant, supported by their Jobcentre Plus Work Coach. It is an opportunity for you to explain the benefits of the Restart Scheme and to begin developing the relationship between you and the Potential Participant. The Potential Participant can raise any questions or concerns about the support they can expect.
- 2.05 During the Warm Handover you will arrange with the Potential Participant the date and time for the Initial Face to Face Meeting.
- 2.06 For Potential Participants where English is not their first language and/or have communication needs (for example, hearing impaired) it is the Jobcentre Plus Work Coach's responsibility to ensure appropriate communication methods (for example, translators) are available up to and including the Warm Handover.

## **Warm Handover - Provider Actions**

- 2.07 Depending upon which system you have set up, the Jobcentre Plus Work Coach will either phone your call centre or access your booking tool, and you must have processes in place to support these arrangements.
- 2.08 During the Warm Handover meeting:
  - the Jobcentre Plus Work Coach will introduce the Potential Participant to you
  - you will explain how the Potential Participant can benefit from the Restart Scheme
  - the Potential Participant will be able to raise any issues or concerns they may have and discuss any reasonable adjustments
  - a date, time and location for the Initial Face to Face Meeting between you and the Potential Participant must be agreed and the Jobcentre Plus Work Coach will then enter this information onto the relevant DWP system
  - any complex needs or vulnerabilities that the Potential Participant may have must be discussed so you know how best to support the Potential Participant and you will make alternative arrangements should Face to Face meetings are not possible;
  - you will reassure the Potential Participant and provide practical information such as travel to meeting locations.
- 2.09 To assist you in offering an individualised service, appropriate information will be shared with you about the Potential Participant. This list is not exhaustive, but it may include information such as:
  - advanced support concerns or additional needs
  - any easements to the Potential Participant's Work Search or Availability

- the steps already taken by the Potential Participant on their journey towards employment.
- 2.10 The following information is included in the subsequent Provider Referral and Payment System (PRaP) referral and should **not** be asked for:
- Participant Address/ National Insurance number
  - Work Coach's email address.

## **Following the Warm Handover - Provider Actions**

- 2.11 If you have a doubt or wish to question a Potential Participant's eligibility or suitability for the Restart Scheme this must be raised with the Jobcentre Plus SPOC, or the Jobcentre Plus Work Coach via phone call or email. This must be done following the Warm Handover call and before the referral is acknowledged in PRaP.
- 2.12 For any PRaP Actions please refer to Chapter 09: Using the Provider Referral and Payment System for the Restart Scheme and Funding Model.
- 2.13 Following the Warm Handover call It is your responsibility to ensure that appropriate communication methods (for example translators) are available if required, so that all Participants and Potential Participants have full access to the Restart Scheme.
- 2.14 During the period between the Warm Handover and the Initial Face to Face Meeting, you should maintain contact with your Potential Participant to ensure on-going engagement. This will allow any changes to their circumstances to be taken into account, for example, where they receive the offer of work, or have changes to their travel arrangements or support needs.
- 2.15 You must record all Initial Engagement Activity on your own internal Restart Scheme system as part of the audit process. The Warm Handover will be the first significant Engagement Activity, and therefore needs to be recorded.

## **Following the Warm Handover - Jobcentre Plus Work Coach Actions**

- 2.16 The Jobcentre Plus Work Coach will issue the Potential Participant with:
- your marketing materials
  - a notification confirming that participation on the Restart Scheme is mandatory – this notification is provided by uploading the letter via Universal Credit.
- 2.17 The Jobcentre Plus Work Coach will make a referral to you using DWP's Information Technology (IT) system. This will generate a referral on the PRaP system.

- 2.18 The referral generated on PRaP will include a Purchase Order (PO) Number. It will start with 70 for Claimants in receipt of Universal Credit and 10 for Claimants in receipt of JSA (IB) and will be received within 2 working days of the Warm Handover.

## **Participants with MAPPA Restrictions**

- 2.19 If the Participant is subject to Multi Agency Public Protection Arrangements (MAPPA), as soon as possible after the Warm Handover, but before the Initial Face to Face Meeting, the MAPPA SPOC for Jobcentre Plus will contact the Provider SPOC to discuss the restrictions that are in place for the Participant. The MAPPA SPOC will then decide if it is appropriate to send the MAPPA J referral form to you, and if so, will post it to you by secure / tracked Royal Mail delivery. Should any restrictions impact on the appropriateness of the Initial Face to Face Meeting appointment it is your responsibility to reschedule this for a time and venue that does not conflict with the restrictions imposed on the Participant.
- 2.20 For all Participants subject to MAPPA restrictions you must ensure, prior to setting any Restart Scheme activities, that the activity fully complies with these. You should continually assess all the Participant's Restart Scheme activities against the MAPPA restrictions throughout their time on the Restart Scheme.

## **JSA (IB) Participants with Special Customer Record (SCR) Status**

- 2.21 JSA (IB) Participants who have been granted Special Customer Record (SCR) status will be referred to you clerically via the SL2 process. There is no clerical equivalent of acknowledging an electronic referral for SCR cases, so this step does not apply in these instances.

### **Actions:**

- DWP will complete page one (of three) of the SL2 form and forward the entire form to your nominated officer.
- Undertake start activity following receipt of SL2 form from DWP (retaining pages two and three of the SL2 form) and complete and return page one to the DWP nominated officer.
- Send a photocopy of page two of the SL2 form to the Provider Payment Validation Team (PPVT).

## **No Warm Handover**

- 2.22 Exceptional circumstances may mean that a Warm Handover conversation does not happen, such as:
- local or national restrictions



- office outages
- exceptionally high levels of claims, where resources across an area (or nationally) are targeted at making payments
- exceptionally high levels of sickness within a Jobcentre Plus site
- unable to book a Warm Handover following a number of attempts to do so.

2.23 This list is not exhaustive.

2.24 In such an instance you will receive a PRaP referral, but you will not have a record already detailing a Warm Handover call, nor will you have had the opportunity to receive the appropriate Participant information during activities taken at the Warm Handover. Not having a Warm Handover is not a reason to reject a referral. You will be required to utilise the Initial Engagement Activity period to discuss the benefits of the Restart Scheme with your Potential Participant, identify any support needs and arrange the time, date and location for the Initial Face to Face Meeting, using the appropriate methods available. Continue actions on Initial Engagement Activity as from **Chapter 02: Joining the Restart Scheme, paragraph 2.26 - Initial Face to Face Meeting - Introduction.**

2.25 The term “Cold Handover” or “Cold Referral” maybe used in reference to referrals to the Restart Scheme where no Warm Handover has occurred.

**Please note:**

All referrals with an Advanced Support Element will be prioritised to have a Warm Handover.

## Initial Face to Face Meeting - Introduction

2.26 This section covers the things that you need to do at your first meeting with your Potential Participant (the “Initial Face to Face Meeting”) and the action that should be taken following the meeting to record a start on IT systems; and what to do if a Potential Participant does not attend the Initial Face to Face Meeting.

## Initial Face to Face Meeting – Information

2.27 The Initial Face to Face Meeting is the first Face to Face meeting between you and your Potential Participant.

2.28 It should take place in person and at the earliest opportunity. **Please see Chapter 02: Joining the Restart Scheme, paragraph 2.02 - The Customer Service Standards (CSS) table.** Best practice shows that the sooner the Initial Face to Face Meeting is held after the Warm Handover Meeting, the more likely a Potential Participant is to attend this meeting and engage with you.

- 2.29 Please be aware that you must have digital solutions in place for circumstances whereby Face to Face meetings in person are unable to take place. The requirement to adopt this digital solution will be advised by or made in consultation with DWP. Where appropriate you must make note(s) of any adjustments made for any Face-to-Face meeting that has been held digitally stating the reason why.
- 2.30 There may also be circumstances where the Jobcentre Plus Work Coach identifies that a digital solution is needed for an individual Participant's reasonable adjustment(s).
- 2.31 The Initial Face to Face Meeting will count as day 1 of the 365 calendar days that you have to work with your Participant to achieve an Employed or Self-employed Job Outcome.

**Please note:**

For the purposes of the Customer Service Standard 1a and 1b, 15 and 30 working days are counted from the day following the creation of the referral. (Please see Chapter 02: Joining the Restart Scheme, paragraph 2.02 - The Customer Service Standards (CSS) table.

## **Initial Face to Face Meeting - Provider Actions**

- 2.32 At the start of the Initial Face to Face Meeting, you must check your Potential Participant's identity to ensure that you are satisfied that the person you are engaging with is the correct person. To do this, you may decide to ask them to state, or physically provide, a combination of their personal information, that you feel provides appropriate security assurance to confirm identity, such as:
- full name
  - address
  - National Insurance Number (NINO)
  - other information, such as details that were included within the original referral from DWP
  - details you hold in your records
  - other means of identification, such as a passport, driving licence, or utility bill may be provided. These should be recorded as seen and the reference/serial number of these documents noted but copies do not need to be retained.
- 2.33 You must also confirm that there has been no change in circumstances that affect the Participant's suitability and eligibility for the Restart Scheme. You will need to take the following actions:
- check that the Potential Participant is not in any form of employment including a pending job to start, zero-hour contracts or Gainful Self-employment (GSE)
  - establish the Potential Participant's preferred method of communication

- identify and take into account any complex needs and/or additional support requirements, please see **Chapter 03: Restart Scheme – During Restart, paragraphs 3.92 to 3.97 Supporting Participants with Complex Needs.**
  - check that the Potential Participant is not in receipt of any payments that may contribute to triggering Outcome payment e.g. occupational pension or a retainer fee paid as an inducement to return to work. If this is the case, please see **Chapter05: During Restart Scheme – Outcomes, Validation and Payments Model, paragraph 5.90 Tax Refunds, Payment in lieu of Notice, Late Payment of Final Salary and Occupational Pensions.**
  - Check whether the Potential Participant has re-engaged following any mandation action with Jobcentre Plus.
  - Check if the participant is engaged on any other National Provision or has been on the Restart Scheme previously.
- 2.34 You must ensure that you issue your Participant with an Induction Pack (hard or digital copy) for which you should obtain confirmation of receipt from your Participant. An Induction Pack can be issued electronically, if a Face to Face Intervention could not take place due to a health condition, followed by a hard copy in the post, to be returned with the Participant’s signature. This should include as a minimum:
- health and safety instructions
  - your complaints procedure
  - your responsibilities under the Data Protection Act (DPA) and General Data Protection Regulation (GDPR)
  - information on travel, childcare and other expenses, including any evidence your Participant will need to produce to enable them to make a successful claim for example, bus ticket. You should also retain a copy of a signed declaration to show that travel and expenses have been offered, **please see Chapter 03: Restart Scheme – During Restart, paragraphs 3.115 to 3.125**
  - location and contact details
  - inform your Participant that failure to partake in agreed activities including meetings may result in mandation
  - any other information relevant to the Participant for example Participants expected standards of behaviour
  - failure to comply may result in a benefit sanction.
- 2.35 You should remind your Participant that their length of time on the Restart Scheme can be up to 365 days and that this scheme has been designed to allow you to provide the intensity of support needed to enable your Participant to move into employment or self-employment.
- 2.36 You should explain to your Participant the purpose of your Diagnostic Assessment and their involvement in its completion, as well as how the Diagnostic Assessment will contribute to the completion of your

Participant's Action Plan, **please see Chapter 03: Restart Scheme – During Restart, paragraphs 3.38 to 3.50.**

- 2.37 Prior to ending the meeting, you will need to discuss your future contact and engagement arrangements with your Participant, along with the date, time and location of their next meeting, which must be within 90 minutes (or the adjusted travel time agreed with the Jobcentre Plus Work Coach) by public transport from their home.
- 2.38 If the next meeting is not Face to Face you will need to explain how that meeting will be taking place i.e. via digital channels, telephone or any other suitable method.

## **Following the Initial Face to Face Meeting - Provider Actions**

- 2.39 Following the completion of the Initial Face to Face Meeting you must record the date of the meeting on your own internal Systems and in the PRaP system, **please see Chapter 09: Using the Provider Referrals and Payments System for the Restart Scheme and Funding Model, paragraph 9.16 to 9.19 Record a Start.**
- 2.40 You must record and retain evidence of the Start Date which will be required to be produced during PCO checks, **please see Chapter 10: Contract and Managing Performance, paragraph 10.35 to 10.41.** Examples of acceptable evidence could include, but not limited to, Induction Pack items that have been signed for, Site Attendance Register. If an Initial Face to Face Meeting can't take place in person and a digital solution is implemented, then digital evidence could include, but not limited to, a dated electronic receipt from the Participant.
- 2.41 Should you have claimed a start and it is subsequently discovered that the Participant is on another provision, you must continue to work with the Participant unless notified otherwise by your Performance Manager (PM).

## **Participant Does Not Attend Initial Face to Face Meeting - Provider Actions**

- 2.42 If your Potential Participant does not attend the Initial Face to Face Meeting, you should contact them immediately to re-arrange it. You may also wish to inform the Jobcentre Plus Work Coach/ SPOC so that they can encourage attendance at their regular Jobcentre Plus appointment.
- 2.43 If you have made multiple attempts to engage the Potential Participant using a variety of communication methods, you should consider mandation to require the Potential Participant to attend the Initial Face to Face Meeting. **Please see Chapter 04: During Restart – Mandation, paragraph 4.02 to 4.06 Mandating a Participant to attend the Initial Face to Face Meeting.**

- 2.44 Customer Service Standard 1a and 1b require you to ensure that 70% of referrals start within 15 working days and 85% within 30 working days. You should do all you can to ensure you engage with the Potential Participant as soon as possible using a range of communication methods.
- 2.45 **Please refer to Chapter 09: Using the Provider Referrals and Payments System for the Restart Scheme and Funding Model, paragraph 9.20 to 9.23 Rejecting a Referral and Cancelling Acknowledgment, for any PRaP actions in relation to the 'Did not Attend' process.**

# Chapter 03: During Restart

3.01 This chapter covers the ongoing interventions you will need to undertake and support you will need to offer to enable you to provide maximum support to your Participants whilst they are on the Restart Scheme.

## Customer Service Standards

3.02 Restart Scheme Providers are required to deliver eight Customer Service Standards, designed to ensure that all Participants receive a quality service. The Customer Service Standards covered in this chapter are:

Description of Customer Service Standard's	System used for measurement and % of achievement to meet Customer Service Standards
<b>Customer Service Standard 2</b> - For all Participants who 'Start' on the programme an Initial Diagnostic Assessment must be completed and recorded within 8 weeks of the referral.	Performance Compliance Officer (PCO) checks. To provide assurance at least 95% of sample checked are compliant.
<b>Customer Service Standard 3</b> - For all Participants who 'Start' on the programme an Initial SMART Action Plan must be completed and signed by the Provider and the Participant by way of wet or electronic signature, within 8 weeks of the referral	Performance Compliance Officer (PCO) checks. To provide assurance at least 95% of sample checked are compliant
<b>Customer Service Standard 4</b> - For all Participants, the Provider must deliver one to one support at least every ten (10) working days.	Performance Compliance Officer (PCO) checks. To provide assurance at least 95% of sample checked are compliant.
<b>Customer Service Standard 5</b> - For all Participants, the Provider must conduct a one-to-one Face to Face review meeting no less frequently than every twenty (20) working days.	Performance Compliance Officer (PCO) checks. To provide assurance at least 95% of sample checked are compliant.
<b>Customer Service Standard 6</b> - For all Participants the Provider must formally reassess the Diagnostic Assessment at least every 4 months, starting from the completion date of the Initial Diagnostic Assessment. This must include evaluation of the Participant's circumstances/barriers, with agreed next steps reviewed and recorded.	Performance Compliance Officer (PCO) checks. To provide assurance at least 95% of sample checked are compliant.

Description of Customer Service Standard's	System used for measurement and % of achievement to meet Customer Service Standards
<p><b>Customer Service Standard 7</b> - For all Participants the Provider must review and update the SMART Action Plan at least every twenty (20) working days. Action Plans must be signed by both parties by way of wet or electronic signature and include agreed next steps and activities reflective of Participant and Provider activity and the Participants Diagnostic Assessment.</p>	<p>Performance Compliance Officer (PCO) checks. To provide assurance at least 95% of sample checked are compliant.</p>

## Universal Credit Labour Market Regimes and Requirements

- 3.03 Claimants in receipt of Universal Credit are subject to conditions according to their circumstances, covered below.
- 3.04 During your Participant's time on the Restart Scheme their Conditionality Regime may change e.g a change in personal circumstances moves your Participant out of the IWSR.
- 3.05 This may result in a reduction or cessation of the frequency of contact, and you will be advised of this by the Jobcentre Plus Work Coach through a change of circumstances notification.
- 3.06 A UC78, UC78e or CEPD1 notification will be sent to the Provider to inform them of the Participant's change in Labour Market Regime.

**Please note:**

Job seekers allowance (IB) does not have equivalent regimes to Universal Credit.

### Intensive Work Search (IWSR)

- 3.07 A Participant who is not working and those working but are earning very low amounts and expected to take intensive action to secure work or more work. This includes:
- Participants with a health condition and a current fit note who have not yet been assessed by the Work Capability Assessment process
  - Participants in self-employment, who are not working, or working with low earnings
  - lead carers whose youngest child is aged 3 to 4 will be moved to the IWSR Regime.

- 3.08 These Participants must remain on the Restart Scheme. They are entitled to the full Restart Scheme offer. They must attend mandatory appointments and Work Preparation Activities as part of their Claimant Commitment.

✓	Must remain on Restart Scheme?
✓	Mandatory to attend interviews with Provider?
✓	Mandatory to complete Work Search or Work Preparation Activities?
✗	Voluntary?
✓	Participant can be mandated?

## Light Touch

- 3.09 A Participant with individual or household earnings above the Administrative Earnings Threshold (AET), but earnings are not enough to take them above the relevant individual or household Conditionality Earnings Threshold.
- 3.10 These Participants must remain on the Restart Scheme, they are entitled to the full Restart Scheme offer, however any participation in the scheme will be voluntary and they cannot be mandated to activities.

✓	Must remain on Restart Scheme?
✗	Mandatory to attend interviews with Provider?
✗	Mandatory to complete Work Search or Work Preparation Activities?
✓	Voluntary?
✗	Participant can be mandated?

## Working Enough

- 3.11 A Participant whose earnings are over the individual or household Conditionality Earnings Threshold or, Gainfully Self-employed and the Minimum Income Floor applies.
- 3.12 These Participants must remain on the Restart Scheme. They are entitled to the full Restart Scheme offer, however any participation in the scheme will be voluntary and they cannot be mandated to any activities.

✓	Must remain on Restart Scheme?
✗	Mandatory to attend interviews with Provider?
✗	Mandatory to complete Work Search or Work Preparation Activities?
✓	Voluntary?
✗	Participant can be mandated?



## No Work-Related Requirements (NWRR)

- 3.13 Applies to Participants who are:
- too sick to work with Limited Capability for Work Related Activity (LCWRA) following the Work Capability Assessment (WCA)
  - over State Pension Age
  - in full time education (non-advanced or advanced) but eligible for Universal Credit whilst undertaking the course during term time and receiving student income
  - without parental support (young people) and in full-time non-advanced education or training
  - a lone parent or lead carer in a couple with a child under the age of one
  - adopters in the first year
  - pregnant - this will cover the period spanning 11 weeks before and 15 weeks after the expected week of childbirth
  - Providing care for at least 35 hours a week for a severely disabled person in receipt of:
    - Disability Living Allowance (DLA) care component at middle or highest rate
    - Constant Attendance Allowance
    - Attendance Allowance
    - Personal Independence Payment (PIP) daily living component
    - Armed Forces Independence Payment.
- 3.14 In these cases, all participation in the Restart Scheme becomes voluntary. These Participants are entitled to the full Restart Scheme support offer, but they can choose to withdraw if they wish.

✗	Must remain on Restart Scheme?
✗	Mandatory to attend interviews with Provider?
✗	Mandatory to complete Work Search or Work Preparation Activities?
✓	Voluntary?
✗	Participant can be mandated?
✓	Participant can exit the Restart Scheme if they wish?

## Work Preparation

- 3.15 A Participant who is expected to work in the future, but not expected to look for work at this stage. This includes:
- those assessed as having limited capability for work following the Work Capability Assessment
  - lead carer where the youngest child is aged two.
- 3.16 These Participants must remain on the Restart Scheme. They must attend mandatory appointments with their Provider and participate in some Work Preparation Activities. Any other activities will be voluntary.

✓	Must remain on Restart Scheme?
✓	Mandatory to attend interviews with Provider?
✓ <sup>1</sup>	Mandatory to complete Work Search or Work Preparation Activities?
✗ <sup>1</sup>	Voluntary?
✓	Participant can be mandated?

<sup>1</sup>Participate in some Work Preparation Activities. Any other activities will be voluntary.

## Work Focused Interview only

- 3.17 A Participant who is expected to work in the future but is currently nominated lead carer for children. This includes:
- lead carers where the youngest child is aged one
  - lead foster carers and in some cases people who act as carers for their partner.
- 3.18 These Participants must remain on the Restart Scheme. They can be mandated to attend Work Focused Interviews by the Provider.

✓	Must remain on Restart Scheme?
✓ <sup>2</sup>	Mandatory to attend interviews with Provider?
✗	Mandatory to complete Work Search or Work Preparation Activities?
✗	Voluntary?
✗ <sup>2</sup>	Participant can be mandated?

<sup>2</sup>Be mandated to attend Work Focused Interviews by the Provider. However, they cannot be mandated to complete any Work Search or Work Preparation Activities. These activities will be voluntary.

## Restart Scheme is no Longer Appropriate

- 3.19 The vast majority of Participants who move regime will remain on the Restart Scheme, however, in a limited number of circumstances the Restart Scheme is no longer appropriate, and the Participant will be exited.
- 3.20 The Restart Scheme is no longer appropriate, and the Participant will be exited from the scheme, when they:
- move away from England or Wales for a period that is longer than the amount of time left on the Restart Scheme
  - are in prison for a period longer than the amount of time they have left on the Restart Scheme. Where a Participant receives a custodial sentence, but the length of the sentence is unknown, it

is acceptable that the Participant remains on the Restart Scheme. For Performance Compliance Officer (PCO) audit-evidencing purposes, the Provider should retain this evidence so the PCO can see a timeline of activities against delivering the service and when the notification was received.

- are terminally ill and choose to leave the Restart Scheme.

## **Participant Leaves Universal Credit**

- 3.21 A Participant's circumstances may change during their time on the Restart Scheme which ends their Universal Credit claim, or they may choose to close their claim.
- 3.22 Restart Scheme Participants in this scenario become voluntary Participants and they do not exit the Restart Scheme as an early completer.
- 3.23 DWP will notify you of a change of circumstances including any information regarding participation requirements to inform your ongoing support as appropriate.
- 3.24 Where you have received official notification of this change via a UC78e form, you must offer voluntary service to your Participant. To provide a clear audit trail, you must ensure that you record evidence of the actions you have taken to facilitate your Participant's access to your full Restart Scheme support offer as set out in your contract. Participation from this point will be on a voluntary basis and the Participant cannot be mandated to undertake activity, and consequently will face no sanctions.
- 3.25 Should you not receive official notification of this change, you should continue to provide mandatory service until you receive a UC78e. You may wish to contact the Jobcentre Plus SPOC to confirm the change and request a UC78e form as confirmation of this. On receipt of this confirmation, you should follow the actions outlined.
- 3.26 Remaining on the Restart Scheme, even though they are no longer in receipt of Universal Credit, ensures continuity for the Participant. If a new claim to Universal Credit is made within their allotted time on the Restart Scheme, their participation could once again be on a mandatory basis, depending on the Labour Market Regime they are placed into.

## **Interactions with Participants whilst on the Restart Scheme**

### **Meetings and Providing Tailored Support**

- 3.27 All Participants should receive at least the Minimum Level of Service as described in the Customer Service Standards.
- 3.28 You must have:

- regular engagement meetings that you undertake at least every 10 working days
  - a Face to Face meeting (in person) no less frequently than every twenty (20) working days.
- 3.29 You are responsible for ensuring that you are able to evidence all ten (10) and twenty (20) working day interventions, along with any other intervention meetings with your Participant that you deem necessary. The type of evidence may include but is not limited to:
- signed attendance registers
  - electronic confirmation from your Participant.
- 3.30 Basic communication - e.g. via a text message(s) - will not constitute a meeting.
- 3.31 You should also ensure that your internal systems are updated to show the details of the interventions which take place and that any reason for non-attendance is also recorded.

**Please note:**

You must have digital solutions in place for circumstances whereby face to face meetings in person are unable to take place e.g. Local Restrictions. The requirement to adopt this digital solution will be advised by or made in consultation with DWP.

- 3.32 You may utilise a range of methods of communication including digital options, to provide additional one to one support to your Participant outside of the ten (10) and twenty (20) working day face to face meetings. However, this needs to reflect the different requirements of each Participant and may also be linked to improving the Participant's digital skills as part of their agreed goals.
- 3.33 All meeting contact with your Participant should be meaningful and provide opportunity to progress your Participant towards achieving their agreed goals. You must endeavour to work in consultation with your Participants to deliver personalised support, tailored to meet the needs of each of your Participants, to help them to obtain and secure sustainable employment or self-employment, during their time on the Restart Scheme.
- 3.34 When working with Participants, you should tailor interventions to take into account:
- local employment growth and training initiatives
  - Participant capability and ability
  - local labour market needs
  - self-employment packages (should the Participant wish to move into self-employment).
- 3.35 Throughout your Participant's time spent on the Restart Scheme you must ensure that your Participant is aware of, and clearly understands any potential implications of, any paid employment and self-employment on benefits that they may be in receipt of.

- 3.36 You should also support and encourage your Participant to utilise the independent benefits calculators via [www.gov.uk](http://www.gov.uk) so that your Participant can make an informed decision and understand the effect of any earnings if they start work.
- 3.37 Where your Participant informs you of their intention to commence paid employment or self-employment you must ensure they are made aware of any potential or actual implications on any benefits they are receiving and encourage your Participant to update their Universal Credit Account with any changes or inform the Jobcentre Plus Work Coach if in receipt of JSA (IB).

## Diagnostic Assessment

- 3.38 The Diagnostic Assessment is a detailed needs assessment which will support building the relationship between you and your Participant whilst establishing their requirements.
- 3.39 You must undertake a Diagnostic Assessment with your Participant as part of your Early Intervention Activity. You must complete the Diagnostic Assessment within 8 weeks of the referral from the Jobcentre Plus Work Coach. You must review the Diagnostic Assessment no less frequently than every 4 months with the Participant.
- 3.40 During the review of the Diagnostic Assessment with your Participant, you must review the level of your Participant's current skills and identify any additional barriers to employment that may have arisen since the last review of the Diagnostic Assessment. In doing this you may want to consider the following (this is not an exhaustive list):
- employment sector changes
  - identification of transferrable skills
  - labour market barriers, including lack of skills
  - personal wellbeing, health conditions and disabilities
  - personal barriers, including housing issues
  - financial barriers, including personal debt
  - work-related independence skills e.g. understanding and use of public transport.
- 3.41 Steps to achieve the employment aspirations identified in the Diagnostic Assessment including activities to address barriers will inform your Participants Action Plan (**see paragraph 3.43**). These may include, but are not limited to:
- providing the Participant with job search skills and career guidance
  - providing the Participant with job interview experience
  - supporting the Participant to identify transferrable skills
  - methodology to identify alternative employment options
  - helping Participants overcome non-work-based barriers, for example skills gaps, to support focus on moving towards employment

- providing the Participant with work-related skills, for example use of IT
  - addressing social and personal barriers to work such as housing issues, addiction problems, and debt
  - identifying and addressing sources of concern and barriers for each Participant as they progress towards employment
  - delivering personalised support tailored to meet the needs of each Participant to help them move into work
  - identifying any internal/external resources available which will support the Participant to achieve any agreed goals.
- 3.42 You must continue to reflect in the Diagnostic Assessment any advanced support issues or concerns that are identified by or communicated to you by DWP or third parties. **See Chapter 03: Restart Scheme – During Restart, paragraph 3.92 to 3.97 below on supporting Participants with complex needs.**

**Please note:**

The Diagnostic Assessment attracts performance and compliance checks and is subject to CSS 2 and CSS 6.

## Action Plan

- 3.43 Following the Initial Face to Face Meeting you must, in conjunction with your Participant, develop and complete a detailed SMART (Specific, Measurable, Achievable, Realistic and Time-bound) Action Plan including targets/ actions to take that are:
- Specific – precise, clearly defined and specific to the individual Participant
  - Measurable – both Participant and Provider should have a clear way of recognising when the target/ action has been achieved
  - Achievable - motivate the Participant, are within their capability and attainable
  - Realistic/ Relevant – be relevant and proportionate to the Participant's needs and help lead them to the desired result
  - Time-bound – a realistic, definite time frame of when the target/ action should be achieved by. Specific deadlines to review progress may be incorporated.
- 3.44 Following completion of the Initial Action Plan you must review the plan with your Participant, considering the most recent Diagnostic Assessment, no less frequently than every 20 working days, as this will set out how they will make progress towards employment.
- 3.45 During the review of the Action Plan, in consultation with your Participant, you may wish to consider the following methods of support if not already included, this is not an exhaustive list:
- providing the Participant with job search skills and career guidance
  - providing the Participant with job interview experience

- helping Participants overcome non-work-based barriers, for example skills gaps, to support focus on moving towards employment
  - providing the Participant with work-related skills, for example use of IT
  - addressing social and personal barriers to work such as housing issues, addiction problems, debt and/or long-term unemployment
  - ensuring that any identified activity is broken down into manageable segments.
- 3.46 During the review of the Action Plan, you should undertake the following actions in consultation with your Participant taking into account their employment aspirations:
- your delivery of personalised support must be tailored to meet the needs of each Participant to help them move into work, you must ensure that the activity is broken down into manageable steps
  - you must ensure that any actions, or goals, reflect your Participant's identified restrictions, Work Availability and Work Search Requirements which you have been advised of through PRaP and via the Warm Handover or a change of circumstances UC78e, UC78 or CEPD1 form
  - you must ensure that the Participant is clear on what they are required to do, why they are being asked to do it, what evidence is required to demonstrate completion and when it must be completed by
  - if a Participant has complex needs and/or additional support requirements, you must carefully consider any impact these may have on the Participant's ability to understand or comply with the requirements of the identified activity. **Please see Chapter 03: Restart Scheme – During Restart, paragraph 3.92 to 3.97 below on supporting Participants with complex needs.**
  - you must ensure that the Participant is aware that failure to take part in agreed activities may result in mandation. **Please see Chapter 04: During Restart – Mandation.**
- 3.47 As stated in Customer Service Standard 3, you are required to ensure that the Action Plan is signed by both you and your Participant by way of wet or electronic signature. You must issue your Participant with a copy of the Action Plan once it has been signed by both parties and record the date of issue.
- 3.48 If your Participant cannot sign the Action Plan, the reason(s) for this must be recorded along with retaining any evidence which may be available e.g. an email from your Participant, and where possible, if a Face to Face meeting takes place at a later date a signature must be obtained for the Action Plan.
- 3.49 You must retain the Action Plan throughout your Participant's time on the Restart Scheme and for the duration of the contract for audit and compliance purposes.

- 3.50 You must always use the latest version of the Action Plan to inform your review and, if applicable, update the Diagnostic Assessment in agreement with your Participant.

**Please note:**

The Action Plan attracts performance and compliance checks and is subject to CSS 3 and CSS 7.

## Two and Three-way Conversations

- 3.51 Two and Three-way conversations are available during the referral period or whilst the Participant is on the Restart Scheme. This can happen at the request of any of the three parties (Jobcentre Plus Work Coach, the Participant or you). Whilst the expectation is there will be on average, no more than two three-way calls per Participant whilst on the Restart Scheme, these conversations can positively aid engagement.
- 3.52 Should you wish to arrange a two or three-way conversation, then raise this with the Jobcentre Plus SPOC depending upon the local arrangements that you have in place. Following this a UC605 form can be requested by Jobcentre Plus, however, the use of this form is optional. The Jobcentre Plus Work Coach will then make arrangements to book the conversation in the same way as they make the Warm Handover arrangements. This does not mean, however, that the Participant must be present with the Jobcentre Plus Work Coach for this conversation.
- 3.53 If there is a need for an urgent two or three-way conversation, for example, where there is a safeguarding issue, you should contact the Jobcentre Plus Work Coach who will book the appointment as soon as possible, without the requirement for a UC605 form.
- 3.54 Likewise, should the Participant inform you, rather than their Jobcentre Plus Work Coach, that they would like a three-way conversation, then follow the process above, informing your Jobcentre Plus SPOC that the request has come from the Participant.
- 3.55 Any persistent non-compliance by Jobcentre Plus Work Coaches in attending three-way conversations, including Warm Handovers, should be raised with your SPOC (for either the Jobcentre Plus District or individual Jobcentre Plus site, depending upon the arrangements that you have in place) in the first instance. Should the situation not be resolved, then you will need to discuss this with your EAD PM, so that it can be addressed.



# Switching off, Easements and Tailoring of Work-Related Requirements

## Universal Credit

- 3.56 Participants in receipt of Universal Credit and in the IWSR will have Claimant Commitments which are individually tailored to their Work-related Requirements based on their individual circumstances. Whilst Participants in the IWSR must be available and willing to start work and attend a job interview immediately, there are certain circumstances where your Participant may be given more time and their Claimant Commitment will reflect this.
- 3.57 During your Initial Engagement and Intervention Activity, you will have developed and agreed goals with your Participant taking into account any restrictions that will have been advised during the Warm Handover with the Jobcentre Plus Work Coach or by PRaP as part of the referral.
- 3.58 However, during your Participant's time on the Restart Scheme, there may be instances where issues or events prevent your Participant from reasonably complying with their benefit conditionality, including participation on the Restart Scheme. Universal Credit Regulations enable Jobcentre Plus Work Coaches in particular circumstances to switch off or tailor Work Search and Work Availability requirements accordingly.
- 3.59 If there is a change of circumstances, the Jobcentre Plus Work Coach will review the circumstances with your Participant to determine if switching off or an easement of Work-related Requirements is appropriate, along with any tailoring.
- 3.60 The purpose of an Easement is to give your Participant the opportunity to resolve any immediate issues arising from the situation, such as finding new accommodation, or completing an agreed activity. The Easement Requirement will be regularly reviewed by the Jobcentre Plus Work Coach.
- 3.61 The change of circumstances notification (i.e., UC78 or UC78e) will explain:
- whether the Participant is currently unable to attend or take part in the Restart Scheme
  - whether the Participant is subject to other Work-related Requirements, which may include Work Preparation Requirements, Work Focused Interview Requirements, or limiting Work Search or Work Availability Requirements to ensure that the requirements imposed on Participants are reasonable given their capability and circumstances
  - the reason

- date of commencement (it may also include details of the duration)
  - that you will be notified when the circumstances change.
- 3.62 Where your Participant's Work-related Requirements must be switched off or limited to meet your Participant's new circumstances, you will then need to tailor your engagement and support accordingly which may mean no contact for a specific period of time.
- 3.63 You will need to review the identified limitation(s) with your Participant and amend the Action Plan and Diagnostic Assessment accordingly. However, if you are advised that your Participant is unable to attend or take part, then you will need to suspend your engagement and have no contact with your Participant until the easement has ceased. For example, your Participant may suffer a bereavement of an immediate family member. In these circumstances, you could be advised that contact is switched off for a period of three months, this could then be followed by a period of optional support for a further three months which might include meetings which are not mandatory being applicable.
- 3.64 If an Easement means a suspension of engagement with your Participant, you should only raise a compliance doubt where a mandated activity was due for completion prior to the Easement start date. When the Easement period ends, the Jobcentre Plus Work Coach will send you another notification confirming the end date (unless already advised via the first notification), at which point you can resume engagement with your Participant.
- 3.65 When you receive a change of circumstances notification via a UC78/UC78e stating that the Easement period has ended or agreed limitations no longer apply, you will then need to review the Action Plan and Diagnostic Assessment with your Participant to ensure that on-going intervention is in line with the Restart Scheme requirements.
- 3.66 Where your Participant has been awarded a period of Easement, they will not have their time on the Restart Scheme extended. It will remain at 365 calendar days.

**Please note:**

Although Work Search and Work Availability requirements may be switched off, Work Preparation activities may continue to apply so you should continue to engage with the Participant.

## **Jobseekers Allowance (JSA (IB))**

- 3.67 Whilst Participants in receipt of JSA (IB) must be available and willing to start work and attend a job interview immediately, although, in general, there is no switching off or Easements applied for JSA (IB) Participants, there are certain circumstances where your Participant may be given more time and their Claimant Commitment will reflect this.

## Unsuitable Types of Activity

- 3.68 Participants must not be helped to engage in activities, including starting businesses which could put them at risk or bring DWP or you as a Provider into disrepute. It would be difficult to produce an exhaustive list of unsuitable activities and some common sense is required on your part. However, Participants subjected to Multi Agency Public Protection Arrangements (MAPPA) restrictions must not be helped into activities that breach these. If you are in doubt, or unsure regarding the suitability of an activity then you should discuss this with your EAD PM, and they will seek further advice where appropriate.
- 3.69 You should also take into account your Participant's personal beliefs when identifying job or training opportunities, for example, some individuals may have personal or religious beliefs about working in certain industries or on certain days, and you should be sensitive to these.

## Referring Participants to Additional Support Provision

- 3.70 The aim of the Restart Scheme is to provide Participants with individualised support, tailored specifically to them, improving their employability skills and moving them towards sustained employment.
- 3.71 For the majority of Participants this will be achieved through the Restart Scheme offer. In some instances, it may be appropriate for additional support, outside of the Restart Scheme offer to be sourced for a Participant where a particular need has been identified.
- 3.72 There is a wide range of provision available to Participants, both nationally and locally, to help them obtain the skills and experience they need to start work, gain more work or better paid work. This provision can be organised into three main types of support:
- **DWP Contracted Provision:** A Participant on the Restart Scheme cannot be referred to any additional DWP Contracted Employment Provision, The Access to Work (AtW) Mental Health Support Service is not available to participants on the Restart Scheme. It is the responsibility of the Restart Scheme Provider to source and fund all appropriate mental health support for participants who require it whilst on this programme.
  - **Additional Provision delivered as part of Jobcentre Plus Offer:** A Participant on the Restart Scheme cannot usually be referred to provision that is delivered as part of Jobcentre Plus Offer. This includes Sector Based Work Academy Programme (SBWAP) which are not compatible with the Restart Scheme
  - **Non DWP Contracted Provision:** Provision offered by Local Authorities, Charities the Private sector etc. (this list is not exhaustive) may be compatible with the Restart Scheme. It is the

responsibility of the Provider to check the eligibility and suitability criteria of the specific provision or support being considered.

- 3.73 Where a Participant has support needs which are above and beyond those that will be addressed by the Restart Scheme, additional provision may be considered. The decision to refer a Restart Scheme Participant to additional provision should be done in consultation with the Participant; it must be deemed to be in their best interest and not in any way affect their ability to participate fully in the Restart Scheme.
- 3.74 It is advised that you discuss this with the Participant's Jobcentre Plus Work Coach in a two or three-way conversation which is recommended at this stage. You should also be aware that it is the responsibility of the Jobcentre Plus Work Coach to ensure suitability and eligibility checks are made and it would be in their best interests to maintain documentation relating to the additional support being offered outside of the Provider Restart Scheme offer.

## **Work Experience and Sector Based Work Academy Programmes (SWAPS)**

- 3.75 To be compatible with the Restart Scheme, the additional support offered to Participants must not be official SWAPS opportunities that are part of the Chancellor's 'Plan for Jobs'.
- 3.76 A work experience opportunity subsidised or funded by you, or through an arrangement that you have with an employer/ training partner (outside of the official SWAPS initiative) would be compatible with the Restart Scheme and could be considered for a Restart Scheme Participant.
- 3.77 You should however be aware that any earnings attached to a work experience opportunity would be ineligible earnings and would not count towards the 'Job Outcome Payment'. **Please see Chapter 05: During the Restart Scheme – Outcomes, Validation and Payment Model, paragraphs 5.82 to 5.83 Ineligible Income.**

## **European Social Funded (ESF) Provision**

- 3.78 Participants receiving Restart Scheme support can also receive ESF funded support where the individual has support needs which are above and beyond those that will be addressed by the Restart Scheme. ESF funded support cannot replicate the support provided by the Restart Scheme Provider but can be used to fund additional support.
- 3.79 The additional ESF support package must be agreed between the ESF project and the Restart Scheme Provider and documented. The document must set out clearly the specific support needs that will be addressed by the Restart Scheme Provider and the support needs that will be addressed through ESF provision. The document must demonstrate that those support needs are in addition to those provided by the Restart Scheme.

# Provider Actions when a Participant Commences Employment

- 3.80 If employment commences, it is the responsibility of the Participant to notify Universal Credit Account or Jobseekers Allowance helpline of any change in their circumstances that occur whilst attending the Restart Scheme, this includes commencing employment. If you become aware of any change of circumstances which would impact a Participant and their welfare benefits, you must remind the Participant of their obligation to notify their Universal Credit Account or Jobseekers Allowance helpline of the change(s).
- 3.81 You must also make sure the Participant is fully aware that their Universal Credit or JSA (IB) payments could be reduced if they refuse an offer of paid employment.
- 3.82 You should also verbally confirm with your Participant that they have notified their Jobcentre Plus Work Coach via their Universal Credit Account or via the Jobseekers Allowance helpline for any change of circumstance and commencement of employment.
- 3.83 Further information on change of circumstances can be found at **Restart Scheme Provider Guidance Chapter 08: Completers, Early Exits and Change of Circumstances Completers, from paragraph 8.12.**

## Participants and Residency Tests

- 3.84 You may be informed via UC78e, CEPD1 notification, or by your Participant that they have an issue with their residency. If your Participant informs you of this, you may wish to contact the Jobcentre Plus Work Coach to seek confirmation.

## European Economic Area (EEA) Nationals

- 3.85 Should your Participant fail the Habitual Residency Test (HRT), their Universal Credit or JSA (IB) claim will close. They will however remain on the Restart Scheme, as a voluntary Participant. You should offer voluntary service to your Participant, and to provide a clear audit trail, ensure that you record evidence of your actions to facilitate your Participant's access to your full Restart Scheme support offer.
- 3.86 Should your Participant make a new or secondary claim for Universal Credit, they will remain a voluntary Participant until a new HRT is undertaken. Should your Participant pass the new HRT, their participation on the Restart Scheme will now be on a mandatory basis.
- 3.87 Should a Participant appeal an HRT decision that is subsequently overturned, their Universal Credit or JSA (IB) claim may be reinstated, they will continue on the Restart Scheme on a mandatory basis.

- 3.88 You should be aware that an HRT test assesses whether an individual has the right to reside in the UK with recourse to public funds. This is not used to assess a person's right to work. A person's right to work is based on their immigration status. You can continue to offer support to a Participant who has failed their HRT in instances where the Participant has either Pre-Settled Status, Settled Status, or a Certificate of Application (a validated application). You are advised to check your Participant's right to work in this circumstance.

## **Non- European Economic Area (EEA) Nationals**

- 3.89 If a Participant's right to reside lapses whilst they are on the Restart Scheme, it must be established what type of leave the Participant has which will be confirmed by Jobcentre Plus via a UC78e change of circumstances form.
- 3.90 If Jobcentre Plus confirm a Participant is classed as an 'overstay' (i.e., they made their application out of time), they have no right to work in the UK. The Participant must be exited from the Restart Scheme using Leaver Code 46 – 'exceptional circumstances'.
- 3.91 If Jobcentre Plus confirm the Participant is classed as having 3C leave (i.e., the Participant has made a new application to the Home Office before their right to reside ended), the Participant will continue to have valid leave to remain pending the outcome of their leave applications. The Participant's existing leave continues, and they remain eligible for the Restart Scheme. If leave is not granted, they must be exited from the Restart Scheme using Leaver Code 46 – 'exceptional circumstances'.

## **Supporting Participants whilst on the Restart Scheme**

### **Supporting Participants with Complex Needs**

- 3.92 Complex needs may be defined as difficult personal circumstances and/or life events. They may be permanent or temporary in nature and the degree to which they affect a Participant will vary from one to another.
- 3.93 There is no prescriptive list of complex needs which the DWP can supply. Some Participants will have obvious physical conditions which mean they need extra support or that adjustments are required to enable them to fully engage and access support fully. Other Participants may have conditions that are less obvious. You should refer to your organisations policies and guidance for further information regarding identification.

- 3.94 Examples of complex needs may include (but are not limited to):
- learning disability
  - recent care leaver
  - drug/alcohol dependency
  - unable to read or write
  - Homelessness.
- 3.95 As a minimum you are expected to assess your Participants during every interaction, supported by information from Jobcentre Plus to identify complex needs and provide a support offer that is tailored to meet these needs where appropriate. This includes the activities you agree to support them to find and retain work, and where you are considering mandating them to undertake an activity.
- 3.96 Discussions with your Participant will encourage them to divulge more detail about their circumstances and enable them to agree the nature and extent of additional support you can offer, whilst ensuring those who feel capable of managing without the need for further support do not feel compelled to accept additional support. You may wish to make use of three-way conversations to involve your Participant's Jobcentre Plus Work Coach to share and verify information where it may impact their Work Availability and Work-related Requirements. **Please see Chapter 03: Restart Scheme – During Restart, paragraph 3.51 to 3.55 Two and Three-way Calls.**
- 3.97 Support may be appropriate in the short, medium or long term. Discussions will also enable you to review the support you are providing if your Participant's needs change. This includes where you both agree adjustments are no longer needed.

## **Working with Participants who are at Greater than Normal Risk of Abuse or Neglect**

- 3.98 A vulnerable Participant is a Participant who is at greater than normal risk of abuse or neglect. When supporting vulnerable Participants, it is key to make sure they are supported in getting access to the help they need and anyone at risk is protected.
- 3.99 This should be considered during every interaction with your Participant, both to inform the most appropriate way to engage with your Participant and to identify possible concerns. Your organisation's policies should support you in making these considerations.
- 3.100 During engagement with your Participant, you may identify their behaviour or communication as being unusual, for example they may appear frustrated or angry, or may provide brief or one-word answers. Other indicators may help you in identifying and supporting your Participants, in addition to discussions with them and information from Jobcentre Plus. e.g. non-physical signs such as extreme weight loss and paranoia may indicate addiction, attending appointments with family or friends may indicate learning difficulties.

- 3.101 You should also consider the involvement of your Participant's appointee or representative, where they have one, as they may provide additional information to help you provide the most appropriate type of support. Please refer to **Please see Chapter 03: Restart Scheme – During Restart, paragraph 3.105 to 3.108.**
- 3.102 All Participants should be aware of support they can access whilst taking part in the Restart Scheme. This support may include local initiatives and organisations identifiable via your organisation's local engagement activity and agreed sharing of information methodology. You must signpost your Participants appropriately should they require access to any suitable and available support.

**Please note:**

Where you choose to share your Participants information with other organisations you must only do so in line with GDPR requirements. **Please see Restart Scheme Chapter 07.**

**Please note:**

It is important that you maintain professional boundaries when supporting Participants and signposting them to appropriate support. The DWP does not require you to make formal referrals to this support as part of the Restart Scheme.

## **Working with a Participant's Appointee or Representative**

- 3.103 A Participant may have an appointee or a representative. It is important to establish whether the person is an appointee or a representative as this will establish how to include this person in your interaction with the Participant.
- 3.104 You will be notified by the Jobcentre Plus Work Coach during the referral process where your Participant has an appointee or representative. Similarly, you will be notified by the Jobcentre Plus Work Coach via the change of circumstances process where your Participant authorises an appointee or nominates a representative during their time on the Restart Scheme.
- 3.105 Where your Participant has an appointee, you should include them in all your discussions as they are responsible for acting on your Participant's behalf in all dealings with the DWP whilst on the Restart Scheme. This includes their engagement and participation with you. They will be key to gaining information about your Participant's circumstances and agreeing appropriate activities during their time on the Restart Scheme. Appointees are legally empowered to act on behalf of your Participant and there is no need to secure permission to disclose information to them.



- 3.106 You may wish to engage with your Participant's representative, where they have one, for example during the first few interactions during their time on the Restart Scheme or inviting them to attend your interviews. Representatives do not have the same status as appointees but can be valuable in helping your Participant and yourselves during engagement. You must ensure you have your Participant's explicit consent before disclosing information with their representative.

## **Participants where English is not their First Language or where there are Additional Communication Needs**

- 3.107 You must ensure that the Participant remains compliant with current and future changes in the law including any DWP Policy, supporting the Secretary of State in meeting all obligations under the relevant legislation and regulations as set out in the Restart Scheme Terms and Conditions. This includes (but is not limited to):
- ensuring the Restart Scheme supports DWP's Public Sector Equality Duty as outlined in the Equality Act 2010
  - providing appropriate services to ensure compatibility with the Equality Act 2010 and Welsh Language Act 1993 e.g. to enable communication with Participants who do not speak English as a first language, or who are deaf, hearing impaired or have a speech impediment
  - where the Provider is operating in an area with a high minority ethnic population, materials in the appropriate minority ethnic language must be made available on request; and
  - the requirements set out in the GDPR.
- 3.108 The Jobcentre Plus Work Coach will consider, whether Participants have a communication need (i.e. ESOL, deaf, hearing impaired or have a speech impediment). Before making a referral, the Jobcentre Plus Work Coach will consider all the options of support, including whether the Participant's needs can be addressed through other more appropriate support.
- 3.109 For Potential Participants, where English is not their first language and/or have communication needs (e.g. hearing impaired) it is the Jobcentre Plus Work Coach's responsibility to ensure access to the Restart Scheme during the Warm Handover appointment. Following the Warm Handover, all Participants where English is not their first language and/or have communication needs (e.g. hearing impaired), you will be responsible for ensuring these Participants can access all the services offered through the Restart Scheme.
- 3.110 Once a Participant is referred to the Restart Scheme, the Restart Scheme Provider is required to deliver support in response to these needs throughout the Participant's time on provision and, where necessary, adapt their approach to ensure clear appropriate support is in place.

## Travel

- 3.111 When your Participant attends a meeting with you, they should not be expected to travel by public transport for more than 90 minutes from their home address to your premises. For some Participants maximum travel time expectation may be below 90 minutes as agreed by the Jobcentre Plus Work Coach. Where this applies, you will be informed as part of the referral or by a change of circumstances notification. You will be expected to make reasonable adjustments to meet your Participant at a location that will reflect the modified travel time.
- 3.112 You should not expect your Participant to conduct a work search, or take up paid employment, in any location which will result in your Participant being expected to travel for more than 90 minutes or modified travel time, by public transport from or to their home address. However, your Participant may choose to consider a wider geographical or travel to work area which would extend this travel time.

## Expenses

- 3.113 You are required to actively promote the access to funding for travel, childcare and other expenses to your Participants throughout their time on the Restart Scheme and ensure that they are no worse off.

### **Please note:**

You must ensure that you comply with current HMRC Guidance if you make payments or provide benefits e.g. travel cards, to your Participants after they have started work, which relate to that employment. You should inform your Participant that Tax and National Insurance Contributions (NICs) are payable and how this will be done. Failure to account for Tax and NICs that are due on payments made to Participants in employment may be subject to penalties in accordance with current HMRC regulations.

- 3.114 You must make your Participant aware of any out-of-pocket expenses which they can claim from you for their Initial Face to Face Meeting, and that they are offered access to, and reimbursement of any appropriate expenses at all future interventions whilst they remain on the Restart Scheme. You should advise your Participants of the evidence you will need them to produce to claim refunds for new clothing when attending interview or travel costs e.g. receipts.

## Travel costs

- 3.115 You are responsible for funding travel costs incurred by your Participant when attending interventions and activities in connection with the Restart Scheme. This includes interventions arranged by you, for example, to undertake work related activities, job interviews, or other related interviews.

- 3.116 If your Participant commences work, then you are not responsible for travel costs connected with that employment. Should you wish to offer to fund travel costs, this will be at your discretion and needs to comply with any His Majesty's Revenue and Customs (HMRC) guidelines and are not claimable from DWP.
- 3.117 Whilst your Participants are expected to travel by the cheapest method available to them, there will be occasions where some Participants will be unable to travel by the cheapest method, e.g. due to a disability. In these instances, you will need to refund any additional costs incurred, which you will have agreed with your Participant, taking into account all viable options prior to their travel.

## **Childcare costs**

- 3.118 You must provide funding for childcare, to support your Participant in an activity that you have or are approving, where it has been identified as a barrier for your Participant to achieve agreed goals and objectives. Childcare needs to be provided by the following to qualify for funding:
- carers registered with OFSTED
  - a carer accredited under the Childcare Approval Scheme, run on school premises out of school hours or as an out of hours' club by a Local Authority.
  - schools or establishments exempted from registration under the Children Act 1989 or operated on Crown property.
- 3.119 Where your Participant makes alternative arrangements due to barriers to participation, costs should only be reimbursed where the provision of childcare falls into one of the above categories.
- 3.120 Prior to the reimbursement of childcare costs, you must check that the child or children satisfy the age requirement, are a dependant of and reside with your Participant. Support for childcare costs can be paid for each child up to and including the 31st of August, following that child's sixteenth birthday.
- 3.121 To ensure that you or DWP do not take on liability for the safety of children, you must not recommend any particular childcare facilities to your Participants. It is always the Participants' responsibility to decide whom they entrust with the care of their children. In addition, whilst you may have crèche facilities or childcare facilities on your premises that adhere to current legislation, it must be the parent's choice to use those facilities.

## **Replacement Care**

- 3.122 You are expected to provide funding for replacement care costs, to support your Participant in an activity that you have, or are approving, where it has been identified as a barrier for your Participant to achieve agreed goals and objectives for Participants who:
- are aged 18 or over
  - are eligible and currently on the Restart Scheme

- have spent a significant proportion of their lives providing unpaid support to relatives, partners or friends who are ill, frail, disabled or have a mental health or a substance misuse problem.
- 3.123 Prior to agreeing the payment for replacement care costs, you may wish to consider other alternatives, such as moving the time or date of the activity or meeting. Where this is not possible, and replacement care costs have been accepted, then carers must be participating in an approved activity or attending an interview, which has been arranged by you or an employer.
- 3.124 You need to ensure prior to agreement of funding for any costs that the replacement care is provided by a Local Authority Registered Provider, a Local Authority Preferred Provider, or a recognised care organisation within the local area.
- 3.125 To ensure that you or DWP do not take on liability for the safety of the individual requiring care you must not recommend any particular providers, organisations or facilities to your Participant. It is always the responsibility of the carer or person being cared for to make any arrangements.

## **Disclosure and Barring Service Checks (DBS)**

- 3.126 Where your Participant undertakes any activity, in agreement with you, that requires a basic check permitted by the Disclosure and Barring Service (DBS), you are responsible for funding any associated costs with regard to undertaking this check.

### **Please note:**

Disclosure and Barring Service (DBS) helps employers make safer recruitment decisions each year by processing and issuing DBS checks for England, Wales, the Channel Islands and the Isle of Man. DBS also maintains the adults' and children's Barred Lists and makes considered decisions as to whether an individual should be included on one or both of these lists and barred from engaging in regulated activity. Employers will retain the responsibility for the higher level DBS check if employing your Participant. For further information, see DBS site on <https://www.gov.uk/government/organisations/disclosure-and-barring-service>

## **Disruption to Business Delivery – Weather Warnings/ Industrial Action/ Local Emergency**

- 3.127 In exceptional circumstances it may be necessary for Providers to implement their Business Continuity arrangements during:
- Government restrictions.

- Localised emergencies which prevent the delivery of full service eg. Your delivery building is closed.

This list is not exhaustive.

- 3.128 Where there is a significant risk that changes to working practices and daily routines will be required, and official advice has been issued e.g National Government restriction, Providers can apply Business Continuity arrangements. You should complete all relevant risk assessments to make decisions on whether closure is most appropriate for the given situation. Face to face appointments during the period covered by official advice, may instead be carried out digitally with system notes recorded for audit purposes. In this scenario, Providers should expect to receive official confirmation from DWP.
- 3.129 In some other circumstances that are localised, it may be necessary for Providers to consider implementing Business Continuity arrangements locally, this could be where:
- Extreme weather conditions – Red/yellow/ amber weather warnings have been issued
  - Strike action
  - Local Emergency/ Incident eg. Building closures
- This list is not exhaustive.
- 3.130 Where locally there is an increased risk that changes to working practices and daily routines will be required, appropriate risk assessments should be carried out. If it is then considered safe to do so, business as usual working arrangements should apply.
- 3.131 Where you are unable to deliver full service due to the scenarios described in 3.129 decisions should be made in consultation with your PM.
- 3.132 For all National and Local restrictions or Emergencies listed above, Business Continuity arrangements should be ready to be implemented. Where a scheduled Face to face appointment cannot take place, and is carried out digitally instead, detailed system notes should be recorded for audit purposes.

# Chapter 04: Compliance Concerns, Doubts and Mandation

- 4.01 This chapter sets out your role in ensuring the Participant complies with their responsibilities whilst on the Restart Scheme. It will explain the two scenarios where you should raise compliance concerns or doubts with DWP.
- 4.02 These are:
- Where you have a Work Search, Work Preparation and/or Work Availability concern regarding a Restart Scheme Participant.
  - Where the Participant fails to participate in the Restart Scheme, and you are raising a compliance doubt with DWP.

***Good Practice: If you are in a position where a Participant has failed to attend an appointment or complete an activity which was expected to be undertaken voluntarily, and they have not contacted you to provide any reason/rationale as to why, you should consider mandating them to their next appointment or activity through the process outlined in this Chapter. This consideration should be on a case-by-case basis and based on the Participant's previous history of interacting with you.***

# Chapter 04a: Concerns about a Participants Work-related Requirements

## Potential Work Search, Work Preparation and/or Work Availability concern?

- 4.03 As part of the requirements to claim Universal Credit, Participants in the IWSR will have agreed details for Work Search, Work Preparation and Work Availability Requirements with their Jobcentre Plus Work Coach. The details agreed will be in the Participant's Claimant Commitment. Each Claimant Commitment will be tailored to the individual claimant's circumstances.
- 4.04 Some participants may need additional support if their ability to carry out work-related requirements is restricted due to personal circumstances. In these cases, the requirement to look for work may be reduced via an easement or 'switched off' entirely.
- 4.05 As part of the requirements to claim JSA (IB), Participants have agreed to Work Search and Work Availability Requirements with their Jobcentre Plus Work Coach.

## Work Preparation Activities

- 4.06 Work preparation is an essential activity that prepares the claimant for work and makes it more likely that they will obtain paid work, more paid work or better-paid work. Work preparation activities include:
- creating or updating their own Curriculum Vitae (CV)
  - attending skills assessments
  - participating in training or an employment activity
  - undertaking work experience
- This list is not exhaustive.

## Work search activities

- 4.07 Work search is an activity which could result in the claimant obtaining work. Work Search Activities include:
- carrying out work searches
  - making job applications
  - seeking references for a job application
- This list is not exhaustive.

## Availability for Work

- 4.08 Participants are required to be available for work and able and willing to take up paid work immediately, within 90 minutes' travel time from

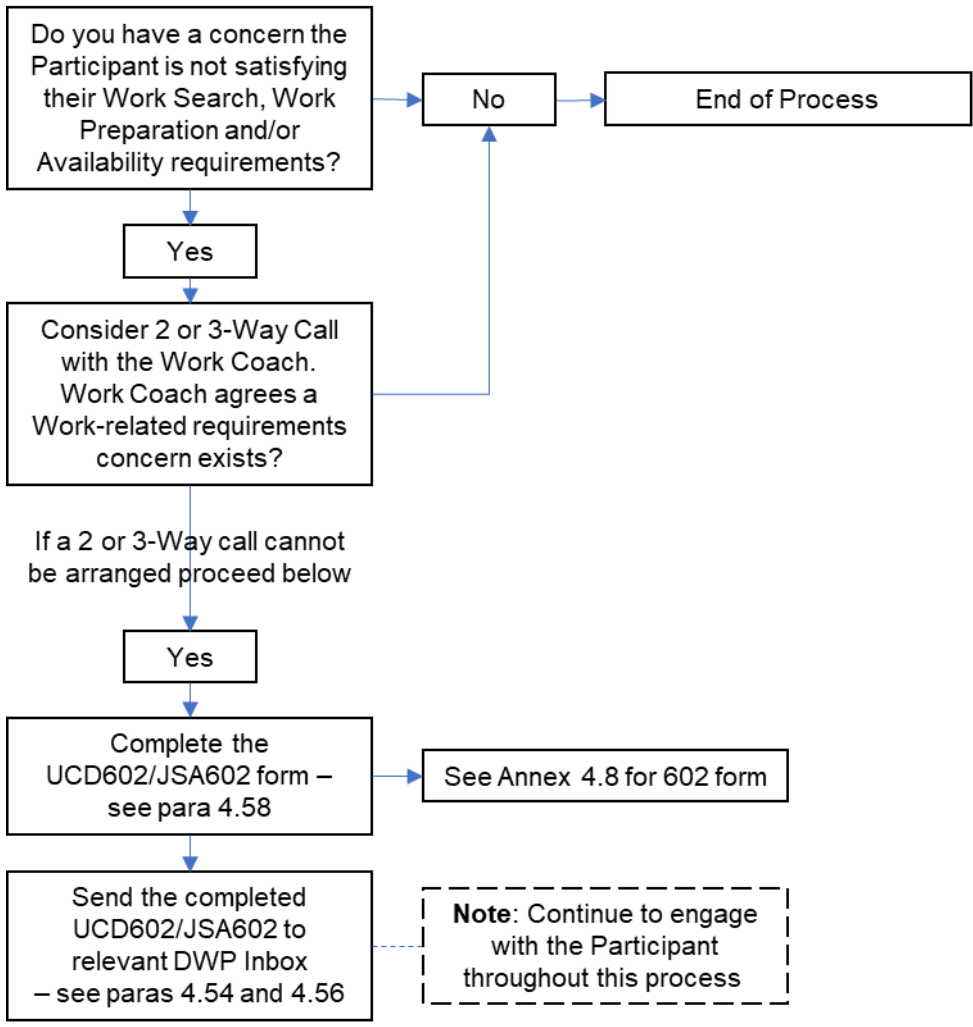
their home by their normal method of transport, unless a reduction in travel time is agreed with JCP.

## **Potential Work Search, Work Preparation and/or Work Availability concern?**

- 4.09 During engagement with your Participant, you may establish a concern that they are not satisfying their essential requirements and wish to contact their Jobcentre Plus Work Coach who will consider further.
- 4.10 It is recommended that where possible you utilise your local arrangements to organise a two-way conversation with the Jobcentre Plus Work Coach, or a three-way conversation where it is beneficial to include your Participant, prior to raising any work-related requirement concern. Where this is not possible, proceed to raise the UC602.
- 4.11 Where you and the Jobcentre Plus Work Coach agree a concern exists, they will advise you to notify them in writing you must advise the Work Coach in writing. This notification is done by completing:
- for Claimants in receipt of Universal Credit, a UCD602 Work Search and Work Availability Concern form and sending to the Jobcentre Plus dedicated inbox via unencrypted email.
  - for Claimants in receipt of JSA (IB), a JSA602 Work Availability Concern form and sending to the Jobcentre Plus dedicated inbox via unencrypted email.
  - both forms above should detail why a Work Search, Work Preparation and/or Work Availability Concern is being raised, including evidence where possible.



Chapter 04a:  
Raising a Work-related Requirements concern UCD602 / JSA602



# Chapter 04b: Mandation Background

- 4.12 This chapter sets out the actions to take when you Mandate a Participant to undertake specific activities on the Restart Scheme.
- 4.13 Mandation should be considered when setting activities which support your Participant to prepare for or move into work including attending meetings with their Restart Scheme Adviser.
- 4.14 A Participant may be sanctioned if they fail to complete without a good reason an activity set by you that was reasonable and achievable in their circumstances. A sanction is a financial reduction that is imposed on Restart Scheme Participants in receipt of Universal Credit or JSA (IB).
- 4.15 See [Universal Credit and you \(www.gov.uk\)](http://www.gov.uk) for more information about Sanctions.
- 4.16 Your interactions with each Participant must reflect their personal circumstances and preferences, and all activities should be agreed together to encourage them to complete them voluntarily. Engagement and collaboration between your Participant and you, in conjunction with the Jobcentre Plus Work Coach, is key to developing this. You must have a variety of methods and approaches to achieve this.
- 4.17 Where a Participant is not engaging with the Restart Scheme or fails to respond to your request for information and there are no challenges or support needs preventing this, you should consider mandating your Participant to fully engage with you to be compliant with the requirements of the Participants Restart Scheme Action Plan.
- 4.18 Mandation should only be utilised where you are satisfied that the legal and policy requirements are met, as detailed later in this chapter.
- 4.19 There is no requirement to wait for the outcome of the compliance doubt. You must continue to engage with the Participant to make best use of their remaining time on the Restart Scheme.

# Chapter 04c: Mandating a Participant to Attend a Meeting or Participate in an Activity

- 4.20 You should be aware that if you are unable to facilitate the Initial Face to Face Meeting (in person or by other means, if restrictions apply) within 30 working days, then this will impact your ability to meet Customer Service Standard 1.
- 4.21 If mandation is for the Initial meeting, as there is no Action Plan at this point you must record the activity on your internal systems, so the record of the activity is accessible as required.

## Summary of considerations prior to issuing a mandatory activity

- 4.22 Below is a summary of the considerations and steps that must be taken or confirmed before a mandatory activity is issued to the Participant.
- 4.23 It is important to note that, should a subsequent compliance doubt need to be raised with DWP, the DWP Decision Maker will consider all of the areas below when deciding the outcome of the doubt you have raised.

Consideration 1	<p>Confirm the Labour Market Regime the participant is in:</p> <ul style="list-style-type: none"> <li>• Intensive Work Search Regime (IWSR) and Work Preparation Regime (WPR) can be mandated.</li> <li>• Light Touch Regime (LTR), Working Enough Regime (WER), No Work Related Requirements (NWRR) or no longer receiving Universal Credit are voluntary participants and cannot be mandated.</li> </ul>
Consideration 2	<p>Confirm the activity will help them prepare for or move into work and you have encouraged the Participant to complete these on a voluntary basis.</p> <p>NB: You cannot mandate a participant to complete work experience, apply for work, attend a job interview or take up work. These can only be voluntary activities.</p>
Consideration 3	<p>Confirm the activity is reasonable and achievable in the Participant's circumstances.</p> <p>Confirm any tailored Work-Related Requirements. e.g. those with health conditions.</p>

Consideration 4	Confirm there are no complex needs and/or challenges.
Consideration 5	Confirm there are no Easements set by the work coach where their Work-related Requirements are temporarily switched off.
Consideration 6	Confirm the Participant has not been asked to undertake this activity before and you are not awaiting the outcome of a compliance doubt, nor is a sanction already in place for this specific activity.  If a sanction has been imposed, you may mandate the Participant to a different type of activity.
Consideration 7 – JSA (IB) participants	Confirm the Participant is available for and actively seeking work allowing them to be mandated to an activity?  NB If they are no longer in receipt of JSA (IB) due to a change of circumstances since starting on the Restart Scheme their participation is on a voluntary basis and they cannot be mandated to undertake any activity.
Consideration 8 – JSA (IB) participants	Confirm that, if this a subsequent JSA (IB) failure to comply with a mandated activity, you must mandate your Participant to undertake this again.
Consideration 9 (All Participants)	Review the amount of time remaining this Participant has on the provision e.g., the time for the activity to take place against the Participant’s 365-days on the Restart Scheme
<p><b>Next Steps</b></p> <p>If all considerations above are satisfied, and the Participant is not complying with a voluntary activity you should consider setting a mandatory activity for this Participant.</p> <p>You must follow each step below to ensure you meet the legal and policy requirements when setting the mandatory activity.</p>	

## Populate the Mandatory Activity Notification template.

- 4.24 The Universal Credit Mandatory Activity Notification (UC MAN) is the notification you must issue to a Participant who is in receipt of Universal Credit each time you mandate them to undertake an activity.
- 4.25 For a Participant in receipt of JSA (IB) Jobseekers Allowance Mandatory Activity Notification (JSA MAN) is the notification you must issue.
- 4.26 The UC MAN and JSA MAN notifications are templates provided by DWP and designed to satisfy the legal requirements when mandating to an activity. It is intended to provide the Participant with written

notification of the mandatory requirement you set, including details of how they complete it.

- 4.27 You must always use the notification provided by DWP and not create any other versions or amend any content other than the sections available to you to input specific details of the activity.
- 4.28 The notification must contain details of one mandatory requirement – if you are considering mandating to more than one activity you must issue a separate notification for each one.

<b>The notification must contain the following information:</b>
The specific action that the Participant is required to undertake to meet the requirement.
When or by when they must undertake it, including date, day of the week and start and finish time.
The location of the activity.
What evidence they must supply to demonstrate completion, if any available.
A contact name and number of activity Provider.
Select from one of the compliance conditions below: <ul style="list-style-type: none"><li>• contact the Provider, agree a date for future attendance and attend re-arranged appointment.</li><li>• undertake agreed Work Preparation Activity (or agree to and undertake this activity at an agreed future date where it cannot be completed on the same day)</li><li>• supply specific information (relevant to Work-related Requirements)</li><li>• agree a date for future attendance at an appointment or placement with a third party (i.e. college, skills training course), where the third party cannot arrange for the same day and attend the re-arranged appointment.</li></ul>

- 4.29 The UC MAN template can be found in **Annex 4.1** and the JSA MAN template can be found in **Annex 4.2**.

## Issue the MAN to the Participant

- 4.30 You can issue the notification to your Participant face to face or by post. When choosing between these two methods you must take into account any known advanced support needs or challenges.
- 4.31 Ensure that the timeframe between issuing the notification and the taking part in the activity is reasonable. This may include additional time to enable your Participant to attend, for example organising replacement care.
- 4.32 If the MAN is posted, it is taken to have been received on the second working day after posting (not including Saturday, Sunday, Christmas Day, Good Friday or bank holidays).

- 4.33 For example: if an activity was due to start on the Tuesday at 9am, it would be advisable to send the MAN on the preceding Tuesday. It could then be assumed to have been received in good time. It would be doubtful that the LTU Participant could provide good reason for failing to take part due to not receiving the MAN in good time.
- 4.34 There are no other permissible methods of issuing the notification to your Participant.
- 4.35 You may wish to use additional methods to communicate with your Participant and remind them of the mandatory requirement, for example email, mobile phone SMS.
- 4.36 In exceptional circumstances your Participant may not have a postal address. In this scenario the notification can be sent via post or email to your Participant's Jobcentre Plus Work Coach who will issue on your behalf. To inform your timeframe, you should contact your Participant's Jobcentre Plus SPOC. You should allow extra time before the appointment date. For Performance Compliance Officer (PCO) evidence purposes, you should clearly note your records that information is being relayed via Jobcentre Plus so the PCO can understand you are attempting to deliver the full service as intended and this will be taken into account for audit-purposes.
- 4.37 As part of your communication with them, you should agree how you will be informed once the notification has been issued. You will need to retain recorded evidence that your Participant received the notification.

## **Update records to reflect mandation.**

- 4.38 You must record the mandatory activity in your Participant's Action Plan along with all other activities and steps they are expected to carry out.
- 4.39 You must keep a copy of each notification you issue, as you may be asked to provide it in the event your Participant is sanctioned and appeals.

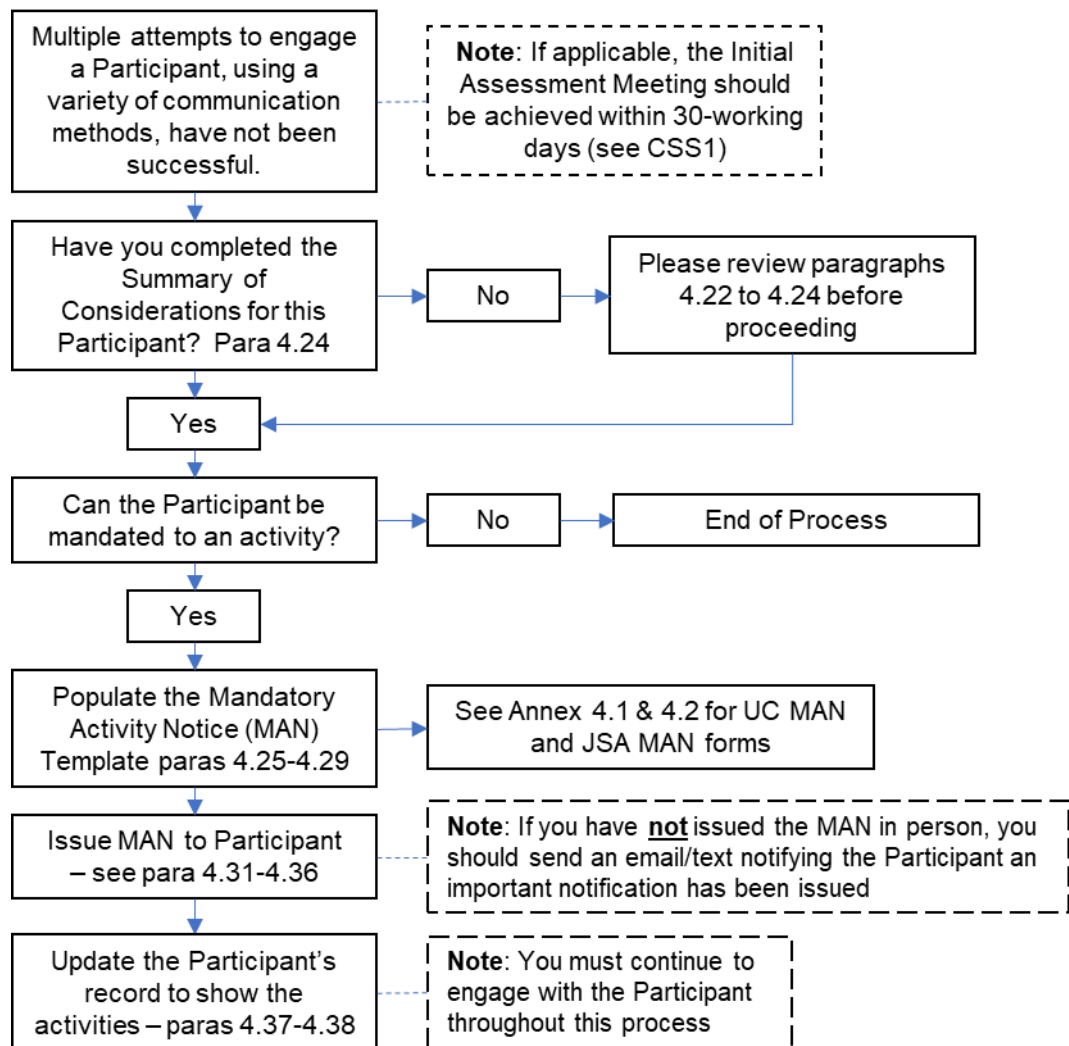
## **Considering re-arranging a mandatory activity**

- 4.40 Your Participant may contact you in between the date you have set the mandatory activity and the date they are required to complete it to request it is rearranged for another date. You have the discretion to agree whether to rearrange the activity or whether they are still required to complete it. This should be recorded on your own internal systems.
- 4.41 Where you agree to a rearrangement, the original MAN notification is now void and you cannot raise a compliance doubt for this activity. If

you still wish to mandate your Participant to undertake the rearranged activity you must issue another MAN notification with the revised details. You must also update your Participant's Action Plan to reflect the change to the activity set.

- 4.42 If you do not agree to a rearrangement, which will mean your Participant is still required to undertake the mandated activity and they subsequently fail to undertake the activity you must raise a compliance doubt.
- 4.43 When considering whether to rearrange a mandatory activity you may wish to review their previous engagement. Repeated failure to undertake activity or repeated requests to rearrange may lead you to decide not to rearrange a mandatory activity.
- 4.44 You could also request evidence from the Participant to support the reasons for the request to rearrange the mandatory activity e.g., dental or doctor's appointments.

### Chapter 04c: Setting a Mandatory Activity Notification Including the Initial Assessment Meeting and Activities while on the Restart Scheme



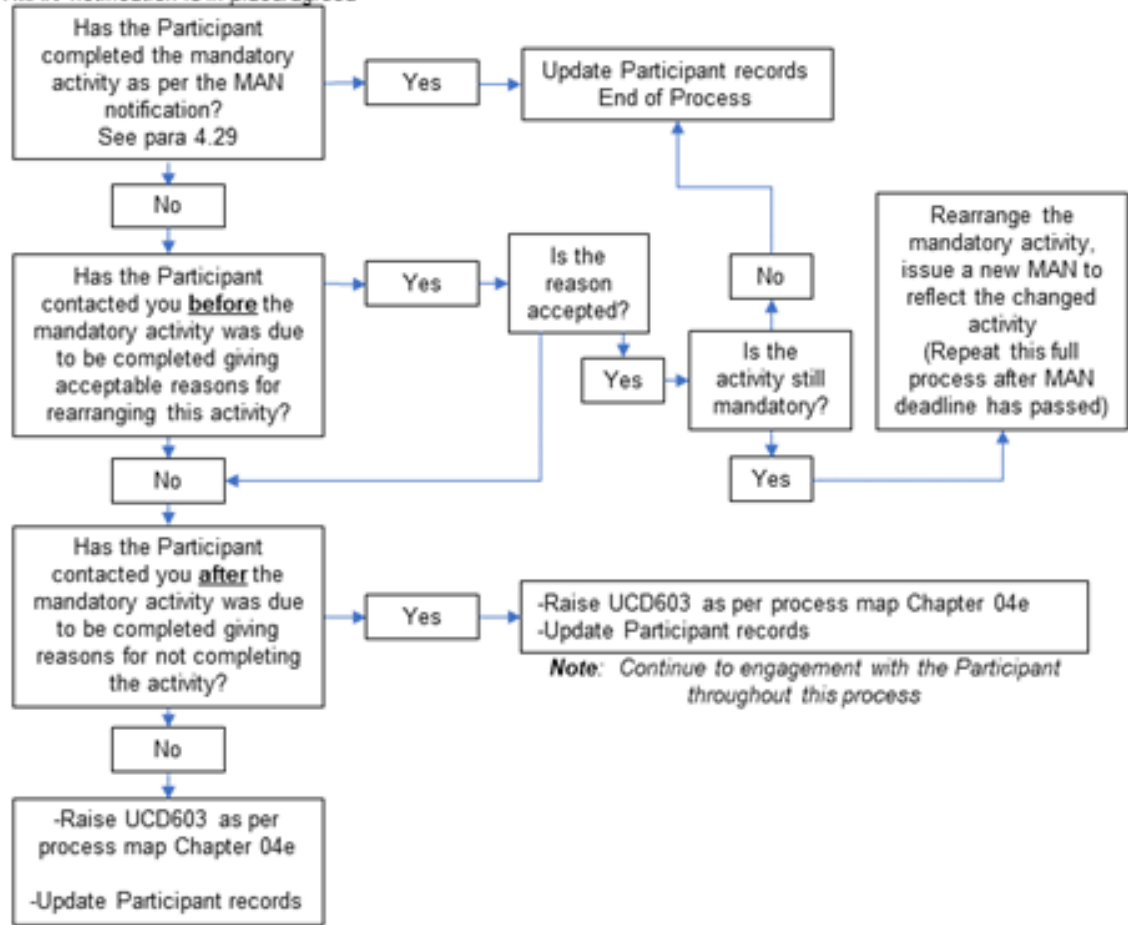
# Chapter 04d: Considering a compliance doubt – failure to participate in the Restart Scheme

- 4.45 Where your Participant is mandated to undertake an activity and they fail to comply you must raise a compliance doubt and do so promptly. Delays in doing so may mean a sanction is not imposed.
- 4.46 There may be instances where your Participant has not satisfied the conditions that were set in the MAN but later contacts you after the date of the mandatory activity to explain their reasons. You must still raise a compliance doubt as accepting your Participant's reasons for the failure constitutes the making of a decision on good reason. Decisions on good reason can only be made by the Secretary of State, or DWP Decision Makers (DM) on their behalf.
- 4.47 If your Participant meets their compliance condition before you have raised the compliance doubt, you must still raise the doubt and notify DWP using the UCD604 form of compliance at the same time. This will enable DWP to bring the open-ended element of a sanction to an end quickly, where a sanction is imposed.



Chapter 04d: Universal Credit Participants Only  
 Considerations for Raising a Compliance Doubt

*A MAN notification is in place/agreed*



**Note:** Continue to engagement with the Participant throughout this process

# Chapter 04e: Raising a compliance doubt – UCD603/ JSA603 Completion

- 4.48 You must complete the UC603/ JSA603 'Failure to participate in the Restart Scheme' to raise a compliance doubt with DWP. A DWP Decision Maker will use the information provided to make the decision as to whether to sanction the Participant.
- 4.49 It is important you complete all relevant sections of the UCD603/ JSA (IB)603 form and take care to complete it accurately. Any UCD603/ JSA (IB)603 forms which are incomplete or incorrectly populated will be cancelled and returned to you, as the DWP Decision Maker will be unable to progress them. Where a form is returned to you, you may be required to take corrective action and re-submit.
- 4.50 You will be required to confirm you made attempts to encourage your Participant to undertake the activity voluntarily before utilising mandation. You are not required to provide additional detail or supply evidence to demonstrate this, you should keep records on your internal systems, in the event of appeal.
- 4.51 For Restart Scheme Participants who have complex needs requiring advanced support, you will be required to confirm you are satisfied there were no known challenges which affected their ability to understand the requirement or consequences of failing to comply, or their ability to undertake the activity. You are not required to provide additional detail or supply evidence to demonstrate this, but you should keep records in the event of appeal.
- 4.52 There is the opportunity within the UCD603/ JSA (IB)603 form for you to provide any supporting evidence which may be helpful for the DM to know, for example any reasons for the failure provided by your Participant.
- 4.53 There is no requirement to send a copy of the Mandatory Activity Notification (UC MAN) or any other supporting evidence with the compliance doubt.
- 4.54 Once completed you must send the UCD603 (for a Participant in receipt of Universal Credit) to the District Restart Triage inbox by unencrypted email and include only the CPA reference number in the e-mail subject box. i.e. Subject: CPA 1a. You will have been notified of the email addresses for these inboxes during implementation activity.
- 4.55 For a Participant in receipt of JSA (IB) send the JSA (IB)603 form to the following email address:  
[dundee.restartjsaibdoubtteam@dwp.gov.uk](mailto:dundee.restartjsaibdoubtteam@dwp.gov.uk).

- 4.56 You must record your actions on your internal systems to enable any MI to be gathered and to remind you of the need to notify DWP of compliance at the earliest opportunity.
- 4.57 You may be required to raise a compliance doubt for a Participant who has moved from another CPA. If a Participant relocates to another CPA within England or Wales, they remain the responsibility of the original Provider who may have arranged appropriate support for the Participant via a strategic partner. As a strategic partner delivering support on behalf of the original Provider, you should send the UCD603 to the new District Triage inbox, in the case of Participants in receipt of Universal Credit, or to [dundee.restartjsaibdoubtteam@dwp.gov.uk](mailto:dundee.restartjsaibdoubtteam@dwp.gov.uk) for Participants in receipt of JSA (IB). Should it be sent to the previous District Triage inbox, it will be forwarded to the correct Jobcentre Plus Work Coach as part of the triage process.
- 4.58 **Please see annex 4.3** for UCD603 and JSA (IB)603

## Completing the UCD603 and JSA (IB)603

- 4.59 Details of the mandatory requirement must be clearly recorded on the UCD603.

UCD603	Purpose/ Reason
Date of failure to undertake mandated activity/appointment.	To allow the Jobcentre Plus Work Coach to quickly identify the failure date and request the reasons for failure from the Participant there should be one clear date for the specific mandatory requirement recorded.
Part 1 Participants details.	Accurately record Participants details
Part 2 Mandatory Activity Notification (UC MAN) details.	Although the Jobcentre Plus Work Coach does not need to see the UC MAN, they need to be assured that the Participant was correctly notified. Therefore, all details from the UC MAN must recorded accurately on the UCD603.
Part 3 Details of the mandatory activity/appointment the Participant failed to undertake.	Questions 1 – 4: Answer Yes or No. Question 5: Give as much detail as possible.
Part 4 Compliance Condition (required for all Participants in receipt of Universal Credit).	Question 1 – 2: Accurately record. Question 3: Input the details as they were entered on the UC MAN.

UCD603	Purpose/ Reason
Part 5 Re-arrangement details (if applicable).	It is essential that you accurately gather reasons, as these will be considered by the Decision Maker in determining whether or not they had good reason if they subsequently fail to undertake the activity when a new date has been agreed (Underlying complex needs, vulnerabilities or health conditions).
Part 6 non-participation details.	For most failures this will be a repetition of appointment details. For others it could be, for example, details of a Participant's poor behaviour on a course or at a meeting with an Employment Adviser (EA), or they may have attended but have not participated.
Part 7 Did the Participant volunteer any information as to why they failed to undertake the mandatory appointment/activity?	With all sanctionable failures Participants must be given the opportunity to give their reasons why they failed to undertake the mandatory activity this section allows for the reason(s) to be recorded, if you have managed to contact the Participant.
Part 8 – Any other information.	Give any further information you wish the Decision Maker to consider when determining whether or not they had good reason for failing to undertake the appointment/activity.

- 4.60 DWP actions – the Jobcentre Plus Work Coach will still have to establish the reason for failure, either by calling the Participant or setting a prompt in the Participant's digital account.
- 4.61 The Jobcentre Plus Work Coach will then make the referral to the Decision Maker.
- 4.62 **Annex 4.4 shows details of correct process for completion of forms and Example of Completed Mandation letter.**
- 4.63 **Please see Common errors UCD603 and UCD604 at Annex 4.6.**

## The Decision-Making process

- 4.64 On receipt of the compliance concern or doubt DWP will undertake a quality check to ensure only referrals which are complete and correct will be progressed for decision-making.
- Your Participant will be contacted by DWP to provide their reasons relating to the concern or doubt.
  - The DM will consider all of the circumstances and evidence presented and will determine whether or not there was good reason for the concern or doubt.
  - Where evidence is received from your Participant, this must be shared with the DM via their Universal Credit account (in the case of Participants in receipt of Universal Credit, or via

their Jobcentre Plus Work Coach if they are in receipt of JSA (IB)).

- Any referrals found to be incomplete or incorrect will be cancelled and returned to you.
- The compliance concern or doubt must be resubmitted once errors are rectified.

## Provider action following the outcome of the compliance concern or doubt.

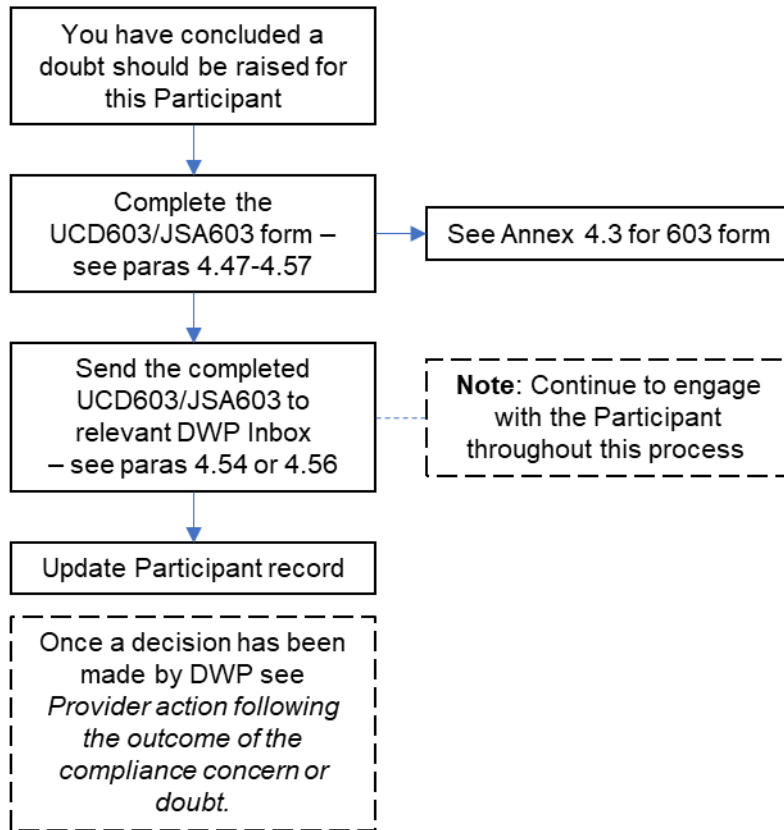
Upon receiving notification – Participants in receipt of Universal Credit	
Accepted - sanctioned	Rejected - not sanctioned
<p>1) You will receive a UC136 from the DM notifying you of the outcome of the compliance concern or doubt.</p> <p>2) When the compliance decision has been met you must notify DWP by completing UC604 as soon as possible (please see annex 4.4 for the correct process for completion of forms).</p> <p>3) Continue to work with your Participant and consider mandation again if future activities are missed.</p> <p>4) Record the Decision</p> <p>If your Participant remains disengaged whilst sanctioned for more than 6 weeks, please discuss this with your Jobcentre Plus SPOC.</p>	<p>1) If a sanction is not imposed the notification will include the reasons for this, for example where there has been a change in circumstances.</p> <p>2) Record the decision.</p> <p>3) Continue to work with your Participant and consider mandation again if future activities are missed.</p>

<b>Upon receiving notification – Participants in receipt of JSA</b>	
<b>Accepted - sanctioned</b>	<b>Rejected – not sanctioned</b>
<p>1) You will receive a JSA136 from the DM notifying you of the outcome of the compliance concern or doubt. Read the reasons the compliance concern or doubt was accepted or rejected.</p> <p>2) There is no provision to revise the period of a sanction for failure to take part in the Restart Scheme without good reason for a Participant in receipt of JSA (IB) when that Participant re-engages. Therefore, even if the Participant in receipt of JSA (IB) complies with the mandated activity, they will still have to serve the full period of sanction.</p> <p>3) If a sanction is imposed it will lead to the Participant's JSA (IB) payments ceasing for a fixed period of 4 weeks for a first failure, followed by 13 weeks for any second or subsequent failure within a 52-week period of their last failure.</p> <p>4) Continue to work with your Participant and consider mandation again if future activities are missed.</p>	<p>1) Update the Participant's record with the reason why the concern or doubt was rejected for audit purposes</p> <p>2) Continue to work with your Participant and consider mandation again if future activities are missed.</p>

## Hardship Payments

- 4.65 Hardship Payments are available to Claimants who have their Universal Credit or JSA (IB) payments reduced because of a sanction.
- 4.66 If a Participant asks about or requests information about Hardship Payments, you must direct them to their Jobcentre Plus office as soon as possible.

Chapter 04e:  
Raising a Compliance Doubt – Completion of UCD603 / JSA603



# **Chapter 04f: Participant complies – Universal Credit only.**

## **Compliance**

- 4.67 Compliance occurs where a Participant undertakes a specific activity to bring an open-ended sanction to end.
- 4.68 A Participant has complied when:
- they have completed the mandated activity or an alternative one that you mandate them to undertake.
  - it is no longer reasonable for them to undertake the mandated activity.
  - they have a change of circumstances which means they move to a Labour Market Regime which does not permit mandation. A fixed period sanction will be imposed once the open-ended element has been closed.

## **Participant completes the mandated activity.**

- 4.69 Your Participant may go on to complete the mandated activity you set, where it is possible for them to do so.
- 4.70 The date of compliance will be the day they complete the mandated activity.
- 4.71 Where the mandatory activity involves your Participant attending a meeting which cannot take place immediately, the compliance date will be the date that your Participant has contacted you, provided they go on to attend the meeting.

## **Participant undertakes the compliance condition.**

- 4.72 It is for you to decide whether your Participant has undertaken the compliance condition set when they were notified of the mandated activity.
- 4.73 Where the compliance condition involves your Participant attending a meeting which cannot be arranged immediately, the compliance date will be the date that your Participant has contacted you, provided they go on to attend the meeting.
- 4.74 There may be instances where you feel your Participant has only partially met the compliance condition. You must then engage and work with your Participant, so they are clear what else they need to do to fully comply. Where the Participant does not fully comply, but feels



that they have, you must follow the process outlined in the 'Participant disputes not meeting the compliance condition' section of this chapter.

## **Participant is no longer required to undertake the mandated activity.**

- 4.75 You may decide it is no longer reasonable for your Participant to undertake the mandated activity, for example where a change in circumstance UC78e confirmation from Jobcentre Plus means it is no longer appropriate for your Participant to undertake it.
- 4.76 Where this is the case, the date of compliance is the day before the date you are notified that they are no longer required to undertake the activity. For further information, see the 'How to notify DWP of compliance' section within this chapter, **paragraphs 4.81 to 4.85**. For Performance Compliance Officer (PCO) audit-evidencing purposes you should keep a clear record of when the notification was received to show a timeline of mandated notifications against formal DWP notifications for the PCO to consider if you have attempted to deliver the service as intended.

## **When to notify DWP of compliance**

- 4.77 Where you have raised a concern or doubt you must continue to attempt engagement whilst you monitor receipt of the outcome notification. This will encourage your Participant to comply at the earliest opportunity and enable you to notify DWP, following compliance, to bring the open-ended element of any sanction imposed to an end quickly.
- 4.78 You must notify DWP of compliance promptly, even if you have not yet received the outcome of the compliance concern or doubt. This may mean you are notifying DWP of compliance at the same time as raising the compliance doubt or shortly after, depending on how quickly your Participant complies.
- 4.79 It is important that you notify DWP of compliance as quickly as possible to avoid prolonging your Participant's loss of Universal Credit payments.
- 4.80 The only instance where an open-ended sanction will be ended without your notification is where your Participant moves into the NWRR regime, or a Labour Market regime where the activity cannot be set as a mandatory requirement. Here the Universal Credit DM will undertake the actions required to bring any sanction to an end and the JCP Work Coach will notify you of the change in circumstances via a UC78e.

## **How to notify DWP of compliance**

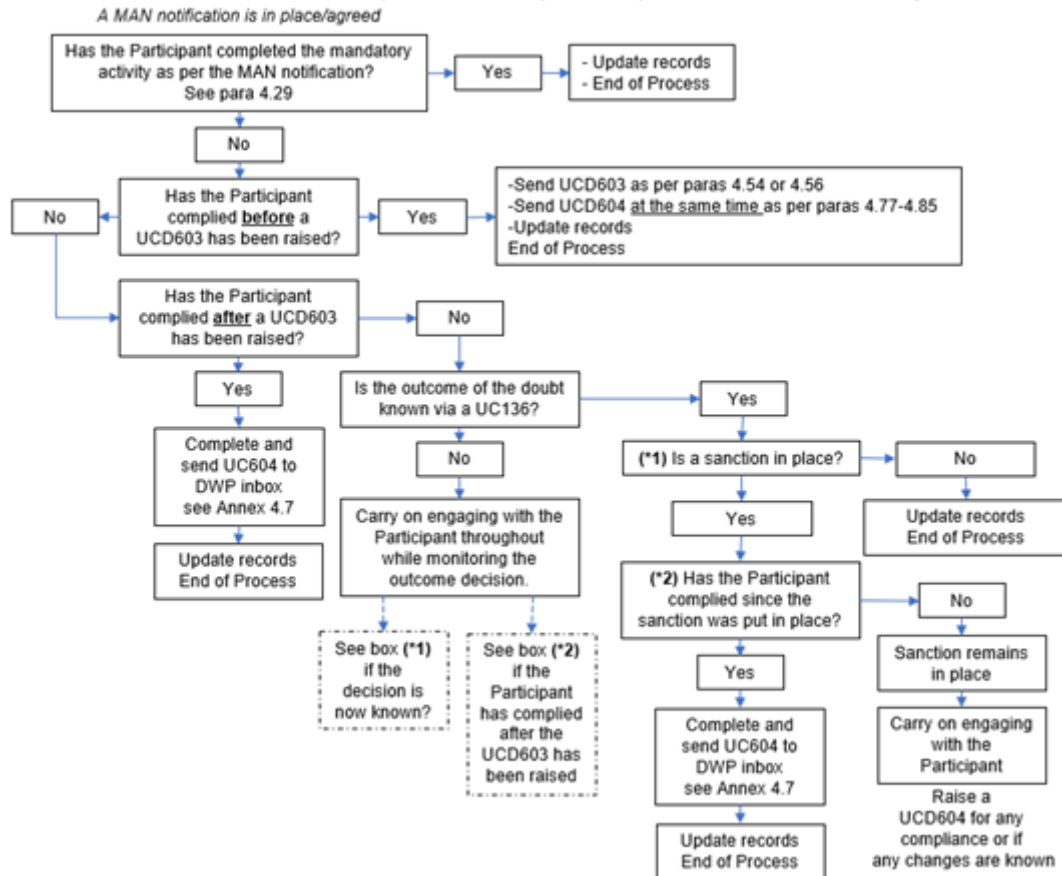
- 4.81 The UCD604 form will provide the Universal Credit DM with the information they need to bring the open-ended and fixed element of a sanction to an end promptly to avoid financial hardship.

- 4.82 Any UCD604 forms which are incomplete or inaccurate will be returned to you for correction and resubmission.
- 4.83 Once completed you must send the UCD604 form to the District Restart Triage inbox by unencrypted email and include only the Contracted Package Area (CPA) reference number in the e-mail subject box.
- 4.84 The Universal Credit DM will accept your decision of compliance and will undertake the actions required on receipt of the UCD604 form. You will not receive a notification that the open-ended element of the sanction has been brought to an end or that the fixed element has been applied.
- 4.85 **Please see Annex 4.4 for advice on correct completion of UCD604.**

## **Participant disputes not meeting compliance condition.**

- 4.86 There may be instances where your Participant feels they have met the compliance condition you set, but you do not agree.
- 4.87 You should first discuss this with your Participant to resolve the disagreement, including explaining what you feel they should do to fully comply.
- 4.88 Where you are unable to reach an agreement, you must refer this to the Universal Credit DM following the same process outlined in the 'How to notify DWP of compliance' section above. You should select the 'I consider that the Participant has not fully complied' option from the list of scenarios and complete sections A-D to provide information to enable the Universal Credit DM to make a decision. This includes any information and evidence from your Participant regarding why they feel they have met the compliance condition.

## Chapter 04f: Participant Complies – Universal Credit Only



## Potential Participant has not complied within 30 working day period for Initial Face to Face Meeting

- 4.89 Particular consideration must be given where your Potential Participant has had a sanction imposed for failing to attend the Initial Face to Face Meeting and has not complied by the end of the 30-working day period.
- 4.90 This is a unique scenario as beyond this point you will input 'Did Not Attend' (DNA) to the PRaP system and return the Participant to Jobcentre Plus. This means they will have no further opportunity to engage with you and comply to bring the open-ended sanction to an end.
- 4.91 To avoid the Participant's uncertainty and prolonging any open-ended sanction, you must deem the Participant as no longer required to undertake the mandatory activity and notify the Universal Credit DM via the UCD604, at the same time you input the DNA to PRaP. You should follow the same process outlined in the 'How to notify DWP of compliance' section above, **paragraph paragraphs 4.81 to 4.85**

4.92 **Please see Annex 4.4 for advice on correct completion of UCD604.**

# Chapter 05: Outcomes, Validation and Payment Model

## Monthly Delivery Fee

- 5.1 The delivery fee is an amount payable by DWP to you monthly, starting from the first month of the contract going live up to a maximum of 48 months.
- 5.2 Full payment of your monthly Delivery Fee is subject to you meeting both your forecasted Full-Time Equivalent (FTE) staffing levels and achieving Customer Service Standards (CSSs). For further information, please refer to the Delivery Fee Payments section of your Restart Specification and Contract Terms & Conditions.
- 5.3 Throughout the life of the contract, PM's and PCO's will monitor your Customer Service Standard performance. If your Customer Service Standard performance falls below the agreed standards your monthly Delivery Fee payment may be deferred or forfeited. Further information on Performance Management can be found in the Restart Specification and Contract T&Cs.

## Funding Model

- 5.4 There are two distinct elements to the Restart Scheme funding model:
  - Delivery Fee;
  - Job Outcome Payment.
- 5.5 To encourage the delivery of services that will help your Participants get back into work on a secure, long-term basis, the funding for the Restart Scheme is predominantly a Payment by Results (PbR) model.

## Delivery Fee Payment Model

- 5.6 You will not need to submit claims for Delivery Fee payments. The Delivery Fee will be automatically paid to you monthly in arrears from month 1 of the contract going live, up to and including month 48.
- 5.7 In the first year of your contract, the Delivery Fee you received is dependant on your staffing levels and, if appropriate, those of your supply chain partners, as detailed in your contract. Pre-payment and Post-payment checks will be undertaken to assure the Delivery Fee. If the Delivery Fee Standards fall below 75% of the level detailed in your contract, this will be treated as a termination event.
- 5.8 During both Year 1 and throughout the life of the contract your performance against the CSSs can also affect the amount of monthly Delivery Fee that you may receive. If you fail to meet CSSs, Delivery Fee payments may be deferred or forfeited.

- 5.9 For further information about the checks that will be made in relation to CSS achievement and how they are used to determine whether deferral or forfeiture of part of the monthly Delivery Fee is appropriate, please see **Chapter 10: Contract and Managing Performance**, paragraph 10.35 to 10.41.

## Validation

- 5.10 There are two stages of the Delivery Fee Validation process:
- a) Pre-payment Checks
  - b) Post payment Checks.

## Pre-payment Checks

- 5.11 We will carry out Pre-payment checks on the information you provide to confirm the total FTE you and your supply chain employ, in management and direct delivery roles on the Restart Scheme contract to assure the forecast levels meet those detailed in your contract.
- 5.12 If your reported FTE levels are the same as, or within 95% of those detailed in your contract, the maximum payment (applicable to that month) will be released, subject to CSSs also being met.
- 5.13 If your total FTE employed on the Restart Scheme contract is below 95% of your forecast, a proportionate amount of the monthly delivery fee will be forfeited. For example, if your reported FTE is 93% of the level detailed in the contract, 2% of your delivery fee for that month will be forfeited.

## Post-payment Checks

### Overview

- 5.14 In addition, we will carry out post-payment checks on a sample-basis or via a full census to assure DWP that individuals included in your FTE return are employed by you and your supply chain partner on the Restart Scheme contract.
- 5.15 A random sample of employees proportionate to each CPA will be drawn. The sample size will be determined by ensuring the output is a statistically significant result given the likely size of the population from which they will be drawn.
- 5.16 Through the Post-payment check, evidence will be gathered to assure the following:
- confirm the correct employee.
  - confirm the employee is employed by the correct Provider or one of their Sub-Contractors/ Delivery Partners
  - confirm the employee was employed on Working Day 1 of the month being checked.

- confirm the employee FTE stated on the Minimum Payment Requirement (MPR) is correct and compare it against the bid/ FTE waiver levels.
- 5.17 All cases in the sample will be subject to a check through Get Citizens Income Information (GCII). This is an independent check utilising real time payment information from HMRC. Where the evidence required, cannot be gathered via GCII, a screen share call will be organised with Providers. This will be a further opportunity for you to present the evidence required for assurance.

## **Provider Actions**

### **Collection of employee's National Insurance Number (NINO) information**

- 5.18 Additional MPR templates will be sent to Providers via Jaggaer. This will contain the information previously submitted for the month being assured at the Pre-payment stage. Two additional fields will need to be completed. These are:
- The employee's National Insurance Number (NINO);
  - The employee's Full Time Equivalent (FTE).
- 5.19 For security reasons the additional template will be password protected. You will be informed of the password, separately by email. On receipt of the MPR template via Jaggaer, you will have 5 working days to complete the required fields before re-uploading and returning to DWP via Jaggaer.
- 5.20 Prior to returning the additional MPR template to DWP, please ensure the following:
- NINO (without spaces), FTE and Restart Scheme FTE columns; are completed on all lines on all sheets
  - No additional rows or columns have been added into the workbook
  - No lines have been removed
  - If the employee's name that appears on official payroll records is different from that on the MPR, please record this in the notes box
  - If you expect the employer's name appearing on the GCII record not to be the same as the Prime Provider or Sub-contractor name that appears on the MPR template, please record this in the notes box
  - Duplicates are highlighted in red; reasons for duplicates can be placed in the notes box.

### **Screen Share calls**

- 5.21 DWP will use the NINO information to conduct GCII checks to assure your employee's FTE. Where evidence cannot be assured at this stage, the Assurance Team will contact Prime Providers to organise Screen Share Calls. These calls will take place over Microsoft Teams

and will be a further opportunity to provide the evidence required for assurance.

- 5.22 These calls will be pre-arranged, and the Assurance Team will endeavour to organise them at a time that is suitable for you. Where possible they will seek to arrange and conclude these within 10 working days of the initial contact date.
- 5.23 To run these calls effectively you should ensure that you have suitable personnel in place to take the call and who can navigate the Payroll/ HR screens to show the required evidence.
- 5.24 Prior to the calls taking place where further evidence is required, you will not be informed who the employees are. This is to ensure that a robust assurance process takes place.
- 5.25 In exceptional circumstances, such as an I.T. failure, an additional screen share call can be arranged to take place within three working days of the original call, if required.
- 5.26 No results will be shared with you during the screen share calls as the outcome of the Delivery Fee Assurance checks must be ratified through a formal DWP Delivery Fee Payment Board outlined below.

## Results

- 5.27 Following completion of the post-payment assurance process the results of the checks will be reviewed and verified by DWP's Delivery Fee Payment Board. Following final sign off, you will receive confirmation of the results.
- 5.28 Following the DWP's Delivery Fee Payment Board decision, all employee data will be anonymised/ deleted.

**Please note:**

All Delivery Fee Payment Board decisions are final.

**Please note:**

Any information shared with DWP by the Provider will be used solely for the purpose of assuring Delivery Fee Standards and for no other purpose. Providers may wish to ensure that staff understand that you, as the Data Controller, may have to share your employees' data with DWP.

## Payment by Results: Job Outcome Payments

- 5.29 The remaining Total Contract Value is payable through Job Outcome payments on a Payment by Results basis. This means you will only be paid a Job Outcome Payment when DWP has confirmed that the qualifying conditions described later in this section have been met.



- 5.30 Job Outcomes are categorised as being Employed or Self-Employed:
- **Employment** is typically where there is a contract of employment with an employer. Payment is made through Pay as You Earn (PAYE) with tax and Class 1 National Insurance contributions automatically deducted and there is access to employee benefits.
  - **Self-employment** is typically where someone runs their business for themselves and takes responsibility for its success or failure. They carry out a trade, profession or vocation and normally report their income and pay tax and Class 2 National Insurance contributions through self-assessment, or Construction Industry Scheme (CIS).
- 5.31 Only one Job Outcome will be paid per Participant on achievement of either an Employed or a Self-Employed Job Outcome. Employment and self-employment cannot be combined for the purpose of achieving an Outcome.
- 5.32 There is no price differentiation between Employed or Self-employed Job Outcome Payments, however, there is a price acceleration model linked to Job Outcome performance. An increased Outcome Payment Rate will be paid for each Outcome achieved above the cohort volume agreed with DWP. **Please see the Accelerator Payment Mechanism section later on in this Chapter at paragraph 5.80 to 5.81.**

## Qualifying conditions for Employed and Self-Employed Job Outcomes

### Employed Job Outcomes

- 5.33 An Employed Job Outcome Payment will be automatically paid to you when the Participant accumulates earnings that are equal to or exceed the equivalent of someone working for 16 hours per week for 26 weeks, earning the National Living Wage (NLW) (earnings threshold).

**Please note:**

The National Living Wage (NLW) is reviewed annually and any changes to the rate will be reflected in the earnings threshold expectation for Employed Job Outcomes. The 'earnings threshold' used for measuring achievement of an Employed Outcome will be based on the NLW rate applicable at the point the Outcome criteria described above are met.

- 5.34 DWP will use real time earnings information (RTI) data supplied by HMRC. DWP will use HMRC PAYE online earnings data to validate Employed Job Outcomes.
- 5.35 During this time, reports will be available on the PRaP iSupplier portal for you to view:

- when a Participant's earnings are first declared to HMRC, following a confirmed start on the Restart Scheme (multiple notifications are possible with two or more jobs);
  - when a Participant has achieved income milestones of £1,000 and £2,000 during their employment;
  - when DWP are notified that the Participant's employment has ended (multiple end notifications possible with two or more jobs);
  - when an automatic Job Outcome Payment has been triggered once the earnings threshold is reached (final notification).
- 5.36 When an Employed Job Outcome has been achieved or a Participant exits the Restart Scheme early, we will stop tracking earnings via HMRC. Please refer to **Chapter 08: Leaving Restart Scheme and Completers**.
- 5.37 There may be occasions when a Participant is receiving, or has received, income that should not contribute towards the achievement of an Outcome. In these instances, you will not need to provide any evidence of earnings or submit a claim for payment. **Please see Ineligible Income Section.**

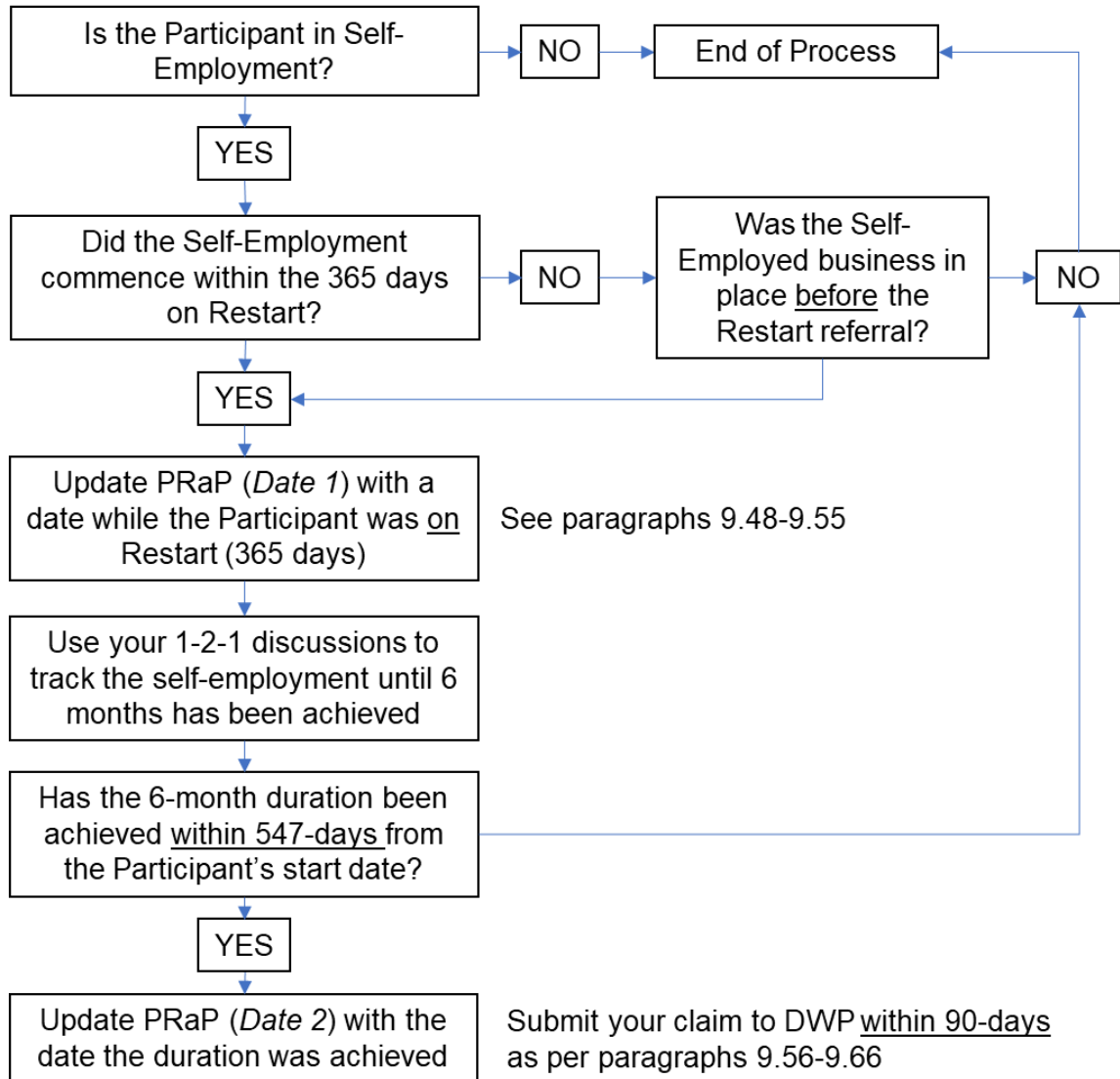
## Employed Job Outcome Validation

- 5.38 The Employed Job Outcome validation and payment process is fully automated. Participants moving into employed work and meeting the qualifying conditions for an Employed Job Outcome Payment will be identified by DWP using HMRC PAYE online earnings data only.
- 5.39 Participant earnings will be monitored and tracked for a maximum period of 547 calendar days from the Participant's start date on the Restart Scheme. Any earnings from one or multiple employers reported via HMRC within the qualifying period will count towards meeting the earnings threshold.
- 5.40 You will not have a right to appeal or to request reconsideration on decisions made relating to Employed Job Outcomes. Only earnings received from HMRC PAYE online earnings within the 547-day qualifying period will count towards a Job Outcome. [How about?] If you have specific examples of Participants working for employers which have not generated a PRaP Notification, you may raise this with your Performance Manager in the first instance who will consider if this should be investigated further. Note: This request may not always be accepted but will be considered in the interests of productive partnership working.
- 5.41 Once achievement of a Job Outcome has been identified and paid, or 547 days have elapsed from the Participant's start date on the Restart Scheme, tracking of earnings will cease and the payment line will be automatically closed.
- 5.42 To ensure system effectiveness, we may undertake tests of the automated payment system to confirm it is delivering the requirements. Should underpayments or overpayments be identified

through these checks, or other avenues, remedial action will be undertaken through the End of Cohort Reconciliation process (see table at paragraph 5.74).

## Self-Employed Outcomes

### Tracking and claiming self-employed outcomes



- 5.43 A self-employed Job Outcome must be claimed manually on PRaP following the self-employment Job Outcome **please see guidance from 5.48**. As self-employed earnings are not available from HMRC in real time, you will need to have systems in place to monitor and track periods of self-employment and gather supporting evidence.
- 5.44 For further information on this **please see Chapter 09: Using PRaP**.
- 5.45 The basic principle is you will be entitled to claim a self-employed Job Outcome Payment when a Participant in receipt of Universal Credit or JSA (IB) has achieved a cumulative period of not less than 6 months

of self-employment within the 547-day qualifying period, having started that 6-month period of self-employment within their 365-day (allotted time) on the Restart Scheme. However, in addition to this duration, you must consider each Participant's specific Universal Credit-specific status regarding their self-employment, which is provided in the sections below.

**Please note:**

For the purposes of the Restart Scheme Self-employed Job Outcomes, a month is a Participants' Universal Credit Assessment Period which will be individual to each person on the Scheme.

Universal Credit Assessment Periods run for a complete calendar month and start on the same date every month, starting from the date that the Participant made their claim. For example, for a new claim made on 6th September, the first Assessment Period runs from 6th September to 5th October, with a new Assessment Period starting on 6th October. The Universal Credit Assessment Period can vary between January & March if the Assessment Period starts on either 30<sup>th</sup> or 31<sup>st</sup> of the month (due to only 28/29 days in February) e.g. if the Assessment Period starts on 30th, the periods may be: 30/1 to 28/2; 1/3 to 29/3.

## Qualifying Conditions and Making a Self-Employed Claim

### Claimants in Receipt of Universal Credit

- 5.46 Before submitting a self-employed Job Outcome claim you must have assured yourself that the claim is valid by gathering sufficient evidence to provide confirmation that the Participant was self-employed for the required duration and the self-employment itself was organised, developed, regular and carried out in reasonable expectation of profit e.g. the self-employed business is the Participants main occupation and it is clear that the business is being promoted or work is in the pipeline to suggest it will generate profit in the future.
- 5.47 The evidence you may gather will not form part of DWP's validation process but can be used to provide assurance to yourself prior to making a claim.
- 5.48 This could include, but is not limited to:
- confirmation that the UCD150 / UCD151 has been uploaded to the Participant's Universal Credit Journal following attendance at a Gateway Intervention
  - a business plan or other evidence demonstrating the activity was marketed/advertised in order to generate and or increase income
  - evidence of work generated including 'jobs' quoted for, and work or delivery of services undertaken or in the pipeline

- a record of hours spent each week working on the activity and the regularity of the work demonstrating the activity was the Participant's main employment and was self-employment.

5.49 You should be confident from the evidence you have gathered from the Participant that the self-employment is their main occupation, they work for themselves and their income from their business is being declared on Universal Credit

**Please note:**

Any period of self-employment can only be counted once, regardless of whether the Participant has one or multiple self-employed occupations during that period.

5.50 For audit and internal assurance purposes, you will be expected to retain evidence that supports any claims for payment. In addition, you may also be expected to make available to DWP, any further information that the DWP requests.

5.51 It is also in your interest to provide support and encouragement to ensure the Participant fully complies with the requirements of Universal Credit in respect of being gainfully self-employed. Namely that the Participant:

- reports a change of work and earnings to DWP as soon as they start self-employment, via their online Universal Credit Account
- declares, within each Universal Credit Assessment Period, all relevant self-employed earnings.
- attends all reviews with their Jobcentre Plus Work Coach.

5.52 Once you become aware a Participant has commenced self-employment, and this date is within their 365-days on the Restart Scheme, it is recommended you record these details on PRaP as soon as this is known to ensure potential outcome claims can be pursued as per the timings outlined below. It is essential that self-employment details are input to PRaP as failure to do or late entries this could result in the payment line in PRaP being closed for the Participant and associated Outcomes will not be claimable.

1. update the job details screen, with the following information:
  - current, accurate and valid contact details, including the current address, contact name, full business and email address (where applicable)
  - the Participant's contact details, where different from above
  - It is crucial a valid telephone number must be included for each claim. You should also use the additional information box on the job details screen to record anything that might impact on the DWP being able to contact the Participant or confirm self-employment details. For example, health conditions that might require alternative methods of communication or information about the best time to attempt to contact the Participant
  - start date of self-employment (Date 1 on PRaP)

- end date of self-employment (where already known).
- If you know the Participant's (Universal Credit) assessment period date(s), you can align your PRaP claim dates to the Participant Universal Credit claim as this will make tracking simpler for yourselves and will assist the validator when assessing your outcome claim.

**and**

2. complete the appropriate outcome line in PRaP with the following details:
    - Date 1. The date that the Participant started self-employment
    - Date 2. Should be at least 6 months from date 1.
- 5.53 You must submit all claims within 90 days of the qualifying conditions being met (Date 2 in PRaP). A check is in place to calculate the time elapsed between Date 2 and the date you submit your claim.
- 5.54 You are only permitted a total of three attempts to claim a self-employed Job Outcome via PRaP. Any claims which are submitted that:
- are incomplete or do not supply enough information to allow the validator to attempt to verify the Job Outcome, or
  - have been submitted more than 90 days after Date 2 in PRaP could result in a validation fail and be counted as one of the maximum three attempts permitted.
- 5.55 If your self-employed Job Outcome claim fails DWP's manual validation after three attempts, it will remain a fail and will be recorded as an outcome fail. At this point the line will be closed to prohibit any further self-employed Job Outcome claims.
- 5.56 Although you will no longer be able to claim a self-employed Job Outcome after your third attempt has failed, tracking of HMRC/RTI earnings data will continue to the end of the Participant's 547-day qualifying period to identify potential Employed Job Outcomes. If an Employed Job Outcome is subsequently achieved within this period, it will be paid and counted as an Employed Job Outcome for performance purposes.
- 5.57 Universal Credit Assessment Periods: For tracking and claiming purposes, Providers should 'count' any assessment periods where the Participant has confirmed they have declared income to DWP and this will contribute one sixth of the assessment periods required to make the duration of 6 months. This will also include the assessment period where the self-employment commences, even if this was mid-assessment period as income must still be declared by the Participant

## **Jobseekers Allowance (JSA (IB))**

- 5.58 In order to make a claim for a self-employed Job Outcome, you must ensure:
- the claim is submitted by you within 90-days of PRaP claim date 2

- the PRaP claim date (Date 1) is after the Participant began on the Restart Scheme and is within 365-days
- the Participant confirms they have sustained self-employment for a cumulative period of 26 weeks
- the six-month duration of self-employment, PRaP claim date (Date 2), is within the 547-day qualifying period

5.59 You are permitted a total of three attempts to claim a self-employed Job Outcome. Any claims which are submitted that

- are incomplete or do not supply enough information to allow the validator to attempt to verify the Job Outcome, or
- have been submitted more than 90 days after Date 2 in PRaP could result in a validation fail and be counted as one of the maximum 3 attempts permitted.

## Self-Employed Job Outcome Validation

### Universal Credit

#### 5.60 End to End Self-employment Job Outcome Validation Summary

Day 1 to 30	<p>Claims submitted are subject to validation.</p> <p>Passes are released and paid.</p> <p>Fails are removed from PRaP.</p> <p>Validation of Unable to Validate (UTV) claims continues (see below)</p>
Day 31 to 90	<p>UTV claims are followed up to see if they can be categorised as a Pass or Fail. The validation process ends at Day 90.</p>
Cohort Period Employed Outcomes	<p>A cohort is defined as all Restart Scheme starts in a calendar month and the Job Outcomes attributed to these starts across the qualifying period (547-days)</p>
Cohort Period Self-Employed Outcomes	<p>A cohort is defined as all Restart Scheme starts in a calendar month and the Job Outcomes attributed to these starts across 24 months (12 months on the Restart Scheme plus a 6-month tracking period plus a 90-day claim submission period plus a 90-day claim validation period.</p>
End of Cohort Reconciliation	<p>Once the self-employed cohort period has ended DWP will carry out system checks on all UTV claims to see if that original payment can be justified. UTV claims that cannot be defined as a pass will be considered for apportionment.</p>

Apportionment	Each cohort will have established a (self-employed claim) pass/fail rate. The fail rate associated with each cohort will be applied to the UTV payments (paid at Day-30) which will be recovered from the provider.
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## Self-Employment Validation Process

- 5.61 When you submit a self-employed Job Outcome claim on the PRaP system, the payment will automatically be put on hold pending manual validation. An automated check within PRaP will also confirm that the claim submission date is within 90 days of Date 2 on PRaP. Any claims that are outside this period will be flagged up to the Provider Payment Validation Team (PPVT) via a 'Claim Limit' hold and may fail validation.
- 5.62 The DWP PPVT will have 30 calendar days from the date your claim was submitted to make an initial decision. If the claim is an Unable to Validate (UTV), then PPVT will continue to validate up until day 90 to conclude validation activity and determine whether your Job Outcome claim can be paid.
- 5.63 To validate each claim submitted, PPVT will use information that is independent of yourself and your supply chain to consider if the Participant has met the conditions, listed below, for paying a Job Outcome via PRaP.
- 5.64 When validating **JSA (IB) Outcome claims**, PPVT will use DWP systems to verify that:
- the claim you submitted is within 90-days of PRaP claim date 2
  - the PRaP claim date (Date 1) is after the Participant began on the Restart Scheme and is within 365 days.
  - the Participant confirms they have sustained self-employment for a cumulative period of 26 weeks.
  - the six-month duration of self-employment, PRaP claim date (Date 2), is within the 547-day qualifying period.
- 5.65 For validation (and Provider tracking) purposes, you must ensure that the Participant ceased claiming JSA (IB) for a minimum of 26 weeks e.g., JSA (IB) Participant must close their claim to benefits if they are working 16 hours or more per week, therefore, the Participant closing their benefit claim plus a 26-week period off benefits can be claimed. The validation test will be confirming the Participant has signed off JSA (IB) and has remained off benefits for a minimum of 26 weeks.
- 5.66 If these conditions are met the Outcome claim will pass validation and be released for payment.
- 5.67 For **Universal Credit Outcome claims**, and when assessing which validation approach will be used to validate the claim, PPVT will check the Universal Credit system to establish if the Participant falls into one of three categories which are:
- a) the Participant is deemed as being Gainfully Self-employed (GSE) for Universal Credit purposes, or



- b) the Participant is not Gainfully self-employed for Universal Credit purposes, or
- c) the Participants Universal Credit account has closed meaning there is not enough Universal Credit data in which to validate the outcome claim independently.

5.68 The paragraphs below outline the validation approach for each category listed above.

**a) Participants who are gainfully self-employed**

Please Note: The validation process outlined above will be applied to outcome claims submitted where the PRaP Date 1 (the date the self-employment commenced) is on or after 1st December 2023. Outcome claims submitted prior to this date will be validated against the original process outlined in the Restart Scheme Specification.

- 5.69 During manual validation, if the Participant is confirmed as being gainfully self-employed, PPVT will review information relating to work and earnings held on the Universal Credit system to confirm:
- Within the Outcome claim period (between Date 1 and Date 2 input to PraP), the Participant had attended an interview with their Jobcentre Plus Work Coach to discuss their self-employment status and the Jobcentre Plus Work Coach has deemed the Participant's self-employment status as being gainfully self-employed for Universal Credit purposes.
  - self-employed earnings have been declared in 6 separate Universal Credit assessment periods.
  - at least one of the assessment periods when earnings have been declared is within the period of the Outcome claim (between Date 1 and Date 2 input to PRaP)
  - all 6 instances of self-declared self-employment are within the 547-day qualifying period.

5.70 If all four of these conditions are met the Outcome claim will pass validation and be released for payment.

**b) Participants who are not gainfully self-employed**

5.71 Where the Universal Credit system checks confirm the Participant is not gainfully self-employed an outcome claim will only be paid if the self-employed Participant's cumulative Net self-employed Income from any six (6) Assessment Periods (in aggregate and whether or not consecutive) during period is **equal to or greater than each of** during the 547-day qualify:

- i. a threshold\* calculated as the equivalent of earning 16 hours per week x 26 weeks x the National Living Wage (the hourly rate for eligible workers aged 23 and over as in force at the date the outcome claim was submitted); and

\* By way of illustration, based on 2024/5 rates, would equate to £4,759.04

- ii. the self-employed Participant's aggregated Net self-employed Income from the six (6) Assessment Periods immediately prior to the Referral onto the Restart Scheme.

5.72 PPVT will use the Universal Credit system to independently verify if the conditions above have been met and if these conditions are met the Outcome claim will pass validation and be released for payment.

5.73 Three examples outlining different pass or fail scenarios are given below:

Example 1 (PASS)

Pre-Referral NET Income Values						Best 6 Universal Credit NET periods from the PRaP Claim					
<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>
£0	£100	£500	£0	£500	£100	£800	£800	£700	£700	£1,000	£1,000
Pre-Referral Income Total = £1,200						On the Restart scheme Income Total = £5,000					

Example 2 (FAIL on Point i above)

Pre-Referral NET Income Values						Best 6 Universal Credit NET periods from the PRaP Claim					
<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>
£0	£100	£500	£0	£500	£100	£100	£300	£700	£700	£400	£400
Pre-Referral Income Total = £1,200						On the Restart scheme Income Total = £2,600					

Example 3 (FAIL on Point ii above)

Pre-Referral NET Income Values						Best 6 Universal NET Credit periods from the PRaP Claim					
<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>
£1,000	£1,000	£1,000	£1,000	£1,00	£1,000	£800	£800	£700	£700	£1,000	£1,000
Pre-Referral Income Total = £6,000						On the Restart scheme Income Total = £5,000					

**c) Participants whose Universal Credit claim is closed**

5.74 If the Participant's Universal Credit claim is closed the validation team will contact the Participant directly and look to verify the following:

- the self-employed duration.
- if the Participant works for themselves and is not employed by someone else.
- the earnings generated are from self-employment.

- the self-employment is the Participant’s main employment.
- the self-employment is organised, developed, regular and carried out in expectation of profit.

5.75 See **Annex 5.2** for further supporting information to help you determine self-employment. This list is not definitive.

**Please note:**

Should the Participant’s earnings exceed their Universal Credit entitlement resulting in their claim being closed the validation team will contact the Participant directly to confirm the dates and duration of self-employment.

5.76 PPVT’s ability to contact Participants is reliant on you recording in PRaP accurate and up to date contact information, including details of any special contact arrangements required. If PPVT have trouble contacting a Participant, they will email you for further information. You will have 5 working days to reply with further details or risk the claim failing validation.

## Results

5.77 On completion of manual validation checks there are three possible self-employed Outcome validation results:

Validation Outcome	Outcome Description	Subsequent Action
<b>Pass</b>	PPVT has confirmed that the Outcome definition for self-employment and conditions for payment have been met in full.  Payment will be released.	Outcome counts toward performance.

Validation Outcome	Outcome Description	Subsequent Action
<b>Fail</b>	<p>The Outcome definition for self-employment and conditions for payment have not been met.</p> <p>The claim will be removed from PRaP and will count as one of the three possible attempts to claim a self-employed Job Outcome payment.</p> <p>All three self-employed Job Outcome claim attempts must be submitted within 637 days of the Participant starting on the Restart Scheme.</p>	<p>When a claim fails validation, you are permitted up to two further attempts up to a maximum of three.</p> <p>If your third claim attempt fails, it will remain a fail. At this point the line will be closed to prohibit any further self-employed Job Outcome claims.</p> <p>Tracking of HMRC/RTI data to identify potential Employed Job Outcomes will continue until the Participant either leaves the Restart Scheme early or 547 days have elapsed since their start date on the Restart Scheme.</p> <p>If an Employed Job Outcome is achieved, the claim will be paid and re-categorised as an Employed Job Outcome Pass.</p>
<b>Unable to Validate (UTV)</b>	<p>PPVT cannot conclusively reach a pass or fail Job Outcome decision within 30 calendar days of the claim being submitted.</p> <p>Payment will be released, and the Job Outcome will be classed as UTV.</p> <p>You will be notified that the claim has been classified as a UTV.</p>	<p>PPVT will continue to undertake checks for a further 60 days. If PPVT definitively confirm the self-employed Job Outcome is a Pass or a Fail, it will be re-categorised.</p> <p>RTI tracking also continues to day 547, if an Employed Job Outcome is achieved, the UTV is re-categorised as an Employed Job Outcome Pass.</p> <p>All UTVs remaining are included in the end of cohort reconciliation and apportionment calculations.</p>

<b>Net Self-Employed Income</b>	<p>A Participant's income that is earned from self-employment in the relevant period after deduction of permitted expenses, as set out in the government's "Business expenses you can report to Universal Credit if you are self-employed" guidance (as set out at <a href="https://www.gov.uk/government/publications/universal-credit-and-self-employment-quick-guide/business-expenses-you-can-report-to-universal-credit-if-you-are-self-employed">https://www.gov.uk/government/publications/universal-credit-and-self-employment-quick-guide/business-expenses-you-can-report-to-universal-credit-if-you-are-self-employed</a> and, as it may be updated or replaced from time to time), determined by reference to the Participant's income activity as declared by the Participant on Universal Credit.</p>
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# Self-employment End of Cohort Unable to Validate (UTV) Apportionment

- 5.78 self-employed Job Outcome claims that are still categorised as UTV at the end of the additional 90-day checking period will be added to the cohort population for apportionment and reconciliation calculations.
- A cohort population is made up of all Restart Scheme starts and their attributed Job Outcome recorded in a single calendar month
  - The apportionment activity is carried out when the 547-day qualifying period for each Participant plus the 90-day claim submission period and the 90-day validation period within the cohort population has been reached (the period where no additional outcomes is calculated as 24 months).
- 5.79 We will establish a failure rate for each cohort, calculated from the claims that have passed and failed within the period, which will be applied to any remaining UTVs once the cohort period has ended. The process and calculations used to establish the fail rate and determine the UTV apportionment value are shown in the example below.

Formula:  $\text{Number of fails} / \text{cohort population} * 100 = \text{fail rate (rounded to nearest \%)}$ .

### Example:

- 1) 1000 self-employed Job Outcome claims have been submitted in a month/cohort. After 30-day validation period the results are:
  - 865 passes
  - 105 UTVs
  - 30 fails

This results in an error rate following Pre-payment validation of 3% ( $30 / 1000 * 100 = 3\%$ )
- 2) Checks continue on the 105 UTVs for a further 60 days and RTI interest remains open for 547 days in an attempt to capture further Passes or Fails.
- 3) After the cohort period has ended there are 95 UTV cases remaining. 5 claims have passed validation and 5 have failed, making the new cohort outcome totals:
  - 870 passes
  - 95 UTVs
  - 35 fails
- 4) The error rate is recalculated resulting in a revised rounded rate of 4% ( $35 / 1000 * 100 = 3.5\%$ , rounded to 4%)

5) The final cohort error rate of 4% is applied to the remaining 95 cases. Therefore 4% of the value of the 95 UTV claims are apportioned as fails the value of which is recovered from the provider. The value of the recovery may include adjustments in respect of the accelerator model.

5.80 The apportionment results will be shared with you and a financial recovery total will be made as and when required. For Participants that have ceased their JSA (IB) claim but subsequently claimed Universal Credit, the Validation Team will verify these claims directly with the Participant.

## Jobseekers Allowance (JSA (IB))

5.81 When you input a Self-employment Job Outcome for a Participant who is in receipt of JSA (IB), DWP will place a 'hold' on the Job Outcome to allow DWP validators to confirm the outcome of the claim. **Please refer to paragraph 5.33 to 5.37 for qualifying conditions.**

## Results

Outcome	Criteria
Pass	Self-employment Job Outcome claim has passed all conditions as per the qualifying conditions as <b>laid out in 5.33 onward.</b>
Fail	One or more of the qualifying conditions ( <b>as per 5.33 onward</b> ) cannot be verified. If a claim has failed three times, the Job Outcome claim will be backed out of PRaP.
Unable to Validate (UTV)	If DWP Validators cannot verify the claim by Day-30 of the claim going on hold, a Job Outcome payment will be paid as UTV and attempts will be made to contact the Participant up to 90 days. If after 90 days, DWP validators still cannot verify the claim, the End of Cohort apportionment process will apply.

## Self-employment Post-payment Validation Regime

5.82 We intend to use a Pre-payment validation approach for Restart Scheme self-employed Job Outcome claims. If, however, the volume of self-employed Job Outcome claims makes this process unviable, we will review arrangements and may decide to move to either a mix of pre and post payment validation, or a wholly Post payment validation regime. In this event, you will be given prior notification of

when the change would happen, and guidance would be updated to reflect the new processes.

## Additional DWP management checks

- 5.83 In addition to the validation principles set out above, we may also conduct management checks to further verify the validity and robustness of self-employed Job Outcomes claimed or paid.
- 5.84 These checks will support the exploration of controls around self-employed Job Outcome payments. Although these management checks will not form part of the standard validation process, they will aid DWP in identifying potential patterns or fraudulent activities.
- 5.85 Where we identify a substantial number of self-employed claim errors such as high volumes of Participant contact details being incorrect, insufficient information provided leading to high UTV outcomes or self-employed start/end dates are unaligned, DWP may review your internal assurance processes.

## Participant Moving to Another Geographical Area

- 5.86 If a Participant moves to another CPA within England or Wales, you are still entitled to any eligible Job Outcome payment relating to that Participant, provided these earnings derive from within the UK e.g., are either paid through the UK/HMRC tax system or is from a UK-based self-employed business and all other qualifying conditions for payment are met. Further information relating to Providers responsibilities when Participants move to another geographical area can be found in **Chapter 03: Restart Scheme – During Restart and Chapter 08 Change of Circumstances, Paragraph 8.17.**

## Accelerator payment mechanism

- 5.87 The Restart Scheme uses a price acceleration model to encourage you to provide a good level of service to all Participants. Price Acceleration takes place when the number of Job Outcomes achieved by you exceeds the volume of Job Outcomes based on the performance offer as set out in the contract. This allows an increased Job Outcome payment to be paid in respect of each Job Outcome achieved above the volume specified by DWP.
- 5.88 For each calendar month cohort of Participants starting on the Restart Scheme (all customer groups to be included in the monthly calculation of the number of starts for accelerator payment purposes), a standard Job Outcome payment will be paid for the first 21% of the contracted Job Outcome volumes at aggregated Participant group level. All

further Job Outcomes achieved (above and beyond) will be paid at a higher rate. This higher rate is set at 140% of the standard rate.

## Ineligible Income

- 5.89 To protect public funds and DWP's reputation the Restart Scheme funding model includes the additional controls, described below, ensuring that only income derived from employment or self-employment that commenced after the Participant started on the Restart Scheme will count towards achievement of a Job Outcome.
- 5.90 It is important to note that if we later become aware of a providers 'prior knowledge' of any ineligible earnings contributing towards the achievement of a paid Job Outcome, that these Job Outcome payments may be reviewed and could impact on your performance or could be included in any end of cohort reconciliation calculations. The scenarios listed below provide some preventative solutions.

## Employment prior to starting on the Restart Scheme

- 5.91 The Jobcentre Plus Work Coach will determine if a Potential Participant is in work or has a job offer prior to referral to the Restart Scheme. If they identify the Potential Participant is in any form of work at that point in time, they will not make a referral. Any earnings that a Participant has accumulated prior to starting on the Restart Scheme will not count towards achievement of an Employed Job Outcome.
- 5.92 There may, however, be some Participants who move into employment or self-employment, or have had a job offer between referral and starting the Restart Scheme. Therefore, before you start a Participant on the Restart Scheme, you must confirm their employment status with the Jobcentre Plus Work Coach. If you find the Participant is in any form of employment or has had a job offer, you must enter a Did Not Start (DNS) on PRaP and return the Participant to Jobcentre Plus. Further information can be found in **Chapter 09: Using the Provider Referrals and Payments System for the Restart Scheme and Funding Model, paragraph 9.20 to 9.23 Rejecting a Referral and Cancelling Acknowledgment, for any PRaP actions in relation to the 'Did not Attend' process.**

## Tax Refunds, payment in lieu of notice, late payment of final salary and occupational pensions.

- 5.93 Tax refunds, payments in lieu of notice, payments made as a part of being Armed Forces Reservists and other retainer payments such as Reserve Fire Fighters, and payments that are not related to qualifying



employment generated whilst on Restart Scheme, can trigger a non-qualifying Job Outcome payment. You must inform DWP PRaP Operational Support Team (POST) via email when you are aware of these payments so that an Job Outcome payment is not made.

## **Intermediate Labour Market (ILM) opportunities**

- 5.94 Restart Scheme Job Outcome payments are intended to be made in response to Participants entering sustained, genuine employment (which can include seasonal work). You will not be eligible to receive a Job Outcome payment for;
- ILM opportunities, such as employment that is an additional economic activity intended to be a “bridge” into sustainable, genuine employment undertaken on a temporary contract and where there is any contract or agreement or proposed contract or agreement between yourself, your supply chain and/or any third party
  - or in situations where individual Restart Scheme Participants are repeatedly referred to and started on work placements.
- 5.95 If you, therefore, have a Participant undertaking an ILM opportunity, please refer to the steps outlined above.

## **Providers and supply chains employing Restart Scheme Participants**

- 5.96 Where you or supply chain partners employ Restart Scheme Participants within a part of your employment business directly relating to delivery of the Restart Scheme, any income during the earnings period relating to this employment will not contribute to the cumulative calculation of earnings for the purposes of paying a Job Outcome.
- 5.97 Where the employment is on a self-employed basis, this period of employment will not contribute to the achievement of a Self-employment Job Outcome.
- 5.98 If you or a supply chain partner employ a Restart Scheme Participant within a part of your business directly relating to the Restart Scheme contracts, you must notify DWP at least 5 working days before first salary payment by completing a Restart Scheme Provider Employing a Participant template. This is a vital requirement. You should complete all details on the template, including date started and date of first earnings.
- 5.99 The completed Restart Scheme Provider Employing a Participant template must be sent via unencrypted email, to the Department's

PRaP Operational Support Team (POST) Central Inbox. You will receive a receipt notification.

- 5.100 When the Participant leaves employment with you (or a member of your supply chain) you must complete Part 2 of the Restart Scheme Provider Employing a Participant template and send via unencrypted email to the POST Central Inbox. This should be sent as soon as the information is available and must include the date the employment ceased and date of last earnings. Any forms received after the 547-calendar day period from the date the Participant started on the Restart Scheme will not be accepted.

**Please note:**

To submit a Self-employed Job Outcome claim where a Restart Scheme Participant has previously been contracted to work for you or a supply chain partner on a self-employed basis, DWP will require you to complete a PRaP 11 clerical form and send this to the department's [DWP PRaP Operational Support Team \(POST\)](#) by unencrypted email.

- 5.101 On receipt of the Restart Scheme Provider Employing a Participant template, the payment line will be suspended. DWP will review HMRC PAYE data (and any other information it deems appropriate) at the end of the validation period to establish if the Job Outcome criteria has been achieved from employment or self-employment, excluding the period of earnings the Participant worked for the Restart Scheme Provider (the non-qualifying period). If the Job Outcome criteria are satisfied, the appropriate payment will be made.

## Financial Incentives

- 5.102 You must not provide any financial incentive (for example funding or payment) to support the employment of Participants. You may provide appropriate services and support to employers to help with the engagement and employment of Participants. A Participant in self-employment to whom you have provided, whether directly or indirectly, financial incentives other than any permitted working capital and/or equipment payment, cannot qualify as a self-employed Job Outcome or count towards a self-employed Job Outcome payment.
- 5.103 For Participants in self-employment, where the Participant has a clear business plan which would benefit from financial support through either working capital and or equipment, you may provide up to a maximum of £1,000 for working capital and or equipment per Participant for the purpose of the self-employed business. You must retain evidence of the Business Plan and any payments related to the working capital and or equipment.

- 5.104 If you decide to provide working capital and or equipment to the Participant to support their self-employed business, this cannot be in the form of a loan to the Participant.

**Please note:**

You must ensure that you comply with current His Majesty's Revenue and Customs (HMRC) Guidance if you make payments or provide benefits to your Participants after they have started work, which relate to that employment.

You should inform your Participant that Tax and National Insurance Contributions (NICs) are payable and how this will be done. Failure to account for Tax and NICs that are due on payments made to Participants in employment may be subject to penalties in accordance with current HMRC regulations.

## Payments to Suppliers

- 5.105 All payments will be made through the appropriate IT system or PRaP in line with the amounts set out in the contract. Please note that DWP can only make direct payments to United Kingdom (UK) bank accounts.

## Value Added Tax (VAT)

- 5.106 Your VAT obligations are covered in the Terms and Conditions of the contract.

## Additional VAT Requirements for Self-billing Contracts

- 5.107 The following guidance should be read in conjunction with the HMRC guidance VAT Notice 700/62: Self-Billing.
- 5.108 HMRC guidance states that under a self-billing contract both parties are responsible for ensuring that the VAT is charged correctly on invoices. As part of your bid, you were asked to provide the VAT rate or rates that should be charged for each part of the funding model

**Please note:**

You will be asked to confirm that the VAT rate or rates quoted as part of your bid are still correct prior to commencement date of the contract.

The onus is on you to provide the VAT rate for this contract as per HMRC guidelines. DWP will however, assist in this matter by providing an annual self-billing contract and requesting confirmation of the VAT rate or rates. If the self-billing agreement process is delayed for any reason, you are still responsible for notifying the VAT rate or rates to the Authority on an annual basis.

(Delivery Fee or relevant Job Outcome Payment).

## **DWP's Responsibilities**

- 5.109 DWP is responsible for ensuring that:
- VAT rates are sent to the supplier
  - an annual self-billing agreement is in place; and VAT rate or rates are changed on the PRaP system if you notify a change in your VAT status.
- 5.110 DWP will seek agreement from you to the self-billing arrangement on an annual basis and request that you confirm the VAT rate or rates to be applied to all aspects of the funding model.

## **Provider's Responsibilities**

- 5.111 You are responsible for:
- providing a signed self-billing agreement promptly on an annual basis when requested by DWP
  - ensuring that DWP is immediately notified of a change in the VAT rate(s) should they change during an agreement term
  - ensuring that duplicate invoices are not sent to DWP for a supply which is self-billed, and
  - ensuring that you fully understand and comply with VAT Notice 700/62.

## **Ensuring Participants are not exploited by Employers.**

- 5.112 Whilst delivering the Restart Scheme you are responsible for ensuring that your Participants are not exploited, and that any work or training activity that you arrange with an employer does not contravene the National Minimum Wage Act.
- 5.113 When arranging work experience or other periods of attachment to an employer you must ensure that the opportunity on offer is genuine, and that the placement does not fulfil a role which would otherwise be advertised as vacant.
- 5.114 Once your Participant is participating in the activity you are responsible for monitoring their progress and in doing so you will have the opportunity to assure yourself that they are not being exploited.
- 5.115 In the event that a position becomes vacant, and you find that a Participant you would have expected to be offered work is rejected, you should look carefully at the feedback received from the employer. If the employer gives you specific evidence of their unsuitability, there is no problem with continuing to utilise the placement. If the feedback is vague and evasive or indicates any form of discrimination you should consider whether you should continue to use this employer.

You must have systems in place to identify any patterns in the employer's handling of your Participants to prevent exploitation.

# Chapter 06 - Health and Safety, Accidents, Unacceptable Behaviour, Fraud Prevention and Complaints

6.01 This chapter pulls together various key pieces of information that you will need to be aware of in respect of working with your Participants and also details what you must have in place to ensure Participants who are unhappy with the service they receive are able to raise a confidential complaint, and the processes you must follow to respond and resolve any issues raised.

## Health and Safety

6.02 All of your Participants on the Restart Scheme are entitled to train and work in a healthy and safe environment with due regard to their welfare. Under Health and Safety Law they are regarded as your employees, whether they are paid by you or not. You must, therefore, comply with your Duty of Care under the Health and Safety at Work Act 1974 and the Act's associated regulations in the same way as you would do for any other member of your workforce.

6.03 You must ensure that your Participants receive appropriate health and safety induction, training and supervision, and that systems are in place for checking this, both within your own organisation and at any of your supply chain partners.

6.04 You must complete risk assessments, instruct, inform and train your Participants on the control measures identified. There are specific risk assessments for young people, pregnant workers, lone workers and employees who are engaged in manual handling activities. In addition, there may be specific risks flagged by the Jobcentre Plus Work Coach such as Participants who have restrictions imposed on them by probation e.g. they are not allowed to use Information Technology (IT) due to probation conditions in the short or long term etc.

6.05 We may visit you and your supply chain partners for a variety of reasons. When doing so, we will, in the course of our duties, adopt an 'awareness' approach to health and safety. In doing this we will not be conducting a health and safety inspection, nor will we be able to offer advice on whether something is safe or not. Instead, we will approach this from the position of any layperson.

6.06 However, if we do spot something on which we require assurance or clarification we will raise this with you or your supply chain partner's representative at the location we are visiting. If it is subsequently

decided that the issue raised is one that requires follow up action, this will be arranged with you through your local Jobcentre Plus contact.

## Accidents

### Arrangements for Managing and Reporting Accidents

- 6.07 In reporting and managing accidents, which involve a Restart Scheme Participant, you and your supply chain partners may wish to consider using similar or the same procedures as you use for existing employees. However, these procedures should include ensuring that:
- immediate action is taken to ensure the safety of your Participants and prevent reoccurrence
  - all accidents, including minor incidents, are recorded in your accident book
  - all accidents covered by the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR) are reported to the appropriate enforcing authority
  - an investigation is carried out to assess whether any changes should be made to the workplace or procedures following the accident or incident
  - Risk Assessment Control Measures are reviewed and, if necessary, revised to ensure their effectiveness and that they remain suitable and sufficient.
- 6.08 In doing this you will wish to take into account the full range of factors relating to the incident including, for example, whether:
- your Participant had received appropriate Health and Safety awareness and instruction and that they understood the implications
  - the activities undertaken by your Participant at the time of the accident were required as part of the Restart Scheme
  - supervision was adequate
  - appropriate clothing and equipment were being used
  - the work environment was organised in a safe manner.
- 6.09 Should your Participant need to make a claim to an industrial injuries benefit you should direct them to the [Industrial Injuries Disablement Benefit \(IIDB\)](#) site on gov.uk for an application form and contact details for the IIDB contact Centre.

## Unacceptable Behaviour

- 6.10 Participants on the Restart Scheme have a responsibility to behave in an appropriate manner just as they would if they were in employment. You should explain what constitutes appropriate behaviour as part of the induction.

- 6.11 As participation on the Restart Scheme is mandatory for all eligible and suitable Claimants in receipt of Universal Credit you will experience a wide range of behaviour, including some individuals who exhibit difficult, aggressive, or sometimes violent behaviour.
- 6.12 Where cases of misconduct or unacceptable behaviour by your Participants arise, you should immediately deal with it in the most appropriate manner. Where the inappropriate behaviour is of a minor nature, such as an initial refusal to co-operate, you should aim to handle the issue internally in the first instance. It is important that you keep an audit trail of all misconduct communications and record the situation, date and method of communication used to address this in case this is needed for investigation at a later date.
- 6.13 If an incident is more serious or there is a pattern of unacceptable behaviour, for example, damage to property or continued refusal to co-operate with reasonable requests, you should notify the Jobcentre Plus Work Coach or other nominated contact point.
- 6.14 You are required to notify the Jobcentre Plus Work Coach of all incidents of unacceptable behaviour that involve your Participants. We consider the following as examples of unacceptable behaviour (this list is not exhaustive):
- Violence
  - Verbal abuse, including that of a sexual or racist nature
  - Threats, which are implied or otherwise;
  - Intimidation
  - Sexual innuendo
  - Harassment
  - Unwelcome attention
  - Attempted or actual assaults
  - Inappropriate use of the internet or provider's IT system.
- 6.15 When notifying DWP of an incident you should complete the Clerical Incident Report form (**Annex 6.1**). You should also arrange for a manager to complete the manager's section of the form and forward it to your named contact at Jobcentre Plus immediately, preferably by secure email. A Jobcentre Plus nominated manager will take appropriate action in consultation with you.

## Exclusions from Provider Premises

- 6.16 Only in extreme circumstances should you request that your Participant be excluded from your site(s). Before any such request, you are required to attempt to manage your Participant within your business, moving them to alternative provision/ sites where available and necessary. As a last resort you may request that your Participant is excluded from your site(s).

**Please note:**

This is not exclusion from the Restart Scheme, only from your sites(s).



- 6.17 If your Participant's behaviour is consistently unacceptable and other methods of engaging or issuing verbal or written warnings prove ineffectual, you may wish to request that your Participant is excluded from your premises. The situation must be one of genuine risk to staff and not just because your Participant is difficult, and you must supply evidence about why exclusion is appropriate.
- 6.18 If exclusion is sought, a request should be made via your PM, who will forward the details to the Jobcentre Plus Work Coach for a decision to be made based on the individual circumstances.
- 6.19 Participants will not be excluded based on potentially violent or inappropriate behaviour (for example, racial or sexual verbal assault, foul language or the issuing of threats, or in the event that your Participant refuses to engage). However, you must show a duty of care to your Participants and staff and in certain circumstances the only immediate option may be to temporarily remove your Participant from the situation.
- 6.20 In some circumstances your Participants who have an incident marker recorded against them may be considered as posing a risk to the health and safety of staff. These Participants will be subjected to certain control measures to ensure staff safety. Further information on your Participant's incident marker can be requested by contacting the Jobcentre Plus Work Coach.
- 6.21 Examples of behaviours that would result in control measures being implemented would be where a Participant:
- has committed an actual physical assault on a member of staff or another Participant, regardless of injury
  - has committed an actual physical assault on a member of staff's family
  - has attempted to commit a physical assault on a member of staff or another Participant
  - stalked a member of staff or another Participant (which is defined as "the wilful, malicious and repeated following and harassing of another person")
  - suffers from a severe mental illness, and a qualified medical practitioner or social worker states that they are likely to pose a danger to staff
  - has made a threat of violence either Face to Face, over the phone, or in writing, and/or
  - has displayed threatening or aggressive behaviour.
- 6.22 Where incidents such as this occur or where control measures have been introduced by Jobcentre Plus then you may decide how best you can handle your Participant, suggested controls include:
- holding interviews in public areas
  - having a colleague present at interviews, and
  - informing senior staff or managers of interview details.

# Fast Track Incidents

- 6.23 While all incidents of unacceptable Participant behaviour are serious, some may have to be afforded a particular importance and dealt with as a priority because of their nature and circumstances.
- 6.24 Therefore, in addition to completing a report, you are expected to telephone the Jobcentre Plus Work Coach urgently if an incident occurs that can be defined as a 'serious' or 'fast track' incident.
- 6.25 A serious incident is an incident which compromises the health and safety of DWP staff or the staff of our supply chain partners, or our ability to safely use our premises. The serious nature or sensitivity of the incident warrants an immediate notification to senior management, prior to further investigation.

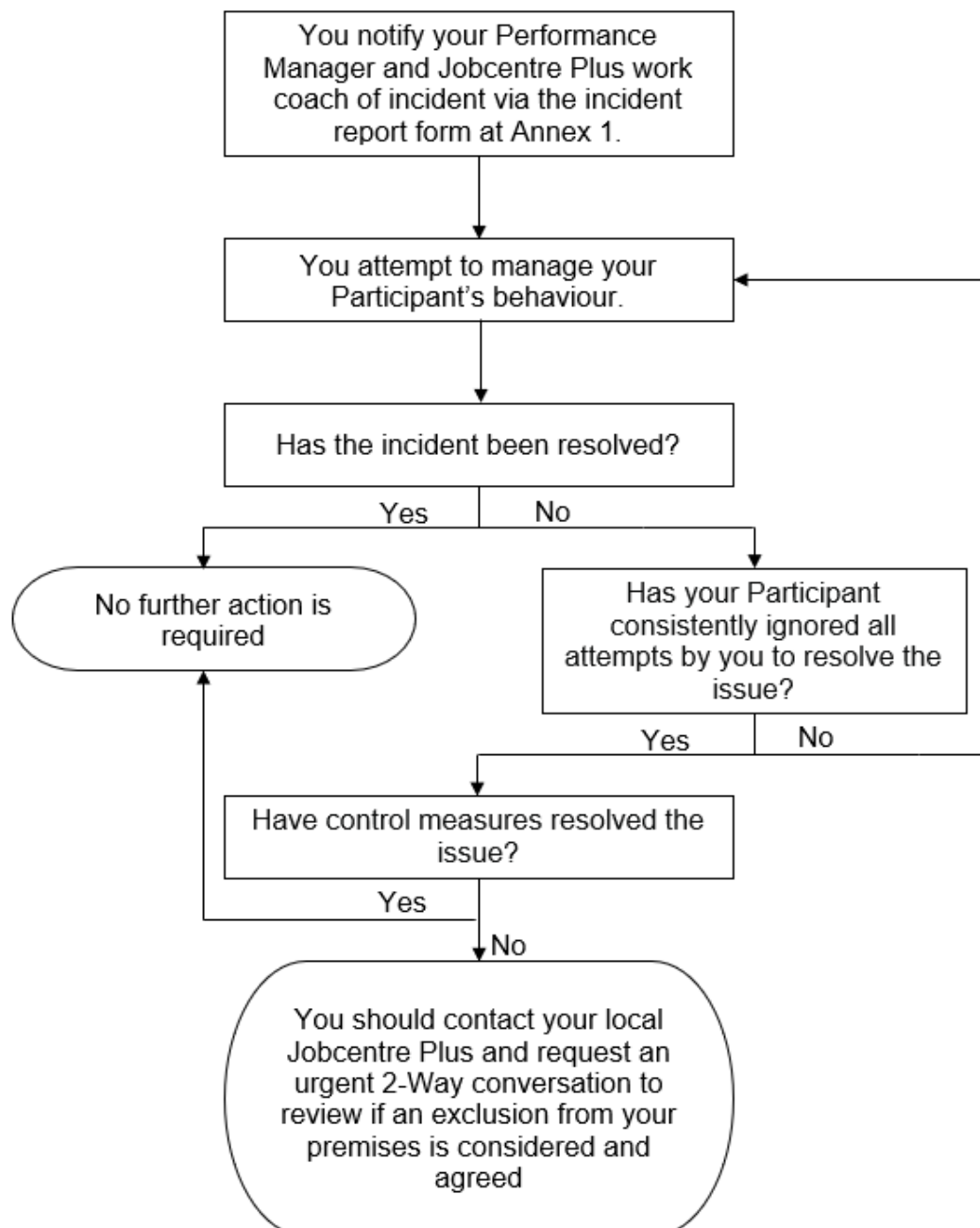
**Please note:**

This also applies when the Participant is on work experience or periods of attachment to an employer, in addition to time spent with yourself or supply chain partners.

- 6.26 Sometimes a serious incident may not neatly fit within the criteria below (this list is not exhaustive):
- actual assault (intentional physical contact) has occurred – which is directed at DWP or partner employees in connection with their duties
  - weapon, or other item presenting a similar level of threat, has been used to harm, attempt to harm or intimidate
  - is significant disruption to normal business
  - is a significant cost implication (i.e. estimated at over £2,000) for your business, DWP or your supply chain partners' business, for example, damage to property
  - has been a viable targeted or personalised threat (and police advice has been sought)
  - suicide, attempted suicide or self-harm incident, understood to be directly connected to DWP business.
- 6.27 Incidents occurring on either your own, your supply chain, co-located premises, or in your Participants home may need to be Fast Tracked. If this is the case, you should indicate this on the Clerical Incident Report Form (**Annex 6.1**) and alert your Jobcentre Plus contact immediately via telephone, who will raise the incident on your behalf. You should also make your PM aware, as soon as possible. If you are unclear as to whether an incident should be considered a Fast Track, you should contact your PM for further advice and support.

# Overview of Incident Referral Process

6.28 Outlined below is the process you should follow if unacceptable behaviour occurs:



# Complaints Overview

- 6.29 A complaint is defined by DWP as any expression of dissatisfaction about the service provided which is not resolved by operational staff as normal business.
- 6.30 There should be no barriers to your Participants making a complaint – they or the person, organisation or professional body representing them should be able to make a complaint in the manner which best suits their communication needs.
- 6.31 Information about your complaint process should be widely available and easily understood by your staff and Participants. It should include details of the complaint process, timescales for responding and details of how to escalate a complaint if your Participant is not satisfied with your final response to their complaint.
- 6.32 To meet these expectations, you must:
- have a complaints process in place for yourself and across the whole of your supply chain which can be easily accessed by your Participants or their representatives
  - explain your internal complaints process to your Participants during your first contact with them. Please see Chapter 03: Restart Scheme – During Restart.
  - take all steps outlined in your internal procedure to resolve the complaint at the earliest possible opportunity
  - complete all action to your stated timescales
  - ensure you retain a full log of complaints received, correspondence and phone calls as well as the complaint outcome in case this is information needed for an Independent Case Examiner (ICE) referral and/or DWP audit teams. DWP may also request and expect you to supply this data on an ad hoc basis. Note: Although ICE will generally not require you to provide evidence of your actions following any recommendations that are made, there may be exceptions where ICE will request this information and Providers will be made aware of this when signing off any report recommendations.
  - ensure your Participants are aware of their rights to bring their complaint to the ICE within 6 months of your final response.
- 6.33 After following all steps in your complaints process, you must include in your final response to your Participant a standard text which informs the customer to contact ICE should they wish to pursue their complaint. The text can be found in **Annex 6.2**.

**Please note:**

A final response can be written or verbal, but in all instances must include the information shown at **Annex 6.2**.

- 6.34 It is your responsibility to resolve any dissatisfaction, concerns or complaints internally through your own process. However, in some circumstances it may be necessary to contact the Jobcentre Plus Work Coach or your PM in the first instance for additional advice.

## Responding to and Handling Complaints

- 6.35 Where your Participant is unhappy with the service they are receiving from you or Jobcentre Plus in relation to delivery of the Restart Scheme, they may raise a complaint. On occasions you may also receive complaints from employers or enquiries on your Participant's behalf from elected officials.
- 6.36 The following section describes the steps you must take in each different scenario to respond to and resolve complaints.
1. **Participant makes a complaint against your organisation or staff directly to you**
    - take all steps outlined in your procedure to resolve the complaint
    - take all action to your stated timescale
    - on reaching the end of your process you must include the information at **Annex 6.2** in your final response.
  2. **Participant makes a complaint against you to Jobcentre Plus**
    - Jobcentre Plus staff will direct your Participant to raise their issue with you so you have an opportunity to resolve it to their satisfaction
    - on receipt of the complaint, you should follow your complaints procedure as normal
    - you must deal with your Participant's complaint in the same way you would have done had they raised it with you directly.
  3. **Participant makes a mixed complaint (against you and Jobcentre Plus)**
    - if your Participant raises this type of complaint with you, you should direct them to their Jobcentre Plus Work Coach. The Participant can raise their complaint with Jobcentre Plus either Face to Face in the Jobcentre or via their Universal Credit Account
    - Jobcentre Plus will lead on responding to your Participant and will ask for a contribution from you regarding the element of the complaint which relates to your service
    - if you are contacted by Jobcentre Plus, you should where possible, return any evidence or contribution within the stated timescales, or if a deadline has not been stated within a maximum of 5 working days
    - Jobcentre Plus will issue the final response, inclusive of your contribution, to your Participant

- if your Participant remains dissatisfied at this point, they will be advised to approach you directly about any issues which relate to the service you provide
- you should treat the first combined response from Jobcentre Plus as the first stage of your complaints process and escalate your Participant's issue to the next stage of your complaint procedure
- Jobcentre Plus will deal independently with any remaining issues relating to its services.

**4. Participant makes a complaint to you about Restart Scheme policy**

If a Participant raises a complaint with you regarding the requirement for them to participate in the Restart Scheme or any other issue relating to Restart Scheme policy, you should direct them to contact the Jobcentre Plus team dealing with their case to try to resolve the issue.

**5. An employer makes a complaint about you regarding the Restart Scheme**

During the life of the contract an employer, with whom you have placed or attempted to place a Participant, may wish to raise a complaint about you:

- on receipt of the complaint, you should follow your procedure as normal
- you must deal with the employer's complaint in the same way as you would any complaint made against you.

**6. An elected member of a national or international body makes a complaint to you on behalf of your Participant**

There may be occasions when an elected member of a national or international body would write to you on behalf of your Participant, for example:

- Member of Parliament (MP)
- Member of the National Assembly for Wales (AM).

These representatives do have the authority to act on behalf of your Participant, but where you have any doubt about responding to the elected member, you can ask for confirmation that they are acting on behalf of your Participant.

If the elected member came to DWP on behalf of your Participant with feedback that involved both DWP and yourself, DWP will co-ordinate a joint response by getting a contribution from you.

**7. Participant wishes to make a complaint about DWP or Jobcentre Plus**

The Participant is advised to follow the Departments complaints procedure which can be found on [www.gov.uk](http://www.gov.uk)

# Fraud Prevention

- 6.37 If you suspect that your Participant is committing fraud you should follow the procedures outlined in this link: <https://www.gov.uk/report-benefit-fraud>.
- 6.38 DWP places the utmost importance on the need to prevent fraud and irregularity in the delivery of its contracts. You are required to, as a minimum, adhere to the following four principles:
- have an established system that enables your staff to report inappropriate behaviour by colleagues in respect of any claims for payment in relation to the Restart Scheme contract
  - ensure that your (and your supply chain partners) performance management systems do not encourage individual staff to make false claims for payment in relation to the Restart Scheme contract
  - ensure a segregation of duties within your and your supply chain operations between those staff directly involved in delivering the services and those making claims for payment in relation to the Restart Scheme contract
  - establish an audit system to provide periodic checks, at a minimum 6 monthly intervals, to ensure effective and accurate recording and reporting of performance of the services.
- 6.39 You are reminded that you must endeavour to safeguard funding of the contract against fraud generally and, fraud on the part of your directors, employees or sub-contractors. You must pay the utmost regard to safeguarding public funds against misleading claims for payment and shall notify us immediately, via the DWP WPD Security inbox, if you have reason to suspect that any serious irregularity or internal fraud has occurred or is occurring.
- 6.40 If you, your staff or your supply chain partners commit fraud in relation to any contract with DWP, we may:
- terminate the contract and recover from you the amount of any loss suffered by DWP resulting from the termination, including the cost reasonably incurred by the DWP of making other arrangements for the supply of the services and any additional expenditure incurred by the DWP throughout the remainder of the contract period, or
  - recover in full, from you any other loss sustained by DWP.
- 6.41 You are required to report all incidents of allegations of provider fraud to DWP via the email address below: Email: [ches.businessmanagementteam@dwp.gov.uk](mailto:ches.businessmanagementteam@dwp.gov.uk). Alternatively, you can follow the Fraud Reporting Process at: [Report benefit fraud - GOV.UK \(www.gov.uk\)](http://www.gov.uk).
- 6.42 You must co-ordinate fully with DWP and assist in the identification of any of your Participants who may be unlawfully claiming state benefits. We may from time to time brief you as to the co-operation and assistance we require, including the provision of information

regarding fraud by your Participants. On receipt of the information, further evidence may be collected by DWP or other department, office or agency of Her Majesty's government with a view to prosecution.

## Independent Case Examiner (ICE) Role and Processes

- 6.43 The ICE Office provides an impartial resolution and investigation service for people who are unhappy with the way their complaint has been dealt with.
- 6.44 ICE have two primary objectives:
- to act as an independent adjudicator if your Participant considers that they have not been treated fairly or have not had their complaints dealt with in a satisfactory manner
  - to support service improvements by providing constructive comment and meaningful systemic recommendations.

## Who Can Raise a Complaint to ICE?

- 6.45 Participants who are unhappy with the way in which their complaint has been dealt with by either DWP or their contracted service providers.
- 6.46 To raise a complaint with ICE the Participant must meet the following criteria:
- have given you or DWP the opportunity to respond and resolve the issue
  - have received the final response, that explained that they can take their complaint to ICE if they are not satisfied with the response they have received
  - raise the complaint with ICE within 6 months of receiving the final response from yourself or DWP.

**Please note:**

ICE will only accept complaints for investigation if they meet all three of these criteria.

## What Happens When a Case is Raised with ICE?

- 6.47 After they accept a complaint, ICE will contact you to confirm that each step of your internal process has been completed. If they feel that you have not completed your process satisfactorily you may be asked to revisit some steps to seek resolution before ICE are prepared to investigate further.



- 6.48 You must deal with any correspondence of any nature from ICE within the stated timescales and not more than 5 working days.
- 6.49 Once ICE has accepted a case, they will work to resolve the case by taking the following 3 stage approach, attempting to resolve matters at the earliest possible stage. At every stage, you will have the opportunity to give your version of events and offer any supporting evidence.
- 6.50 Please see [the Complaint resolution core briefing pack: DWP Provider Guidance](#).

## **Stage 1: Resolution**

- 6.51 ICE will first look to see if there is scope to resolve the concerns raised without requesting any evidence from you. If a complaint is relatively straightforward, and your Participant has reasonable expectations about what you could do to resolve it, ICE will liaise between the parties involved and try to reach an agreement which is satisfactory to all. ICE will write to your Participant with details of what action you have agreed to take. Although there is no requirement for you to report back on any actions taken as a result of recommendations made by ICE, it is recommended you keep your own records of any steps taken for completeness. If a complaint is resolved at this stage, then no determination of fault will be made.

## **Stage 2: Settlement**

- 6.52 If the complaint cannot be resolved, although there is no requirement for you to report back on any actions taken as a result of recommendations made by ICE, it is recommended you keep your own records of any steps taken for completeness. Following the review of evidence, ICE will propose a way forward. If you agree the actions that ICE propose, and your Participant is satisfied that they address their complaint, the case will be closed. Again, no determination of fault will be made.

## **Stage 3: Investigation Report**

- 6.53 If following a review of the evidence the case cannot be 'settled', ICE will prepare and issue a report. The report will set out its findings in respect of each element of the complaint detailing findings and any recommendations for redress (including potential financial redress). Examples of previous cases can be found on the [Independent Case Examiner website](#).
- 6.54 ICE will send you a draft, allowing you the opportunity to check factual accuracy and comment on proposed findings and recommendations. You will be expected to provide any comments on the draft within stated timescales (or not more than 5 working days). Your comments will be considered (though not necessarily accepted) by ICE before the report is finalised.
- 6.55 If a complaint is upheld against you at the investigation stage, £5,000 contribution to costs will be recovered from you, to go towards funding

the ICE service for Provider complaints in the following year. There will be a periodic review of the fee level between DWP and Providers. You will also be liable to pay any financial redress, deemed by ICE, to be due to your Participant. ICE will apply the following DWP policy when considering if any redress is due to your Participant, see the [Compensation for poor service: a guide for DWP staff](#).

- 6.56 Any systemic improvements identified as a result of the ICE investigation, for example, the need for clearer wording in a standard letter or leaflet, will be highlighted in the final report but will not be reviewed by ICE after the investigation has been concluded, unless this has specifically been requested, however you may wish to collate this evidence for your own records.
- 6.57 DWP will gather Management Information from the complaints that ICE receives. This information will inform contract performance management.

## **The Parliamentary and Health Service Ombudsman (PHSO)**

- 6.58 Participants have no right of appeal against ICE's decision. However, if your Participant is unhappy with the outcome of the ICE investigation, they can ask their MP to take their case to the PHSO. If the PHSO accepts their case, they may recommend different or additional financial redress for your Participant, which you would also be liable to pay. For more information, please visit the PHSO website.

# Chapter 07 - Data and Information Sharing with DWP

- 7.1 This chapter covers what elements of information and data will be shared between DWP and yourselves.
- 7.2 In relation to receiving, sharing, and storing information, you will have submitted your policies, plans and specific information to DWP's Commercial Directorate during the procurement or start-up phases of the Restart Scheme. Once this information has been assured by DWP it demonstrates your suitability to receive and store information and confirms you comply with DWP Security Policy (which includes compliance with standards such as ISO/IEC27001). Further information can be found in [DWP Procurement: Security Policies and Standards](#) and Schedule 2.4 of your contract.
- 7.3 It is also essential that your organisation understands what is required under General Data Protection Regulation (GDPR) within each of your contracts. If you are unsure, you should seek DWP advice from your PM.

## Data transfer for Potential Participants

- 7.4 When Potential Participants are referred to the Restart Scheme, we will send you personal and sensitive information. This data must be securely stored with procedures in place which allow it to be retrieved from your systems. Some or all the data may be forwarded to your sub-contractors. Individual data items are listed here. This list is not exhaustive:
- full name including title
  - National Insurance number (NINO)
  - full address including post code
  - telephone number(s) including mobile or area code
  - unique PRaP Referral identifier
  - client number
  - Qualifications
  - Level
  - Subject
  - Outcome
  - start date
  - end date
  - basic skills assessment
  - employment status / previous job dates
  - aims (free text Field)
  - job preferences / preferred hours.

- 7.5 This information will be transferred to you via the Department's PRaP System.
- 7.6 If you are unsure as to which data-transfer method should be used, please consult with your PM in the first instance.
- 7.7 PRaP has a robust security level in relation to data storage which is reviewed annually or via system updates. In addition to this other controls include:
- the ability to limit provider access until they have met the Department's security standards
  - Access Control – audits are undertaken every 60 days to ensure the right people have access
  - provider access via Government Gateway - this is a secure internet gateway which has its own security standards (owned by HMRC).

## Data transfer during the Restart Scheme

- 7.8 For Participants entering self-employment, you will manually submit claims for payment to DWP via PRaP which will include specific information that allows the validation process to be fully carried out. Further information on Employed and self-employed Job Outcomes can be found in **Chapter 05 – During the Restart Scheme Outcomes, Validation and Payment Model**.

## Data Sharing

- 7.9 You must have policies and controls to manage information sharing with DWP, subcontractors, service delivery partners and other third parties. This includes the need for procedures and policies for the use of encryption where appropriate. You may only share information in line with your DWP contract. If you require advice regarding sharing information, please discuss with your PM in the first instance.

## Email security

- 7.10 When sending DWP data by email you and your sub-contractors must first ensure that the recipient is entitled to receive that data and has a legitimate business need for the information being sent.
- 7.11 The sender is responsible for ensuring the safe transmission of DWP data ensuring all relevant standards are always adhered to.
- 7.12 You **must follow** processes and procedures that you have agreed with DWP when returning data to DWP (including Jobcentre Plus).
- 7.13 You should only send the minimum amount of data needed to make the communication effective.

- 7.14 You must comply with the DWP Security Standard SS-014 Security Incident Management.

## Use of unencrypted email

- 7.15 You are permitted to use unencrypted email when sharing data with DWP. DWP will inform you of when specific processes and other scenarios where unencrypted email may be used which will be referenced in each specific chapter of this guidance. We recommend you regularly review the use of unencrypted email with your PM.
- 7.16 The following are typical examples of when unencrypted email will be used:
- raising a Compliance Doubt and notifying Participant regarding compliance following a sanction
  - reporting Changes of Circumstances
  - notifying PRaP Operational Support Team (POST) team that you or your supply chain are employing a Participant, using the Restart Scheme - Provider Employing a Participant template
  - performance Reporting returns
  - compliance Monitoring returns/correspondence.
- This list above is not exhaustive.
- 7.17 Please ensure emails contain clear subject line titles. When using unencrypted email:
- be mindful of what data is being sent
  - who the recipient is, and
  - if there is a genuine business need to send that data.
- 7.18 Failure to adhere to this constitutes a reportable incident.
- 7.19 The following restrictions relate to the processes in the above paragraph and will include all or part of the following:
- only one record per email (except for the requirements to share information between Prime Providers, their Supply Chain and Third parties)
  - standard email content
  - standard template completed and included in email
  - where instructed, email sent from and to a designated inbox.
- 7.20 You may forward unencrypted emails to an approved sub-contractor and inboxes within your organisation provided that:
- there is genuine business need to share the information
  - the recipient is entitled to receive the information (emails must not be automatically forwarded without ensuring this)
  - the sub-contractor understands and has processes in place to retain the data/information for the most applicable period as stated in the Terms and Conditions.
- 7.21 When emailing unencrypted emails to your supply chain or other third party, the following limits apply:
- up to 10 CVs

- up to 10 application forms
- up to 10 letters
- lists of (Potential) Participant names (up to 500).

## Emailing up to 10 CVs

- 7.22 You may send up to a maximum of 10 CVs by unencrypted email. This may comprise of CVs and/or information directly extracted from a CV (single data set).
- 7.23 Failure to adhere to this constitutes a reportable incident.

## Emailing up to 10 Application Forms

- 7.24 You may send up to 10 application forms in one unencrypted email: for example, to a prospective employer.
- 7.25 Application forms must contain the minimum information to make the communication effective. You must not include NINOs, bank details or date of birth. However, the age of the Participant may be included, where appropriate.
- 7.26 Where application forms are for couples (each form includes data about two persons), then you must limit the number of forms to 5 applications per email to ensure each email contains information on no more than 10 Participants in total.
- 7.27 Emailing of up to 10 of the following:
- Interview Letters
  - Job Offer letters
  - Appointment Letters
- in one email is permissible.
- 7.28 Failure to adhere to this constitutes a reportable incident.
- 7.29 No other letters are permitted to be sent by unencrypted email. Using unencrypted email to send letters containing significant sensitive personal data is not permitted.
- 7.30 Limited personal data can be included to make routine communications effective. However, information about substance addiction or mental health issues for example are not suitable for transmission by unencrypted email.
- 7.31 NINOs and bank details must not be communicated by unencrypted email by yourself or your supply chain to employers for Participants successful at interview.
- 7.32 Where there is a concern about the sensitivity of particular correspondence you should send it by more secure means such as encrypted email or by Royal Mail or a similar secure service.
- 7.33 Failure to adhere to this constitutes a reportable incident.

# Emailing lists of (potential) Participant names (up to 500)

- 7.34 You may send a list of up to 500 Participant names in 1 unencrypted email to your supply chain or other third party. However, you must always follow DWP guidance.
- 7.35 In the case of a list of information about more than one data subject, the list may contain the Participant's:
- surnames and initials, or forenames
  - NINOs and/or reference numbers
  - additional simple details such as date of interview/appointment may be included if necessary.
- 7.36 There must be no reference to benefits payment amounts, child support payment amounts, or any additional personal details such as date of birth or home addresses, home or mobile telephone numbers or other contact details in these correspondences.
- 7.37 The Supply Chain and Third Party Unencrypted Email Exemption – Emailing Lists of (potential) Participant Names (up to 500) has been extended to permit you to also use unencrypted email when sharing this data with DWP.
- 7.38 The maximum number of data subjects which may be included in a list in a single unencrypted e-mail is 500. Any emails containing only a list of NINOs and no other information about the data subjects are not subject to this limit.
- 7.39 Failure to adhere to this constitutes a reportable incident.
- 7.40 If you send data to the wrong sub-contractor, you must alert the sub-contractor to the error and ensure that they delete the record. You must keep records of the actions taken for 3 months.
- 7.41 If an email was sent to you in error or includes Participants with the wrong details (e.g. incorrect NINO) or Participants who belong to a different provider, please notify your PM.
- 7.42 If you have emails containing DWP data, you should refer to either DWPs Data Retention policies or refer to Schedule 6: Security to ensure the data is stored/retained in compliance with the most appropriate protocols to what the data is referencing. Emails containing non-DWP data (where DWP is not the data-owner) will fall under your own company policies and protocols.

## (Potential) Participant data not permitted via unencrypted email

- 7.43 The following DWP Participant data must **not** be included in unencrypted email when exchanging information with your supply chain or third parties unless you hold prior DWP approval to do so:
- date of birth
  - bank account details
  - medical history/mental health issues
  - substance abuse
  - criminal records
  - benefit payment details
  - children's names and dates of birth/age
  - ethnicity
  - sexual orientation.

## National Insurance number

- 7.44 NINOs must **not** be communicated by unencrypted email unless otherwise specified in the above exemptions or you hold prior DWP approval to do so.

## Data transfer at the end of the Restart Scheme

- 7.45 Although there are no specific data-transfer requirements when a Participant ends their time on the Restart Scheme, you should refer to any process requirements in **Chapter 09: Using the Provider Referrals and Payments System for the Restart Scheme and Funding Model** to ensure PRaP/Information Technology (IT) systems reflect that the Participant has concluded their time on the Restart Scheme.

## Document Retention

- 7.46 All clerical documents carrying personal information should be retained securely in line with the Data Protection Act Principles.
- 7.47 Clarification must be sought from your DWP PM regarding the use of electronic document retention.

## Disruptions to IT / Unable to send data

- 7.48 There may be occasions when, due to circumstances such as IT failure, you are temporarily unable to receive or send information. If you anticipate the situation will continue for 48 hours or longer you



must inform your PM and revert to clerical methods until the problem is resolved. You must then inform your PM when normal service has resumed. DWP will notify colleagues on your behalf when the clerical process is being used and when your standard process is to be re-introduced.

- 7.49 Similarly, if we have any IT failure, you must suspend using standard data-transfer methods (email etc) if you are notified to do so by DWP. We will notify you if the problem will last for longer than 48 hours and will ask you to revert to the clerical process if appropriate. Once resolved, DWP will notify you when our standard processes will be re-introduced.

## **Sending Clerical Information**

- 7.50 Official and Official Sensitive documents may be posted using Royal Mail standard services although a fully tracked delivery service providing a signature as proof of delivery must be used for secure claimant items and sensitive data, e.g. medical records, certificates, identification documents. You must not include a protective marking on the envelope.

## **Right of access requests**

- 7.51 Right of Access requests replace what was previously known as Subject Access Requests following the introduction of General Data Protection Regulation 25 May 2018.
- 7.52 Where possible, Participants should be directed to the Right of Access online form which is submitted directly to DWP.
- 7.53 If you receive a Right of Access request from a Claimant or Participant solicitor or third party, you must forward immediately to the Right of Access Gateway Team at rightofaccess.requests@dwp.gov.uk. The Gateway Team has 30 days in which to respond to the Right of Access request and communicate this to you. This only applies to data where DWP is the data controller, or a joint data controllership exists with DWP. Where you are the independent data controller you should follow your internal procedures.

## **Right to erase Participant Information**

- 7.54 There may be occasions when you receive a request from a Participant to erase their personal information from your records.
- 7.55 Upon receipt of the request, you should acknowledge the request from the Participant and issue a holding response immediately detailing that the query will be dealt with within one month.

- 7.56 You should forward the details of the request, including the PRaP PO Number to the following email addresses:  
[data.protectionofficer@dwp.gov.uk](mailto:data.protectionofficer@dwp.gov.uk).
- 7.57 You will receive a generic email containing a reference number and the actions that you should take from the Data Protection Office (DPO) team. The reference number must be used with all correspondence with the DPO team.
- 7.58 You will receive a response back from the Restart Scheme Live Running Policy Team accepting or rejecting the request for erasure. It is your responsibility to pass this on to the Participant.

## Marketing, Publicity and Good News Stories

- 7.59 As part of the Restart Scheme offer you are required to supply marketing materials to ensure that the Jobcentre Plus Work Coach and Potential Participants are clearly informed about your support offer.
- 7.60 For the purpose of this chapter, 'marketing materials' are any form of branded material used by yourselves to promote the Restart Scheme. This includes printed materials such as:
- Banners
  - information posters
  - flyers
  - brochures
  - leaflets and
  - presentations.
- 7.61 Marketing material can easily be adapted into digital forms and may include items such as social media posts, e-newsletters, blogs etc.

## Planning your marketing and communications activity

- 7.62 As a contracted Provider of DWP we would encourage you to share your own planned marketing activity with Jobcentre Plus locally. This will ensure that both DWP and Providers are able to maximise the value of their communications.
- 7.63 As you are best placed to know the demographics of your local area, it is up to you to decide the best way to promote and describe your services in relation to the Restart Scheme. This includes deciding what types of products, activities and channels you want to use to market or communicate your services.
- 7.64 All the marketing products you produce must adhere to the standards, as written in your contract. These standards are in place in order to protect the integrity of the Restart Scheme and the reputation of DWP.

They apply to all information sharing, press activity and marketing products or activities that you undertake.

- 7.65 When promoting the Restart Scheme you can use your own branding on marketing materials, however 'Restart Scheme' (used in full and not shortened) should appear prominently within all public facing materials. The following sets out acceptable Restart Scheme naming conventions:
- the 'Restart Scheme' name cannot be used merely as a page footer; it must be prominent
  - the 'Restart Scheme' name can appear along-side Provider branding within a logo, but it must be prominent
  - 'Restart Scheme' must be written in full; and use the correct DWP logo as set out in the DWP Communications Centre.
- 7.66 Any material you produce specifically for marketing the Restart Scheme must include the Restart Scheme logo and clearly show that it is a Government programme.

## Key Considerations

- 7.67 Some key issues you must consider for the content of your marketing, communications and press activity are:
- reputational risk – materials you produce must not adversely affect the reputation of the service being provided by the Government, DWP or Jobcentre Plus, for example risks that could lead to adverse media attention, or messages that could be misunderstood or misinterpreted
  - Disability Equality Duty/Equality Act 2010 – you must ensure that all Participants can access your information by providing a variety of alternative formats ensuring that people can still access your information when their chosen alternative format is not available.
- 7.68 More information about delivering inclusive communications is available from the Office for Disability Issues.

## Communication Standards

- 7.69 Information on how to apply the Restart Scheme and DWP logos can be found in the Communication Standards for DWP Providers. Please visit the DWP Brand Centre at <https://hhgbc.hhglobal.com> to view the Brand Guidelines.
- 7.70 In producing your marketing material, you must be aware that there are propriety conventions that you will have to follow. Adhering to these conventions ensures that the Government Department, Ministers, Civil Servants and those delivering on their behalf act properly and are seen to be acting properly.
- 7.71 These basic conventions require that communications activities:
- should be relevant to the service you are providing
  - should be factual, clear, objective and explanatory

- should not be, or be liable to misrepresentation as being, party political
- should be conducted in an economic and appropriate way, having regard to the need to be able to justify the costs as expenditure of public funds.

## Good News Stories

- 7.72 As Participants begin to achieve positive outcomes from the support provided, and for some this may include securing employment, Providers may wish to utilise marketing materials to communicate the success of the Restart Scheme. While it is up to Providers to decide the types of products and channels you will use to do this, you may wish to consider the use of 'good news stories' to promote both your support offer and successes to date. You may also wish to consider sharing your 'good news stories' with your SPOCs and local contacts.
- 7.73 Providers are encouraged to submit their 'good news stories' to DWP via the Restart Scheme Live Running Team, using the email inbox found on the 'Good News Story Template', where they may be shared with key internal stakeholders. This should be done in conjunction with the additional guidance that can be found in **Annex 7.5**, ensuring that the relevant consent has been given. The 'Good News Story Template' can be found in at **Annex 7.3** and the Restart All Suppliers file share directory, within the Provider Guidance folder in Jaggaer.

## Marketing Materials Review and Approval Process

- 7.74 Materials to be shared with Jobcentre Plus to be held on their IT systems must be pre-approved by DWP and are subject to a Formal Review process where DWP will approve or give details of required or suggested amendments.
- 7.75 You are responsible for all other marketing material that describe the Restart Scheme and your offer and is aimed at raising awareness for an internal or external audience (Participants, Jobcentre Plus Work Coaches, employers, local partners etc.). You are encouraged to submit these materials for an Informal Review. DWP will offer comments on the accuracy of material, and correct use of Restart Scheme branding, however this does not constitute formal approval and the responsibility for the material remains with the Provider.

# Submitting material for review

- 7.76 You should submit any marketing materials in connection with the Restart Scheme via the dedicated email inbox listed on the marketing material request template, along with a completed template. This document can be found in Restart All Suppliers file share directory, within the provider guidance folder in Jaggaer.

**Please note:**

Providers should submit a separate email and template for each item to be considered.

- 7.77 When submitting material for review, ensure the marketing material request template clearly states the purpose of the material and who the intended audience is.
- 7.78 Not all material using Restart Scheme branding is subject to review. Marketing material viewed as a 'template' does not need to be reviewed each time it is subsequently used. Provider's own working documents not intended as marketing material are also not subject to review. In these instances, it remains the responsibility of the Provider to ensure the accuracy of material and correct use of Restart Scheme branding. If, however, you are unsure if a specific item should be reviewed or not, please contact the Restart Live Running Team via the dedicated email inbox listed on the marketing material request template, who will be able to clarify this for you.
- 7.79 While the Restart Scheme Live Running Policy Team will endeavour to return any marketing materials sent for review to you within 5 working days, please be aware that is not always possible.

## Social Media

- 7.80 All social media should be in line with conventions, purpose and key considerations outlined in this chapter. Please see **Annex 7.4** for further guidance.

## National media handling

- 7.81 DWP has a national Press Office that is responsible for dealing with the national media (newspapers, news agencies, internet news, television, radio and specialist publications and magazines), providing media advice to Ministers and co-ordinating all visits with media involvement across the department.
- 7.82 You may be required to liaise with national Press Office on major announcements. You are expected to:
- alert your Jobcentre Plus or DWP contact to all negative stories and provide sufficient information for DWP to prepare and provide a statement to be used in response to media enquiries

- inform your Jobcentre Plus or DWP contact of media activity being planned around DWP provision.

7.83 Ministers may want to be involved in publicity from time to time. In particular, you should share plans around significant milestones (for example 100th person helped into work) and Participant case studies and liaise with DWP national Press Office. You must ensure that you contact your PM.

## **Providers delivering more than one DWP provision**

7.84 If you deliver additional services for DWP other than the Restart Scheme it is your responsibility to ensure that any material you produce, covering the range of provisions you deliver, complies with the standards and guidelines for all the provisions covered.

## **Use of DWP Data**

7.85 Official Management Information (MI) and performance data are owned by DWP. Providers should not use any such information that has not been published and is not yet in the public domain in their marketing and publicity material. If in any doubt, please contact the Restart Scheme Live Running Policy Team.

## **Effective Stakeholder Engagement**

7.86 A key objective of the Restart Scheme is that it should be tailored to local needs and responsive to changes in the labour market, at a local level throughout the contract. This objective was designed to support the delivery of a tailored service for each Participant, allowing the best possible chance of getting into employment. Collaborative working at a local level will aid in building a positive perception for the Restart Scheme amongst stakeholders and Participants, which is critical to securing the buy-in necessary to achieve outcomes for individuals.

7.87 The following section sets out what you should and must do to identify and engage with stakeholders as part of delivering a flexible, locally tailored offer.

7.88 Your Restart Scheme delivery model, as set out in your contract, should be locally tailored, and adaptable to complement local initiatives in your CPA. You must design interventions which are aligned to local growth sectors, opportunities (e.g., training initiatives) and challenges (e.g., transport barriers, skills gaps) and work closely with employers and stakeholders to maximise local job opportunities for your Participants. The design of your Restart Scheme support offer and local stakeholder engagement, should add value locally and avoid duplication.

- 7.89 Restart Scheme CPAs typically cover large geographic areas, and will cover local economies with differing needs, employers and employment growth areas. The design and delivery of your Restart Scheme offer should be flexible to address specific local circumstances and demographics, and this should be reflected in your stakeholder engagement activity and plan.
- 7.90 You must identify and engage with key stakeholders to inform the design, implementation and delivery of your support offer. This will include large strategic stakeholders and smaller organisations who you may engage with at a more local level.
- 7.91 Key strategic partners have a large geographic footprint and may be capable of contributing to the Restart Scheme across all (or most of) the CPA. Typically, these might include Local Enterprise Partnerships (LEPs), Combined Authorities, Welsh Government and Jobcentre Plus Partnership Managers. You should be mindful that CPA boundaries may not coincide with the areas covered by your stakeholder organisations.
- 7.92 You will also have engagement with organisations with a more localised focus and delivery who, by their size and nature, contribute to your offer in specific locations but not across the whole CPA. They can bring detailed local insight and access to existing local services that might not be visible at the strategic level. Such organisations could include (but are not limited to) Local Authorities, Jobcentre Plus (Districts or local offices), local service providers and charities, chambers of commerce, and employer sector bodies.
- 7.93 Your core Restart Scheme offer should be flexible to adapt to local conditions according to labour market needs and the availability of services that can support your Participants. Engaging the right local partners can contribute to better intelligence about the local labour market and help you develop additional support offers appropriate to the needs and opportunities in the local economy.
- 7.94 There may be existing forums that you can engage with and you should seek to be an active participant in these. There will be different forums in each CPA and you should adapt to work with the best and most effective existing networks. Where no such local networks exist, you should be ready to bring stakeholders together. Your stakeholder activity should work cooperatively and collaboratively to offer a joined up, personalised support offer to your Participants. It should work effectively and avoid duplication of existing engagement structures, and existing provision (where it is already sufficient).
- 7.95 To ensure that stakeholder engagement is coordinated effectively across your CPA, it is good practice to have dedicated staff and resource tasked with engagement. You should review and refresh your engagement activity regularly.

# Stakeholder Engagement Plan

- 7.96 You must produce, review and maintain an engagement plan which sets out how you will identify and engage with stakeholders in order to deliver high quality, appropriate and individualised employment support, to maximise job outcomes throughout the lifetime of the Restart Scheme contract. Your engagement plan will support your Local Engagement Meetings (LEMs) and associated objectives whilst informing your performance management discussions and reviews. You must ensure that your stakeholder engagement plan is available for review by DWP.
- 7.97 There will be different stakeholders in each CPA, and you should use your own judgement and knowledge to ensure that key organisations who can bring value to the Restart Scheme are included in your engagement. However, there are some organisations that have a significant profile and who we would expect to see included in your stakeholder engagement plan.
- 7.98 Where present, DWP would expect the following specific organisations to be engaged with in England:
- Mayoral Combined Authorities (MCAs)
  - Local Authorities
  - Local Employment Partnerships (LEPs) (including European Structural Investment Fund subcommittees)
  - Skills Advisory Panels (SAPs)
  - Local recovery boards (these may be called different names in each area)
  - Association of Employment and Learning Providers
  - You may also wish to approach sector bodies such as the National Council for Voluntary Organisations.
- 7.99 Where present, we would expect you to engage with the following specific organisations within the CPAs in Wales:
- The Welsh Government
  - Local Authorities (including European Funded Regional Engagement Teams)
  - Careers Wales
  - Regional Skills Partnerships
  - National Training Federation Wales
  - Wales Council for Voluntary Action
- 7.100 The above is a list of the organisations we would expect to see included in your engagement plan as a minimum, where they exist in your CPA. Your plan should be augmented by other local organisations who can play a part in the successful delivery of your provision of the Restart Scheme.



**Please note:**

You must have a stakeholder engagement plan in place which you must maintain throughout the duration of your contract, and this must be available for review by DWP on demand.

## Engaging with Employers

- 7.101 You must engage with employers and employer representative bodies as part of the design, implementation and delivery of your support offer. Your engagement model should be tailored to local and national labour markets, and must be flexible to respond to change over the lifetime of your Restart Scheme contract.
- 7.102 Your employer engagement should be linked to your Restart Scheme support offer. For example, training offered to your Participants should reflect available jobs and growth sectors in the local economy. You could use your engagement with employers to identify these opportunities and link them with the training offered by other organisations within your stakeholder plan, and provide your Participants with individual bespoke training or work-based sector training. Through your engagement activity you may be able to identify forthcoming job opportunities or creating employment pipelines and guaranteed interviews for your Participants.
- 7.103 You should collaborate with other providers and CPAs to engage with and account manage national and large employers whose vacancies span multiple CPAs. This will assist the development of a joined up approach.

## Engagement with DWP and Jobcentre Plus

- 7.104 It is essential that you build and maintain strong working links with DWP and Jobcentre Plus, maintaining these throughout the duration of your Restart Scheme contract. You will have regular contact with Jobcentre Plus Partnership Managers; DWP PM's; and DWP Commercial managers, amongst others in addition to the Jobcentre Plus work coaches, who you will have frequent engagement with, for example to undertake Warm Handover meetings and complete referrals to you. This approach will support collaboration and partnership working along with the sharing of opportunities that can support your Participant's journey towards achievement of employment.

# Local Engagement Meetings

- 7.105 You are required to deliver regular LEMs, no less frequently than monthly. They should be attended by Jobcentre Plus Partnership Managers, DWP EAD PM's (or equivalent roles) and other representatives from strategic bodies, where applicable in your area, including local authorities, MCAs, Welsh Government, LEPs, SAPs, Local Recovery Boards training providers, employer forums and employment sectors. Membership of the LEMs should be inclusive as practicable, with no arbitrary exclusion of interested stakeholders. Some stakeholders on your engagement plan may be local stakeholders who may stand to gain or contribute little value from attending a CPA level LEM, however it is important to ensure that their views are represented. Your local stakeholder engagement plan, including planned meetings or groups below CPA level, should reflect this.
- 7.106 The objective of the LEM is to ensure that regular contact with stakeholders is maintained and that stakeholders remain fully engaged with the Restart Scheme delivery, and are able to feed back to providers and DWP on delivery. It provides an opportunity to review and refresh your stakeholder engagement plan, if necessary. Objectives for consideration during the LEM are listed below although this list is not exhaustive:
- enable strategic coordination and alignment of provision, to avoid duplication and make the best use of the Restart Scheme and that which is delivered by Local Government and their suppliers
  - discuss changes in local labour market conditions and seek views on necessary adaptations to the Restart Scheme service delivery
  - to share intelligence regarding local labour markets to enhance joint working.
- 7.107 At the LEM you and your strategic partners, including DWP and Jobcentre Plus representatives should review the roles of your stakeholders to ensure that your Restart Scheme offer remains appropriate to the labour market across the CPA and is responsive to local needs.
- 7.108 Each CPA will have differing stakeholder plans and different economic challenges. The Terms of Reference for your LEM should reflect your specific stakeholder plan.
- 7.109 Should you require an accessible version of any of the Restart Scheme forms listed in this guidance you will need to request them via email at [restart.providerenquiries@dwp.gov.uk](mailto:restart.providerenquiries@dwp.gov.uk).

Scenario	Outcome	Your Action
Completed 365 days no Job Outcome	PRaP will input end on day 366	Update your internal systems
Job Outcome meets or exceeds earnings threshold	Employed Job Outcome is paid. PRaP inputs end reason (Automated Process - No Provider Action)	Record and update your internal system
Self-employed for 6 months Outcome	PRaP generates self-employed Job Outcome payment and inputs end date	Record and update your internal system

# Chapter 08: Completers, Early Exits and Change of Circumstances

## Completers

- 8.01 This chapter sets out the steps that you and Jobcentre Plus will take to ensure that all Restart Scheme Participants exit the scheme at the appropriate stage in their journey by either:
- Completing their allotted time (365 calendar days), without starting work or becoming self-employed
  - Achieving an Employed or self-employed Job Outcome
  - Deemed to be an “Early Exit” due to a change of your Participant’s personal circumstances.
- 8.02 The table below shows the scenario’s for being classed as completing the Restart Scheme.
- 8.03 At the end of the Restart Scheme, if your Participant has been unsuccessful in gaining employment, they will revert wholly back to Jobcentre Plus.
- 8.04 The updated final Action Plan should be issued to Participants who have completed their allotted time on the Restart Scheme. This action applies to both mandatory and voluntary Participants and will be a key tool to determine the most appropriate support required for your Participant returning to Jobcentre Plus.
- 8.05 The final Action Plan must be completed and updated during either your Participant’s final scheduled (CSS7) Action Plan review or at another appropriate CSS appointment i.e. prior to their natural end date of their allotted time. The final Action Plan will outline all individual activities agreed and those completed between you and your Participant during their time on the Restart Scheme.
- 8.06 If the Participant does not attend, meaning the Action Plan cannot be formally closed, any open actions should be closed within the Action Plan and the failed to attend appointment will be noted for PCO check purposes. This ensures there is a clear audit trail which can be reflected within the PCO checks.
- 8.07 You are not required to issue a copy of the final Action Plan to the Jobcentre Plus Work Coach, however, you must encourage your Participant to share the final Action Plan with the Jobcentre Plus Work Coach as part of your Restart Scheme completers post exit discussion.

**Please note:**

Where a Participant has exited the Restart Scheme early, a final Action Plan does not need to be completed. A final Action Plan is for Participants who have completed their allotted time on the Restart Scheme and have been unsuccessful in gaining employment.

## Early Exits due to Change of Circumstances

- 8.08 During the time your Participant is on the Restart Scheme, it may become necessary to class them as an early exit from the scheme, please see the table at **paragraph 8.10**.
- 8.09 There is no responsibility for you to action any change of circumstance notified directly by your Participant. You should encourage your Participant to inform their Jobcentre Plus Work Coach of any change in circumstance which may impact their Universal Credit or JSA (IB) conditionality by either:
- recording in their Universal Credit account,
  - using the Jobseekers Allowance helpline, or
  - writing to the Jobcentre Plus office, of any change of circumstance.
- 8.10 You are required to take appropriate PRaP activity should you receive a UC78e or CEPD1 notification from Jobcentre Plus relating to your Participant prior to their 365 days allotted time ending, you can only exit a Participant from the Restart Scheme where the following circumstances in the table below apply:

Participant Scenarios	Participant	Your Action
Death	Any	Input Leaver Code 43 on PRaP, exit date is date of death
Moves outside England/Wales for remaining allotted time or longer	Any	Input Leaver Code 46 on PRaP, exit date is date they left England/Wales
In Prison for remaining allotted time or longer	Any	Input Leaver Code 46 on PRaP, exit date is date of imprisonment

Participant Scenarios	Participant	Your Action
Has terminal illness and chooses to leave the Restart Scheme	Any	Input Leaver Code 46 on PRaP, exit date is date the decision is made by the Participant
Moves into NWRR Regime and the Participant chooses to leave.	Participants in receipt of Universal Credit only	Input Leaver Code 46 on PRaP, exit date is date the decision is made by the Participant

**Please note:**

The Restart Scheme should be delivered as prescribed until such time that Jobcentre Plus advises you that your Participants' change of circumstance has been notified, accepted and any subsequent conditionality impact has been updated.

Should you not have official notification, you may wish to contact the Jobcentre Plus SPOC and request a UC78e or CEPD1 notification for confirmation.

- 8.11 Should you require an accessible version of any of the Restart Scheme forms listed in this guidance you will need to request them via email at [Restart.ProviderEnquiries@dwp.gov.uk](mailto:Restart.ProviderEnquiries@dwp.gov.uk).

## Change of Circumstances

- 8.12 You must ensure that you hold your Participant's latest personal information. Your Participant is responsible for notifying Universal Credit via their Universal Credit account, Jobseekers Allowance Helpline or by contacting their Jobcentre Plus in writing of any changes in their circumstances that occur whilst attending the Restart Scheme. If you become aware of any change of circumstances which would impact on any benefits your Participant may be in receipt of, you must remind them of their obligation to notify Universal Credit or JSA (IB) of the change(s).
- 8.13 The Jobcentre Plus Work Coach will send a notification UC78e or CEPD1 notification via unencrypted email to your dedicated inbox with details of any relevant changes to your Participants circumstances. In the event of a significant IT failure then a clerical change of circumstances notification UC78 or CEPD1 notification will be issued by the Jobcentre Plus Work Coach. If the UC78 or CEPD1 is requesting to exit from the Restart Scheme, it must clearly state one of the exit reasons.
- 8.14 The Jobcentre Plus Work Coach will notify you of the following change of circumstances using the UC78e or CEPD1 notification. This list is not exhaustive:
- Name

- address
- phone number
- email address
- vulnerability status
- appointee / Power of Attorney
- a change of Jobcentre and/or Work Coach
- entitlement to benefit and / or change of Labour Market Regime
- Participant decides to leave Restart Scheme after moving into the NWRR (Participants in receipt of Universal Credit only)
- entitlement to benefit, work search and work availability requirements (including Easements, switching off and tailored conditionality)
- Participant is in prison or leaves prison
- Participant's death
- outcome of a Self-Employment Gateway Interview
- where a Participant in receipt of JSA (IB), closes their claim and makes a claim for Universal Credit.

**Please note:**

Whilst the majority of change of circumstances notifications will be issued by the Jobcentre Plus Work Coach, on occasions they may be issued by a Universal Credit agent.

- 8.15 On receipt of a UC78e or CEPD1 notification you must update your records immediately with any changes to your Participant's personal information, including name, address, phone number, email address, vulnerability and appointee/power of attorney, change of Jobcentre Plus Work Coach or Jobcentre.
- 8.16 Where your Participant experiences changes to their vulnerability status, you must take immediate action to review and tailor your engagement, support and intervention activity considering the information and advice contained within the UC78e or CEPD1 notification.
- 8.17 If your Participant relocates to another CPA within England or Wales, they will remain your responsibility. You must arrange appropriate support which may be via strategic partners to deliver the service requirement until the end of the Participant's time on the Restart Scheme. For Wales, a Participant who moves from Wales into England and is under 18 years old, continues to remain eligible for the Restart Scheme offer and the original Provider is responsible for arranging ongoing support.
- 8.18 Sometimes a change of circumstances will result in a change to your Participant's Universal Credit conditionality regime. You will be informed of this via a UC78e notification, you must ensure that you take the appropriate action to update internal systems and tailor the support (including offering to the Participant they can remain on the

Restart Scheme and receive the full service on a voluntary basis) you deliver based on the information received, see below.

- 8.19 Mandatory Participants are required to attend interventions and complete tasks. Where they are not completed, and as a last resort, you can raise a compliance doubt.
- 8.20 Voluntary Participants cannot be mandated to attend interventions and complete tasks meaning you are unable to raise any compliance doubts with DWP. When participation becomes voluntary you must ensure you have a clear audit trail of official confirmation from DWP e.g. you have acted as per the instructions on the UC78e form or, if there is any doubt/ ambiguity or no instruction, you have offered, and the Participant has accepted attendance on a voluntary basis.

New Labour Market Regime	Voluntary/Mandatory	Action
Intensive Work Search Regime (IWSR)	Mandatory	Deliver full Restart Scheme support offer.
Light Touch Regime (LTR)	Voluntary	<p>These Participants must remain on the Restart Scheme, they are entitled to the full Restart Scheme offer, the Provider must give the Participant the option of receiving full support. If they agree their attendance will be on a voluntary basis.</p> <p>The Providers offer, along with the Participant accepting, declining or not responding, should be clearly recorded on your systems for CSS and PCO audit purposes.</p>



New Labour Market Regime	Voluntary/Mandatory	Action
No Work Related Requirements Regime (NWRR)	Voluntary	<p>Unless there is a clear instruction on the UC78e form that the Participant's time on the Restart Scheme is ending, the Provider must give the Participant the option of staying on the Restart Scheme where they will receive the full support offer. If they agree, their attendance will be on a voluntary basis.</p> <p>The Provider's offer, along with the Participant accepting, declining or not responding, should be clearly recorded on your systems for CSS and PCO audit purposes.</p>
Working Enough Regime (WER)	Voluntary	<p>These Participants must remain on the Restart Scheme, they are entitled to the full Restart Scheme offer, the Provider must give the Participant the option of receiving full support. If they agree their attendance will be on a voluntary basis.</p> <p>The Provider's offer, along with the Participant accepting, declining or not responding, should be clearly recorded on your systems for CSS and PCO audit purposes.</p>

New Labour Market Regime	Voluntary/Mandatory	Action
Work Preparation Regime (WPR)	Mandate some appointments	Can mandate to appointments dealing with: Assessing prospects of working Coaching to find work Training/educational opportunities.
Work Focused Interview Regime (WFIR)	Both mandatory and voluntary	Can mandate to work focused interviews only, other appointments are voluntary.  Note: Clearly stating which activities are mandatory or voluntary should be recorded on your systems.
Work search or availability turned off	Both mandatory and voluntary	Full Restart Scheme support offer applies, use advice contained within UC78e notification

**Please note:**

Once a Participant has started, they will remain on the Restart Scheme for 365 calendar days, unless they satisfy one of the early completer criteria.

You should continue to deliver the full Restart Scheme support offer according to your contract, for the full time that the Participant is on the Restart Scheme, unless you have been notified by the Jobcentre Work Coach via a UC78e or CEPD1 notification that there should be no contact for a limited period of time.

## Local Engagement, 2-Way and 3-Way Calls

- 8.21 You must ensure you have arrangements in place, agreed with each Jobcentre in your Contract Package Area (CPA), that enables you to quickly exchange information regarding your Participants. The processes you put in place must be in agreement with each Jobcentre or District and will align with the Jobcentre Plus structure applicable to that local area. An example of quickly exchanging information could

be if you have not received an expected change of circumstance notification UC78e or CEPD1 notification within a reasonable period from the date your Participant made you aware of the change in their circumstances and, in situation, you should utilise your existing Jobcentre Plus partnership arrangements or consider a two-way conversation with your agreed Jobcentre Plus SPOC or Jobcentre Plus Work Coach. If the change of circumstances is deemed to require immediate action i.e. Participant's telephone number has changed but details have not been received from the Jobcentre Plus Work Coach, then you should consider whether a two-way conversation would be appropriate or if this can be quickly clarified via emailing the SPOC in Jobcentre Plus.

- 8.22 In addition, there is an option for a three-way conversation to take place, to support the interactions between you, your Participant and the Jobcentre Work Coach, where the change of circumstances is an exceptional situation. This may be helpful, for example, where your Participant is experiencing domestic violence, so that you can jointly identify and address any change of circumstances, along with any potential easements and required actions to enable you and your Participant to make informed decisions. In addition, where you feel a situation requires more immediate intervention and a three-way conversation is not possible, then you should invoke a two-way conversation with Jobcentre Plus accordingly. Where appropriate the Jobcentre Plus Work Coach will then issue a change of circumstances notification to you. The benefits of quickly exchanging information ensures that e.g. you have the correct information on a Participant before considering mandation action or that urgent issues are quickly addresses and the Participant is supported throughout.
- 8.23 An alternative to 2 Way and 3-Way calls, which may not always be possible due to the Jobcentre Work Coaches limited availability, would be to obtain local agreements to attend Jobcentres at set times so that information on multiple Participants can be obtained in one visit, which may be a timesaving for both parties. These local visits may also be useful for promoting the Restart Scheme to Jobcentre Work Coaches or Potential Participants.
- 8.24 If you are struggling to build constructive partnerships, you should proactively raise this at their Contract Performance Review (CPR) meetings so your PM and Jobcentre representatives can discuss the best way of sharing information that will benefit yourselves and Participants.

# Chapter 09: Using the Provider Referral and Payment (PRaP) System

- 9.01 This chapter gives information on when and what actions are required on PRaP to record a start, claiming a Self-employed Job Outcome, exiting a Participant and the PRaP 14 process (the removal of a referral) for the Restart Scheme.
- 9.02 You must not work with any Potential Participant without a PRaP referral.
- 9.03 You must ensure that all information that is entered onto PRaP is 100% accurate, as in some instances, mistakes cannot be rectified by the PRaP Operational Support Team (POST).
- 9.04 Please consult the User Productivity Kit (UPK) and your Restart User Guidance in conjunction with this chapter.
- 9.05 Should there be any PRaP system issues you will be notified by the PRaP support team directly and given clear instructions on what actions to take on PRaP.
- 9.06 Providers access PRaP via DWP Authenticate. Providers can download information to manage on their individual systems and update information about Participants progress into PRaP; payment claims, and calculations are generated automatically. Provider security requirements can be found on the contract Terms and Conditions page.

## Customer Service Standards (CSS)

- 9.07 Restart Scheme Providers are required to deliver eight Customer Service Standards, designed to ensure that all Participants receive a quality service. The Customer Service Standards covered in this chapter are:

Description of Customer Service Standards	System used for measurement and % of achievement to meet Customer Service Standards
<p><b>Customer Service Standard 1 -</b> Providers must ensure that an Initial Face to Face Meeting is conducted with a participant and a start is recorded on Information Communication Technology (ICT) systems as a minimum:</p> <ul style="list-style-type: none"> <li>a) 85% of cases within 30 working days of referral and</li> <li>b) 70% of cases within 15 working days of referral</li> </ul> <p>In both instances the date of the referral is counted as day zero. The Provider must satisfy both measures in order to achieve the standard.</p>	<p>DWP Information Technology (IT) systems. 100% are compliant.</p>

## Receiving a PRaP Referral

- 9.08 Following the Warm Handover you will receive your PRaP referral from Jobcentre Plus within two working days. Do not work with a Participant if you have not received a referral.
- 9.09 If you have not received a PRaP referral you must contact your Jobcentre Plus SPOC for either the Jobcentre Plus District or individual Jobcentre Plus site, depending upon the arrangements that you have in place. This will enable the Jobcentre Plus Work Coach to take corrective action and for the PRaP referral to be received before the Initial Face to Face Meeting. Should this be a persistent issue, then you will need to discuss this with your EAD PM so that it can be addressed.
- 9.10 There may be occasions where a Warm Handover has not taken place, also known as a Cold Handover. In such an instance you will receive a PRaP referral, but you will not have a record already detailing a Warm Handover call, and you will not have had the opportunity to receive the appropriate Participant information. Not having a Warm Handover is not a reason to reject a referral. You will be required to utilise the Initial Engagement Activity period to discuss the Restart Scheme with your Potential Participant, identify any support needs and arrange the time, date and location for the Initial Face to Face meeting, using the appropriate methods available.

# Acknowledgment of the Referral

- 9.11 Prior to acknowledging any referral, you must identify what benefit the Participant is on, this can be done by the PO number:
- PO number starts with 10, will be JSA (IB)
  - PO Number starts with 70 will be Universal Credit.
- 9.12 You must also check the PRaP referral prior to acknowledging, ensuring that the data fields for the following are complete and correct:
- name, address, contact telephone number, email address
  - information relating to a need for additional support is recorded
  - the Potential Participant lives in England or Wales
  - the Potential Participant is not on another contracted provision, for example Work and Health Programme (WHP), Intensive Personalised Employment Support (IPES)etc.
  - the Participant has not previously engaged on the Restart Scheme
  - it is not a duplicate referral to the Restart Scheme e.g the Participant is currently engaged on the Restart Scheme
  - any advanced support needs are recorded
  - the potential participant has not gained employment since the warm handover
  - the potential participant has not become gainfully self-employed since the warm handover
- This list is not exhaustive.
- 9.13 Once the initial system checks have been completed you can acknowledge the referral in PRaP.
- 9.14 You must allow one business day between the acknowledgment of a referral, recording a start or requesting a cancellation of a referral.
- 9.15 Should any information be missing from the referral please contact your Jobcentre Plus SPOC to request the outstanding information.

## Record a Start in Restart

- 9.16 Following the completion of the Initial Face to Face Meeting you must claim a start, this is line one on PRaP.
- 9.17 You must record the start date as the date that the Initial Face to Face Meeting took place and was completed.
- 9.18 You must ensure that the start date is recorded accurately, as the Real Time Earnings (RTE) interest marker is set based upon this date.
- 9.19 Once the start date has been recorded in PRaP, the Participant will be working with you for 365 days, the RTE interest will look for earnings from this date forward.

**Please note:**

It is advised to check your Advanced Shipment Notice (ASN) report to ensure that the start date has not been rejected by PRaP.

Should you fail to record a start within 40 working days, PRaP will automatically close the referral.

Mistakes cannot be rectified by POST should the date be recorded incorrectly on the PRaP system.

## Rejecting a Referral and Cancelling an Acknowledgment

9.20 You can reject the referral if any of the circumstances described in the table below, are applicable. Please ensure that you use the appropriate rejection reasons.

Scenario	Rejection Reason to be used on PRaP
The referral is a duplicate e.g. the Potential Participant is already engaged on the Restart Scheme  The Potential Participant has engaged on the Restart Scheme Previously.	Customer already on Provision (2)
The Potential Participant is employed/self-employed	Excluded (5)
The Potential Participant is on another National DWP provision	Customer not Eligible (3)
You have been previously contacted by the Jobcentre Plus Work Coach who has informed you that they have submitted a Restart Scheme referral in Error	Provision Unavailable (1)

Scenario	Rejection Reason to be used on PRaP
Scenario not listed above	Other (4)

9.21 Should you have previously acknowledged the referral and one of the above circumstances applies or you have reached day 30 you must request to reject the acknowledgment in PRaP recording the appropriate rejection reason.

Scenario	Cancellation reason to be used on PRaP
<p>You have made repeated attempts to engage with your Potential Participant and they have not attended an Initial Face to Face Meeting after 30 working days from the date of the PRaP referral,</p> <p>Day 31 to day 40, this rejection reason must be selected even if the participant subsequently engages with you.</p>	Did not Attend (2)
<p>For all other reasons including:</p> <ul style="list-style-type: none"> <li>• Duplicate referral</li> <li>• Participant has Previously engaged on the Restart Scheme</li> <li>• Participant is employed/self-employed</li> <li>• Referral made in error</li> <li>• The Participant is on another National DWP provision.</li> </ul>	Did not Start (4)

9.22 If your Participant engages between day 31 and day 40 you must reject the referral as per the table above and request that Jobcentre Plus send a new referral.

**Please note:**

A rejection or cancellation reason in PRaP cannot be rectified if mistakes are made. You must contact the Jobcentre Plus Work Coach and request a new referral.



9.23 Please do not use 'No contact' as a cancellation reason.

## Auto Closure of a PRaP Referral

- 9.24 On the PRaP system an auto closure can occur in the following circumstances
- If after 40 working days you have taken no action as described above, the PRaP referral will automatically close.
  - Should you manage to engage with the Participant after the auto closure, you will need to request a new PRaP referral from Jobcentre Plus.
  - Please ensure you do not conduct any further activity without an active PRaP referral.
  - Once the Participant has reached 365 days on the Restart Scheme
  - If your Participant has become employed and has reached the earnings threshold and the Job Outcome has been paid.
  - If your participant has become self-employed and your Outcome has been successfully validated and paid.

**Please note:**

Once a PRaP referral has automatically closed it cannot be reopened.

## Early Completers Due to a Change in Circumstances (UC78e or CEPD1 Form)

- 9.25 This chapter must be read in conjunction with chapter 8 Leaving Restart.
- 9.26 On receipt of a UC78e or CEPD1 form you must check the form for completeness. Should any information be missing please contact your Jobcentre Plus SPOC or your PM for clarification.
- 9.27 You may receive a UC78e or CEPD1 form stating an inappropriate referral has been made. **Please see PRaP 14 Process paragraph 9.33 onward for further instruction.**
- 9.28 Once a Participant is on the Restart Scheme, they can only be removed from the Restart Scheme for the following reasons:
- Participant has Died
  - The Participant is imprisoned for a sentence longer than the remaining time on Restart
  - The Participant moves out of England or Wales
  - The Participant is diagnosed with a terminal illness
  - The Participant moves into the NWRP Regime and the Participant wishes to leave Restart.

- For Non-EEA Nationals, if 3C leave is not granted, by the home office. Section 3C of the Immigration Act 1971 **allows a person who has submitted an in-time application, to extend their stay in the UK.** They will not become an overstayer while their application remains outstanding and the conditions which applied during their previous grant of leave continue.
- 9.29 If none of the above reasons are given on the UC78e or CEPD1 form for removal from the Restart Scheme, you must reject the form, take no further action on PRaP and contact your Jobcentre Plus SPOC. You must continue to engage and support your Participant.
- 9.30 If one of the reasons above are stated in the UC78e or CEPD1 you can claim an end line in PRaP. You must use one of the following exit reasons (in the table below).

Exit Reason Given on UC78e and CEPD1 form	Exit Reason and Code to be used on PRaP
The Participant has died	'Deceased' Code 43
The Participant is imprisoned for a sentence longer than the remaining time on the Restart Scheme.	'Exceptional Circumstances' Code 46
The Participant moves out of England or Wales	'Exceptional Circumstances' Code 46
The Participant is diagnosed with a terminal illness	'Exceptional Circumstances' Code 46
The Participant moves into the No Work Related Requirements Regime (NWRRR) and the Participant wishes to leave Restart	'Exceptional Circumstances' Code 46

Exit Reason Given on UC78e and CEPD1 form	Exit Reason and Code to be used on PRaP
<p>For Non-European Economic Area (EEA) Nationals, if 3C leave is not granted, by the home office. Section 3C of the Immigration Act 1971 allows a person who has submitted an in-time application, to extend their stay in the UK. They will not become an overstayer while their application remains outstanding and the conditions which applied during their previous grant of leave continue.\</p>	<p>'Exceptional Circumstances' Code 46</p>

- 9.31 You must ensure that you retain a copy of the UC78e or CEPD1 form for audit purposes. You must not exit a Participant on PRaP for any other reasons that are not listed above.
- 9.32 Once the end line and leaver reason have been entered, the RTE interest will end, and the Outcome lines will close. You will not be able to make any Employed or self-employed Job Outcome claims.

**Please note:**

If you exit a Participant by mistake on PRaP it cannot be rectified by POST. You must contact your Performance Manager, explain how this has occurred, so that this request can be considered by them and the Restart Scheme Live Running Policy team.

## PRaP 14 Process for the Restart Scheme/ Identification of inappropriate referrals following a start

- 9.33 Following your Participant's start on the Restart Scheme, the Jobcentre Plus Work Coach may identify an inappropriate referral.
- 9.34 The PRaP 14 Process can only be used in some limited circumstances described below. Where a scenario has occurred, your referral can be removed from PRaP.
- 9.35 As a start will have been recorded, it is important that the appropriate action is taken on PRaP. If the Jobcentre Plus Work Coach indicates

one of the following reasons on a change of circumstances notification UC78E or CEPD1 form:

- a) The Participant was in, and remains in, paid employment before the start was recorded
  - b) The Participant was identified as gainfully self-employed before the start was recorded.
- 9.36 You must claim an end line (Line 3) using leaver reason 46 'Exceptional Circumstances'.
- 9.37 A request for a PRaP 14 should be sent to POST requesting them to back out all lines, clearly stating one of the reasons listed above.
- 9.38 Once the action has been completed by POST, you must cancel the acknowledgment and claim 'Did not Start'.
- 9.39 If a duplicate referral is identified, you must immediately contact POST with the Participant's PO number. If the participant has previously been on the Restart Scheme and you have claimed a start, you must cease working with the Participant and initiate the PRaP 14 process.
- 9.40 You must not take any action in PRaP. POST will investigate which PO number has the Real Time Earnings interest set against it. Once identified, you will be advised as to the PO number requiring a PRaP 14 request to be raised in order to remove the start line. This will be the PO number that does not have an interest set against it.
- 9.41 Once the action has been completed by POST, you must cancel the acknowledgment and claim 'Did not Start'.
- 9.42 For Self-employment claims, should you have submitted a self-employed outcome claim in error eg you have input an incorrect date one or date two, you can send a PRaP 14 to POST to have the error backed out. The PRaP 14 must be submitted within 2 Days of the input to PRaP, as the pre-payment validation process will start after this time. PRaP 14s submitted beyond this time will be rejected by POST.
- 9.43 It is advised that all self-employed outcome claims are thoroughly checked before entering and prior to selecting the submit button on PRaP. Although the PRaP 14 process can be used in these instances, this will still be counted as a failed attempt on PRaP and you will only have 1 or 2 further attempts within the validation process.

## **Non-Qualifying Earnings Identified**

- 9.44 To protect public funds and DWP's reputation the Restart Scheme funding model includes controls to ensure that the only income derived from employment or self-employment that commenced after the Participant started on the Restart Scheme will count towards achievement of an Outcome.
- 9.45 You must email DWP PRaP Operational Support Team (POST) when you are aware of these payments or where you or the supply chain are employing a Participant so that an Outcome payment is not made.

- 9.46 Once you inform POST, the PRaP payment line will be put on hold to avoid ineligible payments being made then this payment will be considered during the End of Cohort Reconciliation process.
- 9.47 If you are aware that your Participant has received any income from the list below, you must also contact POST to ensure that the Outcome is not paid based upon:
- a) Tax Refunds (Not Tax Credits)
  - b) Payments in lieu of notice from previous employment
  - c) Holiday pay from previous employment
  - d) Bonuses from previous employment
  - e) Pension payments
  - f) Reserve Armed Forces Payments
  - g) Reserved Fire Fighter payments
  - h) Earnings from Intermediate Labour Market (ILM's)
  - i) The Provider or supply chain employing a Restart Scheme Participant.

Although the scenarios listed above have provided some preventative solutions which include you having prior knowledge that ineligible income may be incorrectly being counted as earnings from employment, it is important to note that if we later become aware that ineligible earnings have contributed towards the achievement of a paid Outcome these Outcome payments may be reviewed, could impact on your performance, or be included in any end of cohort reconciliation calculations.

## **Recording a Self-Employed Job Outcome on Commencement of Trading**

- 9.48 Upon the Participant starting to trade you must ensure that you complete the Job Details screen on PRaP immediately and should be recorded while the Participant is still on the Restart Scheme.
- 9.49 The RTE information will not pick up periods of self-employment.
- 9.50 Compliance with the below requirements will provide evidence that can be used by DWP to positively validate any subsequent Outcome claim you submit.
- 9.51 The job details commencement date must be recorded within the 365 days allotted time.
- 9.52 You must ensure that all information is recorded accurately, failing to do so could result in your Outcome failing pre and post validation checks:
- Any specific times of day the Participant can or cannot be contacted

- Any health conditions that might require alternative methods of communication or information about the best time to attempt to contact the Participant.
- 9.53 On the Job details screen you must:
- Record date one as the first date that the Participant started trading
  - If applicable, the final day of trading (date 2)
  - Complete all mandatory fields
  - Record valid contact details, including the current address, contact name, full business telephone number and email address
  - Within the Other information field indicate any arrangements regarding contacting this could include.
  - Once submitted, do not update, create a new job details screen.
- 9.54 You must instruct your Participant to:
- a) Report a change of work and earnings to DWP as soon as they start self-employment, via their online Universal Credit account, and
  - b) Declare, within each 30-day Universal Credit Assessment Period, all relevant self-employed earnings.

**Please Note:**

You only have three attempts to claim a Self-employed Job Outcome. Should you exceed three attempts the Outcome line will be closed to further Self-employed Job Outcome claims.

- 9.55 For further information on continued Participation please see **Chapter 05: During the Restart Scheme Outcomes, Validation and Payment Model and Chapter 08: Restart Scheme completers, early exits and Change of Circumstances.**

## Claiming the Self-Employed Job Outcome After 6 Months of Trading

- 9.56 It is vital that all information is recorded accurately as failing to do so will result in Outcomes being rejected by PRaP or by the Validation Team.
- 9.57 You can only take this activity once your Outcome has accumulatively accrued 6 months and this duration is within 547 days and the commencement date (date 1) is while the Participant is on the Restart Scheme.
- 9.58 Check and ensure that the job details screen is still accurate.
- 9.59 Should the job details screen require updating please create a new entry, do not update or delete the existing entry.

- 9.60 Once job details have been checked you can claim the Self-employed Job Outcome.
- 9.61 Date one must be recorded as the date that the Participant started to trade, it must match the date one that is recorded in the Job Details Screen and the date must be while the Participant was on the Restart Scheme.
- 9.62 Date two must be the end of the consideration period. This must be at least 6 months in duration and achieved within the maximum qualifying period of 547-days.
- 9.63 You must ensure that the claim is made within 90 days of the end of the consideration period (date 2 on PRaP). Failing to do so will result in your claim being placed on a claim limit hold and rejected by Validation team.
- 9.64 Once the job details and Outcome (line 2) have been checked and claimed, your Outcome will be placed on a hold.
- 9.65 Post Payment Validation Team (TEAM) will check 100% of your Self-employed Job Outcomes. Please see **Chapter 05: During the Restart Scheme - Outcomes, Validation and Payment Model**.
- 9.66 You must ensure that you check the ASN and on-hold reports that is available in PRaP to check for rejections and track progress.

**Please note:**

Should you fail three attempts, the Self-employed Job Outcome line will close to further attempts. The RTE interest will remain active for Employed Job Outcomes. If Employed Job Outcomes are identified and the threshold is met, they will be paid and counted towards your performance.

## Claiming an Employed Job Outcome

- 9.67 An Employed Job Outcome payment will be automatically paid to you when, within 547 calendar days from a Participant's start date on the Restart Scheme (the qualifying period):
  - a) The Participant starts employed work, and
  - b) Accumulates earnings that are equal to or exceed the equivalent of someone working for 16 hours per week for 26 weeks, earning the NLW (earnings threshold).
- 9.68 DWP will use Real Time Earnings information data supplied by HMRC to identify achievement of Employed Job Outcomes. Payment decisions will be based solely on the RTE data supplied, no additional evidence or requests to review will be accepted.
- 9.69 Any earnings from one or multiple employers reported via HMRC within the qualifying period will count towards meeting the earnings threshold.

- 9.70 During this time reports will be available on PRaP iSupplier portal for you to view:
- When a Participant's earnings are first declared to HMRC, following a confirmed start on the Restart Scheme (multiple notifications are possible with two or more jobs)
  - When a Participant has achieved income milestones of £1,000 and £2,000 during their employment
  - When DWP is notified that the Participant's employment has ended (multiple end notifications possible with two or more jobs)
  - When an automatic Outcome payment has been triggered once the earnings threshold is reached (final notification)
  - You must also check for end of employment notifications and ensure that you engage with Participants when this happens.
- 9.71 When an Employed Job Outcome has been achieved the tracking earnings via HMRC will stop and an end line will automatically be claimed.

## Job Outcome Claims and HMRC/ Real Time Information (RTI) Timescales

Timescales	Description
365 Days	<p>Restart Scheme Duration</p> <p>The maximum time on the Restart Scheme</p> <p>Self-employment must have commenced within 365 days of starting the Restart Scheme.</p>
182 Days	<p><b>Tracking Period</b></p> <p>This is the period immediately following a Participants 365-days on the Restart Scheme</p> <p>Within this period:</p> <p>HMRC/RTI data will continue to be tracked and count towards achievement of an Employed Job Outcome.</p> <p>Providing the self-employment originally started within the 365-day duration, any periods of self-employment will count towards achievement of a self-employed Job Outcome.</p>



Timescales	Description
547 Days	<p><b>Qualifying Period</b></p> <p>365 days on Restart Scheme plus the 182-day tracking period</p> <p>This is the maximum period within which employed earnings or self-employment duration can be captured and count towards achievement of a Job Outcome.</p>
90 Days	<p>The maximum period for claiming a self-employed Job Outcome once the qualifying conditions have been met.</p>
727 Days	<p>For claim validation purposes, 727 Days is the maximum period from a Participant starting on the Restart Scheme to payment of a Job Outcome.</p> <p>This is made up of on Scheme duration (365 days), plus the tracking period (182 days), plus the maximum claim submission period (90 days), plus the maximum claim validation period (90 days).</p> <p><b>NB:</b> The latest possible day for submitting a claim for a self-employed Job Outcome is 637 days after the Participant's start date on the Restart Scheme.</p> <p><b><i>It is important to note that, although 727 days is the maximum timeline covering the end-to-end Outcome claim and validation timeline, however the Outcome claim must still be achieved within 547 days (the qualifying period). This is where the self-employment will have commenced within 365 days on the Restart Scheme and the 6-month duration of self-employment is achieved within the tracking period of 182 days</i></b></p>

# Chapter 10 - Restart Contract and Managing Performance

- 10.1 This chapter covers how we will manage performance of the Restart Scheme. To do this, we will apply our PMIR - a structured and escalating process, over four levels, of interaction and intervention, focusing on both a qualitative and quantitative assessment of your performance.
- 10.2 Working with you, this regime aims to ensure the quality delivery of provision, looking closely at customer service, Job Outcomes and achieving value for money for the taxpayer, all as outlined in your contract.
- 10.3 As part of the PMIR you will need to have in place a Provider Action Plan which should clearly focus on your top priority areas for improvement, including appropriate time-bound actions to address and resolve identified performance deficiencies.

**Please note:**

You must have digital solutions in place for circumstances whereby Face to Face meetings in person are unable to take place, for example. Local Restrictions. The requirement to adopt this digital solution will be advised by or made in consultation with DWP.

- 10.4 For further information regarding the PMIR please refer to **Paragraph 10.13**.

## Customer Service Standards

- 10.5 There are eight Customer Service Standards, that we expect you to deliver against, within this contract. These are shown in the table at **Paragraph 10.12**.
- 10.6 We will use a mixture of Management Information (MI) held on our systems, findings from our PCO checks, and from regular customer-focused surveys, to review your performance against the Customer Service Standards.
- 10.7 The Customer Service Standards focus on key elements in the Participant's journey on this provision, with the Customer Service Standard 1 looking at the time taken from the point of the referral from Jobcentre Plus to completing the Initial Face to Face Meeting – performance here will be determined by the Management Information derived from the PRaP system.
- 10.8 The remaining Customer Service Standards, except for the one focusing on Customer Satisfaction (Customer Service Standard 8), will be measured through structured and periodic checks conducted

by our PCOs. These checks, of a sample of cases and usually each month, will look to assure you are delivering your service in accordance with your delivery model and, as a minimum the monthly sample of checks are compliant in at least 95% of cases. Where more than one of these checks is marked as a 'Fail', we will look to undertake further work, which may include more checks.

- 10.9 The final Customer Service Standard 8 is focused on Customer Satisfaction rates and will be measured through a survey of a statistically valid number of your Participants. We expect to see a high degree of customer satisfaction and your performance here will be assessed, on a relative basis, against the performance in each of the provision's CPAs. The surveys will be conducted out by an independent third party who is contracted to DWP for this purpose.
- 10.10 Performance against each Customer Service Standard will form a key part of your Contract Performance Review (CPR) discussion with your PM each month.
- 10.11 Customer Service Standards 1-7 will be monitored and if your performance against any of the Customer Service Standards falls below the level that we expect, we will consider whether the amount of your monthly Delivery Fee is deferred, forfeited or whether other contractual action is appropriate. Further information about the deferral or forfeiture of part of the monthly Delivery Fee in relation to Customer Service Standards 1-7 can be found within **Restart Specification Chapter 4 paras 4.52-4.55.**

## Customer Service Standards (Table)

- 10.12 Restart Scheme Providers are required to deliver eight Customer Service Standards, designed to ensure that all Participants receive a quality service. The Customer Service Standards covered in this chapter are:

Description of Customer Service Standard's	System used for measurement and % of achievement to meet Customer Service Standards
<p><b>Customer Service Standard 1 -</b>  Providers must ensure that a Initial Face to Face Meeting is conducted with a Participant and a start is recorded on Information Communication Technology (ICT) systems as a minimum:  (a) 85% of cases within 30 working days of referral and  (b) 70% of cases within 15 working days of referral  In both instances the date of the referral is counted as day zero. The Provider must satisfy both measures in order to achieve the standard.</p>	<p>DWP Information Technology (IT) systems.  100% are compliant.</p>

<b>Description of Customer Service Standard's</b>	<b>System used for measurement and % of achievement to meet Customer Service Standards</b>
<b>Customer Service Standard 2</b> - For all Participants who 'Start' on the programme an initial Diagnostic Assessment must be completed and recorded within 8 weeks of the referral.	Performance Compliance Officer (PCO) checks. To provide assurance at least 95% of sample checked are compliant.
<b>Customer Service Standard 3</b> - For all Participants who 'Start' on the programme an Initial SMART Action Plan must be completed and signed by the Provider and the Participant by way of wet or electronic signature, within 8 weeks of the referral.	Performance Compliance Officer (PCO) checks. To provide assurance at least 95% of sample checked are compliant.
<b>Customer Service Standard 4</b> - For all Participants, the Provider must deliver one to one support at least every ten (10) working days.	Performance Compliance Officer (PCO) checks. To provide assurance at least 95% of sample checked are compliant.
<b>Customer Service Standard 5</b> - For all Participants, the Provider must conduct a one to one Face to Face review meeting no less frequently than every twenty (20) working days.	Performance Compliance Officer (PCO) checks. To provide assurance at least 95% of sample checked are compliant.
<b>Customer Service Standard 6</b> - For all Participants the Provider must formally reassess the Diagnostic Assessment at least every 4 months, starting from the completion date of the Initial Diagnostic Assessment. This must include evaluation of the Participant's circumstances/barriers, with agreed next steps reviewed and recorded.	Performance Compliance Officer (PCO) checks. To provide assurance at least 95% of sample checked are compliant.
<b>Customer Service Standard 7</b> - For all Participants the Provider must review and update the SMART Action Plan at least every 4 weeks. Action Plans must be signed by both parties by way of wet or electronic signature and include agreed next steps and activities reflective of Participant and Provider activity and the Participant's Diagnostic Assessment.	Performance Compliance Officer (PCO) checks. To provide assurance at least 95% of sample checked are compliant.

Description of Customer Service Standard's	System used for measurement and % of achievement to meet Customer Service Standards
<p><b>Customer Service Standard 8 -</b>  Providers are required to achieve a high overall Customer Satisfaction rate based on a Customer Satisfaction Survey as detailed in paragraph 10.115 of the specification. Success will be measured relative to other CPAs.</p>	<p>Results from an Independent survey. Success will be measured relative to other CPAs.</p>

## Performance Management Intervention Regime (PMIR)

- 10.13 The DWP operates a robust PMIR, the aim is to provide support, and hold you accountable for achievement of the performance metrics stipulated in your contract.
- 10.14 You are expected to meet as a minimum, the performance levels attached to each of the performance metrics as stipulated in your contract, and we consider formal action where such performance levels are not met.
- 10.15 You will need to provide us with a named contact who will work with our DWP PM to ensure the performance metrics at CPA level are achieved.
- 10.16 There are four levels of the PMIR which can run independently or concurrently, and we will take action at any level, at any time. For example, we will be entitled to take formal action at Level 4 whether or not the steps outlined at levels 1, 2 and/or 3 were taken.
- 10.17 **The PMIR framework will be used to address under performance, however, nothing in the PMIR will prejudice the remedies available to DWP for failure to meet any Performance Metrics.**
- Level 1: Standard Action: DWP PM Led
  - Level 2: Enhanced action: DWP PM/Senior PM Led
  - Level 3: Informal action: DWP Senior Management Led, DWP National Provision Lead
  - Level 4: Formal action: DWP Senior Management Led, DWP National Provision Lead and DWP Commercial Lead.
- 10.18 Your CPA must have in place a provider action plan submitted by your Contract Operational Lead to the PM regardless of what intervention level you are in. The provider action plan is required to be in place immediately following the contract implementation period (from contract go live).
- 10.19 The purpose of the Provider Action Plan is to provide us with assurance that you have identified the top priority areas for improvement. All actions in the plan should be Specific, Measurable,

Achievable, Realistic and Time-bound (SMART) and any longer-term actions should incorporate SMART milestone targets. It may also include incremental performance and pipeline data that may lead to outcomes to improve the achievement of the performance metrics in line with the Contract.

- 10.20 At each level of intervention, your PM will continue to work closely with you, the frequency of meetings, scope and types of activity increasing where improvements are not seen, examples of these activities are listed within Intervention Level 1 below.
- 10.21 Your PM will hold regular CPRs with you at CPA level, focussing on the performance against quantitative and qualitative aspects of the contract including, but not limited to, in-month, rolling 3-months, rolling 12-month cohort or cumulative basis from Day 1 of the contract. More detail on CPRs is covered in **Annex 10.1**.
- 10.22 The CPRs will be arranged by your PM. Jobcentre Plus representatives and other DWP staff may also attend these meetings, for example PCO or Senior Performance Manager (SPM). Your first CPR will be arranged during the contract implementation period.

## **Level 1: Standard action: DWP Performance Management led**

- 10.23 Your PM will hold regular CPR meetings with you which will focus on achieving the contractual Performance Metrics. This will include:
- Analysis of the DWP Management Information Pack;
  - Analysis of the MPR which is submitted by you on a monthly basis;
  - Provider Action Plan;
  - Feedback from Jobcentre Plus;
  - PM Record Checks (participant record checks);
  - PCO checks/reports;
  - Go-Look-See/Deep Dives) and Unannounced Provider Visits.

## **Level 2: Enhanced Action: DWP Performance Manager (PM)/Senior Performance Manager (SPM) led**

- 10.24 Whilst at Level 1, if it is determined that you may not achieve the performance levels expected, your PM may undertake informal action to escalate you to Level 2 intervention and you will be notified of this in writing.
- 10.25 You will be required to enhance your Provider Action Plan, to capture all agreed actions for performance improvement. You will also be required to provide a flightpath, including incremental performance and pipeline data that may lead to outcomes, to improve the

achievement of the performance levels and Customer Service Standards in line with the Contract, with the format to be agreed with your PM.

- 10.26 Some of the Key activities which may be used in level 2 are as listed within level 1 intervention.

## **Level 3: Informal Action: DWP Senior Management Led – DWP National Provision Lead**

- 10.27 If the remedial actions at Level 2 were unable to lift your performance in order to meet the performance levels and Customer Service Standards in the Contract, the DWP SPM can propose escalation to Level 3.
- 10.28 You will be invited to a meeting to discuss your performance with DWP Senior Managers, and you will receive a Management letter requesting that your performance improves. At this stage you will be informed that formal action could be taken in the event that performance doesn't improve.
- 10.29 Some of the key activities which may be utilised are as listed in Level 1 intervention.

## **Level 4: Formal Action: DWP Senior Management Led – DWP National Provision Lead and DWP Commercial Lead.**

- 10.30 If you fail to meet the required standards at Level 3, DWP EAD and DWP Commercial Directorate will take formal action to address the performance issues, considering and applying, where applicable, all the remedies available to DWP under the contract.

## **Performance Management Contract Performance Reviews**

- 10.31 An integral part of the PMIR is the CPR. These meetings take place on a regular basis, usually each month, and are chaired by your DWP PM. Local colleagues from Jobcentre Plus may also attend these meetings.
- 10.32 At least five calendar days prior to each CPR, you will need to upload your Provider Action Plan to the Jaggaer system. Information from your Monthly Performance Return, your Action Plan and our

Management Information will form a key basis for the discussion. Your performance will be viewed against the performance metrics and your obligations, as detailed in your contract.

- 10.33 If you have sub-contractors within your delivery model for this contract, your responsibility and how you manage their delivery will also form part of the discussions, including for example, how you plan to address any poor performance. You will need to ensure that all systems and processes used for the monitoring and recording of performance are robust and provide a clear audit trail of evidence providing DWP with the assurance that you and your supply chain are delivering the contract as required.
- 10.34 More detailed information about CPRs can be found in **Annex 10.1**.

## **Performance Compliance Officers (PCOs) and their checks**

- 10.35 PCO's work closely with the PM and undertake regular evidence-based reviews to check your performance against Customer Service Standards 2 - 7 and provide assurance that you, as a Provider, are adhering to the delivery model set out in your contract.
- 10.36 PCOs will check a sample of Restart Scheme Participant records held by you, to determine what required activities have been undertaken, and when. The scope of these compliance checks will be shared with you.
- 10.37 The checking sample will be selected randomly using DWP's PRaP system. The frequency, periodicity and size of the samples may change throughout the life of the contract and where a Provider holds two Restart Scheme contracts, a single sample may be drawn from across both contracts.
- 10.38 We expect that you will undertake your own compliance checks on the sample and return your completed pre population of the sample via email at least 24 hours in advance of the agreed meeting date. This will allow time for the PCO to review your findings and ensure that you and the PCO can have a fully informed discussion as the checks are undertaken.
- 10.39 Our checks may be conducted using digital channels or by Face to Face means, or a combination of both, and we will let you know the logistics in advance. Digital checks may be conducted using Microsoft Teams, where you will be expected to share your screen with the PCO completing the evidence checks. If the checks are Face to Face, these may be centralised in an agreed DWP location.
- 10.40 All evidence must be available on your IT system for inspection, and you should utilise equipment which can be used remotely, and which complies with the relevant DWP policies for face to face and digital use, as defined in your contract's Terms and Conditions. In the case of Face to Face checks, if the location to be used is a DWP location,



you should bring the necessary equipment to enable the PCO to carry out centralised checks of your systems - this includes the provision of any necessary electronic evidence that is required by the PCO to undertake the checks effectively.

- 10.41 The findings from the checks will be shared with you and relevant DWP stakeholders on the Summary Report. This will usually be within 12 working days of the checks being completed. CPRs will usually include a discussion about the PCO checks, especially any issues that have been identified and the actions that you are undertaking to resolve these. These actions should be included on your Action Plan.

## **Checks and Visits undertaken by your PM**

- 10.42 Your PM may undertake additional checks to complement those already undertaken by the PCO, at their discretion, if they have performance concerns or an area of weakness is identified. Your PM will normally discuss with you in advance the reasons for these checks, and how they will be undertaken – this could be by digital means or by visiting your premises. However, the PM may also conduct an unannounced visit if they have, for example, concerns regarding Participant facing interactions.
- 10.43 This may include a ‘go-look-see’ approach where your PM will observe a range of activities, including Initial Face to Face Meetings, Diagnostic Assessments, job search, and other support you deliver in line with your contract. This approach will include your end-to-end delivery partners and/or sub-contractors (if appropriate). PMs may also undertake ‘deep dives’ into specific areas to help to identify and better understand areas of weakness.
- 10.44 Your PM, or other DWP Performance colleague(s) such as the PCO, may ask to attend your sub-contractor/end-to-end delivery and supply chain partner meetings and may also visit your premises on an ad-hoc (announced and unannounced) basis to better understand your performance.
- 10.45 Your PM will provide you with a summary of the findings from these activities, and they will discuss with you at your next CPR or other appropriate forum. Any remedial action you plan to do is agreed and added to your Action Plan.

## **Provider Assurance Team**

### **Background and Purpose**

- 10.46 The Provider Assurance Team (PAT) is part of DWP Finance Group in the Contract Management and Partnership Directorate (CMPD) and has been in operation since October 2009.
- 10.47 The primary purpose of the PAT is to provide the DWP CMPD Director with an assurance that provider systems of internal control

are such that payments made to CMPD providers are in accordance with DWP and Treasure requirements.

- 10.48 PAT reviews and tests providers' systems of internal control to establish how effective they are at managing risk to DWP in relation to health and employment provision expenditure and service delivery, including the arrangements they have in place for their supply chain.
- 10.49 This work is carried out by the PAT by reviewing providers' internal control systems to assess their ability to manage risk across 3 key areas:
- Governance Arrangements – covering the provider's governance arrangements, systems for tracking and reporting performance and their anti-fraud measures
  - Service Delivery – includes the provider's systems for starting, ending, and moving participants through provision and generally looks to ensure that DWP is getting the service it is paying for. This section also covers management of the supply chain
  - Claim Procedures and Payments – looks to ensure that providers have in place effective systems to support their claims for payment, including appropriate segregation of duties.

## How the PAT operate

- 10.50 The PAT operates at a national level enabling it to present CMPD provision providers operating across regions with a single view of the effectiveness of their systems. Each provider is allocated a nominated Senior Assurance Manager as a SPOC within DWP for management of assurance related issues / concerns. **Contact details for the team can be found at paragraph 10.82.**
- 10.51 On completion of each review providers are awarded a PAT assurance rating in one of the following 4 categories:
- (i) weak
  - (ii) limited
  - (iii) reasonable, or
  - (iv) strong.
- 10.52 The provider is sent a formal report which details the review findings including key strengths and areas for improvement, and where weaknesses have been identified. Providers are required to complete an action plan setting out appropriate steps for improvement. Action plans are followed up until the PAT is satisfied that all required actions have been undertaken.
- 10.53 The description of the 4 assurance levels are as follows:
- Strong Assurance – governance, risk management and control arrangements operated provide strong assurance that material risks are identified and managed efficiently and effectively, although improvements may be recommended
  - Reasonable Assurance – governance, risk management and control arrangements operated provide reasonable assurance that material risks are identified and managed efficiently and

- effectively. Remedial action is required to improve the control environment
- Limited Assurance – governance, risk management and control arrangements operated provide limited assurance that material risks are identified and managed efficiently and effectively. Corrective action is required to resolve control weaknesses
  - Weak Assurance – governance, risk management and control arrangements operated provide weak assurance that material risks are identified and managed effectively. Urgent and significant corrective action is required to resolve significant control weaknesses.

## How the PAT plan

10.54 In order to manage review activity and direct resources in the most effective way, the PAT operates a national plan covering all health and employment provision providers in scope for PAT reviews. Provider reviews are allocated in priority order according to risk. This is determined by a number of factors including the current assurance rating, length of time since the previous review, and DWP stakeholder intelligence.

## The review process

10.55 The PAT look for evidence that systems are in place across provider organisations to manage key risks to DWP expenditure. To facilitate this process the key risks have been broken down across the 3 scope areas and the PAT will examine the controls in place within the providers organisation to look at how effective they are in managing the risks identified.

10.56 There are 5 stages to the review process which can take up to 23 weeks to complete, depending on the complexity of the providers organisation and the extent of the health or employment provision contracts. The bulk of provider facing activity takes place within field testing which generally lasts no longer than 5 weeks.

## Provider review process

10.57 A PAT Review covers the following stages:

- Planning and Research
- Initial Evaluation
- Field Work
- Final Evaluation
- Reporting
- Follow up of Action Plan.

## Planning research and initial evaluation

10.58 The purpose of this stage is to pull together all relevant information about the you, form a paper-based opinion about the systems and develop the testing strategy.

- 10.59 During this period, you will be sent 2 documents: a Provider Systems Questionnaire (PSQ) which asks a series of questions about your systems across each of the 3 scope areas and a site information stencil to confirm information about the delivery sites for the programmes.
- 10.60 The PAT also take account of feedback from other departmental colleagues who work closely with you. Intelligence is gathered from these sources during the planning process and used alongside the PSQ response from you when forming an initial view of the risk and development of the test strategy.

## **Field work at providers**

- 10.61 Commencement of the field work is signalled by a formal start-up meeting between the provider and the PAT. The purpose of this meeting is to brief you on the forthcoming review and agree the terms of engagement throughout including timescales for final feedback and the timeframe for providing all evidence by.
- 10.62 Based on the planning, research and initial evaluation PAT decide whether to carry out any testing deemed necessary to form a judgement as to the effectiveness of the systems under review.
- 10.63 Field Testing is arranged via Microsoft Teams and at your premises or a combination of both. Where fieldwork is to be undertaken at your premises, it can be conducted at any of the sites across the country. Choosing which premises to visit will be determined by a number of factors, for example the provisions and activities delivered at individual sites, any intelligence gathered during the planning stage which may indicate weaknesses in certain areas, or the availability of PAT resource.
- 10.64 The tests will typically include reviewing key policy documents, examining participant files, interviewing staff, and performing checks in sufficient quantities to allow the team to form an opinion across your systems as a whole. This may mean that testing has to be extended in some circumstances or that it may be cut short in others.
- 10.65 During the testing period the PAT provides a written summary of the key points. This allows you to understand and discuss the findings to date.
- 10.66 Throughout the testing period you will be given the opportunity to provide any supporting documentation and/or missing evidence that has been requested by the PAT. All evidence must be provided by the date agreed at the start up meeting.

## **Final evaluation**

- 10.67 Evaluation of your systems is continuous throughout the end-to-end PAT process. Once testing is complete all the findings are considered, and an overall assurance level is awarded covering the 3 scope areas

of Governance Arrangements, Service Delivery and Claims Procedures and Payments.

- 10.68 The final evaluation and assurance level will be formally presented to you at a final feedback meeting at a time agreed in advance. At this meeting the PAT will discuss what actions will need to be taken to address any issues raised and timescales for satisfactory completion of those actions.

## Review outputs

- 10.69 Following the final feedback, a report is produced by the PAT and sent to you. The report will contain details of findings and opinion against all key risk areas across the 3 scope areas and an overall assurance level assessment for the PAT report.
- 10.70 There will be an action plan at the back of the report covering all the issues raised at the feedback meeting. You are expected to return the action plan within 10 working days of receipt. The response should contain any timescales for implementing any necessary improvements, which can be from one week to a maximum of 3 months.
- 10.71 You will work with your EAD PM on behalf of the PAT to implement all the actions but is the PAT that make the final decision on and sign off of each action. This follow up will take place within the timescales agreed with the PAT.
- 10.72 You are also asked to complete and return a feedback stencil to the Senior Assurance Manager (SAM). DWP is committed to providing an effective Provider Assurance function and in order to meet this commitment the PAT need to constantly review the way in which they operate and their supporting policies and procedures. As a major stakeholder in this process, obtaining feedback from you is critical.
- 10.73 If there are any issues or causes for concern that cannot be addressed throughout the course of the review, then the provider should in the first instance put a complaint in writing to the Head of the PAT (**Contact details at paragraph 10.82**). There is no formal appeals process to allow you to challenge the level of assurance awarded. The PAT undertake a period of extensive evaluation to ensure there is a good understanding of your systems and processes and will gain sufficient evidence through testing to reach a sound conclusion regarding the adequacy and effectiveness of the controls within your organisation. If you are unhappy with the outcome there will be the opportunity to discuss concerns with the SAM and/or Head of the PAT.
- 10.74 The final feedback meeting allows you ample opportunity to discuss the findings and assurance level, before the final report is issued.
- 10.75 The main focus of any meeting or correspondence after an assurance rating has been given will concentrate on the implementation of the areas for improvement as detailed in the action plan to strengthen

your controls/maintain a strong level of control in preparation for your next review.

- 10.76 The report is also sent to DWP stakeholders, these typically include (but not exclusively):
- CMPD Director
  - Commercial Directorate
  - Employment Accounts Division or Team PIP
  - Counter Fraud and Investigation
  - PM's
  - PRaP Operational Support Team (POST).

## **Other potential actions**

- 10.77 Without prejudice to any other of DWPs rights under your Contracts, there may be other actions required depending on the findings of the review, including:
- Overpayment Recovery – if overpayments are identified and evidence could not be produced during the review, then DWP may seek to recover any overpayments; and
  - If any overpayments, errors or discrepancies identified during the review indicate they are as a result of systemic weaknesses then you may be required to provide the applicable evidence over a specified period of time and in doing so identify any overpayments. The results will be verified before any subsequent action is taken.
- 10.78 For payments where an error rate has already been extrapolated backtracking and recovery action will not be applicable.

## **Provider Assurance Team (PAT) reporting**

- 10.79 DWP may periodically publish assurance levels by Provider (note - this will not include reports or supporting information).
- 10.80 All PAT provider assurance reports are shared with the CMPD Director and other senior managers within DWP.
- 10.81 DWP may take remedial actions in the following circumstances:
- if following a Weak or Limited Assurance level from the PAT your subsequent assurance level is the same or worse for the same reasons, or you are awarded a consecutive third weak or limited assurance, regardless of the reasons
  - following a review, if you fail to submit and/or implement the Action Plan within agreed timescale
  - where there are suspicions that you may be acting inappropriately the team will refer to Counter Fraud and Investigations as the experts trained in the legalities and techniques required to carry out formal investigations, or
  - where there are serious concerns around data security these are reported through the respective channels to colleagues in the DWP Security Incident Response Team.

## Contact details

- 10.82 The contact details for the PAT are listed below and enquiries can be submitted to the PAT central inbox:  
[provider.assuranceteam1@dwp.gov.uk](mailto:provider.assuranceteam1@dwp.gov.uk).

## Local Engagement Meetings (LEMs)

- 10.83 The LEMs in your CPA are attended by Jobcentre Plus Partnership Managers, DWP PM and other representatives from local authorities. Feedback from this meeting may form part of the Contract Performance Review (CPR). **Further information relating to CPR's can be found in paragraph 10.31 Contract Performance Reviews and Annex 10.1.**
- 10.84 Building strong working relationships with local area partners, Jobcentre Plus work coaches and local employers and maintaining these throughout the duration of the contract, is essential. Providers should actively collaborate with local partners and share information on job vacancies, local initiatives and developments in their CPA no less frequently than monthly. We expect Providers will either host their own Local Engagement Meetings (LEMs) or, if there are existing forums in place, to participate in these local forums. Engagement and collaboration meetings should include representatives from local authorities, training providers, employer forums and employment sectors that are key to the area, local Jobcentre Plus Partnership Managers and DWP EAD Performance Managers (or equivalent roles).

## Stakeholder Forums

- 10.85 At a national level, DWP will host regular Operations, partnership and engagement, and stakeholder forums. These meetings will look to provide an opportunity to review the performance and delivery of the Restart Scheme at a more strategic, and higher, level.

## Performance and the Performance Metrics

- 10.86 From the start of your contract, you are expected to achieve each of the Performance Metrics. These are the:
- Delivery Fee Standards
  - Customer Service Standards
  - Performance Indicator (PI)
  - Minimum Performance Level
  - Tender Performance Level.

## Performance Delivery and Expectations

- 10.87 Throughout the life of the contract, we will review your performance in each of the above areas. To do this, we will use our available management information, whether from our systems and/or from the

PCO checks, the Management Information that you provide, and with the approach as detailed in our PMIR.

- 10.88 If any of the above Metrics are not achieved, whether that's on an in-month, rolling, cohort, or cumulative basis, we may consider using an appropriate contract lever as detailed within your contract. We may also consider recovering any costs we incur as a result of our performance improvement activity with you, again as detailed in your contract.

## **Delivery Fee Standards**

- 10.89 For the first year of your contract, the Delivery Fee that you receive will be dependent on your staffing levels covered in the next two paragraphs and also the achievement of Customer Service Standards covered in **paragraph 10.12** and, if appropriate, this includes those of your supply chain partners.
- 10.90 On the third working day each month, you will need to provide DWP, via the Jaggaer system, with detailed information about the staff Full Time Equivalent (FTE), in a management or direct delivery role, who are employed on your contract. We will provide a standardised template for this purpose. We will compare this information against the agreed monthly staffing levels that you detailed in your contract.

## **Performance Indicator (PI)**

- 10.91 As one of the Performance Metrics, the Earnings PI provides an early insight on the number of Job Outcomes you may achieve in the coming months.
- 10.92 This PI will show the number of Participants, each month, that need to start work and receive their first earnings so that the relevant Job Outcomes, are achieved. We will regularly review the PI and if we see that the level is not being achieved or we believe that without further intervention, the PI will fall to a level that means the required number of Job Outcomes won't be achieved, then we may issue a Performance Indicator Course of Action Notice (PICAN). Further details on this Notice can be found in your contract.

## **Tender Performance Level (TPL) and Minimum Performance Level (MPL)**

- 10.93 As part of your contract, we expect that you will achieve your Tender Performance Level (TPL) and accordingly, our Minimum Performance Level (MPL). The TPL is part of the offer you made within your successful bid and is the percentage of starts you believe will move into employment and achieve the Earnings Threshold. This threshold is calculated at 16 hours per week for 26 weeks at the NLW.
- 10.94 Prior and up to July 2022 the minimum expected MPL is set at 25%, however, from July 2022 the minimum expected MPL is set to 27%.



- 10.95 For each of the TPL and MPL, we will apply a performance curve, or expectation for the month in which we expect the threshold to be reached for a given percentage of the Participants who have entered employment. This helps to calculate the required number of Job Outcomes in any given month. Further detail on how this calculation is made can be found in **Annex 8** of the Specification.
- 10.96 If the required number of Job Outcomes expected for the MPL or TPL is not achieved in any given period, we will consider intervention action as outlined in our PMIR and/or contractual action as detailed in your contract.

## Relative Performance

- 10.97 Across all the Performance Metrics, and not just for Customer Service Standard 8, we will review performance on a relative basis.
- 10.98 We will use ranking tables to monitor performance across CPAs and Providers, to drive continuous improvement within this provision.

## Outcomes, Cohorts, and Management Information

- 10.99 As outlined in earlier paragraphs within this chapter, achieving the required number of Job Outcomes is how we will determine if you are meeting the MPL and TPL for this provision.
- 10.100 As well as the performance curve, a percentage of the MPL and TPL that is to be achieved increases year on year and is also part of the calculation of the required number of Job Outcomes. This percentage starts at 85% of the MPL and TPL to be achieved in the first year, rising to 90% for year 2, 100% for year 3 and 115% in years 4 and 5. It is important you ensure that as one year moves into the next, sufficient Job Outcomes are being achieved to prevent any possible shortfall in the coming year.
- 10.101 More detailed information about this calculation, can be found in **Annex 8** of the Specification.
- 10.102 Throughout the life of your contract, we will measure your Job Outcome performance against the MPL and TPL on a cohort basis, viewed in-month, on a rolling 3-month, rolling 12-month, and cumulative basis from day one of the contract.
- 10.103 Performance data will be taken from HMRC data for employed Participants, our PRaP system and, in the case of self-employed Participants, from Job Outcome claims submitted by you.
- 10.104 Each month, we will produce a Management Information Pack detailing performance against the PI, MPL, TPL, Customer Service Standard 1 to 8 which we will share with you. You must treat this information, and any other information for this provision that you have access to, as confidential and for your sole use.

## Monthly Performance Return

10.105 In addition to the above performance data, you will be required to provide a Monthly Performance Return (MPR) of further key information, for example, staffing levels and caseload sizes, including those of your supply chain by the first working day of the month. This will form part of the discussions you have with your PM around performance and performance improvement and, for example, for the Delivery Fee Standards.

## Provider Action Plan Contract Review Points

- 10.106 DWP Commercial Directorate will conduct an annual review of your Restart Scheme contract which will provide the opportunity for an in-depth discussion to review your Restart Scheme contract, along with identifying potential areas for improvement and best practice to drive continuous improvement of the Restart Scheme. This chapter covers your roles and responsibilities in respect of these contract review meetings.
- 10.107 As part of Open Book Contract Management there will be a contract review between you, DWP Commercial Directorate, Finance and EAD PM. There will be an individual review for each CPA. If you are the Prime Provider in more than one CPA, then the contract review meetings may be combined.
- 10.108 The contract review point provides an opportunity to refresh financial data and to hold a constructive discussion alongside performance and operational issues or challenges.
- 10.109 The contract review meeting is intended to be broader and more strategic in nature than the regular contract performance reviews. As such, the following have been identified as indicative discussion points. This list is not exhaustive and DWP reserve the right to discuss other changes and risks as appropriate:
- Performance expectations – Minimum Performance Levels, Customer Service Standards, Customer Satisfaction Levels
  - Flexibility and future-proofing – Welfare changes, benefit changes, process changes, legislative changes etc.
  - Incentives and improvements – e.g. Outcome definitions, payment mechanisms, performance curves
  - Customer Groups – e.g. Expansion of customer (eligible) groups
  - Volumes and flows – e.g. Provider capacity, who is being sent onto the Restart Scheme in the next 12 months.
- 10.110 You are also encouraged to consider whether there are other aspects of the contract you would wish to discuss within the contract review point meeting.

## Timing

- 10.111 Contract reviews will take place annually within the final quarter of each delivery year unless advised differently.
- 10.112 You will be notified 2-4 weeks in advance of the scheduled contract review meeting; this will provide you with an opportunity to identify any areas you wish to be included in the agenda for discussion.

## Outcomes

- 10.113 A summary of the meeting will be issued to you with agreed action points, the timescale for circulation of this will be confirmed within the meeting usually within 7 working days.
- 10.114 Should you require an accessible version of any of the Restart Scheme forms listed in this guidance you will need to request them via email at [Restart.ProviderEnquiries@dwp.gov.uk](mailto:Restart.ProviderEnquiries@dwp.gov.uk).

## Customer Satisfaction Measure

- 10.115 DWP will monitor the overall level of customer satisfaction with the Restart Scheme through a Customer Satisfaction Measure. The measure will consist of a quarterly survey of a random sample of Participants in each CPA and is referenced in the table at **paragraph 10.12**.

## Customer Satisfaction Measure Survey Activity Information

- 10.116 The survey will be conducted by an independent contractor. The survey will consist of an overall question about customer satisfaction and three to four additional questions focusing on specific aspects of the Participant journey.
- 10.117 The overall question on customer satisfaction will be; "Thinking about your overall experience of the services provided, how satisfied are you with the Restart Scheme?" This overall question will always be asked at each quarterly survey to provide consistency during the Restart Scheme lifetime.
- 10.118 Results from the overall question will form the basis of the measure for Customer Service Standard 8. In addition, Cabinet Office publish performance information on a quarterly basis against the Governments major projects. A summary of the Customer Satisfaction Survey results at national level will form one of the Restart Scheme's three key performance indicators for publication by Cabinet Office.
- 10.119 Survey Participants will be asked three to four additional questions to establish satisfaction levels with regards to different aspects of service delivery. These additional questions may change over the lifetime of

the Restart Scheme. The information gathered from these additional questions will be used to identify areas of potential improvement and may be used during contract performance review meetings and at annual Contract Review Points.

- 10.120 The sample size selected will allow meaningful CPA level analysis, as well as providing a national picture of satisfaction levels.

## **Provider Action**

- 10.121 As the survey will be conducted independently, there is no direct action for you to take with regards to completion of this survey. However, it would be good practice for you to explain to your Participants that they may be contacted by the survey provider, and that completing the survey will help provide information that will be used to improve the future delivery of the Restart Scheme.
- 10.122 Survey information will be shared with you and DWP. This information may be used in your contract performance review meetings with your PM and at the annual Contract Review Point meeting.

## **Controls and Risk Management**

- 10.123 The DWP PAT assess the effectiveness of the controls for all Contract Management and Partner Delivery (CMPD) programmes, including the Restart Scheme, that providers have in place to manage the risks associated with the delivery of their Contracts.
- 10.124 The aim is to provide assurance to the CMPD Director and DWP Senior Leaders that any payments made to providers are in accordance with DWP and His Majesty's Treasury's requirements.