



# **WS005 Managing Referrals to Provision**

**Facilitator Led Brief  
v12.1**

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## Learning Durations:

Topic	Topic title	Duration
Intro	Managing Referrals to Provision	2 mins
Topic 01	Referring Claimants to Provision	35 mins
Topic 02	Withdraw or Cancel a Referral to Provision	10 mins
Topic 03	Referral Outcome Notifications and Follow Up	80 mins
Topic 04	Notification of a Change of Circumstance	45 mins
Topic 05	Work Programme	15 mins
Topic 06	End of Work Programme Action	10 mins
Topic 07	Referral to Specialist Employability Support Provision	25 mins
Knowledge Checker	Managing Referrals to Provision – Knowledge Checker	10 mins
Summary	Managing Referrals to Provision – Summary	2 mins
<b>Total duration of all topics</b>		<b>234 mins</b>

## Important Information:



**Please note that not all job roles are required to complete every topic within this module.**

**The table below has full details of which topics are required by each Job Role.**

**The Universal Credit Learning Journey has a full list of all the learning modules required for each Job Role and the order in which they should be delivered and completed.**

**This can be viewed on the LDO Support Site.**

<b>Job Role</b>	<b>Learning Required</b>	<b>Duration</b>
Work Coach Systems & Process Support	All	<b>234 minutes</b>



**Before delivery of this module you should familiarise yourself with the contents of the Facilitator's Preparation Pack.**

# Managing Referrals to Provision



**Show Slide 01 – WS005 Managing Referrals to Provision**



**Show Slide 02 – Module Aims and Objectives**

## Module Aims

This module aims to provide you with the knowledge to manage work related requirement referrals.

## Module Objectives

By the end of this module, with the aid of any reference material, you will be able to correctly:

- describe how to make, cancel or withdraw a referral to provision
- state how to action a provider request for a duplicate copy of a UCPR1 (Additional information for PRaP referrals) form
- explain how to follow up on work related requirements referrals
- explain how to deal with notifications of outcome for a referral

- state at what intervals you must review a claimants progress when they are attending New Enterprise Allowance
- describe how to deal with notifications to and from a provider for a reported change of circumstances
- state the appropriate action to take when a claimant has returned to and completed the Work Programme
- explain how to make appropriate referrals to and follow up action for Specialist Employability Support provision



## Topic 01 Referring Claimants to a Provision



**Show Slide 03 – Topic 01 – Referring Claimants to a Provision**



**Show Slide 04 – Topic Aims and Objectives**

### Aims

The aim of this topic is to identify and discuss referrals to provision and locally funded support.

### Objectives

By the end of this topic, with the aid of any reference material, you will be able to correctly:

- explain how to identify and discuss Work Preparation Action requirements with claimants
- state how to make appropriate and relevant Work Preparation Action referrals



### **Show Slide 05 – Identify Skills Gaps and Referral Opportunities (1 of 4)**

#### **Identify Skills Gaps and Referral Opportunities**

Job Goals are reviewed through discussion with the claimant. In order to make an informed decision you need to be aware of any previous referrals to provision on LMS. Information held on LMS will not be migrated to WSP.



### **Show Slide 06 – Identify Skills Gaps and Referral Opportunities (2 of 4)**

You will explore areas such as the creation and maintaining of a CV, interview skills, ability to demonstrate skills to an employer in an interview, completion of an application form, creation of a covering letter, personal confidence levels, basic skills, IT skills, what skills the claimant used in their last job, missing or out of date qualifications required by local employers, upskilling to meet this need.

You will check Labour Market System (LMS) for previous referrals to provision if appropriate.



### **Show Slide 07 – Identify Skills Gaps and Referral Opportunities (3 of 4)**

After discussing and reviewing skills with the claimant. You should determine whether the claimant has a skills gap. If no skills gap exists you should enter a note on the Notes tab of the Claimant Record screen in WSP. The note should state that the discussion has taken place and that no skills gap was identified.

If a skills gap is identified you should either search on WSP or check the District Provision Tool (DPT) for suitable provision for the claimant's needs.

For claimant's in the All Work Related Requirements group any referral made to provision is mandatory or has mandatory elements.



### **Show Slide 08 – Identify Skills Gaps and Referral Opportunities (4 of 4)**

You should check the claimant is eligible for the provision. This will include checking to see if the claimant has any additional needs or qualifying criteria that entitles them to early entry.

Where more than one opportunity has been identified you will sell the benefits and discuss factors including:

- location
- required attendance
- travel arrangements
- hours of course
- health conditions
- childcare
- reasonable adjustments
- outcomes of provision (for example, qualifications).

If a suitable referral opportunity is identified you should make the referral and record as a Work Preparation Action on the Claimant Commitment.

If no suitable referral opportunity is identified you should consider Low Value Provision (LVP), the Flexible Support Fund, any non-DWP funded provision available locally, and signposting.



### **Show Slide 09 – Work Preparation Action Provision Referral**

Where you have identified a skills need, referrals to provision will become a mandatory Work Preparation Action for all claimants in the All Work Related Requirements

group. This should be fully explained to the claimant, including the potential consequences of non-attendance (sanctions).

Some work related provision is mandatory whereas some work related provision, for example sector based work academies, is voluntary. However, once the claimant has agreed to participate, elements of the work related provision become mandatory.

The Work Programme and SES will be discussed later in the module.



**When a referral is made via the telephone, the work coach will inform the provider if the claimant has an Unacceptable Customer Behaviour marker.**



**Organisations delivering contracted employment programmes and schemes can impose requirements on claimants. Claimants will need to be aware of any such requirements on submission.**



**Show Slide 10 – Voluntary Referral to Sector Based Work Academies (1 of 2)**

Sector based work academies (SBWA) are voluntary.

Voluntary referrals are usually completed via an open day. The referral letter for this is UC382 - SBWA Open day referral.



**Ask the learners to find form UC382 in Knowledge Management (KM) and take several minutes to familiarise themselves with it.**

For claimants in the full conditionality group this is the only type of provision where voluntary provision can have elements which become mandatory, once the claimant has agreed to participate. Referral to these is completed on form UC202 - SBWA referral:



**Ask the learners to find form UC202 in KM and take several minutes to familiarise themselves with it.**

A SWBA is split into three elements:

- element 1 is pre-employment training (this is mandatory)
- element 2 is work experience (this is voluntary)
- element 3, is a guaranteed job interview (this is mandatory)

A sector based work academy will have a defined start date. You will explain that the claimant must be in a position to agree to this defined start date.

It is important that the claimant understands the obligations of the work related requirements before they can agree to be referred.



### **Show Slide 11 – Voluntary Referral to Sector Based Work Academies (2 of 2)**

You then establish with the claimant when the referral can be made.

The referral may be made:

- immediately
- at a later date

Normally you would refer a claimant to provision immediately, however there may be certain circumstances when a referral at a later date is required. This date can be determined, in discussion with the claimant, taking into account individual circumstances, for example holidays, hospital appointment, job interview.

For Universal Credit any work related requirements that are included on the Claimant Commitment will be mandatory. You will signpost a claimant to any work related requirement that is not mandatory.



### **Show Slide 12 – Outcome of a Voluntary Referral to SBWA Offer**

There are four possible referral outcomes to the voluntary referral offer:

- referral at a later date with no mandatory elements agreed
- referral immediately with mandatory elements agreed
- referral immediately with no mandatory elements agreed
- referral not agreed



### **Show Slide 13 – Referral Immediately With Mandatory Elements Agreed**

It is important that the claimant understands the implications of the work related requirements, before they agree to be referred.

The details of the work related requirements are gathered via the District Provision Tool (DPT).

You must inform the claimant that they must comply with this work related provision as imposed by the Secretary of State and direct them to their copy of the Claimant Commitment which explains the consequences of failing to comply. If a claimant does not agree to a referral note the information in



WSP notes.



### **Show Slide 14 – Referral at Later Date - No Mandatory Elements Agreed**

Where a claimant agrees to referral to a Sector based Work Academy at a later date:

- discuss the referral with the claimant
- explain the consequences of not completing any mandatory elements
- confirm the claimant has agreed to attend but at a later date
- set a task on WSP to review the referral



### **Show Slide 15 – Referrals to Skills conditionality**

Skills conditionality is a process based on mandatory referrals to encourage attendance and participation on skills training courses.

All claimants who are mandated to attend skills provision must be given written notice of the requirement for them to attend and the consequences of non compliance.

There are 2 letters that can be issued depending on the circumstances:

- UC195 - Skills Conditionality notification of combined interview and start

This should be issued to give notification of a combined interview and start date on the provision:

- UC205 - Skills Conditionality notification of interview

This should be issued to give notification of a skills Conditionality interview.



**Ask learners to access KM and take several minutes to familiarise themselves with forms UC195 and UC205.**



**Show Slide 16 – Traineeships**

Traineeships are a non-mandatory BIS and DfE led initiative which focuses on young people aged 16 – 24 living in England who need extra help to get and sustain an apprenticeship or other job.



**Ask the learners to access KM and take several minutes to familiarise themselves with traineeships.**

When referring to a traineeship you should pay attention to if the claimant moves into a different Conditionality regime as a result. Universal Credit claimants:

- aged 16 to 24, and without parental support, will be placed in the No Work Related Requirements group while they are undertaking a Traineeship
- aged 16 to 24 and in the Intensive Work Search regime (within the All Work Requirements Group) will have their hours of participation in a Traineeship count towards work preparation activity. They will remain in the Intensive Work Search regime. Work coaches have the discretion to tailor work search, availability requirements or both, where they consider that the training will help claimants move into work more quickly. Claimants should generally continue to attend regular Work Search Review meetings. There may need to be flexibility over the timing of these, depending on the participation requirements for the Traineeship
- in other conditionality groups or labour market regimes would remain in their current conditionality group or regime during participation

- aged under 19 who are included in their parents claim (as a qualifying young person) would be eligible. Claimants should be signposted to information on Traineeships on the Apprenticeships website or the National Careers Service

You are now going to take the necessary action to search for a Provider, Provision or Specialist Support.

### Simulation – Search for Provisions, Providers or Specialist Source



**Show Slide 17 – Search for Provisions, Providers or Specialist Source**



**To view the simulations please refer the learners to the Universal Credit Simulations.**

**The learners should scroll down to WS005 Managing Work Related Requirements Referrals and select the See It, Try It or Know It links for the Search for Provision simulation. Note the information at the top of this intranet page which describes how to use the hyperlinks.**

**Allow the learners 10 minutes to complete this simulation.**

### Simulation – Referring a Claimant to Work Related Provision



**Show Slide 18 – Referring a Claimant to Work Related Provision**



**To view the simulations please refer the learners to the Universal Credit Simulations.**

**The learners should scroll down to WS005 Managing Work Related Requirements Referrals and select the See It, Try It or Know It links for the Refer Claimant to Work Related Provision simulation. Note the information at the top of this intranet page which describes how to use the hyperlinks.**

**Allow the learners 10 minutes to complete this simulation.**



### **Show Slide 19 – Claimant Refuses Mandatory Referral**

There may be an occasion when you have discussed work related requirements with the claimant and decided to make a referral which then becomes mandatory.

If the claimant refuses and cannot provide good cause to your satisfaction, you must still make the referral on WSP.

At this point direct the claimant to their copy of the Claimant Commitment which explains the consequences of refusal of work related requirements.

Explain what level and period of sanction this refusal could incur.



### **Show Slide 20 – Referral Notification Letters and Leaflets**

You will issue any relevant notification letters or leaflets to the claimant.

The type of notification letter you issue will depend on the type of referral being made.

Referral letters and leaflets can be found in Knowledge Management by entering 'Supporting document(s) for provision' in search.



### **Show Slide 21 – Claimant Referral Notification Letters**

When issuing a Referral letter to a claimant you must follow the following process:

- open the template and complete the Claimant, Appointment and Provider Details
- print off the completed template and any accompanying information leaflets for the claimant
- issue these to the claimant – either face to face if during interview, or by post
- Note WSP 'general Notes screen' that the letter has been issued



### **Show Slide 22 – Notifying the Claimant**

It is not a mandatory requirement to ask a claimant to acknowledge receipt of a notification. Noting WSP that a letter has been issued will be accepted as proof that a notification has been issued.

It is recognised that there are several areas within WSP where notes can be recorded. This note will be held on the main claimant screen record notes.

This is a requirement for possible future DMA action.

A copy of all provider referral forms must be sent to MOU for scanning into DRS.

# Topic Summary



### Show Slide 23 – Topic Summary

In this topic you have learned how to:

- identify and discuss Work Preparation Action requirements with claimants
- make appropriate and relevant Work Preparation Action referrals



## Topic 02 – Withdraw or Cancel a Referral to Provision



**Show Slide 24 – Topic 02 Withdraw or Cancel a Referral to Provision**



**Show Slide 25 – Topic Aims and Objectives**

### Aims

This topic aims to provide you with the knowledge to take appropriate action to cancel or withdraw a referral made on WSP depending on the type of referral.

### Objectives

By the end of this topic, with the aid of any reference material, you will be able to correctly:

- explain how to determine whether withdrawal or cancellation of referral is appropriate
- explain how to identify the date a referral was recorded on WSP
- state how to identify a referral type (e.g. PRaP, non-PRaP, WP or non-WP) on the claimant record
- list the appropriate action to take to withdraw or cancel a referral to provision



### Show Slide 26 – Inappropriate Referrals

Inappropriate Referrals may happen because the claimant:

- is ineligible for the opportunity
- is referred using the wrong opportunity type
- has been referred more than once to the same opportunity
- has been referred to more than one provider for the same type of opportunity



**Cancelling a referral will keep a record of the cancelled referral on WSP. As this is the usual course of action (for audit trail purposes) this topic will mainly refer to cancellation.**

**Withdrawing a referral will delete all record of the referral.**



### **Show Slide 27 – Cancel Referral to Provision**

The process to cancel or withdraw a referral will depend on the following:

- whether the referral is a PRaP or non-PRaP referral
- for a PRaP referral, whether the referral was made on the same day as the day it is being cancelled, or made before that day

A work coach may receive a WSP task notifying of the provider outcome.

PRAP referrals generate automatic WSP notifications to the work coach where a provider inputs an outcome.

Non PRAP referrals alert a work coach to an outcome where provider outcomes have been manually input and a task sent to the referring work coach for action.

If a re-referral is required the work coach should book an appointment with the claimant to discuss this.

Referrals to provision supported by the PRaP system update overnight on WSP. The work coach cannot take corrective action on WSP once the PRaP system update has taken place – therefore for PRaP referrals, once the day of referral has passed, cancellation action must be carried out by the provider.

The work coach can cancel a non-PRaP referral by updating WSP regardless of referral date but must update the provider.

The first step for a PRaP referral is to establish from WSP the date the referral was made. In a moment you will view a simulation which shows you how to identify the date of referral.

If a non-PRaP referral is cancelled by the work coach the provider must be informed by telephone.

### OR

If a PRaP referral was made on a date in the past (so the provider must take the system action to cancel the referral) the work coach must contact the provider to ask them to reject or cancel the referral made in error. The work coach will also create a task on WSP as a reminder to check the referral for cancellation progress

## Topic Summary



### Show Slide 28 – Topic Summary

In this topic you have learned how to:

- determine whether withdrawal or cancellation of referral is appropriate
- identify date referral was recorded on WSP
- identify a referral type (e.g. PRaP, non-PRaP, WP or non-WP) on the claimant record
- take appropriate action to withdraw or cancel a referral to provision

## Topic 03 - Referral Outcome Notifications and Follow-up



**Show Slide 29 – Topic 03 Referral Outcome Notifications and Follow-Up**



**Show Slide 30 – Topic Aims and Objectives**

### Aims

This topic aims to provide you with the knowledge to take appropriate follow-up action after receiving a notification or task from a provider.

### Objectives

By the end of this topic, with the aid of any reference material, you will be able to:

- explain how to identify the different types of referral notifications and tasks
- describe the appropriate action to take on receipt of provision-related tasks and notifications
- describe how to contact a provider when a (PRaP) referral has not been updated on WSP
- state how to input a (non-PRaP) referral outcome status on WSP
- explain how to consider and initiate the correct follow-up action with the claimant, based on all information relevant to the referral outcome, or progress report, and the claimant circumstances at that time
- state how to update WSP and set new tasks as appropriate
- state how to view and print a replacement UCPR1 - Additional Information for PRaP Referral form
- explain how to send a duplicate copy to the provider if required

### Notification Forms and Tasks

This topic covers receipt by the work coach of clerical notification forms and notification related WSP tasks.

The purpose of the notifications is to keep the work coach informed of updates to the referral outcome after a claimant has been referred to provision. This is so that recording action can be carried out, and the 'next steps' to be taken with the claimant can be considered and actioned by the work coach.

The next steps will depend on the referral outcome or progress note recorded, and the claimant circumstances at that time.



#### **Show Slide 31 – Discussion**

Before we start looking at the process, let's think about and discuss our understanding of the following:

“What do we mean by a ‘referral outcome’?”

“When will the status of a referral outcome need to be updated?”





**Encourage a brief discussion to remind the group about the record created by the work coach on WSP at the point the claimant is referred to provision, (this learning was covered in WS017 Initial Work Search Interview). At the point of initial referral to provision the ‘type’ field in the referral record on WSP is blank (the ‘type’ field feeds through to populate the ‘outcome’ column when viewing the claimant ‘Active Referrals’ screen).**

Now ask the group to think about after the referral has been made – at what stages would it be appropriate to record, or update, a referral outcome status. Ensure the following examples are mentioned:

- started or accepted on provision
- failed to start
- failed to participate (i.e. attended as required but refused to take part in required activities – this could be an update to a previously record status of ‘started’)
- completed the provision

**Allow 5 minutes for the discussion**



**Searching on Knowledge Management for ‘referral outcome’ will bring up a list containing ‘Recording non-PRaP outcomes’ The following will be included in the list:**

- cancelled
- completed
- failed to attend
- failed to complete
- failed to participate
- failed to start
- no contact
- started
- withdrawn
- ended

Allow 5 minutes for this activity

### Referral Notification Types

The status of the WSP referral outcome will be updated automatically or manually depending on the system and process used. We will begin by looking at the different types of notification and how they will be received by the work coach.

### Notifications for PRaP Referrals



#### **Show Slide 32 – Notifications for PRaP Referrals**

When referring a claimant to a work related provider via PRaP you are not required to send a notification to the provider as the referral is automated.

The outcome status for a referral to provision which is supported by the PRaP system will automatically update on WSP when the provider updates their system with the outcome of a referral.

Making a referral to a provision supported by the PRaP system will raise one of two automated notifications which are sent to the referring work coach in the form of a WSP task:

- Notification of an update to the status of the referral outcome
- Notification that no status update has been made by the 28<sup>th</sup> day after the referral has been made

These tasks will appear in the referring work coach's Task List on their WSP dashboard.

### Action a WSP Task – No outcome recorded 28 days after PRaP referral

On receipt of an automated WSP task informing you there has been no status update recorded by day 28, you are required to contact the provider to follow up. You will ask the reason why the referral has not yet been updated and request that the provider takes action by a mutually agreed date.

When the referral update and date for completion has been agreed with the provider the work coach will:

- make a note on the claimant record to summarise the action taken and the conversation with the provider
- set a WSP task for themselves, due to mature on the date agreed with the provider, to check progress

If the work coach is unable to make contact with a PRaP provider the Third Party Provision Team must be notified by setting a WSP Task. The TPPT will investigate and respond within 5 working days.

You will now view a simulation which will take you through the actions required to locate the provider details on WSP. The simulation includes opening a task from the dashboard, recording a note, and setting a new task.

### Simulation – Action a Task and Contact a Provider



**Show Slide 33 – Action a Task and Contact a Provider**



**Important – Even though provider information can be obtained from WSP, some providers have centralised contact centres. Your line manager will be able to tell you where to locate the correct contact details.**



**To view the simulations please refer the participants to the Universal Credit Simulations and Screenshot Walkthroughs intranet page which is within the Learners Support Site.**

**[http://intranet/1/jcp/directorates/hr/learning/coursesandproducts/dwp\\_t750753.asp](http://intranet/1/jcp/directorates/hr/learning/coursesandproducts/dwp_t750753.asp)**

**The participants should scroll down to WS005 Managing Work Related Requirements Referrals and select the See It, Try It or Know It links for the Action Task Contact Provider simulation. Note the information at the top of this intranet page which describes how to use the hyperlinks.**

**Allow participants 10 minutes to complete this simulation.**

### Notifications for non-PRaP Referrals



#### **Show Slide 34 – Clerical Notifications for non-PRaP Referrals**



**There is very limited guidance on KM for the UCSL2 (formerly known as SL2) form at present. Universal Credit guidance for the process remains the same as it was under JSA and other benefits. Remind learners when referring to guidance in DWP Operational instructions that Universal Credit should be inserted when the guidance reads JSA and UCSL2 should be read for SL2.**

When the work coach is referring a claimant to a work related provider via Non PRaP they are required to send a notification to the provider.

The work coach will receive clerical notifications of a referral outcome or progress report from non-PRaP providers. The outcome is usually added to a specific section of the referral form sent to the provider by DWP at the time a claimant is referred to the provision. The two standard referral forms are:

- UCRF2 (referral form)
- UCSL2 (provision starter or leaver notification form)



**Under ‘Freedoms and Flexibilities’ districts may agree local arrangements for notifications of outcome rather than use Form UCSL2.**



**If the group do not have experience of referral forms ask them to add this extra activity to the ‘Intranet Research’ detailed below.**

**View a form by entering ‘UCSL2’ in the KM Search box This will bring up a list of supporting documents for provision, select ‘Starter leaver notification UCSL2’.**



**Ask learners to research and make notes (or record on wipe board or flip chart), on when (at what stage in the referral or mentoring process) the provider will return UCSL2 form to DWP, and what the referral outcome might be at each stage the form is returned.**

**See: DWP Operational instructions >> Full list of all DWP Operations instructions >> SL2 Guidance >>SL2 Process Questions and Answers.**

**Allow 10 minutes for this exercise and another 10 minutes to discuss.**



### Action to take on Receipt of a non-PRaP (clerical) notification form



#### **Show Slide 35 – Update Status of Referral Outcome**

When notification of a non-PRaP referral outcome is received (a UCSL2), the outcome must be recorded in the 'type' (outcome status) field of the claimant referral history, and notes made on the claimant record to show the reason for the outcome (if given by the provider).

If the referral outcome is being updated by a work coach (or other member of staff) who is not the referring work coach they will also:

- determine from the claimant 'Appointment History' on WSP whether there is an outstanding follow-up interview booked with the referring work coach
- if there is no follow-up interview booked, a WSP task, set to mature the following day, must be sent to the referring work coach for them to consider follow-up action

When action has been taken to record the notification outcome, claimant record notes have been made, and WSP Tasks set, as appropriate. The work coach will:

- send the clerical notification to the MOU for scanning into DRS

The WSP process to manually record a referral outcome is shown in a simulation. The simulation will show how to enter a note about claimant progress when a notification is received for a stage and outcome where it is not applicable to update the referral history (e.g. claimant attended preliminary meeting with provider but has not yet started the provision proper); it then moves on to show you how to update the referral history with an outcome (in this case where a claimant 'failed to start').

### Notifications for NEA



#### **Show Slide 36 – Notifications for NEA**

There are two key referrals to NEA provision, the first is the 'NEA Link Up: Start UP' to refer someone to the Start Up Workshop followed by – if the claimant continues with the Self Employment process - a referral to 'NEA Business Start Up Support'

The UCNEA1 (2017) is only used when making a referral to

the Initial Assessment through the WSP provision 'Business Start Up Support'



**Direct claimants to KM to search for New Enterprise Allowance Overview of the scheme and Referrals to the Scheme for further details.**



**The provider will update Universal Credit on the claimant's progress, when they have reached key points in the NEA provision. See KM 'New Enterprise Allowance – Reviewing the Mentoring Phase, Business Development Phase and Claimant Commitment (2017)'**



**The following simulation begins with demonstrating how you will capture details of a claimant's progress on New Enterprise Allowance, onto WSP.**

**Remember, these details should now pull through to WSP automatically, as a result of the provider updating the PRaP system.**

### Simulation – Actioning Returned UCNEA1 (Initial Assessment)



**Show Slide 37 – Action Returned UCNEA1 (Initial Assessment)**



**To view the simulations please refer the participants to the Universal Credit Simulations and Screenshot Walkthroughs intranet page which is within the Learners Support Site.**

**[http://intranet/1/jcp/directorates/hr/learning/coursesandproducts/dwp\\_t750753.asp](http://intranet/1/jcp/directorates/hr/learning/coursesandproducts/dwp_t750753.asp)**

**The participants should scroll down to WS005 Managing Work Related Requirements Referrals and select the See It, Try It or Know It links for the Actioning Returned UCNEA1 (Initial Assessment) simulation.**

**Note the information at the top of this intranet page which describes how to use the hyperlinks.**

**Allow participants 10 minutes to complete this simulation.**

### Work Coach Considers 'Next Steps'



#### **Show Slide 38 – Referring Work Coach Considers 'Next Steps' (1 of 2)**

When any of the following is received by the work coach:

- a Task informing them of an automatic status update for a PRaP referral outcome
- a clerical notification of a referral outcome
- a Task informing them action has been taken to record the receipt of a referral notification returned by a provider
- a note on the claimant record (identified during a pre-booked WSI) recording receipt of a referral notification returned by the provider

The work coach will consider next steps to take with the claimant depending on the status of the referral outcome or progress reported, as applicable, alongside the claimant's current circumstances.



**The Interview process is covered in WS016 Subsequent Work Search Interview, and in UC056 Self Employment (Gateway Interview).**



**Divide learners into small groups to discuss and feedback on ‘What are the next steps the work coach needs to consider with the claimant?’ Either provide flip chart to each group or record answers on a wipe board. Allow 10 minutes for this activity.**



**Show Slide 39 – Referring Work Coach Considers ‘Next Steps’ (2 of 2)**

After a status update of a referral outcome the work coach must give consideration to (this is not a definitive list):

- current claimant circumstances – have they changed since the original referral?
- will the claimant require funds for travel costs or will provider reimburse?
- does the claimant need to be re-referred to provision or referred to a different or more appropriate provision?
- does the work coach need to talk to the claimant to revise and update the requirements on the Claimant Commitment (for example: if the number of hours per week taken into account for the referral within Work

Search or Work Preparation activity has altered (up or down)

- is follow-up action required to raise a doubt with decision makers? If so the claimant should be contacted so they understand the consequences of the arisen doubt and have the opportunity to provide evidence within the timescale required
- is an interview required with the work coach?
- if interview required, what type is appropriate for the follow-up action?

If an interview is required, has it already been booked? If not, the work coach will take action to communicate with the claimant and book an appropriate interview type to arrange on-going support.



**Examples of when a follow up appointment would be required:**

**To help remove barriers the work coach will have already agreed in advance (at the referral interview) such things as whether the claimant requires expenses to attend the provision, and if so, if they can be paid to the claimant, or if a pre-training interview is required first. This information will be recorded in the Claimant Notes – making the funding decision is covered in more detail in Module WS017 Initial Work Search Interview.**

### Simulation – Action Returned UCNEA1 (Business Plan Approved)



**Show Slide 40 – Action Returned UCNEA1 (Business Plan Approved)**



**To view the simulations please refer the participants to the Universal Credit Simulations and Screenshot Walkthroughs intranet page which is within the Learners Support Site.**

**[http://intranet/1/jcp/directorates/hr/learning/coursesandproducts/dwp\\_t750753.asp](http://intranet/1/jcp/directorates/hr/learning/coursesandproducts/dwp_t750753.asp)**

**The participants should scroll down to WS005 Managing Work Related Requirements Referrals and select the See It, Try It or Know It links for the Actioning Returned UCNEA1 (Business Plan Approved) simulation.**

**Note the information at the top of this intranet page which describes how to use the hyperlinks.**

**Allow participants 10 minutes to complete this simulation.**





### **Show Slide 41 – Previous UCPR1 Activity at Time of Referral**

**Remember:** Because the PRaP interface is not currently able to transfer information about a participant's aims, job goals, preferred hours and special arrangements to a provider; a clerical form, the UCPR1, will be used to record the additional information needed for the Universal Credit referral to PRaP provision.

When a claimant is referred to Work Choice or Specialist Employability Support, the work coach **MUST**:

- complete the UCPR1 form to include aims, job goals, preferred hours and any special arrangements the claimant requires such as a translator or accessibility requirements
- send the UCPR1 form to the provider on the same day the PRaP referral is made via first class post

### **UCPR1 Form**



### **Show Slide 42 – The UCPR1 Form**



**If you are facilitating a group who do not have previous experience of the forms used by the work coach you**

**may wish to ask them to search for a copy of the form to view on KM.**

Where a provider contacts the work coach to inform that they have not received the UCPR1 at the time of referral, the action to be taken depends on when the initial referral and UCPR1 were issued.



### **Show Slide 43 – Document Sent for Scanning to DRS**

When the UCPR1 was first created and sent to the provider a copy was sent to the Mail Opening Unit (MOU) to be scanned onto the Document Repository System (DRS). This process takes three working days.

If it is three days or less since the referral was made, the work coach should advise the provider that they will need to contact us again from the fourth day onwards, as we would only consider issuing a copy of the UCPR1 from the fourth working day after referral.



### **Show Slide 44 – Print a replacement form to send to Provider**

When it has been more than three days, take the following action.

WSP will be open at the claimant record and the following steps need to be taken:

- access DRS. Documents scanned onto DRS are displayed in chronological order (date shown is the date the document was scanned into DRS)
- print a copy of the UCPR1 form and post to the provider
- record in the notes box that a duplicate UCPR1 form has been issued to the provider
- select outside of notes box to save note

## Topic Summary



### Show Slide 45 – Topic Summary

In this topic you have learned how to:

- identify the different types of referral notifications and tasks
- take appropriate action on receipt of provision-related tasks and notifications
- contact a provider when a (PRaP) referral has not been updated on WSP
- input a (non-PRaP) referral outcome status on WSP
- consider and initiate the correct follow-up action with the claimant, based on all information relevant to the referral outcome, or progress report, and the claimant circumstances at that time
- update WSP and set new tasks as appropriate
- view and print a replacement UCPR1 - Additional Information for PRaP Referral form
- send a duplicate copy to the provider if required

## Topic 04 – Notification of a Change of Circumstance



**Show Slide 46 – Topic 04- Notification of a Change of Circumstance**



**Show Slide 47 – Topic Aims and Objectives**

### Aims

This topic aims to provide you with the knowledge to take the correct action to notify a claimant change of circumstances to a PRaP provider, and the action to take when a change of circumstance notification is received from a PRaP provider.

### Objectives

By the end of this topic, with the aid of any reference material, you will be able to correctly state the action to take when:

- a claimant reports a change in circumstance whilst on Work Programme or Work Choice and the provider needs to be made aware of their change of circumstances
- a notification is received from a Work Programme

provider reporting a claimant change of circumstances



**A notification of a claimant change of circumstances (CoC) form is used between Universal Credit and PRaP provision providers. They can be used for Work Programme, Work Choice and Specialist Employability Support referrals. Although, contact with Work Choice providers is more frequently made by telephone (as per the service agreement) CoC notifications must always be used for Work Programme providers.**

**For referrals to other types of provision (i.e. non-PRaP) – Universal Credit has not agreed to take responsibility for this; the claimant is expected to inform the provider of any relevant CoC themselves.**



**Usually, a claimant will report a change of circumstances direct to the DWP Service Centre and the appropriate action will already have begun. It is worthwhile checking DWP systems, to see if this is the case, before informing the Service Centre or referring work coach or both of receipt of a Change of Circumstances notification from the provider.**



**If the group are not familiar with CoC notification forms:**

**Refer to UC78 in Knowledge Management**

**Ask them to find a copy of the Change of Circumstance notification form. Allow the group 10 minutes to find the**

**form, familiarise themselves with it, and ask any questions they may have.**

**The notification should be able to be found within Knowledge Management- Supporting document(s) for provision**



**Before a provider can be notified of a change of circumstances, you must identify if a claimant is on provision. To do this follow the steps detailed in KM 'Identifying Contracted Provision and notifying a change to the provider'**



**You could allow 5 minutes for this KM search or ensure the learners have the link and continue.**

**Notify Claimant Change of Circumstances to (PRaP) Provider**



**Show Slide 48 – Notify Claimant CoC to (PRaP) Provider**



**Show Slide 49 – Notifying Change of Circumstance to (PRaP) Provider**

The work coach will be required to notify a PRaP provider, of a claimant's change in circumstances whilst on the provision, so that the provider is aware of the change of circumstances and can adapt their support as required.

A change in a claimants circumstances could be:

**Select mouse button to reveal each point**

- moving home
- becoming part of a couple
- being incapacitated

**Select mouse button once to reveal remaining animation.**



**Show Slide 50 – Acceptance of Claimant Commitment after Referral**

If a claimant does not agree their claimant commitment they can request a 5 working day cooling off period (this is very rare).

Where a claimant is referred (or referred back) to PRaP provision during this time additional information is included on the UCPR1 form alerting the provider that the claimant was within a '5 working day Claimant Commitment cooling off period' at the time of referral.

Where the claimant has now accepted the Claimant Commitment, and is participating in provision agreed as a work related requirement, the provider will need to be informed using the Notification of CoC process as



appropriate for the provider (i.e. WP = notification form, Work Choice = telephone call).



**Further information about the 5 working day cooling off period and the UCPR1 (Additional Information) form can be found in Module WS017 Initial Work Search Review which you studied earlier in your learning journey.**



Encourage a discussion on which changes in a claimants circumstances must be notified to a provider and why.

**Allow 5 minutes for this.**



**We will now look at guidance about change of circumstances notification requirements specific to a Work Programme provider and why the WP provider must be informed.**

**Refer learners to Operational instructions >> Get Britain Working >> Work Programme >> Claimants on Work Programme >> Change of Circumstances >> para 24-29 and, list of 'Changes which must be notified to the provider'**

**Allow 15 minutes in total for this activity**



**Inform learners you will expect feedback regarding:**

**any new information they learn about notifying a WP provider of a Change in Circumstances, including: sending of the notification form promptly (daily) to the**

**provider; what type of issues could occur if changes are not promptly notified to the provider?**

**Identification of any additional Change of Circumstances (not already discussed) that must be notified to a WP provider.**



**Take feedback, ensuring the following points are mentioned:**

Offices must ensure that CoC notifications are sent daily to providers to avoid delays in updating information, up to 20 individual notification forms can be sent through to providers in one envelope. As much detail about the change as possible should be entered.

Failure of JCP (substitute Universal Credit) to notify the WP provider of claimant changes in circumstance may result in:

- unnecessary compliance doubts or entitlement queries or applying sanctions that are no longer appropriate
- not being able to support the claimant back to work



**Correct and timely completion of the notification form is important to ensure that the Work Programme provider receives up to date information to deliver and maintain effective support to participants.**



**Which changes in circumstance can lead to a change in Universal Credit Conditionality Group that the provider needs to know about so that they can reflect this in their support with the participant?**



**Take feedback and allow for discussion.**

**Allow 5 minutes.**



**Show Slide 51 – Notify a CoC to a Work Programme Provider**

To notify a Work Programme provider of a claimant change of circumstance the work coach will:

- complete change of circumstances notification form with the details
- locate the provider centralised service centre address details on the District Provision Tool or About Universal Credit
- send the notification to the provider using the agreed postal address and method



**Important Reminder for work coaches - for a claimant who has been previously referred to Work Programme (WP) and who is still within the 104 weeks participation period (the term used is WP Returner) making a new claim to Universal Credit, the work coach must**

**complete and send a CoC notification to the provider on the same day of the Initial Work Search Interview to notify them of the new claim to Universal Credit. This ensures the claimant returns to the WP and receives effective support under Universal Credit systems and processes.**



**If the CoC notification is not sent to the WP provider unnecessary work could be created for both the WP provider and Universal Credit.**

**As an example, if the participant originally claimed Jobseekers Allowance and Universal Credit haven't told the provider that the claimant is now claiming Universal Credit, there is a risk that the provider will apply the wrong sanctions and conditionality regime (the JSA one) leading to an inappropriate DMA referral to the Benefit Delivery Centre (rather than the Service Centre). The referral would need to be cancelled; provider notified and advised to submit the referral under the Universal Credit sanctions and conditionality regime.**



### **Show Slide 52 – Notify a CoC to a Work Choice Provider**

To notify a Work Choice provider of a claimant change of circumstance the work coach will:

- navigate to provider contact details from the claimant referral on WSP
- ring the provider and inform them of the change
- inform the Third Party Provision Team if unable to make contact with the provider
- record a note on the claimant WSP record of action taken



**Processes to carry out each of the actions listed here were described in full earlier in this module. Refer the group back to, or revisit, previous topics and simulations if required.**



**Guidance states that ‘...it is imperative that they (providers) are informed immediately of any relevant change in the claimants circumstances...on form CEPD1 (by e-mail) except for Special Customer Record (SCR) and MAPPA cases where clerical procedures must be followed.’**

**Notification of Claimant CoC Received from**

### (PRaP) Provider



**Show Slide 53 – Notification of Claimant CoC Received from (PRaP) Provider**



**Show Slide 54 – Notification of CoC Received**

The provider may report that (as examples):

**Select mouse button once to reveal all points**

- the Claimant Started work
- the Claimant has had an accident, or been involved in an incident
- the Claimant is sick
- the Claimant has died



**Depending on who has received the notification (either the Service Centre or the Universal Credit Outlet), both the Service Centre and the referring work coach need to be informed of the reported change. Each will then follow the appropriate process for the particular type of change in claimant circumstances.**



### Show Slide 55 - WSP Task Details

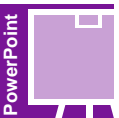


**This slide shows four sets of WSP Task details (building on CoCs from the previous slide). These can be used as an example of how to set the WSP Task to the service centre and referring work coach.**



**If learners need a recap of guidance they should be encouraged to utilise KM**

## Topic Summary



### Show Slide 56 – Topic Summary

In this topic you have learned what to do when:

- a claimant reports a change in circumstance whilst on Work Programme or Work Choice and the provider needs to be made aware of their change of circumstances
- a notification is received from a Work Programme provider reporting a claimant change of circumstances

## Topic 05 – Work Programme



**Show Slide 57 – Topic 05 – Work Programme**



**Show Slide 58 – Topic Aims and Objectives**

### Aims

This topic aims to provide you with the knowledge to take action when claimants are referred back to the Work Programme

### Objectives

By the end of this topic, with the aid of any reference material, you will be able to correctly:

- describe the process and associated actions for Work Programme returners



### Work Programme Referrals

From 1<sup>st</sup> April 2017 no new referrals can be made to the Work Programme. Claimants returning to Universal Credit who have not completed the programme can still be referred back to their Provider for the balance of the 104 weeks.

The work coach will need to select the 'LMS Work Programme provider Field' in WSP to check if the claimant is a WP participant or completer, (more in depth information is given on this later in the topic).

If the claimant is a WP participant the work coach will complete form UC78 - Change of circs for contracted provision on the same day as the Initial WSI to return the claimant to the WP provider.



### Show Slide 59 – Recording a Work Programme Provider

It is important that the Work Programme providers are entered onto WSP. This is so the provider can be identified when:

- the claimant, in the event of coming off the work programme due to one reason or another, can be referred back to the correct provider
- a work coach is sending a notification of claimant

change of circumstances to a provider ensures it reaches the correct destination

- when a member of the exit report team is sending a request to a Work Programme provider for an exit report it reaches the correct provider

### NEET Claimants

At the initial Work Search Interview the work coach will consider whether an 18yr old claimant is considered to be NEET so the NEET date can be calculated and input to WSP to effectively manage the Claim.

The NEET date is calculated from the date immediately following the last date an 18 year old claimant took part in employment, education or training.

At each interview for an 18 year old NEET claimant the work coach must check that the claimant continues to be NEET.

The NEET marker will require amending or resetting if the claimant becomes (or has been) employed, or starts (or has taken part in) an educational course or training.

### Simulation –Recording a Work Programme Returner



**Show Slide 60 – Recording a Work Programme Returner**



**The action referred to in the next simulation will usually be completed as part of the Preparing WSP for Initial Work search Interview.**

**More details of this can be found in Knowledge Management**



**The participants should scroll down to WS005 Managing Work Related Requirements Referrals and select the See It, Try It or Know It links. For the Recording a Work Programme Returner simulation, allow participants 5 minutes to complete this simulation.**

If a work coach attempts to make a referral to Work Programme when the claimant has data recorded in the 'LMS Work Programme Provider' field, or the WSP Work Programme Status is set to 'Work Programme Participant' or 'Work Programme Complete', a warning message is produced.

**'Previously referred to the Work Programme. Do you want to continue making a referral?'**

- if the referral is appropriate the work coach must select 'cancel' to remove the message and continue with the referral
- if the referral is not appropriate the work coach must select 'ok' and will be returned to the Initiative referral screen

### Issue of non-WSP Claimant Commitment for WP



#### **Show Slide 61 – Issue of non-WSP Claimant Commitment for WP**

The majority of Claimant Commitments are now automated via WSP

However in exceptional circumstances such as a claimant with visual impairment requiring large print the facility is there to produce a clerical Claimant Commitment.

There are now two types of generic non-WSP (i.e. clerical) Claimant Commitments which can be issued to a claimant who has been referred to the Work Programme:

- Work Programme AWRR Intensive
- Work Programme AWRR Light Touch



**The WP AWRR Light Touch Claimant Commitment will only be issued when a claimant, who has been referred to the Work Programme under the AWRR Intensive regime, then becomes eligible for the ‘Light Touch’ regime.**

**The light touch WP Claimant Commitment can be found in Supporting Docs in About Universal Credit.**

When issuing a Work Programme AWRR Intensive Claimant Commitment:

- you must also issue a Commitment Pack to confirm what work search or work preparation activities, or both a claimant is expected to undertake whilst attending the Work Programme. For example, looking on job websites, access UJ every day, applying for suitable matched vacancies, maintaining an up to date CV, etc.

When issuing a Work Programme AWRR Light Touch Claimant Commitment:

- any claimants in a ‘Light Touch’ regime will not have a Commitment Pack

You will then proceed with the established Universal Credit process for issuing a generic non-WSP Claimant Commitment.



**You should encourage the claimant to share a copy of their Claimant Commitment with the provider. If they are willing to do so, print off 2 copies of the Claimant Commitment and give to claimant.**

**Sharing the Claimant Commitment with the provider is a useful starting point to help the provider understand the level and type of activities the claimant is committed to undertake.**



**If the UC claimant is already a WP participant, and is still within their 104 week participation period, then the claimant needs to be returned to their original provider as a 'repeater', and the provider needs to be notified of this via form UC78. In particular, the benefit in payment field should be completed to reflect that the claimant is now in receipt of Universal Credit, so that the provider can identify this straight away.**

**As the processes for taking DMA action and for the provider to claim an outcome payment are different under Universal Credit, it is important that the provider can identify them as quickly as possible.**



### **Show Slide 62 – Checking for Linking Periods**

In LMS information about previous claims can be found by checking the Qualifying Periods red icon which shows past periods of claim or by checking the claim date hotspot.

The start and end dates are now input on WSP.

After selecting the appropriate claimant, select 'Claim' from the Information menu on the LHS of the screen.

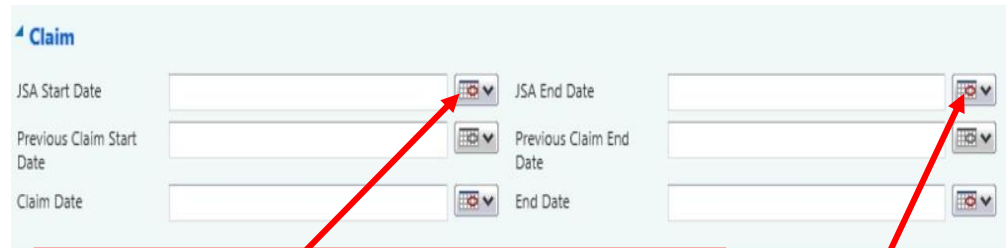
The next slide shows where this information is input.



**Guidance on this subject can be found in the LMS user guide. Linking periods should have been recorded in WSP before the claimant attends an Initial WSI.**



### **Show Slide 63 – Linking periods – WSP Action**



Select calendar icon next to 'JSA Start Date' field.  
Insert the start date in this field.

Next, select calendar icon next to 'JSA end date' field. Insert the end date in this field.



**The WSP interface with PRaP does not transfer the same information as was previously transferred via referral made on LMS (some information from the LMS JSaG and Action Plan was transferred automatically). The UCPR1 is therefore compulsory for every Work Programme referral. (The UCPR1 form is also compulsory for all claimant referrals to Work Choice and SES as well as Work Programme.)**

**If the work coach is in doubt as to what this template should include, they should refer to the types of information contained in the Action Plan and JSaG.**



### Work Programme Returners



#### Show Slide 64 – Work Programme Returners

You will need to consider whether the claimant is a Work Programme returner. A Work Programme returner is a claimant that has been referred to the Work Programme, has had a break in their claim but has not yet completed the 104 weeks on the Work Programme. (The original claim may have been made on LMS).

This information will be displayed in the **LMS Work Programme Provider** field.

These claimants must be sent back to the Work Programme provider. Re-referral will not be made on WSP, a UC78 form to indicate that the claimant has made a new claim to Universal Credit as this is a change of circumstances should be sent to the Work Programme provider. However this must not be done through WSP as it will create another referral and therefore another payment via PRAP to the Work Programme provider.



**If the claimant's date of claim is within 12 weeks of their Work Programme end date, this will be noted on the general notes in WSP.**

**The claimant is treated as a Work Programme completer and the Work Programme completer process is then followed.**

### Topic Summary



#### **Show Slide 65 – Topic Summary**

In this topic you have learned:

- the process and associated actions for Work Programme returners

## Topic 06 End of Work Programme Action



**Show Slide 66 – Topic 06 – End of Work Programme Action**



**Show Slide 67 – Topic Aims and Objectives**

### Aims

This topic aims to provide you with the knowledge to take appropriate action for Post Work Programme Support.

### Objectives

By the end of this topic, with the aid of any reference material, you will be able to:

- explain how to conduct a Work Programme Completer Interview
- list the available options under Help to Work for a claimant returning from the Work Programme
- describe the appropriate action to take to move a claimant to the most appropriate available support under Help to Work
- describe the appropriate action to take if a claimant fails to attend their WPCI

### Post Work Programme Support



#### **Show Slide 68 – Post Work Programme Support**

Following completion of the Work Programme a claimant will be required to attend a Work Programme Completer Interview (WPCI) as part of Post Work Programme Support (PWPS).

At the interview you will mandate the claimant to one of the intensive modes of support available under Help to work. These are covered later in the topic.

Joint claimants completing the work programme must be treated as individuals for labour market purposes accordingly, each will have a WPCI and be assigned to the PWPS Routeway from Help to Work most appropriate to their individual circumstances.

Claimants who have complex needs should be contacted by telephone to remind them to attend the WPCI.

The primary purpose of the WPCI is to decide, based on information gathered and supported by the Work Programme Exit Report, the appropriate route way for the claimant during PWPS.

### Determining Help to Work Support

The Work Coach has up to 8 weeks from the WPCI (the assessment period) to determine which Help to Work measure will best support the claimant to move into work.

The Help to Work support should be put into place at the earliest opportunity during the assessment period, once a claimant has been allocated to a particular Help to Work support measure it will remain in place until completed.

If the WC determines the claimant could secure employment quickly without additional intensive support, the claimant will be subject to the JCP Offer (their regular Universal Credit regime). The WC:

1. discusses and agrees a new Claimant Commitment. See Claimant Commitment accepted.
2. updates WSP notes to state the claimant is subject Help to Work JCP Offer
3. records the claimant's Help to Work status by making a referral to the 'Help to Work/JCP offer' opportunity on WSP. See Work Services Platform guide (referrals to provision).

As a minimum requirement the WC ensures that the claimant will always have an outstanding appointment booked on WSP. See Booking Appointments.



**Although this topic is about post Work Programme action, the process (planning for completion of referral or initiative and considering next action with the claimant) is also applicable for claimants completing referral to Work Choice.**

### **Slide 68 (Continued)**

For this learning it can be assumed Security and ID have been confirmed, the conditionality group is known to you, WSP is open at the claimant record, and you have explained the purpose of the interview to the claimant.

To conduct the interview you should:

- view Conditionality contract type and sub type from the general screen of WSP claimant record and in conjunction with information taken from discussion, categorise the claimant into one of three categories:

#### **Select mouse button once to reveal all**

- all claimants in the All Work Related Requirements group will be subject to Help to Work
- all claimants that fall between the conditionality threshold and the admin threshold will fall into light touch conditionality and will not participate in Help to Work

all other (non-AWRR) claimants will continue with their 'regular' Universal Credit regime. i.e. claimants who were in groups other than the AWRR Conditionality group, and who volunteered to enter the Work Programme, will return to their usual (pre-WP) Universal Credit regime



### **Show Slide 69 – Current Options under Help to Work**

These are the current options under Help to Work for an AWRR claimant returning from the Work Programme. If the claimant is identified as having complex barriers to work or a lack of active jobsearch activity, the WC considers which of the following best addresses their needs

#### **Select mouse button to reveal the three options**

#### **Mandatory Intervention Regime (MIR)**

The Mandatory Intervention Regime is for claimants with multiple or complex barriers to work.

MIR will be for a continuous period of 26 weeks (for claimants referred prior to 1<sup>st</sup> April 2016 MIR continues indefinitely)

MIR will also be used during the PWPS initial 8 week assessment period which starts from the date of the WPCI. During this assessment period the work coach will decide

which of the Help to Work options is appropriate for the claimant; this includes referral to MIR as the option decision. After the 8 week point, moving to other Help to Work measures is no longer an option.

The MIR delivers all the employment support measures available and to supplement those provides more intensive, personalised support through increased work coach Interviews. The nature and frequency of these additional follow-up Work Search Interviews is to be determined locally and on a case by case basis.

### **Daily Work Search Review (DWSR)**

Daily Work Search Reviews (face-to-face) are for claimants who would benefit from regular support with looking for jobs, including those who need to build motivation, momentum and engagement with the Universal Credit regime.

On DWSR claimants will be required to complete a period of up to 13 weeks of daily work search reviews at the Universal Credit outlet to ensure they are undertaking the requirements and meeting conditionality for Universal Credit.

If the claimant is still in receipt of Universal Credit after the 13 week period they return to their regular Universal Credit regime. See Managing attendance and frequency channel on Work Services Platform.

You will:



- discuss and agree a new Claimant Commitment. See Claimant Commitment accepted
- update WSP notes to state the claimant is subject to Help to Work JCP Offer
- record the Help to Work status by making a referral to the 'Help to Work offer' opportunity on WSP. See work services platform guide (referrals to provision)
- update the claimants Help to Work status on WSP to 'Blank' see Recording the Help to Work status in WSP

Although allocation to DWSR can take place within the WPCI, it is not necessary to do so at this stage. It may be more appropriate to allocate the claimant to MIR for the assessment period (up to 8 weeks from date of WPCI) to allow the work coach to thoroughly consider which of the Help to Work measures best addresses the claimant's needs.



**If the claimant leaves the AWRR conditionality group and within 12 weeks returns to AWRR they will continue on the MIR.**



**Show Slide 70 – Help to Work status field**

We have seen that Under Help to work, claimants will be placed into one of the three Help to Work Measures

depending on their need.

To aid in the collection of data and management Information you will update the Help to Work status field as detailed in KM 'Recording the Help to Work Status on Work Services Platform

If the claimant is mandated to the Jobcentre Plus Offer (their regular Universal Credit regime), the WC records the claimant's Help to Work status by making a referral to the 'Help to Work/JCP Offer' opportunity on WSP. See Work Services Platform guide (referrals to provision)

It is mandatory to complete this section.

### **Simulation – MI Supporting UC Implementation for Help to Work (HtW)**



**Show Slide 71 – MI Supporting UC Implementation for Help to Work (HtW)**



**The participants should scroll down to WS005 Managing Work Related Requirements Referrals and select the See It, Try It or Know It links for the MI Supporting UC implementation for Help to work (HtW) simulation. Allow participants 5 minutes to complete this simulation.**



**Show Slide 72 – Claimants who may be suitable for Daily WSR**

You should take appropriate action during the WPCI depending on which Conditionality Group the claimant falls into and, for AWRR claimants, which Help to Work option is required at this stage.

### **Daily Work Search Review (DWSR)**

Examples of claimants who may be suitable for allocation to DWSR are:

- claimants who need additional support with their work search activities, which the work coach believes will be best provided by DWSR. This may include following up job applications and interviews, identifying and addressing issues such as skills gaps
- claimants who have reasonable levels of work experience but may lack the level of motivation required to seek out employment opportunities or pursue options for improving their employment prospects
- claimants who have a history of poor timekeeping in terms of attending interviews at the Universal Credit outlet. The timekeeping requirements of DWSR would improve claimant's discipline and understanding of the importance of timekeeping in a work environment



**Due to WSP restrictions Daily WSR can only be booked at the same time every day. To encourage the claimant to improve their time keeping and attendance, the**

**assistant work coach will reschedule the following day's WSR at each attendance.**

**Claimants not in the AWRR conditionality group will be required to continue with their usual UC regime.**



**Detailed information and examples of activities under MIR are available when showing slide 88 – Placing a claimant in the Mandatory Intervention Regime (following completion of Daily WSR).**



**Show Slide 73 – Conducting a Work Programme Completer Interview**

The work coach should take the following action:

- explain that the purpose of the interview will be to discuss the claimant's activity and progress whilst on the WP and next steps following completion of the Work Programme. The Exit Report should contain details of the claimant's progress and activities whilst on the Work Programme. These details will be specific to the claimant
- review WSP notes to determine if an exit report has been received
- retrieve the Exit report from DRS
- discuss the Work Programme with claimant. If there is

no exit report, the work coach will use this conversation as the information gather in lieu of the report to facilitate the later discussions

- review activity during the Work Programme with the claimant
- establish the claimants conditionality group
- if Conditionality Group is AWRR, decide which group to allocate claimant to (MIR or daily signing)
- if Conditionality group not AWRR explain to claimant they will stay on their current regime

The work coach will then:

- create an updated Claimant Commitment. This will include the Help to Work support that the work coach has identified for the claimant
- determine if a further Work Related Interview (WRI) is required. If so, this should be booked and the claimant informed

### **MIR:**

The work coach will always have an appointment outstanding with the claimant - as a minimum the work coach will conduct the ongoing WRI.

### Daily Work Search Review (DWSR):

Daily WSR times must vary on each day Monday to Friday;

The times allocated must fit within the claimant's agreed pattern of availability.

For claimants continuing with their regular (non-AWRR) Universal Credit conditionality the work coach will consider booking the next WRI.

If the claimant is on DWSR you next need to set a task:

- **Subject Header:** End of Daily WSR; **Body:** End of daily WSR due, day/month/year move to regular intervention regime; **Maturity:** 13 weeks form WPCI; **Audience:** Referring work coach
- view existing doubts and sanctions to determine if any low level open ended sanctions need lifting now the claimant has left the Work Programme

The claimant may have an open ended low-level sanction applied to them for failure to complete a mandatory activity whilst on the Work Programme. The work coach will view the activity that has been sanctioned and decide whether the claimant could satisfy the compliance condition now that the claimant has left the Work Programme. If it is not possible for the claimant to satisfy the compliance condition, the sanction must be lifted.



**Remind the learners that information on creating a Claimant Commitment is contained in Module WS017 Initial Work Search Interview.**

**Capture the claimant's requirement to attend Daily WSRs with the following statement. "I will attend Daily Work Search Reviews every day from DD/MM/YY for up to 13 weeks until the DD/MM/YY. At each WSR I will be given a specific time for my next attendance."**



**Show Slide 74 – Conducting a Work Programme Completer Interview**

**Select mouse button to reveal each point**

Lastly capture a note to record all actions and discussions that have taken place.

- select information from left hand side from claimant record screen
- select 'Add a New note' from the notes box
- head the note 'Help to Work'
  - for MIR only include the start and the 8 week end of assessment period review date
  - for Daily WSR include the start date and the end date

- save notes by selecting outside of notes box
- save and close claimant record



### **Show Slide 75 – Work Programme Completer Interview – Claimant FTA**

It should be pointed out if a claimant fails to attend the Work Programme Completer Interview they are still deemed to have entered Post Work Programme Support (PWPS) by the work coach.

As a work coach, if a claimant does not attend a Work Programme Completer Interview, you should take the following action in addition to the usual FTA action:

#### **Select mouse button to reveal each point.**

Create a note to record the following:

- record note – ‘PWPS: Claimant has entered Post Work Programme Support Mandatory Intervention Regime (MIR) - <enter start date of PWPS>’ (This note replaces the Pilot Marker Steps in LMS)
- set a task to review PWPS MIR. Task should read  
**Subject Header:** Review of PWPS MIR  
**Body:** Review of MIR due, consider next steps  
**Maturity:** 24 weeks from WPCI  
**Audience:** Referring WC





**The start date of PWPS is the date the WPCI was due to take place.**

**The work coach will also be required to follow the correct process for claimant failure to attend interview, including the process required if the claimant has complex needs i.e. consider referring a doubt to the decision maker taking into account the requirement to identify and take the correct action before doubt referral when a claimant is deemed to have complex needs or require additional support to access DWP benefits and services.**



**Refer the participants to Handout 01 – Moving a claimant from the Mandatory Intervention Regime into a more suitable Help to Work Support - (Daily Work Search Review)**

**Reminder:** When a claimant is allocated to the Mandatory Intervention Regime a work coach can decide within 8 weeks that Daily WSR is more appropriate.

The work coach will make a decision based on their knowledge and experience of the claimant and any other evidence including the WP exit report. The work coach can make this decision at any point in the 8 week MIR assessment period.



### **Show Slide 76 – How to action a task received at the end of Daily WSR**

#### **Select mouse button ONCE to reveal**

A WSP task has been received stating the end of DWSR; WSP is open at the dashboard.

#### **Select mouse button ONCE to reveal**

- work coach records note in free text box. The work coach will need to include in the note the date that DWSR ended. This information will be included within the task.
- work coach books a specific WRI

MIR is delivered flexibly, as part of increased work coach interviews activities could include:

- intervention undertaken by specialist advisors
- case conferencing with work psychologists
- targeted group sessions
- SMART action planning and robust follow up supported by work related activities as appropriate
- mock interviews, application form completion or both
- strengthening the conditionality message

- rigorous skills assessment and measures to address gaps identified



### **Show Slide 77 – Placing a claimant in the Mandatory Intervention Regime**

You will discuss and agree a new Claimant Commitment and this should include details of the Help to Work support that the WC has identified. See Claimant Commitment accepted.

The WC books a further work-related interview (WRI) for the claimant. See Booking appointments. As a minimum, claimants on the MIR will continue to have ongoing WRIs.

Within WSP select 'Doubt' from the common menu to view any existing doubts and sanctions. If any low level sanctions need lifting because the claimant has left the Work Programme, see Agent considers compliance following a sanction decision.

Set a WSP task to move the claimant into their regular intervention regime at the end of the MIR (see Setting a task on Work Services Platform) with the following details:

- Task:Action required
- Subject header:End of MIR
- Maturity:26 weeks from WPCI

- Audience:Referring WC

See Camlite and Work Services Notes.

Update the Help to Work Status on WSP to 'HtW Mandatory Intervention Regime'. See Recording the Help to Work Status on Work Services Platform.

### End of the Mandatory Intervention Regime

When the claimant comes to the end of the MIR the WC receives a WSP task to move the claimant into their regular intervention regime.

Update WSP notes with the date the claimant ended MIR.

Open the WSP task with the subject header 'End of MIR' and:

- select the claimants name hyperlink within the task
- select 'Notes' from the information tab
- select 'Add new note' from the notes section
- record the note in free text box including the date when the MIR ended
- select outside of notes box to save the note

You will need to book a WRI to review the claimants circumstances now that they have completed the period on

MIR. See Booking Appointments.

### Completion of the Mandatory Intervention Regime Review

When the claimant has completed their MIR you will explain the purpose of the interview and also discuss the claimants activity and progress whilst they were on MIR.

Inform the claimant that their attendance frequency has now changed and they will now be subject to their regular Universal Credit regime. See Managing attendance frequency and channel on Work Services Platform.

You will:

- update WSP notes to state the claimant is subject to Help to Work JCP offer
- record the claimants Help to Work status by making a referral to the 'Help to Work/JCP offer' opportunity on WSP. See Work Services Platform guide (referrals to provision)
- create a new Claimant Commitment. See Claimant Commitment accepted
- Update the Help to Work status on WSP to 'Blank'. See recording the Help to Work status in WSP

A claimant allocated to MIR can be referred or signposted to any of the support measures available from the District Provision Tool. As a minimum requirement you will ensure that the claimant will always have an outstanding appointment booked on WSP.

Where there are NO active PRaP referrals on WSP select 'General' from the information pane to navigate to the general section of the claimant record in order to identify if the HtW or Work Programme markers have been set (there will be no referral record made on WSP when a claimant was previously referred to these provisions on LMS while claiming another benefit).

Claimants with referral restrictions (MAPPA).

You will need to be aware of any restrictions for Multi Agency Public Protection Agency (MAPPA) claimants.

You can make the referral on WSP but **MUST** make a telephone call to the provision provider to inform them of the restrictions in place. There may be a local agreement in place on who does this – check with your line manager.



The term MAPPA is not used on WSP. MAPPA claimants are identified via the 'Employment/Training Restrictions Applies?' field on the Claimant Record. If a MAPPA record is accessed and the Employment/Training Restrictions indicator is set to 'Y' then an alert will be generated to inform the user that they are dealing with a MAPPA case.



Recording and identifying MAPPA claimants is covered in WS012 Basic Navigation and Maintaining a Claimant Record on WSP.

See also:

full list of all DWP Operations instructions >> MAPPA (Multi Agency Public Protection Arrangements);

DWP Home page >> A to Z index >> Courier Services >> Fully Tracked Documented Service



Advise the learners that they may exercise discretion to make any referral mandatory as per Welfare Reform Act Chapter 5.21.2 (Secretary of State may impose a work preparation requirement on a claimant falling within this section).

# Topic Summary



### Show Slide 78 – Topic Summary

In this topic you have learned how to:

- conduct a WPCI
- set a WSP task so you can manage the claimant journey
- list the available options under Help to Work for a claimant returning from the Work Programme
- take appropriate action to move a claimant to the support most appropriate to them available under Help to Work
- take appropriate action if a claimant fails to attend their WPCI



## Topic 07- Referral to Specialist Employability Support Provision



**Show Slide 79 – Topic 07 Referral to Specialist Employability Support Provision**



**Show Slide 80 – Topic Aims and Objectives**

### Aims

This topic aims to provide you with the knowledge and skills to make an appropriate referral to Specialist Employability Support (SES) Provision.

### Objectives

By the end of this topic, with the aid of any reference material, you will be able to correctly:

- explain how to establish eligibility and suitability for SES provision
- describe how to refer a suitable claimant to SES provision for an initial assessment
- describe the appropriate action to take following an initial assessment for SES provision
- state how to consider action with claimant following end/completion of SES Start Back or SES Main Provision

### Specialist Employability Support Overview

SES support is available for disabled people who need the most support to either find work or move closer to the labour market. The individually tailored help through SES is designed to address all types of disability, including mental health and learning disability.

SES will help claimants either secure work or become suitable for wider provision to help them move nearer to work. The duration of the support will vary to meet individual needs.

SES participation is voluntary but claimants must continue to meet ongoing requirements for their individual conditionality regime as set out in their Claimant Commitment.

There are two strands to this provision:

- Specialist Employability Support Main Provision (SESMP) – intensive employment provision, focused on movement into work and lasting up to 12 months (or possibly longer if the provider thinks necessary)
- Specialist Employability Support Start Back (SESSB) – a shorter-term provision that works with disabled people to help them to prepare for other available provision (DWP or non-DWP) and / or employment where appropriate. This will last for up to 3 months

### SES eligibility and suitability

SES provision can be used for working age claimants who are not in employment and are disabled under the 2010 Equality Act. They also need to meet all of the following criteria:

- have complex employment support needs, not necessarily arising primarily from their disability and need support to help them move nearer to, or into sustainable work
- are not suitable for:
  - Work Choice
  - other provision available locally, either DWP or non-DWP



**Ask learners to work in pairs and note down their thoughts to the following question. Allow 3 – 4 minutes.**



**Show Slide 81 – Suitability for SES Provision**



**What factors would you need to consider with the claimant to determine suitability for SES provision?**



**Select to reveal answers**



**Capture responses on the wipe board.**

**Use a group discussion to draw out all the answers below if not initially provided.**

- has work-related needs and barriers likely to take more than two months to resolve, and
- would be likely to find the move into work more difficult due to their disability
- also need support with:
  - developing relevant work experience (especially if they have been out of work for a long time)
  - understanding and acknowledging their skills and strengths, which could help them secure work
  - identifying appropriate work goals
  - resolving complex on-going welfare and/or medical support needs
  - resolving additional skills needs, which other provision cannot support effectively

If the claimant is both eligible and suitable then access the District Provision Tool (DPT) to view SES marketing information with the claimant to discuss the provision offers. Identify any appropriate provision to meet the needs of the claimant. The outcome of the discussion may be that 1, more than 1 or none of the provision offered is appropriate.

If the outcome is that there is no suitable provision or the claimant does not wish to pursue any provision offers or the claimant is not eligible and/or suitable in the first place for SES, ensure the claimant understands their position. Discuss with the claimant their next steps, ensuring they understand their responsibilities for satisfying UC conditionality and what they will do to move closer to gaining employment. Update WSP notes with action taken.



**A referral must not be made unless it has been approved as part of your locally agreed profile management processes.**



**Show Slide 82 – DPT research exercise**



**Ask learners to use their DPT and find SES provision.**

**Identify 2 for SESMP and 2 for SESSB.**

**For each provision list 2 activities that a claimant would undertake with the provider.**

**Can you find any long term residential provision lasting more than 6 months?**

**Allow learners 10 minutes for their research**



**Take feedback from learners.**

**Check they have an understanding of type of support available in their district from SES provision.**

**Where claimants are on long term residential provision over 6 months, the housing element of their UC claim will be removed. Check learners understand this and that they will need to explain this to claimants who opt for this type of provision.**

### **Referral to Specialist Employability Support**



**Note: where a claimant is on DWP ESF 2014-2020 provision, participation must end if the claimant starts on SES. This must be explained to the claimant. The Work Coach will send UC78 to the ESF provider to notify them of the SES referral.**

**The ESF provider is responsible for checking whether the claimant starts on SES and for ending the ESF provision if appropriate.**

There are 2 stages for securing a place on SES provision. An initial assessment with the provider and, if a start is recommended, a formal referral for SES provision.

On confirmation that the claimant can be referred, the initial assessment is booked directly with the SES provider. The Work Coach telephones the provider, with the customer present, using the details on the DPT. This should be arranged anytime from the 1<sup>st</sup> - 5<sup>th</sup> of the month.

Where the provider indicates there is no availability the work coach can consider contacting an alternative provider.

Record the referral on WSP by selecting **Add new referral** and completing the appropriate details. Remember to record this as a **Voluntary** referral.

Update **Other Work Related Activities** on their Claimant Commitment with 'Claimant referred for voluntary participation in SES provision'. The work coach will also complete form UC453 – SES claimant notification and issue this to the claimant.

To complete the process the work coach:

- completes form UCPR1 – Additional information for PRAP referral and prints 2 copies
- completes sections 1 to 4 of form SES1 – UC claimant tracker document – SES provision and prints 2 copies

- sends 1 copy of the UCPR1 and SES1 to MOU for storage, marking the cover sheet with 'No CAMLite Action Required'
- sends second copy UCPR1 and SES1 to provider by first class post
- updates WSP 'general notes' with all action taken



**Ask learners to access KM and search for the tracker document SES1 and claimant notification UC453.**



**Learners will need sight of form SES1 for reference during the rest of this topic. You may want to give out copies of this if there is limited IT access.**

Following the initial assessment with the SES provider the work coach will receive a WSP task 'SES1 Returned' from an AD. Access DRS to view the SES1 and identify the recommendation from the provider. The recommendation will either be for no referral to SES provision or a referral to either SESSB or SESMP.

Where the recommendation is for referral to SES make the referral on WSP by selecting **Add new referral** and completing the appropriate fields for a 'Voluntary' referral. Update WSP 'general notes' with all actions taken.

Where the recommendation is for no referral to SES provision update WSP 'general notes'.





### End of SES provision

Following the end of SES provision the work coach will receive a WSP task 'SES1 Returned' in the same way as after the initial assessment. However the work coach will need to contact the claimant to consider the leaver information in Part 8 of form SES1 and discuss their next steps.

Contact the claimant by phone using standard processes. Determine whether it is appropriate to conduct the interview by phone or whether it is more appropriate to interview the claimant face to face. If a face to face interview is required book an appointment on WSP using standard processes.

If the call has been unsuccessful and the work coach has been unable to speak to the claimant, book an 'On going Voluntary Work Search Review'.

End of SES provision may be because the claimant has left early or they have completed the provision.

We now want to consider the content of the interview and final actions.



### **Show Slide 83 – End Of SES Provision Interview**



**Working in pairs, split the class in half. Each half to consider 1 bullet point and the final question.**

**Ask learners to consider what they will need to discuss during the face to face or phone call interview, where the claimant has:**

- **left provision early, or**
- **completed the provision, and**

**What final actions will you need to complete at the end of the interview?**

**Allow 5 minutes for learners to make a note of their comments**

**Take feedback from learners.**

Ensure at least all of the following points are covered.



### **Claimant left provision early:**

- what they did while attending provision
- what, if anything, they did achieve while they were there
- why they left early
- what they were expecting to achieve
- what they think needs to be their next step
- does this include further work related provision, if so  
identify appropriate provision and agree a referral

Finally review their claimant commitment and update WSP 'general notes' stating claimant has left provision, date they left and reasons why.



### **Claimant completed provision**

- what they did while attending provision
- what they feel they achieved while they were there
- the recommendations of the provider in part 8 of form SES1
- what they think needs to be their next step
- does this include further work related provision, if so identify appropriate provision and agree a referral

Finally review their claimant commitment and update WSP 'general notes' with all actions carried out.

Remember that the work coach will also need to interview a claimant to discuss next steps when the initial SES assessment does not recommend referral to SESSB or SESMP.

## Topic Summary



### Show Slide 84 – Topic Summary

In this topic you have learned how to:

- establish eligibility and suitability for SES provision
- refer a suitable claimant to SES provision for an initial assessment
- take appropriate action following an initial assessment for SES provision
- consider action with claimant following end/completion of SES Start Back or SES Main Provision

## Knowledge Checker



**Show Slide 85 – Knowledge Checker**



**There are 6 questions in this Knowledge Checker, allow participants 10 minutes to complete it.**

**The questions are on slide 86 and the questions and answers are on slides 87 – 88 of the PowerPoint document.**

**For the answer slides 87 and 88, select in turn to reveal each question and then answer.**



**Show Slide 86 – Knowledge Checker - Questions**



**Show Slides 87 and 88– Knowledge Checker – Answers**



**Show Slide 89 – Module Summary**



**Show Slide 90 – Module Summary**

## Module Summary

In this module you have learned how to:

- cancel or withdraw a referral to provision
- action a provider request for a duplicate copy of a UCPR1 (Additional information for PRaP referrals) form
- follow up on work related requirements referrals
- deal with notifications of outcome of the referral
- and at what intervals you must review a claimants progress when they are attending New Enterprise Allowance
- deal with notifications from and to a provider for a reported change of circumstances
- take appropriate action when a claimant has returned to or completed the Work Programme
- make appropriate referrals to and follow up action for Specialist Employability Support provision