



UCDMA021a Sanctions for Account Developers

v11.7

Module Aims

This module aims to provide the Decision Maker, Account Developer and Telephony Agent:

- with an overview of the Universal Credit sanctionable failure process
- the knowledge and skills to gather evidence and information
- record the action taken on the relevant computer systems

Topic 01 – Sanction Referrals and Decisions Overview



Topic 01 Objectives

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

- describe the policy intent that underpins the sanction regime for Universal Credit
- describe the sanction process and the main computer systems used
- explain how the escalation process affects sanctions
- identify pre-claim failures and how they affect escalation
- identify sanctions made out of sequence and how they affect escalation
- describe what a reserved decision is and its effect on reduction periods
- state the actions to take when a claimant has a change of circumstances that affects their daily reduction rate
- explain how to provide a basic/detailed explanation of why a sanction applies to the claimant

Escalation – Example 1

Trevor is in the all work-related requirements group. He fails to apply for a specific vacancy on 26 March 2015. The DM decides that he does not have good reason for the failure and a 91 day sanction is imposed. He subsequently fails to apply for another vacancy on 26 April 2015 without good reason.

Q. Does the sanction escalate?

Q. If it does, what is the sanction duration?

Escalation – Example 2

Phillip is in the all work-related requirements group. He fails to apply for a specified vacancy on 12 August 2015. The DM decides that he does not have good reason for the failure and a 91 day sanction is imposed.

Phillip fails to apply for another vacancy on 25 August 2015.

Q. Does the sanction escalate?

Q. If it does, what is the sanction duration?

Escalation – Example 3

Rowena is given a work preparation requirement by her Work Coach (WC) to register with a specified employment agency by 20 May 2015, but fails to do so. On 23 May 2015 she notifies her WC that she registered with the agency that day.

The DM determines that she had no good reason and imposes a low level sanction of 10 days (3 days before compliance plus 7 days fixed period).

Rowena fails to attend a worksearch review on 2 June 2015. She attends on 5 June 2015 saying she forgot about the review on 2 June 2015.

The DM determines that she had no good reason for the failure and imposes another low level sanction.

Q. Does the sanction escalate?

Q. If it does, what is the sanction duration?

Escalation – Example 4

On 5 August 2014 Abdul refuses a job and the DM determines he failed without good reason to accept paid work and imposes a 91 day higher level sanction.

On 17 December 2014 he fails to apply for another job which is vacant, and this time the DM imposes a 182 day reduction for a second higher-level failure which has occurred within 364 days of the first failure.

On 30 July 2015 Abdul leaves a job because he is bored and reclaims Universal Credit from 31 July 2015. The DM determines Abdul left paid work voluntarily without good reason.

Q. Does the sanction escalate?

Q. If it does, what is the sanction duration?

Sanction Decisions Made out of Sequence - Exercise

On 28.4.2015 Siân fails to comply with a requirement to participate in the Work Programme.

On 31.7.2015 the DM decides that a sanction is appropriate.

However, on checking WSP, the DM notes that there is a previous 91 day higher level sanction for a failure that occurred on 26.6.2015.

What period of sanction should apply for the Work Programme failure on 28.04.2015 i.e. should it escalate?

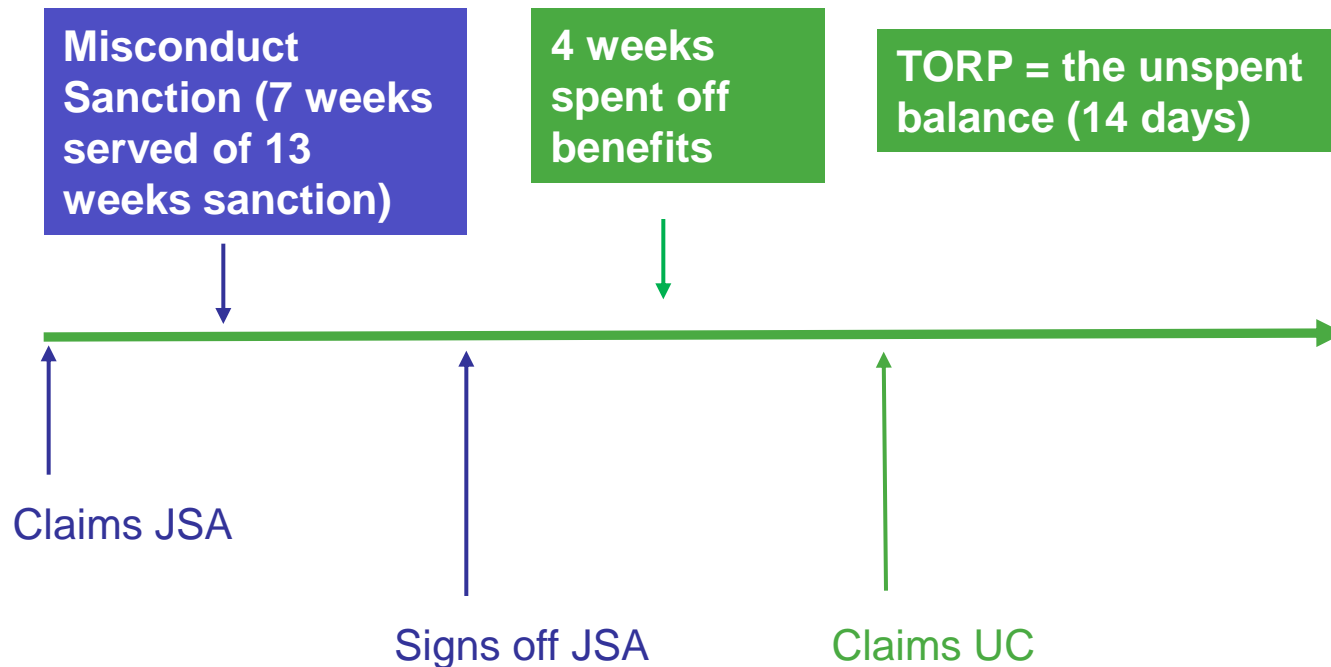
Bear in mind that a 91 day sanction has already been imposed for a failure that occurred **AFTER** the Work Programme failure.

Sanction Decisions Made out of Sequence - Answer

Escalation applies and the DM applies a 182 day sanction because there has been a previous higher-level sanctionable failure within 364 days which led to a reduction of Universal Credit of 91 days.

This is regardless of the sequence in which decisions are made in relation to the failure dates.

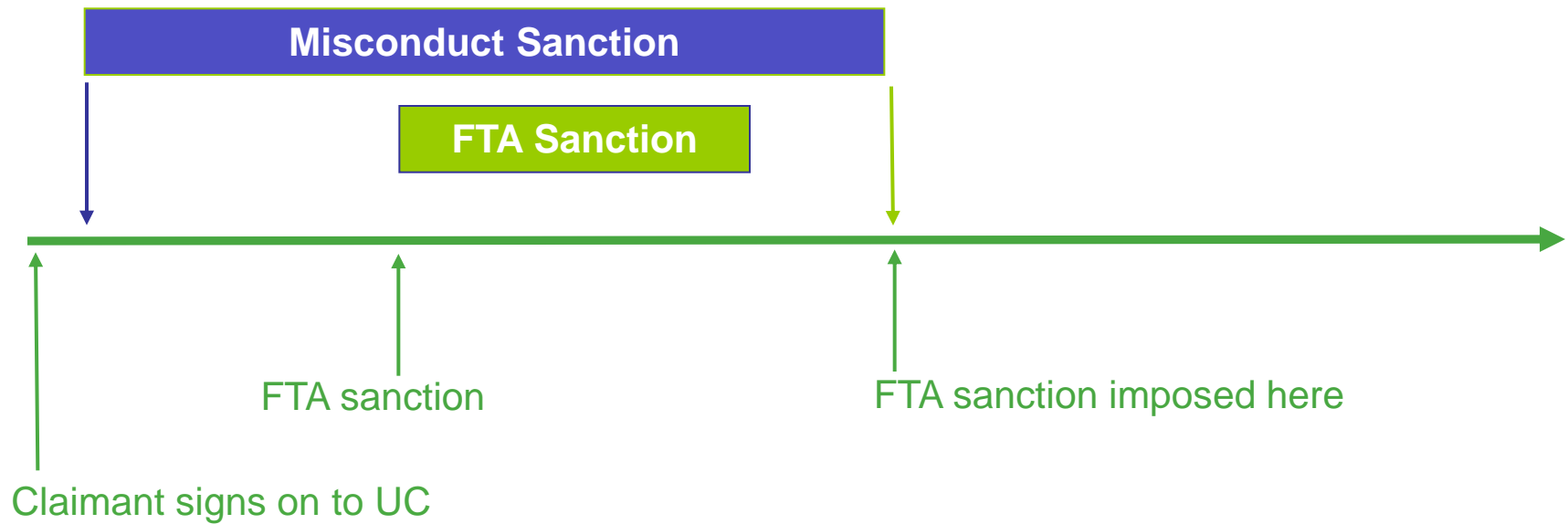
Total Outstanding Reduction Period (TORP) Time Line



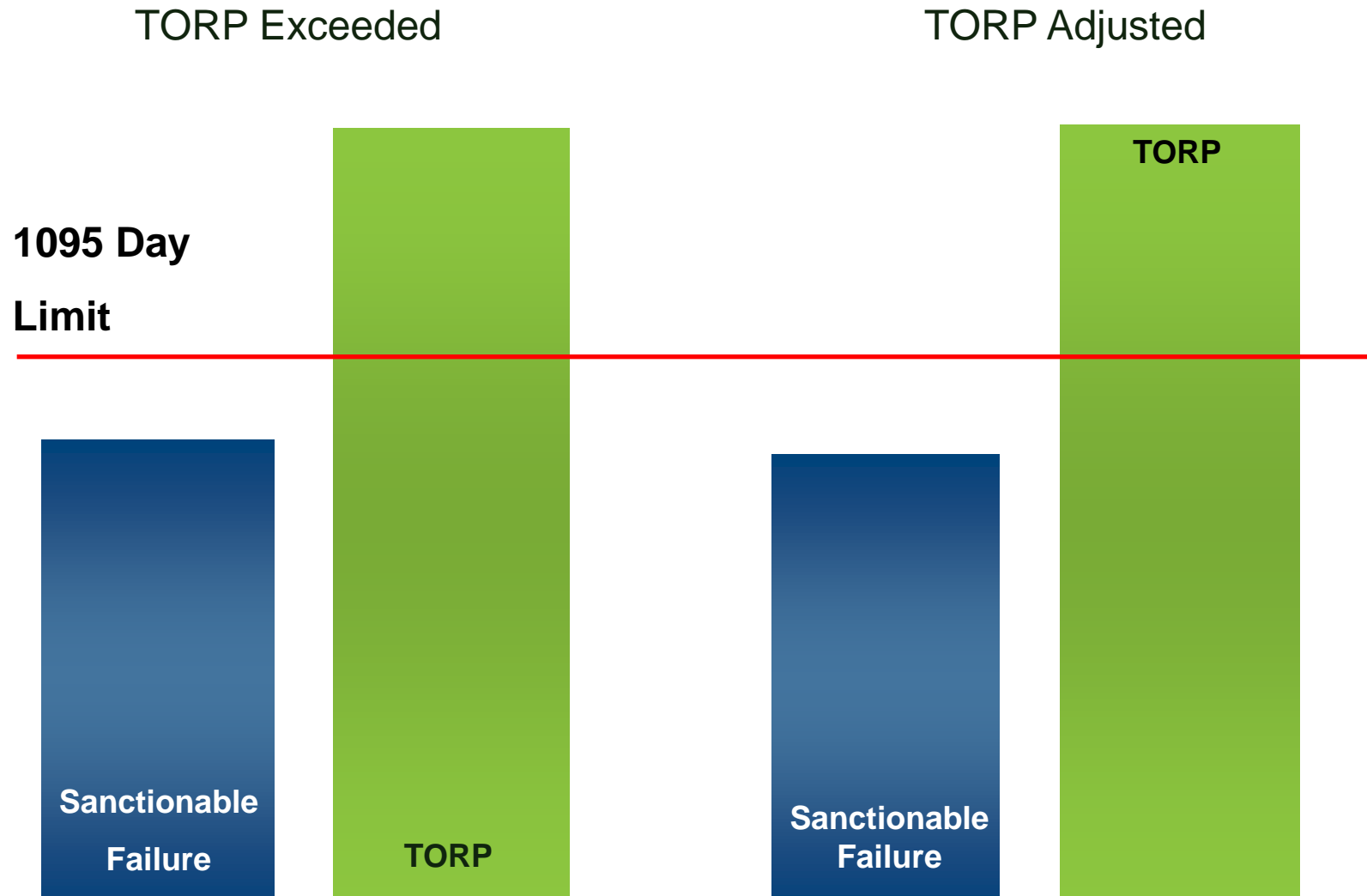
Sanctions Portlet calculates the TORP

Consecutively Running Sanctions

Time Line



Maximum TORP Period



TORP Calculation for an Unspent Legacy Sanction

TORP Equation

- Transfer the sanction with the latest expiry date to WSP
- Convert sanction weeks into days
- Calculate the balance of the longest unspent sanction

The diagram illustrates the TORP equation using three parallelograms. The first parallelogram on the left is light green and contains the text "Sanction Duration in Days". To its right is a minus sign "-". The second parallelogram is also light green and contains the text "Spent Days". To its right is an equals sign "=". The third parallelogram is a darker shade of green and contains the text "TORP".

$$\text{Sanction Duration in Days} - \text{Spent Days} = \text{TORP}$$

TORP Example 1

TORP

A new Universal Credit claimant has an unspent JSA sanction of 182 days.

The sanction has already continued for 100 days. Therefore, Universal Credit payments will be affected for the 82 days remaining.

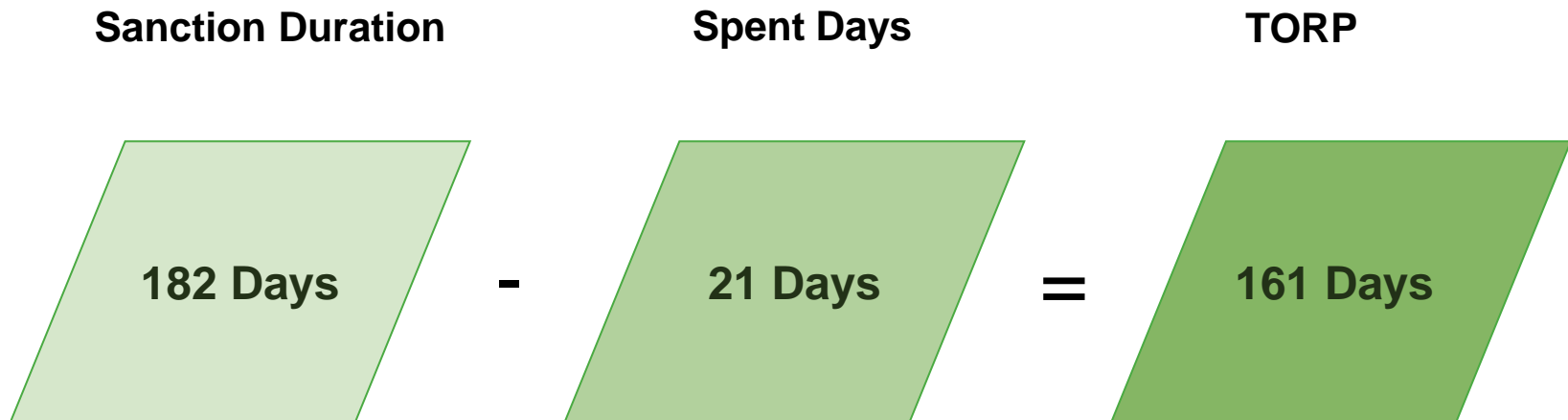
Sanction Duration		Spent Days		TORP
182 Days	-	100 Days	=	82 Days

TORP Example 2

TORP

A new Universal Credit claimant has two JSA sanctions. The sanction imposed for the first sanctionable failure was 91 days. The sanction imposed for the second sanctionable failure was 182 days.

The claimant's JSA was reduced for 14 days and there was a gap of 7 days between claims (21 days in total). Therefore, Universal Credit payments will be affected for the 161 days remaining.



Applying a Reduction to a New Award - Case Study

Universal Credit awarded from:	13/04/2015
Date of Sanctionable Failure:	29/05/2015
Length of sanction:	91 days
Date sanction takes effect from:	13/06/2015
Universal Credit award ends on:	12/07/2015
New award of Universal Credit from:	21/08/2015
Balance of previous sanction to be served:	22 days

Topic 01 Summary

In this topic you have learned about:

- the policy intent that underpins the sanction regime for Universal Credit
- the sanction process and the main computer systems used
- the escalation process
- pre-claim failures and how they affect escalation
- sanctions made out of sequence and how they affect escalation
- reserved decisions and their effect on reduction periods
- state the actions to take when a claimant has a change of circumstances that affects their daily reduction rate
- basic/detailed explanations to the claimant

Topic 02 – Gathering Evidence and Recording a Failure on WSP



Topic 02 Objectives

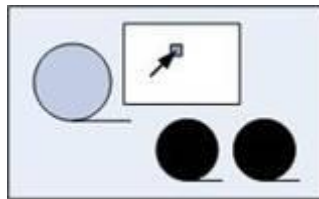
By the end of this topic, with the aid of any reference material, you will be able to correctly:

- explain how to record a failure on WSP
- explain how to refer a failure to the DM on WSP
- describe the process for gathering evidence/further evidence
- explain the process for gather evidence from claimants with complex needs
- determine the time to give claimants to provide good reason
- describe the process for recording evidence required on WSP
- explain how to check if evidence has been received

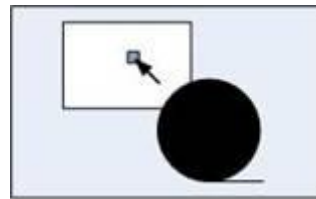
Recording a Failure on WSP

You will now have the opportunity to practice recording a failure on on WSP.

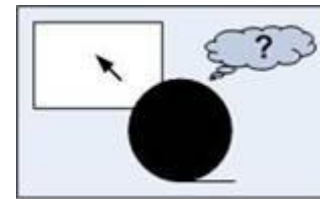
Select 'See It!' for a demonstration, 'Try It!' for a guided walkthrough, or 'Know It!' to practice on your own.



See It



Try It



Know It

Topic 02 Summary

In this topic you have learned about:

- how to record and refer a failure on WSP
- the process for gathering evidence/further evidence
- the process for gather evidence from claimants with complex needs
- determining the time to give claimants to provide good reason
- the process for recording evidence required on WSP
- how to check if evidence has been received

Topic 03 – Agent Portal and WSP Action



Topic 3 Objectives

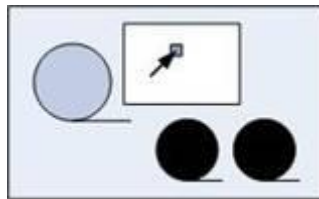
By the end of this topic, with the aid of any reference material, you will be able to correctly:

- explain how to edit and remove a sanction on the (Agent Portal (Sanctions Portlet)).
- explain how to record a migrated legacy sanction on the Agent Portal
- describe what a compliance condition is, and actions to take when a compliance condition is met or lifted
- describe the Conditionality Earnings Threshold and how it impacts on sanctions

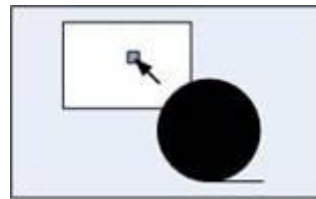
Editing or Removing a Sanction on the Agent Portal (Sanctions Portlet)

You will now have the opportunity to practice recording, editing or removing a sanction from the Agent Portal Sanctions Portlet.

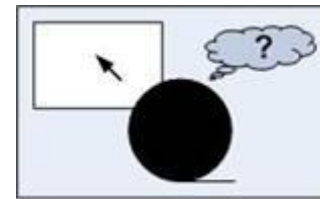
Select 'See It!' for a demonstration, 'Try It!' for a guided walkthrough, or 'Know It!' to practice on your own.



See It



Try It

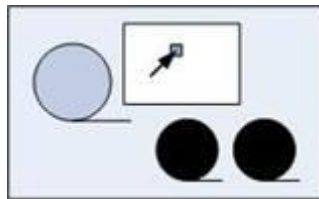


Know It

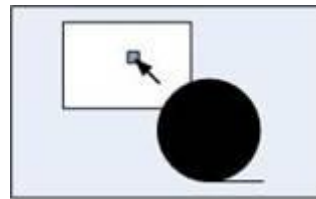
Recording Compliance Details on the Agent Portal (Sanctions Portlet)

You will now have the opportunity to practice recording compliance details on the Agent Portal (Sanctions Portlet).

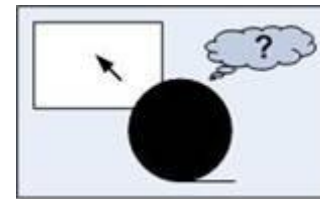
Select 'See It!' for a demonstration, 'Try It!' for a guided walkthrough, or 'Know It!' to practice on your own.



See It



Try It

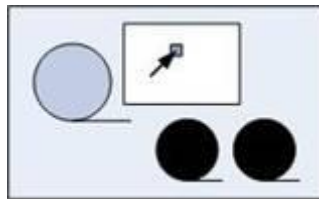


Know It

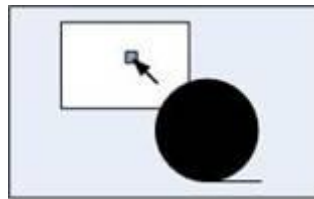
Recording Sanction Details on WSP

You will now have the opportunity to practice recording sanction details on WSP.

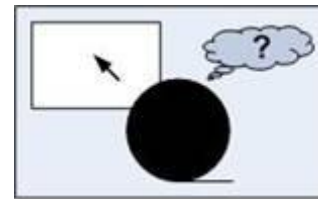
Select 'See It!' for a demonstration, 'Try It!' for a guided walkthrough, or 'Know It!' to practice on your own.



See It



Try It



Know It

Recording a Migrated Legacy Sanction on the Agent Portal 1/4

To add a migrated legacy sanction, the AD navigates to the Agent Portal and selects **Payment Management: Sanctions** and takes the following steps:

1. Select **Add New**.
2. Select **Impose Sanction Yes** radio button (this defaults to **Yes**).
3. Check the **Legacy Sanction** tick box.
4. Populate the **Date of Conditionality Failure** field from the dropdown menu (on WSP, this is the **Sanctionable Failure Date**).
5. Populate the **Date of Decision** field from the dropdown menu.
6. Populate the **Sanction Level** field (the options are Higher, Medium and Low).

Recording a Migrated Legacy Sanction on the Agent Portal 2/4

7. Populate the **Reason for Sanction** field (the available options will display once the Sanction Level has been selected).
8. If it is a **Higher** or **Medium** level sanction, populate the **Sanction duration** field with the relevant number of days (the field is free text).
9. For a **Low** level sanction, populate the **Additional Fixed Period** field – this is nil for migrated sanctions.
10. The **Apply Standard Rules** radio button defaults to **Yes**. This radio button must be changed to **No** for all migrated sanctions where the Legacy sanction rate is less than the standard Universal Credit sanction rate. This only applies when Transitional Protection applies to the migrated sanction. If Standard Rules do **not** apply, go to step 17.
11. If **Standard Rules** do apply, select **Next** and **Submit**. The **Confirm Add Conditionality Sanction** Screen is displayed.

Recording a Migrated Legacy Sanction on the Agent Portal 3/4

12. Select **Reasons for editing**.
13. Select **Manual Override** from the dropdown menu.
14. Select **Edit** for the appropriate sanction (identified by date of decision and sanction reason code).
15. Edit **Days Consumed** (taken from WSP - this action prevents a system task being generated each Assessment Period to review the sanction amount imposed).
16. Select **Next** and **Submit**. This displays the **Sanction Summary** screen.
17. Where **Standard Rules** do not apply, change the radio button to **No**.
18. Populate the **Days Consumed** field (taken from WSP).

Recording a Migrated Legacy Sanction on the Agent Portal 4/4

19. Populate the **Fixed Daily Rate** field. This only applies where Transitional Protection applies to the migrated sanction. Enter the daily rate equal to the daily rate calculated under the Legacy benefit. This ensures a more beneficial rate for the claimant.
20. Select **Next**. This displays a new window **Add New Sanction** with the following question – **Are you sure you want to override the Standard Rules?**
21. Select **Yes** to override Standard Rules. A new window is displayed - **Confirm Add Conditionality Sanction**.
22. Select **Submit**. This displays the **Payment Management: Sanctions** screen where the newly added sanction is listed in the **Current Sanctions** section.

Topic 03 Summary

In this topic you have learned about:

- editing and removing a sanction in the Agent Portal
- recording a migrated legacy sanction on the Agent Portal
- compliance conditions and the actions to take when a compliance condition is met or lifted
- the Conditionality Earnings Threshold and how it impacts on sanctions

Topic 04 - Third Party Provider Referrals and Outcomes



Topic 04 Objectives

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

- explain how to action a doubt referral made by a Third Party Provider
- describe the action to take following compliance
- describe the action to take when compliance is disputed
- describe the action to take when the Third Party Provider identifies a work search or work availability doubt.

Topic 04 Summary

In this topic you have learned about:

- doubt referrals made by a Third Party Provider
- the action to take following compliance
- the action to take when compliance is disputed
- the action to take when the Third Party Provider identifies a work search or work availability doubt.

Topic 05 - Referring the Failure to a Decision Maker



Aims and Objectives

This learning aims to provide you with the skills and knowledge to be able to record on WSP a referral to the DM of a claimant's failure to meet work-related requirements.

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

- how to make a referral to a DM on WSP of a claimant's failure to meet a work-related requirement
- how to notify the DM that a failure to meet a work-related requirement referral has been made

Gathering Evidence

The reason for the referral has been explained to the claimant and they have been given an opportunity to provide good reason evidence

Where appropriate, what the claimant needs to do to comply has been explained to them.

You have collected all information and evidence for the referral, including any evidence provided by the claimant

For fail to attend work search review or work related interview cases you have determined that the failure cannot be treated as straightforward.

Information and Evidence Needed by the DM



**Good Reason
statement**

Evidence

Topic Summary

In this topic you have learned:

- how to make a referral to a DM on WSP of a claimant's failure to meet a work-related requirement
- how to notify the DM that a failure to meet a work-related requirement referral has been made

Topic 06 – Reconsiderations and Appeals



Topic 06 Objectives

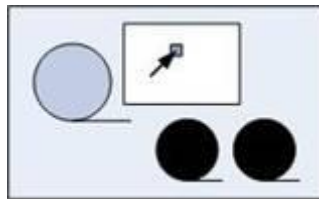
By the end of this learning, with the aid of any reference material, you will be able to:

- explain how to record a mandatory reconsideration request, referral and outcome on WSP
- explain how to record a DWP instigated reconsideration and outcome on WSP
- explain how to record on WSP that an appeal has been lodged
- explain how to record an appeal outcome on WSP and the Agent Portal
- describe the additional action to take when an appeal outcome is received
- identify which outcome notification to issue to the claimant/partner for reconsideration and appeal outcomes.

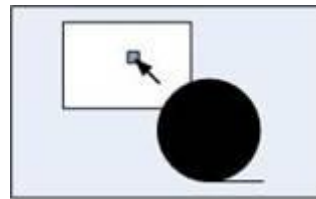
Recording a Reconsideration Request on WSP

You will now have the opportunity to practice recording a reconsideration request on WSP.

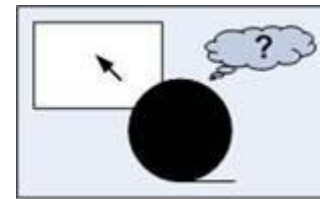
Select 'See It!' for a demonstration, 'Try It!' for a guided walkthrough, or 'Know It!' to practice on your own.



See It



Try It

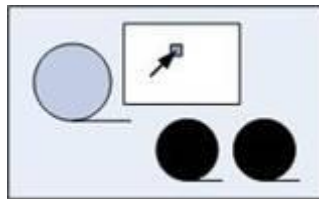


Know It

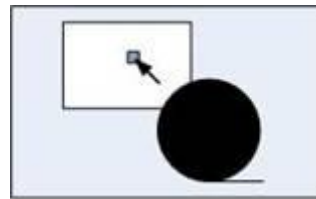
Recording a Reconsideration Referral and Outcome on WSP

You will now have the opportunity to practice recording a reconsideration referral and outcome on WSP.

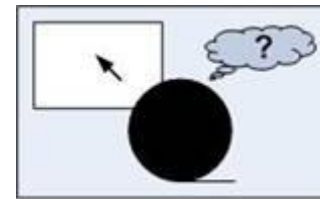
Select 'See It!' for a demonstration, 'Try It!' for a guided walkthrough, or 'Know It!' to practice on your own.



See It



Try It

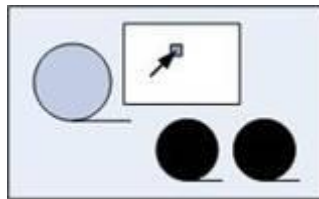


Know It

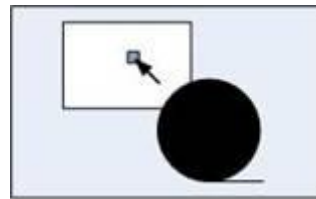
Recording an Appeal Referral and Outcome on WSP

You will now have the opportunity to practice recording an appeal referral and outcome on WSP.

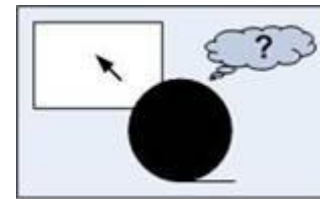
Select 'See It!' for a demonstration, 'Try It!' for a guided walkthrough, or 'Know It!' to practice on your own.



See It



Try It



Know It

Topic 06 Summary

In this topic you have learnt about:

- how to record a mandatory reconsideration request, referral and outcome on WSP
- how to record a DWP instigated reconsideration and outcome on WSP
- how to record on WSP that an appeal has been lodged
- how to record an appeal outcome on WSP and the Agent Portal
- the additional action to take when an appeal outcome is received
- the outcome notifications to issue to the claimant/partner for reconsideration and appeal outcomes.

Module Summary

In this module you have learned about:

- the sanctionable failure process
- actioning Universal Credit sanctionable failure referrals from Universal Credit staff and Third Party Providers
- gathering evidence
- recording the action taken on the relevant computer systems
- actioning reconsiderations and appeals