



UCDMA021 Sanctions

November 2016

V11.4

Module Aims

This module aims to provide the Decision Maker (DM), and Account Developer Decision Maker (ADDM) :

- 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
- explain how to provide a basic/detailed explanation of why a sanction applies to the claimant
- state the actions to take when a claimant has a change of circumstances that affects their daily reduction rate.

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 to register with a specified employment agency by 20 May 2015, but fails to do so. On 23 May 2015 she notifies her Work Coach 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?

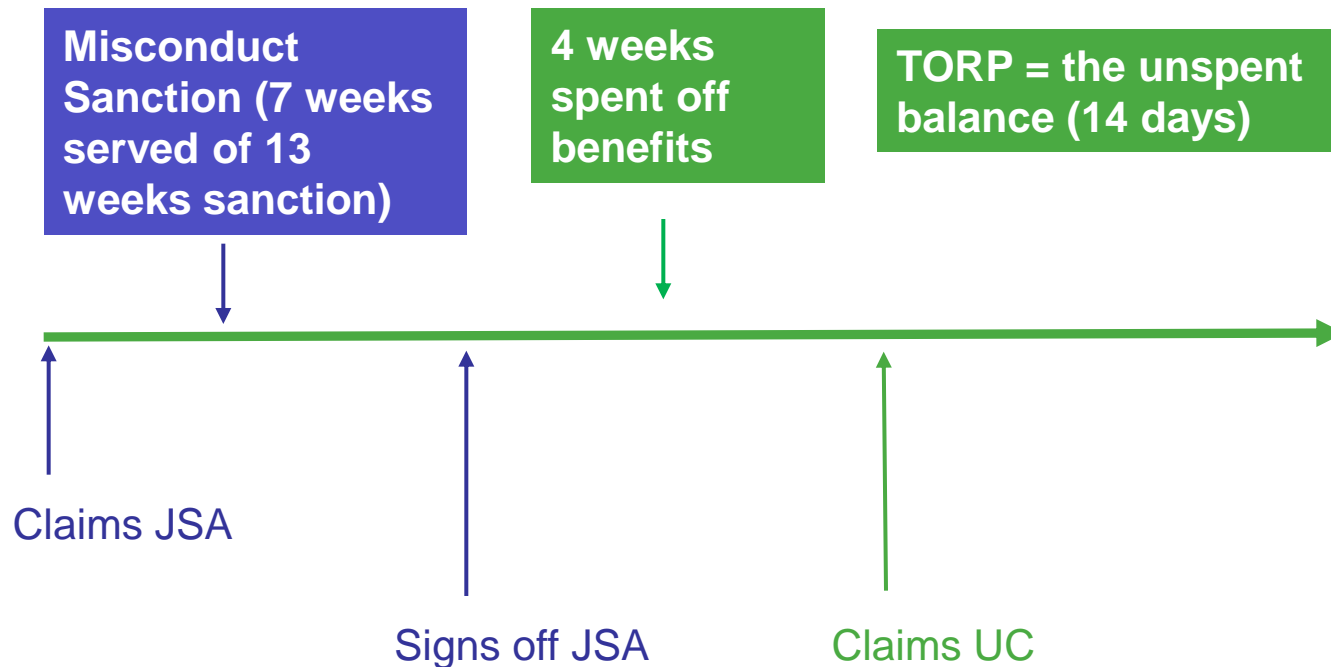
Bear in mind that a 91 day sanction has already been imposed for a failure that occurred **AFTER** the Work Programme failure.

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.

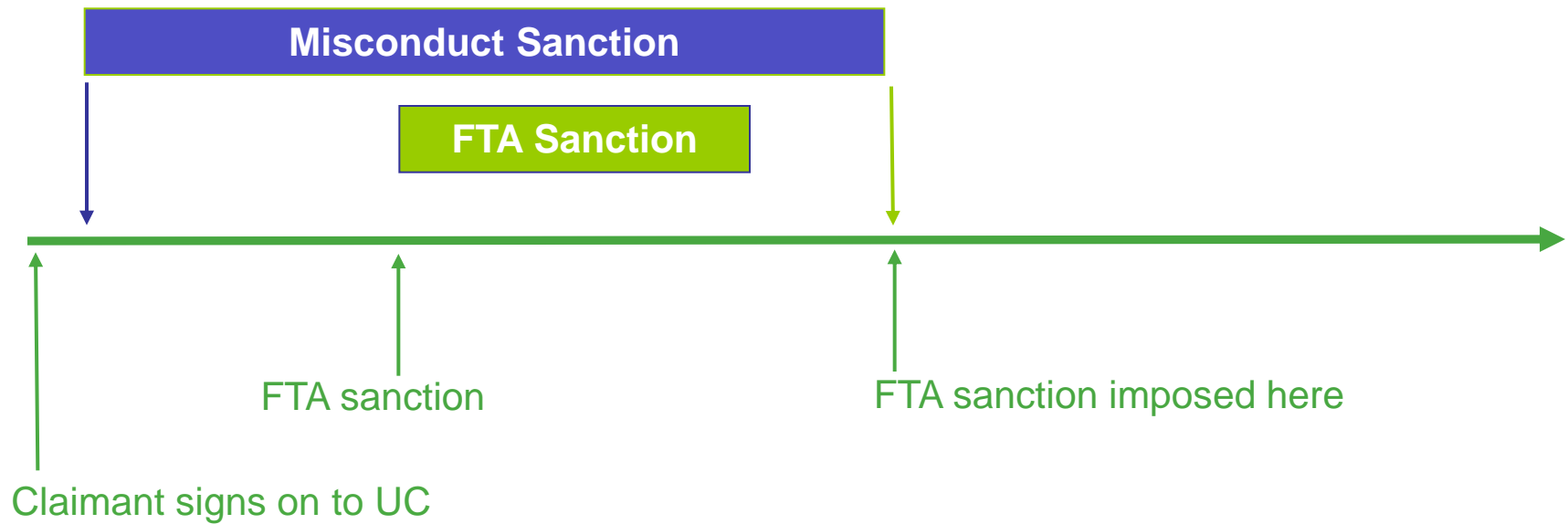
Total Outstanding Reduction Period (TORP) Time Line



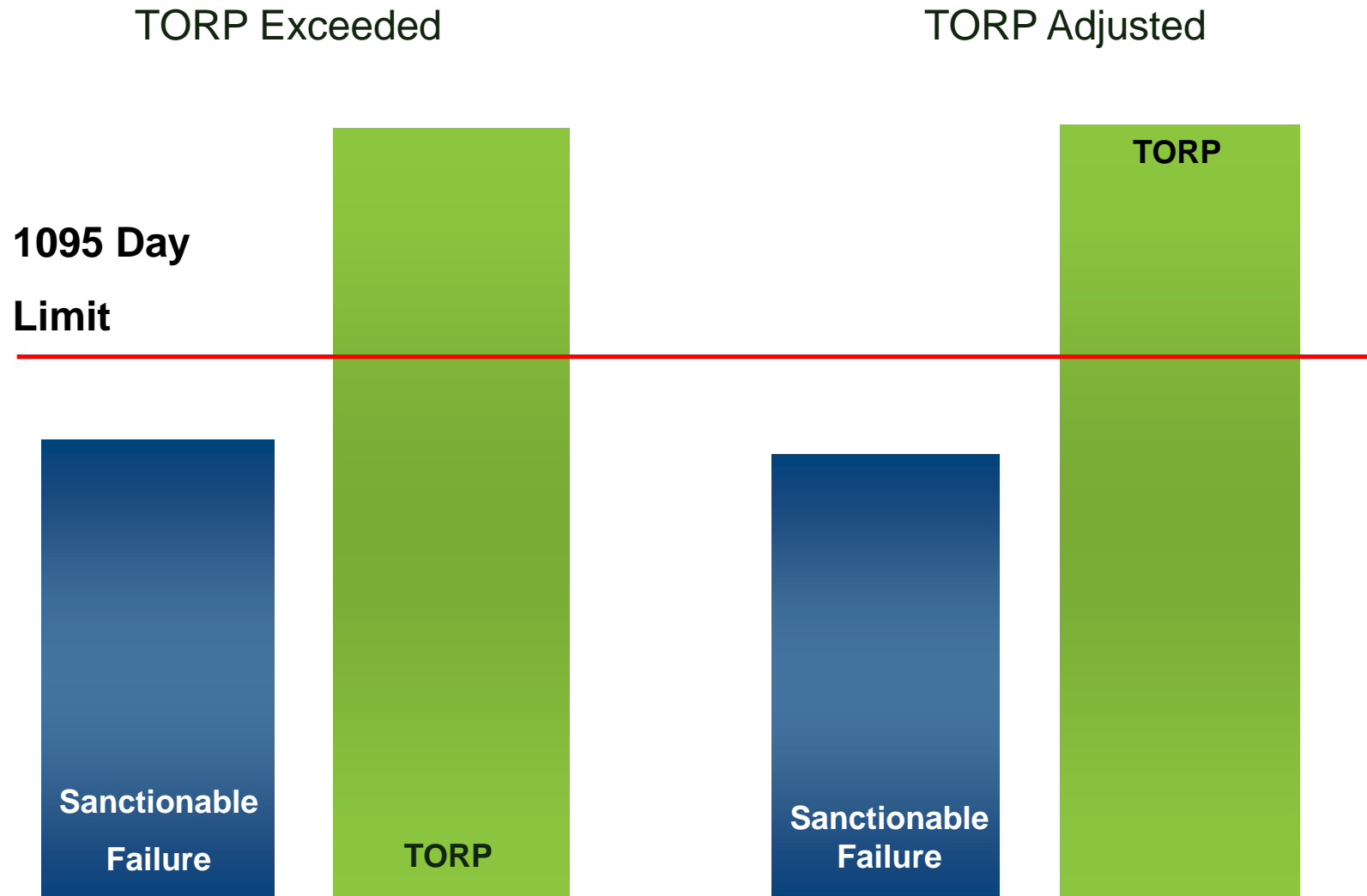
Sanctions Portlet calculates the TORP

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" and "in Days". To its right is a minus sign. The second parallelogram is a medium green and contains the text "Spent Days". To its right is an equals sign. The third parallelogram is a darker 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.

Sanction Duration

Spent Days

TORP

182 Days

-

21 Days

=

161 Days

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
- basic/detailed explanations to the claimant
- the actions to take when a claimant has a change of circumstances that affects their daily reduction rate.

Topic 02 – Gathering Evidence and Recording a Failure on WSP



Topic 02 Objectives

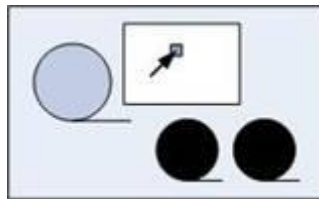
By the end of this topic, with the aid of any reference material, you will be able to correctly:

- 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 contacting the claimant's previous or current employer
- describe the process for recording evidence required on WSP
- explain how to check if evidence has been received

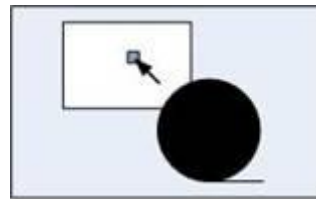
Recording a Failure on WSP

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

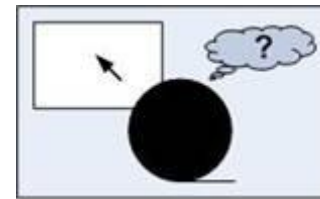
Select 'See It!' for a demonstration, 'Try It!' for a guided walkthrough, or 'Know It!' to practice on your own.



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 contacting the claimant's previous or current employer
- 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

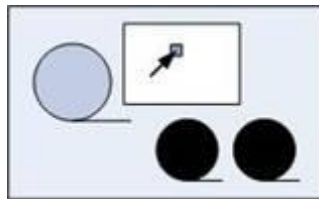
By the end of this topic, with the aid of any reference material, you will be able to correctly:

- explain how to record, edit and remove a sanction on the (Agent Portal (Sanctions Portlet).
- explain how to record a sanction outcome in WSP
- 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

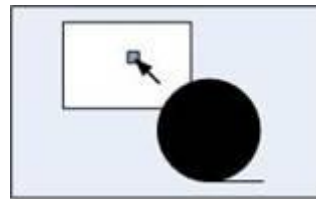
Recording a Sanction on the Agent Portal (Sanctions Portlet)

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

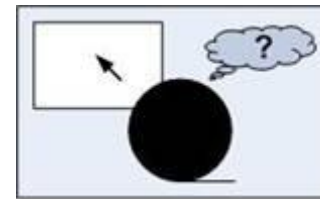
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See It



Try It

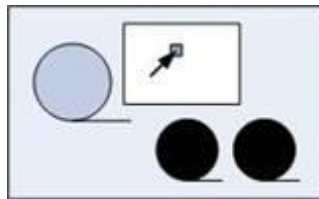


Know It

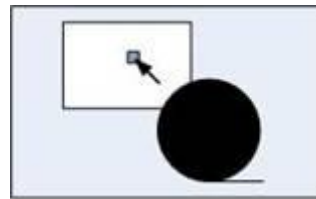
Editing or Removing a Sanction on the Agent Portal (Sanctions Portlet)

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

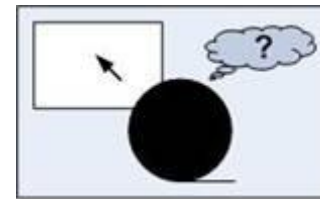
Select 'See It!' for a demonstration, 'Try It!' for a guided walkthrough, or 'Know It!' to practice on your own.



See It



Try It

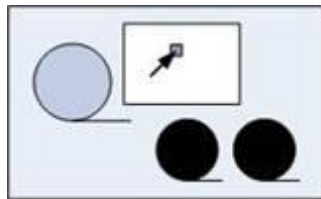


Know It

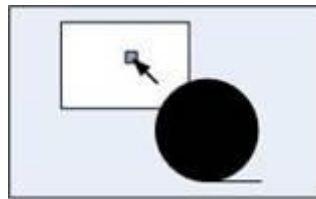
Recording Compliance Details on the Agent Portal (Sanctions Portlet)

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

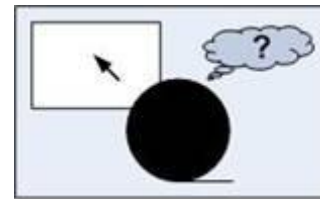
Select 'See It!' for a demonstration, 'Try It!' for a guided walkthrough, or 'Know It!' to practice on your own.



See It



Try It

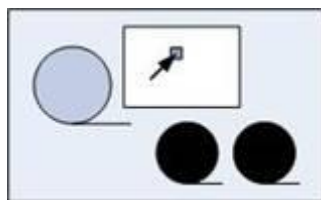


Know It

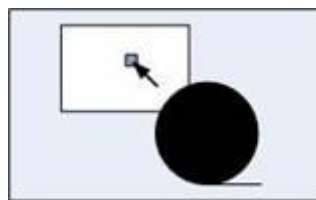
Recording Sanction Details on WSP

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

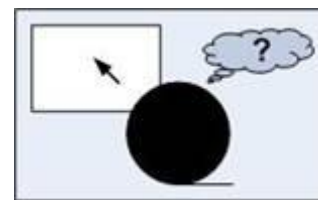
Select 'See It!' for a demonstration, 'Try It!' for a guided walkthrough, or 'Know It!' to practice on your own.



See It



Try It



Know It

Topic 03 Summary

In this topic you have learned about:

- recording, editing and removing a sanction in the Agent Portal
- recording a sanction outcome in WSP
- 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
- the actions to take when a claimant has a change of circumstances that affects their daily reduction rate.

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 – Reconsiderations and Appeals



Topic 05 Objectives

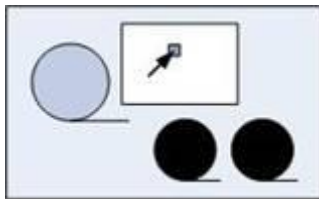
By the end of this learning, with the aid of any reference material, you will be able to:

- 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.

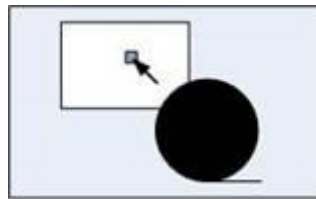
Recording a Reconsideration Request on WSP

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

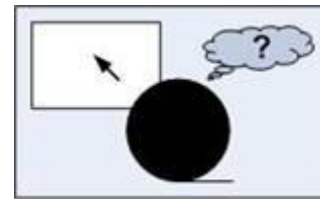
Select 'See It!' for a demonstration, 'Try It!' for a guided walkthrough, or 'Know It!' to practice on your own.



See It



Try It

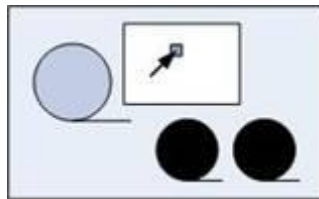


Know It

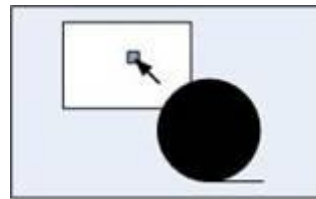
Recording a Reconsideration Referral and Outcome on WSP

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

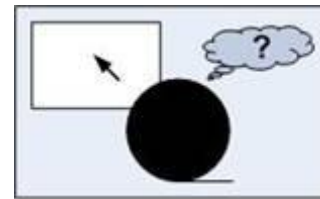
Select 'See It!' for a demonstration, 'Try It!' for a guided walkthrough, or 'Know It!' to practice on your own.



See It



Try It



Know It

Action when subsequent sanctions need to be revised

The claimant has had three higher level sanctions imposed.

First sanction on 01/10/2014 – 91 days.

Second sanction on 01/11/2014 – 182 days.

Third sanction on 01/08/2015 – 1095 days.

The first sanction is overturned on appeal. This means the second and third sanctions must be reconsidered, as the sanction lengths are incorrect.

The sanction dated 01/11/2013 now become the first sanction – 91 days,

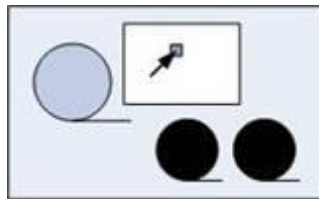
The sanction dated 01/08/2014 now becomes the second sanction – 182 days.

In effect, this is the escalation process in reverse.

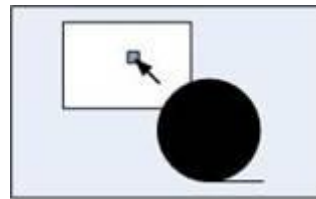
Recording an Appeal Referral and Outcome on WSP

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

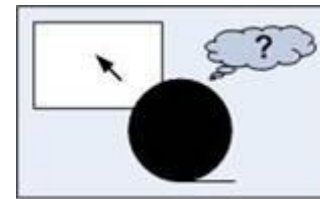
Select 'See It!' for a demonstration, 'Try It!' for a guided walkthrough, or 'Know It!' to practice on your own.



See It



Try It



Know It

Topic 05 Summary

In this topic you have learned about:

- how to record a failure referral on WSP
- the process for requesting further information from the claimant, their current or previous employer or from a third party
- determining the amount of time to give the claimant to provide evidence for good reason
- how to record on WSP details of the further information requested
- the action to take when evidence has been received
- the action to take when no evidence has been received
- the action to take for claimants with complex needs.

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.