



UCFS25 GEN Sanctions and FTA Part 5 Ending an Open-ended Sanction

Facilitator Led Brief
V13.0

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Module Aim and Objectives



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Allow time for learners to read the slide.

We have discussed why sanctions are imposed, and practiced referring cases to the DM.

We have also discussed how long sanctions last.

Low and lowest level sanctions have an open-ended period.

Now we are going to practice taking the action to end the open ended period for low and lowest level sanctions.



Refer learners to the illustrative examples they previously interviewed.



Were any of the claimants referred to the DM for a low or lowest level doubt?



Expect learners to identify that Griselda was referred with a low level failure to participate/comply. (Case Managers only: Griselda was sanctioned for FTA.)

Algernon failed to attend and his case was referred for a decision.

When the DM makes a decision to sanction the claim they check whether the claimant has complied.

If the claimant has complied their decision includes how long the sanction will last.

If the claimant has not complied, the decision cannot include an indication of the sanction length.

You may need to record the end of the open-ended period.



When will you take the action to end an open-ended sanction?



Allow time for a brief discussion.

Expect learners to identify that they will end the open-ended period when they are notified that the claimant complied.

For example, they may take the action when:

- the claimant attends provision which has been rearranged
- the claimant has provided evidence that they have taken a required action
- the claimant attends a rearranged appointment

This list is not exhaustive.



The open-ended period may also end:

- the day before the date the claimant falls into the no work–related requirements group (low and lowest level)
- in the case of a work preparation requirement, the day before the date the claimant is no longer required to take specified action (low level only)
- the date on which the award terminates (other than because the claimant ceases to be, or becomes, a member of a couple). (Low and lowest level.)



Why is it important for us to input the end of the open-ended period promptly?



Expect the learners to recognise ending the open-ended period of a sanction promptly ensures that the claimant is paid correctly.

For that reason the person who identifies that the claimant has complied should take the action.



Ensure that learners understand that, whatever their role, if they identify that a low or lowest level sanction is held they should check compliance.

If the claimant has complied they should take the action to end the open-ended period.

Recording the sanction



Case Managers have already recorded a sanction in UCFS25 Part 3 – Failure to Attend an Interview.

They recorded a sanction for Griselda, who failed to attend and did not make contact after 7 days.

For Case Managers only, move straight to ‘Recording the end of the open-ended period’ on page 8.

We will take action to input the sanction and then end the open-ended period of the sanction.



Refer learners to their claimant Griselda.

As they may recall Griselda failed to attend an Interview Skills event.

Direct the learners to access the Agent Dashboard and go to the Sanctions and Fraud Penalties link.

This is the action that the DM will take. Ask them to select ‘Add a sanction’.

They should select the relevant options to record a Low Level Universal Credit sanction.

When Low Level Sanction is selected the correct failure type can be selected under the question: What was the failure?



Prompt the learners to decide the correct selection.

Once this is completed, ask the learners to input dates in the 'date of failure' and 'date of decision' fields. Leave 'Date of compliance' blank.



Tell learners to input the date of failure as 2 weeks ago and the date of decision as 2 working days ago.



They should also input a note of what the claimant should do to comply (for example, attend the rebooked Interview Skills course).

Once they have finished, select Done. The system saves the information and returns to the Sanctions and Fraud Penalties screen.

Recording the end of the open-ended period

You have recorded the sanction. This action is usually done by the DM.

Simple decisions to sanction when the claimant has not made contact are recorded by the Case Manager.

Next we will input the date of compliance for Griselda to end the open-ended period.

Griselda has complied today.



Ask the learners to access the Agent dashboard for Griselda.

Direct them to 'Create agent to-do' and select 'Ending a sanction (low level)' from the drop-down menu.

Allow the learners 1 or 2 minutes to read the to-do and ALP.

The system recognises that the open-ended period ends the day before the date of compliance.

It also adds the correct fixed period when that applies.

You must input the end date on the Service and complete your decision on the ALP.



Direct the learners to take the action directed on the ALP to end the open-ended period of the sanction.

The learners should access the Sanctions and Fraud Penalties link to see the sanction held.

There are two options: End and Remove.

They will end the sanction and complete the ALP, to record their decision about the sanction length.



Use the End function, to end the open-ended period.

The end date is today – the date of compliance.



If learners ask when the 'Remove' option is used, explain it is used by the DM. For example, it can be used when the DM reconsiders a sanction decision and decides that the claimant had good reason.



Once the learners have input the End date, ask them to view the Sanctions and fraud penalties link.

Under Existing penalties the Low level sanction displays the estimated number of days.

The number of days will be from the start date they input to the day before the end date (date of compliance), plus 7 days (fixed period).



The number of days show as estimated until the sanction affects the award.



On the training service the sanction will display as follows (this is a first low level sanction):

**20 days (estimated) ! Date of failure 07/07/2017 !
Decision Date 18/07/2017 ! Closed date 20/07/2017.**

In this example the compliance date was 20/07/2017.

The DMs decision to sanction the claimant was made on 18/07/2017.

The 20 days are:

- 13 days open-ended period from 07/07/2017 to 19/07/2017 (both dates included)
- 7 days fixed period.



Check whether there are any questions or issues before moving on.

Module Summary



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