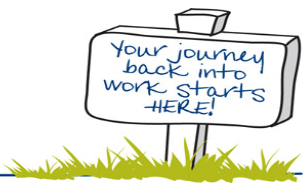
Work Programme – Customer File Guidance

Setting up a Customer File:

- Ideally Customer Files should be in a Foolscap Manilla File format with metal clip facility to secure the documents in place within plastic wallets (and not loose documents in wallet style files).
- The Customer File Checklist should be kept at the front of the file and the order of documents included should follow the order on the Checklist so that all files have same order & organisation.
- The Customer File Checklist should be ticked to indicate all included documentation (and ticks updated as additional documents are added).
- There should be no blank plastic wallets in the file (as this gives a false indication at audit level that a document has been removed from the file).
- There should be no blank 'template' forms in the file (as not all documents will be used/required by all customers so may cause confusion, as well as being against our sustainability policy).
- Where documents are attached to MyA4eDesk (eg PRAP Employment Plan) there is no need to print them as well, unless a signature or verification is required.
- All relevant documents should be dated and signed accordingly.
- Any additional documents should be kept to a minimum and only of full relevance (for example customer CV/hospital appointment letter etc) and recorded on the Customer File Checklist in the space provided.
- All documents of more than one page should be stapled together to avoid loss/misplacement.

Quality Assurance for Customer Files:

- All customers should have a hard file made up following Welcome/About You Appointment as per the above guidance.
- These files should be quality checked for full inclusion of all relevant documentation before being placed in a locked filing cabinet.
- Quality Assurance activity should contain:-
    - Checking of Document Inclusion & Ticking off on the Customer File Checklist (& in order)
    - Date & Signage
    - Full & Accurate Completion
- When completing a sample check (less than 100% of files), the sample should include files from all advisors.
- It's recommended that the results and actions from Quality Assurance checks are shared at staff 1-2-1s or staff meetings and included in any office Self Assessment or Quality Improvement Plan.
- All Customers entering employment should have files quality assured for required copy Job Start documentation completion & inclusion.
- All Customers completing provision should have files quality assured for required Exit documentation completion & inclusion.
- No Customer File should be prepared for archive until all the above quality assurance activity has been completed.



Customer File Quality Assurance Tools:

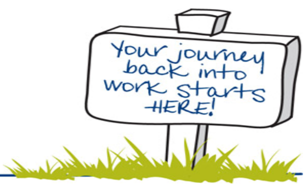
- The Work Programme Office Customer File Quality Assurance Record – to be utilised for Quality Assurance checks via Team Leader, Administrator &/or other Nominated Quality Assurance Champion. These Quality Assurance checks should be conducted as follows:
  - Monthly sampling QA check across all customers on provision & across all advisors
  - Monthly QA check for all Customers with Job Entry or Completing Provision
  - Weekly QA check for all New Customers on Provision following Welcome/About You activity
  - Upon Archiving Activity

  Once completed these Quality Assurance Records should be filed in an office Quality File for audit purposes and kept for a rolling 12 month period.
- The Work Programme Advisor Customer File Quality Assurance Review document to be used at staff 1-2-1s for performance monitoring, ongoing development support & general Quality Assurance, completed by their Line Manager.

  Once completed these Review documents should be filed in the Staff Hard File with the 1-2-1 document.

Additional Customer File Document Guidance:

Area of Provision:	Specific Activity:	Forms/Evidence:	Additional Notes:
Referral	Referral	JCP Action Plan	As an Attachment on Desk
	Attachment	Attachment Notes	Ensure on Employment Plan with full narrative, name of advisor completing attachment & the date of activity as well as claim date
		Next Appointment Letter	
Customer Journey	About You Appointment	Welcome Induction Checklist	Signed
		Consent form	Signed – Copy in File with Original sent to Sheffield
		WP Agreement	Signed
		Travel Expenditure	If required to be documented on the Expenditure Checklist
		Childcare Agreement	If required to be documented on the Expenditure Checklist
		Initial Assessment form	Fully Completed and Core Activity Group confirmed
		Next Appointment Letter	
	Employment Planning	Initial Employment Plan	Signed
		Work Activity Induction	Where applicable & Signed
		Next Appointment Letter	
	Review Meetings	Updated Employment Plan	Signed & in date order (Ensure completed activity recorded)
		Next Appointment Letter(s)	
	Training Allowance	WP24	
		WP 4 letter	
		WP 25	
		WP26	
		Change of Circumstance	



		Activity Outcome	Where applicable (such as Copy Certificate)
	Interventions	Updated Employment Plan	Signed at Review with completed interventions recorded
		Intervention Letters	

Job	Job Entry	Employment Start Declaration Form	Signed – Copy in Customer File with Original sent to Sheffield
		Updated Employment Plan	Signed & including Sustainable Risk Assessment outcome & In Work Support strategy recorded
		ES40	If any
		Additional evidence	If any
Other	Re-Engagement / Re-Commencement	Updated Employment Plan	Signed
		Next Appointment Letter	
	Completion	Exit Report	Signed
		Updated Employment Plan	Signed & with all completed activity recorded (Any next steps / ongoing IAG to be recorded)
	Other Additional	Change of Circumstances form(s)	
		WP08	
		WP10	
		Copy of Customer CV	