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Work Programme Performance Management Regime CPA18 Incoming Provider

Document Control

Key personnel

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Abbreviations

Abbreviation	Detail
APR	Accelerated Performance Regime
BDC	Benefit Delivery Centres
CMO	Compliance Monitoring Officer
CPA	Contract Package Area
CPR	Contract Performance Review
DMA	Decision Making & Appeals
DWP	Department for Work and Pensions
JCP	Jobcentre Plus
JO	Job Outcome
MI	Management Information
MPL	Minimum Performance Level
PG	Payment Group
PIP	Performance Improvement Plan
PIN	Performance Improvement Notice
PM	Performance Manager
PMR	Performance Management Regime
SM	Supplier Manager
SMART	Specific; Measurable; Achievable; Realistic; Time bound
SPOC	Single Point of Contact
SPM	Senior Performance Manager
WP	Work Programme
WPD	Work Programmes Division
WSD	Work Services Directorate

Chapter 1 – Introduction and Background

This chapter covers:

Introduction
Background

Introduction

1. This document is a single point of guidance, specific to the Incoming Provider in Contract Package Area (CPA) 18 **only**, setting out the Performance Management Regime (PMR); and is applicable from the 2nd February 2015 onwards.

Background

2. In June 2013, Work Programme Division (WPD) introduced the new DWP PMR which sets out the structure and level of interventions DWP has with Work Programme providers.

3. Building on lessons learned from live running of the Work Programme, the re-let CPA18 contract introduces a number of key changes to current Work Programme contracts. Subsequently, the PMR v3 (current version as at August 2014) has been updated for this contract, to ensure all the changes are captured.

4. As the successful bidder in the CPA18 Re-let procurement exercise, you are responsible for taking new Work Programme referrals from 2nd February 2015.

Chapter 2 – Transferred Group of Participants

This chapter covers:

Introduction
Bulk transfer
Registering Attachment
Diagnostic Interview

Introduction

1. From 6th March 2015, all those participants currently being supported by the CPA18 contract who are unemployed, have a live claim to benefit (either JSA; ESA; IS / IB; or, UC eligible) and have more than 4 weeks remaining of their Allotted time on the Work Programme as at 5th March 2015, will transfer to you.

2. This group of participants will be referred to as the "Transferred Group of Participants".

3. A bulk transfer of system records will be undertaken by DWP to move the relevant participant records.

4. DWP expects the transfer to happen as soon after the 5th March 2015 as possible, with the intention of you being able to begin attaching these participants from 9th March 2015.

5. DWP will work with both you and the outgoing Provider during this period to ensure a smooth transition.

6. In preparation for the transfer, DWP will provide you with MI on a monthly basis (from December 20105 to February 2015) detailing the number of participants who would transfer over to you at that point.

7. On 6th March 2015, DWP will provide you with a scan detailing those participants who will be transferring to you.

8. The scan information will include:

   - Name of participant;
   - NI number;
   - Benefit type; and
   - Original referral date to Work Programme.

Bulk Transfer

9. Information sent as part of the referral for the bulk transfer of the Transferred Group of Participants will be the same personal data as for new referrals to the Work Programme. The information sent as a minimum will include:

- full name (including title);
- National Insurance Number;
- full address inc post code;
- telephone number inc std code;
- other telephone number (mobile);
- qualifications;
- Driving Licence;
- aims (free text field);
- job preferences;
- employment history;
- preferred hours;
- participant's Payment Group;
- if the participant is voluntary or mandatory ;
- Incident Marker – Notification where a participant has had an incident recorded while working with Jobcentre Plus. Further information on incidents can be requested by contacting Jobcentre Plus;
- Disability Status – Notification that the participant has informed Jobcentre Plus that they are disabled. (Please note: Under current processes you will be notified that the participant is a disabled person but you will not be notified what the disability is) disabled participant's may require special arrangements when you meet with them;
- childcare needs/arrangements e.g. lone parent, preferred working pattern;
- participant's signing cycle;
- participant's claim pattern;
- Voluntary Early Entry Category;
- Jobseekers Allowance (JSA) signing day;
- Jobcentre Plus agreed employment restrictions on availability;
- Welsh language written or spoken;
- referral ID;
- provision ID;
- date of referral;
- disadvantaged marker set Y (yes) or N (no). Where information states disadvantaged marker set 'Y' the provider will need to ask the participant to disclose any disadvantages they have; and

- vulnerable participant status – this will be notified in the form of the word “Safeguard” which will be detailed within the Action Plan Items of the field of the referral.

Registering attachment

10. Once referred via bulk transfer, you must engage the participants to discuss the Programme and also begin developing Action Plans. The Provider must keep evidence of this two-way discussion to register the attachments on PRaP. This must be available on request.

11. You must attach these participants within 4 weeks of the bulk transfer on PRaP.

12. You will be required, following the bulk transfer, to send an email to the Performance Manager (PM) detailing how many participants you expect to attach in each of the 4 weeks (w/e 13th 20th, 27th March and 7th April).

13. You will then be required to complete a weekly return (see Annex 62 - to be completed and forwarded at close of business on 13th, 20th and 27th March and 7th April) to the PM detailing how many participants have been attached, how many still remain and any issues.

14. The PM will monitor progress towards completion of the attachments.

15. As this group of participants will have already taken part in the Work Programme for varying periods of time, you will have between 4 weeks to 91 weeks (from the bulk transfer date) to work with them to help them find, and stay in employment, rather than the full 104 weeks allotted time for new referrals to the Work Programme.

16. You must treat those participants with the least number of weeks left on the Work Programme as priority, to ensure their remaining time left on Work Programme is maximised.

17. If during their time on Work Programme with the outgoing provider, the participant has moved to a different geographical area (outside the CPA) it will be your responsibility to deliver the Service Requirement, as stipulated in their bid.

18. You will need to ensure you tackle any barriers to work, taking account of the information contained in the Transfer Report.

Diagnostic Assessment

19. You will have the freedom to determine appropriate activities for each participant. However, DWP expects you to undertake a full Diagnostic Assessment with all participants in the Transferred Group, within 4 weeks of the bulk transfer on PRaP.

20. The purpose of the Diagnostic Assessment is to ensure that you are fully aware of all the activities each participant has undertaken so far on the Work Programme and understand what is required to support each participant into sustained employment.

21. As part of the bulk transfer, the outgoing Provider will complete a transfer report (see Annex 63) for each participant, which will provide information on the participant's journey to date. You must take this key information into account when completing the Diagnostic Assessment with the participant.

22. The transfer report will contain detailed information about the participant whilst they have been with the outgoing Provider. It will include:

- Name;
- National Insurance number;
- Referral date;
- Benefit type;
- Payment Group;
- Participant address;
- Participant contact details;
- If easements are in place (e.g. for domestic violence);
- If participant has been in prison;
- Training summary – Periods of training the participant has taken part in;
  - Course title,
  - start and end dates,
  - qualification gained or worked towards,
  - Any Work Experience undertaken.
- Employment summary – Periods of employment whilst on Work Programme;
  - Start and end dates,
  - Job role,
  - Name of employer,
  - Employer contact details;
  - Details of any barriers to employment identified.

- Details of any sanction activity within the last 6 month;
  - Reason for referral,
  - If currently under a disallowance.
- Details of any fixed sanctions for JSA;
  - Dates,
  - Reason
- ESA participants;
  - If they have an open ended sanction,
  - An update on recompliance requirements.
- Action Planning – Details of the participant's current action Plan; and
- Other information – this may include
  - Participant outside the CPA,
  - Any restrictions on availability – e.g. caring responsibilities.

23. You will have demonstrated, as part of your bid, how you will be able complete these diagnostic assessments within the 4 week period.

24. You will be required, following the bulk transfer, to send an email to the Performance Manager (PM) detailing how many diagnostic assessments you expect to undertake in each of the 4 weeks (w/e 13th 20th, 27th March and 7th April).

25. You will then be required to complete a weekly return (see Annex 62 - to be completed and forwarded at close of business on 13th, 20th and 27th March and 7th April) to the Performance Manager (PM) detailing how many diagnostic assessments have been undertaken, how many still remain and any issues.

26. The PM will monitor progress towards completion of the diagnostic assessments.

Chapter 3 – Allocating contracts to a Performance Management Regime

This chapter covers:

Introduction
Allocating of contracts to a Performance Management Regime
Flexibility to increase Performance Management

Introduction

1. WPD has designed a risk based approach to managing and improving the performance of the Work Programme.

2. In June 2013, Work Programmes Division (WPD) introduced the new DWP Performance Management Regime (PMR) which sets out the structure and level of interventions DWP will have with the Work Programme providers.

3. As performance may vary throughout the year, WPD will review the performance of all the 40 Work Programme contracts every six months to determine which regime apply.

Allocating Contracts to a Performance Management Regime

4. Every six months DWP will make a decision on the performance criteria to be used to select Work Programme contracts to determine whether the PMR or the APR should apply. The performance criteria used to inform and determine the decision making process may change dependent on the prevailing circumstances

5. Once the performance criteria has been decided, your Supplier Manager (SM) will organise a face to face meeting to notify you of which regime your contracts have been placed into.

6. The SM will advise you of the criteria used and the rationale as to why your contract(s) has been selected for either the Performance Management Regime or the Accelerated Performance Regime.

Flexibility to increase Performance Management

7. In addition to the activities outlined it should be noted that DWP has the flexibility to introduce any changes to the activities undertaken as part of the PMR and APR at any point in the performance year.

Chapter 4 – Six-monthly Performance Meetings with Work Programme Providers

This chapter covers:

Background
Timeline for the Six-Monthly Performance Meetings
Purpose of the Six-Monthly Performance Meeting
Outcomes from the Six-Monthly Performance meeting

Background

1. Six-monthly Performance Meetings are formal provider specific meetings to discuss your contract(s) performance and for you to assure DWP about your strategy to continually improve performance.

2. You will be invited by the Head of Work Programmes Division to a face to face six-monthly performance meeting which will take place every six months starting from April.

3. The content of each of the six-monthly Performance Meeting will vary depending on the performance of your contract(s).

4. The six-monthly Performance Meeting will be chaired by the Senior Management Team for Work Programmes Division and we would like you to send the same level of representation

Timeline for the Six-monthly Performance Meeting

5. You will receive an invitation letter (Annex 3) fifteen days prior to the meeting to confirm the date and venue of your six-monthly Performance Meeting.

6. You will also receive an agenda which will outline the key areas for discussion.

7. The six-monthly review meetings will be planned throughout the year and will be conducted throughout the following half yearly review period:

Review Period
Period 1: April, May June, July, August, September
Period 2: October, November, December, January, February, March

Purpose of the Six-monthly Performance Meeting

8. The purpose of the Six-monthly Performance Meeting is:

- To broadly discuss your performance using the latest WP Performance Dashboard and the latest provider performance MI;
- To discuss your current performance and clarify what activity and actions you are planning over the coming period to ensure that future performance will be increased/improved;
- To highlight to you any high-level concerns/issues identified by DWP in respect of the delivery of your Work Programme provision; and
- It is an opportunity for WPD Senior Managers to keep in touch with you at a senior level and if necessary inform you of any formal commercial action i.e. Performance Improvement Notice (PIN) that DWP is considering.
- Note: At the first six-monthly meeting, discussion may include implementation, early performance and the Transferred Group of Participants.

Outcomes from the Six-monthly Performance Meeting

9. Following the meeting you will receive the Key Points and Actions. These will be issued to you within 10 working days of the meeting taking place and you should include your actions on your Performance Improvement Plan (PIP), the progress of which will be monitored by your Performance Manager.

Chapter 5 – Performance Improvement Plans

This chapter covers:

Introduction
Performance Improvement Plan content
Providers allocated to the Accelerated Performance Regime

Introduction

1. You are required to have in place a Performance Improvement Plan (PIP) (see Annex 7) that has been signed off by DWP.

2. A PIP will be required from Go-Live of the contract (2nd February 2015).

3. Your Performance Manager (PM) will seek assurance through your PIP that the improvement measures you put into place will drive up performance to the level expected by DWP.

4. It is your responsibility to complete your Performance Improvement Plan.

5. Your PIP should be a comprehensive document which covers the entirety of your business, including Customer Service Standards.

   Note: the first PIP may include implementation activity.

Performance Improvement Plan content

6. Your PIP needs to demonstrate that you understand which areas of your delivery require improvement and the steps you will take to achieve this.

7. You will be responsible for updating your PIP on a monthly basis, and you must ensure that you have included clear dates, milestones, improvement activities and predicted uplift in performance in your PIP. You will need to ensure that you are comparing performance based on actual performance versus predicted performance.

8. It is important that your PIP is SMART (It should be Specific, Measurable, Achievable and Timebound) and contains the latest information. It is your responsibility to ensure that you deliver against your PIP.

9. Your PIP should also cover the key areas of performance improvement; detailing what additional activities you will be undertaking, how improvement will be achieved on a month by month basis, and what the expected outcome will be (uplift in performance).

10. Your PIP should also include details of where you expect to incur additional costs.

11. Once your PIP has been approved, you will be expected to undertake the actions you have set out and report your progress against the specified timescales.

12. Once your PIP has been signed off you are required to update the PIP monthly following the release of the WP Performance Dashboard. The monthly update will be a comprehensive update on your contract's performance over the month and the contract's progress against the PIP.

13. You should send your updated monthly PIP to your Performance Manager within five working days from the release of the WP Performance Dashboard.

Providers allocated to the Accelerated Performance Regime

14. Following the six months review, should you be allocated to the Accelerated Performance Regime you will be requested to submit a new PIP. This will be due to your current performance and improvement activity not meeting DWP's expected performance levels.

15. The content of your new PIP should include new activities to drive up your performance to the level DWP expects. This new PIP will need to be signed off by DWP.

16. The areas you will be asked to improve on may change according to the criteria selected for the current Performance Management Regime.

Chapter 6 – Performance Improvement Plan – Approval and Rejection Process

This chapter covers:

Approval and Rejection process

Please Note: This chapter applies to providers who submit their First or New Performance Improvement Plan and Flightpath (not an updated monthly PIP). Note: For CPA18 Incoming Provider the Flightpath is replaced by the Performance Offer profile detailed in the bid. As such, references to Flightpath in this chapter have been removed.

Approval and Rejection process

1. DWP will use their knowledge of your contract to assess the quality and effectiveness of your PIP. Final sign off will be completed by the Head of Work Programmes Division.

2. Once the PIP has been approved and signed off, your PM will send you an acceptance letter (Annex 10) within three working days of sign off.

3. If your PIP does not meet DWP's criteria, your SM will organise a meeting with you.

4. You will be asked to update your PIP, with activities/areas for improvement, which clearly demonstrates how you will increase your performance.

5. DWP will be reviewing your PIP against your Performance Offer profile.

6. If the re-submitted PIP clearly shows the areas of improvement and DWP feels the PIP is robust and fit for purpose you will receive an acceptance letter.

7. If DWP believes that the resubmitted PIP is not fit for purpose you will receive a rejection letter (Annex 11).

8. The Head of Work Programmes Division will then consider what further action is to be taken.

Chapter 7 – Contract Performance Reviews

This chapter covers:

Background
Key Changes to be aware of
Preparation for the CPR
Core Content of the CPR
Outcomes from the CPR

Background

1. The Contract Performance Review (CPR) is a monthly performance meeting chaired by the Work Programmes Division (WPD). The meeting brings together representatives of key stakeholders within the Contract Package Area (CPA) including:

   - WSD (single SPOC for each CPA)
   - Provider representatives
   - WPD Senior Performance Manager (SPM) if appropriate)

Additionally:

- WPD Supplier Manager (SM) will attend if required;
- Decision Making and Appeals representative if required (by telekit);
- Commercial Directorate representative (the PM/SPM has discretion to invite a representative if they believe Commercial input will be required for an agenda item); and
- WPD Compliance Monitoring Officers (CMO) (the PM/SPM has discretion to invite a representative if they believe input will be required for an agenda item) – this will be by exception.

Key Changes to be aware of

1. Note: This contract has a number of key elements which differ from other Work Programme contracts, all of which will be included in discussions at the CPR:

   - Performance Offer;
   - Transferred Group of Participants;
   - Customer Service Standards;
   - MI ask;
   - Mandatory use of -
     - Provider Direct;

- Unencrypted email (as stipulated by DWP);
- DWP Exit Report templates; and
- DWP DMA templates.

Performance Offer

2. You have made a performance offer across ALL Payment Groups, as part of your bid, for both “new referrals” to the contract and the “Transferred Group of Participants”. This performance offer will become your MPLs.

Transferred Group of Participants

3. Specific arrangements will be in place to manage these participants as they will be at different points in their Work Programme journey. The performance offer for these participants differs from the performance offer for new referrals to the Work Programme.

Customer Service Standards

4. As part of your bid, you have detailed core elements of your delivery model (Customer Service Standards) that all participants will be guaranteed to receive, as a minimum.

5. These Customer Service Standards (CSS) replace Minimum Service Levels (MSLs) used in the other Work Programme contracts. The CSS are qualitative and quantitative and span the whole of the Work Programme journey, to ensure each stage is productive.

MI ask

6. To support active performance management of the contract, you are required to supply the following information on a monthly basis – Note DWP will work with you to finalise the requirement and format:

- Subcontractor performance: job entry, job outcome and sustainment;
- total Staffing headcount including breakdown by PG/Segment where appropriate and type (personal adviser, employer adviser, management) including absence levels;
- fail to attend rates for interviews, group sessions and other interventions;
- productivity: Where an adviser function is part of the model this will be the Adviser contact time – both face to face and total;
- where segmentation of claimants features in the delivery approach – number and percentage of claimants in each segment;
- Claimant contact – the distribution of type and frequency of claimant contact

- front end staff to claimant ratios for each PG;
- use of any discretionary spending – number of awards, average value per award; and
- number of vacancies generated by employer adviser team.

Mandatory requirement

7. You must contact Provider Direct prior to making a referral for a sanction decision, to confirm there has been no change of circumstances that would make the referral inappropriate (note Provider Direct is not available for Universal Credit claimants).

8. You must also use:
   - Unencrypted email (as stipulated by DWP);
   - DWP Exit Report templates; and
   - DWP DMA templates.

Preparation for the Contract Performance Review

9. The purpose of the CPR is to formally examine your contract performance and to drive/challenge the performance. All relevant aspects of performance will be assessed against your contractual requirements and outcomes.

10. Prior to the CPR your PM will contact you to ensure that you have received the latest WP Performance Dashboard and that you have impacted the latest performance against your Performance Improvement Plan (PIP) in the monthly return.

11. You will be required to send to your Performance Manager an updated copy of your PIP at least 5 working days after the release of the WP Performance Dashboard. You should also provide any other supporting information as part of your PIP return.

12. It is important that you fully understand your performance level and be ready to be challenged by your PM on the activities you plan to implement to improve performance.

13. Prior to the CPR your PM will evaluate the performance of your contract using the WP Performance Dashboard and create a set of key questions. Your responses to the key questions will form a critical part of the discussion at your CPR. This will enable the PM to gain an understanding of how you are performing against your PIP, what actions have been taken to drive performance and how this impacts on the customer journey.

14. You will receive a copy of the key questions identified five working days prior to the CPR which you will be required to investigate and provide answers to. The answers/responses to the questions should be sent to your PM prior to the CPR meeting.

    Please Note: The key questions will form a significant part of the CPR discussion and will enable DWP to gain an understanding of how you are continuously striving to improve your performance. It is important that you are able to provide responses and evidence to support any improvements as you will be accountable for the performance against your PIP.

15. To support your PIP you should also provide any additional MI evidence of improvements which fall outside of Job Outcome performance.

Prior to the meeting

16. Five days prior to the CPR you will receive an agenda and any supporting documentation. The supporting documentation will include:

    - Actions from the previous CPR;
    - A copy of your updated PIP with the latest progress on improvement activity; and
    - Key questions that you must address prior to the CPR and provide a response to (prior to the CPR, time permitting).

Duration and frequency of the meeting

17. The CPR will be held:

    - Monthly for all contracts on either the Performance Management Regime (PMR) or the Accelerated Performance Regime (APR).

18. The CPR will be held within 15 working days of the due date for release of DWP WP Performance Dashboard (approx 20th day of each month).

19. The CPR will, as a guide, be 3.5 to 4 hours duration with the proviso that this can be increased if required.

Chairing the meeting

20. For contracts under the PMR, the CPR will be chaired by the PM however; there is the flexibility for the meeting to be chaired by the SPM or SM, if deemed appropriate.

21. The CPR for contracts under the APR will be chaired by either the SPM or SM.

Core Content of the Contract Performance Review

22. The CPR will focus on your key activities which will provide the biggest uplift in performance. You may be challenged on your performance and you will be made accountable for improving your performance as agreed in your PIP.

23. For all CPRs there will be five key Agenda items:

- Management Information – from the Work Programme Performance Dashboard;
- Actual performance towards meeting Quarterly MPLs and Twelve Month Rolling MPLs for all Payment Groups (for new referrals to the contract and the Transferred Group of Participants;
- PIP progress update and discussion;
- Responses to the Key Questions and evidence; and
- Customer Service Standards.

24. In addition to the above agenda items, your PM has the flexibility to add any additional items for your CPR.

Outcomes from the Contract Performance Review

25. You will take away the key action points from the meeting for you to progress for the next meeting.

26. You are required to update your PIP with any relevant actions arising from the meeting. Your PM will agree arrangements with you to send an updated copy of the PIP.

27. Your PM will send you a copy of the updated outcomes notes within ten working days of the meeting.

Chapter 7b – Formal Quarterly Reviews

This chapter covers:

Background
Detail and Process
Notification to Work Programme Providers
More information about the data used to calculate the Rolling Year performance targets
Failure to meet the 12 monthly rolling MPL
Issuing of a PIN
Action after PIN issued
End of Remedy Period

Background

1. This Chapter sets out the processes and decision points leading up to the consideration of a Performance Improvement Notice (PIN).

2. The Department will review performance against all Work Programme Payment Groups and a range of periods (in month, quarterly, contract to date etc) but these Formal Quarterly Reviews (that will lead to the consideration of a PIN) will only apply to Measured Payment Groups 1, 2 and 6A as per the Call Off Terms and Conditions of the Work Programme (as varied).

Detail and Process

3. The Formal Quarterly Review process assesses the performance of each Work Programme contract against the Twelve Month Rolling MPL(s).

4. The Review will assess performance at the end of each quarter – the Quarterly assessment periods and Twelve Month Rolling Measurement Periods are shown in the table at paragraph 7.

Notification to Work Programme Providers

5. At the start of each Quarter, the Department will notify the Work Programme provider of the total number of Job Outcomes (JO) required to

meet the Quarterly MPL(s) and the Twelve Month Rolling MPL(s) for PG1, 2 and 6A.

More information about the data used to calculate the Rolling Year performance

6. Assessment of performance against the Twelve Month Rolling MPL(s) will be based on six monthly validation and will comprise of **either:**

- 9 months of fully validated JO data (by fully validated we mean that the final post-appeal JO post-payment validation data will be used for first 9 months of the Twelve Month Rolling Measurement Period) and;

- final 3 months of the Twelve Month Rolling Measurement Period will be based on actual performance in these 3 months minus the last completed validation round JO post payment validation rate which will be applied equally to Payment Groups 1, 2 and 6A.

OR

- 6 months of fully validated JO data (by fully validated we mean that the final post-appeal JO post-payment validation data will be used for first 6 months of the Twelve Month Rolling Measurement Period) and;

- final 6 months of the Twelve Month Rolling Measurement Period will be based on actual performance in these 6 months minus the last completed validation round JO post payment validation rate which will be applied equally to Payment Groups 1, 2 and 6A.

7. The Table below shows the timeline the Department will assess performance, including the final assessment point when the Department has fully validated data.

Quarterly MPL(s) Periods	**Twelve Month Rolling Measurement Period**	**Data available for assessment (NET & using previous extrapolation)**	**Final assessment – Fully validated data**
January - March	April to March	End of April 6 months net data & 6 months	June

		using previous extrapolation	
April - June	July to June	End of July 9 months net data & 3 months using previous extrapolation	December
July - September	October to September	End of October 6 months net data & 6 months using previous extrapolation	December
October - December	January to December	End of Jan 9 months net data & 3 months using previous extrapolation	June

Failure to meet the 12 monthly rolling MPL

8. The Department will assess the performance under each contract against the Twelve Month Rolling MPL for the Measured Payment Groups 1, 2 and 6A, using the data described at paragraph six above.

9. Following each assessment, the Department will consider issuing a PIN if the provider has failed to meet any of the Twelve Month Rolling MPL(s) for the Measured Payment Groups 1, 2 and 6A.

10. The Department may issue separate PINs for each of these Measured Payment Groups.

11. PINs may run simultaneously or be raised following different assessments.

12. The Department will not issue a further PIN on the same Measured Payment Group before the Performance Improvement End Date of an existing PIN has been reached. .

Issuing of a PIN

13. Within the PIN the Department will notify the provider of a specified Remedy Period and Job Outcome Target the provider needs to meet by

the end of the Remedy Period for the specified Measured Payment Group. This will be the 12 month rolling MPL as at the end of the PIN Remedy Period.

14. Where a PIN is issued based on 9 months fully validated data and 3 months data applying the predicted extrapolation rate, or 6 months fully validated data and 6 months data applying the predicted extrapolation rate, (as outlined in paragraph 6) and the actual extrapolation rate reveals the 12 month MPL was achieved for that period, the Department will cancel the PIN.

15. Where a PIN is not issued based on 9 months fully validated data and 3 months data applying the predicted extrapolation rate, or 6 months fully validated data and 6 months data applying the predicted extrapolation rate (as outlined in paragraph 6), and the actual extrapolation rate reveals the 12 month MPL was not achieved for that period, the Department reserves the right to issue a PIN at any point.

Action after PIN issued

16. Following the issue of a PIN, the provider is required to provide the Department with a new Performance Improvement Plan within five working days, detailing the steps they will take to improve performance, within the time period specified by the Department. .

17. The Department will consider the most appropriate Performance Management Regime to be adopted during the Performance Improvement Period

18. The Department will always adopt a quarterly validation cycle during the formal Performance Improvement Period where the PIN period concludes at the end of Q1 or Q3 to ensure timely resolution of the PIN period. Where a PIN period concludes at the end of Q2 or Q4, the six monthly validation round will not delay the conclusion of a PIN compared to the previous quarterly validation regime.

End of Remedy Period

19. At the end of the Performance Improvement Period the Department will assess whether the provider has met the performance levels, the requirements and taken all of the actions specified in the PIN. If the provider has met the performance levels, requirements and taken all the actions specified in the PIN the Department will be in a position to consider lifting the PIN. If the provider has not met performance levels, the

requirements and taken all of the actions specified in the PIN, the Department will need to consider the full range of contractual and legal remedies available to it including possible termination of contract.

Chapter 8 – Work Programme Performance Dashboard Guidance

Note: This chapter will follow in due course

Chapter 9 – Compliance Monitoring Officer Checks

This chapter covers:

Introduction
Background
The Compliance and Monitoring Process from May 2015
CMO Compliance Check Question Breakdown

Introduction

1. The role of the Compliance Monitoring Officer is to carry out ESF or Match-Funded Provider visits, where evidence is viewed and assessed to see if contractual Customer Service Standards (CSS) and relevant parts of DWP and EU guidance have been followed / delivered.

Background

2. The ESF 2011-2013 programmes are 'performance managed'. The performance management process is supplemented by a programme of compliance monitoring techniques to ensure that contracts meet specific EU requirements i.e. the regulatory requirements.

3. For both ESF and Match Funded contracts, normal performance management arrangements apply with additional requirements to ensure that Providers are fully compliant with the EU regulatory requirements. There will be an annual check where match contracts will need to ensure that their programme of reviews incorporate arrangements to maintain compliance to core regulatory requirements such as document retention, marketing and publicity.

4. The Compliance Monitoring (CM) process is in place to provide assurance that Match Funded Providers are adhering to the agreed delivery models set out in their contracts and confirmation that the ESF Regulatory Requirements are being met.

5. There are two distinct areas of CM activity:

   - Contract Delivery (a monthly visit and checks)
   - ESF Regulatory Requirements (an annual check)

The Compliance Monitoring Process from May 2015

6. Stage 1 – The CMO will download internal (Intranet) PRaP data where a Random Selection of x25 participants will have been made. This Random Selection List will provide the participants that are to be checked in that month. Details of the participants will be anonymous and will only contain PRaP PO numbers as a reference.

7. Stage 2 - The CMO will send the randomly selected participants to the Provider 12 working days before the visit (and the visit date will have been discussed / agreed prior to May 15).

8. The Random Selection will be selected from the following parameters:

   x15 Participants Attached (live on programme) selected from the previous 24 (full) months from when the selection is made;
   x5 Participants where the Provider has claimed a paid Job Outcomes from the previous 24 (full) months;
   x5 Participants who have completed Work Programme from the previous 24 (full) months.

[Note: The selection parameters above will be commissioned to be carried out by the PRaP/POST Team. If less that 25 claimants are selected e.g. due to not enough paid Job Outcome participants during the early months of the contract, the Random Selection should be accepted and checked with the numbers provided. The PRaP parameters will not be changed or recalibrated to increase check numbers as selection has to be consistent with all other Work Programme Providers].

9. Stage 3 -During the CMO Provider visit, there will also be a monthly random check on **(up to) x5 Complaints**. The complaints will be randomly selected from the Provider's data where the CMO will select from any complaints logged during the previous 6 months from the date of their visit. The check is on the Provider's (correspondence) 'response times' and escalations, as per their complaints procedure. This check does <u>not</u> review the nature/content of the complaint but is a compliance review of the service the customer receives.

10. Stage 4 - At the end of the visit, the CMO will informally discuss their findings and issue all x25 ESF2a's and the ESF2b (Complaints) to the Provider. The CMO will inform the Provider of any missing areas of evidence. The Provider then has an additional 48 hours (two working days) from the visit to supply any additional evidence that already exists but may have been missed by the CMO.

11. Stage 5 – Once the CMO has considered any additional 48 hour period evidence (see Stage 4 above) the final ESF3 report is Quality Assessed by the CMO and Performance Manager (PM) and, once approved, sent on to the Provider and PM 12 working days after the visit.

12. Stage 6 - Any issues highlighted within the report are then discussed by the PM at the following Contract Performance Review.

13. Stage 7 - The following month the process is repeated.

CMO Compliance Check Question Breakdown

14. The CMO participant check form (ESF2a) is broken down into grouped headings which are as follows:

'Joining the Programme' –
X4 Generic (guidance-based) questions plus any relevant Provider CSS statements associated with 'Joining the Programme'.

'During the Programme' –
X6 Generic (guidance-based) questions plus any relevant Provider CSS statements associated with 'During the Programme'.

'DMA' –
X4 Generic (guidance-based) questions plus any relevant Provider CSS statements associated with 'DMA'.

'Job Entries & In Work Support' –
X2 Generic (guidance-based) questions plus any relevant Provider CSS statements associated with 'Job Entries & In-Work Support'.

'Leavers / Exit Reports' –
X1 Generic (guidance-based) question plus any relevant Provider CSS statements associated with 'Leavers / Exit Reports'. This check will be carried out on all leavers/completers but is marked as 'not applicable' for participants who are in work as per the JCP Exit Report exclusion process.

'Complaints' (the ESF2b form)
Up to x5 complaints are checked to ensure the Providers response times are compliant with their model.

Participants that have transferred from Newcastle College Group (NCG)

[Note: Participants on benefit (with 4 weeks or more allotted time on the Work Programme remaining, at 5th March 2015 – transferring to Maximus); The bulk transfer on PRaP of the Transferred Group of Participants will take place between the 6th and 8th March 2015, with the Incoming Provider having access to records from 9th March 2015.

15. Generic (guidance based) questions plus specific Customer Service Standards for participants transferring from Newcastle College Group.

16. For all NCG claimant checks, any evidence viewed by the CMO will be held by Maximus only. There is not requirement to view evidence that was previously held by NCG.

Chapter 10 – Performance Manager Checks

This chapter covers:

Introduction
Preparation for the checks
Performing the checks
Volumes and Timescales
Recording the Checks
Go-Look-See Checks
CMO follow up Checks
Completion of checks

Introduction

1. Performance Manager (PM) checks have been designed to complement those already carried out by the DWP Contract Monitoring Officers (CMO) by taking a more in-depth view at individual cases to ensure that you are supplying the relevant help and support to move the participant into sustained employment.

2. The purpose of these checks is to consider the quality of the service being delivered as opposed to the CMO check which looks at whether the specifics of the service have been delivered.

3. The checks will focus on the participant's journey, seeking assurances that you are addressing the participant's barriers to employment and to test your 'individualised' approach in line with your delivery bid.

4. The checks will also include a 'go-look-see' approach where PMs will observe a range of activities. These will not only be with you, as the prime provider, but also your end-to-end delivery partners, sub-contractors, specialist providers and call-off contracts.

5. Although the volume and frequency of checks per month may vary, PMs have the flexibility to check or observe any area of your delivery and increase the checks if deemed needed.

6. Once completed, the findings from the checks will be fed into an overall performance report which will be used to inform your next Contract Performance Review (CPR) meeting.

Preparation for the checks

7. You will be asked by the PM to supply lists of purchase order numbers each month for checking, which are broken down in to separate Payment Groups

8. The records to be checked will be selected using the random selector tool as used for the CMO visits or be dictated by the WPD SM /SPM if they have areas of concern they wish the PM to look at.

9. You will receive a letter (Annex 43) from your PM at least 12 days prior to the visit which will give you a list of the records numbers to be checked.

10. The letter will enable you to collate the paperwork from around the CPA (and possibly from sub-contractors) and have it ready at the appointed office.

Performing the checks

11. Each record selected will be looked at to ensure that you are doing everything you possibly can with the participant, to help them move into work. PM's will be looking to satisfy themselves that all participants are fully engaged with you and there is no evidence of participant's being 'parked'.

12. The choice of sessions to be observed during the 'go-look-see' visits may not necessarily be the same customer groups chosen as a sample for the record checks. PM's may wish to observe a range of interviews/sessions to form a more rounded view of your performance or to address any areas for concern highlighted by your SPM.

Volumes and Timescales

13. The volume of the checks may vary each month; however you will be given notice of what will be checked and which records (if appropriate) have been chosen.

Recording the checks

14. The paragraphs below set out the areas that will be checked on each record selected. The PM will record their findings and give you a copy on the day they have been completed (Annex 49).

15. You then have 48 hours to review the form and supply any further evidence you wish to submit that you feel the PM may have overlooked.

Go-Look-See Checks

16. The PM will observe a range of activities. These activities may be:

- Initial assessments with newly referred participants;
- Fortnightly/monthly review with participants;
- One to one sessions; and
- Group sessions.

Action Plans/ Initial Assessment

17. The PM will check that the JCP advisor action plan was received following referral and if that plan identified any particular barriers to work.

18. They will review the action plan created during your initial assessment to ensure that these barriers have been acknowledged and any others the provider advisor has identified added to it.

19. The plan should contain evidence that you are taking steps to address these barriers by offering relevant support (specialist if appropriate).

20. There should also be evidence that it has been made clear to the participant what is expected of them.

Training/Qualifications

21. The record should show if you have offered the participant training or the means to obtain a relevant qualification to help them overcome their barriers to work.

Participant Reviews

22. In this section they will check that evidence of regular reviews is shown. Each record of the review taking place should contain detail of what action has been taken since the last review and detail the next steps that the participant will undertake.

23. They will take particular note of whether there is any feedback on the participant's progress/achievements whilst taking part in or completing specialist provision.

Job search support / Employer Vacancies

24. In each case you should demonstrate how you are supporting the participant with their job search activities. The PM will be looking for evidence that participants are being submitted to suitable vacancies which match their skills set. If no suitable vacancies are available, the PM will be looking for evidence to show that you are offering job search support.

DMA

25. Whilst the CMO checks the DMA process, the PM will look in more detail at the circumstances in which the doubt arose to check whether you are issuing the correct letter (signed off by DWP) mandating them to that activity.

26. They will also consider whether you are mandating the participants appropriately, for example if the participant hasn't complied with your requests and no action has been taken, the PM will question why you haven't mandated the participant.

CMO follow up Checks performed by the PM

27. Once the CMO has completed and scored their checks, CMOs will issue the forms back to you to notify you of any issues.

28. If, after 48 hours, you have not produced additional/existing evidence to the CMO which rectifies the highlighted issues, PM will complete a follow up check to ensure that you have rectified the issue the CMO has highlighted within their report.

29. The checks will be performed at the PM's next visit after 'one calendar month' has lapsed.

30. If you do not rectify the issue when the PM completes the follow up visit, this will be discussed at the CPR.

Completion of checks

31. Once completed, findings from the 'go-look-see' observations will be considered alongside the findings of any record checks to inform your next CPR meeting.

32. The final report will be made available to you within 12 working days of the visit.

Chapter 11 – Deep Dive Analysis

This chapter covers:

Why undertake a Deep Dive Analysis
Conducting the meeting
Following the meeting
Reviewing performance

Why undertake a Deep Dive analysis?

1. A 'Deep Dive' analysis may be used as a tool to take an in depth look at a subject to identify its strengths and weaknesses. From this it is possible to see what is working well and what areas need to be worked upon, in this case to improve performance in the chosen area.

2. DWP may decide that undertaking a 'Deep Dive' to look at one or more areas of your delivery could help improve your performance, no matter which tier of the Performance Management Regime you have been placed into.

3. In some cases you may suggest that a Deep Dive Analysis takes place. If this happens, every effort will be made to facilitate this to help you improve your performance.

4. DWP will work with you throughout this process and support you whilst you implement any changes agreed at the meeting.

5. DWP will invite topic experts to help inform the meeting. It will not be for DWP to instruct, but to provide information if the provider feels they need it. The responsibility to come up with a solution (e.g. improvements to processes) falls to the provider.

Conducting the meeting

6. A meeting will be held where the nominated subject is discussed and dissected with a resolution/solution and next steps agreed. It will also be agreed how and when the review process will take place.

7. Prior to the meeting you will receive a letter (Annex 52) from your Performance Manager giving you the date and time of the meeting, along with details of the subject to be covered.

8. There may also be an agenda, however as the majority of the meeting will be a discussion, it will be a guideline of timings only.

9. It is essential that your attendees are subject experts and have the authority to agree and implement any recommendations from the meeting.

10. You should ensure that they are fully prepared and have any paperwork they may feel necessary to support them during the meeting as they may be asked to walk through the current process to give others a full picture of the situation.

11. The final part of the meeting should review the identified actions and agree timescales for implementation.

Following the meeting

12. DWP will issue the outcome note to all attendees within five days of the meeting.

13. If the Supplier Manager has decided that a follow up meeting will be needed this should be detailed here.

Reviewing Performance

14. Your PM will continue to review your performance as usual. Any improvement in the areas highlighted by the Deep Dive and implemented should be reflected in increased performance.

15. It may also be helpful for you to track the specific impact the Deep Dive has had on your performance overall, as the changes you have made as a result of the process may be shown in other areas as well as that specifically highlighted.

16. You will be expected to provide updates on the improvement of the area covered by the Deep Dive at your CPR. This should include details of any increase in performance and your planned next steps to maintain this and further drive up performance.

Chapter 12 – Accelerated Performance Regime Workshops

This chapter covers:

Introduction
Purpose of the Workshop
Workshops
Next Steps

Introduction

1. On a monthly basis DWP will run a Workshop. These workshops will be held over a six month period and will give DWP the opportunity to share good practices with other Work Programme providers on the subject area.

2. The Workshops will only be held for those contracts subject to the Accelerated Performance Regime and will cover specific topics that have been selected by Work Programmes Division.

Purpose of the Workshop

3. The purpose of the Workshops is to give you the opportunity if you wish to implement shared practice within your own organisation.

Workshops

4. The workshops will be scheduled for all providers and you will be issued with a letter (Annex 58) inviting you to attend. This will be, once a month over a six month period.

5. Two days prior to the workshop you will receive an agenda and any supporting information.

6. It is expected that the workshops will be face to face and will last between a half-day to one day, dependant on the topic.

Next Steps

7. DWP will closely monitor your performance on the specific topic following each workshop.

8. After 3 months following the workshop, DWP will compare your performance by using the WP Performance Dashboard current at the

time of the workshop, with the latest WP Performance Dashboard available.

9. This will enable DWP to establish whether following the workshop, you have improved performance in the specific topic area as covered at the workshop.

10. A report will be produced at 3 months following the workshop. This will be shared with your PM who will discuss the findings at your next CPR.

Annex 3 – Invitation to the Six-monthly Performance meeting

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/408910/cpa18-annex-3.rtf

Annex 7 – Performance Improvement Plan (PIP)

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/408911/cpa18-annex-7.rtf

Annex 10 – Performance Improvement Plan (PIP) Acceptance letter

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/408912/cpa18-annex-10.rtf

Annex 11 – Performance Improvement Plan (PIP) Rejection letter

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/408914/CPA18-annex-11.rtf

Annex 43 – PM Checks Letter to Provider

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/408915/CPA18-annex-43.rtf

Annex 49 – PM Checks Letter to Provider – Summary of findings

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/408916/CPA18-annex-49.rtf

Annex 52 – Deep Dive Provider letter

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/408917/CPA18-annex-52.rtf

Annex 58 – Workshop Invitation letter

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/408918/CPA18-annex-58.rtf

Annex 62 - Weekly progress return – Attachments and Diagnostic Assessments

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/408920/CPA18-annex-62.rtf

Annex 63 – Transfer Report

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/408921/cpa18-annex-63.xls