

Access to Work Provider Guidance

Access to Work Holistic Assessment

Contents

Access to Work Provider Guidance.....	1
Access to Work Holistic Assessment.....	1
Contents	1
Background	3
Eligibility conditions for Access to Work.....	3
Types of Support	4
How to refer a Customer to Access to Work.....	5
Holistic Assessment Contracts	6
Initial Engagement and Customer Contact	6
Undertaking an Holistic Assessment	7
Scheduling an Holistic Assessment.....	8
Exceptional Circumstances	9
Cancellation of an Holistic Assessment.....	9
Validity Period of Needs Assessment Report	10
Additional Needs.....	10
Marketing.....	10
Communications	10
Quality	11
Assessors	13
Payment for Holistic Assessments.....	14
Management Information (MI)	15
Performance Management	16
Enquiries and Complaints.....	17
Issues Management	17
Document Security	18
Document Retention	18
Access to Work Holistic Assessments Customer Journey (text version)	19
Annex A - Needs Assessment Referral	20
Annex B - Needs Assessment Report	22

Department for Work and Pensions	22
Annex C - Standard Email Format and Content for Acceptance and Rejection of Reports	25
Annex D - Access to Work Assessment Contracts Claims Form	26
Annex E - Access to Work Assessment Contracts Management Information.....	27
Annex F – Standard wording for your final response to the Customer’s complaint	28

Background

- 1.1 The Access to Work programme is a Jobcentre Plus grant scheme which assists disabled people who are in paid employment, self employed or participating in a Jobcentre Plus agreed Job/Work Trial which may have already commenced, or is due to commence, by providing practical support to overcome work related obstacles resulting from their disability. Support is also available for young disabled people to enable them to take up an offer of a Work Experience placement.
- 1.2 It does not fund normal business running costs or general costs that every employer and employee has, but may contribute to additional employment costs resulting from disability over and above those costs considered to be reasonable adjustments.
Access to Work cannot pay for the costs of setting up a business such as:
- standard items of equipment;
 - support for fact - finding;
 - going on courses, seminars or similar events
- 1.3 In some cases (for example, larger employers) DWP and the employer will share the costs.

Eligibility conditions for Access to Work

- 1.4 Access to Work is available to people who have a disability, long term health or mental health condition that is likely to last for 12 months or more.
- 1.5 To receive Access to Work help the following eligibility conditions must be satisfied. Customers must:
- be disabled or have a health condition that impacts their ability to work
 - be 16 or over (there is no upper age limit for support as long as the employment is likely to continue)
 - be in employment, whether as an employed or self-employed person, but not in voluntary work
 - be earning at least the National Living Wage or National Minimum Wage rate for each hour that they work (there is no minimum number of hours to be worked and the total amount of any wage is immaterial to eligibility).
 - National Living Wage is applicable to those aged 25 or over (but not in the first year of an apprenticeship)
 - National Minimum Wage is applicable to those aged under 25

However, people serving apprenticeships are eligible for Access to Work support as they receive a wage and have a contract of employment. National Minimum Wage rates do not apply to people on apprenticeships.

- be in need of help at a job interview with an employer. It is normally used by hearing-impaired Customers but it is available to anyone who has a disability which affects their ability to communicate. It is available for all job interviews, including internal promotion

Communication Support at an interview cannot be used for

- communication within a job such as job induction and job reviews, when you should consider a Support Worker
- for Customers attending interviews with a Disability Employment Adviser, Jobcentre Plus Specialist Adviser or other DWP staff.
- for attending other DWP programmes such as the Work Programme

Interpreters or communicators are to be employed in a format understood by the individual Customer such as British Sign Language (BSL) or lip speaking

or

- be about to start employment
- be about to start a Job/Work Trial (Jobcentre Plus organised or individually established where there is a reasonable prospect of employment after the trial)
- not be in receipt of Employment and Support Allowance (ESA) and/or NI credits only (or will cease to claim whilst in work) unless the Customer is about to start a JCP agreed Work Trial; on Permitted Work Higher Level; Permitted Work (PCA exempt) or Supported Permitted Work
- be resident in Great Britain, excluding Northern Ireland, the Isle of Man and the Channel Islands, with a job based in Great Britain, help can, however, be used to cover Customer's visits overseas for work purposes
- support is also available for opportunities that will help disabled people get ready for employment such as Traineeships, Sector-based Work Academies and Supported Internships

Types of Support

- 1.6 Access to Work provides practical advice and support to disabled people and their employers to help overcome work related obstacles resulting from disability. It can also provide a grant towards additional support relating to their disability that the person would need to do their job.
- 1.7 The Access to Work Assessment contracts offer individuals holistic assessments that explore all relevant factors that impact on their work place barriers to employment. The purpose of the assessment is to make recommendations on how to overcome these barriers and to provide a Needs Assessment Report to the DWP National Access to Work Team which

contains recommendations for the provision/purchase of specialist equipment and adaptations or a workplace support worker as appropriate.

- 1.8 Help is available in a number of ways. For example, it can help pay for:
- special aids or equipment to enable a disabled person to do their job
 - adaptations to equipment to make it accessible
 - adaptations to buildings to make them accessible over and above what is required by law
 - the additional costs of travel to work for people who are unable to use public transport because of their disability or health condition
 - a support worker in the workplace, such as:
 - a reader for a visually impaired person
 - an interpreter for someone with hearing difficulties

The upper limit of support for Access to Work customers is currently set at £41,400 per customer per year as at April 2016. This is reviewed annually in line with UK average earnings.

- 1.9 Detailed background and further information is available on request from your Performance Manager.

How to refer a Customer to Access to Work

- 1.10 Access to Work is delivered through Access to Work Advisers. Access to Work Advisers can offer advice to Customers and employers.

Customers should apply for Access to Work support online at the [Access to Work section of GOV.UK](#)

Alternatively, Customers can contact the Access to Work Service Centre on 0345 2688 489 (Textphone 0345 6088 753) to make their application. Lines are open 8am to 6pm Monday to Friday.
atwosu.london@dwp.gsi.gov.uk

- 1.11 Customers should contact the Service Centre themselves. Therefore, if a Customer appears eligible for Access to Work you should explain to them that they should contact Access to Work and provide them with the relevant telephone number.
- 1.12 The Service Centre will:
- check their eligibility
 - take their application and pass it to an Access to Work Adviser who will work closely with the Customer and can draw on the expertise of independent specialist assessors to identify appropriate solutions to their

needs, working with the Customer and their employer to propose a package of help.

Holistic Assessment Contracts

- 1.13 The contract period for the holistic assessment contracts began on 3 November 2011. It was extended for 2 years in 2014 and an additional 6 months in 2016 and will now run until 4 June 2017.
- 1.14 You are responsible for ensuring you read, understand and comply with your contract and this Provider guidance, in conjunction with the [Generic Guidance for DWP Providers](#).

Initial Engagement and Customer Contact

- 1.15 You are required to:
- provide a Customer help desk facility from 08.30 to 17.00 Monday to Friday
 - record all Needs Assessment Referrals and assess, prioritise and action them in an efficient, Customer focussed and cost effective manner
 - requisition an appropriate holistic assessment using the form at [Annex A](#) from an approved assessor who is named in your contract
 - contact the Access to Work Customer within 24 hours of receipt of the Needs Assessment Referral from the Access to Work Adviser, to arrange a date and time for the holistic assessment. (The Access to Work team will have checked beforehand that the Customer and/or employer and any other parties concerned (eg: Occupational Health representatives) are available and contactable to ensure the Assessment is undertaken within the timeframe indicated in your contract.)
 - you should not provide work related support for Customers with regard to mental health provision. You should notify the Access to Work Adviser of this verbally or via the holistic assessment report. The Access to Work Adviser will then take the appropriate action
 - you should not comment on or offer advice to Customers or their employers about any aspect of the potential decision on their application for an Access to Work grant
 - if you receive a request which you consider to be potentially outside your remit or that you have received an inappropriate referral, you should refer to your Single Point Of Contact (SPOC) - the Access to Work Contract Liaison Point. In the absence of the SPOC you may contact the Access to Work Business Manager to determine the appropriate action to take.

Undertaking an Holistic Assessment

- 1.16 The Customers' expectations should be managed throughout the holistic assessment process to minimise the possibility that they may reject their final report. The content of the report should not come as a surprise to the Customer, nor should they be expecting support over and above what is recommended.
- 1.17 A suitably qualified assessor will:
- meet with the Customer face to face
 - undertake the specified holistic assessment exploring all relevant factors of the individual's disability
 - make recommendations to address work related barriers specifically related to the Customer's disability. Support Worker support can be recommended but all other potential options must be explored first and the report should clearly indicate the other options that were considered and why they were deemed unsuitable. The report should clearly indicate tasks that potentially require Support Worker assistance and the average amount of time the Customer spends on this task per month
 - produce a written Needs Assessment Report in the specified format and to the specified standard using the form at Annex B and return it, electronically encrypted, within the timeframe specified in your contract, to the e-mail address as specified within the initial referral ensuring the report is:
 - legible and in plain language
 - checked for grammar, spelling and punctuation
 - well-presented and of good quality
 - in point 12 Arial font (unless you need to make alternative requirements due to the Customer's disability)
 - logically sequenced, clear, informative and complete
 - fully detailed and consistent (please note it will be seen by the Customer and/or their employer)
 - not prescriptive but provides recommendations based on evidence (terminology used should demonstrate an emphasis on independence and choice)
 - each recommendation provided is detailed in order of value for money

N.B: When recommendations are made for building adaptations (over and above those which are required by law) to enable access to premises, you will specify quantities and suggest specialist suppliers for the employer to contact, to investigate the feasibility of removing the barriers, but you will not recommend specific works or contractors to carry out the works.

N.B: In a small number of cases, the Access to Work Adviser may request an additional Needs Assessment Report from you if they have concerns about the recommendations included in the existing report.

1.18 This situation could arise when, for example, a Customer's representative/interpreter assists them with the Access to Work application process and this person or their employing organisation may also be helping the Customer to identify types of support they require and offering to provide that support.

1.19 The Customer Journey is mapped in detail at [Page 18](#) of this guidance.

Scheduling an Holistic Assessment

1.20 Key to scheduling the assessment with the Customer is to ensure that it takes place as quickly as possible but takes into account the availability of all parties to be involved. Ideally we expect you to:

- contact the Access to Work Customer within 24 hours of receiving a Needs Assessment Referral Form from DWP to arrange a date and time for the holistic assessment
- offer the Customer at least 5 appointment slots within the timeframe specified in your contract;
- keep a record of all appointments offered to the Customer
- make at least 3 attempts within the first 3 days to contact the Customer to schedule the holistic assessment
- try to ensure that the attempts to contact the Customer are made at different times of the day to avoid conflicting with regular scheduled commitments the Customer may have (eg: school run)
- use a variety of media - eg: - mobile phone, landline, e-mail, whichever is the Customers preferred method
- record all information regarding attempted Customer contact;
- if you are unable to contact the Customer within the first 3 days, you should inform the Access to Work referring Adviser by phone or email detailing the dates and means used to attempt to contact the Customer
- the Access to Work referring Adviser will contact the Customer and advise them to contact you to schedule an appointment
- you will send the referral back to the referring Adviser if contact has not been made by the Customer
- once the holistic assessment has taken place, you should complete and send the Needs Assessment Report in the usual way

Exceptional Circumstances

1.21 If you are experiencing difficulty obtaining commitment from specialist suppliers to undertake an assessment and provide a quotation, and this is clearly delaying Access to Work support from being provided, you can raise a request to the Access to Work Team for consideration of exceptional circumstances.

- requests should be submitted for consideration on a case by case basis
- you may be requested to provide evidence on how the sole supplier equipment/services could better overcome the Customer's disability and difficulties they are facing at work
- please send all details of the situation to the Access to Work Contract Liaison Point.

ATWPROVIDER.CONTRACTCORRESPONDENCE@DWP.GSI.GOV.UK

detailing:

- what is the problem you are experiencing that cannot be resolved via the existing Access to Work supplier processes?
- please explain:
 - why won't the specialist attend to undertake the assessment?
 - what negative effect will this have on the Customer?
 - what is your suggested alternative approach?

Access to Work will consider your request for exceptional circumstances and respond within 5 working days.

Cancellation of an Holistic Assessment

Cancellation by the Customer

1.22 Where a Customer cancels an appointment it is important that you act quickly as delays could impact on the achievement of the target specified in your contract.

1.23 This refers to when a Customer cancels a scheduled appointment or does not wish the holistic assessment to take place at all.

- in the event of a cancellation by the Customer you should reschedule a new appointment
- however, you should refer back to the Access to Work referring Adviser if:
 - the Customer is not available in the timeframe specified in your contract from the original referral. The Adviser must be informed of the reasons for the Customer cancellation and any rescheduling attempts you have made
 - the Customer does not want the holistic assessment to take place at all
 - the Customer is not sure when they will be available

- you are unable to contact the Customer within the timeframe specified in your contract from the original referral and the Customer has not contacted you

Cancellation by the Provider

- 1.24 This refers to when you cancel a scheduled appointment or were not able to carry out the holistic assessment at all.
- you should make every attempt to conduct the holistic assessment as arranged but if you are unable to carry out the assessment for any reason, contact the Access to Work Adviser for advice
 - please provide the reasons for cancellation of the appointment
 - it is not acceptable to return referrals due to assessor availability

Validity Period of Needs Assessment Report

- 1.25 Recommendations from the Needs Assessment Report are expected to be implemented by Employers at the earliest opportunity to enable the employee to integrate into their working environment as quickly as possible.
- 1.26 If longer than 12 weeks elapses and the recommendations haven't been implemented, a new [referral](#) will need to be made and a new Needs Assessment will need to be completed to ensure the recommendations are as up to date as possible.

Additional Needs

- 1.27 You should, wherever possible, comply with (and provide at your own cost) any reasonable requests to accommodate Customers who have additional needs.
- 1.28 Additional needs include, but are not limited to, the requirements of the Customer for the holistic assessment to be undertaken by an assigned holistic assessor of the same gender or the Customer's need for an interpreter or BSL signer during the assessment process.

Marketing

- 1.29 You should not directly market your services to either the individuals you have assessed under the contract or their employer.

Communications

- 1.30 You should establish and maintain robust communication channels with all your delivery partners to ensure prompt and accurate transmission of information.

- 1.31 It is your role to keep the Access to Work team and Performance Manager up to date with any issues/developments that could impact on this contract and ensure that all stakeholders have the information they need.

Quality

- 1.32 We are keen to ensure that the quality of Access to Work provision is second to none and consider this to be a shared responsibility.
- 1.33 You are responsible for ensuring that Customers and their employers have access to suitable and high quality support in a way that provides a good service and an excellent Customer experience. For Access to Work to offer the most effective support possible to Customers, a number of key features are integral to delivery. We expect you to:
- focus strongly on speed and accuracy
 - demonstrate a sound understanding of the breadth of disability issues which may be experienced by Access to Work Customers and the appropriate support options available to address the Customer's workplace barriers to meet the Customer's minimum needs
 - give advice and guidance on technical and ergonomic issues as deemed appropriate by the Authority
 - build strong links with key partner organisations
- 1.34 The Needs Assessment Report at [Annex A](#) is required to enable Access to Work Advisers to determine the best possible solution for the Customer.
- 1.35 It is important that the Report is of good quality and the Access to Work team will define whether Reports are 'to the specified standard', based on the criteria below.
- 1.36 A report may be deemed not to the specified standard and therefore rejected if:
- there is the wrong number of quotes or no quotes have been provided (NB. Also see Exceptional Circumstances on page 8)
 - there is no sole supplier stencil
 - three quotes are not provided for items over £500
 - for training quotes – if a quote is provided per training session instead of for the complete package to avoid providing three quotes (eg: half day support costs £150 but the Customer needs 10 half days, taking the cost up to £1500, we therefore would require three quotes as the item cost is over £500)
 - quotes are not calculated accurately
 - quotes do not include VAT/delivery costs
 - quotes are not on a separate page

- value for money is not considered (ie: many cheaper quotes available)
- in regard to chairs, if the quotes are for different specifications
- compatibility checks are not done before recommending equipment/ software
- incorrect information is reported
- there are spelling and grammatical errors
- the recommendation for support is not available in the Customer's area;
- recommending Human support without Access to Work Advisers' consent
- recommending Human support without exploring other options
- there is no full justification for the support recommended
- there is no explanation of how recommendations will overcome the Customer's difficulties
- it is evident that the Assessor has been influenced by Customer preference and has not considered the minimum requirements (eg: this is sometimes evident in reported conversations with Advisers which focus on what the Customer 'prefers' or 'wants')
- there is missing information as per the referral standards (ie: progression planning, employer section) in the report
- there is missing information regarding the customer's condition/ support required (eg: if an element of support is discussed with the Assessor but has not been included in the assessment report, such as travel to work considerations.)
- it contains personal/confidential information reported to the Assessor that the Customer did not want disclosing on the report (Assessors should ensure that they advise the Customer that they will report anything they tell them unless otherwise stated). If the Assessor wants to make the Adviser aware of any issues, a separate document can be added for the Adviser's eyes only (the Customer may report that they told the assessor not to include certain information)
- the Report indicates that the employer is not sympathetic or making reasonable adjustments when this is not the case (ie: reporting that time off is needed for appointments, breaks required etc. This is positive in showing that the Assessor is taking an Holistic approach but needs to be worded in a way that indicates the employer is already supportive of this (if this is the case)) The report should be fact based, impartial, unbiased and non-critical of the employer or individual
- the Report is too prescriptive in telling the employer what they should be doing instead of suggesting under reasonable adjustments
- there is no evidence that an Holistic approach has been taken
- the barriers are not fully explained
- the Report is too prescriptive in advising what Access to Work will or will not pay for
- no Job Analysis is contained in the report

Please note this is not an exhaustive list.

- 1.37 You will be notified whether the Report has been accepted or rejected by e-mail. Wherever possible, this will be within 5 working days of the receipt of the report. The standard notification stencil which will be used to notify you can be found at [Annex C](#).
- 1.38 If the Access to Work team decide that a report is not to the specified standard you will be notified of the reason and you will be required to review and resubmit the report within 2 working days of its return.
- 1.39 If you are concerned about reports that have been returned for rework, you should refer to your Single Point Of Contact (SPOC) the Access to Work Contract Manager. In the absence of the SPOC you can contact the Contract Support Officer to determine the appropriate action to take.
- 1.40 The Access to Work team will monitor the quality of Assessment Reports and the number returned to the Provider as unacceptable on a monthly basis.
- 1.41 This information will be discussed formally as part of regular performance reviews led by your Performance Manager. Where appropriate, remedial measures, including a Performance Improvement Plan, will be agreed to address areas requiring improvement.
- 1.42 Assessors should be suitably qualified and experienced to enable them to recommend the correct solutions. If, following investigation, the Provider is found to be responsible for making incorrect recommendations, they will be liable for any additional costs. This would include an additional holistic assessment, if necessary.

Assessors

- 1.43 Access to Work Customers and their employers will be advised that they have a period of two weeks from receipt of the report in which to respond to the report and raise any concerns.
- 1.44 You should ensure all your holistic assessors meet the standards set out in your Contract and that they continually update their skills in line with professional requirements to ensure they have the necessary experience required to deliver the contract.
- 1.45 All changes in personnel and/or organisational structures/responsibilities should be notified in advance to your Performance Manager and Commercial contact. It is your responsibility to ensure that all replacement personnel are of

at least equivalent experience/skills to the former post holder, in line with your contract.

- 1.46 If an assessor's reports are consistently considered to be not to the specified standard or if the Access to Work team have concerns regarding the service provided, (including but not limited to the number of complaints received), your Performance Manager will work with you to implement a Performance Improvement Plan.
- 1.47 If improvement to the required level is not achieved in line with the Performance Improvement Plan, the assessor will be removed from the list of approved personnel. The SPOC will make the final decision in this instance.

Payment for Holistic Assessments

- 1.48 Payment will be made on acceptance of the Needs Assessment Report by the Access to Work Adviser.
- 1.49 You should only submit a claim for payment when you have received an acknowledgement e-mail from the Access to Work Adviser that the Needs Assessment Report has been accepted as to the specified standard.
- Submit a claim for payment on the last working day of each month via PGP encrypted e-mail
 - send it to the PGP Designated Officers:
- Charles Baily (Payments Team Member)
Tel: 0208 426 3083
e-mail: charles.baily@dwp.gsi.gov.uk
- Bhasker Gaglani (Payments Team Member)
Tel: 0208 426 3850
e-mail: bhasker.gaglani@dwp.gsi.gov.uk
- Janu Vijayanathan (Payments Team Manager)
Tel: 0208 426 3226
e-mail: janarthani.vijayanathan@dwp.gsi.gov.uk
- 1.50 Ensure you have completed all Customers' unique reference numbers (URN) being charged. (The URN is assigned by the Access to Work team on the Needs Assessment Referral form).
- 1.51 A copy of the Holistic Assessment Claim form can be found at [Annex D](#).

Management Information (MI)

Monthly MI

- 1.52 You should submit your monthly MI by the 3rd working day of each month to your Performance Manager. Please also copy to the SPOC (the Access to Work Contract Manager) and Contract Support Officer.
- 1.53 Monthly MI comprises the:
- number of Needs Assessment referrals received in month and year to date
 - number of referrals cancelled by the Customer in month and year to date;
 - number of Needs Assessment Reports that have been returned within the performance indicators detailed in your contract in month and year to date
 - number of Needs Assessment Reports that have been returned within 1-8 working days in month and year to date
 - number of Needs Assessment Reports that have been returned within 1-9 working days in month and year to date
 - number of Needs Assessment Reports that have been returned within 1-10 working days in month and year to date
 - number of Needs Assessment Reports that have been returned within 11-15 working days in month and year to date
 - number of Needs Assessment Reports that have been returned within 16-20 working days in month and year to date
 - number of Needs Assessment Reports that have been returned over 20 working days
 - number of days oldest case outstanding
 - total number of reports outstanding over the performance indicators detailed in your contract in month and year to date
 - number of Needs Assessment Reports returned to DWP for rework in month and year to date
 - number of reports returned to DWP following rework within 2 days
 - number for primary disability/health condition assessed in month and year to date
 - muscular Skeletal (Arms and Legs, Back or neck, Legs or feet)
 - difficulty in hearing
 - difficulty in seeing
 - learning disability
 - progressive Illness
 - dyslexia
 - mental Health
 - other (Cerebral Palsy, Spina Bifida, Diabetes, Epilepsy, Difficulty in speaking, Stomach, Liver, kidney or digestion, Heart, Blood pressure or Circulation, Chest or Breathing, Skin Conditions and severe disfigurements)

- number of complaints received in month
- number of complaints resolved in month
- number of referrals cancelled by the Provider
- number of needs assessments that have been returned within 8 days, 9 days and 10 days as well as needs assessments that are still in the pipeline and not yet reported on lines 11-16

1.54 Please see the attached MI template at [Annex E](#).

Yearly MI

1.55 You should submit your yearly MI by the 3rd working day of the next year to your Performance Manager. Please also copy to the SPOC (the Access to Work Contract Manager) and Contract Support Officer.

Yearly MI comprises:

1.56 A summary report for all your delivery staff detailing all continuous professional development activities undertaken in the last 12 months and a forward look plan for the next 12 months. As a minimum the plan should include:

- how and why the activities were selected and the supporting rationale
- the benefits of these activities to the service you deliver

Ad-hoc MI requests

1.57 Occasionally you may be asked to provide other statistical data that is relative to the services you deliver. In these circumstances you should make available for inspection all such records and work counts as requested within 10 working days.

1.58 You shall allow DWP access to all MI throughout the life of your contract and maintain all data as specified in your contract.

Performance Management

1.59 You will have monthly discussions with your Performance Manager to review performance In Month and trends achieved against contractual requirements.

1.60 You will have formal quarterly Contract Performance Reviews with your Performance Manager and Access to Work SPOC.

1.61 You will update your Performance Manager and Commercial contact immediately on any changes to information, data, progress, processes, procedures and issues relating to this service.

- 1.62 Performance Improvement Plans will be used to monitor and support continuous improvement and monitor agreed performance improvement actions.

Enquiries and Complaints

- 1.63 You must have an appropriate and effective complaints process across your whole supply chain to resolve Customers' complaints. You must explain your complaints process to the participant in your first contact with them.
- 1.64 You should refer to the [Complaint Resolution Core Briefing Pack](#) for Providers and the [DWP Customer Charter](#) when reviewing your processes.
- 1.65 Where a participant is unhappy about the service they receive from you and raises a complaint you should ensure that you follow each step of your detailed process robustly in order to bring the complaint to a satisfactory conclusion.
- 1.66 After following all steps in your process you must include in your final response to the participant a standard text which signposts the Customer to contact ICE should they wish to pursue their complaint. The text can be found in [Annex F](#) of this Provider Guidance.
- 1.67 ICE will mediate between you and the participant to broker a resolution. If a resolution cannot be agreed between either party, ICE will ask to see the evidence. You MUST provide all the papers which relate to the complaint. ICE will again attempt mediation between you and the participant (known as a 'settlement' if the evidence is needed to broker an agreement). If this cannot be achieved, ICE will undertake a full investigation of the complaint.
- 1.68 N.B: Under normal circumstances, if a complaint is upheld against you at investigation stage, £5,000 is recovered from you to go towards funding the ICE service for Provider complaints in the following year, however, this £5,000 charge is not applicable for this contract.
- 1.69 Further information on complaints procedures can be found in your contract and in [Chapter 2 of the Generic Guidance for DWP Providers](#)

Issues Management

- 1.70 Where you identify problems relating to any aspects of the services you deliver, you should resolve such problems in an appropriate manner.

- 1.71 You should report any proposed changes to the way in which your services are accessed or suggestions for improving the efficiency of the services provided to your Performance Manager in writing. Their approval is required prior to implementation.

Document Security

Please refer to [Chapter 8 of the Generic Guidance for DWP Providers – Information Security](#).

Document Retention

- 1.72 You should keep and maintain until 6 years after the end of the contract period, or as long as may be agreed, full and accurate records of the contract including the services supplied under it, all expenditure reimbursed by the Department and all payments made by the Department.
- 1.73 In respect of completed specified reports (Needs Assessment Referrals and Needs Assessment Reports) these can be retained for up to six months after payment is received at which point they can either be:
- securely destroyed and disposed of or
 - anonymised and retained for up to 6 years

Access to Work Holistic Assessments Customer Journey (text version)

1. The Customer contacts the Access to Work Service Centre who arrange for an Access to Work Adviser to contact the Customer by telephone.
2. The Access to Work Adviser telephones the Customer to discuss disability work related issues.
3. Does the Customer require an external assessment? If yes **proceed to step 5**.
4. No Contractor involvement.
5. The Access to Work Adviser completes a referral form and sends to the contractor using encrypted email.
6. The contractor contacts the Customer to arrange a holistic assessment appointment.
7. Does the holistic assessment take place? If yes **proceed to step 8**, if no refer to [page 8](#) of this Provider Guidance for reasons to refer back to Access to Work.
8. The assessment report is sent to the Access to Work Adviser using encrypted e-mail.
9. Is the report to the specified standard? If yes **proceed to step 12**.
10. Return to the contractor for re-work.
11. The contractor undertakes re-work and returns the report in 2 working days. Return to **step 8** on completion of re-work.
12. The Access to Work Adviser sends the confirmation e-mail to the contractor to confirm receipt of an assessment report that is to the specified standard.
13. The Access to Work Adviser makes the decision if an award is applicable and advises the Customer accordingly, sending written notification of the award to Customer and employer.
14. The Customer is assigned a unique reference number and added to the current month's invoice to the Access to Work OSU. The contractor removes all details from the report and saves it under their unique reference number.
15. On receipt of the monthly invoice, the Access to Work OSU releases payments following checks.

Annex A - Needs Assessment Referral



This report framework should be flexible and open to change to allow us to respond to change in the life of the contract.

Customer Name

Customer URN

Place of Assessment

(Full name and address including details of additional sites to be visited)

Additional ID required **Y/N**

Preferred Contact details

Work **Home** **Other**
Email **Mobile**

Employment Contacts

Name	Position	Contact details
	i.e. Line manager	
	IT contact	
	Site manager	

Availability of Customer/ line manager/ Access to Work Adviser/other key contacts in the next ten working days.

Disability description

The information provided on disability is as stated by the Customer at the time of the Adviser appraisal. The assessor must provide a report which details a holistic assessment approach looking at any secondary disabilities that may not have been disclosed or the further impact of the disability, for example mental health conditions, anxiety etc.

Job Title/Description

Current reported performance against job tasks (impact of disability)

Organisational Set Up – *i.e. for example, does the employer have 250+ employees, access to IT support, Occupational Health facilities or are they a two man operation working from home.*

Detail the Customer’s experience with previous solutions

Access to Work Adviser Name

Access to Work Adviser Email

Access to Work Adviser Telephone Number

Date of referral

If you have any queries on the content of this report, please refer back to your Access to Work Adviser on the telephone number above.

Annex B - Needs Assessment Report



Department for
Work and Pensions

Personal Details

Only include the Customer name and URN provided on referral form.

Employment Details

Job title only

The assessor must inform the Adviser immediately if they find that any information on the referral form is incorrect. Do not include additional corrected personal details on the report unless DWP IT protection standard has been agreed and allows.

The place of assessment (check one)

Customers employment address as stated on the referral form

At Customers workstation

Address other than employees' workplace

(This must be authorised by Access to Work in advance of the assessment)

Job analysis

To include, working pattern, office based, mobile, and job description

Disability/Health condition.

Including any secondary disabilities not already identified.

Include History, relevant medical details, medication and current professional help

Assessment of needs

The holistic assessment must present the barriers and give subsequent solutions for each one with each recommendation highlighted in bold. Bold each recommendation only once. The assessment must be Holistic. It must include details of why current equipment/solutions are not meeting the needs of the Customer.

Employer Section – *the assessment must detail the capacity and knowledge of the organisation to highlight any areas of awareness or training to be addressed. It must address the compatibility of solutions with employers IT. It should also include details of employer H@S requirements.*

Recommendations - *should not just be an equipment list but be specific on the specification and qualities required of a particular item and must meet the minimum need for the Customer. For example do not just list a specific magnifier but state what it needs to be able to do and why for this Customer (barrier, requirement, possible solutions). This will facilitate comparisons and potentially allow employers to source best value. Full justification must be given for any recommendations.*

Quotes & Suppliers. *Provide on a separate page three quotes for each item over £500 to assist the employer in purchasing.*

Progression planning - *Reports should include a prognosis for independence and a suggested programme of tapering withdrawal of people support as appropriate. For example public transports increasing accessibility is reviewed in travel to work therefore we would consider technology reviews for support worker duties to facilitate independence if possible.*

Support Contractor's Name

Support Contractor's Signature

Date of assessment

If you have any queries on the content of this report, please refer back to your Access to Work Adviser.

Sole Supplier Information

Customer Name

Customer URN

Customer workplace barrier

What is the task that the Customer cannot do, what has the item to overcome?

Proposed Solution

What does the solution need to do/provide?

Proposed Supplier

Why is this supplier the only person who can supply the item or solution? State clearly the specialist nature of the item.

Please provide contact details of three other companies in the same field of expertise who have been approached for quotes and have confirmed they are unable to provide the item or an alternative solution.

Annex C - Standard Email Format and Content for Acceptance and Rejection of Reports

Email heading: URN First name and Surname

Text body:

Standard email – REPORT/PLAN ACCEPTED – RECORDS FOR DESTRUCTION

Thank you for report/plan reference (insert URN).

I confirm that **no changes are required** to be made to the report/plan at this time.

Please note that this report/plan will now be forwarded to our Customer and should any changes be required we shall return a copy of the report for amendment

Adviser Name and Email Signature

.....

Email heading: URN First name and Surname

Text body:

Standard email – REPORT/PLAN REJECTED – REQUIRES RE-WORK

Thank you for report reference (insert URN).

I request re-work of the report due to the following issues:

(Provide details)

Please retain records for re-work and submit a revised report within 2 working days for approval.

Adviser Name and Email Signature

Annex D - Access to Work Assessment Contracts Claims Form

[Access to Work Assessment Contracts Claims Form](#) (130KB)

Annex E - Access to Work Assessment Contracts Management Information

[Access to Work Assessment Contracts Management Information](#) (26KB)

Annex F – Standard wording for your final response to the Customer’s complaint

If you are not happy with this response, you can ask the Independent Case Examiner (ICE) to consider your complaint. You should contact them within six months from the date of this letter. The ICE service is provided by the Department for Work and Pensions (which includes Jobcentre Plus) and offers a free, impartial resolution service but does not consider matters of law or government policy. ICE can be contacted at:

The Independent Case Examiner
PO Box 209
BOOTLE
L20 7WA

Phone: 0345 606 0777

Website: <https://www.gov.uk/government/organisations/independent-case-examiner>

Parliamentary and Health Service Ombudsman

You can also, at any time contact an MP who may be able to send your complaint to the Parliamentary and Health Service Ombudsman. The Ombudsman normally (but not always) expects you to have exhausted both the Provider complaints process and the ICE services before she accepts a complaint for investigation.

The Ombudsman investigates complaints that government organisations have not acted properly or fairly or have provided a poor service. To find out more, please contact:

The Parliamentary and Health Service Ombudsman Millbank Tower, Millbank
London SW1P 4QP.

Phone: 0345 015 4033

Website: <http://www.ombudsman.org.uk/>