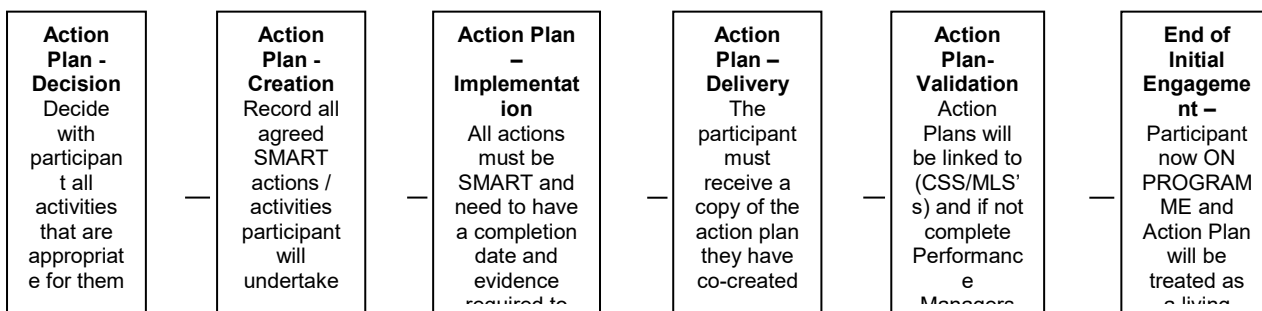


## Chapter 4 - Action Planning

### Contents

High Level Must Dos  
Action Planning  
Detailed Background and Further information  
Compliance Checks  
Audit Activity

### High Level Must Dos



### Action Planning

1. Your evidence of action planning must comply with the Contract including, without limitation, the Customer Service Standards, your tender and the Specification.

### Actions

2. The minimum requirements are:

All activities in relation to participants must be recorded in your evidence of action planning. In so doing:

- you must make it clear to mandatory long term unemployed claimants where activities are mandatory and issue these to the Participant in writing. Further information can be found in Chapter 5a - Mandation to activity attracting a Low/Lower Level sanction and Chapter 5b - Mandation to activity attracting a Higher Level sanction

## Work and Health Programme Provider Guidance

- the Participant must understand what they are being asked to do, why they are being asked to do it and when it must be completed by. Where you are notified that a Participant has complex needs and/or additional support requirements, you must carefully consider any impact these may have on the participant's ability to understand or comply with the requirements of the mandated activity. Please refer to Chapter 6 Working with participants with complex needs and/or additional support requirements.
- all 'live' mandatory requirements must be held in a single (paper or electronic) file document. This should include a clear explanation of what the activity is, when it occurs, when it must be completed by, and what evidence is required to demonstrate completion of the activity.
- the evidence of all interactions must be completed, dated, signed and held for all participants. If a Participant cannot sign, you must record the reason for this.
- the information must be available to the Participant at their request (by paper or electronically depending on the customer's preference).
- Action Plan must be reviewed, updated and signed by both you and the Participant on a regular basis as outlined in your delivery model.
- if a DWP Work Coach requests a copy of the Action Plan, you must send this within 5 working days of the request by unencrypted email to the designated inbox . (Further detail will be provided to you after contract award with regards to the inbox to be used)
- the actions included on the Action Plan must be SMART (Specific, Measurable, Achievable, Realistic and Time-bound).

### 3. In addition, you must:

- ensure all relevant information is included in your evidence of action planning in compliance with the Contract, including obtaining Participant signatures (where you have said you will do so in your tender).
- retain your evidence of action planning securely to support compliance checks by European Social Fund (ESF) Compliance Monitoring Officers (CMO) and for ESF audit activity.

### **Consequence**

Failure to adhere to your contractual requirements on action planning will result in not meeting the audit requirements of the European Social Fund and can potentially lead to the recovery of funds and other financial liabilities.

## **Detailed Background and Further information**

### **Compliance Checks**

4. The CMO will review evidence of your action planning at regular intervals against what you agreed to deliver in your contract. For example, if the Customer Service Standards state that your action planning will include specific criteria, such as agreed actions, target completion dates, frequency of reviews and Participant signatures etc, the CMO will check that these steps have been followed to be assured of compliance with your contractual obligations. Further information regarding ESF requirements can be found in the [Generic Provider Guidance Chapter 11b – ESF requirements 2014 – 2020 \(England Only\)](#) and also further information can be found in Chapter 18 - European Social Fund.

### **Audit Activity**

5. The ESF Audit Authority may undertake annual/ad hoc checks on a sample of provider contracts to inspect that delivery complies with contractual obligations. They will check evidence to verify the eligibility of payments made in respect of a sample of individual participants. This will include your action planning as evidence to support engagement activity and to meet ESF audit requirements. Further information regarding ESF requirements can be found in the [Generic Provider Guidance Chapter 11b – ESF requirements 2014 – 2020 \(England Only\)](#) and also further information can be found in Chapter 18 - European Social Fund.