

(Working Title)  
**Merged Programme Based on progress2work and  
progress2workLinkUP and 2010 Problem Drug Users’  
Employment Support Pilots**

**Provision Specification and Supporting Information  
England, Scotland & Wales  
2010 – 2015  
Pre-Qualification Stage**

**05 October 2009**



<b>Contents</b>	<b>Paragraph</b>
Executive Summary	1
Background	1.4
Introduction	2
Merged Programme	2.2
Pilots	2.8
Rationale for the New Provision	3
Procurement Approach	4
The Commissioning Strategy	5
Contract Size and Duration	6
The Service Requirement- New Merged Programme	7
The Service Requirement- Pilots	8
Programme Funding	9
Funding Model, Outcome Definitions	10
Provider Performance Targets	11
Quality, Evaluation, Performance and Contract Management	12
Provider Referrals and Payment System	13
Data Protection	14
Equal Opportunities	15
Health and Safety	16
Transfer of Undertakings Protection of Employment Regulations (TUPE)	17

<b>Annexes</b>	<b>Page no.</b>
Annex A ESF Specification for England	30
Annex B Volumes & Contract Packages	38
Annex C Procurement Timeline	43
Annex D DWP Code of Conduct	44
Annex E Transfer of Undertakings (Protection of Employment)	46
Annex F Provider Capabilities Framework	51
Annex G DWP Quality Framework	52
Annex H Security Policy for Suppliers of services to the DWP	53
Annex I Existing p2w and p2wLinkUP Provision by Districts	55
Annex J Background info: Mandatory Referral Regime for PDUs	56
Annex K Localisation/ Co-commissioning	58
Annex L NTA Statistics on PDU prevalence and numbers in treatment	61
Annex M Additional information/ useful links	70

## Abbreviations

CEP	Commercial Employment Provision
CFO	Co-Financing Organisation
CJAs	Criminal Justice Agencies
CMF	Contract Management Framework
CPA	Contract Package Area
DAATs	Drug and Alcohol Action Team
DATs	Drug Action Team
DDA	Disability Discrimination Act
DoH	Department of Health
DSOs	Departmental Strategic Objectives
DWP	Department for Work and Pensions
ESA	Employment Support Allowance
ESF	European Social Fund
EU	European Union
FND	flexible New Deal
HRA	Human Rights Acts
IB	Incapacity Benefit
IS	Income Support
ItT	Invitation to Tender
JCP	Jobcentre Plus
JSA	Job Seekers Allowance
LEP	Local Employment Partnership(s)
LSC	Learning and Skills Council
LPM	Local Programme Management (Team)
NTA	National Treatment Agency
PA	Personal Adviser
PDU <sub>s</sub>	Problem Drug Users
PQQ	Pre-Qualification Questionnaire
PRaP	Provider Referral and Payment (system)
PSAs	Public Service Agreements
p2w	progress2work
p2wLinkUP	progress2workLinkUP
QR	Quality Review
SRA	Substance Related Assessment
SRM	Supplier Relationship Management (Team)
TUPE	Transfer of Undertakings (Protection of Employment Regulations) 2006

## 1. Executive Summary

- 1.1 This document outlines the service required by the Department for Work and Pensions (DWP) for a new merged employment support programme which will replace the existing progress2work (p2w) and progress2workLinkUP (p2wLinkUP) programmes. This programme will be referred to as ‘the merged programme’ throughout this document. The new merged programme will provide a voluntary, tailored package of support for several specific customer groups (recovering drug misusers<sup>1</sup>, ex-offenders/offenders, alcohol misusers and the homeless) who are considered to be among those facing the greatest disadvantage in the labour market. Additionally, five of the Contract Package Areas (CPAs) will also include the requirement to deliver a pilot to test a new mandatory employment support regime (these are in England only).
- 1.2 This specification provides indicative budgets, an overview of the funding model, indicative customer volumes and information about performance and contract management arrangements. It invites suppliers to meet those requirements as effectively and cost-efficiently as possible. It is intended to help prospective suppliers decide whether to compete in the first stage of this competition – Pre-Qualification Questionnaire (PQQ). A more detailed specification will be made available to those suppliers who are successful at the PQQ stage, are short listed, and are then invited to progress to the detailed Invitation to Tender (ItT) stage.
- 1.3 Details about bidder events, along with our questions and answer process, can be found in the *Instructions for Bidders*, part of this *Pre-Qualification Questionnaire* pack.

### Background

- 1.4 The new programme and pilots are part of the DWP Drugs Strategy and will contribute to delivering on Government commitments in the *National Drug Strategy ‘Drugs: Protecting Families and Communities’* 2008 -18; the *Green Paper “No one written off: reforming welfare to reward responsibility 2008-2009”* which was a wide ranging consultation on the future of welfare. It set out plans for improving support and work incentives to create a system that rewards responsibility and delivers greater choice and control over the support that is provided; and the *White Paper “Raising expectations and increasing support: reforming welfare for the future”*, which was published in December 2008 and sets out in detail the plan for the future as part of the vision for a personalised welfare state, where more support is matched by higher expectations for all.
- 1.5 The new provision is part of a wider programme of reforms which are intended to deliver more tailored and personalised support than that which is currently provided by the existing Employment Support Allowance (ESA) or Jobseeker’s Allowance (JSA) regimes, and reflects the Government’s commitment to ensuring that the benefit system supports the new focus on re-integration and personalisation.

---

<sup>1</sup> This applies to illegal drugs only

## Restricted - Policy and Commercial

- 1.6 It is envisaged that contracts will be awarded in early August 2010 and the new provision will commence in October 2010. The contracts for the new merged programme will be for five years initially, with a possible extension of up to two years. The pilots will be included in the merged programme contracts in five Jobcentre Plus Districts and they will run for two years, also from October 2010, and will be followed by a six month evaluation period.
- 1.7 The new contracts will be in line with DWP's Strategy regarding larger and longer prime contracts and the standard funding model.
- 1.8 European Social Fund (ESF) monies will be used to add value to the contracts in England, including the five pilots. Potential suppliers for English Contract Packages will therefore need to be aware of, and to comply with, ESF objectives. Please see the additional requirements for ESF contracts included at Annex A.

## 2. Introduction

- 2.1 There are two elements to this commission; a new merged programme, which will be based on, and replace, two existing voluntary employment support programmes - progress2work and progress2workLinkUP, and a number of pilots to test a new mandatory programme. For clarity, contracts will be let to deliver the new merged programme in every Jobcentre Plus District, in England, Scotland and Wales. Five of the contracts in England will include a pilot element.

### Merged programme

- 2.2 The new merged voluntary employment support programme will replace p2w and p2wLinkUP<sup>2</sup>. p2w is available nationally and provides specialist employment support to unemployed customers who are recovering drug misusers. p2wLinkUP provides similar support to ex-offenders/offenders, alcohol misusers and the homeless. It is available in around half of the Jobcentre Plus Districts (see Annex I) so there is currently no specific support in place for these customer groups in the remaining Districts. Both programmes are voluntary, and are available to customers who are eligible for any working age benefit.
- 2.3 The new programme, in much the same way as the existing programmes, will involve referring customers to specialist providers via a range of referral sources including Jobcentre Plus Personal Advisors. The specialist provider then agrees a way forward with the customer using local contacts to offer help on a range of issues, typically training, housing, debt and family breakdown. The existing programmes jointly cost around £20 million per year and help approximately 20,000 customers.

---

<sup>2</sup> In March 2001, the Chancellor of the Exchequer announced a £40 million investment over three years to help unemployed people with a previous drug misuse problem, move into work. The resulting p2w initiative initially ran in 31 pathfinder sites and was extended into further sites in 2002/2003. By 2004, p2w was running in all Jobcentre Plus Districts, reflecting the wider Government approach to help those who are at a disadvantage in the labour market. p2wLinkUP was introduced in 2002 when Ministers agreed that the p2w model should be extended to others disadvantaged in the labour market due to an offending background, homelessness, or alcohol misuse. Running p2w-linkUP alongside the national p2w programme has given DWP considerable insight into customer experience and need.

## Restricted - Policy and Commercial

- 2.4 The decision to merge the programmes was made by Ministers last year on the advice of professionals from the field and the programmes' independent evaluators who determined that different eligibility arrangements served little purpose due to the overlapping nature of the customer group<sup>3</sup>. As customers are often disadvantaged by a combination of barriers the programme distinction is no longer considered appropriate, and unifying the programmes will provide a more holistic approach to supporting these customers, while at the same time extending support to p2wLinkUP customer groups in every Jobcentre Plus District in Britain.
- 2.5 The new programme will continue to be a voluntary programme which will sit alongside mandatory national provision – flexible New Deal (fND) and Pathways to Work etc. The aim of the programme is to engage and support customers from a disadvantaged background, helping them work towards securing and sustaining employment.
- 2.6 Delivery of the new merged programme will commence in October 2010. We expect around 25,700 customers to benefit from the new merged programme each year, including places made available due to ESF funding being applied to the Project. See volume information at Annex B.
- 2.7 Details of the Contract Package Areas can also be found at Annex B.

### **Pilots- New Mandatory Employment Support Programme**

- 2.8 In five of the CPAs, DWP will also be requiring providers, as part of the same contract, to pilot a new mandatory programme aimed at Problem Drug Users ("PDUs"-defined as users of crack cocaine or heroin).

The pilot areas are:

- Central London
  - Cumbria & Lancashire
  - Merseyside
  - Birmingham & Solihull
  - West Yorkshire
- 2.9 Proposals around introducing a new mandatory employment support regime for PDUs were included in the Welfare Reform Green and White Papers. As part of the contract, in five pilot Districts, DWP will ask providers to pilot the new mandatory employment support programme (subject to the Welfare Reform Bill becoming law).
- 2.10 The pilots will include testing various new powers contained in the Welfare Reform Bill and subsequent regulations, including using new data sharing mechanisms with the criminal justice agencies to identify PDUs. This will be in addition to changes to our internal systems which will help with the identification of PDUs through the JSA and ESA new claims process, e.g. via the claims medical process (via ATOS), adviser questioning, and self-identification.

---

<sup>3</sup>Department of Work and Pensions research report No. 464. progress2work and progress2workLinkUP-an explanatory studies to access evaluation possibilities

## Restricted - Policy and Commercial

- 2.11 Once identified, PDUs will be referred to a “substance related assessment” (SRA) with a drug treatment provider who will determine whether they are appropriate for the pilot programme. Once eligibility is established, customers will be randomly assigned to the new mandatory pilot programme or existing provision. As part of the pilot programme, the customer will agree a rehabilitation plan with the contracted provider (as opposed to the treatment provider), and they will be required to take the agreed steps to address their barriers to work as identified in the plan. This may include a combination of treatment and employment support (NB- the customer's consent will continue to be required for any invasive medical treatment). The new regime will include possible sanctions for non compliance and potentially a drugs test or series of drugs tests for customers who fail to attend the SRA without good cause. (Where the customer is identified as stabilised in the SRA, they will be referred to the new programme).
- 2.12 Once on the pilot programme customers will be paid a ‘treatment allowance’ which will be the equivalent of their benefit. Customers will leave Pathways to Work or fND during their time on the pilot programme. After completing the programme, customers who have not found work will move on to the mainstream mandatory programmes, Pathways or fND. **Customers taking part in the pilots will not be able to participate in the new merged programme at the same time.**
- 2.13 The pilots will last two years and the maximum period a customer will be able to take part in the programme is twelve months. No new starts will be allowed after the first year of the pilots, so that all participants will have time to finish within the two year period. The pilots will be followed up with a six month formal evaluation.

### 3. Rationale for the New Provision

- 3.1 As noted above, the decision to merge p2w and p2w-LinkUP was made on the expert advice of professionals from the field and the existing programmes’ independent evaluators who determined that merging the programmes was in the best interests of the target customer group;
- 3.2 The pilots should increase the provision to customers with problem drug use by helping them to prepare for and look for work, whilst providing the necessary support and specialist help to enable them to do so, will meet Minister’s commitments to tackling drug dependency within the benefit system;
- 3.3 Both the new merged programme and the pilots will contribute to a number of Public Service Agreements (PSAs) and DWP Departmental Strategic Objectives (DSOs) including those relating to maximising employment opportunity for all, reducing child poverty (by reducing the proportion of children in relative low income households), increasing the proportion of socially excluded adults in settled accommodation and employment, education or training, and making communities safer;
- 3.4 The new merged programme will provide more holistic support to customers with multiple disadvantages than is currently available. It will also extend LinkUP services to Districts who do not have this provision at present;
- 3.5 People who work are better off financially, in terms of their health,

## Restricted - Policy and Commercial

well-being and self-esteem,<sup>4</sup> and in terms of the future prospects for themselves and their families. Work promotes choice and independence for people, supports society and increases community cohesion. Access to employment, training, and skills opportunities has a positive impact on drug treatment, enhancing clinical outcomes and reducing criminality and levels of re-offending. Supporting customers into employment should make a positive impact on health, crime, employment, social inclusion and neighbourhood renewal agendas.

### 4. Procurement Approach

4.1 DWP will procure this service via a two stage procurement exercise:

- The first stage will be via a Pre-Qualification Questionnaire (PQQ) to shortlist a number of suppliers for each CPA against the criteria outlined in the Instructions to Bidders.
- The second stage will be an Invitation to Tender (ItT) for those suppliers selected following the first stage.

4.2 Both stages of the procurement will be supported by supplier events. More information about these and the bidding process can be found in the PQQ Instructions to Bidders section of this pack.

4.3 Please see the procurement timetable at Annex C.

4.4 Contracts will be delivered by a network of Prime Contractors. It is unlikely that any Prime Contractor will be able to deliver this programme without support from other specialist niche organisations. The DWP Commissioning Code of Conduct sets out the key values and principles of behaviour that DWP expects of suppliers and which are essential for creating healthy and high performing supply chains. DWP expect all Prime Contractors to ensure that their sub-contractors, whether in the private, public or third sector are treated fairly in line with this Code of Conduct (attached at Annex D). More information will be provided about this at ItT stage.

4.5 In England, Prime Contractors may opt to deliver all of the requirement, or part of the requirement in conjunction with sub-contractors. As European Social Fund (ESF) monies will be applied to the contracts in England, including the five pilots, Prime Contractors must comply with ESF requirements and deliver some of the local specification directly. In **Wales and Scotland only** Prime Contractors may also opt to be Managing Agents with the whole delivery performed via sub-contractors.

4.6 The Prime Contractor model can also include a consortium arrangement where one organisation acts as a lead contractor on behalf of a number of suppliers in partnership. At the PQQ events there will an opportunity to speak to an external consultant for information and support regarding the forming of consortia, Joint Venture or Special Purpose Vehicles in order to bid for the contracts. Whichever Prime Contractor model is chosen, DWP will need to be satisfied that capacity,

---

<sup>4</sup> Waddell, G. and Burton, A. Kim, 2006. *Is Work Good for Your Health and Well-being?* TSO (The Stationery Office).

## Restricted - Policy and Commercial

expertise and local links are in place to ensure the successful delivery of the contract.

- 4.7 DWP expects all providers to develop effective delivery arrangements that ensure they have the capability to meet a wide range of needs from a diverse customer group. The supplier capabilities laid out in the DWP Commissioning Strategy (paragraph 5 refers) must be demonstrated at both bid stage and during live running.
- 4.8 Proposals will be invited from organisations across the private, voluntary/non-profit and public sectors, either alone or in partnership, that have the expertise and commitment to work with this diverse customer group bringing them together with employers to achieve sustainable employment.
- 4.9 Suppliers must meet the DWP Security Standards and the requirements of the Data Protection Act to keep customer and DWP information secure. Prime providers must take steps during the lifetime of the contract to ensure that they remain compliant with current and future changes in the law. Additionally, providers will be expected to support the Secretary of State (SoS) in meeting their obligations under the Disability Discrimination Act (DDA) and Human Rights Act (HRA). This includes the new Disability Equality Duty, which places a new obligation upon Public Authorities to promote equality of opportunity for disabled people.
- 4.10 DWP will work with partners to help shape the delivery of its contracted employment programmes, specifically with sub-regional partnerships which are:
  - City Strategy Partnerships;
  - Multi-Area Agreement areas; and
  - The City Region pilots announced in the Budget 2009.

See Annex K for more information about Localisation/ co-commissioning.

The following information provides details of initial discussions with two such partnerships who wish to “co-commission” with DWP and bring additional funding into the contracts being procured.

Capital City Partnership (the City Strategy Pathfinder in the City of Edinburgh) has agreed, in principal, that it wishes to co-commission this programme in the City of Edinburgh. The partnership has identified funding in the region of £40,000 - £50,000 which it wishes to allocate to the first year of the contract with the intention to sustain this level of funding in future years. The funding will focus on provision for recovering addicts and more detail will be provided in the Invitation to Tender.

The London Development Agency (LDA) has agreed, in principle, that it wishes to co-commission this programme. £1m has provisionally been allocated by the LDA for the first 3 years of the contract with the intention of securing further funding for the balance of the contract life. The funding will be used to support homeless people into sustained employment and more information will be supplied in the Invitation to Tender. ESF funding might also be used to “match” the LDA funding bringing the total to £2m but there are no guarantees at this stage.

## **5. The Commissioning Strategy**

- 5.1 DWP published its Commissioning Strategy in February 2008 setting out principles which should be applied to the commissioning of all DWP provision. The Commercial Strategy for this provision reflects those principles. It seeks to use competition as the main lever to drive value for money, and strives for a balance between the risks providers will carry in terms of working capital and the potential rewards available through outcome focused funding. The intention is that DWP contracts will be appealing to existing suppliers in the market, whilst encouraging new market entrants.
- 5.2 Suppliers should experience a seamless cycle from Commissioning Strategy to Commercial Strategy to Procurement Strategy to performance management arrangements.
- 5.3 DWP expects to implement a provider capabilities framework in the course of these contracts. The framework spells out the specific capabilities and requirements that make up a high-performing supply chain and an effective Prime Contractor. DWP will contract, inspect, manage and intervene on the basis of these capabilities and requirements. See Annex F for more details.

## **6. Contract Size and Duration**

- 6.1 DWP intends to seek tenders at the second stage of the competition which reflect proposals for a five year contract with an option to extend for up to a further two years, subject to satisfactory performance. These longer, larger contracts are in line with the DWP Commissioning Strategy. DWP intends to award one contract per CPA following the evaluation process. In those Districts where a pilot is being undertaken, this will be contained within the same contract, but the pilot element of the contract will run for only two years.
- 6.2 There will be nineteen CPAs throughout England, Scotland and Wales with one Prime Contractor per CPA. Reducing the number of contracts will bring about efficiencies for DWP and for providers rationalising administrative functions and allowing the smaller specialist organisations to concentrate on the front line help and support.
- 6.3 A list of the CPAs can be found at Annex B. Wherever possible CPAs fit the Sub-Regional Partnerships' geography and will also ensure effective coverage in rural areas. Most CPAs will be larger than single Jobcentre Plus Districts.

## **7. The Service Requirement- New Merged Programme**

- 7.1 This section describes what the minimum requirements will be.
- 7.2 The aim of the new merged programme is to develop provision to replace the existing p2w and p2wLinkUP programmes, which will support Jobcentre Plus in delivering more and sustained job outcomes by delivering high quality, timely and flexible support to customers who face barriers to employment as a result of one or more of the following circumstances; because they are a recovering drug misuser, an ex-offender/offender, homeless, or an alcohol misuser.

## Restricted - Policy and Commercial

7.3 The new merged programme is intended to support individuals as part of a range of local services. Potential bidders must take into account the viewpoints and opinions of those organisations tackling drugs misuse, offending, homelessness and alcohol misuse and recognise that provision to support this customer group into employment should complement existing local partnerships and provision. The following is not intended to be an exhaustive list, but these may include:

- Drug Action Teams (DATs) and Drug and Alcohol Action Teams (DAATs);
- Primary Care Trust;
- Police, Prison Service and Probation Service;
- Homelessness Agencies, Alcohol Treatment Agencies and National Treatment Agencies;
- Drugs Co-ordinators (in England only, funded by the Department of Health until 2011);
- Local Employer Partnerships (LEPs).

7.4 The provision will be voluntary, and will be eligible to customers claiming:

- Jobseekers Allowance
- Income Support
- Incapacity Benefit
- Employment and Support Allowance.

7.5 Customers will be referred to providers of the new merged provision from a variety of sources including Jobcentre Plus Personal Advisers, treatment providers, drug and homelessness organisations and Criminal Justice Agencies such as the probation service (see paragraph 7.10). The provider will then undertake an initial assessment to establish whether the customer is suitable for the provision. Our expectation is that the support the provider will offer will typically involve the following:

- A nominated adviser (support worker) will be allocated to the customer and will maintain close contact with them, anticipating any problems that may cause drop-out or relapse and helping the customer to deal with them (via other agencies where appropriate);
- Completing an Action Plan outlining a programme of activity tailored to the individual customer's needs. The expectation is that the agreed programme of activities will build to a full time schedule of 30 hours per week. This may include activities on their mandatory programme, i.e. fND or Pathways, as well as activities agreed with either the PA or provider, subject to any health considerations;
- Providing specialist advice away from the normal flexible New Deal and other mainstream measures, and offering access and referral to appropriate specialists;
- Where appropriate, identifying the need for additional specialist provision to help customers overcome additional barriers to employment. This might include: benefit and welfare advice, health and hygiene issues, substance misuse, accommodation, debt, advice on criminal record disclosure etc;

## Restricted - Policy and Commercial

- Making better use of mainstream DWP procured provision that is on offer, ensuring that customers receive the ongoing support they need to remain engaged throughout the mainstream provision (e.g. Pathways, fND and other contracted provision) or other specialist provision, minimising dropout and relapse into drug or alcohol misuse;
- Engaging the customer and building their understanding of the ways in which tackling their barriers and preparing for work can be complementary;
- Providing support on either a group or one-to-one basis, and building commitment and motivation to improving the customer's employability and finding them appropriate employment;
- Tackling lifestyle issues that are likely to inhibit a return to work, for example housing issues, substance abuse, health issues, debt, or addictive behaviour such as gambling;
- Providing a flexible approach, so that appropriate support may initially focus on identifying and stabilising lifestyle issues. This support should reduce as their lifestyle stabilises and seeking employment becomes the focus of the programme;
- Identifying the customer's job goals and expectations through individual assessment, and taking into account the impact their disadvantage may have on achieving them;
- Working with all relevant referral sources and marketing the service on offer to ensure caseloads are managed well, and networking with local Jobcentre Plus staff and other agencies to ensure they understand the service available to ensure appropriate referrals are made.
- Providing post employment support and working with the customer and/or employer as necessary for up to 26 weeks to secure sustained employment.

Those whose lifestyle is too chaotic to engage with mainstream provision or employment should, where possible, be referred to other appropriate provision or agencies and encouraged to re-engage with this provision when they are ready to do so.

### **7.6 Target Customer Group and Eligibility for the New Merged Programme**

Participation on the merged programme is voluntary and the customer can leave at any time without the risk of sanctions to benefits. Customers eligible for the new provision will be customers claiming:

- Jobseekers Allowance
- Income Support
- Incapacity Benefit
- Employment and Support Allowance

who are disadvantaged in the labour market due to one or more of the following barriers:

### **7.6.1 Drug misusers**

- Drug misusers who have completed drug treatment programmes, or who are stabilised but still undergoing drug treatment programmes and who need additional help to get into work; or
- Those identified by Jobcentre Plus or other local partnerships as unlikely to succeed in getting work, training or participating in the mainstream provision, without extra help, because of their drug misuse, but who have also obtained a measure of control of their use.

### **7.6.2 Those with an offending background**

Within the offending background customer group, DWP would expect suppliers to work with the Prison and Probation Service to ensure that the most appropriate customers, i.e. those most likely to re-offend if this support is not offered, are referred.

- Individuals with an offending background who are on final release, having served a recent custodial sentence (within the last 12 months);
- Those serving a non-custodial sentence under supervision of the Probation Service; or
- Any individual with an offending background who is disadvantaged in the labour market.

### **7.6.3 Homelessness**

Homeless customers for whom homelessness is a significant contributing factor to the individual's labour market disadvantage, i.e. they will be either sleeping rough, or have no secure address to which job seeking correspondence can be sent.

### **7.6.4 Alcohol misusers**

Alcohol misusers for whom alcohol misuse is a significant contributing factor to the individual's labour market disadvantage.

**7.6.5** It is recognised that some customers may have multiple barriers which will need to be addressed.

### **7.7 Eligibility by Benefit Group**

Customers may be eligible for the new merged programme if they claim any of the following working age benefits:

- Jobseekers Allowance (JSA);
- Employment Support Allowance (ESA);
- Income Support (IS);
- Incapacity Benefit (IB);

### **7.8 Duration of the Programme**

The maximum period of participation on the new merged programme will be 12 months, though DWP expect the average to be approximately six months. If a

## Restricted - Policy and Commercial

customer fails to make ongoing progress towards employment, they will need to be referred to other provision in line with their needs.

### **7.9 Travel and Childcare**

Information about travel and childcare arrangements will be available at the next stage of the bidding process, and will be included in the guidance.

### **7.10 Referral**

7.10.1 Referral onto the programme will be via Jobcentre Plus and a range of other organisations, including the Prison and Probation Services, Drug Action Teams (DATs) and Drug and Alcohol Action Teams (DAATs), commissioned treatment or employment programme providers, registered housing charities, registered health care professionals, local authorities (including for example social services and housing departments), third sector, voluntary organisations and religious groups. There will also be cases where the customer contacts providers directly.

7.10.2 Providers will need to market their service to the most appropriate referral sources in their Districts including those listed above and Drug Treatment Agencies, Primary Care Trusts, homelessness agencies and alcohol treatment agencies. Other key local partners will include Careers/Connexions services, Drugs Co-ordinators, Pathways to Work providers and flexible New Deal Partnerships, and other contracted employment support (such as disability employment support). This will ensure appropriate referrals are made to their provision.

7.10.3 In order to monitor the flow of customers through the merged programme, Jobcentre Plus will need to be informed of those customers who have joined provision via other referral routes besides Jobcentre Plus. More detailed processes will be provided at ItT stage and within Provider Guidance.

7.10.4 Some customers referred to the provision will not be ready to attend or may not need the support of this programme. The decision about whether to accept customers onto the provision rests with the provider, though the expectation would be that suppliers will take on anyone who is suitable. If necessary the customer will be referred or signposted to more appropriate provision/help. If the customer was referred from a referral source other than Jobcentre Plus, and then subsequently found to be unsuitable for the provision, the provider would need to record details of the case for contract management purposes. Further details will be included in the Provider Guidance.

### **7.11 Transition**

7.11.1 At the point the new contracts start, there will be some customers participating in the existing progress2work (p2w) or progress2workLinkUP (p2wLinkUP). Work is underway to consider what, if any transitional arrangements will need to be in place for these customers and further information will be given at the next stage of the bidding process.

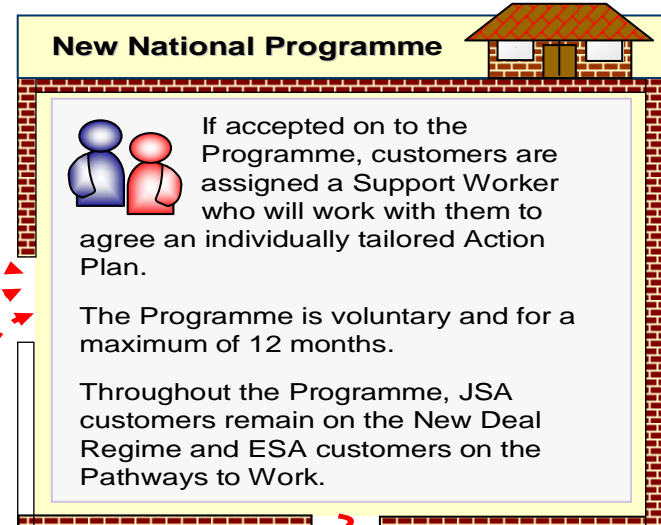
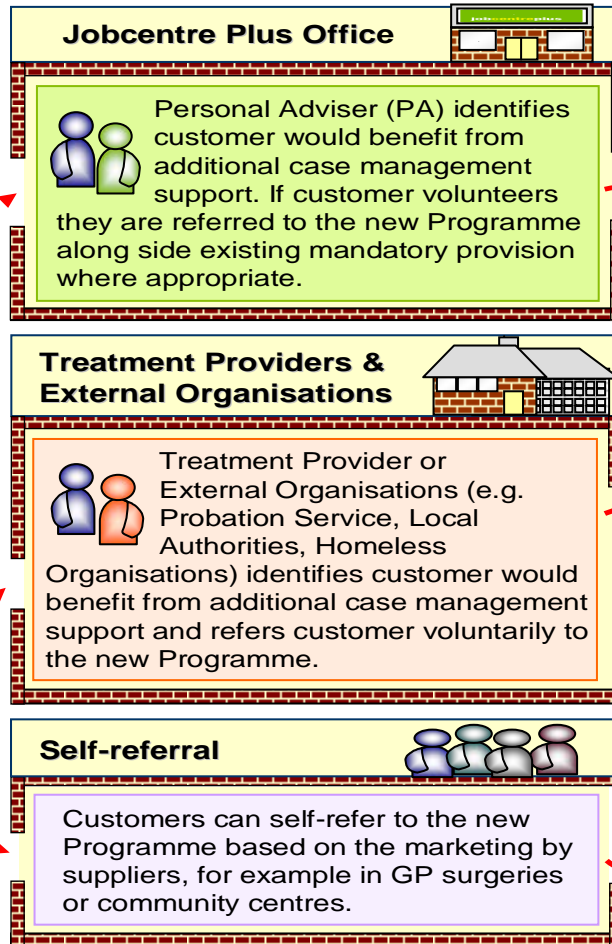
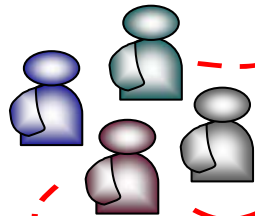
Customer Journey

**New merged national Programme**

**High Level**

**Working Age Benefit customers who have one or more of the following barriers to work are eligible for the new merged Programme based on progress2work and progress2work LinkUP:**

- Recovering Drug User
- Homeless
- Alcohol Misuse
- Ex-offenders/offenders



**On completing the new Programme the expectation is that the customer will have addressed their barriers to work and be closer to the labour market**

## 8. The Service Requirement- Pilots

- 8.1 The aim of the pilots is to test a new provision which will provide specialist tailored support to customers who face a specific disadvantage in the labour market as a result of their misuse of crack cocaine or heroin. The provision will be mandatory and benefit sanctions/treatment allowance sanctions may be applied for failure to comply with the requirements of the programme. Customers taking part in the pilot will not be able to join the merged programme at the same time.
- 8.2 Under the new regime, heroin and crack cocaine users who are in receipt of Jobseekers Allowance (JSA) and Employment Support Allowance (ESA), will be identified via the benefit system (e.g. via the medical element of the ESA claim process, or via adviser questioning in the case of JSA customers) and also via new data-sharing with the criminal justice agencies. Once identified, these customers will be referred to an assessment with a drugs specialist (Substance Related Assessment- "SRA"). If this SRA establishes that they are suitable for the new programme they will be randomly allocated to either the new programme or existing provision (the control group). Those who refuse to undergo an assessment without good cause will be mandated to undertake a single or a series of (non invasive) drug tests.
- 8.3 Following the drugs test/s, customers who test positive will be referred to an SRA to establish whether they are suitable for the pilot, then randomly assigned<sup>5</sup> onto the provision as described above.
- 8.4 The pilots will last for two years, but as customers will stay on the programme for a maximum of twelve months, new starts on the programme will all take place in the first year. Participation on the pilots will be mandatory for those customers who are referred onto it. Failure to co-operate with any aspect of the pilots may result in benefit and treatment allowance sanctions.
- 8.5 While participating in the programme, the customer will receive a treatment allowance paid by Jobcentre Plus equivalent to their benefit. This is reliant on the customer agreeing a rehabilitation plan and undertaking the agreed activities. The requirements of the new programme will replace the conditions of ESA or JSA while on the programme, and payment will be conditional on the individual complying with their rehabilitation plan.
- 8.6 Sanctions may be applied for failure to: answer questions about drug use, attend the SRA, undergo a (non invasive) drug test when instructed, agree a rehabilitation plan, or undertake the actions in the rehabilitation plan, without "good cause". Providers will be responsible for notifying Jobcentre Plus of customers' failure to

---

<sup>5</sup> Random Assignment (RA) is the gold standard methodology for evaluating the impact of a pilot programme. It involves the allocation of individuals to two or more groups at random. In this case, there will be two groups; one group of customers who will go onto the pilot programme, and another group who will not. This second group is the 'control group', and these customers will continue with existing support via Pathways, Flexible New Deal and mandatory referrals to a discussion with a treatment provider. Random assignment ensures the two groups are statistically equivalent at the point of assignment, so any systematic difference in outcomes between the two groups can be attributed to the pilot programme. This will enable us to assess which of the programmes is most effective for PDUs. Providers will not have to carry out random assignment – it will be carried out before eligible customers are referred to them.

## Restricted - Policy and Commercial

comply with the requirements of the provision, and Jobcentre Plus would then consider sanction action.

8.7 Our expectation is that this provision will typically include the following:

- The rehabilitation plan will incorporate a distance travelled assessment tool, which has been developed in partnership with Northumbria University and following consultation with treatment practitioners. The plan will include the steps they will take to tackle their issues and to move towards employment. It will cover a range of eighteen key behaviours – job-seeking skills, expectations of employment, understanding requirements of employment, reliability, time management, literacy and numeracy, communication skills, interpersonal skills, problem solving, appropriate behaviour, adaptability, concentration, motivation and commitment, self esteem and confidence, personal presentation, living skills, money management, and health and well-being. The provider will be expected to agree with the customer which of the eighteen behaviours they need to make progress against and what activities will be undertaken to ensure improvement is made. These will be reviewed regularly and the overall plan will be updated at least quarterly to ensure that momentum is being maintained. The plan may include a requirement that the customer must attend an institution or drug treatment centre for treatment under the direction of a professional. The nature of the treatment cannot otherwise be specified in the plan but would be expected to include the recommended steps from the NTA assessment;
- The provider will work closely with treatment agencies and other specialist provision/support in the locality to help customers access the support they need. This might include treatment, as well as development and work related activities;
- The contracted providers may be able to provide treatment if already commissioned to do so by a DAT or DAAT. However, treatment provision is not a specific element of this contract. Suppliers will be expected to offer focused, continuous support, including drawing up a rehabilitation plan at the first meeting with the customer and regularly reviewing it (at least once a week);
- Providers will be expected to make use of locally available provision including, for example, work trials, short periods of work experience or volunteering, specialist help for those with disabilities or health problems, specialist advice about debt, housing, health issues, etc., registration on an education or employment-related training course, or any other appropriate activity;
- Participation on the programme is expected to be full-time (30 hours) for those who enter the programme whilst claiming JSA. For those joining from ESA the provider will be expected to take the customer's health conditions into account when agreeing the level of activity that will be undertaken. The expectation is that where feasible the provision should be full-time. Whilst on the programme those joining from JSA will not be required to sign-on or provide a Jobcentre Plus Personal Adviser with evidence of their recent job search activity;

## Restricted - Policy and Commercial

- It is expected that the initial period on the programme will focus on stabilising the customer's condition and assessing and agreeing their overall programme needs. As the customer progresses through the programme the emphasis should move from stabilisation to re-engagement with the labour market. Though this will need to be done at a pace that is appropriate for the individual customer and where necessary take account of any other health conditions;
- A proportion of customers will leave the programme before the 12 month point to take up employment. Those who remain for the full duration will be referred by their Jobcentre Plus Adviser, upon completion, to an appropriate benefit and provision (e.g. Pathways to Work, fND, new merged programme). Providers will be expected to prepare customers for this transition by ensuring that their chaotic drug use has been stabilised to the point where they will be able to engage and benefit from mainstream employment provision and where appropriate their basic skills will have demonstrably improved. As part of the transition providers will be expected to encourage customers to join the new merged programme after leaving the pilot programme to ensure that they have ongoing specialist support if appropriate;
- Providers will need to work closely with Jobcentre Plus to ensure the progress of each customer is known. Failure of a customer to comply with the programme or treatment must be reported back to Jobcentre Plus. Jobcentre Plus Advisers will put in place any further mandation and possible sanction action.

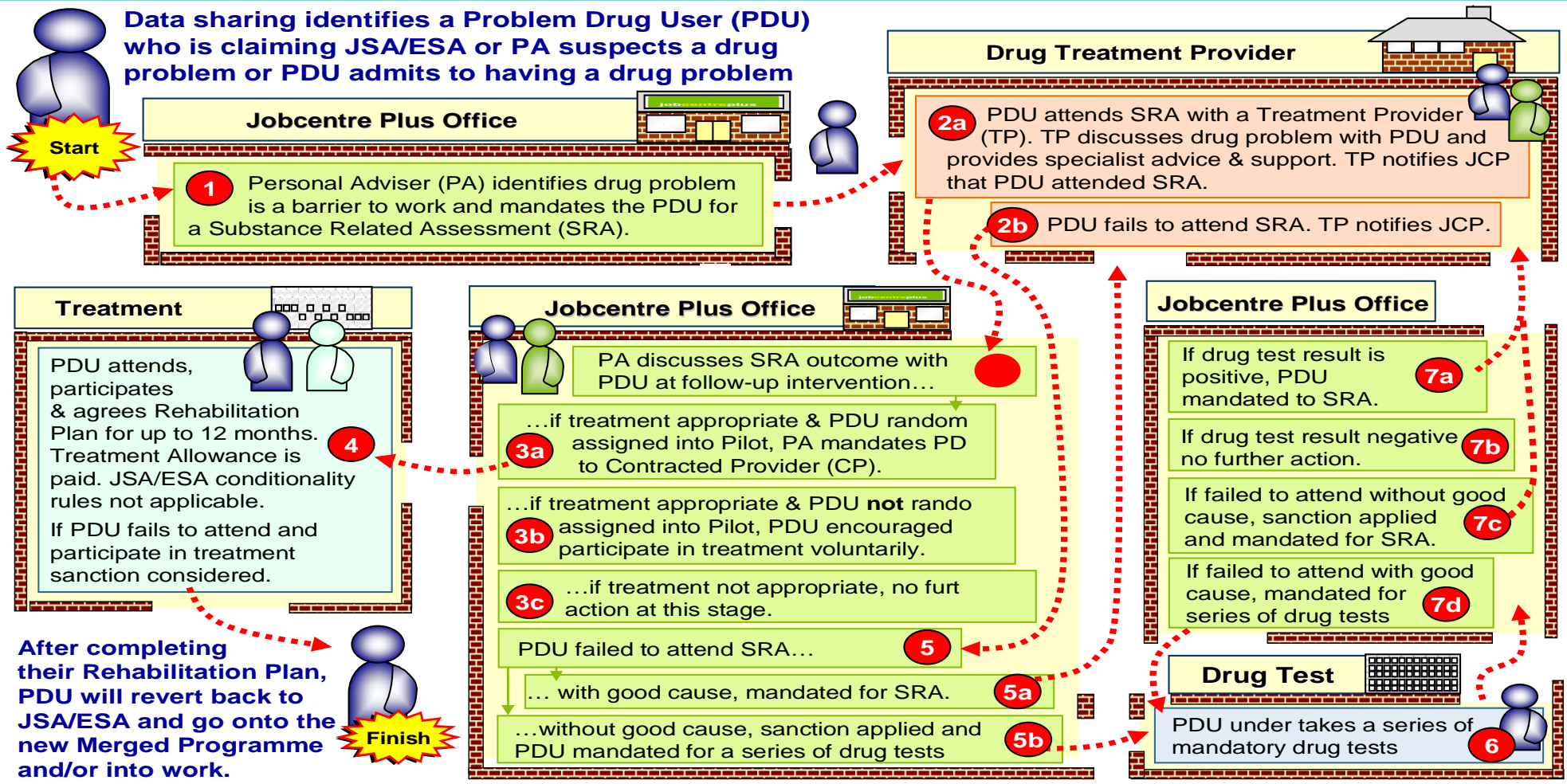
### **8.8 Travel and Childcare**

Information about travel and childcare arrangements will be available at the ItT stage, and will be included in the guidance.

Customer Journey-Pilots

# Pilots to Test New Mandatory Regime

## High Level



DRAFT VERSION – 3<sup>rd</sup> September 2009 – SUBJECT TO CHANGE

## 9. Programme Funding

- The indicative funding available to deliver the new merged programme is £25.7 million per annum including £5m p.a. ESF funding;
- The funding for the pilots is £8 million, including £3 million ESF funding. Of this, a maximum of £1m will be deducted to cover the cost of the evaluation and data cleansing/sharing and drug testing costs.

## 10. Funding model

- 10.1.1 Organisations who are successful at Stage One (PQQ) will be required, as part of their bid at Stage Two (ItT), to compete on price as well as quality and contracts will be awarded and Prime Providers paid in accordance with the DWP Outcome Based Funding Model and Standard Definitions.
- 10.1.2 The overall contract value will be split into a delivery payment and job outcome payments. Our aim is a delivery payment of 70% of the overall contract value with 30% of the overall contract value representing job outcomes.
- 10.1.3 The delivery payment will be paid monthly in arrears. These payments will equate to 70% of the agreed total contract value and will be based on the indicative number of customers expected on the programme whilst giving providers some degree of certainty in meeting their fixed costs. These payments will be automated through the new electronic Provider Referral and Payment system (PRaP).
- 10.1.3 Payment for the achievement of **Job outcomes** will be made on a unit price basis. The unit price for outcomes will be derived from the remaining 30% of the overall contract value and the performance offer within the bids. It is anticipated that 20% of the indicative contract value will be paid for a short job outcome and 10% of the indicative contract value for a sustained job outcome. For example, the total short job outcome value (20% of total contract price) will be divided by the total short job outcome performance offer to give a unit price per outcome.
- 10.1.5 Job outcomes will be defined by a simple definition and on the basis of evidence set out in the guidance. The standard DWP job outcome definitions will be used. See paragraph 10.3.2 below.
- 10.1.6 Tolerances will be applied to the planning assumptions for starts on the provision and they will only affect the delivery payment element of the contract. They will not be applied to the job outcome prices, which will remain set throughout the life of the contract. The detail required for the tolerances will be defined in more detail in the pricing schedules. The effect of applying tolerances will be to initiate a change to the delivery payment in the event that starts go outside predetermined tolerances. The information provided by the bidder on tolerances will be part of the ItT evaluation process. Tolerance limits will be monitored through the normal contract management process during the life of the contract. More detail will be provided at Provider ItT briefing events.
- 10.1.7 Any levels or values of goods or services referred to in specifications are indicative only and shall not be binding on DWP. No guarantee can be given by DWP in

## Restricted - Policy and Commercial

respect of the number of customers starting on the programme during the term of the contract.

### 10.2 Funding Model/ Ratio

- 10.2.1 The funding models and ratios are the same for both the merged programme and the pilots.
- 10.2.2 We expect the funding model to be 70% delivery payment, 20% short job outcome (a job that has lasted 13 weeks) and 10% for a sustained job lasting 26 weeks out of 30 weeks. This is consistent with the standard funding approach and PRaP requirements.
- 10.2.3 It is anticipated that new interventions in Jobcentre Plus, such as the introduction of Drugs Co-ordinators, which are intended to build awareness and to help support a cultural shift in attitudes to drug use and the benefit system will help contribute to an increase in outcomes in relation to the drugs customer group (in England).
- 10.2.4 In relation to the pilots, the same ratio has been agreed because, although the customers will be further away from the labour market initially, this programme will be a more intensive full-time programme than the merged programme and will include ensuring customers get the treatment that they need to stabilise their condition, as well as employment support, resulting in accelerated progress towards job readiness. DWP expects that some customers who go onto the mandatory programme will be job ready within the 12 months, while others may need longer and will be encouraged to move onto the merged programme when they move back onto mainstream provision.
- 10.2.5 As noted above, the delivery payment will be subject to tolerances based on the volume of starts. As part of the ItT stage, bidders will be required to state at what points their costings would be affected by changes to start volumes, the details of which will be defined at the ItT stage.

### 10.3 Standard Funding Definitions

- 10.3.1 DWP's Standard Outcome Definitions provide a high level set of definitions for application across programmes. Of these, the definitions relevant to this provision are as follows.

#### 10.3.2 Job Outcomes

Job Outcomes will be paid where the job meets the short or sustained job outcome definitions and starts during the allotted time with a provider or where a tracking period applies.

**Short Job Outcome:** Minimum 16 hours per week, continuous employment that has lasted 13 weeks.

**Sustained Job Outcome:** Minimum of 16 hours per week, in employment for at least 26 weeks out of 30 (breaks in employment totalling 4 weeks or less are acceptable).

### **10.3.3 Job Outcome Tracking period**

Providers may claim the short job outcome where the job starts within six weeks of the customer leaving the merged programme or pilot and the job has lasted 13 weeks as defined above.

## **11. Provider Performance Targets**

The merged programme and pilots will have two key performance indicators:

- As a minimum, DWP expects 20% of customers starting on the provision to achieve a short job outcome (which we expect to be - a job which should be for a minimum of 16 hours per week and have lasted 13 weeks. For customers entering self employment, the customer must have traded independently for 13 weeks);
- As a minimum, DWP expects that 10% of customers starting on the provision will achieve a sustained job outcome (a job which must be at least 16 hours per week and last at least 26 weeks out of 30 weeks. Breaks in employment should not exceed four weeks. For self employment, once the customer has traded independently for 26 weeks out of a 30 week period the provider can claim the sustained employment outcome).

## **12. Quality, Evaluation, Performance and Contract Management**

This section outlines elements of the contracted employment provision that relate to quality, evaluation, performance and contract management. More details will be available at ItT stage. Key policy areas covered are:

- The Provider Capabilities Framework;
- Quality and Inspection (including the DWP Quality Framework);
- Contract Management;
- (CEP) Provider Assurance Team;
- Star Rating; and
- Evaluation.

### **12.1 Provider Capabilities Framework;**

The DWP Commissioning Strategy introduces the Provider Capabilities Framework. The framework spells out the specific capabilities and requirements that make up a high-performing supply chain and an effective Prime Contractor. DWP will contract, inspect, manage and intervene on the basis of these capabilities and requirements. See Annex F.

### **12.2 Quality and Inspection**

12.2.1 DWP is committed to raising the standards of its contracted employment provision making continuous improvement an integral part of its contract management arrangements. Providers are required to apply the principles set out in the DWP

## Restricted - Policy and Commercial

Quality Framework which promotes providers commitment to quality improvement through continuous self assessment and development planning.

12.2.2 The provider will be responsible for ensuring that customers have access to suitable, high quality support and guidance in a way that provides a good service and an excellent customer experience. The prime provider will be responsible for all sub-contractors in this matter. For the new provision to offer the most effective support possible to customers a number of key features need to be integral to its delivery. Providers must:

- focus strongly on performance;
- deliver quality support;
- provide minimum standards of support for all;
- build strong links with local employers and key partner organisations; and
- support the DWP Diversity and Equality policy.

See DWP Quality Framework attached at Annex G.

### 12.2.3 Ofsted and Estyn inspections

Providers of some DWP contracted employment provision are subject to external inspection by Ofsted in England and Estyn in Wales. This is to provide assurance to the taxpayer, through the Secretary of State for Work and Pensions, that publicly funded provision is delivering a quality service. An inspection process is also being developed for Scotland and will be in place when delivery commences. However, Ofsted and Estyn inspections are not relevant to this provision currently. This may be subject to change in future.

## 12.3 Contract Management

12.3.1 Contracts will be managed in line with DWP Contract Management arrangements using the Contract Management Framework (CMF) which sets out a standard process for managing CEP provider performance based on an assessment of risk against a range of factors including contract value, performance and an assessment of quality.

12.3.2 The contract management process incorporates monthly analysis of management information, performance management, quality assessment and customer satisfaction feedback. The provider will need to appoint a named Supplier Manager who will work with the DWP Contract Manager to ensure that the provision is delivered in accordance with the requirements of the contract, that the quality of service is high and that required standards and performance levels are met.

12.3.3 Contracts will be managed by the Local Programme Management (LPM) Teams or Supplier Relationship Management Teams (SRM), depending on the size, nature, and the numbers of contracts held by the provider. Smaller suppliers may be managed by the Local Procurement Management teams (LPM) who are based throughout the country. Supplier Relationship Management (SRM) Teams, who are based in Sheffield, Edinburgh and London, have responsibility for the development and maintenance of working relationships with our major suppliers.

## Restricted - Policy and Commercial

See also Annex A which provides more information on ESF contract management and audit arrangements.

- 12.3.4 The LPM/SRM team will regularly monitor the provider's performance and will conduct regular provider performance reviews. Risk assessment will inform the frequency of these reviews – ranging from 1 (low-risk) to 4 (high-risk) per year. There will also be informal meetings and reviews, as required, to address specific issues. Providers will also be required to attend provider engagement meetings with Jobcentre Plus to discuss local issues related to performance. These meetings will be important to develop good local working relationships with Jobcentre Plus and provide an opportunity to address local operational delivery issues.
- 12.3.5 Regular management information required from suppliers by DWP will be included in more detail in the ItT, including the arrangements for collection of data and the timetables for returns. The supplier will be expected to provide any additional management information as required by DWP to support management of performance.
- 12.3.6 Providers will need to take responsibility for managing issues and addressing poor performance with their sub-contractors. Providers will also be responsible for ensuring that sub-contractors meet all performance, security, quality, equality and legislative standards.
- 12.3.7 DWP is moving away from a basic contract compliance model and into an approach where we will be able to share future thinking and insights from other delivery/ management experience, jointly identifying opportunities for efficiency gains or better outcomes. DWP will be looking to suppliers to signal changes they are experiencing in customer characteristics so that we can factor those changes into policy development.

### 12.4 **Contracted Employment Programme (CEP) Provider Assurance Function (formerly FAM)**

12.4.1 The primary purpose of the (CEP) Provider Assurance function is to provide the DWP Employment Group (EG) Delivery Director with an assurance that:

- payments made to DWP Contracted Employment Programme Providers are in accordance with DWP and Treasury requirements;
- public funds are protected;
- value for money has been obtained.

This is achieved through the operation of a national standard risk based approach to Provider Assurance work.

12.4.2 The Provider Assurance function will operate at a national level enabling them to present CEP providers operating across regions with a single view of the effectiveness of their systems – each provider will have a nominated Senior Provider Assurance Manager and therefore a single point of contact within DWP for management of assurance related issues/concerns.

12.4.3 The work of the Provider Assurance team is delivered primarily by visiting providers to review the systems of internal control in place to manage the risks to DWP in

## Restricted - Policy and Commercial

relation to CEP expenditure. This will include the arrangements they have in place for their sub-contractors.

12.4.5 At the conclusion of their visit the Provider Assurance Team will discuss their findings with the provider and subsequently produce a report which will include an assurance rating for the overall system and an action plan detailing areas where control could be improved if necessary. Provider Assurance will feedback to contract managers, Supplier Relationship Managers and other key stakeholders any relevant issues.

### 12.4.6 Audit requirements

The supplier will arrange, where necessary, access to any of their delivery locations, including those operated by sub-contractors. More details will be included in the DWP Provider Guidance.

12.4.7 In addition, DWP also expects its suppliers to demonstrate four key principles in establishing their systems of internal control. These are:

- enabling supplier staff to report inappropriate behaviour by colleagues in respect of performance claims (i.e. a 'whistleblowers' charter);
- performance management systems within the organisation that do not generate perverse incentives among individual employees to falsely claim performance achievement;
- segregation of duties within the supplier's operations between those achieving performance and those reporting it to DWP; and
- an audit regime in place that provides for periodic check of the performance reporting regime.

It will be the responsibility of Provider Assurance Teams to monitor suppliers to ensure compliance with these requirements.

## 12.5 The Star Rating System

Star Rating is an assessment of a supplier's performance in terms of outcomes and quality. DWP applies Star Rating to all contracted employment provision and details of how the process will be applied to the new merged provision will be supplied at the ItT stage. More details available at:

<http://www.dwp.gov.uk/supplying-dwp/what-we-buy/welfare-to-work-services/star-rating-system/>

## 12.6 Evaluation

12.6.1 DWP will require additional information from suppliers in order to monitor and evaluate the success of provision and their management and delivery of it. Suppliers must co-operate fully with any evaluation activity commissioned by Jobcentre Plus and/or DWP. This may include details of participants' age, gender, ethnicity, disability, progress and achievements.

### 12.6.2 Evaluation Strategy for Pilots

As well as job outcomes, it is important that there is a mechanism in place which will enable us to measure other kinds of progression for those taking part in the pilots. DWP will use a 'Distanced Travelled' approach in the evaluation to capture this information. Distance Travelled is defined as being the "progress beneficiaries make in terms of achieving soft outcomes that lead towards sustained employment. This could include for example, assessment of the customer's progress in relation to the following areas: job seeking skills; expectations of employment; understanding of requirements of employment; reliability; time management; literacy and numeracy; communication skills; interpersonal skills; problem solving; appropriate behaviour; adaptability; concentration; and motivation and commitment.

The evaluation strategy for the pilots will involve collecting information from surveys and matching data sources. It will be conducted by researchers who will be commissioned by DWP, and will involve collecting information about customer's perceptions and experiences. A multi-method evaluation is envisaged consisting of the following elements:

- Impact evaluation using a random assignment design. Key impacts will include entry into work and sustained work; entry into treatment and successfully completing treatment and distance travelled;
- Qualitative interviews with key stakeholders including providers, Jobcentre Plus staff and customers to explore their experiences and perceptions of the pilot programme;
- Process evaluation examining what works and identifying areas for improvement. A key part of this will be evaluating the use of the distance travelled model;
- Cost benefit analysis.

More information will be available about the proposed evaluation strategy at ItT stage.

### 12.6.3 Evaluation Strategy for Merged Programme

The evaluation of the merged programme will be contracted out to independent research organisations with appropriate expertise within this field. Details of the evaluation strategy have yet to be finalised, but it will include consideration of the extent to which the programme meets its objectives and critical success factors, relative to previous initiatives for the same customer groups.

Researchers will wish to visit and interview suppliers, Jobcentre Plus, customers, employers and other strategic partners involved in service delivery. Suppliers will be contacted in advance of the fieldwork and given information on how the evaluation will impact on their time.

Given the importance of supply chain management within the Prime Contractor procurement model, one strand of the evaluation will:

- examine the extent to which providers build strong links with local employers and key partner organisations; and
- support the Department's Diversity and Equality policy.

Further details will be available at ItT stage.

### **13. Provider Referrals and Payment System**

- 13.1 From October 2009, DWP will introduce an automated Provider Referrals and Payments (PRaP) system to replace the current clerical processes for new Commercial Employment Provision. PRaP will deliver a quicker, more secure and accurate service for customers and Providers. All successful bidders will be expected to meet the required DWP Security Standards for users of PRaP.
- 13.2 Providers will use a standard web browser (Internet Explorer or Mozilla Firefox) to access PRaP following user authentication via the Government Gateway and be able to access referral information including contact details and other relevant customer data.
- 13.3 Providers will also need to record certain actions within PRaP e.g. start dates, leaver dates and outcomes. PRaP will automate payments of monthly service fees and payable outcomes as appropriate.
- 13.4 Direct access to PRaP will be limited to Prime Providers as access will be required to some personal customer data which will require compliance with the Departmental Security policies and the Data Protection Act.
- 13.5 All payments to Providers for service fees and outcome payments will be made using PRaP.
- 13.6 Suppliers will be required to provide management information to Jobcentre Plus using the Provider Referrals and Payments System.

### **14. Data Protection**

- 14.1 Prime Providers and their sub-contractors will need to have access to certain personal customer and DWP data in order to deliver the new provision. For this reason, and in order to be able to access PRaP, they will be required to comply with the Departmental Security Standards and the Data Protection Act regarding data storage, data movement, data access and data usage etc. Prime Providers must put into effect and maintain appropriate technical, organisational and personnel measures to ensure the prevention of unauthorised or unlawful processing of personal data and accidental loss or destruction of, or damage to, personal data. Data must not be transferred outside the UK without the express permission of DWP, which must be applied for in writing.
- 14.2 Assurance of Prime Provider and sub-contractor security compliance will be via supplier completion of a Draft Security Plan as part of their tender. The security plan will need to set out the security measures to be implemented and maintained by the Prime Contractor in relation to all aspects of the services and all processes associated with the delivery of services and shall at all times comply with the Department's relevant security policies and standards.
- 14.3 On-going annual assurance will also be required throughout the life of the contract. Further information on Data Protection and Freedom of Information will be available

## Restricted - Policy and Commercial

in the ItT and Provider Guidance and in the draft terms and conditions of the contract which will be included in the ItT pack.

### **15. Equal Opportunities**

- 15.1 Customers must be provided with an environment free from discrimination or harassment, which protects their dignity. Suppliers must ensure that provision makes a positive contribution to achieving the Government's equal opportunities objectives. They must work with DWP and Jobcentre Plus to achieve outcomes set out in equal opportunities action plans, which will be developed by Jobcentre Plus locally. These action plans should identify specific activities to improve equality of access and outcome for customers on Jobcentre Plus provision. Providers must be aware of and deliver provision that takes account of equal opportunities issues in their local area and more generally, for example providing full access and support for disabled people, avoiding age and gender stereotyping, encouraging and facilitating access by customers from minority groups and tailoring provision to meet the needs of all customers.
- 15.2 Providers are responsible for ensuring they comply with all Equal Opportunities legislation. The more recent legislation includes the Equality Act 2006, the Disability Discrimination Act 2005, Race Relations (Amendment) Act 2000, the Employment & Equality (Age) Regulations 2006, Employment & Equality (Religion & Belief) Regulations 2006 and the Employment & Equality (Sexual Orientation) Regulations 2006.

### **15.3 Welsh Language**

The Welsh Language Act 1993 established the principle that the Welsh and English languages should be treated on a basis of equality in the conduct of public business and the administration of justice in Wales. DWP operates a Welsh language scheme which helps the public in Wales to use Welsh as part of their day to day lives. It is our normal practice to ensure that all the services we provide for the public in Wales are available in Welsh and that our customers are aware of this fact. The principle also applies to all services delivered on our behalf by our agents and contractors. Suppliers must, therefore, ensure that they are able to satisfy this requirement when tendering to deliver services to our customers in Wales.

### **16. Health and Safety**

Suppliers must:

- Ensure appropriate precautionary measures are taken when customers could come into contact with vulnerable groups such as children or the elderly;
- Ensure that all elements of provision (including work placements) are delivered in a safe environment and customers receive health and safety induction, supervision, training and equipment, including safety equipment, which is appropriate to the provision being delivered (these are statutory requirements for all employees and customers);

## Restricted - Policy and Commercial

- Ensure that the health and safety arrangements set out within the contracting process are monitored and reviewed as appropriate, both at the suppliers' and at any sub-contractors' premises;
- Provide Jobcentre Plus with timely and accurate reports of any relevant accidents occurring to Jobcentre Plus customers. Further details are supplied in Jobcentre Plus Provider Guidance which can be viewed on the DWP website at ; <http://www.dwp.gov.uk/supplying-dwp/what-we-buy/welfare-to-work-services/provider-guidance/>
- The above requirements are in addition to Health and Safety legislation e.g. RIDDOR (Reporting of Injuries, Diseases and Dangerous Occurrence Regulations 1995) and the providers' own accident and investigation arrangements.

### **17. Transfer of Undertakings Protection of Employment Regulations (TUPE)**

As a consequence of merging and re-contracting progress2work and p2w LinkUP Transfer of Undertakings (Protection of Employment) Regulations 2006 (TUPE) may apply to the services both at the time of award and in the event of any subsequent re-tendering. The application of TUPE would result in employees from the existing suppliers, and liabilities relating to them, transferring to the successful tenderer. DWP will be neither the transferor nor the transferee of staff in the circumstances of any contract award as a result of this competition, and consequently tenderers are solely responsible for taking their own advice on whether TUPE applies and what effect this may have on a tender. DWP will expect all tenderers to comply with their obligations under TUPE. Where TUPE does apply DWP will expect successful tenderers to work co-operatively with other suppliers to ensure a smooth transition of staff from one supplier to another. Please see Annex E for more information about TUPE.

## Annex A – European Social Fund Additional Information

This annex is used to give extra information for the pilots and merged programme contracts in England only

### European Social Fund



#### CONTENTS

	<b>Para</b>
Purpose	1
Background	2
Funding of this project	3
Co-Financing and Match Funding	3
ESF Objectives	5
Added Value	6
The Service Requirement	7
Procurement Strategy	8
Contract Management	9
Contract Management of Sub-Contractors	10
ESF Audit requirements	11
Document Retention	12
Publicity	13
ESF Cross Cutting Themes	14
<i>Equality, Diversity and Equal Opportunities</i>	
<i>Sustainable Development</i>	
<i>London only – Additional cross cutting theme for Health</i>	
Additional Information	15

#### ABBREVIATIONS

CFO	Co-Financing Organisation
CMF	Contract Management Framework
DWP	Department for Work and Pensions
ESF	European Social Fund
EU	European Union
FTET	Full Time Education and Training
HMRC	Her Majesty's Revenue and Customs
LEP	Local Employment Partnership(s)
LSC	Learning and Skills Council

## **DWP has responsibility for ESF in England in only.**

### **1. Purpose**

This annex sets out the overarching delivery requirements which apply to all DWP European Social Fund (ESF) contracts and which are additional to or complement the particular requirements detailed in the main provision specification. It provides a clear and accurate description of ESF specific requirements, some of which are mandatory whilst enabling providers to offer innovative solutions to meet those requirements as effectively and cost-efficiently as possible.

### **2. Background**

The European Social Fund (ESF) is one of the Structural Funds that promote economic and social cohesion in the European Union. ESF's purpose is to add value to Member States' policies to improve employment opportunities and skills, in line with the Lisbon agenda for growth and jobs. The legislative base is Article 146 of the Treaty establishing the European Community.

The European Commission approved the 2007-2013 ESF programme for England on 9 August 2007. England will receive about £2 billion of ESF funding which will be matched to an equivalent amount of domestic funding.

Most of the funding is administered at regional level through DWP and the Learning and Skills Council (LSC). A relatively small amount of funding is administered by Local Authorities and Regional Development Agencies. Within the scope of the national priorities, they use ESF funding to address regional employment and skills issues identified by Regional Skills Partnerships drawing on Regional Economic Strategies.

### **3. Funding For This Project**

Adding ESF funding to Contract Package Area (CPA) budgets can be regarded as adding value on the basis that it will allow, for example, purchase of additional provision or allow more participants to be helped. Although DWP has not yet been given an allocation for 2011-13, there is a definitive allocation from the Commission to the England managing authority as set out in the Commission Decision agreeing the Operational Programme. This agreement also covers the commitment to contribute ESF funding to the merged progress2work/ progress2workLinkUP contracts until 2015.

### **4. Co-Financing and Match Funding**

DWP has agreed to act as a Co-Financing Organisation (CFO) for ESF in England. DWP will manage its CFO arrangements through its Employment Group Delivery Directorate, with representation in regions, through Jobcentre Plus. This means that ESF funds in each Region will be distributed through ESF co-financing arrangements, in the form of competitive procurement exercises. As a CFO, DWP's role is to bring together ESF and domestic funding to increase employment opportunities for people not in work. ESF complements and adds value to domestic employment programmes. DWP will contract with provider organisations to deliver ESF initiatives in line with the regional ESF Frameworks and DWP's own objectives.

In bringing together domestic and ESF programmes DWP will use selected domestic programmes to meet the ESF requirements for match funding. Match funding is essential to the drawing down of ESF and the providers of programmes used as match funding will also be asked to carry out certain responsibilities of an ESF-funded organisation, including support for publicising ESF involvement in the programme. Providers of ESF contracts let under the CFO arrangement do not need to find their own match funding, this will be identified as administered by DWP.

## **5. ESF Objectives**

ESF Priority 1 (Priority 4 in Cornwall and Isles of Scilly) of the England ESF programme for 2007-2013 concerns increasing employment opportunities and its objective is to increase employment and to reduce unemployment and inactivity. It will help to tackle barriers to work faced by people such as:

- people with disabilities and health conditions;
- lone parents and other disadvantaged parents;
- older workers;
- people from ethnic minorities;
- people with low or no qualifications; and
- young people, particularly if not in education or training.

The intention is that, by tackling and preventing worklessness, this priority will help to improve social inclusion and social mobility and, by helping unemployed and inactive parents to enter sustainable jobs and make progress at work, help to alleviate child poverty.

The specific DWP priority groups are:

- people on Incapacity Benefit especially those with children (reflects Child Poverty Agenda);
- lone parents;
- other people with children;
- the most disadvantaged (including people with addictions to drugs and alcohol); and
- Sub Regional Partnership activities.

Although the full ESF funding period beyond 2013 has not yet been agreed, there is a commitment to contribute ESF funding to the new merged progress2work and progress2workLinkUP programme until 2015. At present there is no information as to whether the ESF Objectives will change after 2013.

## **6. Added Value**

It is an ESF requirement that ESF provision must add value to existing DWP provision and to other provision in the locality, and must not duplicate it. ESF provision could complement DWP provision in different ways, for example:

- targeting people who may not otherwise come forward to, or be eligible for, existing provision;
- extending the amount or range of provision available;

## Restricted - Policy and Commercial

- providing additional support in key locations where additional barriers exist for people wanting to return to work;
- providing different or more intensive support to people facing greater barriers, alongside their involvement in the main domestic programme;
- providing specific help to particular disadvantaged people to help them find and keep a job;
- supporting people after they enter employment, to assist with sustaining and retaining a job;
- providing support to employers through Local Employment Partnerships to complement the help available to them through other DWP provision.

### **7. The Service Requirement**

There is no specific ESF service requirement. The service requirement for the merged programme in England and the pilots is as per the main specification.

### **8. Procurement Strategy**

All the English CPAs will receive ESF funding, as such it is not permissible for the Prime Contractor to act as a Managing Agent, i.e. the Prime Contractor cannot sub-contract all of the provision, it must deliver at least some of the provision directly.

In the English CPAs, it is therefore a requirement that the Prime Contractor delivers the entire provision either directly themselves or through a mix of their own direct delivery and the remainder through sub-contractors. Where a Prime Contractor intends to deliver the entire provision directly, then DWP will need to be satisfied that they have the capacity, expertise and local links in place to ensure that the contract is delivered.

The Prime Contractor model can also include a consortium arrangement where one organisation acts as the “lead” on behalf of members of the consortium or a Special Purpose Vehicle (where the Special Purpose Vehicle is the legal entity). DWP will contract with one legal entity only (which in the case of a consortium will be the lead). The legal entity must be in place at the time of entering into a contract

#### **Prime Contractor Responsibilities**

As a minimum, Prime Contractors will be required to:

- ensure delivery of the specific provision requirement including the starts and outcome targets detailed within each CPA specification and deliver some or all of the provision directly;
- manage the performance of sub-contractors and also make payments to sub-contractors in line with DWP requirements as appropriate;
- Ensure that ESF specific compliance requirements are met by both themselves and where appropriate, their sub-contractors.

### **9. Contract Management**

ESF projects will be managed and monitored in line with the Department’s Contract Management Framework (CMF). This sets out the processes for monitoring contracts

## Restricted - Policy and Commercial

using a risk based approach taking into account key elements such as contract compliance (including ESF compliance), performance and quality.

### 10. Contract Management of Sub-Contractors

Where any of the tendered provision is to be sub-contracted, the successful provider is expected to use all reasonable endeavours to ensure that sub-contractors comply in all respects with the contract and all relevant legislation, including ESF compliance with regard to Marketing and Publicity, document retention, audit requirements and cross cutting themes etc. Please see the DWP Provider Guidance chapter 12a for more information.

DWP Contract Managers will manage Prime Contractor activity and the Prime Contractor will manage sub-contractors on an ongoing basis.

### 11. ESF Audit Requirements

The following list is not exhaustive. Providers and sub-contractors will be required, as a minimum, to:

- keep a full record of all costs necessary to deliver the contract;
- provide information on costs to DWP as required from time to time;
- maintain appropriate audit trails of individual participant records covering eligibility, attendance and progress;
- maintain evidence of promoting ESF to individual participants and the general public;
- maintain evidence of implementing and promoting the ESF cross-cutting themes - equal opportunities, gender equality and sustainable development;
- provide reasonable access to DWP and other authorised staff to records, contractor staff and participants, so that it can be verified that expenditure has been used in delivery of the contract.

For example: If a supplier pays a customer any travel costs, or pays a specialist training provider for additional support, robust processes **MUST** be in place to manage and demonstrate evidence of costs and processing of such payments.

The following is a list of the bodies, which require access for audit purposes - it is not exhaustive:

- European Social Fund – ESF Audit Authority
- The European Court of Auditors
- The European Commission’s Auditors
- The National Audit Office
- Government Offices
- Other bodies as required by or on behalf of DWP

It cannot be emphasised enough that failure to meet audit requirements results in a high financial risk for both yourselves and DWP, **as failure to comply with any aspects of these requirements may result in funds being withdrawn after the event.**

Funds used inappropriately or for ineligible participants or purposes are recoverable.

## 12. Document Retention

Prime providers will be required to retain and store key documents relating to participants and financial claims in line with their contract terms and conditions. It is an ESF requirement that these documents are retained for audit purposes, and for the full ESF-determined timescale. **This is expected to be at least until 31st December 2022.** Prime Contractors will need to have systems in place that can be relied upon to meet the required audit trail, including documents generated by their sub-contractors, so that documents can be easily retrieved. The DWP Provider Guidance (Chapter 12a) sets out the range of documents for retention. These include participant documentation and documents supporting financial claims.

## 13. Publicity Requirement

Providers will be responsible for complying with contractual requirements for publicity and information-related measures to support for ESF, including complying with the publicity requirements of the European Commission.

Co-financing organisations are required to develop and implement communications plans for each ESF CPA, and for Cornwall and the Isles of Scilly, which will be reviewed annually. These plans will include the role of providers in helping to raise awareness of ESF support for employment provision among both ESF participants and the wider general public.

More detailed information will be included in Provider Guidance. Providers will be asked to (list is not exhaustive):

- publicise provision opportunities to potential applicants;
- use the ESF logo extensively in line with guidance, for example in leaflets, posters, newspaper articles/advertisements, newsletters, participant forms;
- display the ESF plaque prominently in line with guidance;
- raise awareness of ESF support amongst ESF participants and the general public;
- supply provider and provision details for inclusion in ESF public databases;
- provide case study or news story information and share good practice;
- support the review and evaluation of information and publicity measures.

Providers must communicate clearly in language that is understandable to a wide audience and support the ESF programmes cross-cutting theme of sustainable development by aiming to minimise the impact of measures on the environment. This will inform decisions on how publicity is undertaken, consideration should be given to the use of IT/web based publicity materials and paper based materials should make use of recycled materials.

Provision specifications include requirements for development and agreement of marketing proposals and materials locally with the DWP CFO, represented by Jobcentre Plus. All marketing and publicity material produced to promote the programme must be approved by the Regional ESF team.

The ESF Managing Authority will maintain a database of operations, by region, on the national ESF website. This will include the names of projects and the project providers

and the amount of funding allocated to the project. This will be generated from information supplied by the DWP CFO to the Managing Authority. It may also be used on the European Commission's website.

## **14. ESF Cross Cutting Themes**

### **Equality, Diversity and Equal Opportunities**

Commitment to equality and valuing diversity must be demonstrated. Relevant legislation must be complied with at all times and services provided must embrace diversity and promote equality of opportunity. Discrimination will not be tolerated on any grounds including gender, marital status, sexual orientation, race, colour, nationality, religion or age.

Through the terms and conditions of the contract, providers will be required to ensure that they and sub-contractors assist and co-operate with DWP to actively promote equality of opportunity for all persons irrespective of their, race, gender, age, disability, sexual orientation or religion. The provider is required to comply with an agreed Equality Policy, Training Plan, and Supplier Diversity Plan and ensure that any sub-contractors adopt and implement similar policies and plans.

Providers will be expected to support and be involved in Equality Impact Assessments undertaken by the Department at various stages, particularly once preferred bidders are known and in readiness for implementation.

In addition to this, every 12 months from the beginning of the contract the provider will be required to produce information recording the proportion of its employees who are female, disabled and the ethnic background of all employees. Every 12 months from the start of the contract the provider will be required to produce information recording the proportion of its sub-contractors that are small to medium sized enterprises, ethnic minority enterprises and black minority enterprises.

Providers will be asked whether any findings of unlawful discrimination in relation to non-employment matters have been made against them in the last three years. Also, they will be asked if any of their contracts have been terminated on the grounds of failure to comply with legislation, prohibiting discrimination or contract conditions relating to equal opportunities. Providers will be asked to confirm that they have a complaints procedure in place and that complaints are addressed and monitored in relation to discrimination.

### **Sustainable Development**

DWP supports the goal of sustainable development to enable all people throughout the world to satisfy their basic needs and enjoy a better quality of life without compromising the quality of life of future generations. Providers will be required to complete a policy statement to demonstrate that they satisfy and adhere to the four key aims and a sustainable development plan must be produced within 6 months of the contract start date. The plan will need to cover the following:

- how waste will be minimised and recycling promoted;
- how energy consumption will be minimized;
- how the use of transport may be minimised and public transport promoted;

## Restricted - Policy and Commercial

- how awareness of environment issues will be promoted within the organisation.

This goal will be pursued in an integrated way through a sustainable, innovative and productive economy that delivers high levels of employment and a just society that promotes social inclusion, sustainable communities and personal well being. This will be done in ways that protect and enhance the physical and natural environment and use resources and energy as efficiently as possible.

Sustainable development has four main aims:

- social progress that recognises the needs of everyone;
- effective protection of the environment;
- prudent use of natural resources;
- maintenance of high and stable levels of economic growth.

Provision supported by the ESF should improve the employability of the participant and deliver environmental or community benefits by:

- minimising travel;
- using innovative delivery methods;
- supporting skills and jobs identified that will work towards improving conservation;
- identify skills needed in work areas that will have a positive effect on the environment;
- reduce skills gaps locally;
- placements through local and charitable organisations.

Providers will need to give an assurance that their waste is disposed by registered waste collectors and that WEEi regulations are observed with regard to the disposal of ink cartridges, toners, electrical consumables and equipment.

### **London only – Additional cross cutting theme for Health**

In addition to the above ESF cross-cutting themes (i.e. sustainable development and equality, diversity and equal opportunities) please also note that the London ESF Regional Framework identifies Health as an additional cross-cutting theme for the programme. Successful providers will be asked to produce a plan as to how they will meet the requirements of this theme within six months of the contract starting.

Further detail can also be obtained using the following website link.

<http://www.lda.gov.uk/server/show/ConWebDoc.2216>

## **15. ADDITIONAL INFORMATION**

ESF Provider Guidance can be accessed on the website at, [www.dwp.gov.uk/supplying-dwp/what-we-buy/welfare-to-work-services/provider-guidance/](http://www.dwp.gov.uk/supplying-dwp/what-we-buy/welfare-to-work-services/provider-guidance/) chapter 12A

## Annex B – Volumes & Contract Packages

In line with our published Commissioning Strategy DWP are seeking to rationalise the number of contracts currently in place for this programme. DWP currently have around 120 contracts for p2w and p2wLinkUP services and under the new combined programme DWP will award nineteen contracts (including the pilot provision in five of the areas). The contract values shown include ESF funding for both the p2w programme and pilots.

### Merged Programme

DWP anticipates that around 25,700 participants will benefit from the new merged programme each year. Please see the CPA information below for an indication of how we envisage these starts will be distributed across the Contract Package Areas.

The indicative volumes for each CPA have been derived from historical data collected from existing p2w and p2wLinkUP programmes. Customer numbers on the existing programmes have remained relatively stable over the past three years. The figures are based on this continuing to be the case, plus an allowance for additional numbers as a result of p2wLinkUP coverage being gradually extended geographically, and an increase in available places as a result of applying ESF funding.

For planning purposes, in Districts which do not currently have p2wLinkUP, the estimates have been calculated by looking at the proportion of p2w customers the District contributes to the national totals and applying this same proportion to national p2wLinkUP figures.

### Contract Package Areas

#### Packages (including ESF funding in England package areas) Annual Values (NB start figures have been rounded, and numbers may not sum due to rounding)

	Government Office Region	Districts	Total Starts	Contract Value
1	SCOTLAND	Ayrshire, Dumfries, Galloway & Inverclyde	650	
		Highlands, Islands, Clyde Coast & Grampian	600	
		<b>Total</b>	<b>1,250</b>	<b>1,200,000</b>
2	SCOTLAND	Glasgow	1,050	
		Lanarkshire and East Dunbartonshire	750	
		<b>Total</b>	<b>1,800</b>	<b>1,800,000</b>
3	SCOTLAND	Forth Valley, Fife & Tayside	300	
		Edinburgh, Lothian and Borders	700	
		<b>Total</b>	<b>1,000</b>	<b>1,000,000</b>
4	WALES	North & Mid Wales	600	
		South East Wales	650	
		<b>Total</b>	<b>1,250</b>	<b>1,300,000</b>
5	WALES	South Wales Valleys	600	
		South West Wales	950	
		<b>Total</b>	<b>1,550</b>	<b>1,600,000</b>

Restricted - Policy and Commercial

6	LONDON	North & North East London	50	
		City and East London	500	
		Central London	150	
		West London	450	
		South London	400	
		Lambeth, Southwark & Wandsworth	100	
		<b>Total</b>	<b>1,650</b>	<b>1,600,000</b>
7	EAST OF ENGLAND	Essex	50	
		Norfolk	100	
		Suffolk & Cambridgeshire	150	
		Bedfordshire & Hertfordshire	250	
		<b>Total</b>	<b>550</b>	<b>500,000</b>
8	SOUTH EAST	Berks, Bucks & Oxfordshire	250	
		Hampshire	500	
		Surrey & Sussex	550	
		Kent	150	
		<b>Total</b>	<b>1,450</b>	<b>1,500,000</b>
9	SOUTH WEST	Devon & Cornwall	1,250	
		<b>Total</b>	<b>1,250</b>	<b>1,200,000</b>
10	SOUTH WEST	Dorset and Somerset	500	
		Gloucestershire, Wiltshire & Swindon	400	
		West of England	150	
		<b>Total</b>	<b>1,000</b>	<b>1,000,000</b>
11	WEST MIDLANDS	Birmingham and Solihull	350	
		Black Country	700	
		Coventry and Warwickshire	600	
		Staffordshire	400	
		The Marches	100	
		<b>Total</b>	<b>2,150</b>	<b>2,100,000</b>
13	EAST MIDLANDS	Lincolnshire and Rutland	50	
		Nottinghamshire	700	
		Derbyshire	450	
		Leicestershire & Northamptonshire	350	
		<b>Total</b>	<b>1,550</b>	<b>1,500,000</b>
14	YORKSHIRE & HUMBER	West Yorkshire	1,500	
		<b>Total</b>	<b>1,500</b>	<b>1,500,000</b>
15	YORKSHIRE & HUMBER	South Yorkshire	750	
		<b>Total</b>	<b>750</b>	<b>800,000</b>
16	YORKSHIRE & HUMBER	North & East Yorkshire and The Humber	1,050	
		<b>Total</b>	<b>1,050</b>	<b>1,100,000</b>
17	NORTH WEST	Cumbria & Lancashire	900	
		Greater Manchester Central	450	
		Greater Manchester East & West	1,050	
		Cheshire & Warrington	50	
		<b>Total</b>	<b>2,450</b>	<b>2,400,000</b>
18	NORTH WEST	Merseyside & Halton	1,550	
		<b>Total</b>	<b>1,550</b>	<b>1,600,000</b>
19	NORTH EAST	Tees Valley	700	
		Northumbria	550	
		South Tyne & Wear Valley	550	
		<b>Total</b>	<b>1,800</b>	<b>1,800,000</b>

Restricted - Policy and Commercial

<b>Packages (including ESF Funding in England Package areas) Five Year Values</b>				
<b>(NB start figures have been rounded, and numbers may not sum due to rounding)</b>				
	<b>Government Office Region</b>	<b>Districts</b>	<b>Total Starts</b>	<b>Contract Value</b>
1	<b>SCOTLAND</b>	Ayrshire, Dumfries, Galloway & Inverclyde	3,350	
		Highlands, Islands, Clyde Coast & Grampian	2,950	
		<b>Total</b>	<b>6,300</b>	<b>6,200,000</b>
2	<b>SCOTLAND</b>	Glasgow	5,200	
		Lanarkshire and East Dunbartonshire	3,750	
		<b>Total</b>	<b>8,950</b>	<b>9,000,000</b>
3	<b>SCOTLAND</b>	Forth Valley, Fife & Tayside	1,550	
		Edinburgh, Lothian and Borders	3,500	
		<b>Total</b>	<b>5,050</b>	<b>5,100,000</b>
4	<b>WALES</b>	North & Mid Wales	3,050	
		South East Wales	3,200	
		<b>Total</b>	<b>6,300</b>	<b>6,300,000</b>
5	<b>WALES</b>	South Wales Valleys	3,000	
		South West Wales	4,800	
		<b>Total</b>	<b>7,850</b>	<b>7,900,000</b>
6	<b>LONDON</b>	North & North East London	250	
		City and East London	2,400	
		Central London	700	
		West London	2,200	
		South London	2,050	
		Lambeth, Southwark & Wandsworth	600	
		<b>Total</b>	<b>8,200</b>	<b>8,200,000</b>
7	<b>EAST OF ENGLAND</b>	Essex	150	
		Norfolk	550	
		Suffolk & Cambridgeshire	750	
		Bedfordshire & Hertfordshire	1,300	
		<b>Total</b>	<b>2,700</b>	<b>2,700,000</b>
8	<b>SOUTH EAST</b>	Berks, Bucks & Oxfordshire	1,250	
		Hampshire	2,450	
		Surrey & Sussex	2,700	
		Kent	850	
		<b>Total</b>	<b>7,300</b>	<b>7,300,000</b>
9	<b>SOUTH WEST</b>	Devon & Cornwall	6,150	
		<b>Total</b>	<b>6,150</b>	<b>6,100,000</b>
10	<b>SOUTH WEST</b>	Dorset and Somerset	2,500	
		Gloucestershire, Wiltshire & Swindon	2,000	
		West of England	650	
		<b>Total</b>	<b>5,100</b>	<b>5,100,000</b>
11	<b>WEST MIDLANDS</b>	Birmingham and Solihull	1,750	
		Black Country	3,450	
		Coventry and Warwickshire	3,100	
		Staffordshire	2,050	
		The Marches	550	
		<b>Total</b>	<b>10,900</b>	<b>10,900,000</b>
13	<b>EAST MIDLANDS</b>	Lincolnshire and Rutland	250	
		Nottinghamshire	3,500	

## Restricted - Policy and Commercial

		Derbyshire	2,200	
		Leicestershire & Northamptonshire	1,800	
		<b>Total</b>	<b>7,750</b>	<b>7,700,000</b>
14	<b>YORKSHIRE &amp; HUMBER</b>	West Yorkshire	7,600	
		<b>Total</b>	<b>7,600</b>	<b>7,600,000</b>
15	<b>YORKSHIRE &amp; HUMBER</b>	South Yorkshire	3,800	
		<b>Total</b>	<b>3,800</b>	<b>3,800,000</b>
16	<b>YORKSHIRE &amp; HUMBER</b>	North & East Yorkshire and The Humber	5,350	
		<b>Total</b>	<b>5,350</b>	<b>5,300,000</b>
17	<b>NORTH WEST</b>	Cumbria & Lancashire	4,500	
		Greater Manchester Central	2,200	
		Greater Manchester East & West	5,350	
		Cheshire, & Warrington	250	
		<b>Total</b>	<b>12,300</b>	<b>12,200,000</b>
18	<b>NORTH WEST</b>	Merseyside & Halton	7,800	
		<b>Total</b>	<b>7,800</b>	<b>7,800,000</b>
19	<b>NORTH EAST</b>	Tees Valley	3,450	
		Northumbria	2,850	
		South Tyne & Wear Valley	2,800	
		<b>Total</b>	<b>9,100</b>	<b>9,100,000</b>

### Pilots

In choosing the five pilot areas DWP have consulted widely with NTA about the PDU populations in individual District areas. The pilots are being located in areas with relatively high PDU populations in order to maximise volumes.

This table sets out indicative volumes of PDUs who DWP estimate will enter the pilot programmes in each District. This takes into account the fact that half of eligible PDUs would be referred into a control group, rather than being referred to providers to enter the pilot programme.

### Indicative pilot inflows (excludes control group)

PILOT AREAS	Central projection	Min	-	Max
Central London	750	550	-	950
Cumbria & Lancashire	600	400	-	750
Merseyside	800	600	-	1,000
Birmingham & Solihull	750	550	-	950
West Yorkshire	950	700	-	1,200

Please note that the central projection can be used as a core estimate, but there is a high degree of uncertainty as to volumes, which can be expected to fall somewhere in the range set out.

## Restricted - Policy and Commercial

The volumes have been calculated based on expected volumes of PDUs on ESA and JSA, and associated inflows<sup>6</sup>. We have also taken into account the process of identification and referral, and off-flows over the course of this process. The department doesn't currently routinely identify drug use as part of the benefit process, and there is considerable uncertainty about the behaviour of Problem Drug Users in the new identification and pilot process. This means that there is considerable uncertainty around the volumes estimates.

### Funding

Funding for the pilots is as follows (including ESF).

	<b>Total funding</b>
Central London	£1,378,500
Cumbria & Lancashire	£1,068,750
Merseyside	£1,460,750
Birmingham & Solihull	£1,356,000
West Yorkshire	£1,736,000
<b>Total</b>	<b>£7,000,000</b>

These figures are net of £500k which has provisionally been set aside for data sharing and medical testing, and £500k which has been set aside for evaluation of the pilots.

---

<sup>6</sup> Department for Work and Pensions, Working Paper No 46, Population estimates of problematic drug users in England who access DWP benefits: A feasibility study, Gordon Hay and Linda Bauld.  
<http://research.dwp.gov.uk/asd/asd5/WP46.pdf>

**Annex C - Procurement Timeline**

<b>Requirement</b>	<b>Date</b>
PQQ pre-notice on internet/ in papers	w/c 05/10/09
PQQ on internet	12/10/09
PQQ briefing events	20/10, 21/10, 22/10
PQQ deadline	Noon 03/12/09
Successful 1 <sup>st</sup> stage bidders contacted	w/c 15/02/10
Successful 1 <sup>st</sup> stage bidder details and ItT posted on website	w/c 22/02/10
ItT event	23/02/10
ItT deadline	Noon 28/04/10
Preferred bidders notified	w/c 21/06/10
Post Tender Discussions with preferred bidder	28/06/10 – 30/07/10
Contract Award	w/c 02/08/10
Start up period	02/08/10 – 04/10/10
Go live	04/10/10

## **Annex D - DWP Code of Conduct**

This Code of Conduct spells out the key values and principles of behaviour which DWP expects of suppliers and which are essential for creating healthy, high performing supply chains. Suppliers who contract with DWP will be expected to operate in accordance with the Code of Conduct.

### **Values**

The Code of Conduct will be underpinned by a set of core values to be upheld by top-tier and delivery suppliers. They should:

- act with integrity;
- have respect for their partners (actual and potential), including the use of fair contracting and funding arrangements;
- ensure transparency, non-discrimination, equal treatment and accountability in relationships between both parties;
- ensure prompt and receptive responses to market place issues and challenges;
- encourage the sharing of good practice;
- promote equality and diversity in their own workforce and their supply chain; and
- be committed to achieving the best possible outcomes for our customers.

### **Pre-awarding of contract**

- Sub-contracting opportunities should be advertised as openly and widely as possible;
- Application processes at the sub-contracting level should be open and fair, as simple as possible, consistent, and in proportion to the size of contract;
- Short listed top-tier suppliers cannot insist that potential delivery suppliers negotiate only with them and not their competitors;
- There will be no “poaching” potential delivery supplier staff during sub-contracting negotiations;
- Top-tier suppliers should ensure transparency in providing timely feedback to unsuccessful delivery suppliers;
- Both parties should agree the terms of delivery at the outset and with additional agreement on how risk is to be allocated;
- Top-tier suppliers with longer contracts will offer contracts to delivery suppliers of sufficient length (subject to performance) to enable long-term planning and investment;
- Funding should be on a basis that is fair to the different organisations involved and reflects relative ability to bear particular risks. All suppliers will need, through the contract tendering process, to offer prices and have plausible expectations of what they can deliver, so that they are in a position to recover their costs.

### **Post-awarding of contract**

- Top-tier suppliers will live up to any commitments they make to delivery suppliers at the time of contract award;

## Restricted - Policy and Commercial

- Monitoring requirements and management information should not be overly bureaucratic and should be consistent, proportionate, clearly specified and agreed at the start of the contract;
- Neither top-tier nor delivery suppliers will engage in restrictive practices such as colluding on price;
- The development of smaller suppliers will be supported and encouraged;
- The top-tier supplier should provide a reasonable level of extra support for new entrants into the market;
- There should be transparency between top-tier and delivery suppliers about decisions or referrals of customers including the level and type of support needed.
- Timing of payments should be consistent and agreed with both parties, to ensure the level of risk is minimal on the delivery supplier;
- Top-tier suppliers should consider making payments in advance of expenditure (where appropriate and necessary) in order to achieve better value for money;
- There will be open lines of communication between suppliers to ensure any issues are resolved as soon as they arise as far as is practicable;
- Contracts between top-tier/delivery suppliers will allow a sufficient termination period, which will be agreed at the outset;
- Top-tier suppliers should not seek to obstruct or prevent delivery suppliers from presenting reasonable strategic or operational grievances to DWP.

## Equality and Diversity

- All suppliers will have effective equality and diversity policies and will abide by DWP policy on equality and diversity where relevant and proportionate to the contract;
- Top-tier and delivery suppliers should promote diversity and equality in their ways of working, in relation to their own staff, their supply chain and in the delivery of services.

## DWP will undertake to:

- uphold these standards as a good commissioner;
- monitor and enforce the Code of Conduct consistently and fairly;
- allow a sufficient period of time for short-listed organisations to fully develop their tender proposals, including development of partnership and consortia arrangements. In the case of larger procurement exercises this will not generally be less than 12 weeks;
- act as stewards of the supply chain in its initial stages supporting suppliers and Contract Managers in the implementation activity from contract award through to live running;
- actively promote awareness of and adherence to the use of the Code of Conduct by top-tier suppliers and delivery suppliers;
- provide a grievance route for delivery suppliers who believe that the Code of Conduct is not being adhered to; and
- ensure that delivery suppliers can have a 'voice' direct to DWP, not just as a vehicle for talking about common problems, but as an opportunity to share insights that are best understood by those dealing with our customers.

## **Annex E - Transfer of Undertakings (Protection of Employment) Regulations 2006**

As the new merged programme will replace the existing p2w and p2wLinkUP programme, bidders are advised that they will need to consider the likelihood that the Transfer of Undertakings (Protection of Employment) Regulations 2006 (TUPE) may apply to this transfer of work.

The purpose of TUPE is to protect employment rights, continuity of employment and the terms and conditions of service of people who are transferred from one employer to another when a business or part of a business (“an undertaking”) in which they work is transferred. The new employer takes over all rights, duties and obligations of the former employer. It is as though the individual’s contract of employment was originally made with the new employer and not the original employer. TUPE also places obligations on both the existing employer (the transferor) and the new employer (the transferee) to inform, and where appropriate, consult, representatives of all “affected employees”.

Under TUPE, where there is a relevant transfer, TUPE applies the principle of an automatic transfer of contracts of employment from the previous service supplier to the new service supplier, whether the new supplier is a Prime Contractor or a sub-contractor.

Note also that TUPE may also apply when it is only part of a service that is sub-contracted: in that case, staff who worked in the relevant part can expect to transfer to the sub-contractor delivering that part of the service.

The operation of TUPE can become very complex when sub-contracting is involved and/or the service ends up being delivered by a number of suppliers. **Suppliers should seek their own advice in relation to TUPE.**

Set out below is the DWP position with regard to TUPE and its application within this programme based on our legal advice.

In the context of the re-tendering of a contract, a relevant transfer under TUPE occurs:

- when there is a transfer of an economic entity that retains its identity in the hands of the new supplier;
- when there is a service provision change, as defined (i.e. where previously a supplier had an organised grouping of employees carrying out activities on behalf of a customer who intends that the same activities be carried out by another supplier).

Further, the Cabinet Office Statement of Practice Staff Transfers in the Public Sector, published in January 2000, requires that TUPE should apply to a re-tendering of contracts where staff originally transferred from the public sector. Where there is a relevant transfer, employees assigned to the undertaking being transferred have their contracts transferred automatically to the new supplier.

DWP expects successful bidders to investigate whether TUPE applies in all cases to establish whether there should be an automatic transfer of staff from outgoing suppliers.

Where it is clear an employee is assigned to an undertaking which transfers to an identifiable new supplier, TUPE must be allowed to apply so that the contract transfers in

## Restricted - Policy and Commercial

the usual way. It is also open to preferred bidders to offer employment to staff working in the service even if TUPE does not strictly apply to transfer employment automatically.

**DWP will take very seriously any failure by preferred bidders to apply the law.** Furthermore, any such failure will expose preferred bidders to legal action in the employment tribunal by redundant staff. **It is imperative therefore, that each of the preferred bidders seeks its own legal advice as to the application of TUPE and the Statement of Practice.**

### Potential transferees:

- There will potentially be Provider to Provider TUPE transfer which may include Local Authority/ex Local Authority staff.

### Support for bidders on supplier to supplier TUPE

Clearly it is in all our interests to ensure that there is an early exchange of information to allow all stakeholders to consider the options and effect transfers where this is legally required or where both parties agree that it will ensure a smooth transition to the new contracts.

DWP will facilitate, where necessary, the exchange of full and complete TUPE information between out-going suppliers of the service and the incoming service supplier in line with the statement set out in DWP Code of Conduct, Annex 1 to the DWP Commissioning Strategy 2008.

DWP will expect the transferor and transferee to reach agreement on compliance with the information provisions of TUPE and will not be offering any warranties as to the completeness of any information where we facilitate exchange (since we have no way of assuring this).

Consequently DWP cannot provide an indemnity against any losses or liabilities resulting from failure to comply with TUPE.

### Pensions

Whilst it is unlikely that any DWP staff will transfer to new suppliers, there will be groups of staff potentially transferring to new suppliers from existing suppliers for whom pension arrangements will need to be made.

These arrangements are set out in the following legislation and codes and statements of practice:

- Local Government Pension Scheme (Amendment etc.) Regulations 1999;
- Staff Transfers in the Public Sector (2000, rev 2007);
- A Fair Deal for Staff Pensions (2002) and (2004);
- Code of Practice on Workforce Matters in Local Authority Service Contracts (2003);
- Pensions Act 2004;
- Transfer of Employment (Pension Protection) Regulations 2005;

## Restricted - Policy and Commercial

- Code of Practice on Workforce Matters in Public Sector Service Contracts (2005); and,
- The Best Value Authorities Staff Transfers (Pensions) Direction 2007.

Although the transfer of occupational pensions is excluded from TUPE, the Cabinet Office has set out best practice guidelines initially in Staff Transfers in the Public Sector (2000) and subsequently A Fair Deal for Staff Pensions (Fair Deal). A copy of these guidelines can be obtained from the Cabinet Office ([www.cabinetoffice.gov.uk](http://www.cabinetoffice.gov.uk)).

The guiding principles are that the new employer must provide public sector transferring staff with the option of membership to a pension scheme, which, though not identical, is certified by the Government Actuary's Department as "broadly comparable" to the public service pension scheme which they are leaving. Staff should also be given options for the handling of the accrued benefits which they have already earned (bulk transfer arrangements). This also applies to staff subject to a second or subsequent transfer who were originally transferred from the contracting authority) It will be a condition of the contract that the successful supplier will comply with these requirements.

In addition, transfers from local authorities are covered by the Code of Practice on Workforce Matters in Local Authority Service Contracts (the Code) which was set out in the Department for Communities and Local Government circular 02/2003. A copy of the Code can be found at:  
<http://www.communities.gov.uk/publications/localgovernment/odpmcircularbest>.

The Code obliges the new employer to make pension provision for the transferred employees, as in Fair Deal above, or to apply for admitted body status, thus allowing employees to remain members of the Local Government Pension Scheme (LGPS), by virtue of the enabling provisions of the Local Government Pension Scheme (Amendment etc.) Regulations 1999.

Further, employees who transfer from local authorities or who had previously transferred from local government service are protected under The Best Value Authorities Staff Transfers (Pensions) Direction 2007 (the Pensions Direction). Made under section 101 of the Local Government Act 2003, the Pensions Direction requires that all employees and former employees of "best value" authorities (as listed in section 1 of the Local Government Act 1999) are entitled to enforceable pension protection after a change of employer on a contracting-out exercise or subsequent contract. 'Pension protection' is defined in the Pensions Direction as the right to acquire pension benefits which are the same as, or count as broadly comparable to, or better than, those which the employees had the right to acquire before the change of employer. The Pensions Direction can be found at: <http://www.communities.gov.uk/publications/localgovernment/authorities-staff-transfers>

Transfers from public sector organisations other than local authorities are covered by the Code of Practice on Workforce Matters in Public Sector Service Contracts which requires a treatment of staff pensions similar to that provided for by the Code. It can be found at: [http://archive.cabinetoffice.gov.uk/opsr/workforce\\_reform/code\\_of\\_practice/index.asp](http://archive.cabinetoffice.gov.uk/opsr/workforce_reform/code_of_practice/index.asp)

Suppliers' employees who are in private pension schemes are excluded from the provisions of The Fair Deal for Staff Pensions and the Code. Pension provision for this group of employees is covered by the Pensions Act 2004 (the Pensions Act) at: [http://www.opsi.gov.uk/Acts/acts2004/ukpga\\_20040035\\_en\\_1](http://www.opsi.gov.uk/Acts/acts2004/ukpga_20040035_en_1) and the Transfer of

Employment (Pension Protection) Regulations 2005 at:  
<http://www.opsi.gov.uk/si/si2005/20050649>

### **Identified employee groups for pensions purposes**

Potential suppliers will need to consider the pension arrangements required for the following groups of employees who could transfer to them from existing suppliers:

- Local authority employees who are members of the Local Government Pension Scheme;
- Supplier's employees in private pension schemes - including Further Education Establishment employees and other Private Sector suppliers.

### **Local Authority staff**

Local authority staff working for current local authority suppliers will be members of the Local Government Pensions Scheme (the LGPS). For these employees a new employer must either:

- provide, under Fair Deal, a pension scheme certified by Government Actuary's Department as "broadly comparable" to the relevant LGPS scheme for their future service and a bulk transfer agreement to allow them, if they wish, to maintain the link between their future earnings growth and their past service pension benefits. The authority will provide a bulk transfer agreement with the relevant actuarial assumptions specified; or
- under the Code, apply for admitted body status, thus allowing employees to remain members of the LGPS, by virtue of the enabling provisions of the Local Government Pension Scheme (Amendment etc.) Regulations 1999; and
- in either case, observe the Pensions Direction by providing for pensions protection (as defined) to be enforceable for the relevant staff transferring to them. This may be achieved by the inclusion in the relevant contractual documents with the DWP a provision for the right to pension protection to be enforced pursuant to the Contracts (Rights of Third Parties) Act 1999.

### **Suppliers' employees in private pension schemes (including further education establishment employees and other private sector suppliers)**

These employees will be covered by the Pensions Act and the Transfer of Employment (Pension Protection) Regulations 2005 which require the new employer to offer transferring employees the opportunity to participate in an occupational or stakeholder pension scheme following the transfer if they are eligible to participate in an occupational pension scheme before the transfer.

Minimum benefits of the schemes to be offered are set out in the Pensions Act. Suppliers are advised to check the status of Further Education Establishment pension schemes. If there is any doubt whether they are private pension schemes or not advice should be sought from DWP on the expected treatment of such schemes.

### **Supplier Requirements**

Suppliers must provide details of their proposals for providing a pension scheme for all the above groups of staff.

## Restricted - Policy and Commercial

In order to achieve the requirements of Fair Deal in respect of provision of broadly comparable pension schemes and bulk transfer agreements it is **mandatory** that suppliers start these negotiations as soon as possible so that the likely outcome of these negotiations is transparent before the award of contract.

Suppliers must provide details of their proposals for negotiating a pensions bulk transfer including a timetable with the incumbent service supplier and the employer's actuary. In addition, consideration must be given to pensions arrangements for new joiners to the workforce following commencement of the contract, as required by the Code, which applies to employees transferring out of local government service, and the Code of Practice on Workforce Matters in Public Sector Service Contracts, which applies to employees transferring out of other public sector organisations.

### **Prevention of a “Two-Tier” Workforce**

Any transfers from DWP or other government Departments are subject to the Code of Practice on Workforce Matters in Public Sector Service Contracts (2005);  
<http://archive.cabinetoffice.gov.uk/opsr/documents/pdf/copwm.pdf>.

Similarly, transfers from local authorities are covered by the Code of Practice on Workforce Matters in Local Authority Service Contracts (2003).  
<http://www.lge.gov.uk/lge/core/page.do?pagelid=119743>

These codes of practice should be applied where a public sector employer transfers its employees to a private or voluntary sector partner as part of a contract to provide any service to the authority. They will ensure that new joiners to the transferred-out workforce are offered terms and conditions which are, overall, no less favourable than those of the transferred staff and will prevent the damaging ‘two-tier’ situation where TUPE transferred staff on good conditions work beside newly recruited staff on much poorer terms and conditions.

Potential suppliers will need to consider the provisions of the respective codes and the extent to which they will apply to this transfer of work.

## Annex F - Provider Capabilities Framework

The *DWP Commissioning Strategy* introduces the Provider Capabilities Framework. The framework spells out the specific capabilities and requirements that make up a high-performing supply chain and an effective Prime Contractor. DWP will contract, inspect, manage and intervene on the basis of these capabilities and requirements.

### Principles

- The capabilities described in the framework will, collectively, need to be demonstrated by the supply chain as a whole. Some individual capabilities will be relevant to the Prime Contractors; others will more likely be evidenced by sub-contractors or partners. Some will need to be demonstrated by everyone.
- DWP will look to work with organisations who share our commitment to promote equality in the workplace. DWP will ask potential suppliers about their equal opportunities policies as employers and will work with suppliers to raise the employment of under-represented groups, amongst other key equality outcomes. DWP want to contract with organisations that are prepared to work to make progress within their own workforce and supply chain; DWP believe this is an indispensable part of demonstrating the capability to deliver employment services to our customers.
- Some capabilities will be reviewed as part of supplier management. This will include: ability to understand barriers caused by complex disabilities, particularly mental health conditions and learning disabilities; ability to work effectively with other delivery partners, including those in the public sector, notably Jobcentre Plus, Skills organisations and local authorities; rigorous performance management; case management to assist people, particularly disadvantaged people, into sustained employment; strategic employer engagement to provide suitable and sustained jobs and a sound employer-facing infrastructure; local labour market knowledge and identification of skills needs and job opportunities; specialist understanding of sources of disadvantage and strategies to overcome it for all customer groups based on evidence; and capacity and capability to respond to changing economic conditions.
- Many will also be reviewed as part of self-assessment and inspection. Some may best be evidenced by this process such as: assessment of customer needs, and flexibility and personalisation in assisting them into employment; excellent customer experience; and investment by suppliers in the development of their own staff and their supply chains.

## **Annex G - DWP Quality Framework**

Suppliers must invest in and be active in their own improvement and development. DWP will be actively involved in shaping and promoting the infrastructure that supports continuous improvement.

The DWP Quality Framework provides the basis of our approach to maintaining and improving in all DWP Contracted Employment Provision. The framework is supported by the Common Inspection Frameworks and the Provider Guidance. It reflects the key principles outlined in the Government's White Paper, Learning to Succeed.

Key principles of the DWP Quality Framework are:

- Learning and Development Plans;
- Continuous Self-Assessment and Development Planning;
- Management and Review;
- Commitment to develop and share good practice; and
- Independent external inspection.

In England, DWP will work with DIUS, the Learning and Skills Council (LSC) and the new Further Education (FE) sector improvement organisation. The Learning and Skills Improvement Service is the new sector-owned body, formed from CEL and QIA to develop excellent and sustainable FE provision across the sector to develop integrated improvement strategies covering employability and skills provision and advisory services.

In Scotland, DWP will seek to align our services with those of the new skills body, Skills Development Scotland. In Wales, DWP will work closely with the Welsh Assembly Government and the new Wales Employment and Skills Board on the ongoing development of this shared agenda.

DWP will work with the Office of the Third Sector and Devolved Administrations to identify ways in which specific support can be developed that will help third sector organisations grow and flourish in the welfare to work market.

## **Annex H- Security Policy for Suppliers of services to the DWP**

In order to protect Departmental information appropriately, our suppliers must provide the security measures and safeguards appropriate to the nature and use of the information. All suppliers of services to the Department for Work and Pensions must comply, and be able to demonstrate compliance, with the Department's relevant policies and standards.

All suppliers must comply with the relevant Standards from the DWP Information Systems Security Standards. The Standards are based on and follow the same format as International Standard 27001, but with specific reference to the Department's use.

The following are key requirements and all suppliers must comply with relevant DWP policies concerning:

### **Personnel Security**

- Staff recruitment in accordance with government requirements for pre-employment checks;
- Staff training and awareness of Departmental security and any specific contract requirements.

### **Secure Information Handling and Transfers**

- Physical and electronic handling, processing and transferring of
- DWP Data, including secure access to systems and the use of encryption where appropriate.

### **Portable Media**

- The use of encrypted laptops and encrypted storage devices and other removable media when handling Departmental information.

### **Off-shoring**

- The Department's Data must not be processed outside the United Kingdom without the prior written consent of DWP and must at all times comply with the Data Protection Act 1998.

### **Premises Security**

- Security of premises and control of access.

### **Security Incidents**

- Includes identification, managing and agreed reporting procedures for actual or suspected security breaches.

The Provider shall develop, implement and maintain a Security Plan during the period of the Contract, showing how they will address the key requirements of the Security Policy, and how they will implement appropriate arrangements which ensure that the Department's information and any other Departmental assets are protected in accordance with prevailing statutory and central government requirements. These arrangements will clearly vary according to the size of the organisation.

Draft Security Plans will be required at the Invitation to Tender stage of the tendering exercise. The final version of the Security Plan will need to be submitted to and approved by the Department within 20 days of the Effective Date of any contract awarded.

## Restricted - Policy and Commercial

The security plan will need to set out the security measures to be implemented and maintained by the Prime Contractor in relation to all aspects of the services and all processes associated with the delivery of services and shall at all times comply with the Department's relevant security policies and standards

It is the supplier's responsibility to monitor compliance of any sub-contractors and provide assurance to DWP.

Details will be supplied in an Appendix to the ItT.

## **Annex I - Details of existing p2w and p2wLinkUP provision**

At present all Districts have progress2work provision.

The following Districts have p2wLinkUP:

### **East of England**

Beds & Herts  
Norfolk  
Essex  
Suffolk & Cambs

### **East Mids**

Leicestershire  
Nottinghamshire

### **London**

South & South East London

### **North East**

South Tyne & Wear Valley

### **North West**

Greater Manchester Central  
Greater Mersey  
Liverpool & Wirral  
Lancashire

### **Scotland**

Forth Valley, Fife & Tayside  
Glasgow

### **South East**

Surrey & Sussex  
Berks, Bucks & Oxfordshire  
Kent

### **South West**

West of England

### **Wales**

South Wales Valleys

### **West Mids**

Birmingham & Solihull

### **Yorks & Humbs**

South Yorks  
West Yorks

## **Annex J- Mandatory Referral Regime for PDUs**

As background, a new regime of mandatory referrals is likely to be introduced either in the lead up to delivery of the new merged programme and pilot provision commencing, or at the same time.

This will involve the introduction of mandatory referrals to a Drugs Treatment Adviser for those customers claiming JSA or ESA who are also identified as having a Problem Drug Use that is a barrier to their employment (this change will apply in all Jobcentre Plus Districts in England only<sup>7</sup>).

Until April 2009 there was no specific routeway for identifying Problem Drug Users (“PDUs”- defined as misusers of heroin or crack cocaine) who were claiming JSA and ESA to help them to tackle their drug problem. Since April 2009 a regime of voluntary referrals has been in place, under which ESA and JSA customers who are Problem Drug Users are voluntarily referred to a discussion with a Drug Treatment Provider (commissioned by the local drug partnerships and overseen by the National Treatment Agency) to ensure that they are aware of the support and services available to them. Customers have to agree to the referral, and give consent for their data being shared with the provider.

This initiative provides a “front end” process for advisers to identify and refer customers with drug problems into treatment (though subsequent attendance is currently voluntary) after which they will hopefully be able to return to mainstream activities, take up re-skilling opportunities and/or move on to p2w.

The Welfare Reform White Paper makes it clear that drug users have a responsibility to engage with treatment in return for support and in the future it is expected that customers with a heroin or crack cocaine misuse problem will have a responsibility to move successfully through treatment and to actively seek employment in return for benefit payments. To this end, the Bill includes new powers to mandate customers who are identified as misusers of crack cocaine or heroin to a mandatory assessment with a drugs treatment adviser, to share the customer’s information with the provider (without needing the customer’s consent), and to apply benefit sanctions if they fail to attend without good cause. It is anticipated, at this stage, that the Bill will receive Royal Assent in November 2009, and the regulations will come into force in the summer of 2010.

***The proposal is that the existing voluntary regime will become mandatory in October 2010 once the regulations are in place to support the increased conditionality.***

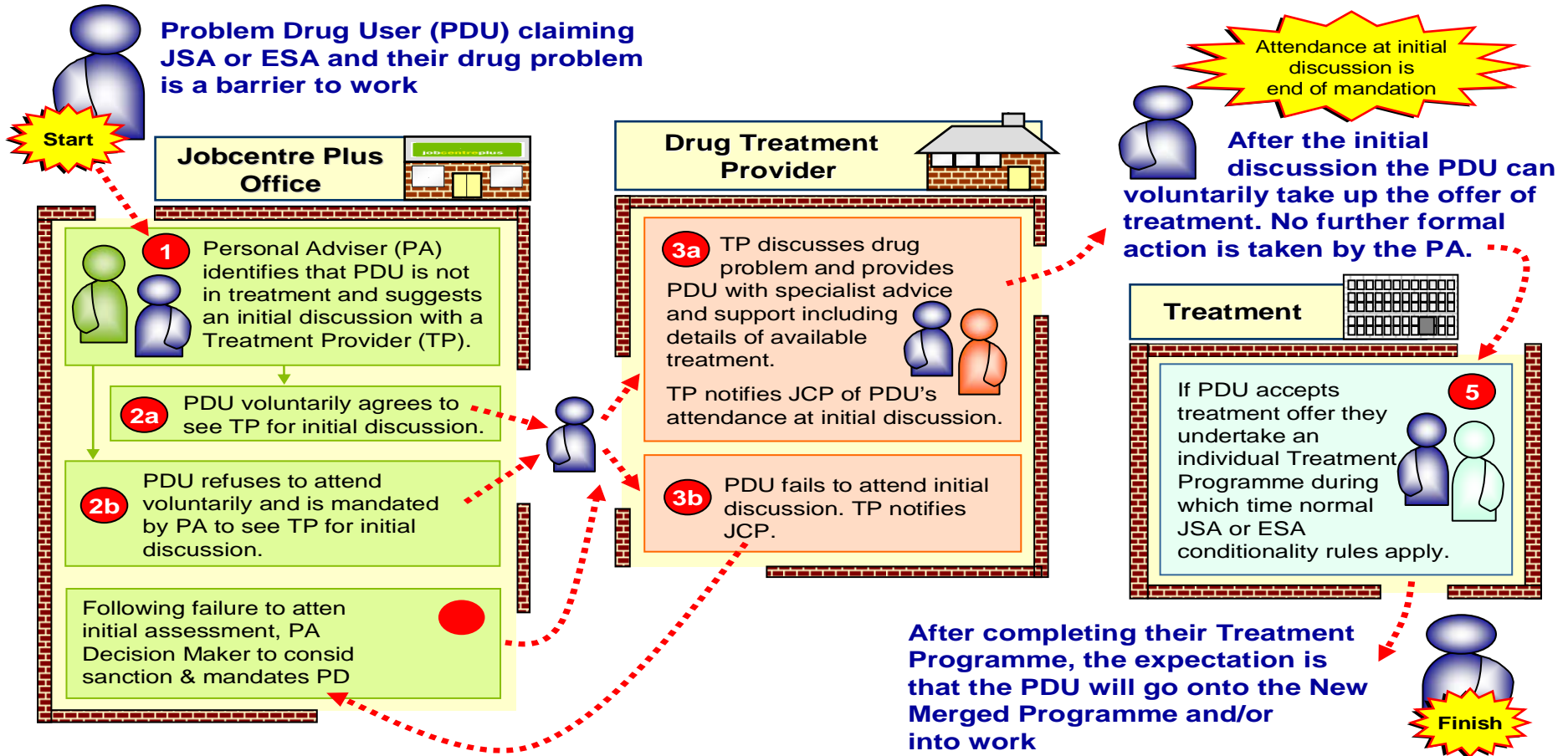
We expect Royal Assent by the end of 2009, which should allow for the transition to take place in late 2010. It is envisaged this will come into effect at the same time as delivery of the pilots and new merged p2w programme.

---

<sup>7</sup> Health services are devolved in Scotland/Wales, therefore these proposals only relate to England. The department is working with the Scottish Executive and the Welsh Assembly to explore whether these measures can be extended to Scotland and Wales in line with their drug strategies.

# Mandatory Referrals to Initial Discussion with Treatment Provider

## High Level



DRAFT VERSION – 3<sup>rd</sup> September 2009 – SUBJECT TO CHANGE

## Annex K – Localisation/ Co-commissioning

This section provides information about how DWP will work with partners to help shape the delivery of its contracted employment programmes. We will specifically work with sub-regional partnerships which are:

- City Strategy Partnerships;
- Multi-Area Agreement areas; and
- The City Region pilots announced in the Budget 2009.

Separate discussions are taking place with the devolved administrations (Scotland and Wales) who do not have the same partnership arrangements as England, but the principle of working in partnership to ensure that DWP programmes provide the support required to individuals wherever they live is consistent in all areas.

Scotland also has a broader network of employability partnerships developed under the auspices of 'Workforce Plus: the employability framework for Scotland'. These partnerships (of which there are currently 26 out of a total of 32 local authority areas) work by seeking to align the funding and priorities of the various agencies involved in helping people into work locally and we will be working with the Scottish Government and Jobcentre Plus to understand how these partnerships support delivery of DWP programmes in Scotland.

In the White Paper *Raising expectations and increasing support: reforming welfare for the future* we committed to devolve power in welfare to allow us to draw on the expertise of the suppliers of employment support, on local communities and individuals. We set out three levels of devolution (localisation) within DWP commissioning of employment programmes to local communities. These levels represent progressively greater flexibility and discretion to tailor services to meet local needs.

DWP has shared its timeline for future commissioning of contracted employment programmes and has sought feedback from partnerships on their thoughts as to their level of engagement within the procurement exercises that have begun.

**Level 1 (consultation)** will give partners more influence over contract specifications, full use of the flexibility available within contracts and improved communication between suppliers and other local bodies. We want our suppliers to play a full role in the delivery of emerging employment and skills plans worked up by sub-regional partnerships and devolved administrations, working closely with Jobcentre Plus. Level 1 is the minimum level of engagement required.

**In Level 2 (co-commissioning)**, funding streams may be arranged and aligned in innovative ways to support shared commissioning of services. Whilst developing the specification, we will discuss with partners the level of their involvement in the new provision. During this stage of devolution, we would be trying to develop new partnerships to test and improve delivery.

Level 2 co-commissioning may be introduced during the life of the contract. A sub-regional partnership may approach DWP with a proposal to invest funding to deliver a specific additional element of provision in the contract. Such proposals will be subject to negotiation and agreement with the supplier at the time.

**Level 3 (further devolution)** could include devolving responsibility for delivery and contracting to sub-regional partnerships. We do not expect level 3 to be a factor of the new merged programme and pilot provision.

We believe that this devolution (localisation) will facilitate efforts to join up services and enable the Department's contracted employment programmes to respond to local needs.

In these areas we would expect;

- to consult with partners about how the new merged programme and pilot provision will operate;
- to offer the opportunity to enhance provision through better alignment of other local services;
- to offer involvement in the PQQ and ItT and tender process;
- suppliers to develop relationships with the appropriate partners to support the delivery of services on the ground.

Working with the sub-regional partnerships in this way could create a conflict of interest. We would like to assure you that the DWP takes very seriously its responsibility to ensure competition is maintained, value for money is achieved and all bidders are treated equally and in a non-discriminatory way during the tendering and contract award procedures. DWP has therefore agreed with the partnerships a system of management processes, barriers, disciplines and confidentiality undertakings to ensure there is no conflict of interest in the procurement process and to prevent any disclosure to any employee involved in submitting a tender for this procurement of any confidential information from other bidders. Full details of the processes and procedures which have been put in place are available upon request.

By confirming your intention to respond to this PQQ you acknowledge the involvement of the partnerships in this procurement and confirm your acceptance of the adequacy of the measures put in place by DWP

### Sub-Regional Partnerships

**The City Strategy Partnerships**, mentioned in the Green Paper, *in work, better off: Next steps to full employment*<sup>8</sup> aim to empower local areas giving them the flexibility to provide local solutions to local problems. By pooling or aligning budgets, we aim to get more or better outcomes from existing resource.

Local consortia will be expected to provide the drive and focus for cross agency activity to help jobless residents move into and progress through work, and in doing so, contribute to the achievement of the government's long-term employment and child poverty goals. Jobcentre Plus will be an important member of each local consortium.

It will be important that there is a cohesive service offered in those areas covered by sub-regional partnerships. Bidders will need to ensure that the service they provide enhances and does not replicate existing provision. Working with the consortia, they will need to identify gaps in provision and ensure that these gaps are suitably filled where appropriate.

---

<sup>8</sup> DWP (2007) In work, better off: Next steps to full employment: [www.dwp.gov.uk/welfarereform/in-work-better-off/](http://www.dwp.gov.uk/welfarereform/in-work-better-off/)

## Restricted - Policy and Commercial

The City Strategy Partnership areas that relate to the new merged provision and pilot Contract Package Areas are:

- Birmingham, Coventry and the Black Country
- Blackburn with Darwen
- Dundee
- East London
- Edinburgh
- Glasgow
- Heads of the Valley
- Leicester
- Liverpool
- Greater Manchester
- Nottingham
- Rhyl
- South Yorkshire
- Tyne and Wear
- West London

**Multi-Area Agreements** bring together local public and private sector partners to coordinate action across a wide range of policy interventions. The Government's ambition is to drive growth in local economies and to close the gap with the top performing areas in the country through partnerships that cross local authority boundaries. As well as local authorities, partners include government agencies such as Jobcentre Plus and the Learning and Skills Council along with the private and third sectors. Agencies acting together, in support of shared priorities, aligning and possibly pooling financial and human resources will ensure that efforts to boost prosperity are maximised helping people to reach their potential - connecting them to jobs, skills, and affordable homes, regardless of where they live or work. Currently, Multi Area Agreements have been signed or are being developed in:

- Bournemouth, Dorset & Poole
- Greater Manchester
- Leeds City Region
- Partnership for Urban South Hampshire
- South Yorkshire
- Tees Valley
- Tyne and Wear
- Leicester and Leicestershire
- Liverpool
- Pennine Lancashire
- Fylde Coast
- North Kent
- Birmingham
- Olympics (5 Host Boroughs)
- Hull and Humberside
- West of England

The April 2009 Budget announced two **City Region** pilots – in Greater Manchester and Leeds.

**Annex L – NTA information about PDU prevalence and numbers in treatment**

**Source: National Treatment Agency for Substance Misuse**

**KEY**

- PDUs** Client that have presented for treatment with opiate and / or crack cocaine as a problem substance
- In treatment** Clients that have presented to drug treatment services having a need for a structured treatment intervention; they might not necessarily have started the intervention or have been in treatment for 12 weeks.
- In effective treatment** Numbers in effective treatment is defined as clients that have been in their treatment intervention for 12 weeks or more, or if they have left treatment before that time they did so in a care planned way
- Prevalence rates** Home Office estimations of PDU populations broken to partnership areas definition
- Penetration rates** Penetration has been calculated by dividing the numbers in effective treatment by the point prevalence estimates
- NDTMS** National Drug Treatment Monitoring System

<b>Jobcentre Plus District</b>	<b>No. of PDUs in treatment (Sept 07 - Aug 08)</b>	<b>No. of PDUs in effective treatment (Sept 07 - Aug 08)</b>	<b>Estimated prevalence (number of PDUs in partnership area) using smoothed estimates</b>	<b>Percentage of prevalence estimates who are in effective treatment</b>
Bedfordshire & Hertfordshire	3460	3262	7160	46%
Berks, Bucks & Oxfordshire	5185	4766	8995	53%
Birmingham and Solihull	6331	5944	13614	44%
Black Country	4507	4187	8812	48%
Cambridgeshire & Suffolk	3170	2842	5140	55%
Central London	5146	4777	15028	32%
Cheshire, Halton & Warrington	3074	2876	5204	55%

### Restricted - Policy and Commercial

City and East London	4273	3776	10336	37%
Coventry and Warwickshire	2156	1993	3904	51%
Cumbria	1460	1393	2261	62%
Derbyshire	3137	2973	5367	55%
Devon & Cornwall	4368	4096	6844	60%
Dorset & Somerset	3605	3361	6433	52%
Essex	2636	2455	5020	49%
Gloucestershire, Wiltshire & Swindon	3222	2962	5632	53%
Greater Manchester Central	4800	4563	9587	48%
Greater Manchester East & West	6786	6433	11698	55%
Greater Merseyside	2920	2757	4630	60%
Hampshire	3772	3466	6402	54%
Kent	3205	3005	5981	50%
Lambeth, Southwark and Wandsworth	4196	3884	12997	30%
Lancashire	6419	6019	10036	60%
Leicestershire & Northamptonshire	4396	4049	8070	50%
Lincolnshire & Rutland	1612	1522	2749	55%
Liverpool and the Wirral	5813	5353	10435	51%
London West	5037	4582	12529	37%
Norfolk	2122	1912	3340	57%
North & East Yorkshire & the Humber	6518	6224	10648	58%
North & North East London	4310	3967	11357	35%
Northumbria	3679	3533	5504	64%
Nottinghamshire	4054	3821	7962	48%
South London	5101	4621	13828	33%
South Tyne & Wear Valley	2792	2679	3815	70%
South Yorkshire	6692	6416	11230	57%

### Restricted - Policy and Commercial

Staffordshire	3258	3071	5672	54%
Surrey & Sussex	4982	4542	10187	45%
Tees Valley	4491	4331	6484	67%
The Marches	3285	3153	5459	58%
West of England	5389	5105	11016	46%
West Yorkshire	10720	10129	18073	56%
<b>Total</b>	<b>172079</b>	<b>160800</b>	<b>329441</b>	<b>49%</b>

<b>Drug partnership</b>	<b>Jobcentre Plus district</b>	<b>No. of PDUs in treatment (Sept 07 - Aug 08)</b>	<b>No. of PDUs in effective treatment (Sept 07 - Aug 08)</b>	<b>Estimated prevalence (number of PDUs in partnership area) using smoothed estimates</b>
Bedfordshire	Bedfordshire & Hertfordshire	842	812	1675
Hertfordshire	Bedfordshire & Hertfordshire	1769	1652	3535
Luton	Bedfordshire & Hertfordshire	849	798	1950
Cambridgeshire	Cambridgeshire & Suffolk	1200	1106	1654
Peterborough	Cambridgeshire & Suffolk	838	744	1191
Suffolk	Cambridgeshire & Suffolk	1132	992	2294
Essex	Essex	1830	1685	3486
Southend-on-Sea	Essex	600	574	1110
Thurrock	Essex	206	196	425
Norfolk	Norfolk	2122	1912	3340
Derby	Derbyshire	1297	1235	2373
Derbyshire	Derbyshire	1840	1738	2994
Leicester	Leicestershire & Northamptonshire	1338	1192	2764

### Restricted - Policy and Commercial

Leicestershire	Leicestershire & Northamptonshire	1227	1137	1932
Northamptonshire	Leicestershire & Northamptonshire	1831	1720	3374
Lincolnshire	Lincolnshire & Rutland	1595	1506	2676
Rutland	Lincolnshire & Rutland	17	16	72
Nottingham	Nottinghamshire	1611	1495	4039
Nottinghamshire	Nottinghamshire	2443	2326	3923
Camden	Central London	1670	1550	4328
Islington	Central London	1332	1228	4107
Kensington and Chelsea	Central London	770	718	2965
Westminster	Central London	1374	1281	3627
City of London	City and East London	30	27	60
Hackney	City and East London	1521	1344	3898
Newham	City and East London	1149	1008	2528
Tower Hamlets	City and East London	1573	1397	3849
Lambeth	Lambeth, Southwark and Wandsworth	1670	1542	5592
Southwark	Lambeth, Southwark and Wandsworth	1633	1514	4810
Wandsworth	Lambeth, Southwark and Wandsworth	893	828	2595
Brent	London West	1026	940	2779
Ealing	London West	1173	1077	3128
Hammersmith and Fulham	London West	965	878	2835
Harrow	London West	431	411	889
Hillingdon	London West	585	534	1162
Hounslow	London West	857	742	1736
Barking and Dagenham	North & North East London	462	430	1093
Barnet	North & North East London	661	620	1809

### Restricted - Policy and Commercial

Enfield	North & North East London	616	545	1495
Haringey	North & North East London	1074	975	2666
Havering	North & North East London	308	292	909
Redbridge	North & North East London	546	485	1498
Waltham Forest	North & North East London	643	620	1887
Bexley	South London	271	233	608
Bromley	South London	411	384	1893
Croydon	South London	709	616	2507
Greenwich	South London	888	814	2160
Kingston upon Thames	South London	403	339	613
Lewisham	South London	1199	1111	3068
Merton	South London	399	364	1167
Richmond upon Thames	South London	407	385	886
Sutton	South London	414	375	926
Gateshead	Northumbria	946	899	1268
Newcastle upon Tyne	Northumbria	1358	1307	2411
North Tyneside	Northumbria	622	603	856
Northumberland	Northumbria	753	724	969
County Durham	South Tyne & Wear Valley	1452	1407	1957
South Tyneside	South Tyne & Wear Valley	464	446	752
Sunderland	South Tyne & Wear Valley	876	826	1107
Darlington	Tees Valley	455	423	656
Hartlepool	Tees Valley	711	682	942
Middlesbrough	Tees Valley	1472	1434	2228
Redcar and Cleveland	Tees Valley	620	584	1071

### Restricted - Policy and Commercial

Stockton-on-Tees	Tees Valley	1233	1208	1587
Cheshire	Cheshire, Halton & Warrington	1970	1856	3382
Halton	Cheshire, Halton & Warrington	525	476	766
Warrington	Cheshire, Halton & Warrington	579	544	1056
Cumbria	Cumbria	1460	1393	2261
Manchester	Greater Manchester Central	3318	3161	6549
Salford	Greater Manchester Central	900	861	2119
Trafford	Greater Manchester Central	582	541	919
Bolton	Greater Manchester East & West	1477	1392	2742
Bury	Greater Manchester East & West	577	547	998
Oldham	Greater Manchester East & West	827	794	1410
Rochdale	Greater Manchester East & West	1097	1057	1961
Stockport	Greater Manchester East & West	675	660	1425
Tameside	Greater Manchester East & West	886	813	1534
Wigan	Greater Manchester East & West	1247	1170	1628
Knowsley	Greater Merseyside	758	719	1308
Sefton	Greater Merseyside	1266	1180	2001
St Helens	Greater Merseyside	896	858	1321
Blackburn with Darwen	Lancashire	848	789	1438
Blackpool	Lancashire	1458	1404	2391
Lancashire	Lancashire	4113	3826	6208
Liverpool	Liverpool and the Wirral	3544	3134	7051
Wirral	Liverpool and the Wirral	2269	2219	3384

### Restricted - Policy and Commercial

Bracknell Forest	Berks, Bucks & Oxfordshire	177	162	252
Buckinghamshire	Berks, Bucks & Oxfordshire	743	692	1351
Milton Keynes	Berks, Bucks & Oxfordshire	384	348	930
Oxfordshire	Berks, Bucks & Oxfordshire	1882	1747	2660
Reading	Berks, Bucks & Oxfordshire	752	680	1432
Slough	Berks, Bucks & Oxfordshire	590	524	1195
West Berkshire	Berks, Bucks & Oxfordshire	254	231	394
Windsor and Maidenhead	Berks, Bucks & Oxfordshire	222	211	380
Wokingham	Berks, Bucks & Oxfordshire	181	171	402
Hampshire	Hampshire	1811	1675	3197
Isle of Wight	Hampshire	393	382	522
Portsmouth	Hampshire	746	670	1254
Southampton	Hampshire	822	739	1429
Kent	Kent	2521	2361	4606
Medway Towns	Kent	684	644	1375
Brighton and Hove	Surrey & Sussex	1302	1225	2928
East Sussex	Surrey & Sussex	1093	988	1865
Surrey	Surrey & Sussex	1434	1290	3192
West Sussex	Surrey & Sussex	1153	1039	2202
Cornwall & Isles of Scilly	Devon & Cornwall	1180	1120	1765
Devon	Devon & Cornwall	1378	1306	2197
Plymouth	Devon & Cornwall	1290	1183	2033
Torbay	Devon & Cornwall	520	487	849
Bournemouth	Dorset & Somerset	1228	1119	2174
Dorset	Dorset & Somerset	932	862	1697

### Restricted - Policy and Commercial

Poole	Dorset & Somerset	306	275	595
Somerset	Dorset & Somerset	1139	1105	1967
Gloucestershire	Gloucestershire, Wiltshire & Swindon	1874	1767	3180
Swindon	Gloucestershire, Wiltshire & Swindon	652	572	1297
Wiltshire	Gloucestershire, Wiltshire & Swindon	696	623	1155
Bath and North East Somerset	West of England	642	611	1040
Bristol	West of England	3464	3347	7181
North Somerset	West of England	729	640	1255
South Gloucestershire	West of England	554	507	1540
Birmingham	Birmingham and Solihull	5830	5495	12577
Solihull	Birmingham and Solihull	501	449	1037
Dudley	Black Country	1043	949	1973
Sandwell	Black Country	1040	919	2169
Walsall	Black Country	1134	1076	2017
Wolverhampton	Black Country	1290	1243	2652
Coventry	Coventry and Warwickshire	1015	978	2071
Warwickshire	Coventry and Warwickshire	1141	1015	1832
Staffordshire	Staffordshire	1833	1714	3028
Stoke-on-Trent	Staffordshire	1425	1357	2644
Herefordshire	The Marches	554	540	856
Shropshire	The Marches	699	673	1061
Telford and Wrekin	The Marches	584	557	882
Worcestershire	The Marches	1448	1383	2659
East Riding of Yorkshire	North & East Yorkshire & the Humber	598	578	889
kingston upon hull	North & East Yorkshire & the Humber	2073	1950	3613

## Restricted - Policy and Commercial

North East Lincolnshire	North & East Yorkshire & the Humber	1043	1009	1355
North Lincolnshire	North & East Yorkshire & the Humber	797	755	1308
North Yorkshire	North & East Yorkshire & the Humber	1161	1115	2196
York	North & East Yorkshire & the Humber	846	817	1287
Barnsley	South Yorkshire	1059	970	1702
Doncaster	South Yorkshire	1694	1596	2922
Rotherham	South Yorkshire	1323	1298	1991
Sheffield	South Yorkshire	2616	2552	4616
Bradford	West Yorkshire	3281	3114	5063
Calderdale	West Yorkshire	855	824	1224
Kirklees	West Yorkshire	1571	1504	2628
Leeds	West Yorkshire	3236	2993	6347
Wakefield	West Yorkshire	1777	1694	2811

### RESTRICTED STATISTICS

**You are reminded that these are official statistics to which you have privileged access in advance of release. Such access is carefully controlled and is provided for management, quality assurance, and briefing purposes only. Release into the public domain or any public comment on these statistics prior to official publication would undermine the integrity of official statistics.**

**Any accidental or wrongful release should be reported immediately and may lead to an inquiry. Wrongful release includes indications of the content, including descriptions such as "favourable" or "unfavourable". If in doubt you should consult Malcolm Roxburgh or Jonathan Knight who can advise.**

**Please prevent inappropriate use by treating this information as restricted, refrain from passing information on to others who have not been given prior access and use it only for the purposes for which it has been provided**

## Annex M- Additional information/ useful links

Further background information can be found in the following:

- Cabinet Office Code of Practice on Workforce Matters in Public Sector Contracts:  
[http://archive.cabinetoffice.gov.uk/opsr/workforce\\_reform/code\\_of\\_practice/index.asp](http://archive.cabinetoffice.gov.uk/opsr/workforce_reform/code_of_practice/index.asp)
- City Strategy: <http://www.dwp.gov.uk/policy/welfare-reform/city-strategy/>
- Corporate Publications <http://www.dwp.gov.uk/publications/>
- Data Protection Act 1998, Chapter 29:  
[http://www.opsi.gov.uk/acts/acts1998/ukpga\\_19980029\\_en\\_1](http://www.opsi.gov.uk/acts/acts1998/ukpga_19980029_en_1)
- Direct.Gov Public Services site including information about welfare reform, benefits, employment information, p2w, drugs misuse and the NTA  
[www.direct.gov.uk](http://www.direct.gov.uk)
- Disability Discrimination Act 2005, Chapter 13:  
[http://www.opsi.gov.uk/Acts/acts2005/ukpga\\_20050013\\_en\\_1](http://www.opsi.gov.uk/Acts/acts2005/ukpga_20050013_en_1)
- Disability Equality Duty (DED): <http://www.dotheduty.org/>
- DWP Ready for work: full employment in our generation:  
<http://www.dwp.gov.uk/policy/welfare-reform/legislation-and-key-documents/ready-for-work/>
- DWP Information Directorate Statistical Tab Tool:  
<http://research.dwp.gov.uk/asd/tabtool.asp>
- DWP (2007) In work, better off: Next steps to full employment:  
<http://www.dwp.gov.uk/policy/welfare-reform/legislation-and-key-documents/in-work-better-off/>
- DWP (2008) White Paper: Raising expectations and increasing support: reforming welfare for the future: <http://www.dwp.gov.uk/policy/welfare-reform/legislation-and-key-documents/raising-expectations/>
- DWP (2008) Green Paper: No one written off: reforming welfare to reward responsibility: <http://www.dwp.gov.uk/policy/welfare-reform/legislation-and-key-documents/no-one-written-off/>
- DWP Policy Publications: <http://www.dwp.gov.uk/publications/policy-publications/>
- DWP Provider Guidance: <http://www.dwp.gov.uk/supplying-dwp/what-we-buy/welfare-to-work-services/provider-guidance/>
- DWP Quality Framework: <http://www.dwp.gov.uk/supplying-dwp/what-we-buy/welfare-to-work-services/quality-framework/>
- DWP Research Report Index: <http://research.dwp.gov.uk/asd/asd5/rrs-index.asp>
- DWP Visions, Aims and Values (including Departmental Strategic Objectives, Public Service Agreements and Business Plan): <http://www.dwp.gov.uk/about-dwp/vision-aims-and-values/>
- Employment and Support Allowance: <http://campaigns.dwp.gov.uk/esa/>
- European Social Fund in England: <http://www.esf.gov.uk/>

## Restricted - Policy and Commercial

- European Social Fund Provider Guidance: [www.dwp.gov.uk/supplying-dwp/what-we-buy/welfare-to-work-services/provider-guidance](http://www.dwp.gov.uk/supplying-dwp/what-we-buy/welfare-to-work-services/provider-guidance) chapter 12A
- ESF Regional Framework 2007 to 2010:  
<http://www.lda.gov.uk/server/show/ConWebDoc.2216>
- flexible New Deal: <http://www.dwp.gov.uk/supplying-dwp/what-we-buy/welfare-to-work-services/flexible-new-deal/>
- Home Office work on tackling drugs misuse: [www.homeoffice.gov.uk/drugs](http://www.homeoffice.gov.uk/drugs)
- Human Rights Act 1998:  
[http://www.opsi.gov.uk/acts/acts1998/ukpga\\_19980042\\_en\\_1](http://www.opsi.gov.uk/acts/acts1998/ukpga_19980042_en_1)
- Information on Civil Service Pensions: <http://www.civilservice-pensions.gov.uk/Menu.asp>
- Jobseeker's Allowance – Help while you look for work:  
[http://www.jobcentreplus.gov.uk/JCP/stellent/groups/jcp/documents/websitecontent/dev\\_015482.pdf](http://www.jobcentreplus.gov.uk/JCP/stellent/groups/jcp/documents/websitecontent/dev_015482.pdf)
- Jobseeker's Act 1995, Chapter 18:  
[http://www.opsi.gov.uk/ACTS/acts1995/ukpga\\_19950018\\_en\\_1](http://www.opsi.gov.uk/ACTS/acts1995/ukpga_19950018_en_1)
- Jobseeker's Allowance Regulations 1996:  
[http://www.opsi.gov.uk/SI/si1996/Uksi\\_19960207\\_en\\_1.htm](http://www.opsi.gov.uk/SI/si1996/Uksi_19960207_en_1.htm)
- Local Strategic Partnerships Government Guidance:  
<http://www.neighbourhood.gov.uk/publications.asp?did=187>
- More Choices, More Chances: A Strategy to Reduce the Proportion of Young People not in Education, Employment or Training in Scotland:  
<http://www.scotland.gov.uk/Publications/2006/06/13100205/0>
- National Drug Strategy: <http://drugs.homeoffice.gov.uk/drug-strategy/>
- National Treatment Agency: [www.nta.nhs.uk](http://www.nta.nhs.uk)
- NOMIS Official Labour Market Statistics:  
<https://www.nomisweb.co.uk/Default.asp>
- National Minimum Wage: <http://www.hmrc.gov.uk/nmw>
- Office of public sector information - UK legislation:  
<http://www.opsi.gov.uk/legislation/uk.htm>
- Office for National Statistics at [www.statistics.gov.uk](http://www.statistics.gov.uk) or [www.ons.gov.uk](http://www.ons.gov.uk)
- Pathways to Work:  
[http://www.jobcentreplus.gov.uk/jcp/Customers/outofworkhelplookingforwork/Getting\\_job\\_ready/Programmes\\_to\\_get\\_you\\_ready/Dev\\_014884.xml.html](http://www.jobcentreplus.gov.uk/jcp/Customers/outofworkhelplookingforwork/Getting_job_ready/Programmes_to_get_you_ready/Dev_014884.xml.html)
- progress2work  
[http://www.direct.gov.uk/en/Employment/Jobseekers/programmesandservices/DG\\_173698](http://www.direct.gov.uk/en/Employment/Jobseekers/programmesandservices/DG_173698)
- Race Relations Amendment Act (2000):  
[http://www.opsi.gov.uk/acts/acts2000/ukpga\\_20000034\\_en\\_1](http://www.opsi.gov.uk/acts/acts2000/ukpga_20000034_en_1)
- The Law Relating to Social Security:  
<http://www.dwp.gov.uk/publications/specialist-guides/law-volumes/the-law-relating-to-social-security/>

## Restricted - Policy and Commercial

- Staff Transfers in the Public Sector Statement of Practice, Annex A:  
[http://www.hm-treasury.gov.uk/media/D/C/staff\\_transfers\\_145.pdf](http://www.hm-treasury.gov.uk/media/D/C/staff_transfers_145.pdf)
- The Transfer of Undertakings (Protection of Employment) Regulations 2006:  
<http://www.opsi.gov.uk/si/si2006/20060246.htm>
- Welsh Assembly Government website: <http://www.wales.gov.uk>
- Welsh European Funding Office (English language version):  
<http://www.wefo.wales.gov.uk>
- Welsh Language Act (1993):  
[http://opsi.gov.uk/acts/acts1993/Ukpga\\_19930038\\_en\\_1.htm](http://opsi.gov.uk/acts/acts1993/Ukpga_19930038_en_1.htm)
- DWP Welsh Language Scheme: <http://www.dwp.gov.uk/publications/corporate-publications/2004-wls.shtml>.
- Workforce Plus - An Employability Framework for Scotland:  
<http://www.scotland.gov.uk/Publications/2006/06/12094904/0>
- Working Neighbourhoods Fund:  
<http://www.communities.gov.uk/publications/communities/workingneighbourhoods>