



Department
for Work &
Pensions

Specification for AtW Holistic Assessments

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Section 1: Overview

Definitions and interpretation

Unless the context otherwise requires, the following shall apply in this Specification:

- the definitions set out in Annex 5 to this Specification
- the definitions and rules of interpretation set out in the Section A and Schedule 1 of the Agreement.

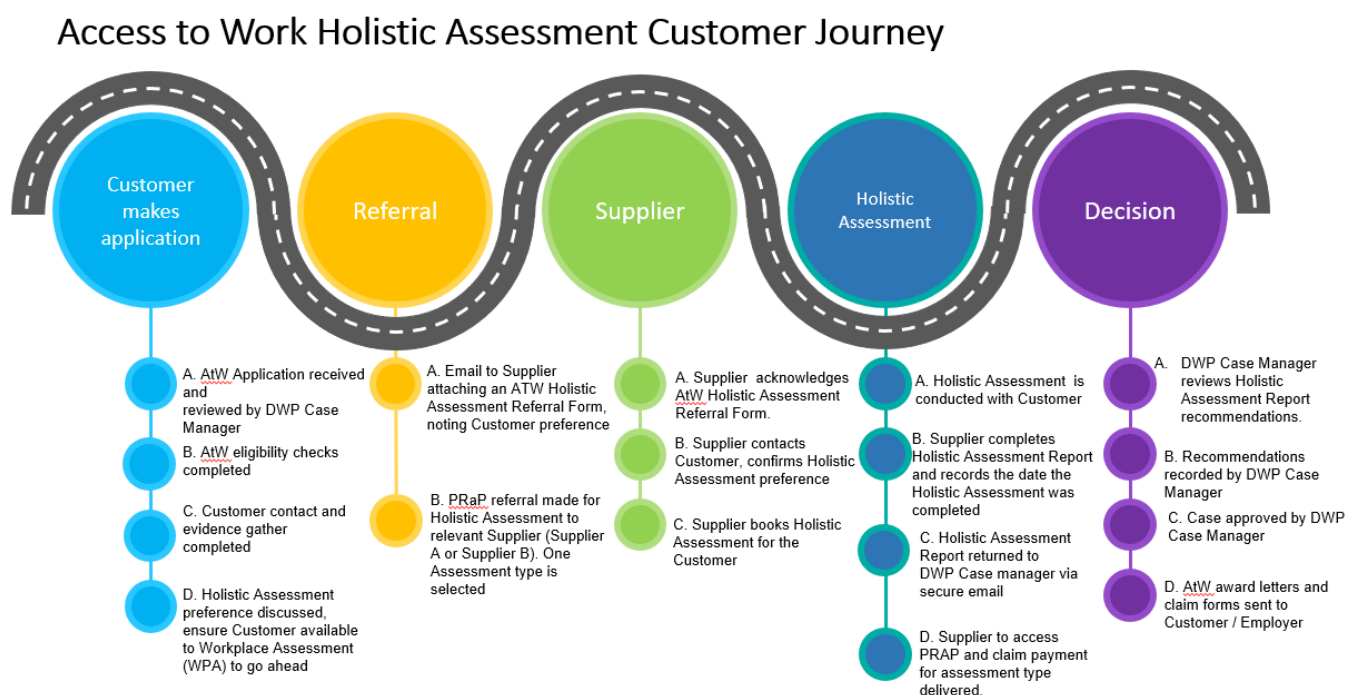
Introduction to Access to Work

1. The Access to Work (AtW) programme is a Jobcentre Plus discretionary grant scheme that has been in existence since 1994. It assists disabled people who are in paid employment, self-employed or participating in a Jobcentre Plus agreed Job/Work Trial which may have already commenced or is due to commence, by providing practical support to overcome work related obstacles resulting from their disability. Support is also available for young disabled people to enable them to take up an offer of a work experience placement.
2. The AtW programme provides advice, a possible assessment of a person's disability needs in the workplace and, if required, a financial grant towards the cost of any necessary support.
3. AtW is not means tested and can fund up to £65,180 (2022/23) worth of flexible, personalised support per person per year towards disability related extra costs in the workplace that are beyond standard reasonable adjustments. It does not replace an Employer's duty under the Equality Act to make reasonable adjustments.
4. Disabled people across England, Scotland and Wales form a highly diverse population from all age groups and across the income and education spectrum. The effect a disability has on a person is also very subjective so everyone should be treated on an individual basis.
5. Where further information is required prior to a decision on awarding a grant, a DWP Case Manager may seek a Holistic Assessment Report through the Holistic Assessment.
6. Prior to the Covid-19 pandemic, all assessments were conducted face-to-face in the workplace. In response to the pandemic, it was agreed in April 2020 to allow assessments to be conducted virtually via telephone and/or video link, in addition to the face-to-face assessment, to ensure service delivery continued safely and effectively. Virtual assessments have been retained in addition to face-to-face assessment delivery.
7. The AtW: HA Contracts will ensure Customers make informed choices on their preference for assessment type (Virtual Standard Holistic Assessment or Face-to-Face Standard Holistic Assessment).

8. In June 2022, DWP commenced a proof of concept called Access to Work Plus (AtW+); supporting disabled people who have high in-work support needs that are in excess of the current scheme, and for the first time, offering support to Employers who are willing to adapt workplaces and / or job roles. As part of the AtW: HA Contracts this will be a new assessment type (Enhanced Holistic Assessment). All Enhanced Holistic Assessments will need to be conducted face-to-face with the Customer and Employer.
9. To receive AtW support the Customer must meet the AtW eligibility criteria. Further information on eligibility to AtW can be found at <https://www.gov.uk/access-to-work>.
10. A DWP Case Manager will check the eligibility of all Customers applying for Access to Work.

Customer Journey through Access to Work

11. The diagram below provides high level customer journey through Access to Work from initial contact to grant payment. More detail is provided in Annex 1.



Critical Success Factors

12. Below are DWP's internal Critical Success Factors (CSFs) for the Programme which will be used by DWP to determine the overall effectiveness of the Programme.

CSF 1	The Holistic Assessment provides an efficient and effective service, delivering high quality recommendations and support mechanisms to address workplace needs for people who have a disability or health condition, tailored to each Customer's circumstances.
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CSF 2	Recommendations deliver clear, suitable, and expert solutions which demonstrate value for money, and support customers to start, stay and succeed in work; contributing towards reducing the Disability Employment Gap. Recommendations are over and above the Employer's obligation within the Equality Act.
CSF 3	Customers will be able to make an informed choice on the delivery mode of their Holistic Assessment, ensuring all Access to Work Customers receive an excellent service from DWP and the Supplier.
CSF 4	The DWP and Supplier will maximise return on the spend by ensuring value for money is achieved during the life of each commercial contract.
CSF 5	The service will meet Cabinet Office requirements applicable for all grants, ensuring all funding is used as intended and any misuse of funding or fraudulent activity is identified.
CFS 6	The service will be evaluated and monitored to ensure Customers have been supported to start, stay, and succeed in work, increasing their financial resilience

Delivery Location

- DWP are looking to award two AtW: HA Contracts covering England, Scotland, and Wales.

Volumes

- Previous volumes:** The total number of Assessments for the period from April 2017 up to the end of March 2022 are as follows.

	Apr 17 to Mar 18	Apr 18 to Mar 19	Apr 19 to Mar 20	Apr 20 to Mar 21	Apr 21 to Mar 22
No. Of Assessments Completed	14,140	15,150	16,980	13,610	12,530

N.B. Figures taken from AtW Statistics. Years 'Apr 20 to Mar 21' and 'Apr 21 to Mar 22' impacted by response to Covid 19.

- More detail and breakdown of historic applications and referrals to Access to Work is available on [Access to Work statistics - GOV.UK \(www.gov.uk\)](https://www.gov.uk/government/statistics/access-to-work-statistics).
- Future volumes:** Indicative four-year annual volumes for the whole AtW: HA service are included in the table below. It should be noted that the demand led nature of the AtW programme means volumes may fluctuate and the successful AtW: HA Suppliers will need to be capable of managing such fluctuations and unpredictable demand.

Total volumes for the initial 4 Years <small>Split by contract year</small>	Yr1 June 23- May 24	Yr2 June 24- May 25	Yr3 June 25- May 26	Yr4 June 26 May 27	Total
Standard Virtual Holistic Assessment	15,837	16,394	16,954	17,536	66,721
Standard Face-to-Face Holistic Assessment	3,959	4,098	4,238	4,384	16,679
Enhanced Holistic Assessment	650	1,100	1,540	1,710	5,000
Total	20,446	21,592	22,732	23,630	88,400

17. Indicative four-year annual volumes per each AtW: HA Contract are included in the table below (the Authority will endeavour to refer equal numbers of customers to each AtW: HA Supplier, according to National Insurance Number (subject to paragraph 4 of Section 2, as set out in paragraph 3 Section 2, and so these represent the numbers in the table at paragraph 16 above divided by two).

Total volumes for the initial 4 years per Contract <small>Split by contract year</small>	Yr1 June 23- May 24	Yr2 June 24- May 25	Yr3 June 25- May 26	Yr4 June 26 May 27	Total
Standard Virtual Holistic Assessment	7,919	8,197	8,477	8,768	33,361
Standard Face-to-Face Holistic Assessment	1,980	2,049	2,119	2,192	8,340
Enhanced Holistic Assessment	325	550	770	855	2,500
Total	10,223	10,796	11,366	11,815	44,200

18. The Authority does not guarantee any volumes of work within either AtW: HA Contract.

Section 2: Service Requirements

Design and content

1. A Holistic Assessment shall be undertaken and consider all aspects of the Customer's disability and explore all relevant factors that impact on their Workplace barriers. The Holistic Assessment shall document how to overcome these by providing a range of solutions for the individual's needs.
2. The Authority shall enter into two AtW: HA Contracts that together, will deliver the specified services in **England, Scotland and Wales**.
3. The Authority will endeavour to refer Customers in equal numbers to each of the two AtW: HA Suppliers. Subject to paragraph 4 of this Section 2, Referrals will be split based on the last two digits of a Customers' National Insurance Number; Customers with a National Insurance number ending between 00 to 49 will be referred to Supplier A and Customers with a National Insurance number ending between 50 to 99 will be referred to Supplier B.
4. In exceptional circumstances, the Customer may request the DWP Case Manager to make the referral to the alternative ATW: HA Supplier.
5. A summary of the scope of the services required is as follows;
 - By providing the Supplier with a Holistic Assessment Referral Form (see Annex 2), the Authority will instruct the Supplier to conduct a Holistic Assessment within the specified timescale. A Holistic Assessment can be one of the following;
 - Virtual Standard Holistic Assessment
 - Face-to-Face Standard Holistic Assessment
 - Face-to-Face Enhanced Holistic Assessment
 - During the Assessment, the Supplier will complete a Holistic Assessment Report for either a Standard Holistic Assessment (see Annex 3a) or for an Enhanced Holistic Assessment (see Annex 3b) and forward to the Authority following Assessment within the specified timescale.
 - The Supplier will ensure that Assessors carrying out Holistic Assessments are suitably qualified, have appropriate impairment expertise and are able to assess Customers' varying needs.
 - The Supplier will collate and supply Management Information as specified in this Agreement.
 - The Holistic Assessment Report (see example templates at Annex 3a and Annex 3b) is the basis on which the Authority's DWP Case Manager decides the best possible solution for the Customer. It must therefore meet the minimum standards specified at Annex 4.

Types of Holistic Assessment

6. Under the AtW: HA Contracts, there will be a delivery model of both Virtual Standard Holistic Assessment and Face-to-Face Standard Holistic Assessments that allows preference for the Customer.
7. Under the AtW: HA Contracts, unless an Enhanced Holistic Assessment is required, Customers are able to indicate their preferred assessment delivery method, which offers freedom and flexibility and empowers Customers to make decisions that impact their needs and deliver the right outcomes. If the Customer cannot decide on the assessment type, Virtual Standard Holistic Assessment will be selected as default.
8. This blended approach using two types of standard Holistic Assessments will have beneficial outcomes for Customers and the Authority as it is anticipated that more assessments will be able to be conducted within shorter timeframes.
9. **Standard Holistic Assessment:** The Standard Holistic Assessment Report (see Annex 3a) is to be used for either a;
 - Virtual Standard Holistic Assessment; or a
 - Face-to-Face Standard Holistic Assessment.
10. Following receipt of the Holistic Assessment Referral Form (see Annex 2) from the Authority, the Assessor must discuss the type of Assessment with the Customer and confirm whether the Customer's choice of a Virtual Standard Holistic Assessment Report or Face-to-Face Standard Holistic Assessment is most appropriate.
11. **Enhanced Holistic Assessment:** The Enhanced Holistic Assessment Report (Annex 3b) is required for Customers who have the greatest barriers to work and require greater in-depth conversations with Employers due to their complex needs and support requirements.
12. In addition to the activity that would be carried out as part of a Standard Holistic Assessment, the Enhanced Holistic Assessment entails the Assessor reviewing and discussing how the Customer's job role and/or work environment has been adapted already. The Enhanced Holistic Assessment will involve mandatory conversations with Employers and a review of the whole work environment (a Standard Holistic Assessment only assesses the individual's workstation area).
13. The groups of existing Customers that will be covered by Enhanced Holistic Assessment include Customers who are admitted to the following schemes/arrangements:
 - **AtW Transitional Employment Support Grant (TESG):** Since 1 April 2019, the AtW Transitional Employer Support Grant (TESG) has been available to

each employee who was in a Work Choice Protected Place on 31st March 2019 and continued in employment within a Supported Business.

- **Access to Work Plus (AtW+):** AtW+ is an extension of AtW to open up employment opportunities for disabled people who have the greatest barriers to employment and to encourage Employers to think differently about their vacancies and how they could be flexed to open up employment opportunities for disabled people. AtW+ provides additional support for Employers who are willing to do more and adapt Workplaces and flex job roles; and/or introduces new personal support elements that are in excess of standard AtW.
- **Supported Internship (SI):** Supported Internships are a structured, work-based study programme for 16 to 24-year-olds with Special Educational Needs or Disability (SEND), who have an education, health and care (EHC) plan. The core aim of a Supported Internship study programme is a substantial work placement, facilitated by the support of an expert job coach. Supported interns are enrolled and supported by a learning provider, for example, a school or college, but spend most of their learning time - typically around 70% - in a Workplace. For the AtW: HA Contracts the referrals for SI will be for Wales only where a Statement of Special Needs is not currently issued.

During the term of this Agreement, the Authority reserves the right to include additional groups of Customers for whom an Enhanced Holistic Assessment is required, in addition to those above.

14. A high-level overview of the three Holistic Assessment types is provided in the table below.

Virtual Standard Holistic Assessment	Face-to-Face Standard Holistic Assessment	Enhanced Holistic Assessment
The Customer provides their own representative who will assist where required during the Holistic Assessment e.g. to take workstation measurements	The Assessor visits the Workplace to examine the workstation and is required to take measurements, anthropometrics and environment dimensions e.g. wheelchairs, powered chair, scooters, ergonomic seating/specialist chairs and desk or workstation requirements	The Assessor visits the Workplace to understand and review the Customer's workstation and the whole working environment
Employer conversation is voluntary	Employer conversation is voluntary	Employer conversation is mandatory to enable the Assessor to ascertain reasonable adjustments already in place and consider job carving or additional job task support to support the Customer

<p>The Customer can clearly articulate the impact their disability or health condition has on their ability to carry out their job role</p>	<p>The Customer has multiple and/or complex Workplace needs and is not able to articulate the impacts of their disability or health condition</p>	<p>The Customer has multiple and complex Workplace needs and the Assessor requires additional time to undertake the assessment</p>
	<p>To be considered in circumstances where the working environment is perceived to be 'non uniform' such as Agricultural / Farming, Fishery or Coastal and Outdoor or Physical Tasking</p> <p>To be considered for assessments involving hearing conditions / impairment / deaf in circumstances where a Customer is not able to access captioning on video calls and/or technology or human support not available</p>	<p>For all Supported Internships where the Customer requires additional advice where a Statement of Special Educational Needs is not issued.</p> <p>For all new and review applications to the Transitional Employer Support Grant (TESG)</p> <p>For all applications to Access to Work Plus</p>

Out of Scope of this Specification

15. As part of the AtW: HA Contract, the Supplier must not:

- Perform AtW: Holistic Assessments in any geographical territory other than England, Scotland and Wales;
- Comment upon or provide advice to the Customer about any aspect of the AtW programme or potential decision on their pending application as to what the outcome may be;
- Provide work related support for Customers with regard to mental health provision. Mental health support will not be covered by the AtW: HA Contracts;
- Deliver any equipment or any training that may be recommended within the Holistic Assessment Report;
- Provide driving assessments;

- Directly or indirectly market or promote any services to Customers.

Assessors

16. The Authority will require the Assessors to:

- contact the Customer and Employer (unless otherwise indicated on the Holistic Assessment Referral Form) to make an appointment and record the appointment on PRaP within two (2) Working Days of Referral;
- undertake Holistic Assessments. Recommendations made must be designed to overcome work-related barriers relevant to the Customer's disability;
- demonstrate a sound understanding of the disability issues experienced by Customers and be able to identify appropriate options for support to address the barriers in Customers' Workplace;
- provide advice and guidance on technical and ergonomic issues;
- have a thorough understanding of what the Customer can be expected to do independently and record such advice in the 'Progression planning' section of the Holistic Assessment Report;
- have a thorough understanding of the range of solutions available to support the Customer in the Workplace. The Assessor needs to have the knowledge to be able to provide three quotes for the recommended solutions in the Holistic Assessment Report;
- produce a Holistic Assessment Report that must be received by the Authority within;
 - eight (8) Working Days of Referral (Virtual Standard Holistic Assessment);
 - ten (10) Working Days of Referral (Face-to-Face Standard Holistic Assessment);
 - twelve (12) Working Days of Referral (Enhanced Holistic Assessment).

Supplier's Staff

17. The Supplier shall;

- provide suitably qualified Assessors with appropriate expertise. Assessors must have a minimum of one (1) year's relevant experience delivering similar services in a vocational setting. The Supplier is responsible for ensuring that Assessors engaged on this Agreement have the necessary competencies including, but not limited to;
 - excellent communication skills, both written and verbal;

- proven skills and knowledge to deal effectively with people with disabilities;
 - the ability to work under instruction and within a team;
 - the ability to establish appropriate relationships with Customers and Employers;
 - the ability to understand and follow policies and procedures relating to confidentiality;
 - an awareness of safeguarding vulnerable adults;
 - a basic understanding of health and safety issues.
- ensure that Assessors are screened and vetted in accordance with the HMG requirements described in [HMG personnel security controls - GOV.UK \(www.gov.uk\)](https://www.gov.uk/government/publications/hmg-personnel-security-controls).
 - ensure that Assessors and other staff that have direct dealings with Customers comply with legislation relating to safeguarding and protecting vulnerable groups. The Supplier must ensure and provide evidence that such staff are fully vetted and have passed a Disclosure Barring Service check prior to commencing working with AtW Customers;
 - provide and fund appropriate Continuing Professional Development (CPD) of Assessors in their area of expertise at no extra cost to the Authority. Such activity must not interfere with or interrupt the Supplier's obligations and delivery. The Supplier must have systems in place to share and improve best practice and shall make available on request by the Authority evidence of their Staff's CPD;
 - undertake the Assessments and provide a single Holistic Assessment Report for each Referral within the timescales specified by the Authority;
 - be able to respond to the fact a Customer's Workplace could be, depending on the type of employment, at an office, a factory or the Customer's home (this list is not exhaustive). Details of the location where the Holistic Assessment is to take place will be provided on the Holistic Assessment Referral Form;
 - be able to respond to the fact that a Customer may have more than one regular place of work e.g. hybrid working or split-site offices. Wherever possible, the Holistic Assessment Report should capture requirements for the job role for all places of work in one Holistic Assessment Report. If a subsequent or additional visit to premises is necessary to enable full completion of the Holistic Assessment Report across all sites, the DWP Case Worker will provide instruction on what action to take. This may include the Authority providing the Supplier with another Referral for the alternative Workplace, with the second Assessment paid at the relevant rate;
 - meet any reasonable requests made by Customers to accommodate additional needs at no extra cost to the Authority. Additional needs include but are not limited

to, an Assessor of the same gender as the Customer; an interpreter or a signer capable of British Sign Language. When an additional need is identified at the initial contact meeting and it is not practical to accommodate it immediately, the Supplier shall ensure that an alternative appointment is arranged and held within two (2) Working Days and shall ensure that the Customer's additional need is accommodated at all relevant future scheduled appointments/ interventions;

- do the following within the specified timescales, should the Customer not attend their appointment;
 - record the reason given for the cancellation and report with MI, and;
 - notify the DWP Case Manager that the appointment has been cancelled, and;
 - schedule a new appointment with the Customer.
- ensure that all staff engaged on this Agreement are fully trained and capable to perform the work with which they are tasked. In particular, staff must be conversant with the operating procedures of the Authority and how to deal with Customers;
- ensure that Staff communicate in a professional, effective and courteous manner at all times when liaising with Customers;
- ensure that Staff do not use any prohibited or controlled substances on duty. Staff that are, or appear to be, under the influence of alcohol, prohibited substances or abusing controlled substances shall not be permitted to provide the Service. The Authority reserves the right to instruct the Supplier not to use an Assessor again. In the event of any dispute the decision of the Authority Representative shall be final;
- complete a single Holistic Assessment Report (irrespective of the number of Assessors involved in the Assessment) to the standard specified in Annex 4 and return it, electronically encrypted, to the Authority's specified e-mail address;
- be responsible for implementing a quality control process designed to ensure that Holistic Assessment Reports are completed to the standard specified;
- provide a telephone Help Desk that will be the contact point for the Authority and Customers. The Help Desk must;
 - provide an adequately staffed telephone service between the hours of 08:30 and 17:30 (Monday to Friday);
 - answer all telephone calls within ten rings;
 - call Customer or the Authority back within three hours if enquiries cannot be concluded immediately;
 - monitor their own response rates and be able to demonstrate that the specified levels of service are being met;

- provide an electronic means of contact (i.e., an email address/es) for accessibility purposes and acknowledge receipt of enquiries.
- process requests made by Customers or the Authority and be able to demonstrate that they are prioritised and processed in an efficient, quick and customer-focused and cost-effective manner;
- attend ad hoc meetings as and when required on the Authority's premises. At least three (3) Working Days' notice will be given by the Authority;
- attend periodic meetings with the Authority Representative to discuss performance (minimum monthly frequency);
- have a risk management process in place which is subject to review and approval by the Authority Representative on a monthly basis.

Quality

18. The Supplier shall ensure that each Holistic Assessment Report is to be completed to the specified standard in Annex 4 of this Specification;
19. Any Holistic Assessment Report supplied to the Authority that is deemed by the Authority as being not to the standard specified in Annex 4 of this Specification must be resubmitted at the Supplier's expense within one (1) Working Day of return by the Authority;
20. The Authority shall specify the reason for the Holistic Assessment Report being returned for re-work as not to the standard specified in Annex 4;
21. Holistic Assessment Reports returned for re-work shall be provided to the standard specified in Annex 4 and the specified timescales and returned by encrypted email to the DWP Case Manager;
22. The Supplier shall ensure that it has robust arrangements in place for managing and monitoring service delivery to ensure that the provision is of a sufficiently high quality.

Provider Referrals and Payment system (PRaP)

23. DWP Case Managers will be the sole source of referral, and Suppliers are not expected to recruit Customers externally.
24. Referrals will be received by the Supplier via PRaP and the Supplier will use PRaP to record Customer activity. The Supplier will therefore need to have met relevant security requirements before 5 June 2023.
25. Payment for the provision will be via the PRaP system. Information on referrals and payments is included in the Provider Guidance.

26. Direct access to PRaP will be limited to AtW: HA Suppliers. More information on PRaP can be found at:

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

27. The Supplier should ensure that payment requests for approved Holistic Assessment Reports are input to the PRaP system within one month of approval being given.

Working with the Authority

Management Information

28. The Authority will use MI presented by PRaP for the on-going management of the Provision and for discussion with Providers. To further support active performance management of the contract, the Supplier will also be required to submit a Monthly Management Information Return (MMIR) to DWP.
29. The MMIR is likely to include, but is not limited to, information such as:
- For cancellations, a record of attempted Customer contact;
 - For cancellations, a record of all appointments offered to the Customer;
 - Details of the oldest case – number of days outstanding from referral and reasons for delay, and volumes outstanding at the end of each month;
 - The volume of cancellations made by the Provider in-month and year-to-date including reasons for cancellation and the date on which the Customer was re-booked;
 - The volume of cancellations made by Customers in-month and year-to-date including reasons for cancellation and the date on which the Customer was re-booked;
 - The top ten recommended solutions in-month and year-to-date;
 - The number of complaints handled by the Provider and time taken to resolve to Customer's satisfaction (in Working Days), in-month and year-to-date;
 - The number of complaints referred to the Authority in-month and year-to-date;
 - Anonymised details of the assessors engaged on the contract detailing their skills, experience, clearances and qualifications;
 - Details of the numbers and reasons where the Standard Holistic Assessment type has been changed from face-to-face to virtual or vice-versa.
30. The Authority may amend and / or supplement the information it requires in the MMIR at any time, including but not limited to amendments to cover the Supplier's organisational structures and mechanisms for delivery of the Services.
31. The Supplier shall allow DWP access to all MI throughout the life of this Agreement and maintain all data as specified in this Agreement.

32. As and when directed by the Authority or Authority Representative, a Supplier shall collect statistical data relevant to the Services being provided. The Staff shall make available for inspection all such records and work counts upon the request of the Authority within ten (10) Working Days.

Enquiries and Complaints

33. The Supplier must have an appropriate and effective complaints process across its whole supply chain to resolve Customers' complaints. The Supplier must explain its complaints process to the Customer in its first contact with them and make a clear reference to the Independent Case Examiner (ICE) and their role, including contact details. More information regarding the Independent Case Examiner can be found in the Generic Guidance for DWP Providers document - [Generic guidance for DWP providers - GOV.UK \(www.gov.uk\)](http://www.gov.uk/government/uploads/system/uploads/attachment_data/file/344441/Generic_guidance_for_DWP_providers.pdf). The Supplier must seek to resolve problems internally.
34. The Supplier should refer to the Complaint Resolution Core Briefing Pack for Providers (a link to this pack is given in the [Generic guidance for DWP providers - GOV.UK \(www.gov.uk\)](http://www.gov.uk/government/uploads/system/uploads/attachment_data/file/344441/Generic_guidance_for_DWP_providers.pdf)) and the DWP Customer Charter (see Section 2, paragraph 45 of this Specification) when reviewing its processes.
35. The Supplier must document any discussions and their outcomes, allowing the Customer to see and sign the record. The Customer will be told the outcome of issues raised by them through the complaints procedures.
36. Where a Customer is unhappy about the service they receive from the Supplier and raises a complaint, the Supplier should ensure that it follows each step of its detailed process robustly in order to bring the complaint to a satisfactory conclusion.
37. After following all steps in the Supplier's process, it must include in its final response to the Customer a standard text which signposts the Customer to contact ICE should they wish to pursue their complaint.
38. ICE will mediate between the Supplier and the participant to broker a resolution. If a resolution cannot be agreed between either party, ICE will undertake a full investigation of the complaint. To ensure that a thorough investigation can take place, the Supplier must provide all the paperwork which relates to the complaint. The ICE office will ask for these when required.
39. The Supplier shall forward any information required for the Authority in order to address or respond to the following;
- Treat Official correspondence (Public (or 'Treat Official') correspondence consists of letters or emails from members of the public or organisations and is replied to by officials rather than minister);
 - Ministerial correspondence;
 - Freedom of Information requests

- Parliamentary questions;
 - Ministerial briefings;
 - Parliamentary Commissioner for Administration cases;
 - Press enquiries;
 - Other ad hoc queries from third parties.
40. Any requests for information made directly to the Supplier by any organisation will be forwarded to the Authority and not replied to by the Supplier.

Contract Management

41. Where the Supplier identifies problems relating to any aspects of the Services, they shall be responsible for ensuring that such problems are resolved in a manner approved by the Authority Representative.
42. The Supplier shall report in writing to the Authority Representative any proposed changes to the way in which the Services are accessed or suggestions for improving the efficiency of the Services provided. Any change in connection with this paragraph shall be made in accordance with the Change Control Procedure (as defined in Schedule 1 (Definitions) of this Agreement).

Security

43. DWP has legal and regulatory obligations to verify that the providers it works with have a reasonable standard of security in place to protect Authority data and assets. DWP is committed to the protection of its information, assets and personnel and expects the same level of commitment from its providers (and sub-contractors if applicable). In order to protect the Department appropriately, DWP has recently reviewed its Security Supplier Assurance process and requirements and has made the applicable changes in line with industry good practice. These changes include but are not limited to:
- Updated 'Security Schedule' (see Schedule 2.4 of this Agreement);
 - The completion of the 'Information Security Questionnaire' as part of the tender submission and annually thereafter;
 - Compliance with the DWP's relevant policies and standards, found at gov.uk;
 - Compliance to industry good practice such as 'ISO27001' and certification to 'Cyber Essentials'.

44. Further information about DWP's security safeguards and requirements can be found in this Agreement.

DWP Customer Charter

45. DWP is committed to providing high quality and efficient services to our customers. The DWP Customer Charter sets out the standards that Customers can expect and what their responsibilities are in return. DWP are dedicated to raising the standards of all our contracted provision and require all providers and sub-contractors to embed the principles of the Customer Charter into the services they deliver on DWP behalf. The customer charter can be found at: <http://www.dwp.gov.uk/docs/customer-charter-dwp.pdf>

Social Value

46. The Supplier acknowledges that reduction of the disability employment gap is key to the Authority in the delivery of the Agreement.
47. The Supplier shall:
- carry out the actions and activities; and
 - ensure that its conduct in providing the Services and any other actions in connection with Agreement are reflective of the principles,
- set out in its response to question number 1.4.7 of the invitation to bidders for the procurement of this Agreement, as set out in the Tender.

Section 3: The Commercial Approach

Anticipated Contract Value

1. Anticipated value for the Programme for the initial four years will be £14,200,000 exc. VAT (£17,040,000 inc. VAT) across both AtW: HA Contracts. The “Anticipated Contract Value” for each AtW: HA Contract is therefore £7,100,000 exc. VAT (£8,520,000 inc. VAT).
2. Anticipated value for the Programme for the initial four years + additional two years will be £21,300,000 exc. Vat (£25,560,000 inc. VAT) across both AtW: HA Contracts.

Working with Small and Medium Enterprises

3. DWP is committed to supporting the Government’s SME agenda by encouraging either direct or indirect spend with SME third party providers where it is relevant to the contractual requirement and provides value for money. DWP therefore actively encourages providers to make their sub-contracting opportunities (if applicable) accessible to SMEs and implement SME-friendly policies by:
 - opening their supply chain to SMEs by splitting requirements into smaller elements to make them more attractive to the SME market whilst bringing innovation, flexibility and value for money;
 - advertising any sub-contracting opportunities where appropriate and economical to do so, for example by using Contracts Finder or informing local networks/partners;
 - where possible paying SMEs earlier than the contractual requirement of 30 days from receipt of valid invoice; and
 - working with SMEs throughout the life of the contract to develop innovative and cost-effective solutions delivered through the supply chain.

Section 4: Delivery Expectations

Introduction

1. This section provides an overview of the delivery expectations relating to quality, performance and contract management for this Agreement. Supporting information will be detailed in the AtW: HA Provider Guidance.
2. DWP is committed to raising the standards of its contracted provision, making continuous improvement an integral part of its contracting arrangements.

Key Performance Indicators

3. The Key Performance Indicators are detailed below. The KPI Targets are minimum performance levels and the Authority expects them to be maintained for the duration of this Agreement. Where there is room for improvement, the Authority expects performance to improve over the course of this Agreement.

Key Performance Indicator	Description	Target	Cabinet Office 4 Tier Performance Levels*
KPI 1: Acknowledging the Referral	Referral acknowledged on PRaP within one (1) Working Day of receipt from DWP	99%	
KPI 2: Arranging the Holistic Assessment	Appointment made and recorded on PRaP within two (2) Working Days of receipt of Referral from DWP	96%	4 - Good = 96% and above 3 - Near Target = 93.5% to 95.9% 2 - Needs Improvement = 91% to 93.4% 1 - Inadequate = Less than 91%
KPI 3: Completing the Holistic Assessment Report	Holistic Assessment undertaken and Holistic Assessment Report received by DWP within: <ul style="list-style-type: none">• eight (8) Working Days of receipt of Referral (Virtual Standard Holistic Assessment)• ten (10) Working Days of receipt of Referral (Face to Face Standard Holistic Assessment)	96%	4 - Good = 96% and above 3 - Near Target = 93.5% to 95.9% 2 - Needs Improvement = 91% to 93.4% 1 - Inadequate = Less than 91%

	<ul style="list-style-type: none"> • twelve (12) Working days of receipt of Referral (Enhanced Holistic Assessment) 		
KPI 4: Quality of the Holistic Assessment Report	Holistic Assessment Report meets the standard specified in Annex 4	99%	4 - Good = 99% and above 3 - Near Target = 98% to 98.9% 2 - Needs Improvement = 97% to 97.9% 1 - Inadequate = Less than 97%
KPI 5: Reworking of the Holistic Assessment Report	Rework to be completed within one (1) Working Day upon receipt of notification by DWP	96%	
KPI 6: Social Value – Reducing the disability employment gap	Total percentage of full-time equivalent (FTE) disabled people employed under the AtW: HA Contract, as a proportion of the total FTE contract workforce	3%	4 - Good = 3% and above 3 - Near Target = 2.5% to 2.99% 2 - Needs Improvement = 2% to 2.49% 1 - Inadequate = Less than 2%

* (KPI 2, 3, 4 and 6 only – see paragraph 6)

Publication of Key Performance Indicators (KPIs)

- Cabinet Office Civil Service Board requires that on a monthly basis all Government Departments capture the performance of their 'Gold' and 'Silver' tiered contracts by recording the achievements of the top three KPIs for each contract, plus any Social Value KPIs, with the performance data being reported to the Cabinet Office quarterly for publication on GOV.UK.
- For this Agreement the top three KPIs are KPIs 2, 3 and 4 and the performance data will be reported on a rolling three-month basis (as referred to in paragraph 13 below). KPI 6 will be reported as the Social Value KPI and shall be reported quarterly.
- For the avoidance of doubt, the Cabinet Office 4 tiers of performance levels are for reporting purposes only, and do not affect whether a KPI target has been met for performance purposes.

Customer Insight

7. Every month, the Supplier will be required to obtain information from Customers on the usefulness of the Programme. This will be done by the Supplier asking the specific question(s) and follow up (by email, link to a provider portal, website or on-line survey and where no other option available, by telephone) detailed below.

Question 1: "Thinking about your overall experience of the services provided, how satisfied are you with the AtW Holistic Assessment?"

Very satisfied;

Fairly satisfied;

Fairly dissatisfied;

Very dissatisfied.

Question 2: "Please can you tell us more about why you chose your response? Please be as detailed and specific as possible."

8. Customers will be required to record their response to the questions. Where Customers provide responses by telephone, the Supplier will create and maintain a detailed written record of the response. The Supplier is required to collate the Customer responses in the template to be provided by the DWP.
9. The Supplier will send the completed template to DWP by the 15th day of the following month. If the 15th day happens to be a non-Working Day, then the deadline shall move to the next Working Day. The Supplier will maintain each Customer response, which DWP may request to review in the future.
10. DWP reserves the right to publish Customer responses or a summary of Customer responses (either in the form provided, or in any other form it sees fit). The Authority also reserves the right to amend the specific questions or add additional questions that the Supplier asks Customers on a monthly basis.
11. Additionally, the Authority reserves the right to require the Supplier to ask the Customer the questions on a more or less regular basis. The frequency of collating Customer responses and the deadline for providing the Authority with the completed template can also be varied by the Authority. The Authority also reserves the right to amend the template.

Performance Management

12. The Authority intends to utilise (without being bound by) its Performance Management and Intervention Regime (PMIR) – see Appendix 1 of this Section 4. This will centre on monthly Contract Performance Review (CPR) meetings which will be the key vehicle through which the Authority drives delivery of performance and service delivery through the AtW: HA Contracts.

13. CPRs will be conducted by the Authority with the Supplier and will focus on reviewing the Supplier's delivery of services against the contractual performance levels. Supplier performance will be managed on both quantitative and qualitative aspects of the contracts, including, but not limited to, an in-month, rolling three-month, rolling 12-month and cumulative basis from the Service Start Date.
14. An Action Plan will be submitted monthly by the Supplier to the Authority. The purpose of the Action Plan is to give assurance that the Supplier has identified the top areas for improvement and has documented specific actions they will take to improve those area. The Action Plan will be reviewed at each CPR.
15. The Authority will use MI presented by PRaP for the on-going management of the provision and for discussion with the Supplier. The Authority will also expect the Supplier to capture and use their own MI and retain evidence for contractual and performance purposes.
16. DWP's performance teams may visit Supplier premises or undertake assurance remotely on an ad hoc (announced and unannounced) basis to investigate performance, for example, under-performance or high performance.
17. As the Authority is committed to transparency on how its programmes are working, the Supplier needs to be aware that MI may be shared across AtW: HA Suppliers and may also be fed into published official statistics on DWP provision. The Supplier must treat information they have access to as restricted, and for their use only, ahead of formal publication. Official statistics may also cover the Authority's assessment of delivery of the services against the contractual KPIs at AtW: HA Supplier level.
18. At a national level, the Authority will host regular Operations, Partnership and Stakeholder Forums to give a strategic focus to Programme performance and delivery.
19. Where required, DWP will invoke the right to move through the four stages of intervention, as deemed appropriate by DWP according to the Supplier's level of performance and responsiveness to meeting requirements. This is in addition to any other rights or remedies available to the Authority under this Agreement.
20. The Authority will also conduct regular evidence-based compliance checks to assess the performance of the Supplier and to ensure that the Supplier is adhering to the delivery model set out in this Agreement. Checks will be conducted on the service delivery requirements as described in the Customer Journey (see Annex 1), the KPIs and in the MMIR. These measures, and the Suppliers ability to meet them, will be regularly assessed by DWP Performance Managers as part of business as usual.

21. The Supplier must have the necessary remote IT equipment, which must comply with the relevant DWP policies as defined in the appropriate section of this Agreement, to enable the Authority to carry out centralised checks of the Supplier's systems; this includes the provision of any necessary electronic evidence that is required to undertake the checks effectively.

Appendix 1 - Performance Management and Intervention Regime levels

The four Levels of the Performance Management and Intervention Regime are;

Level 1: Standard action – DWP Performance Manager led. Performance will be managed on both quantitative and qualitative aspects of the contract as detailed above.

Level 2: Enhanced action – DWP Performance Manager / DWP Senior Performance Manager led. An Action Plan will be used to capture all agreed actions for performance improvement including incremental performance and pipeline data that may lead to outcomes, review dates and the Management Information to inform the KPIs.

Level 3: Informal action – DWP Provision Lead or above led. Supplier will be invited to a meeting to discuss performance and will receive a management letter to request that performance improves. At this stage the Supplier will be informed that formal action could be taken in the event that performance doesn't improve.

Level 4: Formal action - DWP Provision Lead or above led. The Authority will take formal action by issuing a notice to address failure to respond to previous intervention activities undertaken. In the event that performance does not improve to the levels stipulated in the KPIs the Authority may take action to terminate the contract.

Section 5: The Funding Model

1. The AtW: HA payment model will be Payment by Results (PbR) with an Outcome Payment for each delivery by the Supplier to the Authority of a Holistic Assessment Report in accordance with the Specification, as more particularly described in the definition of “Outcome” in Schedule 1 (Definitions) of this Agreement.

Outcome Payment

2. Each Outcome Payment will be paid at the unit price relevant to the type of Assessment (Virtual Standard Holistic Assessment, Face-to-Face Standard Holistic Assessment or Enhanced Holistic Assessment), as more particularly described in this Agreement.
3. The unit price for each type of Assessment (Virtual Standard Holistic Assessment, Face-to-Face Standard Holistic Assessment, Enhanced Holistic Assessment) will be derived from the Supplier’s financial proposal.

Section 6: Assurance and Governance

The Department's Code of Conduct

1. The Department's Code of Conduct spells out the key values and principles of behaviour which DWP expects of its providers which are essential for creating healthy, high performing supply chains. Suppliers that contract with the DWP will be expected to operate in accordance with the Code of Conduct.
2. The Code is in Annex 1 of the DWP Commissioning Strategy and can be found at: [DWP Commissioning Strategy 2021 - GOV.UK \(www.gov.uk\)](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/531212/DWP_Commissioning_Strategy_2021.pdf)

The Disability Confident Scheme

3. Disability Confident is a condition of contract with the DWP and Level 3 accreditation must, unless already obtained, be obtained within 12 months of the commencement date of the CAEHRS between DWP and the CAEHRS provider. If a CAEHRS provider does not achieve Level 3 accreditation within 12 months of the commencement date of the CAEHRS between DWP and that CAEHRS provider, the CAEHRS provider will be Suspended (as defined in the CAEHRS) until they obtain such Level 3 accreditation.
4. More information can be found at: [How to sign up to the Disability Confident employer scheme - GOV.UK \(www.gov.uk\)](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/531212/DWP_Commissioning_Strategy_2021.pdf)

Life Chances Through Procurement (LCTP)

5. DWP is committed to increasing the life chances for the whole country and LCTP supports and enhances DWP's progress against the sustainable development agenda.
6. The Supplier must adhere to the LCTP principles and comply with the LCTP requirements. Further information on LCTP Guidance for DWP providers can be found at: [Life chances through procurement guidance for DWP contractors - GOV.UK \(www.gov.uk\)](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/531212/DWP_Commissioning_Strategy_2021.pdf)

Annex 1: Customer Journey

1. The (potential) Customer applies for Access to Work using the online service or by telephone.
2. The DWP Case Manager reviews the application and completes eligibility checks.
3. The DWP Case Manager will contact the Customer to provide an overview of the Assessment types (Virtual Standard Holistic Assessment, Face-to-Face Standard Holistic Assessment, Enhanced Holistic Assessment) and ensure the Customer is available for an assessment. If the Customer cannot decide on the Standard Assessment type, Virtual will be selected as default.
4. The DWP Case Manager completes a Holistic Assessment Referral Form and sends to the Supplier using encrypted email and makes the referral on PRaP.
5. The Supplier contacts the Customer to discuss the availability to attend an Assessment and confirms their Assessment preference.
6. The Supplier offers the Customer at least 5 appointment slots within the timeframe specified in this Agreement.
7. The Supplier makes at least 2 attempts within the first Working Day after Referral to contact the Customer to schedule the Assessment. If unsuccessful, a further attempt should be made on the second Working Day following Referral. In making these attempts, the Supplier will
 - Ensure that the attempts to contact the Customer are made at different times of the day so as to avoid conflicting with regular scheduled commitments the Customer may have (e.g. school run)
 - Use a variety of communication modes (e.g. mobile phone, landline, email, whichever is the Customer's preferred method)
8. The Supplier will book the Customer for a Holistic Assessment appointment.
9. The Supplier completes the Holistic Assessment Report and returns to the DWP Case Manager using encrypted email.
10. The DWP Case Manager makes the decision if an award is applicable and advises the Customer accordingly, sending written notification of the award to Customer and Employer.

Annex 2 – Holistic Assessment Referral Form

Example Holistic Assessment Referral Form is provided below – Latest version will be available in the AtW Holistic Assessment Provider Guidance

Access to Work

Holistic Assessment Referral Form

Customer Information

Name:			
URN:			
NINO:			
Contact information:	Personal Email:	Personal Mobile:	Personal other:
	Work Email:	Work Mobile:	Work other:
Reasonable adjustment agreed: (If none leave blank)			

Third Party Information - Leave blank if not applicable

Name:		
Contact information:	Personal Email:	Personal Mobile:
	Work Email:	Work Mobile:

The Customer/Third Party is available within the next 2 working days for contact:

Use 'X' to confirm

☐

Include any times the customer isn't available within the next 2 working days:

--

Assessment Preference

Assessment Type: (use X to indicate)	Standard:	Enhanced:	
Standard Assessments Only: (use X to indicate)	Standard Face-to-Face:	Standard Virtual:	
Enhanced Assessments Only: (use X to indicate)	TESG:	Supported Internship:	AtW Plus:

To note: All Enhanced Assessments must be completed Face-to-Face

Employment Details

Employer Name:	
Employer Contact & Position:	
Address:	
Telephone / Email:	

Location of Holistic Assessment if different from above

Employer Contact & Position:	
---	--

Address:	
Telephone / Email:	

Any additional ID required by Assessor?

Yes/No – (If yes please specify)

Customer's Declared Disability and/or Health Condition

--

Customer's Job Title / Job Type

--

Customer's declared impact on job role

--

Organisational Set Up

--

Additional information provided by customer:

e.g previous experience with special aids and equipment

--

DWP Case Manager Information

Name:	
Email address:	
Contact Telephone Number:	
Working Pattern: e.g. Mon – Fri 8am to 4pm	
Date of referral:	

Annex 3a – Holistic Standard Assessment Report

Example Holistic Standard Assessment Referral Report is provided below – Latest version will be available in the AtW Holistic Assessment Provider Guidance

Access to Work

Holistic Standard Assessment Report

Customer Information

Name:	
URN:	
NINO:	

Assessment Type Completed

Standard Assessments Only: (use X to indicate)	Standard Face-to-Face: <input type="checkbox"/>	Standard Virtual: <input type="checkbox"/>
--	---	--

The assessor must inform the DWP Case Manager immediately if they find that any information on the referral form is incorrect.

Employment Details

Job title only

--

The place of assessment (this could be more than one)

Customer's (i.e. employee's) employment address as stated on the referral form

Address other than employees' workplace (this must be authorised by DWP Case Manager in advance of the assessment)

Job analysis

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

Disability/Health condition

Including any secondary disabilities not already identified.

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

Assessment of needs

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

Employer Section - the assessment must detail the capacity and knowledge of the organisation to highlight any areas of awareness or training to be addressed. It must address the compatibility of solutions with the employer's IT.

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

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

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

Supplier's Name

Name of Assessor

Assessor's Signature

Date of Assessment

If you have any queries on the content of this report, please refer back to your DWP Case Manager.

Sole Supplier Information

Customer Name Customer URN

Customer workplace barrier

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

Proposed Solution

What does the solution need to do/provide?

Proposed Supplier

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

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

Annex 3b – Holistic Enhanced Assessment Report

Example Holistic Enhanced Assessment Report is provided below – Latest version will be available in the AtW Holistic Assessment Provider Guidance

Access to Work

Holistic Enhanced Assessment Report

Customer Information

Name:	
URN:	
NINO:	

Assessment Type Completed

Enhanced Assessments Only: (use X to indicate)	TESG: <input type="checkbox"/>	Supported Internship: <input type="checkbox"/>	AtW Plus: <input type="checkbox"/>
--	--	--	--

The assessor must inform the DWP Case Manager immediately if they find that any information on the referral form is incorrect.

Employment Details

Job title only

--

The place of assessment (this could be more than one)

Customer's employment address as stated on the referral form

Address other than employees' workplace

(This must be authorised by DWP Case Manager in advance of the assessment)

Job analysis

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

Disability/Health condition

Including any secondary disabilities not already identified.

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

Assessment of needs

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

This section should also present an assessment of needs - where individual support needs are in excess of 20% of the employee's role, including:

- job aide,
- on-going job coach support,
- extra supervision needed to enable the employee to deliver the job, and
- support that is not directly related to workplace activities (e.g., personal finances or handling difficult personal matters) but is necessary to sustain employment.

In addition to the information above, provide details of any adjustments the employer has made to the employee's job role, which could include performance requirements and the scope of the job. Identify if the employer has limited the work tasks and/or is allowing longer than that usually required for an employee to complete the work tasks.

Employer Section - the assessment must detail the capacity and knowledge of the organisation to highlight any areas of awareness or training to be addressed. It must address the compatibility of solutions with the employer's IT.

It should also include details of employer, Health & Safety requirements and steps the employer is taking to accommodate the individual e.g. by tailoring the job to accommodate the employee's disability such as: adapting business processes, machinery, the pace of work expected and the extent of the job role (job carving).

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

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

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

Supplier's Name

Name of Assessor

Assessor's Signature

Date of Assessment

If you have any queries on the content of this report, please refer back to your DWP Case Manager.

Sole Supplier Information

Customer Name Customer URN

Customer workplace barrier

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

Proposed Solution

What does the solution need to do/provide?

Proposed Supplier

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

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

Annex 4 – Standards

Specified Standard

1. The Authority is keen to ensure that the quality of Access to Work provision provided by the Supplier is exemplary.
2. The Supplier is responsible for ensuring that Customers and their Employers have access to suitable and high-quality support in a way that provides a good service and an excellent Customer experience. For Access to Work to offer the most effective support possible to Customers, a number of key features are integral to delivery. In providing the Service the Supplier is required to:
 - focus strongly on speed and accuracy;
 - demonstrate a sound understanding of the breadth of disability issues which may be experienced by the Customer and the appropriate support options available to address the Customer's workplace barriers to meet each Customer's minimum needs;
 - provide advice and guidance on technical and ergonomic issues.
3. In particular, the Holistic Assessment Report (see Annex 3a and Annex 3b) shall be in the format specified below and be fit for purpose:
 - legible and in plain language;
 - checked for grammar, spelling and punctuation;
 - well-presented and of good quality;
 - in point 12 Arial font (unless alternative requirements are needed due to the Customer's disability);
 - logically sequenced, clear, informative and complete;
 - fully detailed and consistent (please note it will be seen by the Customer and/or their Employer);
 - not prescriptive but provides recommendations based on evidence (terminology used should demonstrate an emphasis on independence and choice);

- each recommended solution is detailed to ensure best value for the Authority that meets the Customer need (all recommendations and quotes should be ordered from cheapest to most expensive);
4. The Holistic Assessment Report templates (see Annex 3a and Annex 3b) shall be completed and used to enable a DWP Case Manager to determine the best possible solution for the Customer in question.
 5. It is important that the Holistic Assessment Report is of good quality in accordance with the standards specified in this Annex 4 and the DWP Case Manager will define whether Holistic Assessment Reports are to the 'specified standard', based on the criteria below.
 6. A Holistic Assessment Report may be deemed not to the standard specified in this Annex 4 and therefore rejected if one or more of the following applies:
 - there are insufficient quotations or no quotations have been provided;
 - there is no sole supplier stencil (if appropriate) completed. Sole supplier stencil is included within the Holistic Assessment Reports (see Annex 3a and Annex 3b);
 - three quotations are not provided for items over £500;
 - for training quotations – if a quotation is provided per training session instead of for the complete package to avoid providing three quotations (e.g. half day support costs £150 but the Customer needs ten (10) half days, taking the cost up to £1,500, we therefore would require three quotes as the item cost is over £500);
 - quotations provided are not for exact costs. All costs should be calculated and quoted accurately;
 - quotations do not include VAT/delivery costs (for VAT calculations, any part of a penny should be rounded up to the nearest whole penny);
 - quotes are not on a separate page;
 - it is apparent that value for money has not been considered (i.e. many cheaper quotations are available);
 - in regard to chairs, if the quotations are for different specifications;
 - compatibility checks are not done before recommending equipment/software;
 - incorrect information is reported;

- there are spelling and/or grammatical errors that have a material impact on the report;
- the recommendation for support is not available in the Customer's area;
- where human support is recommended but there is no indication of support required (e.g. hours etc) and/or there is no full justification for why that human support is recommended;
- there is no explanation of how recommendations will overcome the Customer's difficulties;
- it is evident that the Assessor has been influenced by Customer or their representee's preference and has not considered the minimum requirements (e.g. this is sometimes evident in reported conversations with DWP Case Managers which focus on what the Customer 'prefers' or 'wants');
- there is missing information as per the referral standards (e.g. progression planning, employer section) in the report;
- there is missing information regarding the Customer's condition/ support required (for example, if an element of support is discussed with the Assessor but has not been included in the Holistic Assessment Report, such as travel to work considerations);
- it contains personal/confidential information reported to the Assessor that the Customer did not want to be disclosed on the report (Assessors should ensure that they advise the Customer that they will report anything they tell them unless otherwise stated);
- the report indicates that the Employer is not sympathetic or making reasonable adjustments when this is not the case (i.e.: reporting that time off is needed for appointments, breaks required etc.);
- the report is too prescriptive in telling the Employer what they should be doing instead of suggesting under reasonable adjustments;
- there is no evidence that a holistic approach has been taken;
- the barriers are not fully explained;
- the report is too prescriptive in advising what Access to Work will or will not pay for;
- no job analysis is contained in the Holistic Assessment Report;

- a bundle price is provided for equipment and does not break down the exact, individual costs within that bundle;
 - the Holistic Assessment Report otherwise does not comply with the requirements for a Holistic Assessment Report set out in this Specification.
7. If the Holistic Assessment Report has been rejected, the Supplier will be notified by e-mail within five (5) Working Days of the receipt of the Holistic Assessment Report.
 8. If the Authority decides that a Holistic Assessment Report is not to the standard specified in this Annex 4 the Supplier will be notified of the reason and will be required to review and resubmit the report within one (1) Working Day of its return.
 9. If the Supplier is concerned about a Holistic Assessment Report that has been returned for Rework, it should refer to the Single Point Of Contact (SPOC) in the AtW Team. In the absence of the SPOC the Supplier should contact the AtW Business Support Team to determine the appropriate action to take.
 10. The AtW Team will monitor the quality of Holistic Assessment Reports and the number returned to the Supplier as unacceptable on a monthly basis.
 11. This information will be discussed formally as part of regular performance reviews led by the AtW Performance Manager.
 12. Customers and their Employers will be advised that they have a period of two weeks from receipt of the report in which to respond to the report and raise any concerns.
 13. In a small number of cases, the DWP Case Manager may reject a Holistic Assessment Report for Rework and request an additional Holistic Assessment Report from the Supplier if they have concerns about the recommendations included in the existing report. This situation could arise when, for example, a Customer's representative/interpreter assists them with the Access to Work application process and this person or their Employer may also be helping the Customer to identify types of support they require and offering to provide that support.
 14. If recommendations are made for building adaptations (over and above those which are required by law) to enable access to premises, the Supplier will specify quantities and suggest specialist suppliers for the Employer to contact, to investigate the feasibility of removing the barriers, but the Supplier will not recommend specific works or contractors to carry out the works.

Annex 5: Definitions

Action Plan means the monthly assurance document sent by the Supplier to the Authority that details the top areas for improvement and documented specific actions the Supplier will take to improve performance.

Agreement means the contract of which this Specification forms part, as more particularly defined in Schedule 1 of that contract.

Assessment means a Holistic Assessment of a Customer in the Workplace.

Assessor means each member of Staff conducting the Holistic Assessment and completing the Holistic Assessment Report.

AtW means Access to Work.

AtW + means Access to Work Plus.

AtW Business Support Team means the team that provides business support to the AtW Team.

AtW: HA means Access to Work Holistic Assessments.

AtW: HA Bidder means a CAEHRS, Lot 8 (National) provider bidding or, where the context requires, considering to bid in the mini-competition to which this Specification relates.

AtW: HA Contract means a contract awarded by DWP to a successful AtW: HA Bidder following the conclusion of the mini-competition to which this Specification relates, including this Agreement.

AtW: HA Supplier means a supplier under an AtW: HA Contract, including the Supplier.

AtW Plus has the meaning given in Section 2 paragraph 13.

AtW Performance Manager means the individual within DWP responsible for monitoring performance of the AtW: HA Contract, or their deputy.

AtW Statistics means the official AtW statistics published in GOV.UK

AtW Team means the centralised team of individuals engaged by the Authority who are responsible for administering the AtW applications.

Authority as defined in the order form which forms part of this Agreement.

Authority Representative as defined in Schedule 1 of this Agreement.

CAEHRS means the Commercial Agreement for the provision of Employment and Health Related Services.

CPD means continuing professional development.

CPR means contract performance review.

CSF means critical success factor.

Customer means a “Participant”, as defined in Schedule 1 of this Agreement.

DWP means the Authority.

DWP Case Manager means the members of the Authority’s Access to Work Team dealing with the Customer’s Access to Work case.

Employer means the employer of the Customer.

Enhanced Holistic Assessment means an enhanced Holistic Assessment in accordance with this Specification.

Equality Act means the Equality Act 2010.

Face-to-Face Standard Holistic Assessment means a face-to-face standard Holistic Assessment in accordance with this Specification conducted with the Customer in their Workplace.

Help Desk means the single contact point for DWP Case Manager and Customers.

Holistic Assessment means an Assessment undertaken by the Supplier which considers all aspects of an Access to Work Customer’s disability and explores all factors that impact on their Workplace barriers offering solutions to overcome those barriers.

Holistic Assessment Referral Form means the form completed by the DWP Case Manager and sent to the Supplier to refer a Customer for a Holistic Assessment.

Holistic Assessment Report means the form completed by the Supplier following a Holistic Assessment and returned to the DWP Case Manager.

Hybrid Working means where the Customer has more than one regular place of work.

ICE as defined in Schedule 1 of this Agreement.

KPI means a key performance indicator, as set out in Section 4 paragraph 3 of this Specification.

LCTP means “Life Chances Through Procurement”, as set out in Section 6 paragraph 5 of this Specification.

Management Information or **MI** means “Management Information”, as defined in Schedule 1 of this Agreement.

Mini-Competition as defined in CAEHRs.

MMIR means the monthly management information return to be submitted pursuant to paragraphs 288 to 30 of Section 2.

Month means a calendar month.

Outcome Payment as defined in Schedule 1 of this Agreement.

Participant as defined in Schedule 1 of this Agreement.

PRaP as defined in Schedule 1 of this Agreement.

Programme refers to the services delivered under AtW Holistic Assessments.

Provider Guidance as defined in Schedule 1 of this Agreement.

Referral as defined in Schedule 1 of this Agreement.

Rework means an additional Holistic Assessment to be submitted by the Supplier following a rejected Holistic Assessment Report, as per Paragraph 8 of Annex 4 of this Agreement.

Services as defined in Schedule 1 of this Agreement.

Service Start Date means the date on which Services for AtW Holistic Assessments referrals will commence.

SI means a Supported Internship.

Single Point of Contact means the designated contact within the AtW Team.

SME means small and medium-sized enterprises as defined by the European Union. See SME definition (europa.eu).

Staff means all Supplier staff involved in delivery of this Agreement.

Standard Holistic Assessment means a Face-to-Face Standard Holistic Assessment or a Virtual Standard Holistic Assessment.

Supplier as defined in the order form which forms part of this Agreement.

Supported Business means social enterprises whose main aim is to integrate disabled people socially and professionally. Their workforce must be at least 30% disabled or disadvantaged.

Supported Internship has the meaning given in Section 2 paragraph 13.

Transitional Employer Support Grant (TESG) has the meaning given in Section 2 paragraph 13.

Virtual Standard Holistic Assessment means a virtual standard Holistic Assessment in accordance with this Specification.

Work Choice Protected Place means full-time employment places within Supported Businesses with guaranteed funding from DWP as a result of the Work Choice contract.

Working Day as defined in Schedule 1 of this Agreement.

Workplace means the Customers' place of work. This could be, depending on the type of employment, at an office, a factory or the Customer's home (this list is not exhaustive). Details of where the assessment is to take place will be provided on the Holistic Referral Form.

Annex 6: Other Additional Information

- **DWP Generic Provider Guidance**
[Generic guidance for DWP providers - GOV.UK \(www.gov.uk\)](https://www.gov.uk/guidance/dwp-generic-provider-guidance)
- **Jaggaer**
<https://dwp.bravosolution.co.uk/web/login.shtml>
- **AtW Holistic Assessment Provider Guidance**
[Access to Work holistic assessments provider guidance - GOV.UK \(www.gov.uk\)](https://www.gov.uk/guidance/access-to-work-holistic-assessments-provider-guidance)
- **Equality Act 2010 Guidance**
<https://www.gov.uk/guidance/equality-act-2010-guidance>
- **AtW Statistics**
<https://www.gov.uk/government/collections/access-to-work-statistics>