PART 2 Roles and Responsibilities

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INFORMATION EXPLOITATION AND SECURITY FRAUD AND ERROR MEASUREMENT (IES FEMA)
OPERATIONAL EXCELLENCE DIVISION (OED)
Information Exploitation and Security Fraud and Error Measurement (IES FEMA) sampling

2000 FEMA are responsible for the production and selection of the sample data lists from the stand-alone administrative computer systems. These systems include:

- the Generalised Matching Service (GMS) for the ESA, JSA, SPC and SP samples
- Single Housing Benefit Extract (SHBE) for HB samples

2001 The role of FEMA in this area is to randomly select cases each month in accordance with the PM national visiting programme. FEMA provides information on the number of cases to be checked in a geographical area known as the Primary Sampling Unit (PSU). FEMA then use the Visiting Programme to randomly select cases for check by Performance Measurement. The randomness of the selection ensures no bias in the sample.

- ESA, JSA, SPC and SP cases from the live load
- a targeted sample of new claims for JSA from the live load
- a targeted sample of HB cases covering non-passported and passported cases from the SHBE live load.

2002 This information will be produced in the form of a list of claimants’ names, office codes, postcodes and NI Numbers loaded directly onto the FREDA database each month.

Performance Measurement (PM)

2003 The primary role is to:

- measure fraud, claimant error and official error for ESA, JSA, HB and SPC cases for MVE/MVFE
- measure official error for SP
- supply IES FEMA with data on fraud, claimant error and official error (over and underpayments),
- gather detailed and reliable information at national level on the scale, cause and cost of fraud, claimant error and official error
PMG October 2014

PM Operational Teams

2004 The team manager (or representative) will make early contact with the ECO/PCP/LA prior to the visit and will agree:

- accommodation requirements
- IT system access requirements
- where the checks are to be conducted (i.e. on site/remote)
- responsibility for movement of documents
- the names of the lead MROs
- contact point for comment sheets

2005 The PM team will provide the ECO/PCP/LA with

- full details of each error recorded on FREDA relating to ESA/JSA/SPC/SP
- the LA feedback proforma for HB
- real time access to the database including summary reports (not available to LA contacts)
- meetings are by exception

2006 Feedback meetings may be considered where:

- there was a significant shortfall in the number of cases provided for check
- the error rate was significantly higher than expected
- the deemed error rate was higher than anticipated
- a high number of arbitrations have been requested
- it will aid communications between PM and the ECO/PCP/LA

*Note: this list is not exhaustive*

2007 Where a feedback meeting is not warranted, the Team Manager will contact the ECO/PCP by telephone when 90% of the cases in a visit have been finally categorised (excluding FES referrals) to ‘close’ the visit. The discussion will include:

- a review of the visit
- agreement of responsibility for action on incomplete cases
- authority to remove PM staff from local IT systems
- confirmation that the ECO/PCP has been able to obtain any necessary MI reports
- other housekeeping issues

2008 - 2009
Multi-benefit Review Officer (MRO)

2010  The MRO role will cover the two aspects of check for each case; the selected period check for official error and the review week check for claimant fraud/error. Depending on the type of case being checked it may be possible that the two checks will be completed by at least two appropriately qualified MROs.

2011  The MRO that conducts the claimant interview will be responsible for:

- controlling the sample from week 1 to week 4 of the PM visit, ensuring that all action has been taken, and the progress of each case is recorded accordingly, prioritising any cases where JSA is in payment
- Completing a technical preview on all cases ensuring that all evidence required for the official error check is recorded on the relevant media, to form the PM docs and ensuring that all evidence required from the ECO/PCP/LA to enable the official error check on the selected period to be performed, is recorded.
- completing the final pre-visit preparation and familiarisation on all cases, noting the PM docs of any changes since the technical preview was conducted and consider the case’s continuing suitability for review
- using the Standard Enquiry Facility (SEF) on the Customer Information System (CIS) and recording details as applicable
- using CIS to identify any FES or Compliance interest on the case and contacting the investigator/Compliance officer as required
- requesting authorisation for abandonment and replacement of each case that is unsuitable for the sample
- if applicable selecting replacement cases where the initial case has been authorised for abandonment

Note that where abandonment has been conducted on FREDA, the database will automatically generate the next available replacement case from the sample list. Where the replacement case is not within the same area covered by the requesting MRO, the case may be reallocated depending on the in-team arrangements

Note that for ESA some of the above actions are performed by the Checking Officer that is responsible for the preview

- conducting visits to claimants, to ascertain that the benefit/entitlement payments received by the Claimant are correct and that the Claimant meets the entitlement conditions for the receipt of the award
- providing general advice and signposting the Claimant on benefits/entitlements to the relevant provider, including HB/Council Tax reduction schemes
• Being proactive in ensuring that the Claimant is receiving all benefits that they can make an application for.
• Consideration of the Claimant’s health and living conditions fully documenting any concerns and notifying the ECO/PCP/LA for their liaison with relevant bodies where necessary
• collecting evidence/information to enable the official error check on the selected period to be completed
• recording the outcome of each review visit in the individual FREDA case logs, including any fraud or suspicion of fraud, instances of claimant error, official errors identified; fully annotating the PM docs with the reasons
• referring any suspicion of fraud for authorisation by the Team Manager via FREDA and submitting to FES
• producing sound recommendations for the categorising of each case where a potential fraud, claimant error or official error has been identified
• On completion of the interview, liaise with the ECO/PCP/LA to ensure that the notepad entry has been updated to state that the MRO visit/interview has been completed.
• taking continuous follow up action on all cases where evidence/information is required, up to and including any hand off for the official error check to be conducted
• Forwarding details of any reportable changes in circumstances to HMRC which may affect the Claimant’s continuing entitlement to CTC and/or WTC.
• If applicable, send the completed LA Decision Proforma and the Statement of Circumstances to the LA for a decision, to check the accuracy of the decision on its return, and to resolve any disagreements with the LA Decision Maker
• If applicable for HB passported Review, send a copy of the completed DWP Decision Proforma to the ECO/PCP
• Obtain necessary verification documentation to allow the LA to decide on changes as applicable
• Notify relevant parties in LA/DWP via the Liaison Contact and ECO/PCPs of any changes or discrepancies where benefit will not change
• build up a picture of a Claimant ’s circumstances in all potential causal link cases to enable a validator to make a decision on the case
• arranging/participating in the hand off for the official error check to be conducted at the end of week 4 of the PM visit (or as specified by the team leader)
• provide information for DQA checks

2012 Following completion of the claimant review aspects above, some specific cases will need to be handed off to another suitably experienced MRO to conduct the official error check on the case. These are:
• All Reviews for the ESA /JSA/SPC official error check where the initial MRO has not previously been responsible for conducting official error checks.

2013 The MRO who takes over the case following the claimant review is responsible for:

• controlling the sample of cases for the duration of the PM visit, ensuring that all action taken and relevant dates along with the progress of each case are recorded accordingly
• the accurate measurement of fraud, claimant error and official error for MVE/MVFE reporting in accordance with agreed methodology published in the PMG
• conducting an abandonment check on all relevant cases abandoned by the originating MRO
• authorising the abandonment and replacement action on each case that is unsuitable for inclusion in the sample
• ensuring that all appropriate evidence has been obtained at the review or where this cannot be provided by the Claimant that the MRO who conducted the visit has completed the details to show the case is outstanding
• performing 100% evidence check and 100% preview check on all cases handed off to them along with completion of comment sheets if applicable
• categorisation of cases for fraud, claimant error and official error (including accounting errors) considering the recommendations made by the initial MRO and, where necessary, liaising with them before making a final decision on a category
• determining whether NPV action is appropriate or not, forwarding all relevant cases to the DM for a decision via the ECO/PCP and noting the date of referral as applicable
• for all cases ensure that a recommended category from the initial MRO has been provided before completing the final categorisation
• recording the results accurately on to FREDA
• Referring any suspicion of fraud via FREDA for authorisation by the Team Manager and submitting a Fraud Referral Form (FRF) or fraud referral to the LA fraud section, where this has not already been carried out at the visit stage. Action the outcome of any fraud investigation once the case has been returned from the PM SPOC for HST cases and recording the details accordingly
• liaise with the ECO/PCP to ensure DM’s decision for NPV cases are returned within 2 weeks
• ensuring that information regarding the final results of each visit are issued to PM Central Administration and Statistical Teams within agreed timescales and to agreed standards of quality
• Ensuring that data entered directly onto the databases is correct
• Actioning the automatic data cleaning rules generated where applicable
Note: On some occasions a hand off at this stage is not always appropriate as some PM staff (Single Officer Review (SOR)) perform both the claimant review and the official error check.

Team Manager (TM)

2014 The Operational Team Manager is responsible for:

- Raising the profile of PM by delivering awareness presentations
- Issuing Appendix 3D letter to the Delivery Business at the start of each new Visiting Programme.
- Raising the profile of PM by visiting Local Authorities (LA), delivering presentations and fostering closer working relationships.
- Development and ongoing management of the visiting programme
- Initial liaison with the selected LAs. Contact should be made by the Operational Team Manager a minimum of 6 to 8 weeks before the start of the review quarter to deliver the presentation explaining the background to the process and what will be needed
- Further contact should be made with the LA a minimum of 3 weeks before the MROs arrive in the LA. This is to supply sample names etc and request information about any visiting activity they may have been doing
- Carrying out re-performance validation checks as specified. The checks may be delegated, but the manager must retain responsibility to ensure the quality and accuracy of the process and of the resulting survey data
- Carrying out a monthly check of all outstanding fraud referrals to LAs, ensuring follow-up procedures are in place and exception reports received for any cases out with the agreed 13 weeks.
- Maintaining control of the monthly workflow
- On return from LA fraud, FES and Compliance checking 100% of all fraud referral outcomes for quality of investigation, informing AGA and line management immediately if any problem areas are identified
- Checking 100% of all fraud referrals, LA Fraud, FES and Compliance, for quality and suitability
- Contributing to the efficiency of the fraud referral process by:
  - contacting the BST at the 10 week and 14 week stage if the case is still outstanding to ensure everything possible is being done to expedite the case
  - Contacting the BST HEO if they are concerned about either the lack of progress on a JCP Fraud/Compliance investigation or the quality of an investigation on a returned JCP Fraud/Compliance case. The BST HEO will escalate via the Fraud or Compliance Single Point of Contact (SPOC).
• Contact the LA Fraud Manager direct (contact details in the LA Profile document) if they have concerns about a lack of progress on an LA case or the quality of an LA investigation
• Carrying out accompanied visits, a minimum of one day's visit per MRO, per year, to ensure methodology is being adhered to at all times and that casework/documentation is accurate and as prescribed in the validation checklist
• Reporting the outcomes from the monthly management checks to their Line Manager, i.e. number and type of checks carried out and what action taken to resolve any problems
• Ensuring all MROs receive the relevant training to equip them for duty
• Chair team meetings on a monthly basis, ensuring any new instructions are discussed and a common understanding achieved.

Central Technical Group Team (CTG Team)

2015 The CTG Team is responsible for:

• Undertaking and controlling all official error checks on SP, ensuring that all action taken and relevant dates along with the progress of each case are accurately recorded.

2016 – 2019

Data Quality Adjustment Team (DQA Team)

2020 This team is part of PM and is responsible for:

• DQA checks, monitoring standards and ensuring consistency of the results by carrying out DQA on a proportion of cases from each sample, specified by FEMA. DQA teams will feed back the results and quality of the data to FEMA and the PM operational teams.

2021 - 2029

Performance Measurement (PM) - Advice, Guidance and Arbitration Team (AGA)

2030 AGA can be contacted for advice and arbitration requests from both stakeholders and PM staff via the AGA inbox: DWP QUARRY HOUSE PM AGA

2031 Main responsibilities are as follows:
PMG October 2014

- Support to the PM operational teams concerning PM checking and reviewing methodology
- Arbitration on PM checks where a dispute exists.
- Production of guidance relating to the PM checking and reviewing process, including the PMG, and Data Quality Guide (DQG).
- Liaison with the Group MVFE Leads, OED Error Reduction Team, MVFE Focal Point and the PDCS National Programme Protection Team
- Liaising with FEMA, as necessary, regarding methodological queries
- Liaison with specifiers regarding PM checking and reviewing methodology and error definition
- Operation of the PM Change Control Process. Being responsible for inclusion of the content of the revised guidance into the PMG.
- Liaison with other central service providers on official error, fraud and Claimant mistake issues
- Developing and QA of training material in conjunction with PM trainers.
- Producing briefing/submissions for senior managers
- Producing presentations for raising awareness/promoting co-operation between LAs, DWP (including FES) and MROs

2032 - 2039

Performance Measurement (PM) – Business Support Team (BST)

2040 The role of the BST is to provide support to the Operational teams, as directed by the SMT and Ops SEOs.

2041 This currently includes:

- Arranging and agreeing the PM visiting programme for visits to Jobcentre Plus BCs/pension centres/LAs for all benefits reviewed
- Input to the FEMA sample specification, via the Team Leader ensuring that the FEMA sample meets the sample criteria.
- Liaison with FEMA regarding the PM sampling methodology
- Ensuring that the FEMA sample is received within agreed timescales and that the sample provided is accurate. Liaising with FEMA to resolve any problems that arise, and ensuring that all interested parties are kept informed of the situation.
- Confirming details of each Error Control Officer (ECO) and Pension Control point (PCP)
- Notifying ECOs/PCPs of PM requirements in advance of visits
- Providing support and operational guidance for PM operational teams.
- Obtaining post-PM visit feedback from Jobcentre Plus Benefit Delivery Centres (BCs)/pension centres
- Development and reporting against the Learning and Development work plan
• Issuing invitations for Learning and Development activities including collation of pre/post evaluation forms
• Providing advice and guidance relating to Learning and Development activities
• Providing the full sample lists to LAs split by LA (for LAs)
• Examine the SPC list to add a marker for claims made by telephone
• Maintenance of the VMB, including adding and removing users

2042 Part of the BST role is to track High Suspicion cases. The BST HEO Manager is responsible for ensuring that cases are properly tracked and are returned from Fraud/Compliance as soon as possible. This responsibility will be discharged by the BST staff who will:

• Conduct a 2 weekly review of each HST case
• Identify when sufficient information is available to allow final categorisation of the case
• Contact the Operations Team Manager when they believe that there is sufficient information (liaising with MROs in appropriate cases)
• Place the details in the VMB including a brief summary of the investigation and outcome, including relevant dates and amounts for the review week categorisation

Note: BST will also provide FES investigators details for MROs from FRAIMS to establish if fraud activity established at preview is still current.

2043-2049

Business Solutions Team

2050 The Business Solutions Team is responsible for:

• Analysis of stakeholder requirements and co-ordination of specifications
• Design and development of functionality for all benefit reviews
• Testing of Web and database functionality and accuracy. Provision of technical user guidance relating to Business Solutions Team applications (in conjunction with AGA when appropriate) Analysis design and implementation of internal and external reporting requirements
• Maintenance of measurement web applications and databases
• Provision of help and support for web application and database users, including planning support for PM\SMT Liaison with CIT, Departmental Security and external providers concerning Business Solutions team applications and databases. Provision of training platform web application and upload of test data onto this application

2051 - 2059
Error Control Officer (ECO) and Pension Control Point (PCP)

2060 The role of the ECO/PCP is crucial in facilitating and controlling the PM exercise. The ECO/PCP acts as the nominated management contact and is accountable for ensuring that the BC/Pension Centre responsibilities are met.

2061 The ECO/PCP is also responsible for handling the arrangements for PM reviews as applicable.

2062 Failure to control the gathering of the appropriate evidence may result in deemed errors being recorded against the official error results and failure to meet the National tolerance level set by FEMA for reporting of results for ESA, JSA, SPC and SP cases.

2063 full details of the ECO/PCP roles and responsibilities please see Part 4 ECO-PCP action.

2064 - 2069

LA Role

2070 The LA will provide information for the completion of the LA Profile Proforma. Information to be provided at least 3 weeks prior to the commencement of the PM visit to the LA.

2071 The LA Benefit Manager and Fraud Manager will meet with the PM Team Manager (and MRO), sign up to the PM Process Document, arrange accommodation and assign an LA contact for the MROs.

2072 The LA nominated contact point will arrange the completion of the PM LA Proformas. This will necessitate:

• ascertaining that the claim is live (if closed, providing screen prints where necessary to support when and why the change was made, including the date the LA actioned the change)
• providing Unacceptable Claimant Behaviour (UCB) and high risk area markings
• checking for any visiting activity
• checking any current overpayments on the sample cases
• Providing screen prints and annotating notepad (if there is one on the HB system, if not note the clerical papers) where requested/agreed with the MRO.
2073 The LA nominated contact point will also provide an overview of the HB system (in rare instances obtaining the clerical papers for the sample cases if they are not held electronically on the DIP system) and make practical arrangements in terms of accommodation etc.

2074 The LA Fraud Manager will arrange to identify any previous fraud interest or current live fraud file for sample cases by completing the appropriate form.

2075– 2084

**Information Exploitation and Security Fraud and Error Measurement (IES FEMA)**

2085 The role of FEMA includes:

- Specification of sampling and data recording and checking that it is implemented properly
- Specification of key analytical aspects of PM checking methodology
- Production of data or liaison with relevant areas e.g. FEMA, PM data teams, to ensure efficient data provision
- Calculation of all fraud, claimant and official error central estimates and margins of error at national level
- Statistical advice on margins of error for MVE/MVFE at national level
- Bi-Annual production of full national statistics reports containing national results
- Risk analysis and process weakness analysis
- Along with NAO, providing ‘seals of approval’ on figures/process
- Providing ongoing advice on alignment issues and changes needed to provide data to test alignment of benefit reviews
- Other ad-hoc analysis using fraud and error data

2086 - 2095

**Operational Excellence Division (OED)**

2096 OED is the single point of contact within the delivery business for PM and is responsible for:

- Dealing with PCPs/ECOs and liaising with PM
- Assisting JCP offices and pension centres in preparing for PM visits
- Training new PCPs/ECOs or related role
- Being involved in the arbitration process where appropriate
- Agreement of all SPC errors that exceed £15.00
PMG October 2014

- Assessing the impact of PM findings on published results
- Commenting on PM Change Requests

2097-2999