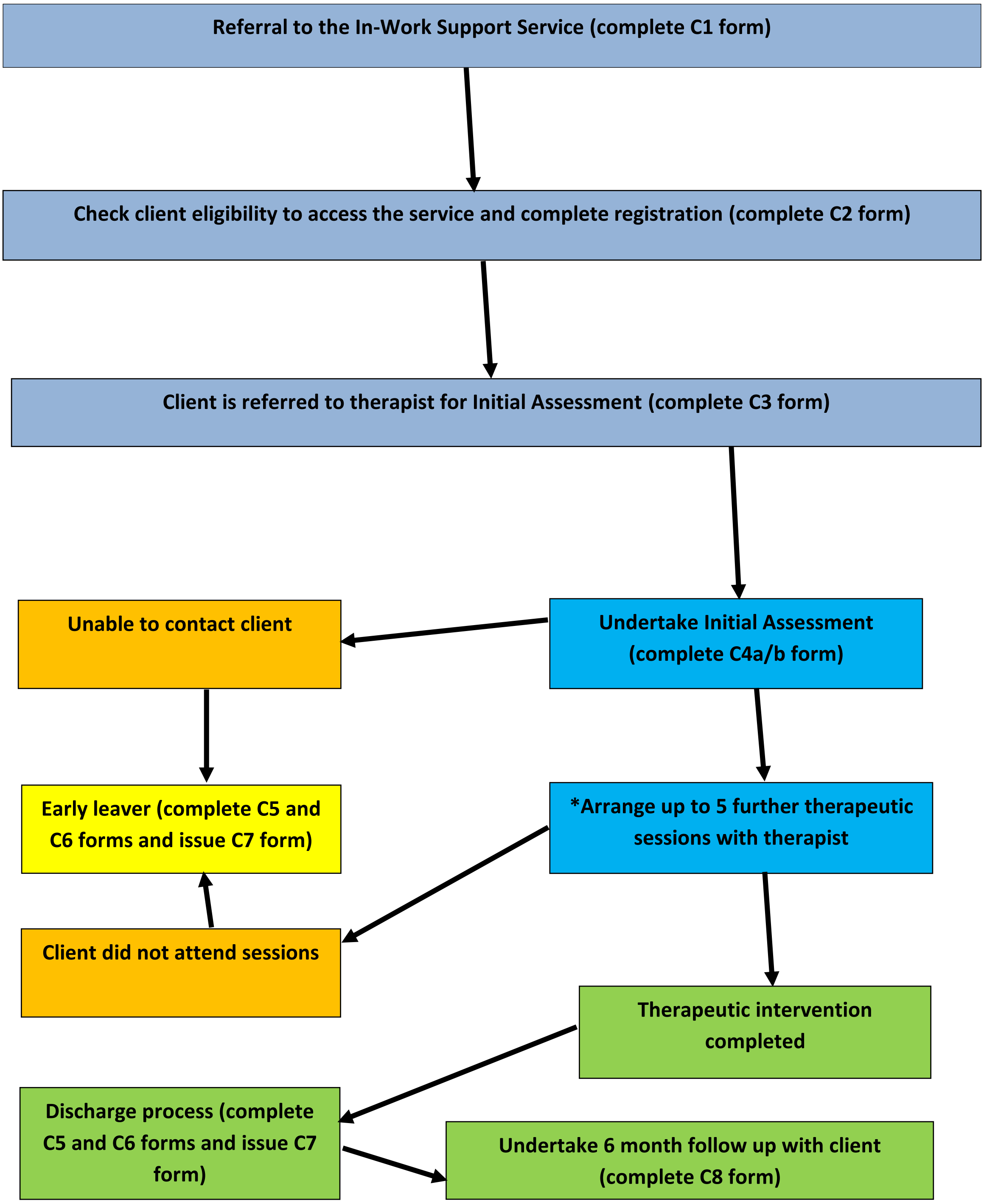
In-Work Support Service Guidance

This document provides guidance about the delivery of client and business support for the In-Work Support Service.

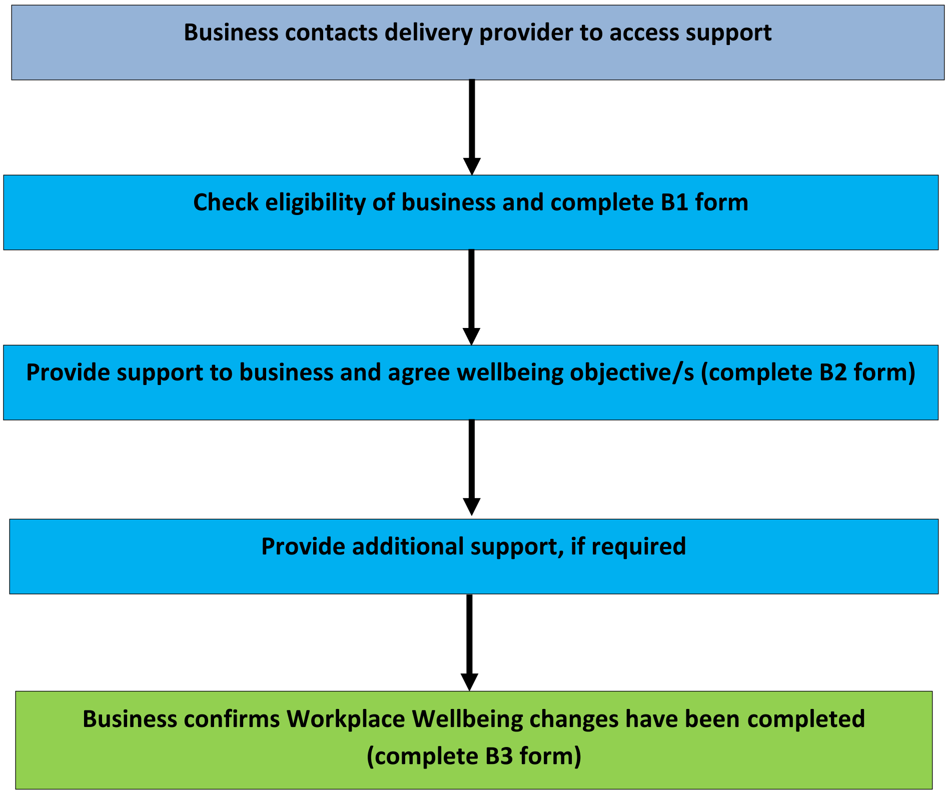
1. Client and Business Journey

1.1. The client journey, outlined below, sets out the process which must be followed from referral to discharge, and a 6 month follow up check is also undertaken:



*Additional sessions can be provided exceptionally where it is felt it would benefit the client towards their recovery.

1.2 The business journey, outlined below, sets out the process which must be followed from registration and the provision of training and support to making the Workplace Wellbeing changes. Although some Workplace Wellbeing changes can be made quickly, others may take several months for a business to complete, depending on the improvements a business may wish to make to benefit the workforce.



1.3 Clients requesting support who live in a different Lot must be signposted to the relevant delivery provider. Similarly, businesses based in a different Lot must also be signposted to the relevant delivery provider. A table showing the delivery provider in each Lot shown below:

Lot	Area	Delivery Provider
1	North Wales	Rhyl City Strategy
2	Gwent	Case UK
3	Dyfed	Rhyl City Strategy
4	Swansea Bay	Rhyl City Strategy
5	Cwm Taf	Case UK
6	Powys	Mid and North Powys Mind
7	Cardiff and Vale	Case UK

2. In-Work Support Service Documentation

Document Number	Document Name	Notes
C1	**Client Referral**	Used to refer a client into the service. Completed by delivery provider.
C2	**Client Registration**	Used to record client information and establish the eligibility of the client to be supported. Client eligibility documentation must be provided at this stage of the intervention. Form is completed by the client. Assistance may be required to help some clients complete the form. The form may be completed digitally. The name of the therapy provider must be entered after the answers to questions 1-4 have been recorded in the Referral to Intervention section. The form must be signed using a wet or digital signature. However, if a client is unable to sign the form, then a completed form must be e-mailed to the client to agree, using the e-mail address provided in C1. A copy of the e-mail sent to the client and the reply from the client must be saved in the client file. If a client asks to be supported in a GP Practice participating in the pilot, the name of the GP Practice where the support will be delivered should **also** be recorded when entering the preferred location in the Referral to intervention section. The client must be registered at a GP Practice **within the cluster.**
C3	**Therapist Referral**	Used to record the onward referral to a therapist. If using a therapist framework, additional wording is provided in the form. Completed by delivery provider. Clients must be referred to the therapy provider that they selected in the Referral to Intervention section in C2. Any changes to the therapy provider must be agreed by the client and evidenced using a written signed record / e-mail from the client and this must be retained in the client file as evidence of their agreement of the change. The client's e-mail address must match the one provided in the C1 form. Notes of telephone calls will not be accepted as evidence of the client's agreement.
C4a	**Initial Assessment**	

	Report - Mental Health Condition	Used to carry out an initial assessment of the health condition and the required therapeutic support. Completed by therapist.
C4b	**Initial Assessment Report - Physical Health Condition**	
C5	**Client Discharge Report**	Used to keep a record of each session with a client and their recovery. Completed by therapist. Records of each session provided, including correspondence with the client, must be recorded by the therapist for audit purposes. The form must be completed by therapists for all clients when they are discharged, including early leavers.
C6	**Client Outputs Report**	Used to record improvements in the health condition and how the therapeutic intervention has helped the client (columns C43-C48 in the Client Worksheet in IWS2). Completed by the therapist during the session with the client. Therapists should also complete the form for early leavers but will need to record that the session did not take place, and therefore no outputs were reported by the client at the time of discharge. **If the client did not report that outputs were achieved during the session, then the process using the C6 Annex 1 should not be used. Instead, three attempts should be made to obtain a Client Declaration (C6 with a digital or wet client signature or confirmatory e-mail) to determine if any outputs were achieved within 4 weeks of the end date.**
C6 Annex 1	**Client Outputs Report: Annex 1**	**The form should only be completed if a client informed the therapist at a session that outputs had been achieved, but the client did not reply to the e-mail request from the therapist to agree the C6 completed at the session, either by signing the form (wet or digital signature) or providing a confirmatory e-mail.** The reason the client was unable to sign the C6 will need to be explained in the Attempt 1 section in the C6 Annex 1.
C7	**Client Evaluation**	Carried out to qualitatively assess the service provided. Completed by client.
C8	**Client 6 month follow up**	Undertaken to check the sustainability of the therapeutic intervention. Early Leavers may also be contacted. Completed by project staff.

		Output data recorded using this form will be used to populate columns C49-C52i in the Client Worksheet in IWS2.
C9	**GP Client/Patient Outcomes Report**	Completed by the delivery provider where: • a client requested to receive their therapeutic support at a GP Practice participating in the pilot, as shown in C2; and • the client consented in the C2 for the delivery provider to contact their GP Practice. The form should be issued to the GP Practice where the client is registered (shown in C2) **within the cluster** if this differs from the GP Practice where the therapeutic support was delivered.
B1	**Business Enrolment Form**	Completed by business. The delivery provider may complete the form on behalf of the business, but the declaration must be signed by a person authorised to make wellbeing changes across the business. The date when the registration process for a business has been completed will be entered as the Start date in IWS2. However, a business can only be added to the list of supported businesses in IWS2 when there is appropriate evidence that a business has been supported.
B2	**Business Support Register**	Completed by delivery providers and attendees from businesses. Used to evidence the support provided to a business/es. The record must be signed by each attendee from a business. Digital records may also be used to evidence support; digitally signed B2 forms, or confirmatory e-mails from Business Representatives will be accepted as appropriate evidence.
B3	**Business Support and Workplace Wellbeing Changes Form**	Completed by either the delivery provider or the business, whichever is agreed to be the most convenient for the business. However, the declaration must be completed by a person authorised to make wellbeing changes across the business. Used to record the business objective/s of the support provided and the Workplace Wellbeing changes that were made as a result of the support provided. Support must consist of at least 1 training session, although more may be required for a business to make workplace wellbeing changes. An example of a completed B3 is provided. Records of all meetings and training provided to businesses must be retained in the relevant business file, including where applicable, originals of B2 form/s.

IWS1	**Privacy Notice**	Issued to clients and businesses during registration to ensure they are aware that their personal data is collected/shared, why it is required and their rights with respect to the data. Confirmation of this is obtained in the Client declaration in Form C2.
IWS2	**IWS Client and Business Workbook**	Completed by delivery provider and Welsh Government. The database ensures that all necessary data is recorded for reporting purposes, required for the payment of each quarterly claim. Refer to section 3 for further details.

3. In-Work Support Service Workbook

The database is used to record client and business information required to monitor progress and to gauge how the support is helping the clients and businesses supported and must be submitted on a quarterly basis using Objective Connect.

Delivery providers will need to complete worksheets 2 (Client Worksheet) and 5 (Business Worksheet). Worksheets 8 and 9 are for general information regarding the unitary authorities and delivery providers within each Lot and the timeframes for submitting claims respectively. All other worksheets will be completed by Welsh Government to raise any queries and make the necessary adjustments, following quarterly data checks and monitoring of random samples of client and business files.

It is important that the data is entered using the fields shown in each column. For example, all dates should be in the format of dd/mm/yyyy, and postcodes entered XX## #XX. The only case where data may, under certain conditions, be incomplete is in relation to indicators dealing with variables considered as sensitive (i.e. those relating to disability, migrant/ethnic status and other disadvantage). Clients have the option not to provide this information and may tick the ‘Prefer not to say’ option in the Client Registration Form (C2).

Although every effort must be made to obtain a declaration for the Client Outputs shown in columns C43 to C52, an option to enter no response has been provided to acknowledge that it may not always be possible to obtain a declaration from some clients.

4. Client Categories

Clients must be categorised as absentees or presentees. The definition for each category is listed below:

- **Absentee**

An employed or self-employed person who is on a sickness absence from work due to a mental or physical health condition.

- **Presentee**
  An employed or self-employed person who is attending work but is struggling to perform their tasks due to a mental or physical health condition and is at risk of a sickness absence.

Using the Client Referral Form (C1) and the Client Registration Form (C2) clients must self-declare if they are an absentee or a presentee and how their health condition is affecting their ability to work. Clients self-declare if they have a mental or physical health condition, during registration. Evidence of their health condition is not required and should not be requested.

Clients cannot be supported if they are already receiving support to help improve their health condition from another Welsh Government project. Similarly, businesses cannot be supported if they are already receiving wellbeing support from a Welsh Government project.

5. Eligibility

Clients

During registration when clients complete a Client Registration Form (C2), evidence must also be provided that they:

- Live in the respective Lot;
- Have a legal right to live and work in the United Kingdom; and
- Are either employed or self-employed.

A non-exhaustive list of acceptable documents is provided in the Client Registration form (C2). If a delivery provider has any doubt about the acceptability of eligibility evidence provided by a client, the In-Work Support Team should be contacted for advice.

Certified copies of originals provided must be retained in the client file and the original document returned to the client. Digital evidence, e.g. photographs of original documents may also be used and where this has been e-mailed to a delivery provider, a copy of the e-mail must be kept in the client file for audit purposes.

Clients must be supported by the delivery provider that delivers the service in the Lot where they live. Where clients live in a different Lot, they must be signposted to the relevant delivery provider for the respective Lot.

Clients must not be added to the quarterly IWS Client Workbook submitted to the Welsh Government until their eligibility has been confirmed and registration completed.

Businesses

Businesses will need to complete a Business Enrolment Form (B1) to register and access support. Evidence that the business address is located within the relevant Lot will also need to be retained in the Business file. Companies House entries or an operational website of a business may be used for this purpose. Alternative evidence may include business bank statements or business invoices. If a delivery provider has any doubt about the acceptability of eligibility evidence for a business, the In-Work Support Team should be contacted for advice.

If a business is located in a different Lot, they must be signposted to the relevant delivery provider for the respective Lot.

Eligible Business must not be added to the quarterly IWS Business Workbook until the business has been supported.

6. Start and Completion Dates

Client Start Date

The table below sets out the requirements to register a client.

Table 1: Client Registration requirements.

Client Referral form (C1)	C1 form is completed.
Suitability Assessment and Client Registration form (C2)	Suitability assessment is undertaken as part of the registration process to ensure that the support is appropriate for the needs of the individual, and the choice of therapy provider is agreed prior to the client signing the C2 Registration form.
Client signs C2	A fully complete C2 form has been received by the delivery provider and the Referral to Intervention and Client Agreement have each been signed (digital or wet signature) by the client. Alternatively, if a client was unable to provide a signature, a confirmatory e-mail from the client may be used instead. The client's e-mail address must match the e-mail address provided in C1. A copy of the e-mail sent to the client with the attached C2 must be saved in the client file together with the confirmatory e-mail reply from client.

Eligibility evidence	Appropriate evidence of eligibility has been provided and the e-mail from the person used to submit their eligibility documents has been saved in the client file. A date stamped digital document upload record may also be used to provide the audit trail for the submission of eligibility evidence. Certified copies of original eligibility documents are also acceptable.

The client may be added to the IWS2 workbook when the requirements in Table 1 have been completed. The start date should be the date when the conditions set out in Table 1 have all been met.

All registered clients should be referred to the therapy provider entered in C2 within 5 days of the start date.

Client Completion Date

The client completion date is the date when the therapist discharges the client from therapeutic support, or in the case of early leavers, when the therapist decides to close the case due to a lack of engagement from the client.

The completion date entered in the IWS2 workbook should match the date when the therapist completed and signed the C5 Discharge Report.

Business Start Date

The table below sets out the requirements to register a business.

Table 2: Business Registration requirements.

Business Registration form (B1)	A fully completed Business Registration B1 form has been received by the delivery provider which has been signed (digital or wet signature) by the business representative. A completed form may be returned as an e-mail attachment using the e-mail address provided in the B1 form, but only when the business representative is unable to provide a digital or wet signature.

Registered address of the business	Appropriate evidence of the registered address of the business has been provided, e.g. Companies House record, an entry in the Charity Commissioners Register of Charities, a business website, business bank statements, invoices etc.

The start date recorded for a business is the date when the conditions in Table 2 have been met.

A business should only be added to IWS2 when there is appropriate evidence that the business has been supported.

Business Completion Date

The delivery provider should continue to engage with each supported business and determine an appropriate end date with the business, based on the training requirements of the business. Additional support should not be continued if sufficient support has already been provided to implement Workplace Wellbeing changes.

7. Outputs

Achievement against outputs is self-declared by clients and must be recorded in the Client Outputs Report (C6).

The following outputs must be achieved and reported within 4 weeks of the completion date entered in the IWS Client Workbook (IWS2):

- Absentees returned to work after a period of sickness absence of at least 4 weeks
- Absentees returned to work after a period of sickness absence of less than 4 weeks
- Improved health condition *(Responses must be collected for all clients but only those for presentes will be used to measure achievement against the target in the specification*
- Soft Outcome: Improvement in employment situation
- Soft Outcome: Support helped client to remain in work
- Soft Outcome: Support helped to improve client's ability to work

The period of sickness absence for absentees is defined as the date a client started a sickness absence from work, which must be no later than the registration date, and ends when an absentee notifies a therapist or a delivery partner of a return to work, either by e-mail or by signing the Client Outcomes Report (C6). All dates are self declared by clients and do not need to be evidenced.

The C6 Client Outputs Report should be completed by the therapist during the session with the client.

Therapists should also complete the form for early leavers but will need to record that the session did not take place and therefore no outputs were reported by the client at the time of discharge.

The start date entered in the form should match the start date entered in C3, i.e. the date when the client registered.

The end date is the date the client was discharged by the therapist. This will either be the date of the last session, or for an early leaver, the date the therapist decided to close the case, due to a lack of engagement by the client.

If any outcomes were reported by the client during the session, these should be recorded in the form by the therapist at the session.

The therapist should sign and date the form at the session.

The process then used to evidence the achievment of Client Outcomes depends on whether the client was supported at an in-person or a remotely delivered session/s as shown below:

7.1 Client Support Delivered in-person.

*Client **informs therapist** at an in-person therapeutic session that outcomes have been achieved.*

At the therapeutic session, the therapist:

- Completes form C5 based on the discussion with the client and the therapist signs the C5.
- The therapist discusses the relevant outcomes as set out in form C6 and completes the form recording the outcomes achieved by the client.
- The Client then signs form C6.
- The therapist signs form C6 and e-mails the signed forms to the delivery provider.

Signatures using electronic devices will be accepted if this is more convenient for the client. A PDF copy of the electronic signed C6 should be saved by the therapist and sent to the delivery provider with the C5. These documents will also be accepted as a Client Declaration.

Upon receipt of the forms from the therapist, the delivery provider should:

- Check each form for completeness and accuracy and resolve any queries with the therapist.
- Upon completion the outcomes can then be added to IWS2.

- A copy of the e-mail from the therapist with the attached completed C5 and C6 must be saved in the client file.

7.2 Client Support Delivered remotely.

*Client **informs therapist** at a remotely delivered therapeutic session that outcomes have been achieved.*

At the therapeutic session, the therapist:

- Completes form C5 based on the discussion with the client and the therapist signs the form.
- The therapist discusses the relevant outcomes as set out in form C6 and completes the form recording the outcomes which the client states have been achieved.
- The therapist then e-mails a copy of the completed C6 to the client asking for the client to agree that the outcomes recorded in the attached C6 are correct. The completed C6 must be attached to the e-mail. This is required to clearly show which outputs the client said had been achieved at the session.
- The therapist should then receive a confirmatory e-mail from the client. The client may attach the completed C6 in their e-mail reply and confirm that it is correct, or state in their reply which outcomes in the C6 have been achieved, if it is more convenient for the client not to attach the completed C6 when they reply.
- A copy of the e-mail sent to the client, with the attached C6, and the reply from the client, together with the C5 signed by the therapist, should then be sent to the delivery provider. These documents will be accepted as a Client Declaration.

Signatures provided using electronic devices will be accepted if this is more convenient for the client. A PDF copy of the electronic signed C6 should be saved by the therapist and sent to the delivery provider with the C5. These documents will also be accepted as a Client Declaration.

Upon receipt of the forms from the therapist, the delivery provider should:

- Check each form for completeness and accuracy and resolve any queries with the therapist.
- If the forms have been completed correctly the outcomes can then be added to IWS2.
- A copy of the e-mail with the attached C5 and C6 from the therapist must be saved in the client file.
- A copy of the e-mail reply from the client with the completed C6 attached confirming that the C6 is correct must be saved in the client file.

An e-mail reply in which the client states which outcomes have been achieved is also acceptable. A copy of this e-mail must be saved in the client file.

7.3 Client Outputs Report C6: Annex 1

The process using Annex 1 can only be used if a client informed their therapist at the therapeutic session that outputs had been achieved, but the client did not reply to the e-mail request from their therapist to digitally sign or agree the C6 by e-mail.

The first attempt to obtain a Client Declaration must always be undertaken by the therapist using the processes set out in sections 7.1 and 7.2, but if the client did not reply to the e-mail from the therapist, two further attempts should be undertaken by IWS Project Staff at the delivery provider, to obtain a Client Declaration. Evidence of these attempts must be recorded in the C6 Client Outputs Report C6: Annex 1.

The third attempt must always be e-mailed to the client and include the following statement:

'Please find attached the Client Outputs Report, for information following your final session with the therapist on (dd/mm/yyyy), if we do not hear from you within 10 working days, we will take it that you are content that the information detailed is accurate and true.'

The Client Outcomes recorded in the C6 which the therapist signed at the session may then be claimed.

Further details about completing the C6 Annex 1 are shown below:

Client Authorisation

Date client authorised therapist to complete the Client Outputs Report (C6) on their behalf.	**Date**: dd/mm/yyyy [Enter date the C2 was signed by the client]

Prior to reporting achievement of outputs using a therapist declaration, an explanation must be provided in the box below, setting out why it has not been possible to obtain a self-declaration (wet or digital signature or e-mail) from the client. Please describe the **three** attempts made to obtain a self-declaration from the client.

All e-mails and correspondence relating to the attempts to obtain a self-declaration from the client, as set out in the explanation box below, must also be kept in the registered client file.

Explanation: **Attempt 1:** [This must always be the e-mail attempt made by the therapist after the discussion with the client at the therapeutic session]

The reason the client was unable to sign or agree the C6, using the processes in sections 7.1 and 7.2, should be entered, e.g. confirmation of the date the therapist e-mailed a copy of the completed C6 to the client, but has not responded. [A copy of the e-mail from the therapist to the client must be saved in the client file for the audit trail]. Date completed: [The date when the therapist e-mailed the client] Name: [Name of therapist who requested the Client Declaration] **Attempt 2:** [The date the e-mail, hard copy or digital correspondence was sent to the client to obtain a Client Declaration or e-mail confirmation and state the type of correspondence used, i.e. e-mail or request for a digital or wet signature.] Date completed: [The date of the second attempt] Name: [Name of the member of IWS Project Staff who requested the Client Declaration] **Attempt 3:** [The date the e-mail was sent to the client to obtain a Client Declaration] Please find attached the Client Outputs Report, for information following your final session with the therapist on (dd/mm/yyyy), if we do not hear from you within 10 working days, we will take it that you are content that the information detailed is accurate and true.'] Date completed: [The date of the third attempt] Name: [The name of the member of IWS Project Staff who requested the Client Declaration]

The completed C6 Annex 1 must be signed and dated by a member of IWS Project Staff at the delivery provider.

If the client did not report that outputs were achieved during the therapeutic session with the therapist, then the process using the C6 Annex 1 should not be used. Instead, three attempts should be made to obtain a Client Declaration (C6 with a digital or wet client signature or confirmatory e-mail) to determine if any outputs were achieved within 4 weeks of the end date.

8. 6-month follow-up

A Client 6 month follow up (C8) must be completed for all clients to help determine the sustainability of the therapeutic intervention, in terms of their health condition and employment.

9. Publicity Requirements

- Welsh Government Publicity Requirements

A copy of the Welsh Government Brand guidelines is attached.

Welsh Government Brand Guidelines 2024

- Welsh Government Publicity Logos

A Welsh Government Logo and the Healthy Working Wales In-Work Support Logo must be displayed on all marketing and publicity materials. A copy of each logo is attached below:

WG_Funded_land_mono png.png

WG_Funded_land_white png.png

WG_Funded_land_mono jpg.jpg

Healthy Working Wales logo_in work