
DRAFT STATUTORY INSTRUMENTS

2013 No.

The Universal Credit (Transitional Provisions) Regulations 2013

PART 3

EFFECT OF TRANSITION TO UNIVERSAL CREDIT

CHAPTER 1

ENTITLEMENT TO EXISTING BENEFITS

Exclusion of entitlement to existing benefits

15.—(1) A person is not entitled to any benefit mentioned in paragraph (2) at any time when they are entitled to universal credit.

(2) The benefits are—

- (a) income support under section 124 of the Social Security Contributions and Benefits Act 1992;
- (b) housing benefit under section 130 of that Act;
- (c) tax credits;
- (d) state pension credit.

(3) A person who is entitled to universal credit may not make a claim for any benefit mentioned in paragraph (2)(a) to (c), even if, because of any of the provisions mentioned in paragraph (4), the claim is made or treated as made at a time when the person was not entitled to universal credit.

(4) The provisions are—

- (a) regulation 6(1A)(b), (1F)(c), (3), (4ZC)(b), (16), (19), (28) or (30) of the Social Security (Claims and Payments) Regulations 1987(1) (“the 1987 Regulations”);
- (b) regulation 83(5) or (12) of the Housing Benefit Regulations 2006(2) (“the 2006 Regulations”);
- (c) regulation 64(6) of the Housing Benefit (Persons who have attained the qualifying age for state pension credit) Regulations 2006(3) (“the 2006 (SPC) Regulations”);
- (d) regulation 7, 8, 11(3) or 12(6) of the Tax Credits (Claims and Notifications) Regulations 2002(4) (“the 2002 Regulations”).

(1) [S.I. 1987/1968](#). Para (1A) of reg 6 was inserted by [S.I. 1997/793](#) and sub-para (b) was amended by [S.I. 2009/1490](#); para (1F) was substituted by [S.I.2009/1490](#); para (3) was inserted by [S.I. 1988/522](#) and amended by [S.I. 1988/1725](#), [1991/2284](#), [1997/793](#) and [1999/2572](#); para (4ZC) was inserted by [S.I. 2000/1982](#) and sub-para (b) was amended by [S.I. 2009/1490](#); para (16) was substituted by [S.I. 2000/1596](#); para (19) was substituted by [S.I. 2000/1596](#) and amended by [S.I. 2002/428](#), [2006/2377](#) and [2007/2470](#); para (28) was amended by [S.I. 2003/455](#); para (30) was inserted by [S.I. 2002/428](#) and amended by [S.I. 2007/2470](#).

(2) [S.I. 2006/213](#). Reg 83(5) has been amended by [S.I. 2007/ 2911](#), [2008/2299](#) and [2008/1082](#).

(3) [S.I. 2006/214](#). Reg 64(6) has been amended by [S.I. 2007/2911](#) and [2008/2299](#).

(4) [S.I. 2002/2014](#). Reg 7 has been amended by [S.I. 2003/723](#), [2009/2887](#) and [2012/848](#); reg 8 was substituted by [S.I. 2009/697](#) and has been amended by [S.I. 2009/2887](#) and [2012/848](#); reg 11(3) was substituted by [S.I. 2008/604](#) and has been amended by [S.I. 2009/697](#) and [2010/751](#).

- (5) For the purposes of paragraph (3)—
- (a) the date on which a claim for income support is made or treated as made is to be determined in accordance with the 1987 Regulations;
 - (b) the date on which a claim for housing benefit is made or treated as made is to be determined in accordance with the 2006 Regulations or, as the case may be, the 2006 (SPC) Regulations;
 - (c) the date on which a claim for a tax credit is made or treated as made is to be the date on which the claim is received by a relevant authority at an appropriate office, within the meaning of the 2002 Regulations, or such other date on which it is treated as made under those Regulations.

Termination of awards of existing benefits

16.—(1) This regulation applies where—

- (a) a person (“A”) to whom an award of universal credit was made as a single claimant ceases to be entitled as such by becoming a member of a couple;
- (b) the other member of the couple (“B”) was not entitled to universal credit as a single claimant immediately before formation of the couple; and
- (c) an award of universal credit is made to the members of the couple jointly⁽⁵⁾.

(2) In these Regulations, B is referred to as “the new claimant partner”.

(3) Where this regulation applies, all awards of an existing benefit to which the new claimant partner is entitled which did not terminate on formation of the couple are to terminate, by virtue of this regulation, on the day before the first date on which the joint claimants are entitled to universal credit.

(4) Where the new claimant partner was, immediately before forming a couple with A, treated by regulation 8 as being entitled to a tax credit, the new claimant partner is to be treated, for the purposes of the Tax Credits Act 2002, as having made a claim for the tax credit in question for the current tax year.

(5) Any award of a tax credit which is made in respect of a claim which is treated as having been made by virtue of paragraph (4) is to terminate, by virtue of this regulation, on the day before the first date on which the joint claimants are entitled to universal credit.

Finalisation of tax credits and modification of tax credits legislation

17.—(1) This regulation applies where an award of universal credit is made to a person who was previously entitled to a tax credit and the award of that tax credit terminated at any time during the tax year in which the award of universal credit is made.

(2) Where this regulation applies—

- (a) the Tax Credits Act 2002 (“the 2002 Act”) is to apply in relation to the person with the modifications made by paragraphs 9, 10, 13 and 14 of the Schedule to these Regulations; and
- (b) subject to paragraph (3), the amount of the tax credit to which the person is entitled is to be calculated in accordance with the 2002 Act and regulations made under that Act, as modified by the other provisions of that Schedule (“the legislation as further modified”).

(3) Where, in the opinion of the Commissioners of Her Majesty’s Revenue and Customs, it is not reasonably practicable to apply the legislation as further modified in relation to any case or category

(5) See reg 9(8) of the Claims and Payments Regulations and reg 3(4) of these Regulations.

of cases, the 2002 Act is to apply without further modification, and regulations made under that Act are to apply without modification, in that case or category of cases.

Ongoing appeals etc

18.—(1) This regulation applies where—

- (a) a new claimant partner to whom an award of universal credit has been made appealed against a decision relating to entitlement to an existing benefit; and
- (b) the appeal to the First-tier Tribunal, or any subsequent appeal to the Upper Tribunal or a court, was ongoing at the date on which the award of universal credit was made, or a further appeal (by any party) was made after that date.

(2) This regulation also applies where—

- (a) a new claimant partner to whom an award of universal credit has been made applied—
 - (i) to the Secretary of State to consider whether to revise, under section 9 of the Social Security Act 1998, or to supersede, under section 10 of that Act, a decision relating to the new claimant partner’s entitlement to jobseeker’s allowance, employment and support allowance or income support; or
 - (ii) to the relevant authority (within the meaning of the Child Support, Pensions and Social Security Act 2000) to consider whether to revise or supersede, under Schedule 7 to that Act, a decision relating to the new claimant partner’s entitlement to housing benefit,

and that application is pending at the date on which the award of universal credit was made; or

- (b) the Secretary of State or, as the case may be, a relevant authority mentioned in subparagraph (a)(ii), is considering whether to revise or supersede such a decision on their own initiative.

(3) Where this regulation applies, and the new claimant partner is still entitled to universal credit when the appeal is finally determined or a decision is revised or superseded—

- (a) any entitlement to an existing benefit arising from the appeal, or from the decision as revised or superseded, is to terminate, by virtue of this regulation, on the day before the first date of entitlement to universal credit;
- (b) the new claimant partner is not entitled to any payment in respect of an existing benefit for any period after the day before the first date of entitlement to universal credit; and
- (c) the Secretary of State is to consider whether it is appropriate to revise under section 9 of the 1998 Act the decision in relation to entitlement to universal credit or, if that decision has been superseded under section 10 of that Act, the decision as so superseded (in either case, “the UC decision”).

(4) Where it appears to the Secretary of State to be appropriate to revise the UC decision, it is to be revised in such manner as appears to the Secretary of State to be necessary to take account of—

- (a) the decision of the First-tier Tribunal, Upper Tribunal, or court or, as the case may be, the decision relating to entitlement to an existing benefit, as revised or superseded by the Secretary of State or relevant authority; and
- (b) any finding of fact by the Tribunal, Upper Tribunal, or court.

CHAPTER 2

TRANSITION FROM EXISTING BENEFITS TO UNIVERSAL CREDIT

Advance payments of universal credit

19.—(1) This regulation applies where—

- (a) the Secretary of State is deciding a claim for universal credit, other than a claim which is treated as having been made by virtue of regulation 9(8) of the Claims and Payments Regulations;
- (b) the claimant was previously entitled to an existing benefit (“the existing award”); and
- (c) the claim for universal credit was made during the period of one month starting with the date on which the existing award terminated.

(2) This regulation also applies where—

- (a) the Secretary of State is deciding a claim for universal credit which is treated as having been made by virtue of regulation 9(8) of the Claims and Payments Regulations;
- (b) one of the claimants is a new claimant partner who was previously entitled to an existing benefit; and
- (c) the award of that benefit terminated on formation of the couple, or by virtue of regulation 16.

(3) Where this regulation applies, the claimant may request an advance payment of universal credit at any time during the first assessment period for universal credit and, in the case of joint claimants, such a request may be made by either of them or by them jointly.

(4) Where a request has been made in accordance with this regulation, the Secretary of State may make an advance payment to the claimant, or joint claimants, of such amount in respect of universal credit as the Secretary of State considers appropriate.

(5) After an advance payment has been made under this regulation, payments of any award of universal credit to the claimant, or joint claimants, may be reduced until the amount of the advance payment is repaid.

Benefit Cap

20. Part 7 of the Universal Credit Regulations (The Benefit Cap) does not apply to a person who was permitted to claim universal credit by these Regulations (including a person to whom regulation 13(4)(a) applies), or to a person to whom an award of universal credit has been made without a claim in accordance with these Regulations.

Income from existing benefits

21.—(1) This regulation applies where—

- (a) an award of universal credit is made to joint claimants;
- (b) one of those claimants is a new claimant partner who was previously entitled to income-based jobseeker’s allowance, income-related employment and support allowance, or income support under section 124 of the Social Security Contributions and Benefits Act 1992 (“the relevant existing benefit”);
- (c) the award of the relevant existing benefit terminated on formation of the couple, or by virtue of regulation 16; and
- (d) a payment of that benefit is made which includes payment in respect of a period which falls within one or more assessment periods for universal credit (“the overlapping payment”).

(2) Where this regulation applies, for the purposes of calculating the amount of the award of universal credit to the joint claimants in respect of an assessment period—

- (a) regulation 66 of the Universal Credit Regulations (What is included in unearned income?) applies as if the overlapping payment which was made in respect of that assessment period were added to the descriptions of unearned income in paragraph (1)(b) of that regulation; and
- (b) regulation 73 of the Universal Credit Regulations (Unearned income calculated monthly) does not apply to the overlapping payment.

Deductions from benefits

22.—(1) This regulation applies where—

- (a) an award of universal credit is made to joint claimants;
- (b) one of those claimants is a new claimant partner who was previously entitled to income-based jobseeker’s allowance, income-related employment and support allowance or income support (“the earlier award”), or was, immediately before termination of the award, the partner of a person who was so entitled;
- (c) the earlier award terminated by virtue of regulation 16; and
- (d) at the time at which the earlier award terminated, deductions in respect of fuel costs or water charges were being made under regulation 35 of the Social Security (Claims and Payments) Regulations 1987, in accordance with Schedule 9 to those Regulations(6).

(2) Where this regulation applies, deductions in respect of fuel costs or, as the case may be, water charges, may be made from the award of universal credit in accordance with Schedule 6 to the Claims and Payments Regulations, without the need for any consent which would otherwise be required under paragraph 3(3) of that Schedule.

Transition from employment and support allowance

23.—(1) This regulation applies where—

- (a) an award of universal credit is made to joint claimants;
- (b) one of the claimants is a new claimant partner;
- (c) that person was previously entitled to employment and support allowance; and
- (d) the award of employment and support allowance—
 - (i) terminated on formation of the couple or by virtue of regulation 16, in so far as it was an award of income-related employment and support allowance;
 - (ii) continued in existence as an award of new style ESA, in so far as it was an award of contributory employment and support allowance.

(2) In this regulation, the “relevant date” means—

- (a) in relation to an award to which paragraph (1)(d)(i) applies and paragraph (1)(d)(ii) does not apply, the date on which the award terminated; and
- (b) in relation to an award to which paragraph (1)(d)(ii) applies, or to which that paragraph and paragraph (1)(d)(i) both apply, the day before the first date of entitlement to universal credit.

(3) Where, on or before the relevant date, it had been determined that the new claimant partner was entitled to the work-related activity component—

(6) S.I. 1987/1968. Reg 35 was substituted by S.I. 1988/522, amended by S.I. 2001/18 and 2002/2441 and partially revoked by S.I. 2003/492.

- (a) regulation 27(3) of the Universal Credit Regulations (Award to include LCW and LCWRA elements) does not apply; and
 - (b) the new claimant partner is to be treated as having limited capability for work for the purposes of regulation 27(1)(a) of those Regulations and section 21(1)(a) of the Act.
- (4) Unless the assessment phase had not ended at the relevant date⁽⁷⁾, if a new claimant partner who is treated as having limited capability for work under paragraph (3) is entitled to an award of universal credit as a joint claimant—
- (a) regulation 28 of the Universal Credit Regulations (Period for which the LCW or LCWRA element is not to be included) does not apply; and
 - (b) the LCW element is (subject to the provisions of Part 4 of the Universal Credit Regulations) to be included in the award with effect from the beginning of the first assessment period.
- (5) Where, on or before the relevant date, it had been determined that the new claimant partner was entitled to the support component—
- (a) regulation 27(3) of the Universal Credit Regulations does not apply; and
 - (b) the new claimant partner is to be treated as having limited capability for work and work-related activity for the purposes of regulation 27(1)(b) of those Regulations and section 19(2)(a) of the Act.
- (6) Unless the assessment phase had not ended at the relevant date, if a new claimant partner who is treated as having limited capability for work and work-related activity under paragraph (5) is entitled to an award of universal credit—
- (a) regulation 28 of the Universal Credit Regulations does not apply; and
 - (b) the LCWRA element is (subject to the provisions of Part 4 of the Universal Credit Regulations) to be included in the award of universal credit with effect from the beginning of the first assessment period.
- (7) Where a person is treated, by virtue of this regulation, as having limited capability for work or, as the case may be, limited capability for work and work-related activity, the Secretary of State may at any time make a fresh determination as to these matters, in accordance with the Universal Credit Regulations.
- (8) In this regulation and in regulations 24 to 28—
- “assessment phase”, “support component” and “work-related activity component” have the same meanings as in the 2007 Act⁽⁸⁾;
 - “incapacity benefit” and “severe disablement allowance” have the same meanings as in Schedule 4 to that Act;
 - “LCW element” and “LCWRA element” have the same meanings as in the Universal Credit Regulations⁽⁹⁾.

Transition from employment and support allowance before the end of the assessment phase

24.—(1) This regulation applies where—

- (a) an award of universal credit is made to joint claimants;
- (b) one of the claimants is a new claimant partner;
- (c) that person was previously entitled to employment and support allowance; and

⁽⁷⁾ In which case, *see* reg 24(3).

⁽⁸⁾ *See* ss.4 and 24(2).

⁽⁹⁾ *See* reg 27.

- (d) the award of employment and support allowance—
 - (i) terminated on formation of the couple or by virtue of regulation 16, in so far as it was an award of income-related employment and support allowance;
 - (ii) continued in existence as an award of new style ESA, in so far as it was an award of contributory employment and support allowance.
- (2) In this regulation, the “relevant date” means—
 - (a) in relation to an award to which paragraph (1)(d)(i) applies and paragraph (1)(d)(ii) does not apply, the date on which the award terminated; and
 - (b) in relation to an award to which paragraph (1)(d)(ii) applies, or to which that paragraph and paragraph (1)(d)(i) both apply, the day before the first date of entitlement to universal credit.
- (3) Where, on the relevant date, the assessment phase(10) in relation to the person to whom it was awarded had lasted for less than 13 weeks—
 - (a) regulation 28(2) of the Universal Credit Regulations (Period for which the LCW or LCWRA element is not to be included) does not apply; and
 - (b) for the purposes of regulation 28 of those Regulations, the relevant period is the period of 13 weeks starting with the first day of the assessment phase.
- (4) Where, on the relevant date, the assessment phase in relation to the person to whom it was awarded had not ended and had lasted for more than 13 weeks—
 - (a) regulation 28 of the Universal Credit Regulations does not apply;
 - (b) if it is subsequently determined in accordance with Part 5 of those Regulations that the person has limited capability for work—
 - (i) the LCW element is (subject to the provisions of Part 4 of those Regulations) to be included in the award of universal credit with effect from the beginning of the first assessment period; and
 - (ii) for the purposes of determining the person’s entitlement to employment and support allowance prior to the relevant date, the person is to be treated as having been entitled to the work-related activity component from the day after the day on which the period referred to in paragraph (3)(b) ended;
 - (c) if it is subsequently determined in accordance with Part 5 of the Universal Credit Regulations that the person has limited capability for work and work-related activity—
 - (i) the LCWRA element is (subject to the provisions of Part 4 of those Regulations) to be included in the award of universal credit with effect from the beginning of the first assessment period; and
 - (ii) for the purposes of determining the person’s entitlement to employment and support allowance prior to the relevant date, the person is to be treated as having been entitled to the support component from the day after the day on which the period referred to in paragraph (3)(b) ended.

Transition from income support based on incapacity

- 25.—**(1) This regulation applies where—
- (a) an award of universal credit is made to joint claimants;
 - (b) one member of the couple is a new claimant partner; and

(10) See reg 23(8).

- (c) that person was previously entitled to income support based on incapacity and the award of that benefit terminated on formation of the couple or by virtue of regulation 16.
- (2) Where this regulation applies—
- (a) if it is determined in accordance with Part 5 of the Universal Credit Regulations that the new claimant partner has limited capability for work—
- (i) that person is to be treated as having had limited capability for work for the purposes of regulation 27(1)(a) of the Universal Credit Regulations (Award to include LCW and LCWRA elements) from the beginning of the first assessment period;
 - (ii) regulation 28 of those Regulations (Period for which the LCW or LCWRA element is not to be included) does not apply to the joint award of universal credit; and
 - (iii) the LCW element⁽¹¹⁾ is (subject to the provisions of Part 4 of the Universal Credit Regulations) to be included in the award with effect from the beginning of the first assessment period;
- (b) if it is determined in accordance with Part 5 of the Universal Credit Regulations that the new claimant partner has limited capability for work and work-related activity—
- (i) that person is to be treated as having had limited capability for work and work-related activity for the purposes of regulation 27(1)(b) of the Universal Credit Regulations from the beginning of the first assessment period;
 - (ii) regulation 28 of those Regulations does not apply to the joint award of universal credit; and
 - (iii) the LCWRA element is (subject to the provisions of Part 4 of the Universal Credit Regulations) to be included in the award of universal credit with effect from the beginning of the first assessment period.
- (3) In this regulation—
- “income support based on incapacity” means an award of income support which is an “existing award” within the meaning of Schedule 4 to the 2007 Act;

Transition from other incapacity benefits

- 26.**—(1) This regulation applies where—
- (a) an award of universal credit is made to joint claimants;
 - (b) one member of the couple is a new claimant partner;
 - (c) that person was entitled to incapacity benefit or severe disablement allowance⁽¹²⁾ at the time the award of universal credit was made; and
 - (d) it is subsequently determined in accordance with the Employment and Support Allowance (Transitional Provisions, Housing Benefit and Council Tax Benefit) (Existing Awards) (No.2) Regulations 2010⁽¹³⁾ that the award qualifies for conversion into an award (“the converted award”) in accordance with regulation 7 of those Regulations (Qualifying for conversion).
- (2) Where this regulation applies, and the converted award includes the work-related activity component—
- (a) regulation 27(3) of the Universal Credit Regulations (Award to include LCW and LCWRA elements) does not apply and, where a decision on the award of universal

⁽¹¹⁾ See reg 23(8).

⁽¹²⁾ See reg 23(8)..

⁽¹³⁾ S.I. 2010/1907, amended by S.I. 2010/2430, 2011/2425 and 2012/913.

- credit incorporates a determination which has already been made in accordance with that regulation, that decision is to be revised in accordance with this regulation;
- (b) the new claimant partner is to be treated as having had limited capability for work for the purposes of regulation 27(1)(a) of the Universal Credit Regulations from the beginning of the first assessment period;
 - (c) regulation 28(1) of the Universal Credit Regulations (Period for which LCW or LCWRA element is not to be included) does not apply;
 - (d) the LCW element is (subject to the provisions of Part 4 of the Universal Credit Regulations) to be included in the award of universal credit with effect from the beginning of the first assessment period; and
 - (e) the new claimant partner is to be treated as having limited capability for work for the purposes of section 21(1)(a) of the Act.
- (3) Where this regulation applies and the converted award includes the support component—
- (a) regulation 27(3) of the Universal Credit Regulations does not apply and, where a decision on the award of universal credit incorporates a determination which has already been made in accordance with that regulation, that decision is to be revised in accordance with this regulation;
 - (b) the new claimant partner is to be treated as having had limited capability for work and work-related activity for the purposes of regulation 27(1)(b) of the Universal Credit Regulations from the beginning of the first assessment period;
 - (c) regulation 28(1) of the Universal Credit Regulations does not apply;
 - (d) the LCWRA element is (subject to the provisions of Part 4 of the Universal Credit Regulations) to be included in the award of universal credit with effect from the beginning of the first assessment period; and
 - (e) the new claimant partner is to be treated as having limited capability for work and work-related activity for the purposes of section 19(2)(a) of the Act.

Transition from other incapacity benefits: claimants approaching pensionable age

27.—(1) This paragraph applies where—

- (a) an award of universal credit is made to joint claimants;
- (b) one member of the couple is a new claimant partner;
- (c) that person is entitled to incapacity benefit or severe disablement allowance⁽¹⁴⁾;
- (d) no notice may be issued to the new claimant partner under the Employment and Support Allowance (Transitional Provisions, Housing Benefit and Council Tax Benefit) (Existing Awards) (No.2) Regulations 2010 (“the 2010 Regulations”) because they will reach pensionable age (within the meaning of those Regulations) before 6th April 2014⁽¹⁵⁾; and
- (e) the new claimant partner is also entitled to—
 - (i) personal independence payment, where neither the daily living component nor the mobility component is payable at the enhanced rate⁽¹⁶⁾;
 - (ii) disability living allowance under section 71 of the Social Security Contributions and Benefits Act 1992 (“the 1992 Act”), where the care component is payable at the middle rate within the meaning of section 72(4) of that Act or the mobility

⁽¹⁴⁾ See reg 23(8).

⁽¹⁵⁾ See S.I. 2010/1907, reg 4(5)(a).

⁽¹⁶⁾ See the Act, ss. 78-80.

component is payable at the lower rate within the meaning of section 73(11) of that Act (or both components are payable at those rates); or

(iii) attendance allowance under section 64 of the 1992 Act, where the allowance is payable at the lower rate in accordance with section 65 of that Act.

(2) Where paragraph (1) applies—

- (a) regulation 27(3) of the Universal Credit Regulations (Award to include LCW and LCWRA elements) does not apply;
- (b) the new claimant partner is to be treated as having limited capability for work for the purposes of regulation 27(1)(a) of the Universal Credit Regulations from the beginning of the first assessment period;
- (c) regulation 28(1) of the Universal Credit Regulations (Period for which LCW or LCWRA element is not to be included) does not apply;
- (d) the LCW element is (subject to the provisions of Part 4 of the Universal Credit Regulations) to be included in the award of universal credit with effect from the beginning of the first assessment period; and
- (e) the new claimant partner is to be treated as having limited capability for work for the purposes of section 21(1)(a) of the Act.

(3) This paragraph applies where—

- (a) an award of universal credit is made to joint claimants;
- (b) one member of the couple is a new claimant partner;
- (c) that person is entitled to incapacity benefit or severe disablement allowance;
- (d) no notice may be issued to the new claimant partner under the 2010 Regulations because they will reach pensionable age (within the meaning of those Regulations) before 6th April 2014; and
- (e) the new claimant partner is also entitled to—
 - (i) personal independence payment, where either the daily living component or the mobility component is (or both components are) payable at the enhanced rate;
 - (ii) disability living allowance under section 71 of the 1992 Act, where the care component is payable at the highest rate within the meaning of section 72(4) of that Act or the mobility component is payable at the higher rate within the meaning of section 73(11) of that Act (or both components are payable at those rates); or
 - (iii) attendance allowance under section 64 of the 1992 Act, where the allowance is payable at the higher rate in accordance with section 65 of that Act.

(4) Where paragraph (3) applies—

- (a) regulation 27(3) of the Universal Credit Regulations does not apply;
- (b) the new claimant partner is to be treated as having limited capability for work and work-related activity for the purposes of regulation 27(1)(b) of the Universal Credit Regulations from the beginning of the first assessment period;
- (c) regulation 28(1) of the Universal Credit Regulations does not apply;
- (d) the LCWRA element is (subject to the provisions of Part 4 of the Universal Credit Regulations) to be included in the award of universal credit with effect from the beginning of the first assessment period; and
- (e) the new claimant partner is to be treated as having limited capability for work and work-related activity for the purposes of section 19(2)(a) of the Act.

Transition from other incapacity benefits: supplementary

28.—(1) Where an award of universal credit is made to a person who is entitled to incapacity benefit or severe disablement allowance(17), regulation 66 of the Universal Credit Regulations (What is included in unearned income?) applies to that person as if incapacity benefit or, as the case may be, severe disablement allowance were added to the descriptions of unearned income in paragraph (1)(b) of that regulation.

(2) For the purposes of regulations 26 and 27 and this regulation only, incapacity benefit and severe disablement allowance are prescribed benefits under paragraph 1(2)(b) of Schedule 6 to the Act.

Support for housing costs

29.—(1) Paragraph (2) applies where—

- (a) an award of universal credit (“the current award”) is made—
 - (i) to a person who was previously entitled to income-based jobseeker’s allowance, income-related employment and support allowance or income support (“the earlier award”); or
 - (ii) to a person who was the partner of a person falling within paragraph (i) immediately before the earlier award terminated, but is no longer their partner;
- (b) the earlier award terminated—
 - (i) during the period of one month ending with the first date of entitlement to universal credit; or
 - (ii) in the case of an award to joint claimants, on formation of the couple or by virtue of regulation 16; and
- (c) the earlier award included an amount in respect of housing costs under—
 - (i) paragraphs 14 to 16 of Schedule 2 to the Jobseeker’s Allowance Regulations 1996(18) (“the 1996 Regulations”);
 - (ii) paragraphs 16 to 18 of Schedule 6 to the Employment and Support Allowance Regulations 2008(19) (“the 2008 Regulations”); or, as the case may be,
 - (iii) paragraphs 15 to 17 of Schedule 3 to the Income Support (General) Regulations 1987(20) (“the 1987 Regulations”).

(2) Where this paragraph applies, paragraph 5 of Schedule 5 to the Universal Credit Regulations (No housing costs element under this Schedule for qualifying period) does not apply to the person in respect of the current award.

(3) Paragraph (4) applies where paragraph (1)(a) and (b) applies, but the earlier award did not include an amount in respect of housing costs because the person’s entitlement (or, as the case may be, their partner’s entitlement) was nil by virtue of—

- (a) paragraph 6(1)(c) or 7(1)(b) of Schedule 2 to the 1996 Regulations;
- (b) paragraph 8(1)(c) or 9(1)(b) of Schedule 6 to the 2008 Regulations; or, as the case may be,

(17) See reg 23(8).

(18) S.I. 1996/207. Para 15 was amended by S.I. 2008/2767; para 16 was amended by S.I. 2006/217 and 2006/2378. The Regulations have been modified in their application to certain claimants by S.I. 2008/3195, as amended by S.I. 2009/3257 and 2011/2425.

(19) S.I. 2008/794. The Regulations have been modified in their application to certain claimants by S.I. 2008/3195, as amended by S.I. 2009/3257.

(20) S.I. 1987/1967. Para 16 was amended by S.I. 2008/2767; para 17 was amended by S.I. 2006/217 and 2006/2378. The Regulations have been modified in their application to certain claimants by S.I. 2008/3195, as amended by S.I. 2009/3257.

- (c) paragraph 6(1)(c) or 8(1)(b) of Schedule 3(21) to the 1987 Regulations.
- (4) Where this paragraph applies, the “qualifying period” for which paragraph 5 of Schedule 5 to the Universal Credit Regulations provides is to be reduced by—
- (a) the length of time during which the person (or, as the case may be, their partner) was continuously entitled to the earlier award, including the length of any period which was treated as a period of continuing entitlement under—
- (i) paragraph 13 of Schedule 2 to the 1996 Regulations(22);
- (ii) paragraph 15 of Schedule 6 to the 2008 Regulations(23); or, as the case may be,
- (iii) paragraph 14 of Schedule 3 to the 1987 Regulations(24); and
- (b) the length of time (if any) between the date on which the earlier award terminated and the first date of entitlement to universal credit.
- (5) Where paragraph (4) applies, paragraph 6 of Schedule 5 to the Universal Credit Regulations (Application of paragraph 5: receipt of JSA and ESA) does not apply.

Sanctions: transition from employment and support allowance

- 30.**—(1) This regulation applies where—
- (a) an award of universal credit is made to a person who was previously entitled to employment and support allowance (“the ESA award”); and
- (b) immediately before the relevant date, payments in respect of the ESA award were reduced under regulation 63 of the Employment and Support Allowance Regulations 2008(25) (“the 2008 Regulations”).
- (2) In this regulation, the “relevant date” means—
- (a) in relation to an ESA award which terminated otherwise than by virtue of regulation 16, the date on which the ESA award terminated;
- (b) in relation to an ESA award which terminated by virtue of regulation 16 (in so far as it was an award of income-related employment and support allowance), or which continued in existence as an award of new style ESA (in so far as it was an award of contributory employment and support allowance), the day before the first date of entitlement to universal credit.
- (3) Where this regulation applies—
- (a) the failure which led to reduction of the ESA award (“the ESA failure”) is to be treated, for the purposes of the Universal Credit Regulations, as a failure which is sanctionable under section 27 of the Act;
- (b) the award of universal credit is to be reduced in relation to the ESA failure, in accordance with the provisions of this regulation and Chapter 2 of Part 8 of the Universal Credit Regulations (Sanctions), as modified by this regulation; and
- (c) the reduction is to be treated, for the purposes of the Universal Credit Regulations, as a reduction under section 27 of the Act.

(21) Para 6(1) and 8(1) were amended by S.I. 1995/2927.

(22) Para 13 was amended by S.I. 1996/1516, 1996/1517, 1996/2538, 1997/827, 1997/2863, 1998/2231, 1999/714, 1999/1921, 1999/2860, 2000/724, 2000/1978, 2001/488, 2001/1029, 2002/841, 2002/3019, 2005/2465, 2006/2378, 2008/698, 2008/1554, 2008/1826, 2008/2767, 2009/480, 2011/674 and 2011/2425. See also para 18(1)(c) of Sch 2.

(23) Para 15 was amended by S.I. 2008/2428, 2011/674, 2011/2425 and 2011/2428. See also para 20(1)(c) of Sch 6.

(24) Para 14 was amended by S.I. 1995/2927, 1996/206, 1996/1944, 1997/2863, 1998/2231, 1999/714, 1999/1921, 1999/3178, 2000/724, 2000/1981, 2001/488, 2001/1029, 2002/841, 2002/3019, 2005/2465, 2006/2378, 2008/698, 2008/1554, 2008/2428, 2008/2767 and 2011/674. See also S.I. 1996/206, reg 32.

(25) S.I. 2008/794; reg 63 was amended by S.I. 2011/1349 and 2012/2756.

(4) The reduction period for the purposes of the Universal Credit Regulations(26) is to be the number of days which is equivalent to the length of the fixed period applicable to the person under regulation 63 of the 2008 Regulations in relation to the ESA failure, minus—

- (a) the number of days (if any) in that period in respect of which the amount of employment and support allowance was reduced; and
- (b) the number of days (if any) in the period starting with the day after the relevant date and ending with the day before the first date on which the person is entitled to universal credit.

(5) Accordingly, regulation 101 of the Universal Credit Regulations (General principles for calculating reduction periods) applies in relation to the ESA failure as if, in paragraphs (1) and (3), for the words “in accordance with regulations 102 to 105”, there were substituted the words “in accordance with regulation 30 of the Universal Credit (Transitional Provisions) Regulations 2013”.

Escalation of sanctions: transition from employment and support allowance

31.—(1) This regulation applies where an award of universal credit is made to a person who was at any time previously entitled to employment and support allowance.

(2) Where this regulation applies, for the purposes of determining the reduction period under regulation 104 of the Universal Credit Regulations (Low-level sanction) in relation to a sanctionable failure by the person, other than a failure which is treated as sanctionable by virtue of regulation 30—

- (a) a reduction of universal credit in accordance with regulation 30; and
- (b) any reduction of an employment and support allowance under the 2008 Regulations which did not result in a reduction under regulation 30,

is, subject to paragraph (3), to be treated as arising from a sanctionable failure for which the reduction period which applies is the number of days which is equivalent to the length of the fixed period which applied under regulation 63 of the 2008 Regulations.

(3) In determining a reduction period under regulation 104 of the Universal Credit Regulations in accordance with paragraph (2), no account shall be taken of—

- (a) a reduction of universal credit in accordance with regulation 30 if, at any time after that reduction, the person was entitled to an existing benefit;
- (b) a reduction of an employment and support allowance under the 2008 Regulations if, at any time after that reduction, the person was entitled to universal credit, new style ESA or new style JSA, and was subsequently entitled to an existing benefit.

Sanctions: transition from jobseeker’s allowance

32.—(1) This regulation applies where—

- (a) an award of universal credit is made to a person who was previously entitled to jobseeker’s allowance (“the JSA award”);
- (b) immediately before the relevant date, payments in respect of the JSA award were reduced under section 19 (as it applied either before or after substitution by the Act(27)) or section 19A of the Jobseekers Act 1995 (“the 1995 Act”), or under regulation 69B of the Jobseeker’s Allowance Regulations 1996(28) (“the 1996 Regulations”); and
- (c) if the JSA award was made to a joint-claim couple within the meaning of the 1995 Act and the reduction related to—

(26) See reg 101(1).

(27) See s.46.

(28) S.I.1996/207; reg 69B was inserted by S.I. 2012/2568.

- (i) in the case of a reduction under section 19 as it applied before substitution by the Act, circumstances relating to only one member of the couple; or,
 - (ii) in the case of a reduction under section 19 as it applied after substitution by the Act, a sanctionable failure by only one member of the couple,
- the award of universal credit was made to that person.
- (2) In this regulation, the “relevant date” means—
- (a) in relation to a JSA award which terminated otherwise than by virtue of regulation 16, the date on which the JSA award terminated;
 - (b) in relation to a JSA award which terminated by virtue of regulation 16 (in so far as it was an award of income-based jobseeker’s allowance), or which continued in existence as an award of new style JSA (in so far as it was an award of contribution-based jobseeker’s allowance), the day before the first date of entitlement to universal credit.
- (3) Where this regulation applies—
- (a) the circumstances or failure which led to reduction of the JSA award (in either case, “the JSA failure”) is to be treated, for the purposes of the Universal Credit Regulations, as—
 - (i) a failure which is sanctionable under section 26 of the Act, where the reduction was under section 19 of the 1995 Act; or
 - (ii) a failure which is sanctionable under section 27 of the Act, where the reduction was under section 19A of the 1995 Act or regulation 69B of the 1996 Regulations;
 - (b) the award of universal credit is to be reduced in relation to the JSA failure, in accordance with the provisions of this regulation and Chapter 2 of Part 8 of the Universal Credit Regulations (Sanctions), as modified by this regulation; and
 - (c) the reduction is to be treated, for the purposes of the Universal Credit Regulations, as a reduction under section 26 or, as the case may be, section 27 of the Act.
- (4) The reduction period for the purposes of the Universal Credit Regulations is to be the number of days which is equivalent to the length of the period of reduction of jobseeker’s allowance which is applicable to the person under regulation 69, 69A or 69B of the 1996 Regulations, minus—
- (a) the number of days (if any) in that period in respect of which the amount of jobseeker’s allowance was reduced; and
 - (b) the number of days (if any) in the period starting with the day after the relevant date and ending with the day before the first date on which the person is entitled to universal credit.
- (5) Accordingly, regulation 101 of the Universal Credit Regulations (General principles for calculating reduction periods) applies in relation to the JSA failure as if, in paragraphs (1) and (3), for the words “in accordance with regulations 102 to 105”, there were substituted the words “in accordance with regulation 32 of the Universal Credit (Transitional Provisions) Regulations 2013”.
- (6) Where the JSA award was made to a joint-claim couple within the meaning of the 1995 Act and the JSA failure related to only one member of the couple, the daily reduction rate for the purposes of the Universal Credit Regulations⁽²⁹⁾ is the amount calculated in accordance with regulation 74B(3) of the 1996 Regulations⁽³⁰⁾ in respect of the JSA award, divided by seven and rounded down to the nearest 10 pence, unless regulation 111(2) or (3) of the Universal Credit Regulations (Daily Reduction Rate) applies.
- (7) Where the daily reduction rate is to be determined in accordance with paragraph (6), regulation 111(1) of the Universal Credit Regulations applies in relation to the JSA failure as if, for the words from “an amount equal to” to the end there were substituted the words “an amount

(29) See reg 111.

(30) Reg 74B was inserted by S.I. 2000/1978 and amended by S.I. 2010/509.

determined in accordance with regulation 32 of the Universal Credit (Transitional Provisions) Regulations 2013”.

Escalation of sanctions: transition from jobseeker’s allowance

33.—(1) This regulation applies where an award of universal credit is made to a person who was at any time previously entitled to jobseeker’s allowance.

(2) Where this regulation applies, for the purposes of determining the applicable reduction period under regulation 102 (Higher-level sanction), 103 (Medium-level sanction) or 104 (Low-level sanction) of the Universal Credit Regulations in relation to a sanctionable failure by the person, other than a failure which is treated as sanctionable by virtue of regulation 32—

- (a) a reduction of universal credit in accordance with regulation 32; and
- (b) any reduction of a jobseeker’s allowance under section 19 or 19A of the 1995 Act, or under regulation 69B of the 1996 Regulations which did not result in a reduction under regulation 32,

is, subject to paragraph (3), to be treated as arising from a sanctionable failure for which the reduction period is the number of days which is equivalent to the length of the period which applied under regulation 69, 69A or 69B of the 1996 Regulations.

(3) In determining a reduction period under regulation 102, 103 or 104 of the Universal Credit Regulations in accordance with paragraph (2), no account shall be taken of—

- (a) a reduction of universal credit in accordance with regulation 32 if, at any time after that reduction, the person was entitled to an existing benefit;
- (b) a reduction of a jobseeker’s allowance under section 19 or 19A of the 1995 Act, or under regulation 69B of the 1996 Regulations if, at any time after that reduction, the person was entitled to universal credit, new style ESA or new style JSA, and was subsequently entitled to an existing benefit.

Sanctions: temporary return to existing benefits

34. If an award of universal credit terminates while there is an outstanding reduction period (within the meaning of regulation 107 of the Universal Credit Regulations) and the claimant becomes entitled to an existing benefit during that period—

- (a) regulation 107 of the Universal Credit Regulations (Reduction period to continue where award terminates) shall cease to apply; and
- (b) the reduction period shall terminate on the first date of entitlement to the existing benefit.

Loss of benefit penalties

35.—(1) This regulation applies where—

- (a) an award of universal credit is made to a person who was previously entitled to an existing benefit other than a tax credit (“the earlier award”);
- (b) the person is an offender, within the meaning of the Social Security Fraud Act 2001⁽³¹⁾ (“the 2001 Act”);
- (c) at the time the earlier award terminated, payments were subject to a restriction under section 6B (Loss of benefit in case of conviction, penalty or caution for benefit offence), 7 (Repeated benefit fraud) or 8 (Effect of offence on joint-claim jobseeker’s allowance) of the 2001 Act; and

⁽³¹⁾ 2001 c.11. See ss. 6B and 7.

- (d) the first date of entitlement to universal credit is during the period of one month beginning with the date on which the earlier award terminated.
- (2) This regulation also applies where—
- (a) an award of universal credit is made to a person who is an offender, within the meaning of the 2001 Act;
 - (b) another person who was the offender’s family member within the meaning of the 2001 Act⁽³²⁾ was previously entitled to an existing benefit other than a tax credit (“the earlier award”);
 - (c) at the time the earlier award terminated, payments were subject to a restriction under section 9 (effect of offence on benefits for members of offender’s family) of the 2001 Act; and
 - (d) the first date of entitlement to universal credit is during the period of one month beginning with the date on which the earlier award terminated.
- (3) Where this regulation applies—
- (a) payments of universal credit to the person are to be reduced by an amount determined in accordance with paragraphs (4) and (5) in respect of each day which is included in the remainder of the disqualification period applicable to the offender under the Social Security (Loss of Benefit) Regulations 2001⁽³³⁾ (“the 2001 Regulations”); and
 - (b) any provision in regulations made under section 6B(5A)(a) or 7(2A)(a) of the 2001 Act, under which payments of universal credit would otherwise be reduced by a different amount, does not apply.
- (4) The payment of universal credit is to be reduced by—
- (a) an amount which is equal to the amount by which payments in respect of the earlier award were reduced in accordance with the 2001 Act and the 2001 Regulations immediately before termination of that award, multiplied by the relevant multiplication factor and divided by the number of days in the year; or
 - (b) such lesser amount as reduces a payment of universal credit to nil.
- (5) The relevant multiplication factor is—
- (a) where payments in respect of the existing benefit were made weekly, 52;
 - (b) where payments in respect of the existing benefit were made fortnightly, 26;
 - (c) where payments in respect of the existing benefit were made every four weeks, 13; and
 - (d) where payments in respect of the existing benefit were made monthly, 12.

⁽³²⁾ See s.9.

⁽³³⁾ S.I. 2001/4022.