



2007 - 2013 ACTION NOTE

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2007- 2013 ESF PROGRAMME: MANUAL CLAIMS PROCESS

WHO

Managing Authority regional teams, Intermediate Bodies (IBs), ESF Co-financing Organisations (CFO) and national DWP and LSC ESF Teams, DWP Risk Assurance Division. Copied to Santiago Loranca-Garcia (DG Empl).

WHAT

This note gives guidance on the interim manual process for the submission and certification of claims for expenditure in the 2007-2013 programme.

CLEARED

Ken Lambert, Head of Managing Authority
Ian Chapman, Head of ESF Delivery Team
Jim O'Kane, Head of ESF Systems Team

BACKGROUND

1. The new web based ESF IT system will allow CFO and non CFO providers to submit claims for expenditure over the internet. Development of the new system has slowed, as the Department for Work and Pensions' IT suppliers are requesting that a new rigorous testing regime is applied to ensure the security of data submitted over the Internet. It is unlikely that a fully web based claims process will be available until January 2009.
2. Until the ESF IT system is available an interim manual process is being put in place to ensure that there is a fully functional and auditable claims process.

ACTION

3. Managing Authority (MA) regional teams and Intermediate Bodies (IBs) should ask their CFOs and non-CFO providers to submit claims for expenditure using the latest version of the manual claim forms attached. Annex 1 is the CFO claim form and Annex 2 the Non CFO claim form. Guidance on the completion of these forms is attached at Annexes 3 and 4.
4. When CFOs or non-CFO providers submit a claim, the MA regional teams and IBs should complete Part 1 of the manual ESF claim checklist at Annex 5. Part 1 is a list of certification checks that should be performed to ensure that the claim is eligible. A copy of the claim form and a signed and dated version of the checklist should be kept on file at the MA regional team or IB and **the originals should be submitted to the central managing authority at the following address:- ESFD, MA: Delivery Team, Interim Claim, Level N2, Moorfoot, Sheffield S1 4PQ. Please ensure to mark your envelope clearly with "Interim Claim"**

For general advice and guidance please contact the following regional contacts.

North West and North East Katy Sparham email: katy.sparham@dcsf.gsi.gov.uk tel: 0114 2677 334	West Midlands and South West Alison Tough email: alison.tough@dcsf.gsi.gov.uk tel: 0114 2677 308
East Midlands and Yorkshire and the Humber Mark Jess email: mark.jess@dcsf.gsi.gov.uk tel: 0114 2677 395	East of England, London and the South East Robert Clingan Email: Robert.clingan@dcsf.gsi.gov.uk Tel: 0114 2677317
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Guidance on how to complete the checklist can be found at Annex 6.

5. In order to ensure there is a robust audit trail and comply with requests from DWP Risk Assurance Division (RAD) MA regional teams and IBs must ensure that a breakdown of the sources and amounts of match funding (in-period) making up the total match funding declared, must be entered into the Project Progress worksheet. A similar breakdown for the payment to providers is also required, i.e the names, amounts and whether they have been paid via ESF or match, and should also be included within the Project Progress worksheet,. This is a requirement for CFO's only. If it is easier to submit this information via spreadsheets or tables already held by the CFO then please submit as an attachment. Further details are given in the Annex 3 Guidance attached to this Action Note.

6. Finally, for audit purposes, the central managing authority must hold a list of all MA regional team and IB staff authorised to certify ESF expenditure. MA regional teams and IBs are therefore requested to submit the names of all eligible staff authorised to certify claims to abby.beckett-smith@dcsgsi.gov.uk by 22 August 2008. These staff will eventually be set up as users on the new ESF IT system.

CONTACT

7. For more information on this note contact:

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List of Annexes:

- Annex 1: CFO claim form
- Annex 2: Non-CFO claim form
- Annex 3: Guidance on the completing of the CFO claim form
- Annex 4: Guidance on the completing of the Non-CFO claim form

Annex 5: Claim checklist

Annex 6: Guidance on the completing of the claim checklist