



## **2007 - 2013 ACTION NOTE**

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### **Protocol for retaining original documentation relating to the ESF 2007-2013 programme**

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#### **WHO**

ESF Co-financing Organisations (CFO), national DWP and LSC ESF Teams, Government Office and LDA ESF Team Leaders, the Government of Gibraltar and the ITM unit at Birmingham City Council.

#### **WHAT**

This Action Note outlines the protocol for retaining original documentation relating to the 2007-2013 ESF programme.

#### **CLEARED**

Ian Chapman  
Head of the ESF Managing Authority

# BACKGROUND

1. This Action Note outlines the protocol for retaining original documentation relating to the 2007-2013 ESF programme between the European Social Fund Division of the Joint International Unit (DWP/DCSF/DIUS) and:

Government Office for the South East;

Government Office for the South West (including the Convergence programme);

Government Office for the East of England;

Government Office for the West Midlands;

Government Office for the East Midlands;

Government Office for the North West (including the Merseyside 'phasing in' region);

Government Office for the North East;

Government Office for Yorkshire and the Humber (including the South Yorkshire 'phasing in' region);

The London Development Agency (CFO and EPMU);

The Government of Gibraltar; and,

Birmingham City Council (in respect of innovation, transnationality and mainstreaming projects).

2. This protocol will apply to all projects including co-financed provision and non co-financed provision which includes technical assistance projects, complementary strand projects in Merseyside, higher education projects in Cornwall, innovation and transnationality projects and Community Grant Schemes.

# ACTION

**3. All original documentation relating to the delivery of ESF supported activity in the 2007-2013 programming period will be retained centrally by the Managing Authority within the ESF Division.**

4. Regional Managing Authorities listed above may wish to keep copies of the appropriate documentation.

5. The original documentation retained by the Central Managing Authority will be as follows:

**Co-financing activity**

- Regional Frameworks (including variations)
- Applications to become CFOs
- Regional Committee minutes for CFO plan agreements
- Regional Committee minutes about variations to Frameworks
- Individual CFO plans
- Agreement / MOU
- Profiles
- Claims
- Re-profiles (if appropriate)
- Variations (if appropriate)
- All general and specific correspondence relating to individual CFOs

**Non-Co-financing activity**

- Application
- Appraisal
- Regional Committee papers/minutes for non CFO project approval
- Agreement
- Profiles
- Claims
- Re-profiles (if appropriate)
- Variations (if appropriate)
- All general and specific correspondence relating to individual non- CFO projects including Community Grants

## **Article 13 documentation**

All documentation relating to Article 13 verifications including:

- Baseline reports
- Quarterly reports
- On the spot financial checks
- All the supporting documentation relating to these visits

## **ITM documentation**

### **Applications and appraisals**

- Log of applications received (original)
- Application forms (originals)
- Letters acknowledging applications (copies)
- Appraisal reports – as Action Note 16 (originals, signed by appraisers – copies to be retained by GO/LDA)
- Regional Committee recommendation papers – as Action 11 Annex D, i.e. covering paper, ranked lists and summaries (originals, signed by appraisers – copies to be retained by GO)
- Minutes of meetings recording Regional Committee endorsement of recommendations (copies)
- Letter from Chair of Regional Committee confirming endorsement of recommendations – written procedure only (copies)
- Decision letters to applicants (copies)
- Any written feedback to applicants (copies)

### **Appeals and contracting**

- Log of appeals received and decisions (original)
- Appeal letters (originals)
- File notes on decisions taken on appeals (originals)
- Decision letters on appeals (copies)

- Letters from GOs/LDA to successful applicants initiating contract clarification
- All subsequent contract clarification correspondence from (originals) or to (copies) successful applicants
- Contracts and any subsequent variations

6. Adoption of this protocol will aid the Certifying Authority, the Audit Authority and other regulatory inspection bodies by making clear where supporting documentation should be found. This will also mean that the pressure to produce original evidence of programme delivery is removed from Government Offices and Intermediary Bodies and becomes the responsibility of the central managing authority.

7. This protocol will be retrospective back to the beginning of the 2007-2013 ESF programming period. Government Offices and Intermediary Bodies should review the documentation that they hold and forward any original documents to their Contract Delivery Manager in the ESF Division.

## CONTACT

8. For more information on this note contact:

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