

European Social Fund convergence, competitiveness and employment programme 2007-2013

Guidance on completing the CFO claim form

This document contains the guidance for completing the CFO Claim Form for the ESF programme 2007-2013. The form can be obtained from the ESF website (www.esf.gov.uk). This form should be completed and signed by an appropriate person within your organisation with the authority to do so. The signed copy of the form should be posted to your local Government Office contact.

This version of the form is in spreadsheet (EXCEL) format and comprises of four separate worksheets all of which need to be completed. The numbers which follow relate to the numbered boxes on the form.

Note that all monetary values should be first rounded to the nearest pound and added in whole pounds on the spreadsheet.

This guidance relates to version 3 of the CFO claim form.

This is a temporary claim form to be used until the ESF 2007-2013 computer system is available when claims will be submitted online.

General Notes and completion of tab 1 – Financial Summary

- **The claim is made up of four tabs within one Excel spreadsheet. Do not extract pages even if you have not used them – the *complete* claim must be received.**
- **Complete the sheets in the order they come i.e. 1 – 4.**
- **Profile periods, and therefore claim periods are different from the traditional ones period end dates are February, May, August and November ONLY.**
- **Brief instructions are included on the form at each section.**
- **If you do not have a company stamp a sheet of letter headed paper must be provided with every claim.**
- **All expenditure is claimed in-period.**
- **Administration costs are limited to a maximum of 5% of the total eligible costs as set out in the CFO agreement. This must be based on actual costs and cannot be an administration fee as such fees are not allowed under Structural Fund regulations.**
- **Where CFOs have reimbursed providers on the basis of actual rather than contract costs these payments should be recorded as other costs.**

3a. If you have agreed with the Managing Authority in advance that certain project costs fall within the scope of ERDF, record the amount of the expenditure in this box. This
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should be the total of the ESF funding and the public match funding added together. The ERDF expenditure amount can be no more than 10% of the total agreement costs.

4a In this box enter the cumulative amount of ESF that you have committed to date through contracts with providers. Note this is the only CUMULATIVE figure on the claim form. All other figures required on the form are IN_PERIOD i.e. relating to costs or revenue recorded during this claim period only.

2: Adjustments and Irregularities

If this is your first claim for your agreement this worksheet does not need to be updated (but needs to be included complete with zeros).

This worksheet is used to record financial adjustments to earlier claims, either caused by irregularities discovered at a later date after the claim has been paid or voluntary (self declared) adjustments that your organisation is making as a result of an incorrect earlier claim. The sum of these will be deducted from the claim you are currently submitting. Points to consider:-

- the boxes on this section tell you exactly how to complete
- only irregularities that have a reference number should be recorded – if you do not have this *do not* record the irregularity at this time.
- enter the period that this irregularity relates (i.e. it cannot be for the claim that this period relates to and must be for an earlier period). This should be entered in the format mm/yyyy e.g 05/2007 and refers to the period end date for that particular period.
- Only enter in whole pounds one row per adjustment/irregularity.
- only over claims should be declared – irregularities and self adjustments – if you have under claimed the amounts/transactions can go in with the rest of your in-period expenditure for the current period.
- Irregularities or voluntary declared adjustments should only be notified *once* on a claim form otherwise this could result in your payment being reduced in error.
- You do not need to include a minus INES will automatically minus the adjustment from the claim.

3: Project Progress

Box 6a should be used to report on project progress during the reporting period in implementing the CFO plan. Reports should cover contributions to the regional ESF framework, progress on participant starts and results, support provided for specific target groups, progress towards key milestones, examples of good practice, ESF publicity and so on. The information provided will help to provide alongside financial and participant management information, a broader picture of ESF progress at regional and national level and information provided will be used to provide reports to committees.

To ensure a robust audit trail is in place Risk Assurance Division (RAD) have asked for additional information in relation to Payments to providers and Match funding to be included in every claim. Therefore, it is necessary to provide a breakdown of the figures shown in box's 1a, and 2b of the claim form as follows:

- ESF – you must enter the names of all the providers (both ESF and match) and the amounts paid to them which are included in this claim. The amounts must total the figure entered in box 1a.
- Public match funding - you must enter all the sources of match funding included in the claim and the associated amounts which equal the amount shown in box 2b
This is a mandatory requirement and the claim will not be paid unless these breakdowns have been included.

For the claim covering the period September – November each year, CFOs are required to provide a more detailed report covering the information set out in section 2.33 of the CFO beneficiary guidance. The information provided for this period will be used to provide information on programme progress in the Annual Implementation Report. It is possible that the European Commission may ask the Managing Authority for additional information to that included in section 2.33. If additional information is required, ESF Division will advise CFOs by 31 October each year of any additional reporting requirements. This worksheet is used to record the progress of your ESF funded project. Completion of the text box is mandatory.

Activity

Report on project progress during this claim period. Reports should cover contributions to the regional ESF framework, progress on participant starts and results, support provided for specific target groups, progress towards key milestones, examples of good practice, ESF publicity and so on. The information provided will help to provide alongside financial and participant management information, a broader picture of ESF progress at regional and national level and information provided will be used to provide reports to committees.

Finance

Report on how spend against profile is progressing, how any under/over spends will be caught up and if not when you expect to re-profile

For the claim covering the period September – November each year, beneficiaries are required to provide a more detailed report. The information provided for this period will be used to provide information on programme progress in the Annual Implementation Report. It is possible that the European Commission may ask the Managing Authority for additional information. If additional information is required, ESF Division will advise beneficiaries by 31 October each year of any additional reporting requirements.

4: Declaration

The summary box above the declaration shows the net payment (less adjustments/irregularities) for this period, plus the net amount of match recorded.

Enter the date, your name and position in your organisation and then print off the form. You must then sign and stamp (organisation's stamp or if not available a sheet of letter headed paper). The claim form should then be posted to your local Government Office or LDA using recorded delivery.