

### Guidance on Completing the Claim Checklist

1. The claim checklist has been developed for use with the manual claim forms to ensure that there is a fully functional and auditable claims process. The checklist aims to record in one place, all the action that has been taken by the appropriate bodies to certify, scrutinise and authorise claims. The checklist will become obsolete once the web based claims process has been developed and rolled out for CFOs and Non-CFOs to use.
2. Managing Authority regional teams (MA), Intermediate Bodies (IBs) and the central Managing Authority (for TA projects) should complete page 1 of the checklist (including office stamp) as soon as a claim is received. There should be 1 checklist per claim.
3. Part 1 of the checklist records the certification checks that have been performed. An appropriate person who is duly authorised at the MA or IB should complete the certification checks, the majority of which are yes and no answers. To pass a certification check the answer to questions should be yes, if the answer to a question is no then additional comments should be made by the MA regional team or IB under the recommendation section of Part 1. For some questions it is possible to answer not applicable (N/A), e.g where a check relates only to a non-CFO claim and would not be relevant to a CFO claim.
4. Question 9 of the checklist relates to CFOs only. Annex 3, Guidance on completing the CFO claim form, Worksheet 3 - Project Progress, details the audit requirements for CFOs to enter all the names of the providers (both ESF and match) and the amounts paid to them, which are included in the claim. The amounts must total the figure entered in box 1a of Worksheet 1. In addition all the sources and amounts of match funding must also be entered and the figure must total that quoted in box 2b of Worksheet 1. This is a mandatory requirement for all CFOs and the claim must not be paid unless this information is included and adds up to the figures in box's 1a and 2b.
5. In the 2007-2013 programme ESF will be claimed in-period. The CFOs and Non-CFOs will be paid the amount of ESF they have declared in that period. Unlike the 2000-2006 programme where payment is made based on intervention rate. To calculate the ESF payment amount, the certifying officer should deduct any amount of ESF declared as a self adjustment, irregularity or as a special payment repayment from the amount of ESF claimed in this period. As the claim form is to enable a payment to be made it is not necessary to deduct any public match funding. If certifying officers have any queries regarding the calculation of ESF payment amounts they should contact their central managing authority regional contact.

6. Once the certification checks have been completed the certifying officer should indicate whether or not they are recommending this claim for payment. They should then sign and date the checklist at the end of Part 1. Both the claim and the checklist should then be photocopied. The certifying officer should then retain the photocopies at the MA regional team or IB and send the **originals** to their central managing authority regional contact.
7. If a claim fails certification, the MA regional team or IB should e-mail the organisation from which it was received with an explanation as to why the claim has been rejected and retain a hard copy of the e-mail and subsequent response, for audit purposes. The original claim form and the signed and dated checklist stating why the claim failed scrutiny should be kept on the agreement file.
8. On receipt of claim and its accompanying checklist, the central managing authority should stamp the checklist with the office date stamp. They should then perform the scrutiny checks on the claim and complete Part 2 of the checklist. To pass a scrutiny check the answer to questions should be yes, if the answer to a question is no then additional comments should be made by the central managing authority under the recommendation section of Part 2.
9. Once the scrutiny checks have been completed the scrutiny officer should indicate whether or not they are recommending this claim for payment. They should then sign and date the checklist at the end of Part 2. Both the claim and the checklist should then be passed to the European Social Fund finance team, however before doing so the central managing authority should state on the bottom of Part 2 the date the claim was passed over to the finance team.
10. If a claim fails scrutiny, the scrutiny officer from the central managing authority team should e-mail the MA regional team or IB from which it was received with an explanation as to why the claim has been rejected and retain a hard copy of the e-mail and subsequent response, for audit purposes. The original claim form and the signed and dated checklist stating why the claim failed scrutiny should be kept on the agreement file.
11. On receipt of a claim and its accompanying checklist, the member of the finance team authorising the claim should perform the authorisation checks on the claim and complete Part 3 of the checklist. To pass authorisation the answer to questions should be yes, if the answer to a question is no then additional comments should be made by the central managing authority under the recommendation section of Part 3.
12. If a claim fails authorisation, the authorising officer from finance team should return the claim and checklist back to the appropriate central managing authority regional contact to take the appropriate action.