

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

Guidance on completing the non-CFO and Technical Assistance claim form

If you require further guidance and an electronic copy of the form go to the ESF website (www.esf.gov.uk).

For Non CFO projects including Technical Assistance refer to Manual 3 – Guidance for Non CFOs or Manual 1 for eligibility guidance.

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

General Notes

- **The claim is made up of five 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 – 5.**
- **Profile periods, and therefore claim periods are different from the traditional ones period end dates are February, May, August and November ONLY.**
- **Where pence are allowed *never* use more than two decimal places.**
- **Brief instructions are included on the form at each section.**
- **The costs come under four headings Staff Costs, Other Staff Related Costs, Participant Costs and Other Costs (various sub heading under other costs).**
- **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.**
- **If an *Indirect cost flat rate percentage* has been agreed at application stage, this percentage will need to be entered into box 5.0B (to two decimal places); if no flat rate percentage has been agreed you must enter 0.00. The percentage should not change for the life of the project.**
- **If you need to insert extra rows – ensure formulas are copied from the rows above and re-protect the sheet.**

Information on Depreciation and Revenue

Depreciation items direct costs – (if you have an agreed indirect cost percentage which includes depreciation you do not need to complete this section)

- In the first column there is a free format for describing the item that has depreciation costs associated with it. The same terminology should be used for a particular item on all claims. This item must be used solely on ESF-related activity (unless in indirect costs) and can be premises or equipment. Use the same depreciation method for this item that was agreed with you at the application stage
- In the second column in the table enter the amount that this item originally cost in pounds and pence.
- In the third column in the table enter the depreciation charge for this item for this period.

4.0 Revenue

Revenue is expected to feature in very few projects in this programme.

- Revenue should be discussed at application stage. Do NOT include revenue in any claim without discussing first with the Central MA Regional Contact or GO/Intermediary body.

2. Financial Summary Tab 2.

Section 6.

- In period profile amounts need to be added for the various cost categories at 6b, 6f and 6j.

(the costs claimed for these categories will automatically be taken from sheet 1 and populate 6a, 6e and 6i)

If there were variances on previous in-period claims you will need to assess whether the *cumulative* variance equals more than +/- 15% for any category. If so, explanations will be needed regardless of whether in total you are within the 15% tolerance. A revised agreement profile should also be submitted with the claim. You may wish to discuss this with the Central MA particularly if it is only slightly over the tolerance, there is a valid reason or it's highly likely to be caught up by the next period.

- In box 7a Enter the amount of ESF funding you wish to claim during this period.

(a formula calculates what the public match funding will be by deducting ESF claimed at 7a from the total claim value).

All other figures are automatically brought in from the information completed in sheet 1.

- In box 7.1a. Enter the total number of participants who have started on ESF funded activity during this claim period. Always enter a figure even if it is zero for a particular claim period this includes TA projects.

8a. 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 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.

3: 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 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.

4: Project Progress

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. *Include breakdown of sources and amounts of match funding claimed in this period.*

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.

5: 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.

For claims for National Technical Assistance, the form should be posted to Jackie Cox, Managing Authority, ESFD, DWP Moorfoot, Sheffield S1 4PQ.