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ESF ECLAIMS External Users Guidance (Claims)

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Contents

Introduction

ECLAIMS is the platform through which you will now submit your claims to the ESF Managing Authority (MA). ECLAIMS is still undergoing development and we welcome your feedback on your experiences of using the service.

Although ECLAIMS is designed to be intuitive, it is strongly recommended that you closely follow the steps in this document, until you are fully familiar with the process. Each step is set out in this guidance note using screenshots from the test environment - note that the appearance of some screens may change slightly as ECLAIMS is developed further.

Accessing ECLAIMS

In order to access ECLAIMS, you will have received an email from Datamart with your log in details. Please follow the instructions within the email to change your password and access the service.

ECLAIMS is a web based application available through the following link. It is recommended that you use the Chrome browser to access ECLAIMS, or if this isn’t available, Firefox

https://eclaims.communities.gov.uk/esif-web/

Project information on ECLAIMS

Please note that the Managing Authority (MA) has already migrated relevant information from your application form on to ECLAIMS.

We recognise that not all of the information has been migrated, we have however uploaded a copy of your original application which contains the full details.

What can and can’t you do on ECLAIMS?

You should only use ECLAIMS for submitting claims on projects as pre-agreed with the MA. If you also have ERDF projects then you shouldn’t use ECLAIMS for submitting ERDF claims, unless agreed with the ERDF MA (although you will be able to see these projects on the service).

It is not yet possible to submit forecast data directly via ECLAIMS. This means you will need to complete the Dual Forecast spreadsheet and upload it to ECLAIMS in the “Review” screen. This is covered later in the guidance.

Support arrangements

Please find below link to relevant claim templates and guidance on GOV.UK https://www.gov.uk/government/publications/esf-claim-applications-and-self-declared-adjustments

Guidance on the following is available through this link:

- Transaction List
- Participant Data Schema
- Participant Data Schema Guidance
- Claims Work Instructions.

The attached file contains examples of common issues/solutions when making your claim via ECLAIMS. Please consult this guidance and the attached file before contacting the MA.

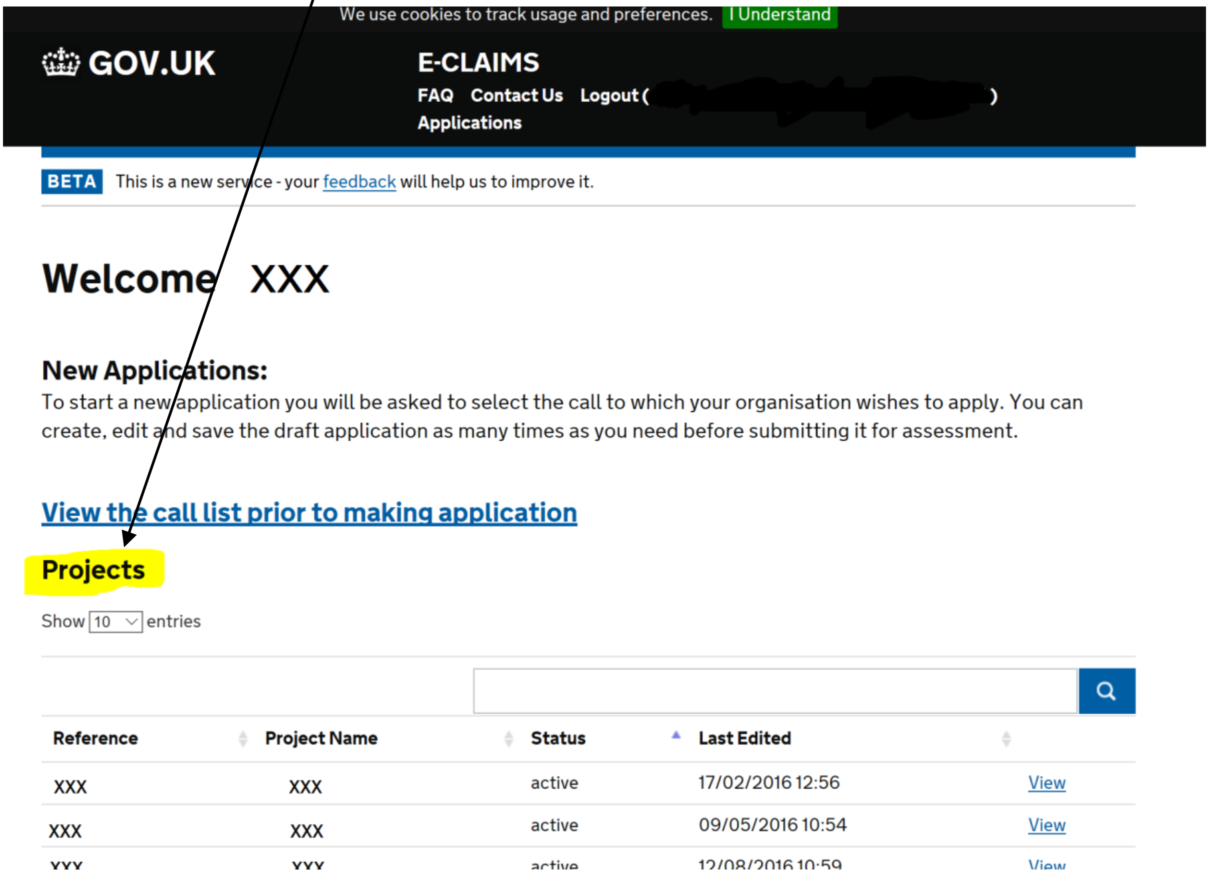
The ESF E-Claims best practice file contains examples of common issues/solutions when making your claim via ECLAIMS. Please consult this guidance and the ESF Claims best practice file and if your queries aren't able to be resolved via this guidance or the ESF Claims best practice file above, please direct any queries to MA via the email address below:

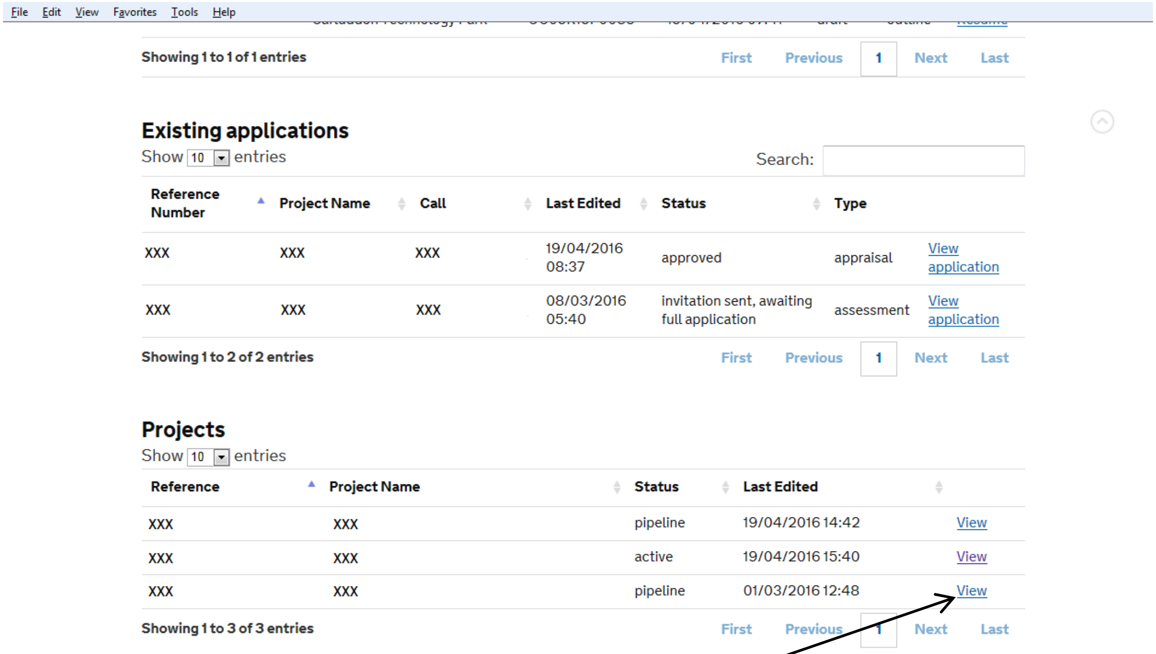
ESFECLAIMSGR.SUPPORT@DWP.GSI.GOV.UK.

1 - Loading claim onto system

Log in to your account.

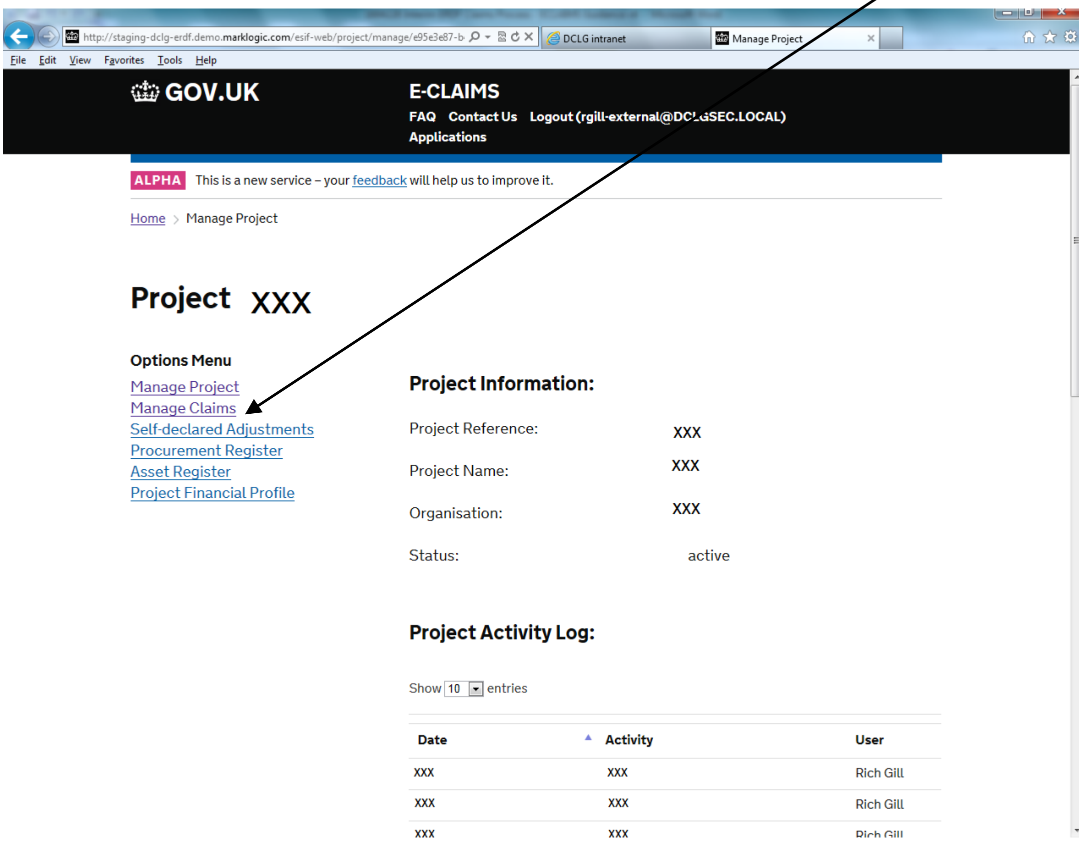
Scroll down to the ‘Projects’ heading on your Home screen (This is the screen that says ‘Welcome’ at the top of page):



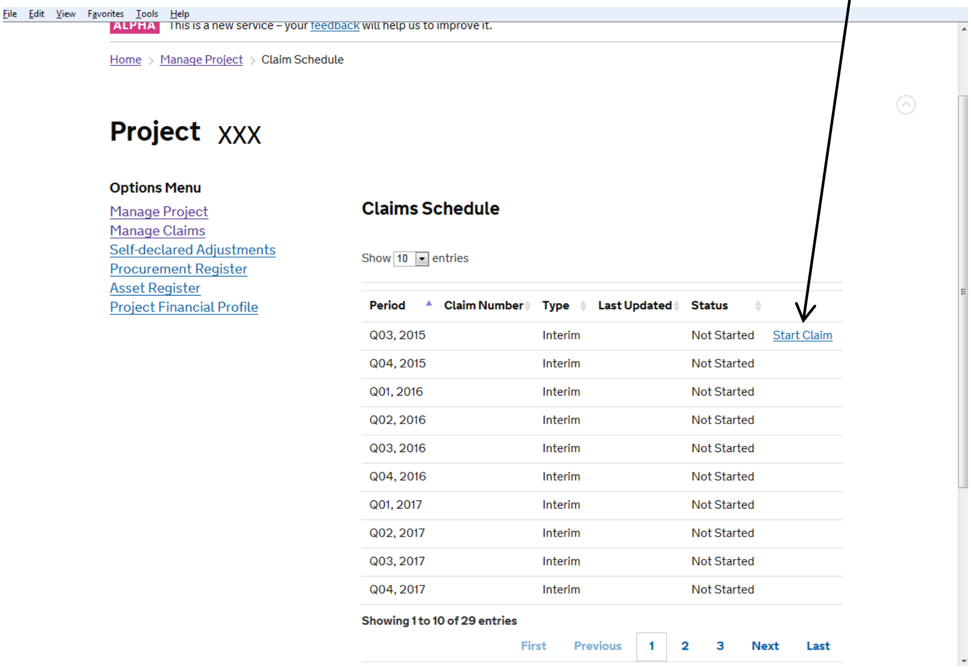


Identify the relevant project (what you see here will depend on how many projects you have) and click on ‘View’.

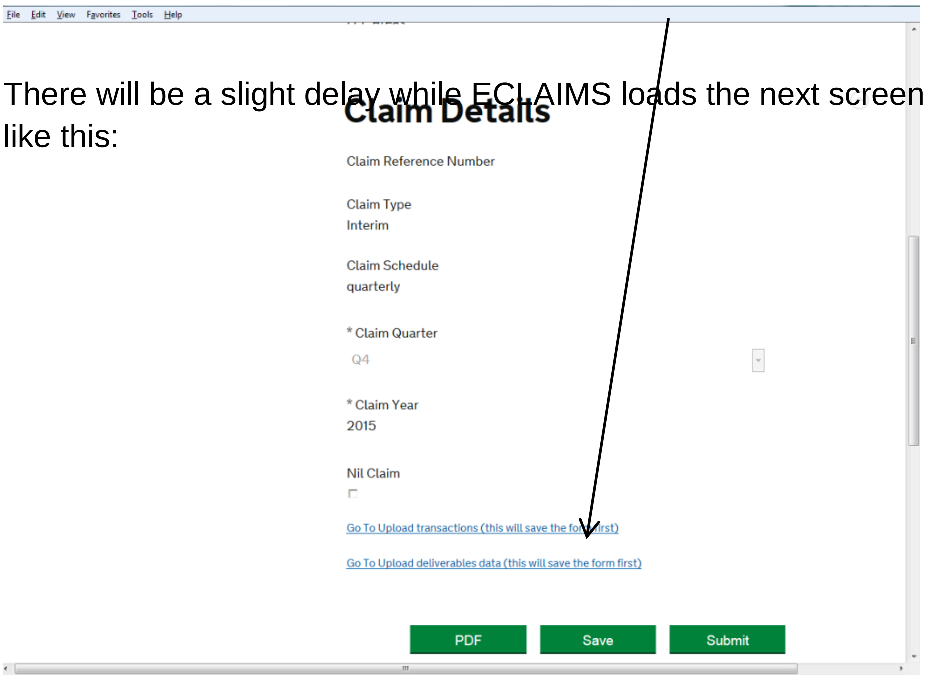
You should then see a screen like that shown below. Click on Manage Claims in the options menu:



When a list of Claims Schedule is displayed - select 'Start Claim' to the right of the appropriate claim.

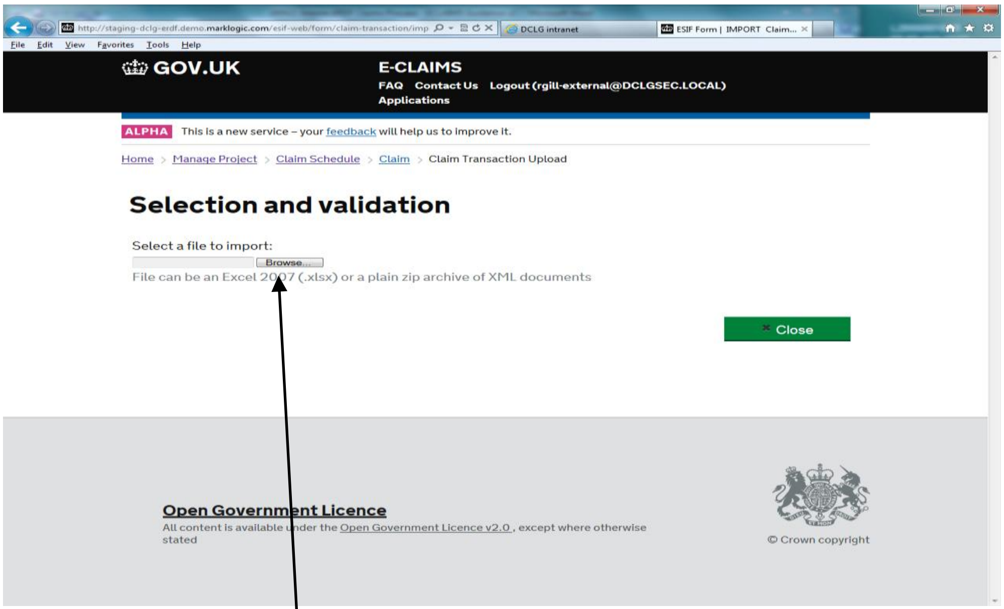


You are then presented with the Project Overview and Claim Details screen - note this gives you the option of submitting a 'Nil claim' – only click in this box if you are not intending to submit a financial claim for this quarter. If you are submitting a NIL claim for a period after a first claim has been paid, please note you must still complete a Progress Report. Click on 'Go to Upload Transactions'



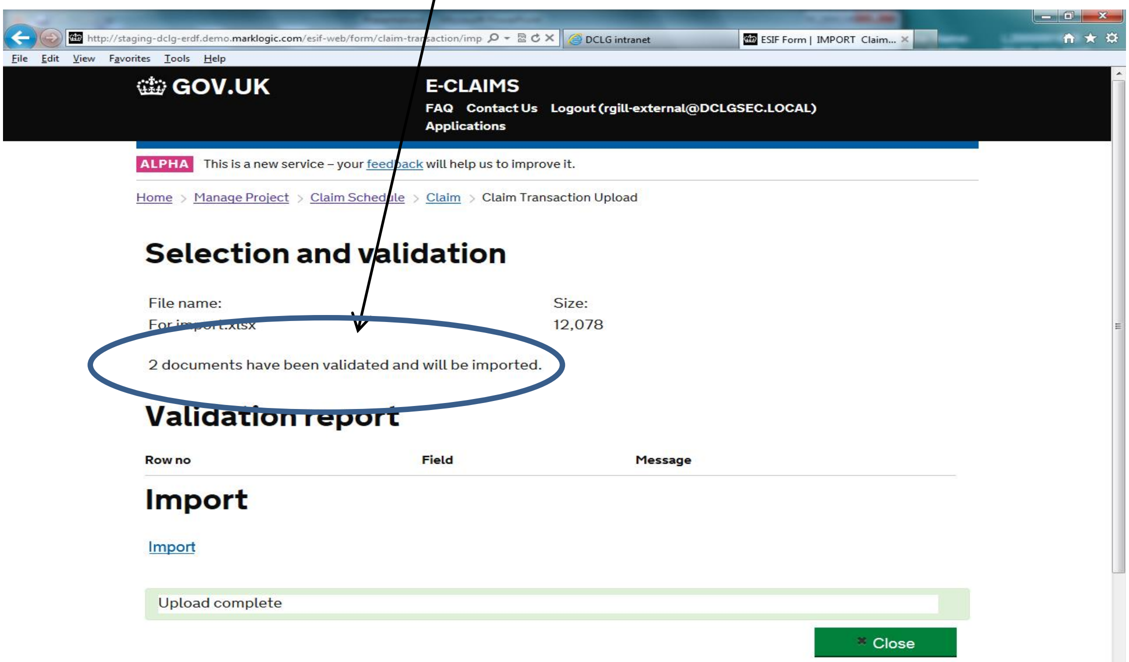
There will be a slight delay while ECLAIMS loads the next screen which should look like this:

This is the point where you upload a copy of your pre-prepared (import ready) Transaction List – *see **Annex 1** for further information on how to prepare a Transaction List.* The Transaction List is the mechanism for the MA to capture details of all financial transactions relating to the project.



Now click on the Browse button shown above and find your exported version of the Transaction List you wish to upload, clicking 'Open'

The service will now validate your Transaction List and if the validation checks are passed, you should see a screen like this advising you that your documents i.e. transaction lines have been validated and will be imported:



If the validation checks failed, you will see a screen like this:

Upload complete

Selection and validation

File name:
Transaction flat.xlsx

Size:
9,895

NOTE: 2 out of 2 documents are invalid.

Validation report

Row no	Field	Message
3	cost-category	This Cost Category is not associated with this project
3	priority-axis	This Priority Axis is not associated with this project
3	investment-priority	• This Investment Priority is not associated with this project • This Investment Priority is not associated with this Priority Axis
3	defrayal-date	Date of Defrayal must be before end of claim period
3	total-less-developed-category-of-region	You have allocated expenditure to a Category of Region that is not defined in your project.
3	total-transition-category-of-region	You have allocated expenditure to a Category of Region that is not defined in your project.

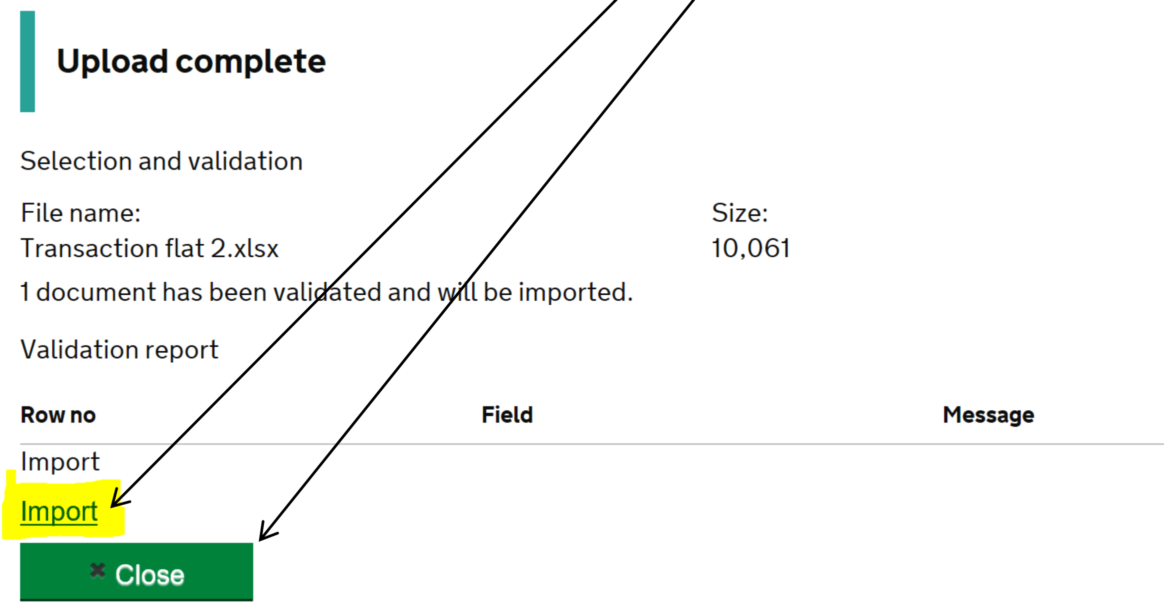
- The “Row no” relates to the excel spreadsheet row number, not the Line Item ID
- The “Field” relates to the column header on the spreadsheet.
- The “Message” provides a description of the issue.

You will not be able to proceed to the next stage until any issues have been resolved. At this point the Transaction List has not been uploaded; you can therefore work on your Transaction List to resolve the issues and then follow the steps to upload the Transaction List again from the beginning.

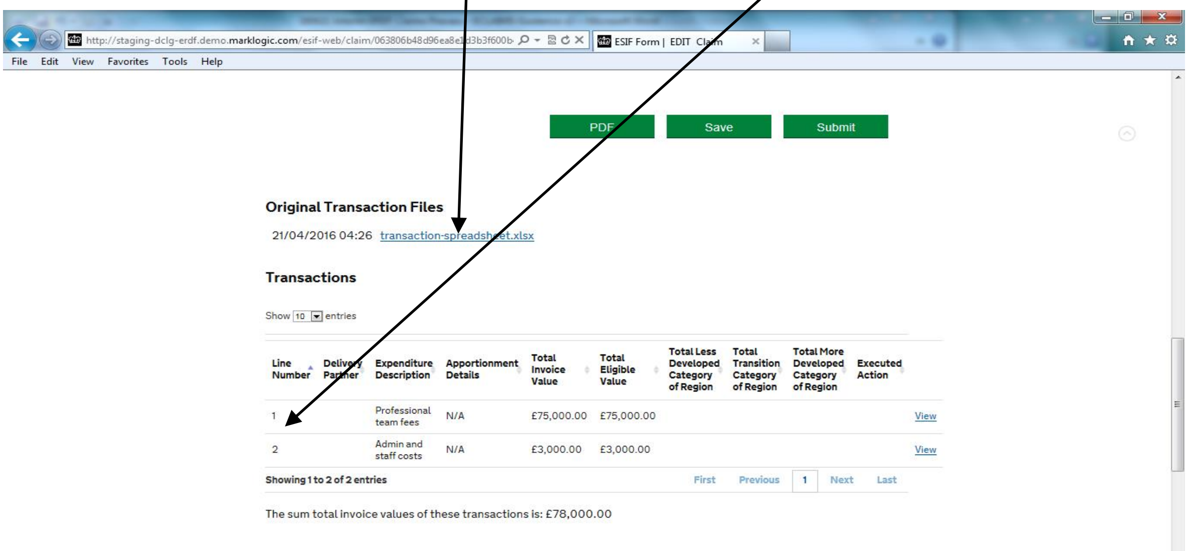
Please refer to the relevant guidance and the tab on the Transaction List before contacting the MA with queries.

Once the Transaction List has been uploaded, click the Import prompt.

After documents have been imported click the green 'Close' button which will return you to the claim overview screen.



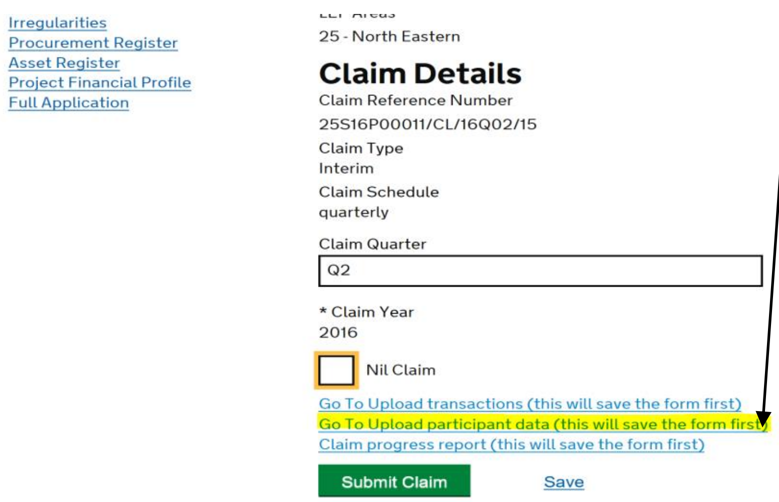
You should see the transaction xlsx file and list of transactions when scrolling down the overview screen:



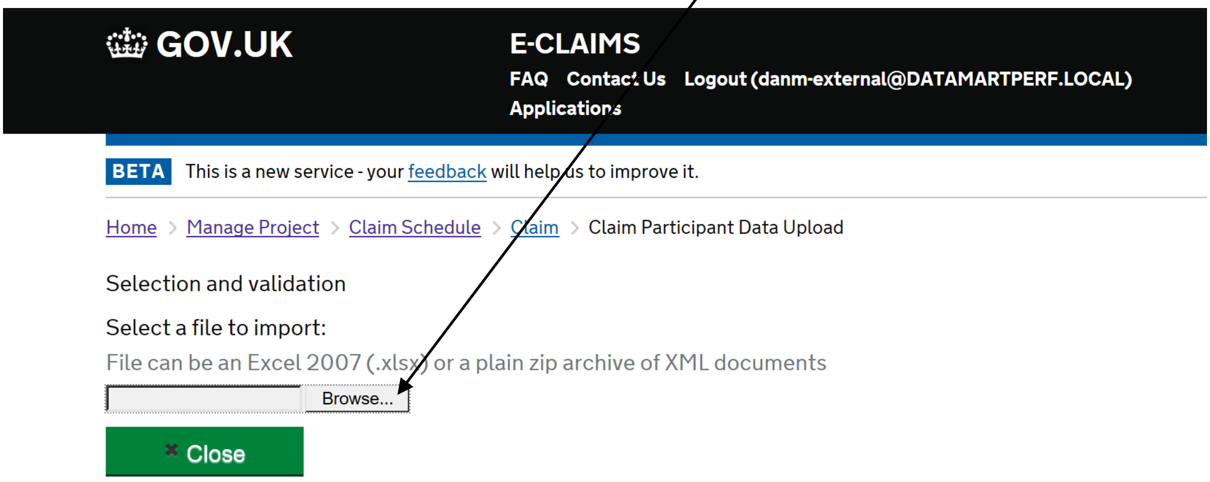
If your Project is not required to report details of participants please move on to the section titled "Claim Progress Report". All other projects must follow the guidance below on Participant Data Schemas (PDS)

2. Participant Data Schema (PDS)

The PDS is the mechanism for the MA to capture details of all participants on ESF projects. The PDS needs to be uploaded to ECLAIMS in a similar way to the Transaction List. First, click on the link "Go to Upload Participant data"



You will then be presented with the following screen. Click browse and find your exported version of the PDS file you wish to upload – *see Annex 2 for further information on how to prepare a PDS*.



The system will then perform a validation check against the data on the PDS. If any issues are identified, they will be displayed as below.

Upload complete

Selection and validation

File name: PDS flat.xlsx

Size: 282,983

NOTE: 3 out of 3 documents are invalid.

Validation report

Row no	Field	Message
4	project-identifier	Project Identifier is a required field, this should match your Project Number
4	date-of-birth	This is a new record and as such Date of birth is a required field
4	participant-postcode	The postcode must be a valid UK postcode
4	ethnicity	This is a new record and as such Ethnicity is a required field
4	disability-status	This is a new record and as such Disability status is a required field
4	other-disadvantages-homeless	This is a new record and as such Other disadvantaged - homeless (broad definition) is a required field
3	project-identifier	Project Identifier is a required field, this should match your Project Number

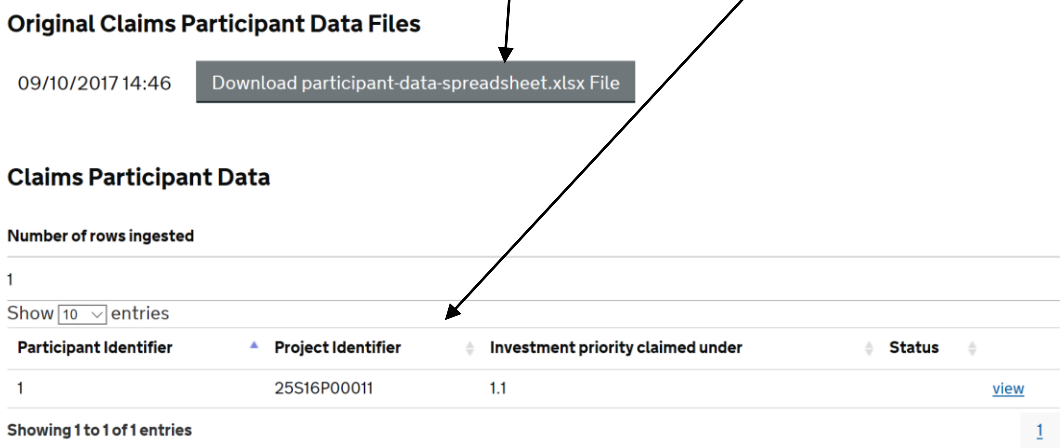
- The “Row no” relates to the excel spreadsheet row number, not the Line number
- The “Field” relates to the column header on the spreadsheet.
- The “Message” provides a description of the issue.

You will not be able to proceed to the next stage until any issues have been resolved. At this point the PDS has not been uploaded; you can therefore work on your PDS to resolve the issues and then follow the steps to upload the PDS again.

Please refer to the relevant guidance and the tab on the Participant Data Schema before contacting the MA with queries.

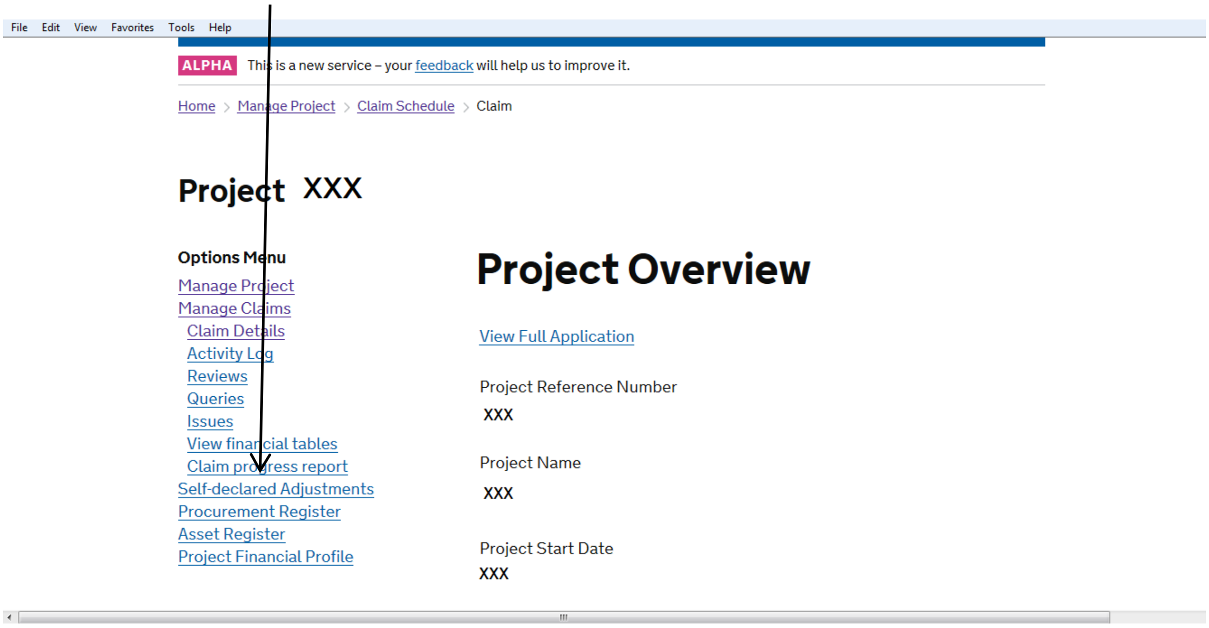
Once the PDS list has been uploaded and validation checks passed, click the Import prompt. After documents have been imported click green 'Close' button which will return you to the claim overview screen

You should see the participant-data-spreadsheet.xlsx file and list of participants when scrolling down the overview screen:

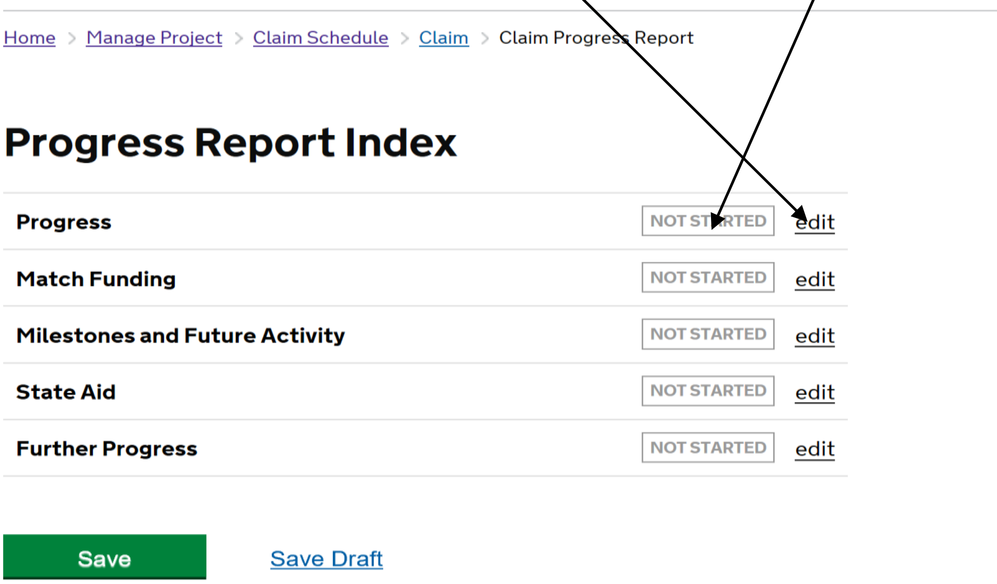


3. Claim Progress Report

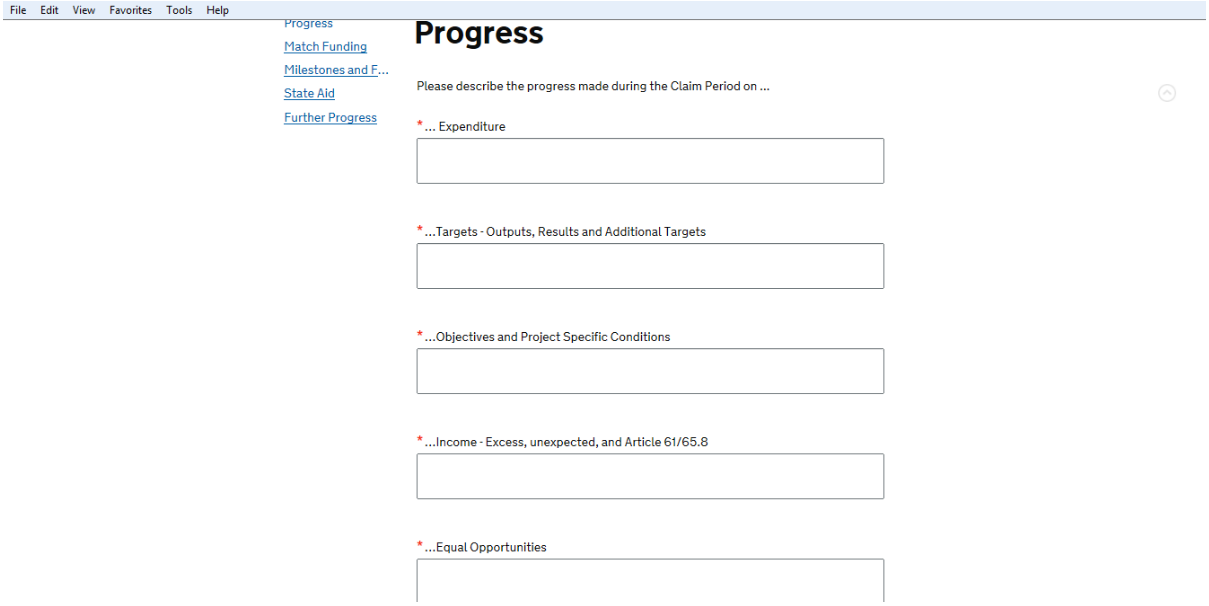
Once you have uploaded the Transaction List (and PDS where required), you will need to complete the Claim Progress Report. From the claim overview screen, select 'Claim Progress Report' from the menu to the left of the page:



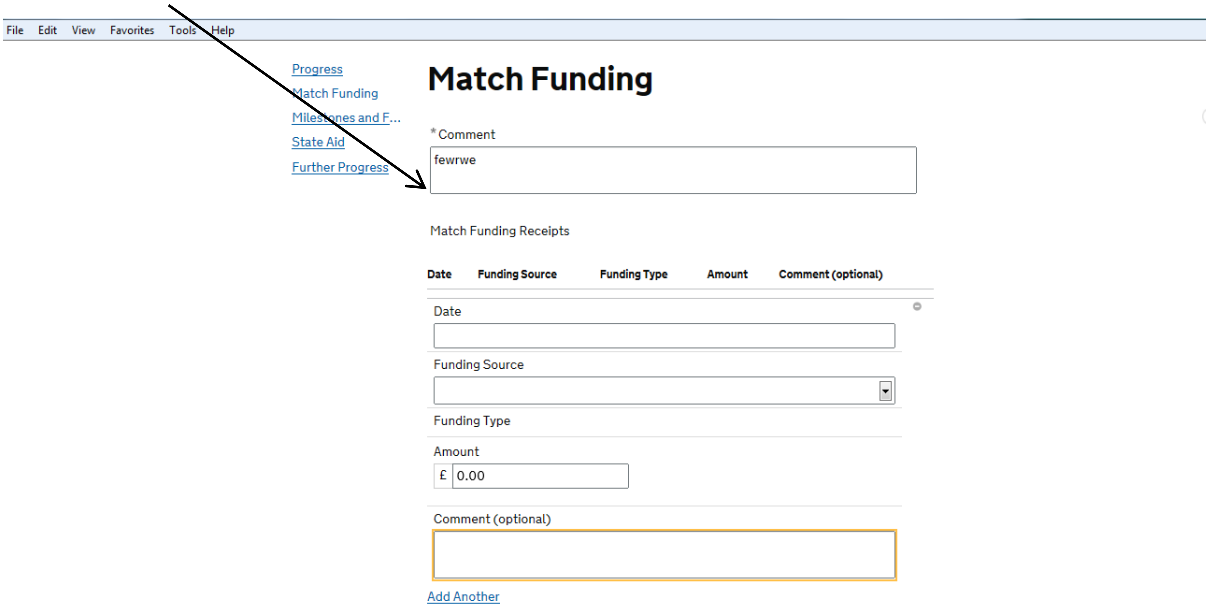
You are then presented with a contents table, showing the various stages of the report. As you progress through the form, you will see the "not started" button change to show progress made. Click on "edit" to start.



You will then be prompted to include text (ECLAIMS does not accept tables or any kind of formatting) in each of the following boxes, note that these do not precisely mirror the word version of the Progress Report.

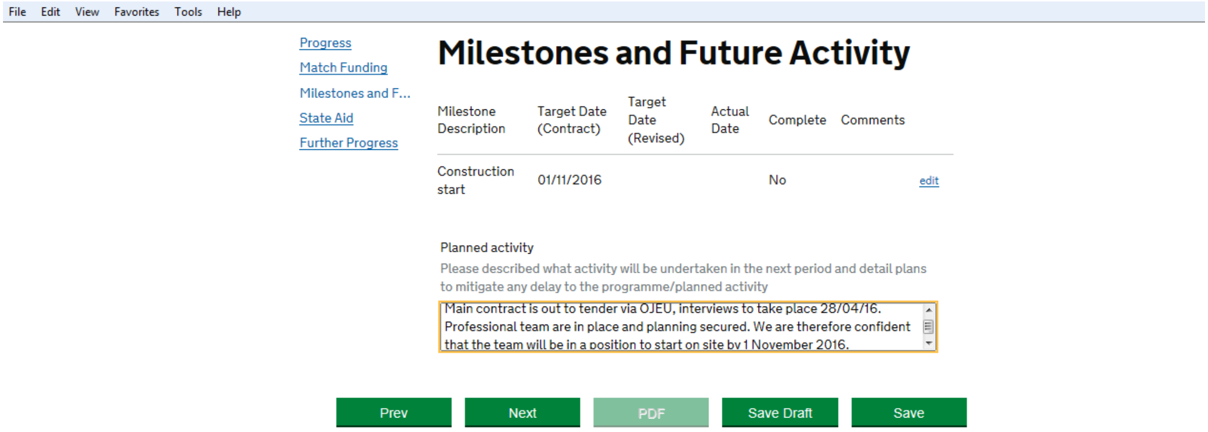


You are given the option to save at this point and then move to the next screen which covers Match funding or go back to the menu. Boxes marked with a red asterisk are mandatory:

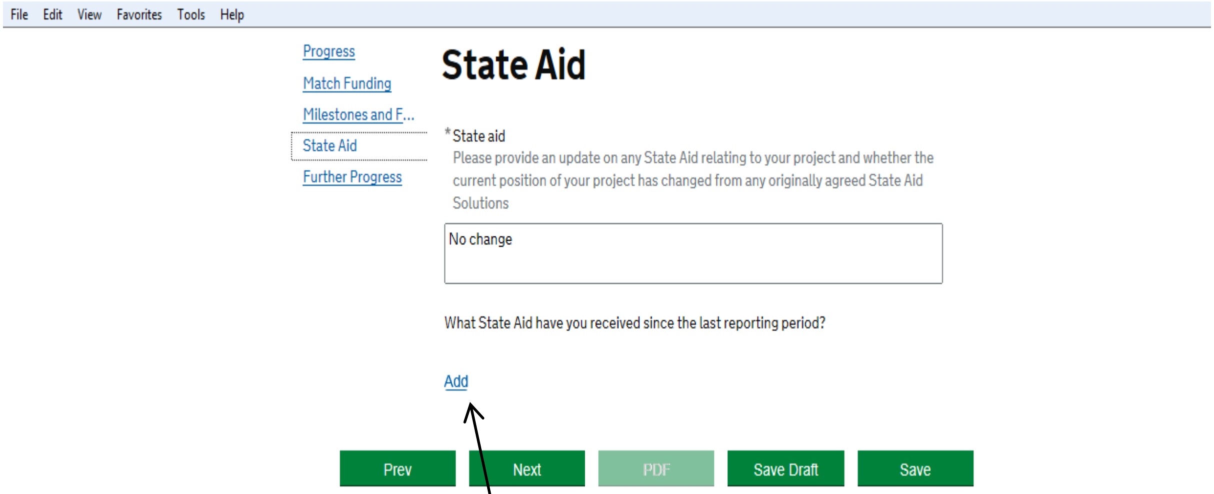


Note that if you want to add details of additional match received during this period you can select 'Add another'.

The next screen enables grant recipients to enter details of progress against milestones:

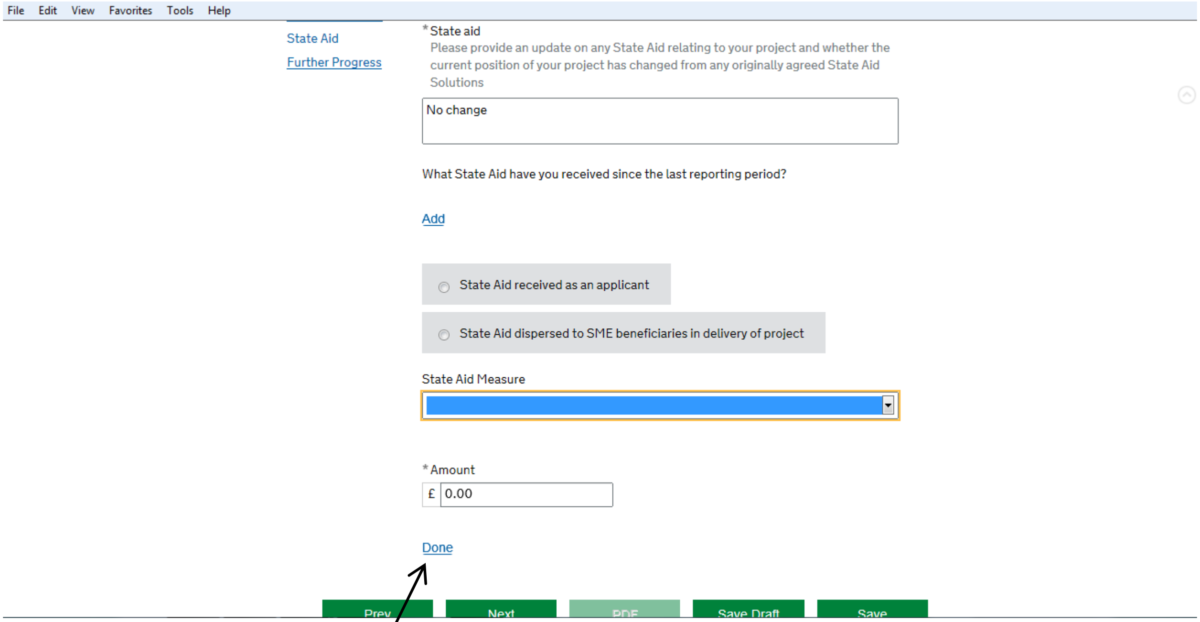


You are now requested to enter details of State aid received in the period, you must enter text even if there has been no change or no aid received.



If however there has been aid received as grant recipient (applicant) or beneficiaries within this period you need to enter this, clicking on ‘Add’.

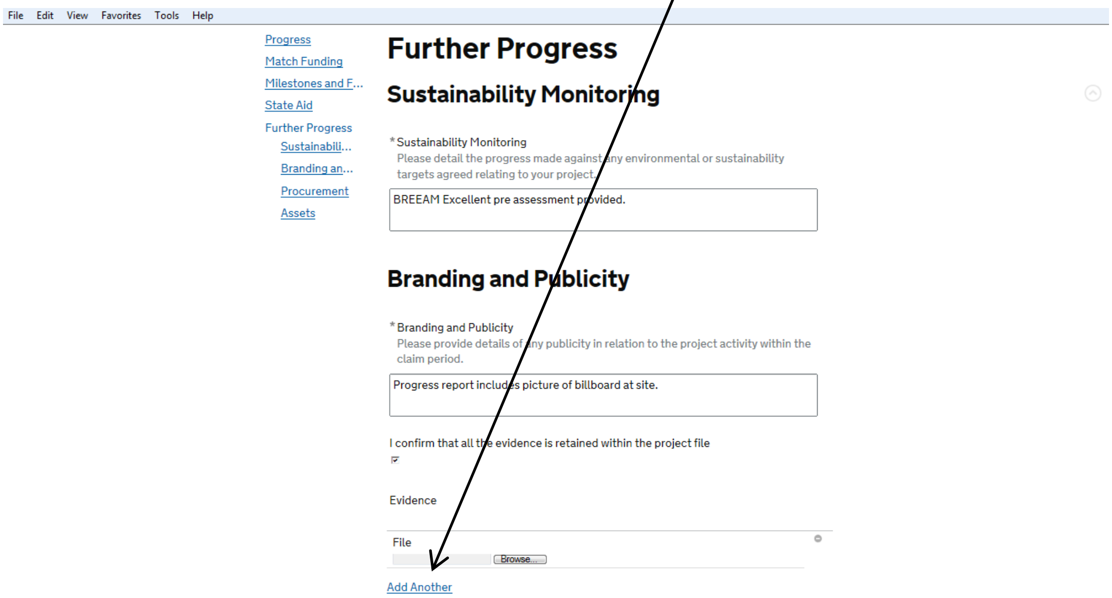
If you've clicked on Add, the following sections will need to be completed,



Once completed, click on Done. The details will then appear below the commentary text.

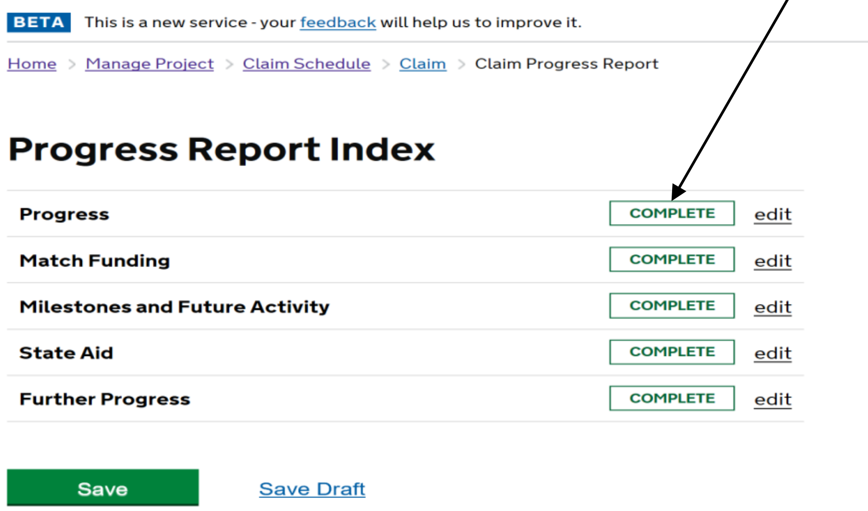
You have now reached the final section of the Progress Report. Comments must be provided for all sections.

Note that there is a function to upload evidence to the branding and publicity section, should you have more than one item to upload click on the 'Add another' button below the box provided for comments:



The screen below is the second part of the 'Further Progress' section, if you have forgotten to add procurements you can go directly to the register, ECLAIMS will automatically save your progress in this section: See Annex 3 for further information on the Procurement Register.

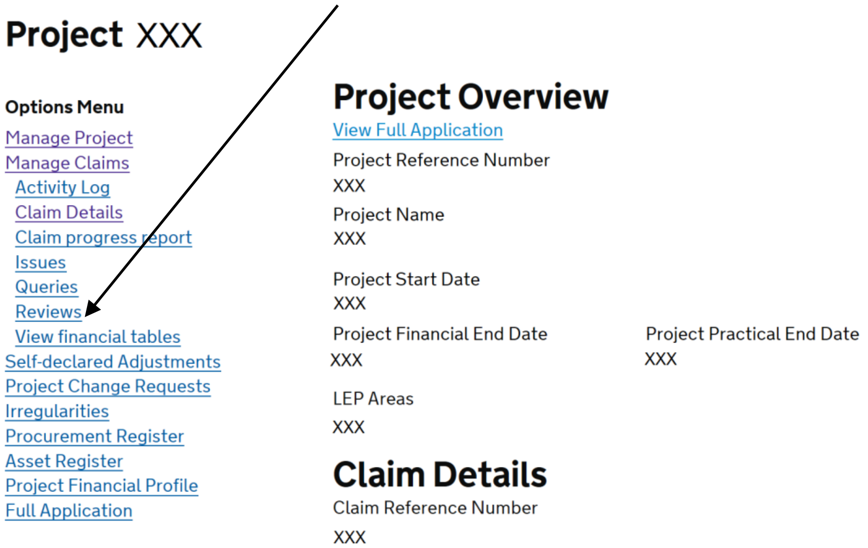
Once the Progress Report has been completed, click Save and return to index. The index screen should look as follows, with each section marked as "complete" Click Save and you will be returned to the claim overview screen.



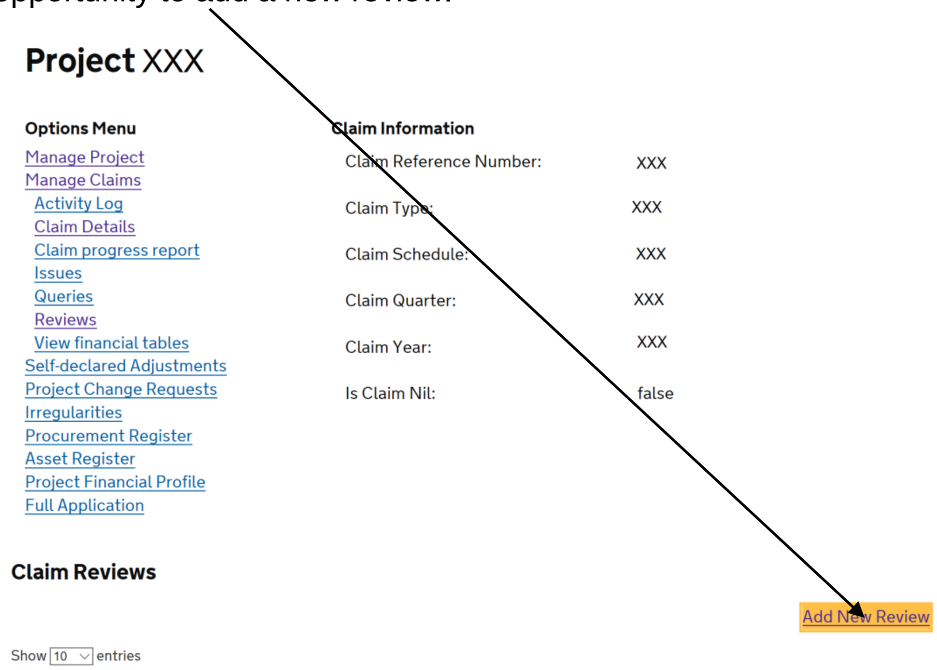
Once the Transaction sheet and PDS (where required), has been loaded onto ECLAIMS and the Progress Report and procurement registers completed (and saved), the next stage is to undertake a claim review.

4. Claim Review

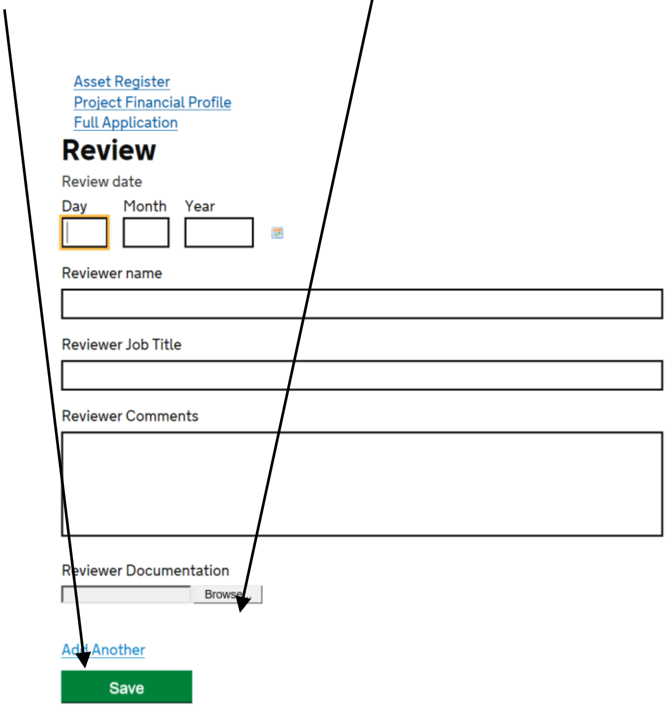
The review function is to record who has reviewed the claim before submission (this should be in line with your organisational policy) and to add any supporting claim documentation. Click Reviews.



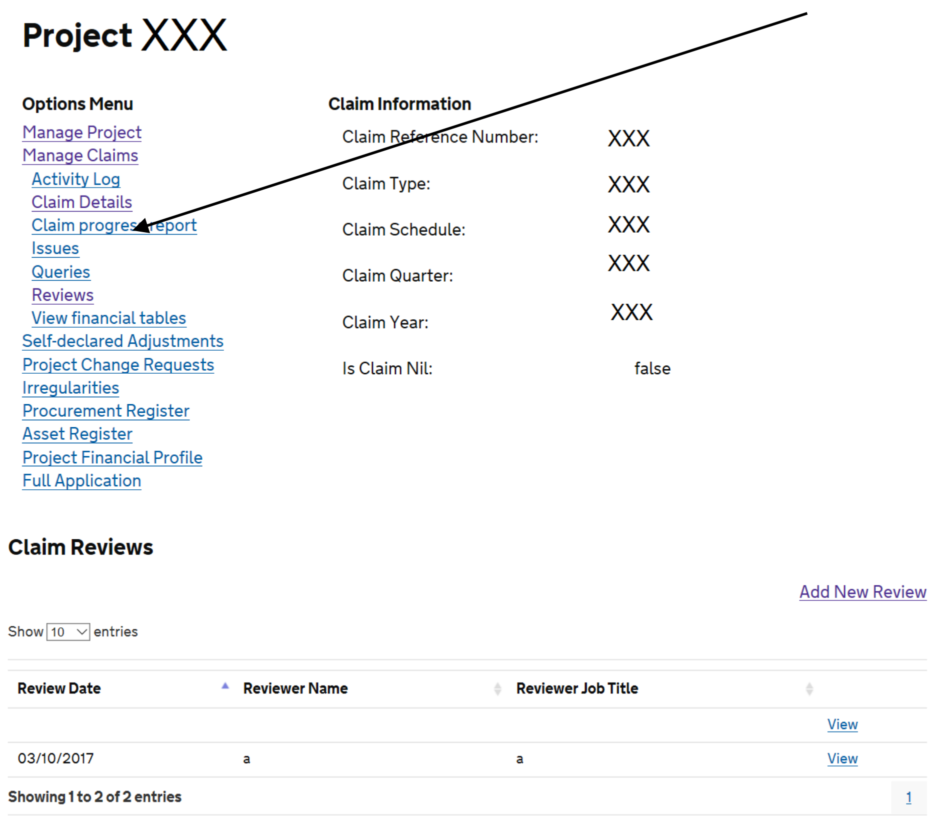
In this section you will see any reviews that have taken place. There is also the opportunity to add a new review.



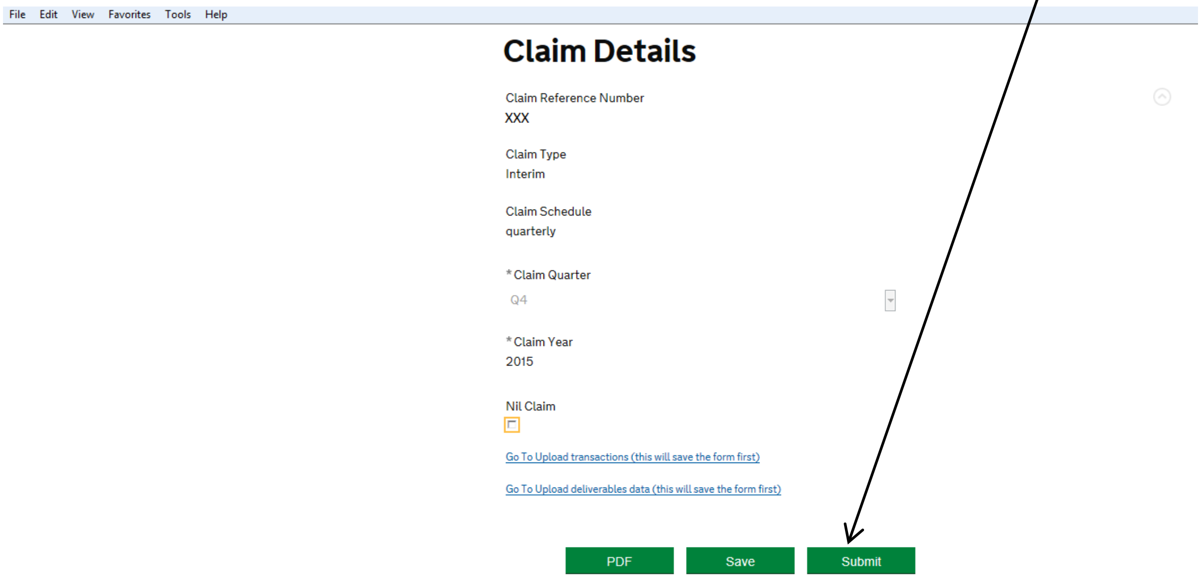
The Reviewer should complete the fields with the date of review and their details. There is a free text comments box, where the Reviewer can make the MA, or claim editor aware of any issues. To upload any supporting documentation i.e. the Dual Forecast Spreadsheet, click browse and attach the file. You will need to select a 'File Category' from the drop-down menu; in this case you should use 'File note'. To add more than one document, click 'Add Another'. Once finished, click 'Save'.



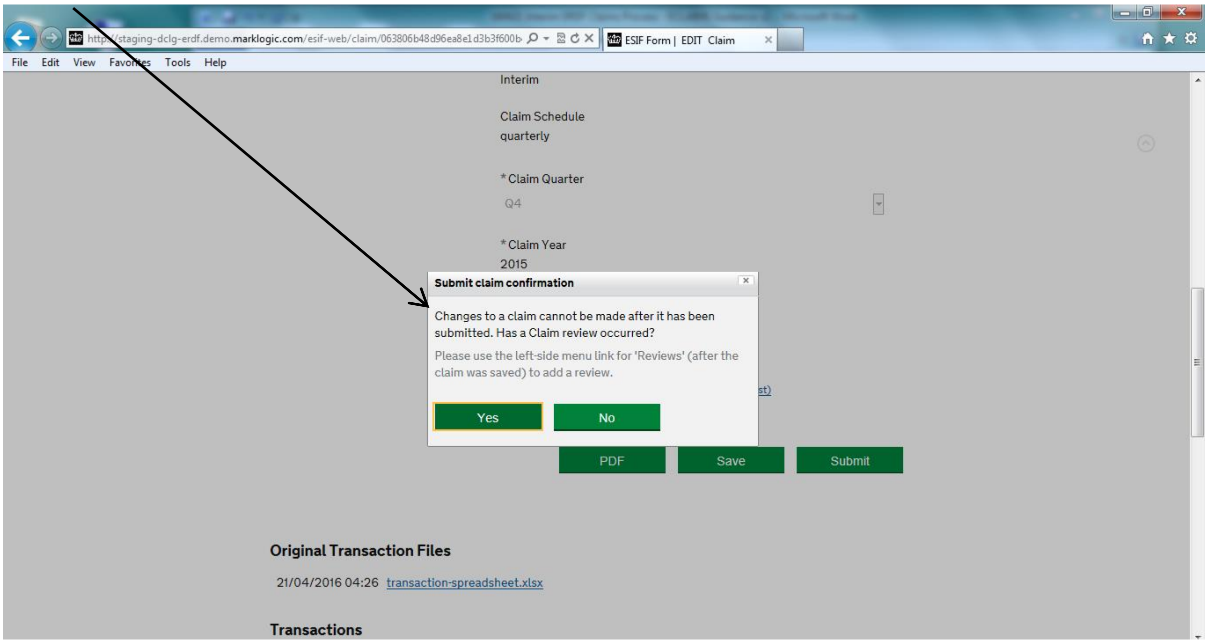
You will be returned to the Reviews screen and will now be able to see the details of the Claim Review that has been undertaken. Should a further review be required i.e. the Reviewer asked the Claim Editor to do further work before the claim could be submitted, then click the New Review button and repeat the claim review process. If you are content that the review activity is completed, click Claim Details.



Once the claim review is complete and the Claim Editor and Reviewer are content that the claim is ready to be submitted, on the Claim Overview screen, click on 'Submit'.



If you have fully completed the process, you will then get the following pop up box:



Please note that once you click Yes, the claim will be submitted and you will be unable to make any further changes.

If you have not completed the Progress Report, ECLAIMS will not allow you to submit the claim.

Providing you are content that the claim is accurate, click Yes and the claim will be sent for review by the MA.

IMPORTANT: the person that submits the claim will be the only one able to respond to the desk based checks sent by the Managing Authority. Ensure that the correct person 'submits' the claim.

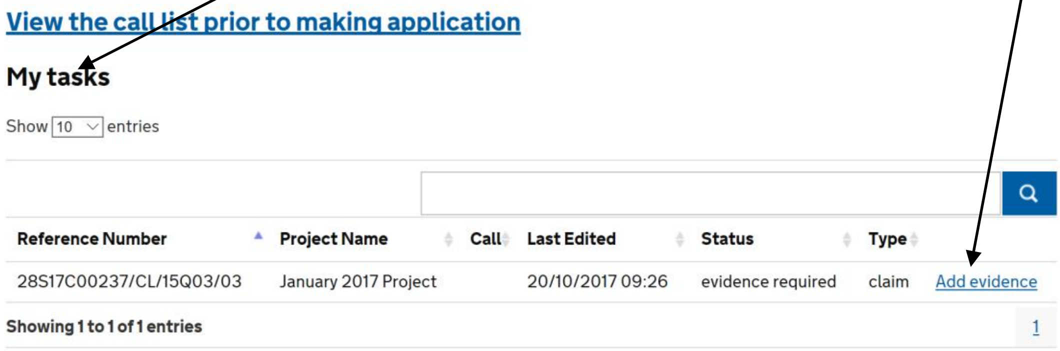
5. Dealing with Documentary Evidence Check Requests

IMPORTANT:

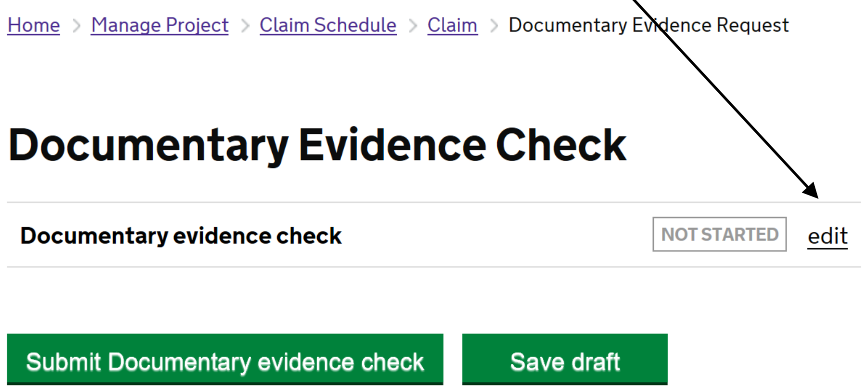
- The only person in the Grant Recipient organisation that will be able to complete this section, is the person that ‘submits’ the claim.

- JPEGS and MS Office files with enabled macros may not upload to ECLAIMS - If you have a problem uploading a particular file type please (if possible) convert your document(s) to PDF and inform your Contract Manager of the issue.

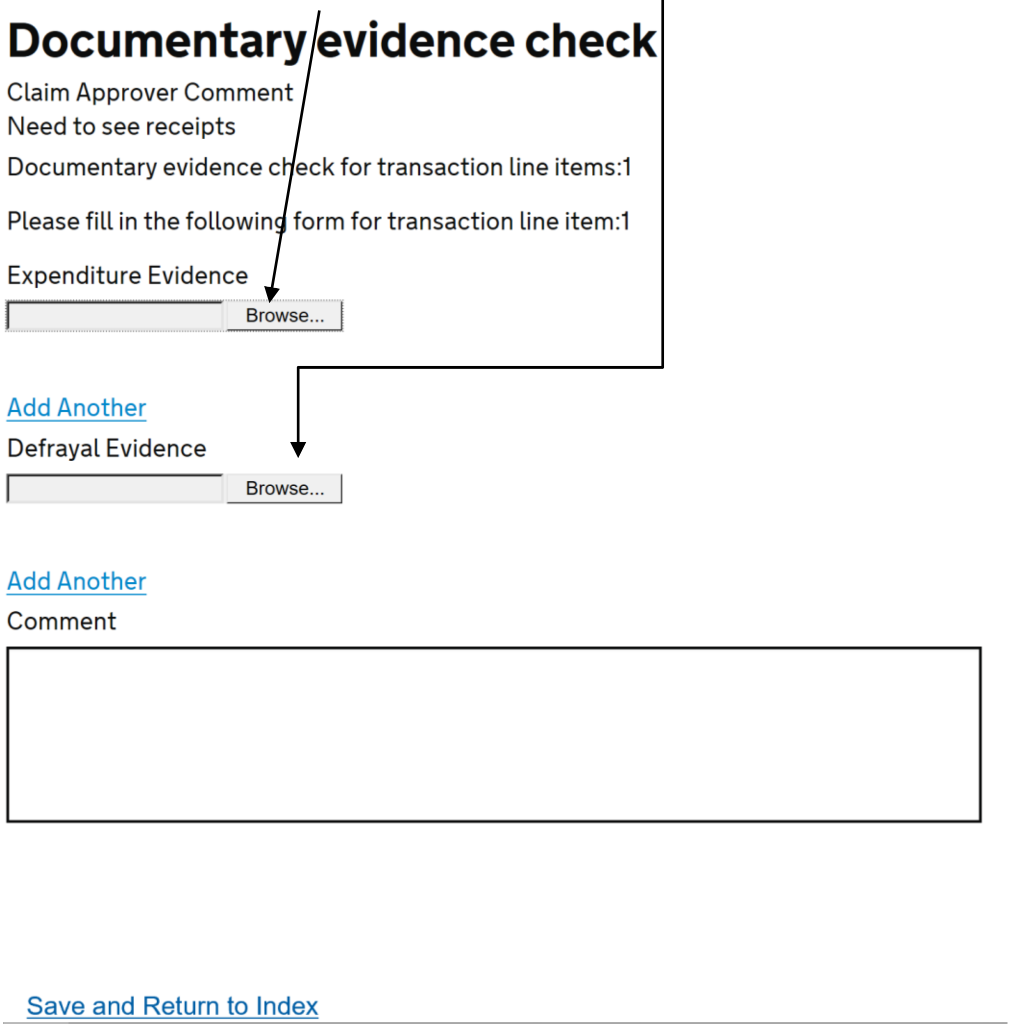
When the Contract Manager requests evidence to support the claim, you will see a new task appear in the “My tasks” section of the dashboard. Click on “Add evidence”



You will then see the following screen, click “edit” to proceed.



In the following screen you will need to upload evidence of both Expenditure and Defrayal. To add evidence, first make sure you have an electronic version of the evidence saved. Then click on the browse button and locate your file. You should upload evidence of Expenditure and Defrayal.



If you need to add additional evidence, then click the “Add Another” link and repeat the steps above.

For each piece of evidence you will need to select a ‘File Category’ from the drop-down menu – if you cannot find the specific type of evidence, you should use ‘File note’ for Expenditure and ‘Evidence of defrayal’ for Defrayal. You will also need to complete ‘File Description’ text box with an accurate description.

Once you’ve added your evidence, your screen should look like the one below.

Documentary evidence check

Claim Approver Comment

Documentary evidence check for transaction line items:1

Please fill in the following form for transaction line item:1

Expenditure Evidence

Evidence of expenditure.docx (11 KB) ✖

Download

* File Category

Invoice

* File Description

photocopy of invoice

☑ I certify that this is a true copy of the original document

Add Another

Defrayal Evidence

Evidence of defrayal (2).docx (11 KB) ✖

Download

* File Category

Bank Statement

* File Description

copy of bank statement

☐ I certify that this is a true copy of the original document

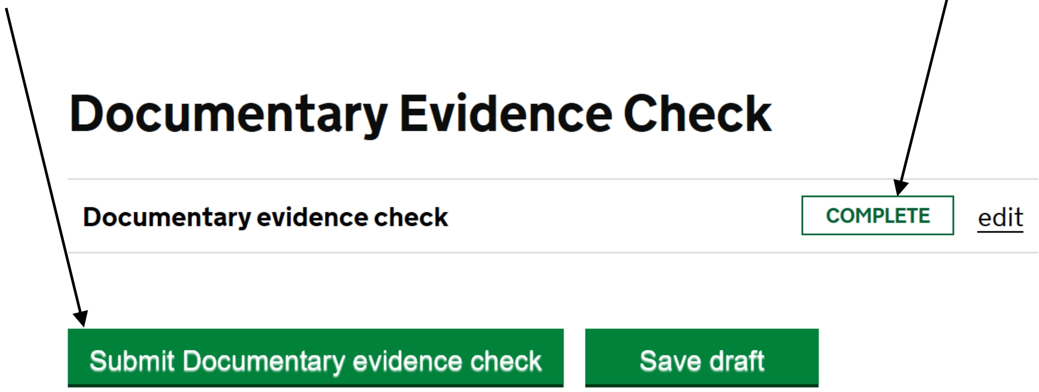
Add Another

Comment

All evidence provided.

Then click the "Save and return to index" button at the bottom of the screen.

Your screen should now look as below, with the status showing as “complete”. Now press the “Submit” button.



The action for Documentary Evidence Check is now complete and the action will no longer show in your “My Tasks” list.

If the Contract Manager or the Claim Authoriser decides that more evidence is needed, this process will be repeated, enabling you to upload the documents requested.

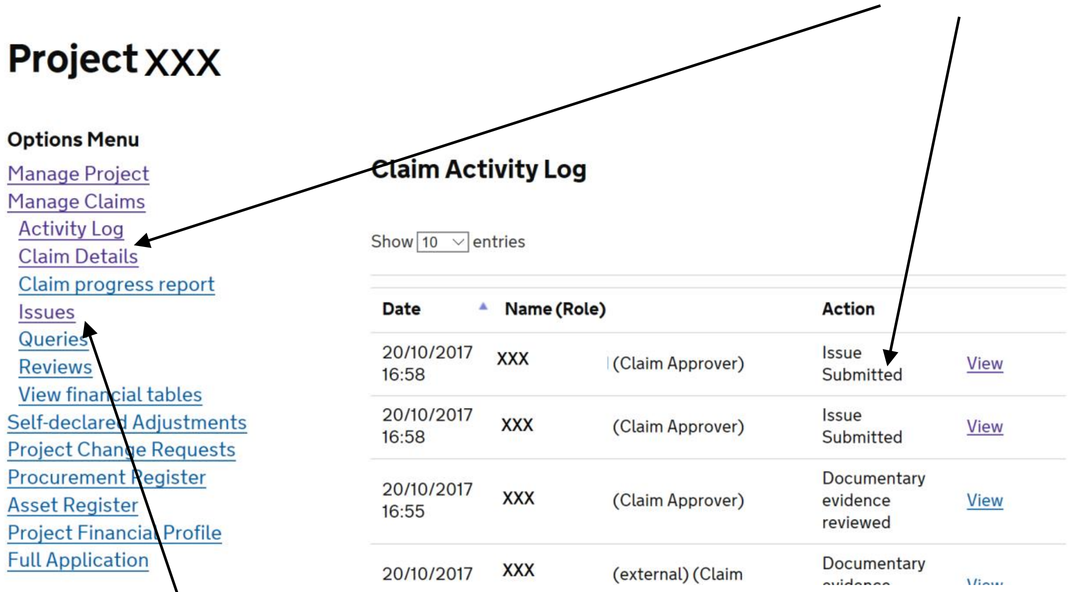
6. Issues and Queries

If upon review of your claim, a Contract Manager identifies a potential issue with any transactions on the transaction list, they will submit either an Issue or a Query.

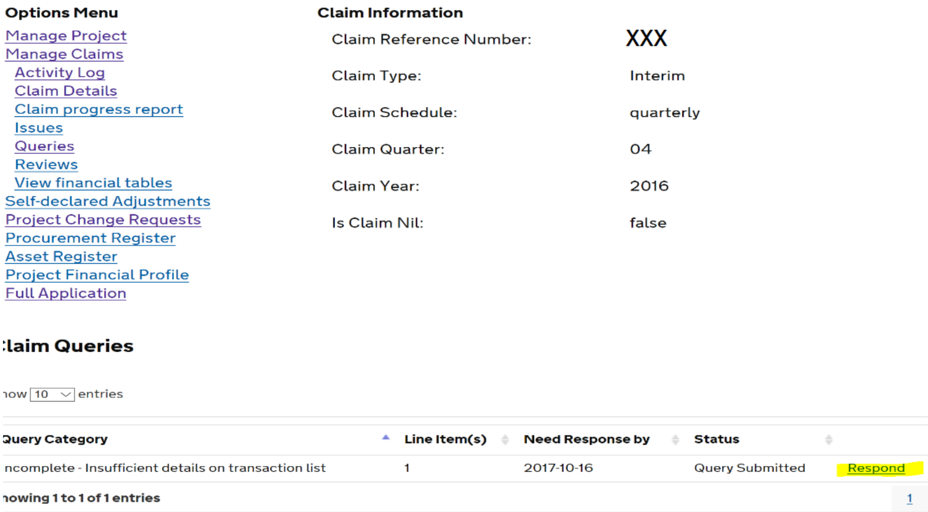
A query will be a question regarding the information you have supplied, often seeking clarification. An issue will normally be asking you to take additional action on the claim you have submitted i.e. amending or removing details on a transaction line.

At the moment issues and queries do not appear in the task list, so you will be notified separately by your Contract Manager that there is something for you to review.

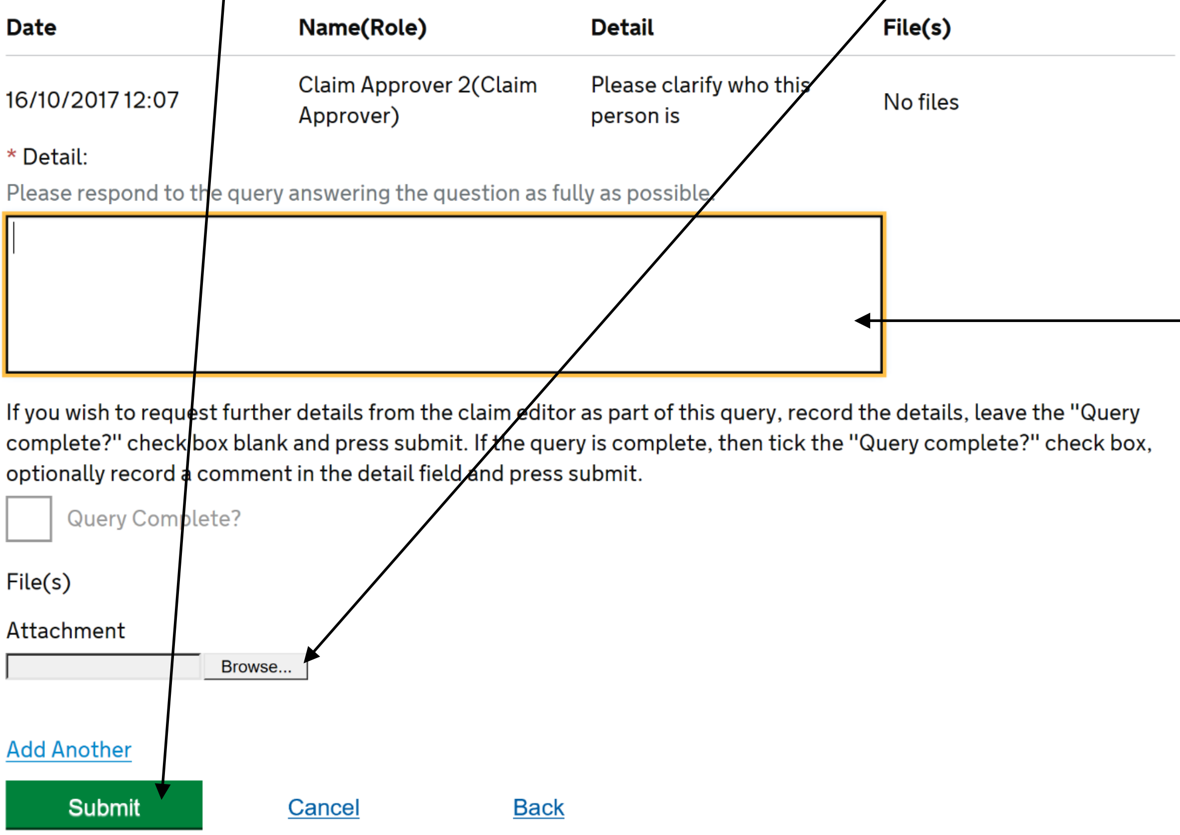
You can see if a review or query has been submitted by navigating to the claim (following the instructions in section 1) and looking in the claim Activity Log.



To review the Issue or Query, click on the relevant link from the menu on the left hand side of the page. For this example we will look at the Query functionality;



Click the “Respond” button, highlighted in the above screenshot, which takes you to a further screen. In this screen, enter a full response to the query in the “Detail” box, then attach any relevant files (where appropriate), by clicking the browse button. Then click Submit.



Your response to the query has now been submitted.

For this example we will look at the Issue functionality.

You will notice in the claims Schedule screen, if there is action for you to take.

Options Menu

- Manage Project
- Manage Claims
- Self-declared Adjustments
- Project Change Requests
- Procurement Register
- Asset Register
- Project Financial Profile
- Full Application

Claims Schedule

Show 10 entries

Period	Claim No	Type	Last Updated	Status	Amount	
Q01, 2016	01	Interim	18/09/2017	draft	£0.00	Continue
Q02, 2016	02	Interim	21/09/2017	submitted	£0.00	View
Q03, 2016	03	Interim	17/10/2017	requires action	£0.00	Edit
Q04, 2016	04	Interim	17/10/2017	ready for authorisation	£0.00	View

Click on Edit

There will now be a different link next to the lines that needs action.

£3,471.85	£172.70	£0.00	£0.00	£172.70	Amend

For this example, click on the Amend button. The box beside states ‘complete’ as it is referring to the line has been submitted and was complete. And then click on edit

Transaction

Transaction	COMPLETE	edit

Submit Transaction   Cancel

This opens up the transaction line and makes the fields editable. So you can make the amendment.

Transaction

* Line item no

11

* Cost category

ESF - direct staff costs

* Delivery partner (if applicable)

1

* Priority axis

P1

* Investment priority

1.1 - Access to employment

Procured contract id

* Supplier name

Joe Bloggs

Once done, click on the ‘Save and return to index’ link at the bottom of the page, then click on the green Submit Transaction button. The line will turn red and will be marked as “amended”.

Once the change has been made, you need to let the Managing Authority know that you have completed the action. To do this you need to click on the Issues link

Options Menu

- Manage Project
- Manage Claims
  - Activity Log
  - Claim Details
  - Claim progress report
  - Issues
  - Queries
  - Reviews
  - View financial tables
- Self-declared Adjustments
- Project Change Requests
- Procurement Register
- Asset Register
- Project Financial Profile
- Full Application

Then find the issue, and click on Respond

03/11/2017	Incomplete - Other information incomplete	11	Amend	Claim Editor	No	Respond

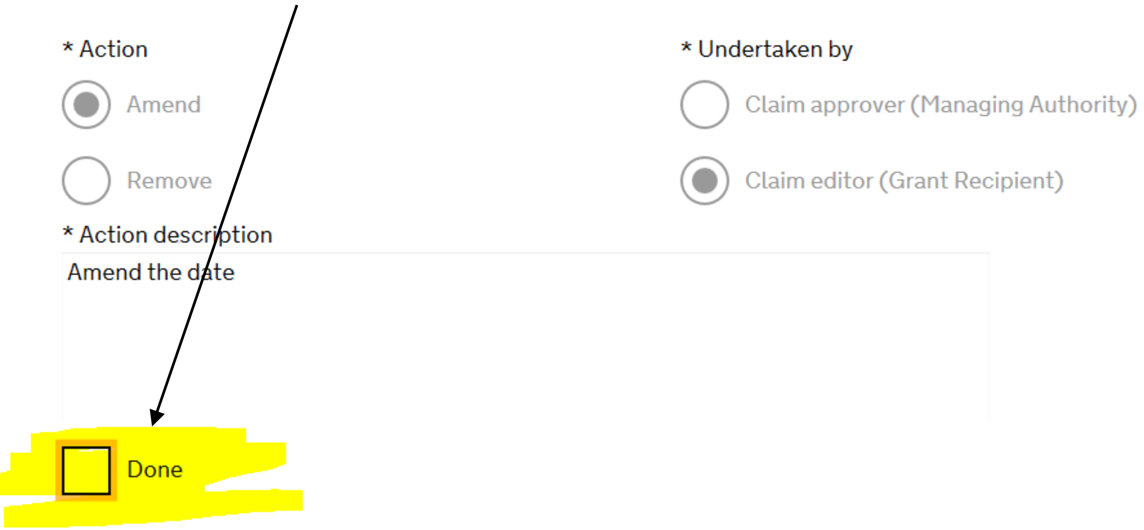
Next click on the edit link on the line containing the Claim "Issue"

Claim issue

Claim issue	COMPLETE	edit

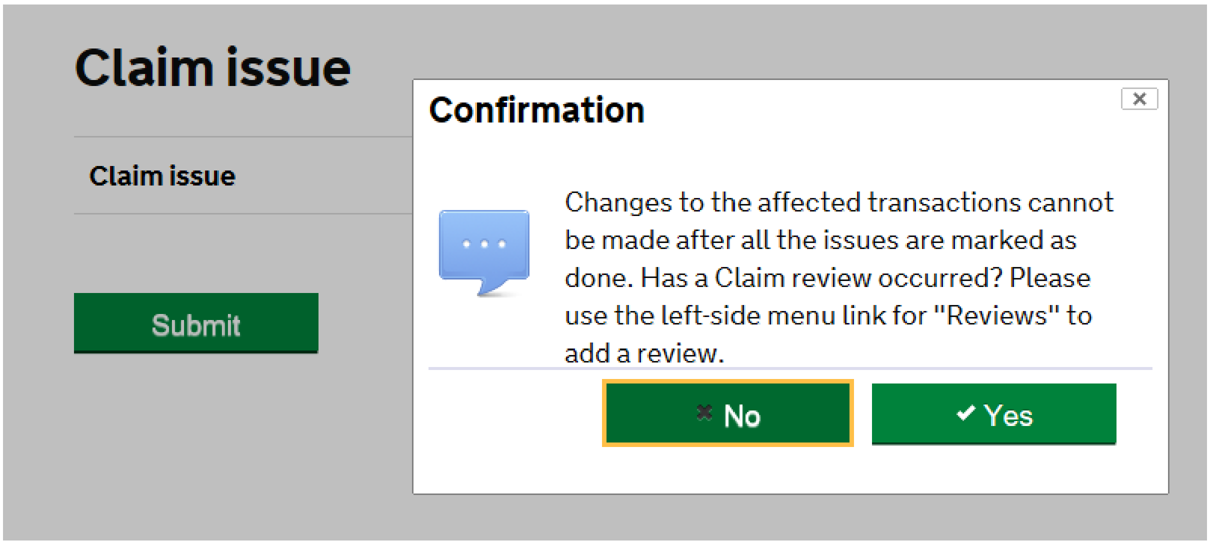
Save   Cancel

Add a tick to the ‘Done’ box



Then click on Return and Save to index.

Finally you click on Submit, which brings up a pop up warning box



If all the amendments have been made, you click on Yes, and the change is sent to the Managing Authority. You will need to email your Contract Manager to advise this has been done.

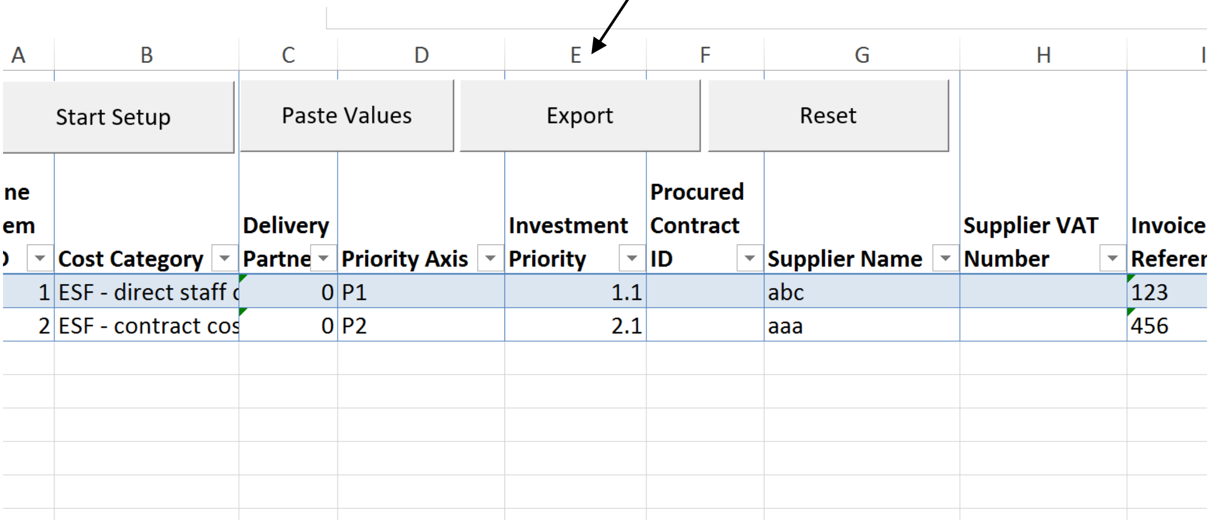
It is a similar process to remove lines that have been rejected by the Contract Manager, except in this case you click on ‘Remove’ rather than ‘Amend’ and a box pops up asking if you are sure you want to remove that line. You click on Yes and the line is removed – it remains in the Transaction List but has a line through it.

If there are further Issues or Queries, these will be raised through ECLAIMS. Anything further may be dealt with outside of the system i.e. via email.

Annex 1 Transaction List

The MA has provided guidance for Grant Recipients on the completion of the Transaction List (see the link on page 2).

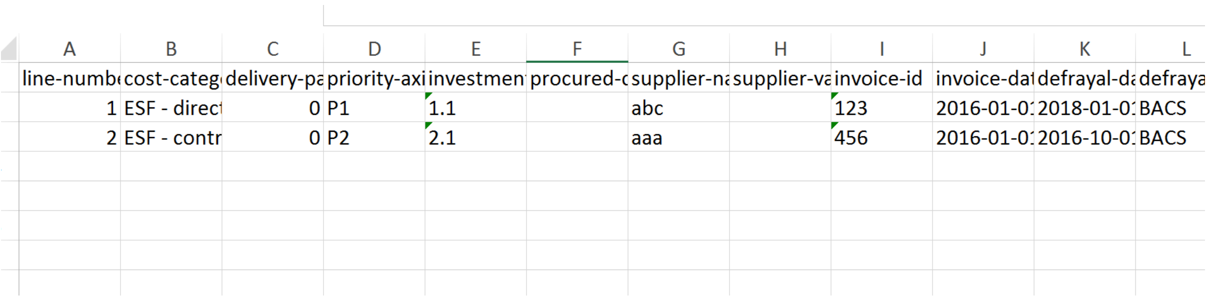
When the Transaction List is complete, click the Export button, which then produces a “flat” version of the spreadsheet. Please note that it is not possible to import the Transaction List in to ECLAIMS, until it has been “flattened” i.e. the macros and all formatting are removed.



A	B	C	D	E	F	G	H	I
ne em)	Cost Category	Delivery Partne	Priority Axis	Investment Priority	Procured Contract ID	Supplier Name	Supplier VAT Number	Invoice Referer
1	ESF - direct staff c	0	P1	1.1		abc		123
2	ESF - contract cos	0	P2	2.1		aaa		456

You will see a countdown in the bottom left corner of your screen as the process takes place.

The flattened version of your spreadsheet should look like this:



A	B	C	D	E	F	G	H	I	J	K	L
line-numb	cost-categ	delivery-pa	priority-axi	investmen	procured-c	supplier-na	supplier-va	invoice-id	invoice-dat	defrayal-da	defraya
1	ESF - direct	0	P1	1.1		abc		123	2016-01-0:	2018-01-0:	BACS
2	ESF - contr	0	P2	2.1		aaa		456	2016-01-0:	2016-10-0:	BACS

Please save a copy of this spreadsheet as this is the document you will import in to ECLAIMS. Please do not make any amendments to this form. It has been formatted to pass the validation tests on ECLAIMS, therefore any amendments will cause the validation checks to fail, and you will need to correct them before submission.

It is important to ensure you are using the latest version of the transaction list available.

Annex 2 PDS

The MA has provided guidance for Grant Recipients on the completion of the PDS (see the link on page 2).

When the PDS is complete, click the export button, which then produces a “flat” version of the spreadsheet. Please note that it is not possible to import the PDS in to ECLAIMS, until it has been “flattened” i.e. the macros and all formatting are removed.

G	H	I

Create export sheet.

s and situation when they join an operation		
rmation		
riod Participant Falls Under	Category Of Region Claimed Under	Investment Priority Claimed Under
2015 - Q01	less developed	1.1
2015 - Q01	transitional	2.1

The flattened version of your spreadsheet should look like this:

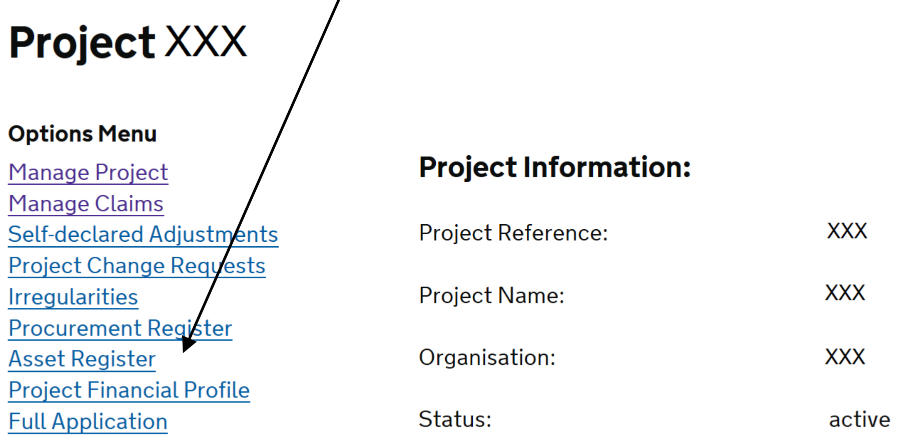
	E	F	G	H	I	J
tatus	date-of-entry-to-the-project	match-or-esf	claim-period	category-of-region	investment-priority	activity-postcode
	2015-01-01	mix	2015 - Q01	less developed	1.1	AA1 1AA
	2015-01-01	mix	2015 - Q01	transitional	2.1	a1 1a
	2015-01-01	mix	2015 - Q01	more developed	1.1	AB1 1AA

Please save a copy of this spreadsheet, as this is the document you will import in to ECLAIMS. Please do not make any amendments to this form. It has been formatted to pass the validation tests on ECLAIMS, therefore any amendments will cause the validation checks to fail, and you will need to correct them before submission.

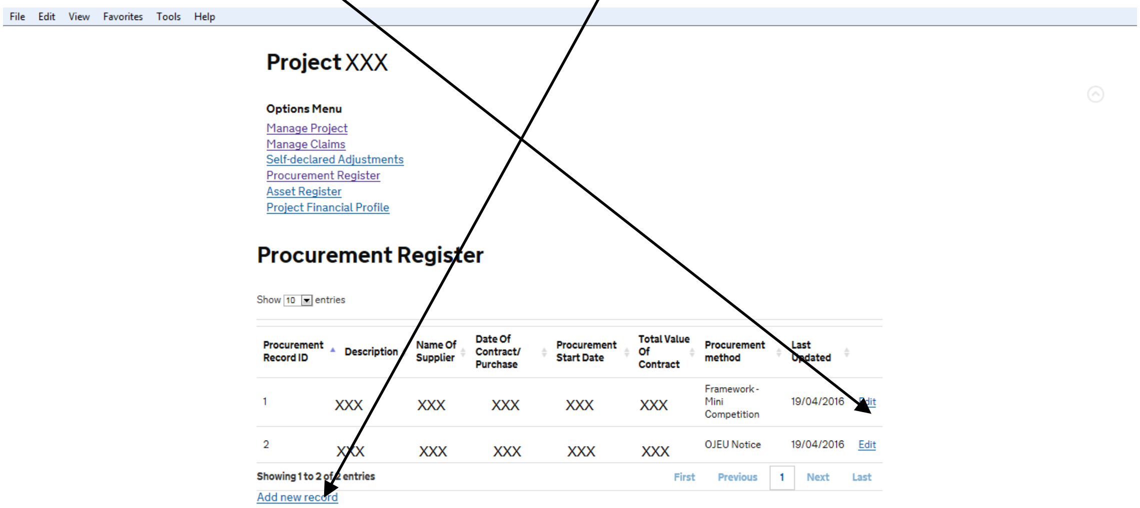
Annex 3 Procurement Register

IMPORTANT – Please note that when you access ECLAIMS for the first time, you must review the Procurement Register and add details of any completed and planned procurements (the MA is unlikely to have pre-populated this area).

The Procurement Register can be accessed via the Progress Report, or at any time through the Manage Project screen.



When in the Procurement Register, click on 'Add new record' to enter details of any new procurements, or click "Edit" to amend details of any existing procurements.



When you add a new record, you will be asked to provide full information with regards to that procurement. The information required is in line with that asked on the ESF application form. There is the opportunity to upload any supporting documents within this screen.