



## For Action

# Policy Note ESF017

V2.0

Issued date:	24/02/2014
Review date:	05/06/2015

<b>Title:</b>	<b>ESF Non-ILR participant data – identification of learner information relating to Delivery Statement claims and ESF Actual Costs breakdowns</b>
<b>Description:</b>	This policy note introduces the refined process and revised non-ILR data collection spreadsheet to ensure that both providers and ourselves are able to evidence activity claimed through the Delivery Statement relating to participants and actual costs.

For the attention of:		For External Distribution	Yes
Central Delivery Service	<input checked="" type="checkbox"/>	Audit Authority (AA)	<input checked="" type="checkbox"/>
Chief Executive's Office	<input checked="" type="checkbox"/>	Education Funding Agency (EFA)	<input checked="" type="checkbox"/>
Funding and Programmes	<input checked="" type="checkbox"/>	European Social Fund Division (ESFD)	<input checked="" type="checkbox"/>
Finance and Financial Control	<input checked="" type="checkbox"/>	Public/Providers	<input checked="" type="checkbox"/>
Information Management Services	<input checked="" type="checkbox"/>	<b>Policy note issued by:</b>	
Marketing and Communications	<input checked="" type="checkbox"/>	ESF Programme Team (Funding and Programmes)	
National Apprenticeship Service (NAS)	<input checked="" type="checkbox"/>	Skills Funding Agency	
Relationship Teams	<input checked="" type="checkbox"/>	Cheylesmore House	
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Version	Details of change
1.0	May 2013 - Initial release
2.0	Feb 14 Review of v1 & inclusion of reference to actual costs deliverables
3.0	June 2015 Revision to the non-ilr data sheet and associated guidance

## Background

Currently, colleges and other training organisations (providers) report on performance and progress of European Social Fund (ESF) contracts through the Individualised Learner Record (ILR) or Delivery Statement. The non-ILR data sheet supports the Delivery Statement element of this process.

There have been differences in the way the Delivery Statement and the non-ILR data sheet have been populated. This has led to inconsistencies between the non-ILR data sheet and the Delivery Statements. Audit errors occur particularly when Delivery Statements for prior months are revised and this information does not match the non-ILR data sheet. This will continue to present a risk whilst the programme is subject to audit (until at least until 31<sup>st</sup> December 2022 based on current retention dates from European Commission).

**Purpose** This document highlights the changes to the non-ILR data sheet and the revised guidance for its completion.

### Delivery statement claims – participant deliverables

Each month, you must submit the learner reference number for each output claimed through the Delivery Statement. This is in effect from 1 March 2013 or the start date of your contract (whichever date is later). Submit the Delivery Statement through the document exchange folder in the Provider Gateway, between working day 5 and 10 of each month **after** the publication of the summarisation report (required in order to validate learner starts have correctly summarised). You will need to confirm that the learner is on that month's summarisation report **before** you submit the claim.

### Non-ILR data return – actual costs breakdown

All contracts that include actual cost deliverables (e.g. Skills Support for Workforce and Community Grants) must also submit the 'actual costs breakdown' tab of the Non-ILR data return. This provides the required details to substantiate the financial claim.

The actual costs breakdown must be submitted by **working day 5** of each month where there are no participant deliverables. If your contract includes participant deliverables and requires the summarisation report, you must submit the claim form by

**working day 10** of each month. Please note that there are no changes to the data return itself or the associated guidance in respect to actual costs claims.

### **Non-ILR data return – Annex A**

We have removed the 'non-ILR participant' tab; please transfer all data previously submitted on the non-ILR spreadsheet onto Annex A and from this point onwards, record and maintain **all** non-ILR participant data to substantiate the Delivery Statements submitted on the 'Annex A' tab. This worksheet is a **cumulative** return, so please update it monthly. You must submit a separate workbook for each ESF contract held.

Please note that the 'actual costs' tab is an '**in period**' return. If you need to make amendments to previous claims, contact your ESF Audit and Compliance adviser via email **before** making any changes to the Delivery Statement or the tab itself.

We have applied set formatting to the spreadsheet to standardise the return and reduce the demands on providers that complete the records. Please do not overwrite these restrictions; use the pre-set options where available.

### **Delivery statements**

You must support every Delivery Statement submission with a non-ILR participant record shown in Annex A. This establishes a full audit trail for delivery statement claimed deliverables. You must return learner data on the Delivery Statement in the **current month**, not in the period in which that activity took place. **Do not** revise Delivery Statements from previous months to capture activity that occurred in a former period.

Where revisions to the Delivery Statement are necessary (for example due to withdrawing learners from the claim), you must make the associated changes in the non-ILR data return. Ensure that you note the reason for the change in the column at the end of the row. This process will enable auditors to substantiate claims in the relevant period and follow any changes to data at an individual learner level.

## Monitoring

ESF Audit and Compliance advisers will check the templates monthly and will contact you if there are any discrepancies, such as:

- A claim through a Delivery Statement with no template.
- Late submission of templates.
- Discrepancy between the volumes claimed and number of learners identified.
- Discrepancy between the learners listed and those on the summarisation report.
- Discrepancy between value of actual costs claim and financial breakdown provided.

If the correct information is still outstanding after three months, we reserve the right to hold payments until resolved.

For further information or related queries, please contact your ESF Audit and Compliance Adviser.

Created by:

Date:

Cleared by:

Clearance date:

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4 June 2015
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June 2015