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GLA ESF 2019-2023 CO-FINANCING PROGRAMME

Recording Monthly Outputs and Quarterly Claim Process

For use by ESF 19-23 Providers when recording outputs and making a claim on GLA OPS

Version 1 – June 2020

This document explains how to record your outputs and make a quarterly claim for your project on GLA-OPS. We recommend you use the Google Chrome browser when you are using GLA-OPS. If you have any problems when following the guidance, please contact aeb@london.gov.uk

1. Recording your Outputs

The Outputs Block in GLA-OPS will contain information on your profiled outputs over the lifetime of the project.

In this block, you will record the actual number of outputs delivered each month and submit these figures to the GLA .

The block contains a full record of forecast and actual outputs.

Providers are required to submit a 'Monthly Progress Return' (MPR) via the Outputs Block on OPS, no later than 14 days after the last day of each calendar month, regardless of the frequency of claims for ESF Contract Funding. The Outputs Block includes your Outputs and Results delivery profiles and forecasts. You will submit your Monthly Progress Report (MPR) by recording on the Outputs Block the number of eligible Outputs and Results that you have delivered over the preceding month and which you intend to include in your quarterly claim for ESF Contract Funding. You will be able to see the value of the Outputs and Results that you have reported, and that will be included in your claim, in the Outputs Block.

To record your actuals, follow the steps below:

- Open your project on GLA OPS
- Go into Outputs Block
- Click EDIT
- Enter the 'actual' number of outputs delivered for the past month against the forecast that is already recorded
- The table will show the discrepancy between the forecast and the actual and will automatically calculate the value of the actual outputs (see screenshot below)
- Click DONE

Q4							
Jan							
P1.2: Integration of young people: Participants aged 16-17 years	6	5	-1	5,656.86	4,714.05		4,714.05
Jan TOTALS	6	5	-1	5,656.86	4,714.05	-	4,714.05
Feb							
P1.2: Integration of young people: Participants aged 18-24 entering either education or training (Recovery Output)	5	4	-1	6,323.30	5,058.64	277,158.58	0
P1.2: Integration of young people: Participants aged 18-24 years	7	8	+1	6,599.67	7,542.48		7,542.48
Feb TOTALS	12	12		12,922.97	12,601.12	-	7,542.48
Mar							
P1.2: Integration of young people: Participants aged 16-17 years	2	3	+1	1,885.62	2,828.43		2,828.43
P1.2: Integration of young people: Participants aged 18-24 years	4	4		3,771.24	3,771.24		3,771.24
Mar TOTALS	6	7	+1	5,656.86	6,599.67	-	6,599.67
Q4 TOTALS	24	24		24,236.69	23,914.84	-	18,856.20

2. Completing your PDF/BODF

The PDF and BODF must balance with the information submitted in the outputs block (MPR) and be supported by the evidence submitted via FileCloud. If it does not, this may lead to a delay in approval and payment of your claim because you will be required to amend your claim, and/or resubmit the MPR, PDF, BODF, or supporting evidence as appropriate.

Appendix 1 provides further guidance on completing the PDF/BODF.

3. Making your Quarterly Claim

Once a quarter has finished, you will be able to make a claim for the total value of outputs delivered in that quarter. You will make claims within the Outputs Block in GLA OPS.

By the 14th day following the end of each quarter (January, April, July, October) Providers submit a quarterly claim comprising:

- evidence via FileCloud (see separate guidance on using FileCloud);
- Participant Data Form (PDF)/Business Organisation Data Form (BODF) via FileCloud;

- full Monthly Progress Return (MPR) on GLA OPS;
- risks updated on GLA OPS; and
- a completed case study via FileCloud

The amount you are able to claim each quarter is calculated using the actual number of outputs delivered and the unit costs attached to each output.

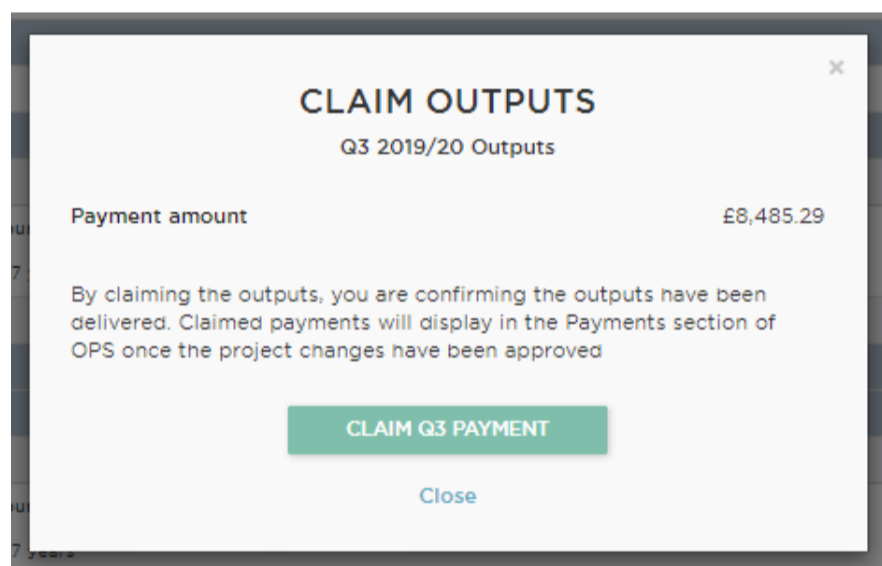
When you submit your quarterly claim, you can change the outputs entered in the previous months of the quarter if you need to amend the final outputs for the quarter. The PDF and BODF must balance with the information submitted in the outputs block (MPR) and be supported by the evidence submitted via FileCloud. If it does not, this may lead to a delay in approval and payment of your claim because you will be required to amend your claim, and/or resubmit the MPR, PDF, BODF, or supporting evidence as appropriate.

To claim your actuals, follow the steps below:

- Open your project
- Go into Outputs Block
- Click EDIT
- The claim link for the Quarter will appear next to the row displaying the Quarter number (Q1, Q2, etc.)

Q3							Claim
Dec							
P1.2: Integration of young people: Participants aged 16-17 years	10	9	-1	9,428.10	8,485.29	8,485.29	X
Dec TOTALS	10	9	-1	9,428.10	8,485.29	-	8,485.29
Q3 TOTALS	10	9	-1	9,428.10	8,485.29	-	8,485.29

- Click the claim link and a pop up will appear asking you to confirm the claim amount. Click on the claim payment button to confirm.



- Click DONE
- Go to Project Overview Page and click the 'Request Approval' button
- The GLA will then need to approve your claim for the payment to be processed

Note: To verify your claim, we will need to review a range of information and data on your delivery. You will need to provide some of this information outside of the OPS system, through FileCloud. Please see additional detail in the box below.

1. Submission of Monthly Data

ESF 19-23 Providers will submit Monthly Progress Report data via GLA OPS Outputs Block.

Data will be reviewed monthly to report progress and identify risks and issues to performance, based on the data received.

2. Quarterly Claim

In order to make a quarterly claim, Providers will need to submit the following:

- Complete the full Monthly Progress Report (MPR) on GLA OPS;
- Update risks on GLA OPS.

Plus:

Information submitted via FileCloud:

- Participant Data Form (PDF)/Business Organisation Data Form (BODF).
- A completed case study – meeting the requirements set out in the ESF 19-23 Delivery Handbook.

- Evidence to support the relevant outputs claimed (i.e. participant files and eligibility evidence) must be submitted at least quarterly via FileCloud. (10% evidence checks of participant/ beneficiary files are undertaken quarterly on site at Provider premises)

3. Data Security

PDFs/BODFs and participant files and evidence contain sensitive and personal data, so they must **always** be transferred via FileCloud and must **never** be sent by email.

4. Additional

Should you wish to undo any unapproved changes, click on “Undo unapproved changes” under outputs.

Once your claim is approved, you will see confirmation in the Outputs block.

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APPENDIX 1

Completing the Participant Data Form

For use by ESF 19-23 Providers when recording outputs and making a claim on GLA OPS

Version 1 – June 2020

This document gives additional guidance to GLA ESF 19-23 Lead Providers on the Claim and Monthly Return processes. It is not intended as an instructional guide, and Providers may choose to complete their claims in a different manner if it is more appropriate for their systems, but it is intended that it will give sufficient information about individual documents and processes within the claim process to be used as a reference document.

The Guidance is written in an assumed step-by-step chronological order, which may need to vary by organisation.

The documents referred to in this guidance note include;

- The Participant Data Form (PDF)
- The Monthly Progress Return (MPR) – completed in the outputs block on OPS
- Evidence (the information detailed in the Evidence Handbook that must accompany a claim for it to be assessed as eligible for payment)
- The Risks updated on OPS
- Declaration
- The ESF 19-23 Evidence Handbook
- The ESF 19-23 Delivery Handbook

The Guidance is written with the assumption that a claim is going to be made. However, specifically with regard to the PDF, incomplete data can be collated and recorded prior to a claim being made, but all required data must be recorded once an output/result is intended to be claimed.

The guidance refers to various forms of Naming Convention for saving documents, and this must be followed for information that will be submitted via Filecloud: Project Code¹, Document Name², Claim Period³.

Note: GLA ESF Providers should be aware that both the PDF and Evidence contain personal and potentially sensitive data, and should therefore **never** be sent by email over the internet. Copies of PDFs and of accompanying Evidence should only be presented to the GLA using FileCloud.

¹ The code referred to in the Particulars of the Contract.

² Specific to the document being saved, but examples include Enrolment Form, PDF, BODF etc.

³ 'YYYY MM' for monthly claims [2020 07], 'YYYY-YY Quarter' for quarterly claims [2020 Q1].

Claim Guidance Quarterly Claimants	
1.	Updating the PDF
1.1.	The PDF is a working document, and it is advised that it is updated frequently as additional information or evidence is ascertained, rather than waiting until a claim is due.
1.2.	The PDF records information about individual participants, including characteristics at enrolment that are required by reports to DWP, or which are used to verify eligibility, and provides updates on the stages that individuals have progressed through during their time on the project.
1.3.	Columns highlighted in grey are automated, and the person completing the PDF must not attempt to enter information into these cells.
1.4.	Where drop down boxes are available, the person completing the PDF must use them rather than attempting to enter alternate information.
1.5.	<u>Do not copy and paste information into the PDF as this will damage the data validations on the PDF tables.</u> It is important that whoever completes the PDF either (i) enters information directly, or, where information is provided in spreadsheet format for another source (such as a sub-contractor), (ii) copies information into the PDF without disrupting the formulas or data validation tables already embedded in the PDF. a. if copying information into the spreadsheet, only copy into cells without grey shading, and only copy using the 'Copy/Paste Special (Values)' method. Never use the Copy /Paste option.
1.6.	All date columns on all sheets should be entered in DD/MM/YYYY format.
Enrolment Sheet	
1.7.	After a Participant has started on the project their details should be entered from the enrolment document onto the 'Enrolment' sheet of the PDF. With the exception of four columns ⁴ , all columns must be completed.

Outputs Sheet	
1.8.	As a Participant progresses through the stages of the project, further information should be entered onto the 'Outputs' sheet when an output is achieved.
1.9.	Five columns in the 'Outputs' sheet are pre-populated from the 'Enrolment' sheet ⁵ . All Output/Result 'Status' columns are formula driven and are therefore Locked, so the person updating the PDF will not be able to make entries into any of the cells in these columns.
1.10.	Each paid output or Result has a series of columns 'dedicated' to it, which require the Starter Achieved date to be completed, and then the appropriate 'Month Claimed' cell to be completed. <u>Note that the month claimed on the PDF should match the month claimed on OPS.</u>
1.11.	With the exception of Participant Starts, Outputs or Results should not be claimed unless appropriate preceding outputs have been claimed ⁶ .
1.12.	Some outputs have additional columns, and cells in these columns <u>may</u> need to be completed before a claim can be made ⁷ .
1.13.	Once an output or Result row has been completed correctly, the relevant 'Status' column will show as 'claimed' in the corresponding cell.

⁴ - There are two pre-populated columns; Line (A) and Project Code (C).

- There is one optional column; Sub-contractor (D). Lead Organisation who either do not work with sub-contractors, or who enrol and deliver directly for particular individuals, will not be required to complete column D.

- There are three Address columns (H, I and J). Only the required number of column to express the address accurately need be completed.

⁵ Line (A), Participant ID (B), Project Code (C), Sub-Contractor (D), Start Date (E)

⁶ No output or Result can be claimed without a 'Starter' output being claimed, and Sustained Results cannot be claimed without an Entry having been claimed. Some outputs (e.g. Basic Skills) can be claimed at any point once a Starter has been claimed, regardless of which other stages have been achieved. If you are unsure, please contact your GLA Provider Manager

⁷ Individual projects may have outputs or results that differ from others, so if you are unsure, please contact your GLA Provider Manager.

1.14.	Never change the month claimed for an output/result once that output/result has been claimed on OPS.
1.15.	If an output or Result is achieved in excess of the allowable volume in the Contract, it can be recorded as Achieved without entering a Month Claimed date. This will mark the output/Result as 'not claimed'. If an output/Result is deducted at some future point, or if the Contract value is increased to allow additional outputs/Results, the Month Claimed date can be entered for 'not claimed' achievements ⁸ , and then 'in fill' and generate an additional (or replacement) payment.
1.16.	Claimed outputs/Results can be deducted after a claim has been made and a payment has been received by completing the Month deducted columns ⁹ . This will take precedence over the Month Claimed date, so the Month Claimed date must not be deleted. Note that the deduction on the PDF should be matched by a corresponding deduction (-1) in the same month on OPS.
Leavers Sheet	
1.17.	The Leaver sheet should be completed for all participants who either (i) disengage and leave early, (ii) complete a sustained period in employment, education or training, or (iii) have not sustained and are still in contact with the project when the project completion date is reached.
2.	Updating the Outputs Block (Monthly Progress Report) on OPS
2.1.	The Outputs Block (MPR) has two primary functions. It verifies the anticipated delivery for each output/Result annually and over the project lifetime (the 'Outturn' ¹⁰), and it verifies the volume of outputs/Results being 'claimed' each month.
2.2.	The Contracted Profiles on OPS contain monthly and cumulative profiles for each of the output/Result targets in the current version of the Contract, and a monthly profile of the repayment of the advance as a deduction from the contracted expenditure.
2.2.1.	The Project Forecast contains monthly profiles for each of the output/Result targets in the current version of the contract and allows the Providers to Forecast any current over or under-delivery into future months, therefore creating an up-to-date Outturn. Providers can amend the forecast revised anticipated monthly achievements.
2.2.2.	The Monthly Variance shows a variance by output/Result and Value per month, which allows a Provider to review what they have delivered and earned in a month against what they were expected to deliver and earn from the original/current profile. This sheet also indicates the number of outputs required to pay back any initial Advance paid by the GLA.
2.2.3.	The Annual Variance shows a variance by output/Result and Value per year and over the lifetime of the project.

⁸ The Month Claimed must always relate to the month that the claim is being made via the MPR on GLA OPS, rather than the Achievement Date month.

⁹ Deductions should take place if;

- the Provider identifies that a claim has been made without justification (i.e. insufficient/incorrect evidence is available to support the claim)
- the GLA requires an output/Result to be deleted following a Monitoring Visit
- a DWP appointed or Commission auditor requires an output/Result to be deleted following an Audit Visit

¹⁰ The Outturn is the expected delivery over a given period (usually annual and/or lifetime) and is calculated by adding the Actual Delivery To Date to the Future Profile/Forecast.