

ESF Evidence Upload Guidance for FIPS



Date	Issue	Status	Author	Changes
20/07/2017	1	Final	Ann Keegan	N/A
23/11/2017	2	Final	Ann Keegan	Audit evidence requirements (Appendix 1) updated to show mandatory evidence for all ESF tagged MA's
27/06/18	3	Final	Bernadette Lavelle	Audit evidence requirements (Appendix 1) updated to show mandatory evidence for all ESF tagged MA's
11.07.18	4	Final	Bernadette Lavelle	Audit evidence requirements (Appendix 1) updated to show mandatory evidence for all ESF tagged MA's
07.08.18	5	Final	Bernadette Lavelle	Audit evidence requirements (Appendix 1) updated to clarify evidence requirements
09.10.2019	6	Final	FIPS Team and Chloe McKenzie	FIPS screen updates and audit evidence requirements updated Emailing evidence and password protecting documents
03.07.2020	7	Final	Chloe McKenzie	Audit evidence requirements (Appendix 1) updated to remove proof of address from mandatory evidence requirements
22.02.2021	8	Final	FIPS Team / Chloe McKenzie	FIPS screenshots updated to match new Unified Interface and Updated evidence requirements

Requirements for ESF tagged MA's

Scottish Government has rigorous audit checks in place, carried out on a regular basis. Therefore, to meet audit requirements and deadlines it is important that SDS can easily access supporting evidence.

For this reason, Skills Development Scotland requires Training Providers to upload supporting evidence for all expenditure claimed per ESF supported participant. As stated in the MA programme rules, SDS requires Training Providers to make evidence available to us, (and/or our agents and auditors). The purpose of the evidence is to provide the necessary assurance that services have been delivered in accordance with the terms of your contract.

ESF Evidence Upload in FIPS

When the ESF team have identified MA's to be included in the ESF Programme, these individuals will be tagged in FIPS. Once the tagging is complete, FIPS will automatically send the following alert to the Training Provider for each participant:

This assignment is being partly funded by the ESF and you are required to provide evidence for all claims associated with this assignment as detailed in the Programme Rules. Please go to any existing claims already made against this assignment and upload evidence for them. All future claims will require evidence of achievement uploaded. Failure to do so within 10 days of this notification will result in follow up from the SDS ESF team.

Following receipt of an alert, the Training Provider should follow the process below to upload the evidence required for ESF. Please follow the FIPS alert instructions in conjunction with the audit evidence requirements detailed in **Appendix 1 (below)** to ensure correct evidence is uploaded. This process will need to be followed for each ESF participant individually.

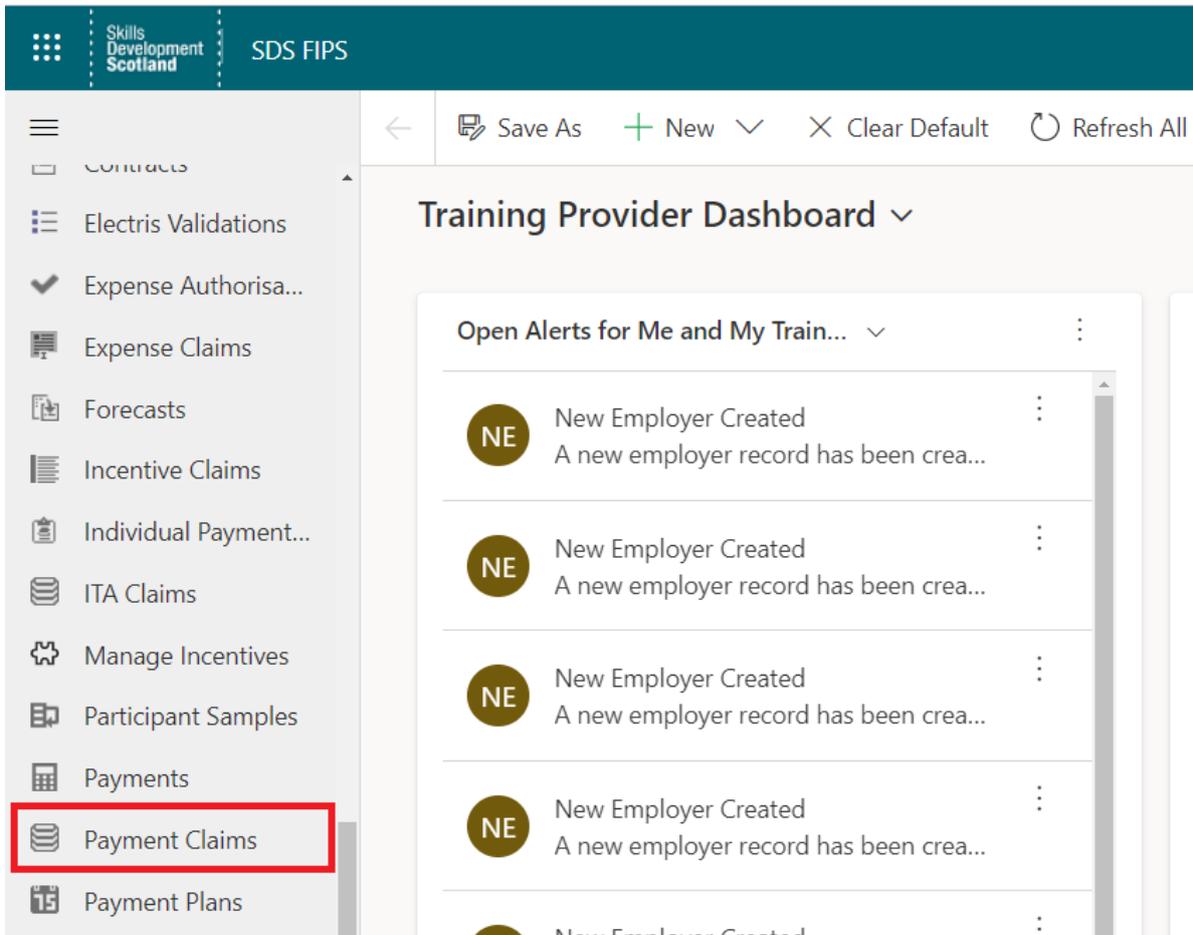
Please note: all ESF evidence will be reviewed by the ESF team. If the evidence is unacceptable, the ESF team will reject the information and an explanation will be provided. This should be reviewed and correct evidence resubmitted using the same upload process.

Upload Process

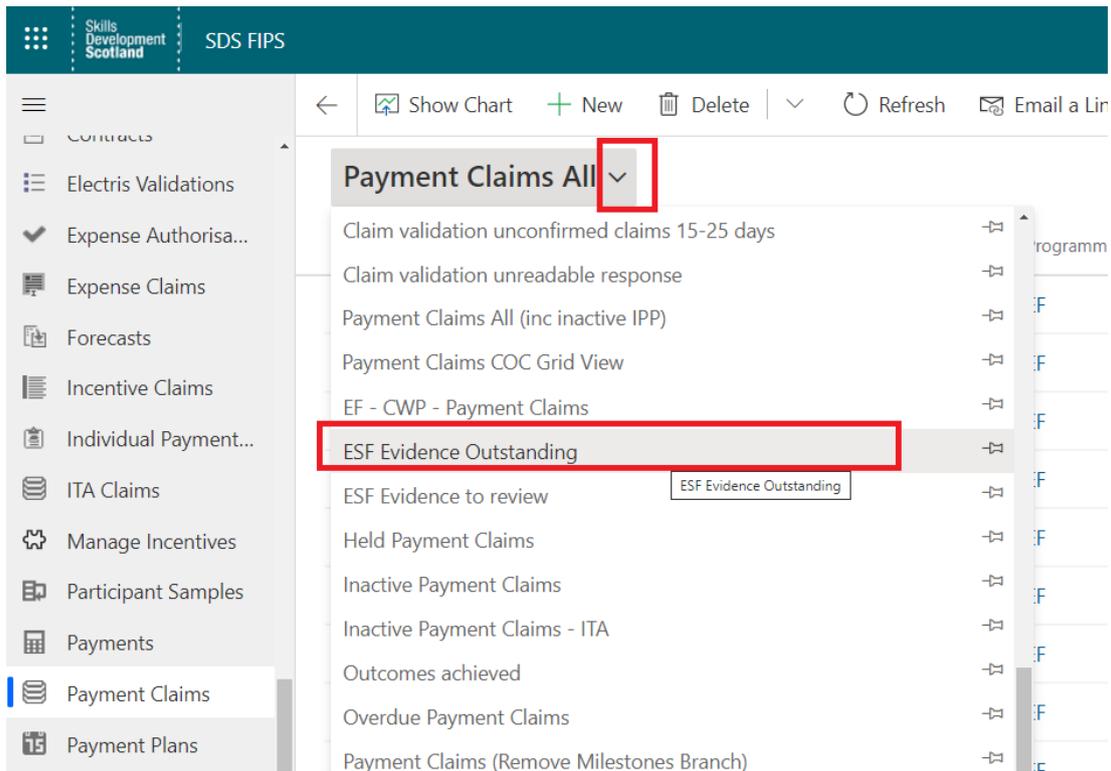
There is a system view in FIPS called “ESF Evidence Outstanding” within the Payment Claims entity. This will list all claims that require evidence to be uploaded against them. Please ensure you refer to evidence requirements detailed in **Appendix 1 (below)**.

To access the view, follow the steps below:

1. From the Workplace menu, scroll down to Payment Claims:



- To access the ESF Evidence Outstanding view, use the dropdown arrow to change the system view:



- This view will list all Confirmed Claims made against each ESF supported MA (see example screenshot below). For each Confirmed Claim, the relevant evidence will need to be uploaded.
- If any text that is a blue hyperlink is clicked on, you will be directed to another screen in FIPS. This will then prevent you from completing the upload in the correct place. You should click on the white part of the row / dark text relevant to the claimed expenditure you wish to attach evidence against. This is highlighted below:

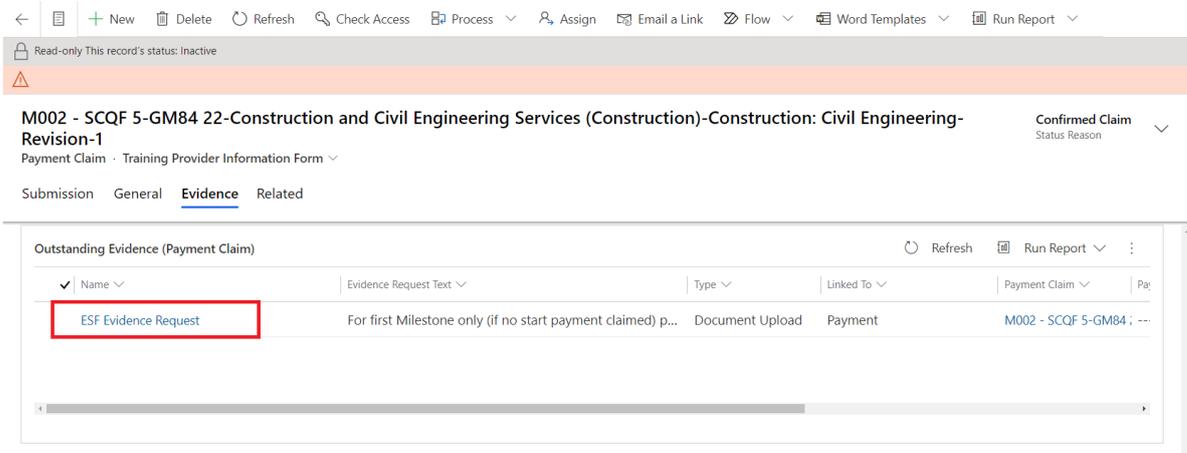
ESF Evidence Outstanding

Search this view

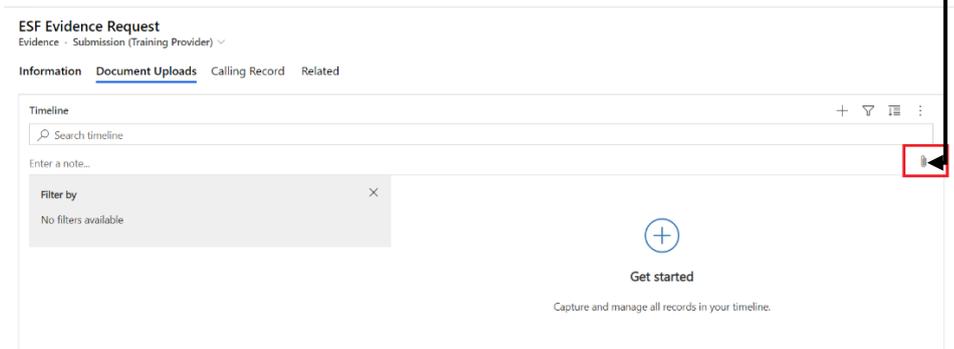
Status Reason	Holding Re...	Individual	Program...	Area of Scotland (Derived ...	ESF Area (Derived Assignment)	ESF Project (Derived As...	ESF Dossier...	Occupation...	Fran
Confirmed Claim	---	Rebekah Gillies	MA	Lowlands & Uplands	Lowlands and Uplands	Yr 4 - 1518LUPSMA	Yr 4 - 151...	Sport, Health a Soc	
Confirmed Claim	---	Steven Henry	MA	Lowlands & Uplands	Lowlands and Uplands	Yr 4(P2) - 1518LUPSMA	Yr 4(P2) - ...	Construction ai Cor	
Confirmed Claim	---	Kayleigh Henry Gilroy	MA	Lowlands & Uplands	Lowlands and Uplands	Yr 4(P2) - 1518LUPSMA	Yr 4(P2) - ...	Sport, Health a Soc	
Confirmed Claim	---	Gilroy Mortimer	MA	Lowlands & Uplands	Lowlands and Uplands	Yr 4(P2) - 1518LUPSMA	Yr 4(P2) - ...	Sport, Health a Soc	
Confirmed Claim	---	Davidson Rachael	MA	Lowlands & Uplands	Lowlands and Uplands	Yr 4(P2) - 1518LUPSMA	Yr 4(P2) - ...	Sport, Health a Soc	
Confirmed Claim	---	Steven Gillies	MA	Highlands & Islands	Highlands and Islands	Yr 4(P2) - 1518H&IMA	Yr 4(P2) - ...	Construction ai Cor	

- Hyperlinks include Individual, Programme, Area of Scotland, ESF Area, ESF Project, etc. Double clicking on "Confirmed Claim" will take you to the evidence upload section.

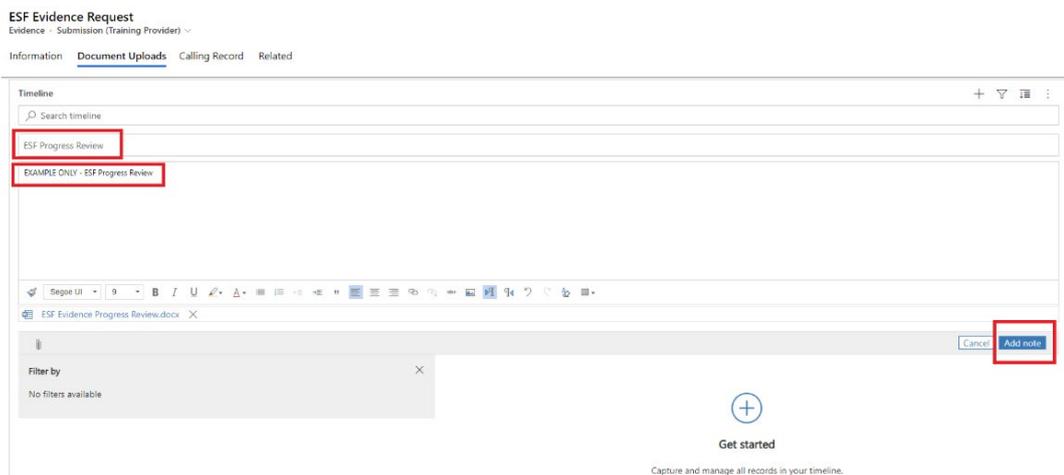
- When the claim has been clicked into, the milestone view will be displayed. Under the Evidence tab, there is an Outstanding Evidence section. Click on the “ESF Evidence Request” to access the upload facility:



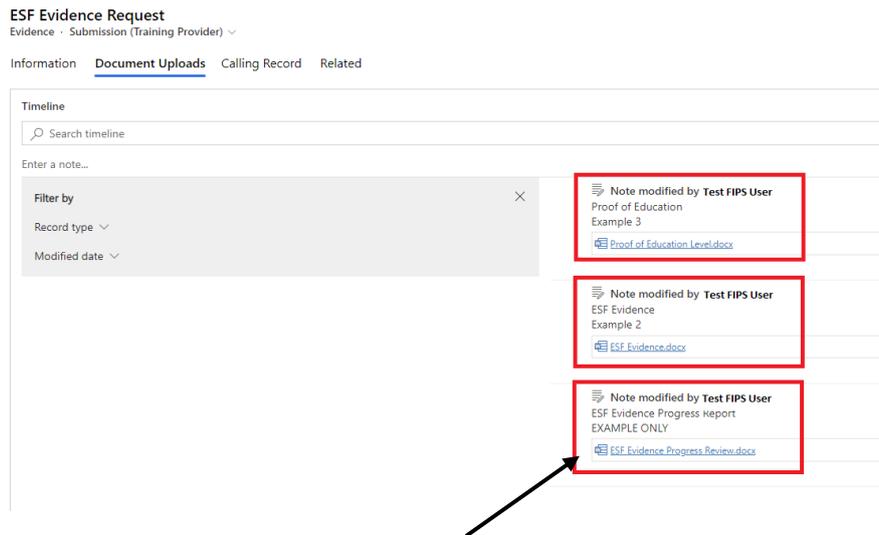
- To attach the relevant evidence (refer to Appendix 1 below), click on the paperclip icon:



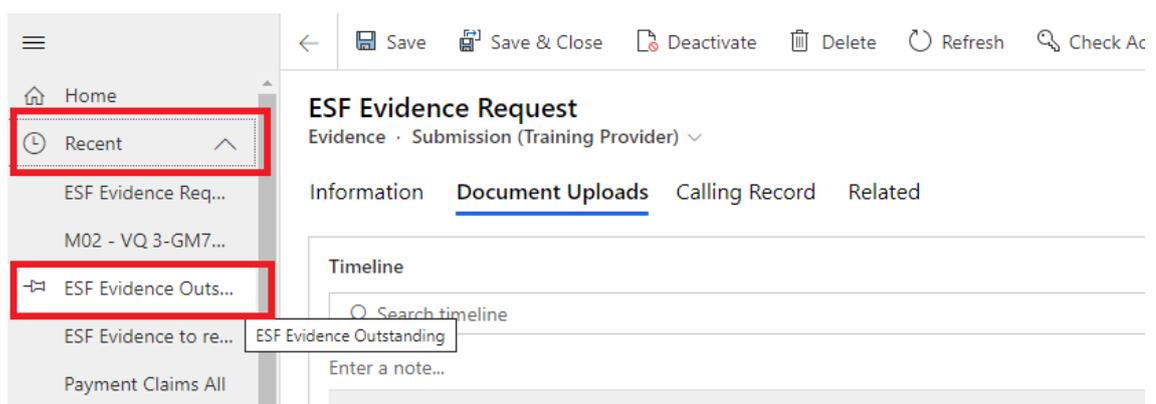
- The upload wizard will appear. Select the relevant document from your computer to attach it. In the notes section, you should indicate the type of evidence being uploaded. You should name the documents in the notes section, with the same name used in Appendix 1. This will allow the ESF team to cross reference against the list of evidence requirements. Once you have completed the fields, click on the Add Note button:



- Please note, multiple documents can be uploaded where required by repeating steps 5-7. “Add Note” must be clicked **each time** a document has been selected to attach the document to the claim successfully. If Add Note is not clicked, the document will not be attached to the claim.
 - Please ensure documents are appropriately named. When uploading multiple documents, a different file name for each attachment is required. If attaching the same evidence, or part of the evidence again, ensure the new file name is different to the original document uploaded. The system may overwrite existing evidence if the same file name is used on the new upload.
8. Details of all evidence that has been attached against a claim will be displayed in the Timeline grid. The uploads should be reviewed to ensure all evidence (as per Appendix 1 below), has been successfully uploaded:



- To open the document, click on the hyperlink. In this example, 3 documents have been uploaded and named.
9. That completes the evidence upload process. Once all relevant evidence against a particular claim has been uploaded, the claim will no longer be listed on the ESF Evidence Outstanding view. Use the Recent Records option on the Workplace and click on the ESF Evidence Outstanding view to return to the list:



- Steps 4 – 8 can be repeated to attach evidence to all other payments claimed for the same participant / other participants, as required.

Appendix 1 - List of Audit Evidence Requirements

Modern Apprenticeship (MA) Participant Evidence Requirements:

It is recommended that participants provide a copy of evidence for each requirement (education level & DOB) that contains the least amount of additional, unnecessary information.

This helps SDS and the Training Provider ensure that they are not collecting and processing personal information that is not needed for our purposes, which would therefore reduce the Data Protection risk (of holding onto personal information that we do not require).

We have underlined and *starred* the pieces of evidence we'd recommend the participant provides for each requirement.

For instances whereby the participant cannot provide one of the recommended pieces of evidence, they should redact any personal data, special category data or financial data that **isn't required in order to evidence the mandatory data requirements** (proof of education level or proof of DOB).

1. Mandatory (Required for all participants)

- Signed training agreement
- A completed Individual Training Plan
- A completed copy of Appendix 5 of the Programme Rules - Participant and Provider Declaration
- Proof of highest education level on entry to programme. This should be evidenced by one of the following:
 - a) *Qualification certificate*
 - b) *Records from the relevant academic institution i.e. college / university*
 - c) *Confirmation from the awarding body*, for example:
 - City and Guilds
 - SQA (SQA Connect)
 - OtherPlease ensure that any evidence provided has an appropriate logo or URL is visible to verify authenticity.
- Proof of date of birth: - **only one of the following needed**
 - a) Birth Certificate
 - b) *Driving License (Full or Provisional)*
 - c) UK (or other EU member State) Passport – must be valid and unexpired
 - d) National Insurance Number e.g. NI Card, correspondence from HMRC / DWP / Jobcentre Plus / Pension Service, contract of employment, wage slip
 - e) National Identity Card
 - f) Proof of Age Card that includes the PASS hologram or has been issued by a government agency / statutory body e.g. Young Scot Card, Citizens Card.
 - g) *Extract from SQA Connect; however, you should ensure that the SQA logo or URL is visible to verify authenticity*

All mandatory evidence should be uploaded against an individual's 'Start payment' in FIPS. This doesn't need to be password protected as FIPS is a secure system. Where no start has been claimed, please email your evidence directly to the ESF Team – mas@sds.co.uk. Please ensure you password protect the document. To prevent any exchange of passwords, we would request that you use your current MA contract password. If you do not know what this password is, please email the ESF Team for further guidance.

2. Milestone Payments

- For every milestone claim - a signed and dated (in advance of the claim by the Apprentice, the Provider and the Employer) SDS Apprentice Progress Review exemplar, or a signed and dated (in advance of the claim by the Apprentice and Assessor) SDS Summary of Achievement Record (SOAR) exemplar, whichever is appropriate. Alternatively, you can provide your own documentation, as long as it meets the minimum requirements guidelines, as outlined in the MA Specification and has been approved in advance by your SIA.
- Evidence of registration with the Sector Skills Council (SSC)

And

- Evidence of registration with the Qualification Awarding Body (QAB)
(MA registrations need only be uploaded once)

Milestone evidence should be uploaded against the corresponding 'milestone payment' in FIPS. Please **DO NOT** bulk upload evidence against one milestone. Bulk uploads will not be accepted. If you are experiencing issues with uploading evidence against individual milestone payments, please contact the ESF Team at the following email address – mas@sds.co.uk. One of the ESF Verification Executives will respond as quickly as possible.

SSC and QAB registration evidence should be uploaded to the first milestone payment from the agreed payment plan in FIPS.

3. MA Outcome (All Levels)

- A copy of final certification or confirmation from the Awarding Body
or
- Extract from SQA Connect; however, you should ensure that the SQA logo or URL is visible to verify authenticity.

Outcome evidence should be uploaded against the 'Outcome payment' in FIPS.