

SUMMARY

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Beneficiary Named in Letter of Offer	Training Programmes Branch	IB contact	
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Scheme

Project Title	ApprenticeshipsNI 2013	Period of Funding	
Ref number		Net Eligible Project Expenditure	
Date of Issue of Letter of Offer		Date of Acceptance	

On The Spot Check

Location of inspection		Date details were recorded on EU Database	
Date of inspection			

Expenditure

Maximum ESF Assistance Payable		ESF as a % of net eligible project expenditure	
Maximum Departmental Assistance Payable		Departmental Funding as a % of net eligible project expenditure	



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SCHEME LEVEL COMPLIANCE AND PROJECT DETAILS

This tab is only to be completed at first claim stage for each programme.

No.	Check	Yes/No/ N/A	Comment (Include Ref No. if applicable)	Evidence (TRIM Link)
Scheme Compliance				
1	Has the scheme been assessed by the Managing Authority against the required criteria?		There should be a record of the individual assessments and a consolidated scoresheet. Note the date of the panel meeting and the names of the panel members.	
2	Was the project approved?		Provide details of the Letter of Offer.	
3	Is there a business case and appropriate Departmental approvals for the expenditure?		To promote sound decision-making and proper accountability, all public expenditure - including European Union Funds - must be subjected to the principles of appraisal. This could take the form of a business case approved by a casework committee. Generally schemes with a value of more than £1m need DFP (supply) approval and Ministerial/Executive approval.	
Project Details				
1	Provide a brief description of project objectives.		Objectives should be available in scheme application/business case.	
2	Detail the Project Promoters internal management review system in place and corporate governance arrangements.		Provide details of corporate governance arrangements and statements. Details of any internal reviews should be referred to with any issues highlighted.	

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GENERAL CONDITIONS

Equality The project is Training Programmes Branch (TPB) and general
 H&S conditions are met through NICS and Departmental requirements
 and policies
 Non Discrimination

It pay for insurance and bears the risk of any claims made against it.
 Apprenticeships do not constitute state aid (DL1/16/70083)

No.	Check	Comment (Include Ref. No. if applicable)	Evidence (TRIM Ref)
1	Have all previous MA and AA findings and recommendations and associated irregularities been addressed?	Refer to previous A125, A127 reports and follow up work.	
Publicity			
2	Is there evidence that the project is ensuring compliance with regard to publicity as outlined in Programme Guidance, and where relevant the LoO, informing the Managing Authority as necessary?	Check with Managing Authority that publicity information is being shared.	
3	Is the project A3 poster displayed in a prominent place?	Provide details of where A3 EU poster is displayed and if this is in a prominent position for the public to be aware that the Company is an EU beneficiary?	
4	Is the full colour EU logo on the project website and can it be viewed on at least 1 digital device without having to scroll?	Provide details of where the EU logo is visible on the company website and confirmation that this can be viewed without having to scroll (include screen shot with EU logo and web address visible)	
5	Is there a proportionate description of the project on the company website and reference to the project receiving EU funding?	Provide details of where this description and funding link is contained on the company website (include screenshot with description and reference to funding and web address visible).	
Progress & Indicators			
6	Confirm that the project has provided and that MA are content that the information is complete and accurate for the following: (a) performance against projected outcome (appendix 2 of Letter of Offer) (b) programme performance indicators - assessment of achievements against targets? (quarterly monitoring return) (c) budgetary information - is expenditure in line with projection? (MA to be advised of significant changes)	Refer to MA for comment, AIR and quarterly monitoring.	
Public Procurement			

No.	Check	Comment (Include Ref. No. if applicable)	Evidence (TRIM Ref)
7	Does the Project Promoter adhere to EC and national central procurement policies - (Para 2.3.1 of the ESF Promoters Operating Manual Part 1 refers) including securing a copy of any procurement guidance the Project Promoter has in place	This should be thoroughly checked the first time that these checks are conducted and recorded on the checklist. Subsequent checks should concentrate more on the contract management process but also look at any variations to the contract terms. If a checklist has been completed for expenditure relating to the contract, this can be relied upon if the expenditure relates to the timeframe included by the original check and no material changes have been made to the contract.	
Audit/Finance			
8	Is it clear that no other funding is being received by the project?	Provide evidence from Financial Planning that project does not receive any other funding in respect of this project other than ESF funding.	
9	Outline the Project Promoters plans to ensure that all records are available for inspection by other bodies such as the European Court of Auditors; the Audit Authority; CSB contract manager reports; NI Audit Office; Internal Audit Service or other relevant audit bodies - (para 2.6 of the ESF Promoters manual Part 1 refers)	Operational guidelines para (5.15) indicate requirement to retain documents.	
10	Note all audit and inspection reports that have been carried out by internal auditors. Obtain copies/access to these reports. Review the reports as input to the verification inspection. Note Internal Audit reports will be relevant to Government controlled projects only.	Refer to Internal Audit reports and A127	
11	Note all reports or checklists provided by Assistant Contract Managers. Obtain copies/access to these reports. Review the reports as input to the verification inspection.	Refer to compliance reports.	
12	What assurances have been used by MA in respect of this project?	Provide details of all assurances taken relating to the payment processes of Training Apprenticeship payments.	
13	Detail how recommendations from audit reports including Article 127 or CSB Inspections have been addressed by the Project Promoter and any future planned actions. Include any referral recommendations to the Audit Authority; NI Audit Office; Internal Audit Service or other relevant audit bodies.	Refer to A127 reports and CSB inspections.	

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Training Organisation Costs	Min. Amount to be Sampled*	4 training suppliers	Amount Sampled	£ -
<p>* Amount sampled will be 3% across the project but not necessarily 3% within each subhead. All subheads will be tested. Where assurance on low risk can be taken, based on AA and IA reports, sampling can be across training suppliers at 10% (EC1/17/0212406). Evidence of random sample to be maintained on TRIM, any deviation from random sampling methodology should be documented and recorded on checklist.</p>				
Expenditure Type	Period	Amount (£)		
Start Payments				
Milestone Payments/ORF				
Essential Skills				
Output Related Funding (NVQ)				
Employer Incentive (Full Framework)				

Full breakdown of expenditure can be found on the Test Grids.

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Procurement Checklist

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Summary	
Contract name and reference number	
Contract Type	
Estimated contract value	
Procurement conducted by	
Procurement method used	
Successful contractor	
Contract Price	
Contract start date and duration	

Preliminary questions (tick appropriate box for each question)	
Is the project subject to public procurement rules?	
Is the estimated contract value under £30k?	
Is the estimated contract value (net of VAT and including possible extension periods) above £30k and below the relevant EU threshold? (see guidance notes for further information)	

Part A – Contract below £30k
 EU directives do not apply to public procurement for contracts under £30k but procurement principles still apply i.e. the process should be fair, consistent, cost effective and transparent.
 Quotes should be obtained from relevant and competent suppliers.

Service and supply contracts should be awarded on the basis of best combination of price and quality, or lowest acceptable price. Construction contracts should be awarded on the basis of lowest acceptable

Estimated Contract Value	Question
Up to £5,000	Is the SP sufficiently assured that this purchase has not been artificially disaggregated from a contract with a higher value?
£5,000 to £30,000. A minimum of two tenders should be invited to tender.	Have two quotes/price checks been obtained?
	How many potential bidders were invited to tender?
	Was documentation/terms of reference sent to all potential suppliers?
	How many tenders were received?
	Were all tenders received in time?
	Was tender evaluation/scoring consistent?
	Were successful/unsuccessful bidders notified of the tender outcome?
	Evidence to be retained;
	Quotes/tenders received with proof of being received within timeframe
	Terms of reference
Tender assessment/scoring	
Successful/unsuccessful notification	
Contract (inc. amendments if applicable)	

Additional Information

Findings	
1	
2	
3	
4	

Part B – Contract value above £30k and below EU Threshold

The below will be supplemented through annual Interdepartmental Internal Audit assurances.

Advertising/Tender Publication

Was the tender advertised in regional press?	If yes, provide details including dates.
Did the advertisement acknowledge EU funding in line with publicity guidance?	
Was the tender published on eSourcingNI?	If yes, provide date notice was published.
Were the selection criteria available to tenderers prior to submission date?	

Tender

Were all requests for information, tender documents and other documents issued within six days or the request and at least six days prior to the tender submission date?	
Tender submission date	
Were all tenders received within time?	
How many tenders were received?	
Were procedures for storing and opening tenders applied? i.e. opened at the same time, in presence of two officials, recorded and late tenders rejected.	
How were the tenders evaluated/scored?	
Were the selection criteria used the same as stated in the Contract Notice/Instruction to Tenderers?	
Has it been recorded that evaluation panel members did not have a conflict of interest?	

Contract Award

Successful Contractor and contract value	
Contract start date, duration and possible extensions.	
Have any amendments been made to the contract?	This can include dates, price etc.
Were unsuccessful tenderers advised of the outcome of the process?	If yes, provide date notification was sent.
Were any complaints received from tenderers?	If yes, provide details.

Documents required

Esourcing NI publication	
Advertisements	
Instructions to Tenderers (if not included in this, also obtain selection criteria and contract/tender specification).	
Evidence of Tender opening (if applicable)	Note if included in seperate document.
Tenders received	
Assessment scoring	
Contract award letter	
Unsuccessful tenderer notification	
Tender Evaluation Report	
Evidence of contract amendments (if applicable)	

Additional Information

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Findings

1	
2	
3	
4	

Part C – Contract value above EU Threshold	
Advertising/Contract notice	
Was a Prior Information Notice published through OJEU?	If yes, provide details including date sent to OJEU.
Was the tender advertised in regional press?	If yes, provide details including dates.
Did the advertisement acknowledge EU funding in line with publicity guidance?	
Was a contract notice published through OJEU?	If yes, provide date notice was sent.
Did the Contract Notice contain all necessary information (including selection criteria)?	
Pre-Tender submission Stage/Pre-Qualifying Questionnaire (PQQ) Stage (for Restricted procedure and Competitive Dialogue procedure only)	
Date of receipt for expression of interest/pre-qualifying questionnaire?	
Did the response period meet EU requirements?	
How many expressions of interest/pre-qualifying questionnaires were received?	
For hard copies of questionnaires, were procedures for storing and opening tenders applied? i.e. opened at the	
Were all contractors that submitted an expression of interest/PQQ evaluated?	
How many contractors were selected to be invited to tender?	
Have the minimum number of contractors been invited to tender? (see guidance for details)	
Were unsuccessful parties advised of the outcome?	
Tender	
Invitation to tender date	
Tender submission date	
Did the tender period meet EU requirements?	
How many tenders were received?	
Were all tenders received within time?	
Were procedures for storing and opening tenders applied? i.e. opened at the same time, in presence of two officials, recorded and late tenders rejected.	
How were the tenders evaluated/scored?	
Were the selection criteria used the same as stated in the contract notice/Instructions to Tenderers?	
Has it been recorded that panel members did not have a conflict of interest?	
Contract Award	
Successful Contractor and contract value	
Contract start date, duration and possible extensions	
Have any amendments been made to the contract?	
Was a Contract Award Notice sent to OJEU within 48 days of the award?	
Did the Contract Award Notice contain all required information?	
Were unsuccessful tenderers advised of the outcome of the process?	If yes, provide date notification was sent.
Were any complaints received from tenderers?	
Documents required	
Prior Information Notice (if applicable)	
Contract Notice	
Advertisements	
Expression of Interest/PQQ submissions	
Unsuccessful PQQ notification	
PQQ report	
Instructions to Tenderers (if not included in this, also obtain selection criteria and contract/tender specification).	
Evidence of Tender opening (if applicable)	Note if included in separate document.
Tenders received	
Assessment scoring	
Contract award letter	
Contract Award Notice	
Unsuccessful award notification (template and sample if more than one letter issued)	
Tender Evaluation Report	
Evidence of contract amendments (if applicable)	
Additional information	
Findings	
1	
2	
3	

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price.

Comment Similar purchases from same supplier may indicate a contract already in place. If yes, obtain higher contract value and apply appropriate procurement rules. Review LoO grant amount against contract value to determine if the contract is split with another funder.

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FINDINGS AND RECOMMENDATIONS

Number of recommendations		6			
1					
Finding					
Recommendation					
Flag status					
Project Owner Response					
MA comment					
Updated flag status		Date		Initials	
2					
Finding					
Recommendation					
Flag status					
Project Owner Response					
MA comment					
Updated flag status		Date		Initials	
3					
Finding					
Recommendation					
Flag status					
Project Owner Response					
MA comment					
Updated flag status		Date		Initials	
4					
Finding					
Recommendation					
Flag status					
Project Owner Response					
MA comment					
Updated flag status		Date		Initials	
5					
Finding					
Recommendation					
Flag status					
Project Owner Response					
MA comment					
Updated flag status		Date		Initials	
6					
Finding					
Recommendation					
Flag status					
Project Owner Response					
MA comment					
Updated flag status		Date		Initials	
Initial Flag Status					
Flag Status					
Rationale for Flag Status					
Completed by		Date			
Reviewed by		Date			
Flag Status after follow up					
Updated Flag Status					
Authorised by		Date			