

Summary**Automatically completed from other Sections**

Project			
LoO Number	0	Project Title	0
Database Number	0		
Company			
Organisation Name	0	Contact within Organisation	Insert Name
Organisation Address	Address	Location of Visit (if different from Contact Address)	Insert address of visit, if different to project contact details above.

Scheme	Scheme Title	Selective Financial Assistance
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Initial Flag Status applied by DMVT		Flag Status after Follow up	
Flag Status Awarded	0	Updated Flag Status	0
Awarded By	0	Awarded By	0
Date Awarded	00/01/1900	Date Awarded	00/01/1900

Grant Specification		Sample	
Eligibility Period	Insert Letter of Offer eligibility period	Minimum required sample of invoiced expenditure	£ -
Period of Claim(s)	Insert Period of Claim	Actual Sample	£ -
Actual Eligible Expenditure	£0.00		
Grant Paid	£0.00		



European Union
European Regional
Development Fund

Investment for Growth and Jobs



Department for the
Economy
www.economy-ni.gov.uk

For Completion by Intermediate Body [Please complete over red text]

Summary Details

Company Name and Reference Numbers

Invest NI Reference (RD Number)	
Database Number	
Company Name	

LoO and Claim Details

LoO Number	
Letter of Offer Date/ Amendment Dates	Date of signed Letter of Offer and any amendments (LoO to be provided with checklist)
Eligibility period – start and end dates of eligible expenditure	Insert Letter of Offer eligibility period
Period of Claim	Insert Period of Claim
No of Claims on the database	Insert no. of claims. All claims included in vouch should agree with claims on database.
Are there any other current projects for this company/client?	If yes, provide details.
Offer of e -cohesion	Provide evidence that e-cohesion was offered to project.

Project Details

Company Name	0
Project Title	
Project Contact Name	Insert Name
Project Contact Details	Address
	Telephone number
	E-mail
Briefly outline the nature of the project	Insert brief outline of the nature of the project
Scheme Title (as appropriate)	Selective Financial Assistance

Project Pre-check Details

Has a requirement for an On-The-Spot check been met?	1. Expenditue needs to be at least 10% of max. eligible expenditure and greater than cost of On-The-Spot check. 2. If there is a labour subhead, then there needs to be expenditure in labour and at least 1 other subhead. 3. If labour is not the main subhead, then there needs to be expenditure in at least the main subhead and in labour.
Have all claims been entered onto the database?	Confirm that all claims have been entered correctly onto the database. Ensure Claim List and Claim Print are forwarded to SP/MA with claim pack.
Date IB contacted company to inform them that SP OTS would be taking place	Insert date IB contacted company to inform them that SP OTS would be taking place
Is project as described?	Confirmation from the Project Owner that the project being delivered is as described in the LoO.
Location(s) of On-The-Spot Check	Insert address of visit, if different to project contact details above.
Date(s) completed checklist passed to SP	Insert date passed to SP

Foreign Exchange

Are foreign exchange transactions included in the claim(s)?	
If yes please provide the method used to calculate the GBP amount claimed.	Provide details of method used in preparing and submitting the claim e.g. historical daily rate on xe.com, monthly HMRC rate.

Eligibility of Operation and Beneficiary

	Yes/No/N/A	Comments
Will the project occur exclusively in NI (or benefits fully accrue to NI)?		Specify the location (or any element of the project) located outside NI detailing how benefits will accrue to NI.
Is the project being delivered under a scheme which involves state aid? If so, specify the aid scheme and the State aid reference number.		If yes, specify aid scheme and reference number.
Where De Minimis aid applies to the project/scheme, has the grant beneficiary provided a declaration in line with the requirements of the appropriate regulation in force at the date the Aid was granted?		

Where GBER aid applies to the project/scheme, have all the conditions been satisfied?		
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Compliance with Financial LoO Conditions

Is all expenditure directly attributable to the project?	Confirm that all grant expenditure claimed has been assessed by the Project Owner as being directly attributable to the project.
Has any invoiced equipment for this project been previously funded?	Confirm whether funding had previously been granted for equipment that has been included in the claim(s) for this project and provide details of that funding.
Is the project allowed to claim depreciation under their Instruments and Equipment category?	Confirm if depreciation has been considered as part of the project's casework under the Instruments and Equipment category. If so how much depreciation is allowable?

Compliance with Non-Financial LoO Conditions

	<u>Yes/No/N/A</u>	<u>Comments</u>
Is current Employer's Liability insurance in place, where applicable?		Provide details including renewal date of insurance and supply copy of current certificate if held. Employee Liability insurance requirements, and relevant exemptions, are laid out in "Employer's Liability (Defective Equipment and Compulsory Insurance)(Northern Ireland) Order 1972.
If the project has 11 or more employees, has the IB confirmed that the grant beneficiary complies with current Equal Opportunities legislation?		Provide details including number of employees (Fair Employment & Treatment (Northern Ireland) Order 1998). MA may spot check a sample.
Has the project displayed an A3 EU poster in a prominent position for the public to be aware that the Company is an EU beneficiary?		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?
Does the company have a website to meet publicity requirements?		Provide details if website requirements do not have to be met i.e. No website, global website with no NI section or project page.
Is the full colour EU logo on the Company 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)
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).
Does the company have a system in place that identifies all project related expenditure and where relevant, any income generated?		Provide a description of the system focussing on mechanisms used to clearly separate project transactions from other general financial transactions. e.g. separate coding within an accounting system; separate spreadsheet record, separate filing system etc.

Document check

	<u>Yes/No/N/A</u>	<u>Comments</u> (if document not provided, please state reason)
Signed LoO		
Revisions to LoO		
Claim form		
GEHR & Attendance summary		
Schedule		
Computation sheet		

Additional Comments

Declaration

For the purposes of the verification process, all checklists, supporting documents and reconciliation check submitted to the Service Provider from an official IB mailbox will be deemed to be completed in accordance with MA Guidance and checked and authorised. A Second Level Assurance check is required for this project.

	<u>Name</u>	<u>Date</u>
Completed by:		

0 0

 To be completed for each claim by IB

 Yellow cells will update automatically

Breakdown of Claims Submitted

IF GRANT PAID CHECK DOESN'T EQUAL '0' THERE IS AN ERROR. PLEASE HIDE ANY CLAIMS THAT AREN'T APPLICABLE.

Claim Number	OACMS Number	Max. & Claimed Expenditure		Expenditure Excluded from Claim				Grant Rate %	Grant Paid Cross Check		Min Sample %
		FINAL LoO Eligible Expenditure After all Amendments	Claimed Expenditure on Cost Schedule	Excluded Expenditure Recorded on Computation Sheet	Additional Exclusions not Detailed on Computation Sheet	Total Excluded Expenditure	Can the exclusions be matched to invoices/claim lines?	Expenditure after Exclusions and restricted to max.	0%	Grant Paid (from database claim list)	Grant Paid cross check
Claim 1						-		-		-	
Claim 2						-		-		-	
Claim 3						-		-		-	
Claim 4						-		-		-	
Claim 5						-		-		-	
Claim 6						-		-		-	
Claim 7						-		-		-	
Claim 8						-		-		-	
Claim 9						-		-		-	
Claim 10						-		-		-	
Totals			-	-	-	-		-	-	-	-

should = 0



Total Sample selected

0

0

SP Pre-sample Check

	Yes/No/N/A	Comment (Include date queried if applicable)	Any Follow Up Action Taken (Include date if applicable)
IB Project Details			
Fully completed?			
Has E-Cohesion been offered?			
If E-Cohesion has been accepted, have all documents been supplied?			
Has the IB provided all required details in the 'IB Project Details' tab?			
Have the following documents been provided;			
Signed LoO?			
Revisions to LoO?			
Claim form(s)?			
GEHR & Attendance summary?			
Schedule(s)?			
Computation sheet(s)?			
IB Rec Check			
Fully completed?			
Does the Claim List and Claim Print match the figures in 'IB Rec Check' and does 'Grant paid cross check' equal '0' for each claim?			
Have details of all exclusions been provided?			
LoO			
Are the project details the same as those entered in IB Project Details?			
Does the LoO include the ERDF Logo?			
Is there a reference to EU Funding?			
Does the LoO period match that listed in the IB Project Details?			
Other			
Has a requirement for an On-The-Spot check been met?			

If queries with IB - Date queries resolved with IB and documentation in order.	
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0

0

Yellow cells will update automatically

PLEASE NOTE - ROWS SHOULD NOT BE DELETED AS FORMULAE CAN BE AFFECTED. ANY UNUSED ROWS CAN BE HIDDEN. WHEN INSERTING NEW ROWS PLEASE DO SO AT A ROW COLOURED BLUE AS ANYWHERE ELSE CAN AFFECT THE FORMULA.

PLEASE COMPLETE THE 'SAMPLING RATIONALE' BOX AT THE BOTTOM OF THE PAGE IF THE SAMPLING METHOD IS ANYTHING OTHER THAN RANDOM.

A minimum amount of 15% of expenditure should be sampled with a minimum number of invoices:

10 invoices or less - minimum of 2 invoices

Between 11 and 40 invoices – 10% of invoices (round up)

41 invoices or more – minimum of 5 invoices

If errors are detected in the initial sample (and all expenditure has not been checked) a further sample of 5% of expenditure is required.

Capital Grant	Min. Amount to be Sampled (15%)	£	-	Amount Sampled	£	-
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Sample				
Claim No.	Description	Date Paid	Invoice No.	Amount

Sampling Rationale

Yellow cells will update automatically

Contact Log

Project reference Number	0
Project contact name	Insert Name
Company name	0
Company Address	Address
Title of project	0

First contact with project (visit should be within 4 weeks of contact)

Name of person contacted		Date	
Method of contact	e.g. Telephone call, voicemail, email.		
Action taken/agreed	e.g. Visit arranged & date/contact to return with availability.		

Second contact with project (visit should be within 4 weeks of contact)

Name of person contacted		Date	
Method of contact			
Action taken/agreed			

Refer to IB if a visit has not been arranged after two attempts within 10 working days of receiving the checklist.

Person referred to in IB as no response from company		Date	
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For completion by IB

Action taken by IB	To be completed by IB
Reason for project non engagement with the SP	To be completed by IB
Date referred back to SP	To be completed by IB

Third contact with project

Name of person contacted		Date	
Method of contact			
Action taken/agreed			

Cancellations (refer back to IB if visit is cancelled more than once or rescheduled appointment is not within 4 weeks)

In case of excessive cancellations, please provide details including dates of contact and reasons for cancellation.	
Date referred back to IB	

Additional comments	
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Did visit take place?	
If No please give reason?	

Visit Details

Visit Location(s)	
Visit Date	
Time of Arrival	
Time of Departure	
Name of person(s) seen on day of visit	
Note any issues e.g. Contact unavailable when arrived for visit	

Documentation

Please detail all documents that the project would not allow copies to be taken off the premises (please also confirm that you stated that these could be redacted)	
Please detail all required documents that have not been supplied by the project.	

Signed (Service Provider)		Date	
Signed (Project Representative)		Date	

Outstanding Documentation - identified after the visit

At the time of the visit all documents provided by the project should be scanned / copied. Where this has not been done and the error noted after the visit, please provide details of the relevant documents.			
Signed (Service Provider)		Date	

Date outstanding documents received by SP	
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SP Report

Yellow cells will update automatically

Project details

Project reference Number	0
Company name	0
Company Address	Address
Title of project	0
Nature of project	0
Company Web Address	Insert Company Web Address

The appropriate test grid (TG -) should be used to record tests based on the nature of expenditure. Summarise your findings below.

No.	Check	Yes/No/ N/A	Comment (Include Ref No. if applicable)
Project			
1	Is there evidence that the project exists or existed (as appropriate)?		Attach photographic evidence if appropriate.
2	Is the organisation aware of the need to retain all project documentation in accordance with date in LoO?		a) Outline how project stores documentation - or confirm if the IB takes on this responsibility for the project. b) If project stores electronically what systems are in place to ensure access to complete supporting documentation until the end of document retention period.
General Eligibility			
3	Has any expenditure that is ineligible for grant been listed within the subheads/activities of the LoO?		If yes, confirm that this has not been claimed.
4	Has all expenditure been incurred and paid during the eligibility period?		Note eligibility period from LoO.
5	Does the company have a system in place that identifies all project related expenditure and where relevant, any income generated?		Provide confirmation that the system described by IB exists and evidence and details of the test carried out that the system is working.
6	Is there evidence of receipt of the grant payment into a bank account of the organisation?		Bank statement to be attached. If grant payments have been amalgamated, breakdown is to be provided.
7	Is it clear that no other funding is being received by the project and that costs have been claimed only once?		Review bank statements provided for evidence of other funding.
8	Are foreign exchange transactions included in the expenditure sampled?		If yes, please confirm whether all expenditure has been declared at the actual rate incurred by the company. If the service provider cannot confirm this, then please provide details to MA of the specific exchange rate used by the company and the specific rate used by the SP to compare against.
9	Have in-kind contributions been included and if so, is their value supported by appropriate invoices, valuations, payrolls and timesheets, or accounting documents of equal probative value?		These can only take the form of land, real estate, equipment or raw-materials and research or professional staff resources and are subject to the same expenditure eligibility rules.

10	Is current Employer's Liability insurance in place?	<p>Provide details including renewal date of insurance and supply copy of current certificate if IB have not provided current Employer's Liability insurance certificate.</p> <p>Employee Liability insurance requirements, and relevant exemptions, are laid out in "Employer's Liability (Defective Equipment and Compulsory Insurance)(Northern Ireland) Order 1972.</p>
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Procurement (if applicable)		
11	Has expenditure been appropriately procured in accordance with the applicable rules/regulations and/or Letter of Offer conditions and value for money sought?	Councils, public bodies and projects with over 50% public funding for capital; procurement checklist to be completed.
12	Have all invoices and payments been made in accordance with the contract?	Copy of signed contract should be requested.
Capital assets/goods		
13	Are details of all capital purchases greater than £5,000 included in an Asset Register and an appropriate retention period identified?	Provide evidence
14	Were all items of capital/equipment available for inspection?	Photographic evidence required.
15	Was second-hand equipment appropriately charged?	The purchase cost is eligible provided it has not previously been purchased with the aid of national or European grants, the price of the equipment does not exceed its market value and is less than the cost of similar new equipment; and the equipment is technically appropriate and complies with any relevant legislation (eg health and safety). The calculation of the eligible expenditure relating to the purchase of second-hand equipment should be based on its current value.
16	Was depreciation claimed and, if so, is it allowable?	Check if depreciation is allowable in the IB Project Details tab and that amount being claimed is within any limits set. Is it included on an Asset Register?
Publicity		
20	Has the project displayed an A3 EU poster in a prominent position for the public to be aware that the Company is an EU beneficiary?	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? Photographic evidence /and or screen shot also needed in all instances.
21	Does the company have a website?	Provide website address for company.

Inspection Report

Scheme	0
Project Name and Ref No	0 0

Eligible Expenditure Vouched	£0.00
Ineligible Expenditure	
Error Rate	#DIV/0!

Summary of Work Done	Include an overall statement regarding the adequacy of the financial and non-financial procedures implemented by the project.
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Additional comments	
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No.	Findings	Evidence	Recommendations
1			
2			
3			
4			
5			

Declaration

	Name	Date
Completed by		

I have reviewed all work completed and confirm that it meets Article 125 Management Verification requirements agreed with MA. I authorise this report and supporting documentation to be forwarded to MA.

	Name	Date
Reviewed by (SP)		

Date returned from SP	
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	Name	Date
Reviewed by (MA)		

0 0

Invoiced Equipment

Scan documents examined for evidence					
Invoice Selected	1	2	3	4	Add further columns/ tables as necessary
Invoice Reference					
Invoice Amount					
Invoice Date					
Addressed to the Beneficiary?					
Supplier Name					
Purchased in line with Procurement Rules - Complete Procurement Checklist if Public Body?					
Eligible Item per LOO?					
Eligible Date/Period?					
Not Used Prior to Project Start Date?					
Specify any Additional Documentation Examined such as Goods Received Note, Purchase Order etc (This is not mandatory)					
Serial Number					
Has the existence of the asset been confirmed? (photographic evidence is required)					
Capital Item (> or = £5,000) Contained in Asset Register?					
Second Hand Equipment Meets Eligibility Requirements?					
Not Previously Funded?					
Rented Equipment / hire purchase? If Yes:					
- invoiced costs agree to Rental / HP Contract?					
- is rental better Value than Purchase?					
User Log Confirms Usage (Where Appropriate)					
Irrecoverable VAT accurately charged or recoverable VAT excluded?					
Proof of Payment					
Provide details of foreign exchange rate applied (if applicable)					
Is foreign exchange rate in line with stipulated methodology in respect of invoice date paid?					

0 0

DMVT report

<u>Sample</u>	<u>Yes/No/N/A</u>	<u>Further details</u>
Does the actual sample of invoiced costs exceed the minimum required amount?		

<u>Test Grids</u>	<u>Yes/No/N/A</u>	<u>Further details</u>
Have all relevant test grids been sufficiently completed?		
Have any issues raised in the test grids been addressed in the SP report?		

<u>Completeness</u>	<u>Yes/No/N/A</u>	<u>Further details</u>
Has the SP employee that completed the OTSC been approved to do so?		
Has the SP checked and confirmed that the database figures match those provided by IB in 'IB Rec Check'?		
Has the SP checked that codification exists?		
Does website publicity still exist?		Take screenshot and provide TRIM reference number

<u>Supporting documents</u>	<u>Yes/No/N/A</u>	<u>Further details</u>
Are all invoiced costs supported by invoices and payment audit trail?		
Has proof of grant receipt been supplied?		
Were all documents requested by SP made available?		

<u>Queries raised with SP</u>
Provide details including date raised with SP
Is the overall quality of the report sufficient to award a flag status?

<u>Declaration</u>
I am content that the findings reported by the service provider are accurate and are supported with appropriate evidence. The work has been completed to the required standard and is in order for payment when the Service Provider submits an invoice.
Prepared by:
Date:

Recommendations					
Number of recommendations					
1					
Finding					
Recommendation					
Flag status					
IB response					
MA comment					
Updated flag status		Date		Initials	
2					
Finding					
Recommendation					
Flag status					
IB response					
MA comment					
Updated flag status		Date		Initials	
3					
Finding					
Recommendation					
Flag status					
IB response					
MA comment					
Updated flag status		Date		Initials	
4					
Finding					
Recommendation					
Flag status					
IB response					
MA comment					
Updated flag status		Date		Initials	
5					
Finding					
Recommendation					
Flag status					
IB response					
MA comment					
Updated flag status		Date		Initials	
Flag Status					
Flag Status					
Rationale for Flag Status					
Completed by (EO2 or above)		Date			
Reviewed by (EO1 or above)		Date			
Updated Flag Status					
Completed by (EO2 or above)		Date			
Reviewed by (EO1 or above)		Date			