

Summary

Project			
Project name		Project Contact	
Ref number		LoO 'to' and 'from' period	

Management Verification Details			
Location of inspection		Monitoring officer	
Date of inspection		Claim No.	

Expenditure			
Approved Project/ LoO Grant value		Actual eligible expenditure/Total Claimed	
Minimum sample required (%)		Minimum sample required (£)	£ -
Expenditure vouched (£)	£ -		



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GENERAL CONDITIONS

Scheme - No scheme application was needed for this project as this is Technical Assistance, which is an eligible part of the IGJ Programme. All expenditure within Technical Assistance will have their own separate approvals.

State Aid - As the scheme is for technical assistance, State Aid is not applicable.

Check	Yes/No/ N/A	Comment (Include Ref No. if applicable)	Evidence (TRIM link)
General			
Have all previous MA and AA findings and recommendations and associated irregularities been addressed?		If no, follow up on these.	
Does an Assignment of Funding Letter (AFL) exist showing start and finish dates?		Note eligibility period from AFL.	
Is there a signed and dated acceptance of the AFL?			
Is there evidence that the project exists or existed (as appropriate)?			
If the project has 11 or more employees, does the grant beneficiary comply with current Equal Opportunities legislation?		Note: If NICS/GOV this will always be Yes and can be found at http://nics.intranet.nigov.net/economy/documents/nics-equal-opportunities-policy	
Is all required information being entered on the database accurately and in a timely manner?		Check that the database is populated with financial, physical progress, indicator, verification and irregularity information.	
Is the organisation aware of the need to retain all project documentation in accordance with date in AFL?		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. State what the retention period is.	
Publicity			
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 also needed in all instances.	
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 screenshot with 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 on the company website (include screenshot with description and reference to funding and web address visible).	
Finance			
Has a documented claim process been established and does it require the submission of relevant audit trail documents (including invoices, timesheets, salary records, payment records etc?) and include checks to ensure eligibility of expenditure in line with EC, Member State and Managing Authority regulations and guidance?		Check that there are written procedures covering the claim process. Check the claim procedure to see what documents are required to be submitted with the claim. Check a sample of claims being processed and record the outcome of these observations. Check the claim verification process to ensure that expenditure is being verified for compliance with all relevant regulations and guidance.	
Does the project have a system in place that identifies all project related expenditure and where relevant, any income generated? (e.g. refunds)		In terms of codification, the project should be at least set up under a unique expense/classification code which can be tracked through the organisation from source documentation to final payment.	
Is it clear that no other funding is being received by the project and that costs have been claimed only once?		Check the project account/code for any income. This could be the previous grant being received or may be income which was either anticipated through the economic appraisal or is not relevant as the project is under a State Aid scheme. Where income is identified which is not anticipated the matter should be referred back to your line manager for consideration. These checks are particularly important if conducted close to project completion and final payment. Examination of income should also identify any income from other grant bodies or match funders as appropriate.	

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Sampling

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.

Staffing costs	Min. Amount to be Sampled (15%)	£ -	Amount Sampled	£ -
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Emp Name/No.	Period	Amount

Invoiced Costs

T&S	Min. Amount to be Sampled (15%)	£ -	Amount Sampled	£ -
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Sample

Description	Date Paid	Invoice No.	Amount

Inv Service Costs	Min. Amount to be Sampled (15%)	£ -	Amount Sampled	£ -
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Sample

Description	Date Paid	Invoice No.	Amount

Minimum sample required (£)	£ -	Actual sample carried out (£)	£ -
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Labour Test Grid

Scan documents examined for evidence - redact personal information prior to placing on file

Emp Name/No	Comment	0	0	0
Date/Period		Jan-00	Jan-00	Jan-00
Amount Claimed		£ -	£ -	£ -
Basic pay				
ER Pension				
PAYE				
ER NICS				
Are appropriate payroll records available?				
Is there a detailed (SOPCA Report) breakdown of each salary payment showing the gross salary and specifying any statutory contributions?	These must clearly identify the gross salary and all contributions including ERNI, Pension, Income Tax etc.			
Is there evidence of payment of gross employee salary through the payment system/bank?	Bank Statements are not available but GL Transaction reports will show if all Salary Costs have been charged to TA.			
Is there evidence of payment of reasonable pension contributions to the relevant organisations?	The pension costs should be modest and in line with rates approved within the public sector. Payments to pension trusts etc are ineligible.			
Are any discretionary or bonus type payments included in the salary costs claimed?				

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Travel Test Grid

Scan documents examined for evidence - Redact personal information prior to placing on file.					
Travel Claim Selected	1	2	3	4	Add further columns/ tables as necessary
Travel Claim Details and Reference					
Claim authorised?					
T&S eligible per LoO?					
Date/Period of travel eligible?					
Mileage Rate ≤ NICS - Specify					
Receipted actuals ≤ NICS ceiling rates - Specify e.g. Meal, Overnight, Hotel etc.					
Taxis - Receipted and Justified?					
Ticketed travel costs - Receipted?					
Ticketed travel costs – Economy option only?					
Irrecoverable VAT Accurately Charged?					
Proof of Payment?					
Are travel costs reasonable and justified and do they relate to the project in accordance with the AFL?					

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Invoiced Serviced Costs

Scan documents examined for evidence						
Invoice Selected		1	2	3	4	Add further columns/ tables as necessary
Invoice Reference						
Invoice Amount						
Is the invoice original and in order?	Check that the invoice is original, dated, within the eligible period, on official headed paper, containing contact details for the supplier, addressed to the project organisation, containing sufficient detail, dated, VAT registration number, reference number etc. Also check for stamps from any other funders to ensure there is no double funding.					
Addressed to the Beneficiary?						
Supplier Name						
Purchased in line with Procurement Rules - Complete Procurement Checklist if Public Body?	This should be thoroughly checked the first time that these checks are conducted and recorded on the checklist. Subsequent checks should concentrate more on any contract management process but also look at any variations to the contract terms and ensure this is within the contract period and value.					
Eligible Item?						
Eligible Date/Period?						
Specify any Additional Documentation Examined such as proof of work completed, Purchase Order etc						
Is the description of service provided on the invoice directly attributable to the project?						
Is the contract period stipulated and are the payments made for activity completed within the contract period?						
Are payments made in accordance with the terms and conditions of contract?						
Are cumulative payments being monitored by to ensure that the contract value is not exceeded?	A mechanism should be in place to monitor spend against the contract.					
Has the contract been varied?	If yes, check for any revisions of the contract and ensure that these have been approved at the appropriate level and preferably by CPD (or relevant COPE). The reasons and rationale should be clearly documented. Carry on with check.					
Irrecoverable VAT accurately charged or recoverable VAT excluded?						
Proof of Payment						

On-the-Spot Management Verification Project Checklist

In Compliance with Article 125 of Commission Regulation (EC) No 1303/2013

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Procurement Checklist**Summary**

Contract name and reference number	
Contract Type	
CPV code (if applicable)	Check CPV code in case Light Touch Regime applies (see guidance for details)
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?		#N/A
Is the estimated contract value under £5K?		#N/A
Is the estimated contract value between £5K and £30k?		#N/A
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)		#N/A

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 price.

Estimated Contract Value	Question	Comment
Up to £5,000	Is the SP sufficiently assured that this purchase has not been artificially disaggregated from a contract with a higher value?	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.
	Have two quotes/price checks been obtained?	

Findings

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Part B - Contract between £5K and £30K

A minimum of two tenders should be invited to tender.

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

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Findings

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

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	
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 separate 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

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Part D – 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?	Separate rules apply to Light Touch, refer to guidance.
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 same time, in presence of two officials and	
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?	Separate rules apply to Light Touch, refer to guidance.
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 30/48 days of the award?	Separate rules apply to Light Touch, (refer to guidance).
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?	

On-the-Spot Management Verification Project Checklist

In Compliance with Article 125 of Commission Regulation (EC) No 1303/2013

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

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Findings

1	
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FINDINGS AND RECOMMENDATIONS

Number of recommendations	
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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	

Initial Flag Status

Flag Status					
Rationale for Flag Status					
Completed by (EO1 or above)		Date			
Reviewed by (SO or above)		Date			

Flag Status after follow up

Updated Flag Status					
Completed by (EO1 or above)		Date			