



Lowlands and
Uplands Scotland Programmes
2007 - 2013

LOWLANDS & UPLANDS SCOTLAND PROGRAMMES 2007- 2013

SECOND ROUND PROGRESS REPORTS SEMINAR ESEP LTD





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Welcome and Introduction





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AGENDA

- Overview of Progress Reporting
- Technical Issues
- Management Verification Process
- Questions and Answers
- Demonstration of Progress Reports on €UROSYS (Optional)



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OVERVIEW OF PROGRESS REPORTING

- Acceptance of Grant
- Progress Reports completed on €UROSYS
- Notification of Change - €UROSYS
- Submission Dates/Quarterly Progress Reports
- Compliance



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TECHNICAL ISSUES

- Responsibility of lead applicant
- National Rules
- Transaction Lists
- Recurring Issues
- Documentation to be submitted




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RESPONSIBILITY OF LEAD APPLICANT

- Fully comply with Conditions of Grant
- Prepare and submit progress report, transaction list and other supporting documentation
- Notify the IAB immediately of any likely alteration
- Ensure that all expenditure presented by and declared on behalf of partners has been incurred and defrayed correctly and is in line with the National Rules
- Ensure the availability and retention of a robust and transparent audit trail for all partners



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NATIONAL RULES

- Eligibility of Expenditure
- Meet Regulations and National Rules and be:
 - Real
 - Actual
 - Incurred
 - Defrayed
 - Evidenced and Auditable




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TRANSACTION LISTS

- Required for ALL claims
- Defrayed Expenditure
- Breakdown Expenditure using the generic headings used in application
- Ensure transaction list totals match the claim totals exactly
- Do not detail individual's names – Post/Designation is acceptable




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TRANSACTION LISTS RECURRING ISSUES

- Staff Costs – breakdown should include NI and Superannuation and be shown per month
- Hourly rate should be calculated and provided for staff not 100% on the project in line with the guidance
- Staff posts must spend a minimum of 10% of their time on Structural Funds activity
- Annual salary should be shown for staff 100% on the project




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TRANSACTION LISTS RECURRING ISSUES

- Participant allowances should be broken down per participant per payment. (ESF)
- Staff travel should include mileage rates, number of miles and method of travel
- Defrayal dates should be shown in full
- Clear methodology for apportioned costs



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RECURRING ISSUES

- Depreciation
- Petty Cash
- Clothes
- Equipment
- Pre-paid Invoices
- Correctly incurred



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DOCUMENTS TO BE SUBMITTED

- Progress Report and Claim (PRC)
- Transaction List
- Electronic and Hard Copy



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INTERVAL




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MANAGEMENT VERIFICATION PROCESS

- IAB Checking
- Record Keeping
- NOCs
- Article 60b Monitoring Visits
- Publicity
- Examples of Good Practice




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IAB CHECKING

- IAB assess progress report
- Financial performance to date
- Physical performance to date
- Sufficient explanations given
- Is an NOC required?




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IAB CHECKING

- All claims to receive 20% verification check
- First PRC will be paid but all subsequent PRCs may be subject to delay until verification checks complete
- Final Claims not paid until verification check complete
- Draw sample from transaction list
- Progress Report checked by IAB and assign Red, Amber or Green (RAG) status proposed to Managing Authority



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RECORD KEEPING

- Project Management Documentation
- Financial Records
- Participant Records
- Original and Certified Copies from Partners
- Retain all records until 2019



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EXAMPLES: RECORD KEEPING

- Staff Salary – extract from payroll, contracts, leave entitlement, BACS run, bank statement
- Participant Travel – bus ticket, train ticket, claim for reimbursement signed receipt, petty cash receipt and BACS and bank statement
- Stationery – purchase order, invoice, bank statement

• **THIS IS NOT A COMPLETE OR DEFINITIVE LIST**



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EXAMPLES: RECORD KEEPING

- Grant Schemes – Terms and conditions, Grant Application Form, Award/Offer letter (incl. Structural Funds acknowledgement), Acceptance of grant, Grant awarding body bank statements, Final recipient received invoices/bank statements
- Sub-contracted Works – detail of tendering process followed, tender documents etc.

* THIS IS NOT A COMPLETE OR DEFINITIVE LIST



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NOTIFICATION OF CHANGE (NOC)

What constitutes a Significant Change;

- Bank details
- Designated signatory
- Contact Details
- Movement of money between cost headings
- Match Funding arrangements
- Content/Structure of project
- Changes to target figures
- Underspends



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UNDERSPEND/DECOMMITMENT AND MATCH FUNDING

- Notify through NOC Process
- Utilise Match Funding approved at start of project
- Underspend deducted off the Grant
- Intervention rate reduced



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ARTICLE 60(b) MONITORING

- Every organisation can expect a visit
- Risk dependant on colour status on claim (RAG)
- Further guidance will be issued in due course



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PUBLICITY

- Compliance Requirement
- Guidance will be available from ESEP website and included in Offer of Grant package
- Logos available for download from ESEP website
- Retain examples on file
- Submit example with Final Claim



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EXAMPLES OF GOOD PRACTICE

Partnership Projects

- Partnership Agreement
- Generic Transaction List
- Regular Monitoring meetings with partners



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MAIN CONTACTS

Development Officers

- Eilidh Steele (Glasgow)
- Kenneth Robertson (Glasgow)
- Izabela Kilmorowska-Garb (Glasgow)
- Jamie Findlay (Glasgow)
- Tracey Gillon (Inverkeithing)
- Chris Martin (Inverkeithing)
- Alison Cumming (Inverkeithing)

Programme Managers

- Susan Tamburrini (Glasgow)
- Lynda Peacock (Glasgow)
- Billy Love (Glasgow)
- Rob Gompertz (Inverkeithing)



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ESEP Ltd Contact Details

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QUESTIONS AND ANSWERS



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THANK YOU FOR YOUR ATTENDANCE



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€UROSYS

- www.eurosys.scotland.gov.uk

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