



**EUROPE & SCOTLAND**  
European Social Fund  
Investing in a Smart, Sustainable and Inclusive Future



**EUROPE & SCOTLAND**  
European Regional Development Fund  
Investing in a Smart, Sustainable and Inclusive Future

# Lead Partner Event February 2018

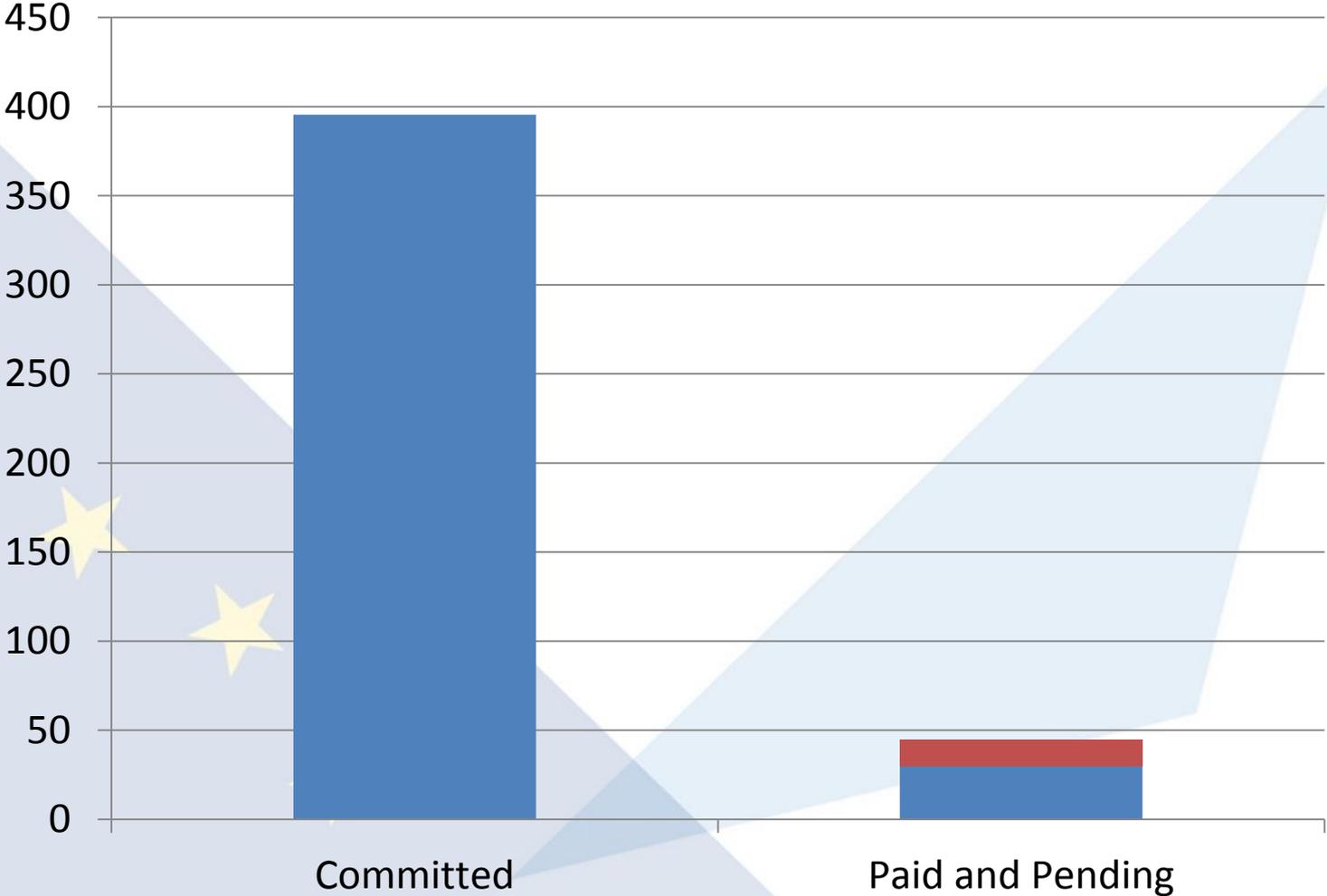
# Overview of day

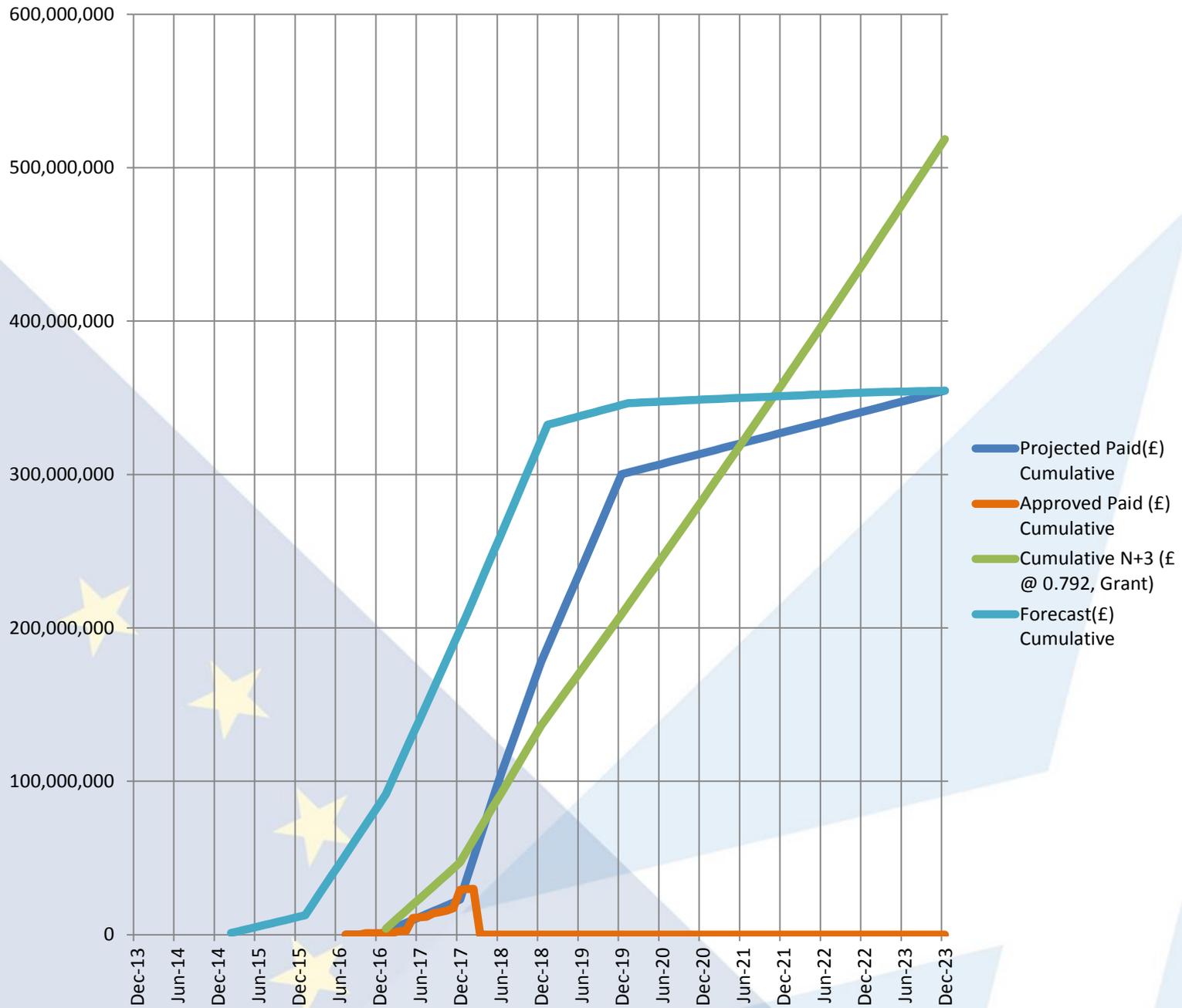
- **N+3 and Performance Reserve**
- **Performance Figures**
- **Phase 2**
- **Article 125 5(b) Checks**
- **Procurement**
- **EUMIS**
- **Claims and Verifications**
- **General Update**
- **Post 14-20 Programme**

# N+3

- **Loss of €22.4 million (€3 million ERDF and €19 million ESF)**
- **2018 N+3 targets require £169 million grant**
- **£13 million paid in grant a month.**
- **Claims up to date and kept on schedule**
- **Forecast figures must be updated**

# Commitments v Spend





# Performance Framework - ESF

Progr amme	Priority Axis	Category of Region	Key Implementation Step or Output Indicator	2018 Milestone (€ m)	Latest Value (€ m)	% 2018 Milestone Achieved
ESF	1	H&I	Expenditure	€ 12.79	€ 1.19	9.28%
ESF	1	H&I	Unemployed and inactive participants with multiple barriers to employment	2630	544	20.68%
ESF	1	H&I	Employed participants with multiple barriers to progressing in the labour market	126	17	13.49%
ESF	1	LUPS	Expenditure	€ 76.00	€ 9.86	12.98%
ESF	1	LUPS	Unemployed and inactive participants with multiple barriers to employment	25800	9784	37.92%
ESF	1	LUPS	Employed participants with multiple barriers to progressing in the labour market	1404	742	52.85%
ESF	2	H&I	Expenditure	€ 11.16	€ 0.14	1.22%
ESF	2	H&I	Disadvantaged participants in workless, lone parent or low income household	1000	214	21.40%
ESF	2	H&I	Deprived or fragile communities supported	28	0	0.00%
ESF	2	LUPS	Expenditure	€ 37.02	€ 0.33	0.90%
ESF	2	LUPS	Disadvantaged participants in workless, lone parent or low income household	3150	125	3.97%
ESF	2	LUPS	Deprived or fragile communities supported	25	0	0.00%
ESF	3	H&I	Expenditure	€ 14.33	€ 1.41	9.87%
ESF	3	H&I	Total participants (employed, unemployed, inactive) with ISCED level 2 or below	800	192	24.00%
ESF	3	H&I	Total participants (employed, unemployed, inactive) with ISCED level 3 or 4 qualifications	917	203	22.14%
ESF	3	H&I	Total participants with ISCED level 5 and above qualifications	280	20	7.14%
ESF	3	LUPS	Expenditure	€ 56.15	€ 8.45	15.05%
ESF	3	LUPS	Total participants (employed, unemployed, inactive) with ISCED level 2 or below	5187	1794	34.59%
ESF	3	LUPS	Total participants (employed, unemployed, inactive) with ISCED level 3 or 4 qualifications	2823	976	34.57%
ESF	3	LUPS	Total participants with ISCED level 5 and above qualifications	1092	122	11.17%
YEI	4	YEI	Expenditure	€ 92.62	€ 5.55	6.00%
YEI	4	YEI	Participants aged 16-24 who are unemployed or NEET	13430	5281	39.32%
YEI	4	YEI	Participants aged 25-29 who are unemployed or NEET	3570	1349	37.79%

# Performance Framework - ERDF

Progr amme	Priority Axis	Category of Region	Key Implementation Step or Output Indicator	2018 Milestone (€ m)	Latest Value (€ m)	% 2018 Milestone Achieved
ERDF	1	H&I	Expenditure	€ 9.49	€ 1.53	16.10%
ERDF	1	H&I	Enterprises receiving support to introduce new to the firm or new to the market	60	1	1.67%
ERDF	1	LUPS	Expenditure	€ 55.73	€ 9.33	16.75%
ERDF	1	LUPS	Enterprises receiving support to introduce new to the firm or new to the market	195	18	9.23%
ERDF	2	H&I	Expenditure	€ 11.59	€ -	0.00%
ERDF	2	H&I	ICT infrastructure contract let and implementation commenced	1	0	0.00%
ERDF	3	H&I	Expenditure	€ 16.15	€ 1.70	10.55%
ERDF	3	H&I	Enterprises receiving support	520	168	32.31%
ERDF	3	LUPS	Expenditure	€ 67.02	€ 23.71	35.37%
ERDF	3	LUPS	Enterprises receiving support	1800	1119	62.17%
ERDF	4	H&I	Expenditure	€ 12.00	€ 0.17	1.38%
ERDF	4	H&I	Transport hubs with contracts let or construction commenced	2	0	0.00%
ERDF	4	H&I	Low carbon projects receiving non-financial or financial support	25	2	8.00%
ERDF	4	LUPS	Expenditure	€ 59.62	€ 1.06	1.78%
ERDF	4	LUPS	Transport hubs with contracts let or construction commenced	4	0	0.00%
ERDF	4	LUPS	Low carbon projects receiving non-financial or financial support	125	15	12.00%
ERDF	5	H&I	Expenditure	€ 3.15	€ 1.48	46.99%
ERDF	5	H&I	Organisations and enterprises receiving financial or non-financial support	157	287	182.80%
ERDF	5	LUPS	Expenditure	€ 27.89	€ 7.44	26.69%
ERDF	5	LUPS	Projects delivering new/ improved green infrastructure which have commenced	4	0	0.00%
ERDF	5	LUPS	Organisations and enterprises receiving financial or non-financial support	890	1072	120.45%

# Programme Update

- **Operational Programme Changes Approved**
- **IR- up to 50% LUPS and 80% H&I**
- **ERDF-**
  - **Priority Axis 1 - can include capital for innovation projects**
  - **Culture and Heritage – challenge fund**

From now

- discussions between lead partners and Managing Authority on performance and phase 2
- lead partners submit extensions/change requests and any new applications as soon as they are ready

Every 6 weeks

- **Managing Authority Approval Panels**

Jan to June

- consider extensions and changes to existing SIs and operations

April to June

- consider new SI and Operation applications

June to September

- grant offers issued
- grant offers signed and returned
- review progress and consider any remaining submissions

Sept-Dec

- final grant offers issued

February 2019

- final grant offers signed and returned

# Phase 2

- **Extensions –**
  - **supplementary questionnaire and**
  - **change request templates**
  - **Documents on EUMIS**
- **Intervention Rate Changes**

# Questions



# **Article 125(5)(b) Checks – Stage 2 On The Spot Visits**

- **Management and Control System  
(MCS)**
- **Operation Verification Plan (Risk  
Rating)**
- **Key Requirements**

# **Article 125(5)(b) Checks – Stage 2 On The Spot Visits**

- **Lessons Learned 07-13 Programmes**
- **Pilot Visits**
- **All Operations within the SI**

# Article 125(5)(b) Checks – Stage 2 On The Spot Visits

- **Stage 2**
- **Planning Well Underway**
- **Communication**

# Article 125(5)(b) Checks – Stage 2 On The Spot Visits

- **Notification Letter**
- **Copies of Report and check forms**
- **The Team**

# Article 125(5)(b) Checks – Stage 2 On The Spot Visits

- **Before the Visit**
- **During the Visit**
- **After the Visit**
- **Document Retention**

**LUNCH**



# CLAIMS - EUMIS

- **Web Interface/CSV Upload Update**
- **Changes to EUMIS**
- **Data Accuracy - exercise to ensure data correct**

# CLAIMS – EUMIS

## Data Accuracy

- **Outputs**
  - **ESF – only one per participant**
  - **ERDF – can have multiple outputs but an output should only count once**
- **Consistency across a record**
- **Reports**

# Procurement

- **Evidence to show transparent audit trail**
- **Numbering and Naming of document.**
- **EUMIS procurement tab**

# Procurement

- **Document Checklist- full narrative**
- **Missing Documents –**
  - **Published OJEU Notices**
  - **Tender Evaluation**

# Procurement

- **Amending contracts without proper justification.**
- **Evaluation – inadequate trail of evidence, for example, the process to agree the final scores**
- **Technical checks at evaluation stage**

The background features a white field with several overlapping, semi-transparent light blue geometric shapes, primarily triangles and polygons, creating a dynamic, abstract pattern. In the lower-left quadrant, there is a light blue rectangular area containing five yellow, five-pointed stars arranged in a slightly curved, upward-sloping line, reminiscent of the European Union flag.

# **CLAIMS**

## **ESF and ERDF Sessions**

**BREAK**



# General Data Protection Regulations

- **Input directly into EUMIS or xml- secure and tested.**
- **Data collected is to evidence meet regulatory requirements and for evaluation purposes**
- **Controlled access**
- **Will not transfer personal data to Commission**
- **Reporting to Commission is aggregated**
- **Commission auditors read only access to EUMIS**

# Guidance Updates

- **National Rules**
- **Amended Application Form**
- **Change Request Guidance on EUMIS**
- ★ **Supplementary Questionnaires and updated  
change request forms**
- **<https://beta.gov.scot/publications/esif-forms-guidance-2014-2020/>**

# Horizontal Themes

- **Horizontal Themes Summary**
  - **Sustainable Development**
  - **Equal Opportunities and Non-discrimination**
  - **Equality between Men and Women**

# 2018 Activity and Dates

- **Evaluation Work**
- **Website**
- **★ Publicity – increase twitter use**
- **Europe Day 9 May – Case Study Booklet**
- **Annual Event - August**

# EU Exit

- **Economy, Jobs and Fair Work Committee launched ESIF consultation**
- **13 April deadline**

<http://www.parliament.scot/parliamentarybusiness/CurrentCommittees/107784.aspx>

# Next Event

- **Next event end June in Edinburgh**
- **E-mail address when sign up**
- **Suggestions for group discussions**
- **Presentations from lead partners during day**
- **Please feedback ideas/comments**