



European Union

The Scottish Government
Riaghaltas na h-Alba

EUROPE & SCOTLAND

European Social Fund

Investing in a Smart, Sustainable and Inclusive Future



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European Regional Development Fund

Investing in a Smart, Sustainable and Inclusive Future

MANAGING AUTHORITY SI OPERATION APPLICATION - MA CHECK SHEET

Submission Date	
Submission Number	

OPERATION DETAILS	
1. Strategic Intervention (SI) Title	
2. SI Lead Partner (LP)	
3. Delivery Agent (DA) Name	
4. Operation Title	
5. Operation No.	
6. Programme	
7. Programme Area	
8. Thematic Objective	
9. Investment Priority	

OPERATION APPLICATION

When selecting YES / NO / N/A, record the reason for the decision and log suggested changes (where applicable) in the MA justification for decision box.

Questions	Yes/No/ N/A	MA justification for decision
PART 1: LEAD PARTNER DETAILS		
1. Has this section been completed fully & accurately?	Choose an item	
PART 2: DELIVERY AGENT DETAILS		
1. Has this section been completed fully & accurately?	Choose an item	
PART 3: OPERATION DETAILS		
1. Has the information from Operation Title to Investment Priority been completed fully & accurately?	Choose an item	
2. Has the most appropriate Intervention Field(s) been selected?	Choose an item	
3. Has the correct Territory Type & Project Location been selected?	Choose an item	
4. Is the Operation timescale consistent	Choose an	

Questions	Yes/No/ N/A	MA justification for decision
with the Strategic Intervention?	item	
5. Is the start date appropriate?	Choose an item	
6. Is the physical end date appropriate?	Choose an item	
7. Is the financial end date appropriate?	Choose an item	
8. Has the Operation already started?	Choose an item	
9. If the Operation has already started, has the LP confirmed that regulatory compliance has been adhered to?	Choose an item	
10. If any of the flexibility options have been selected, has appropriate justification been provided in Need for Grant section?	Choose an item	
PART 4: FINANCIAL INFORMATION		
1. Are the Operation costs consistent with the approved SI?	Choose an item	
2. Has an accurate Application Financial Annex been provided to demonstrate the basis of the costs included in the application?	Choose an item	
3. Is the intervention rate appropriate?	Choose an item	a)
4. Does the expenditure profile appear realistic?	Choose an item	
5. Has the MA checked & is the MA satisfied with the evidence & calculations of net revenue & income?	Choose an item	
6. Is the Cost Model(s) selected appropriate & based on a methodology approved by the Scottish Government?	Choose an item	
7. Is there sufficient justification supplied with the cost model chosen?	Choose an item	
8. Are all sources of match funding eligible?	Choose an item	
9. Has all match funding & evidence been confirmed?	Choose an item	
10. Has this section been completed fully & accurately?	Choose an item	
PART 5: RATIONALE		
1. Is the MA satisfied that the application demonstrates the Operation fits with the SI, associated Thematic Objective & Investment Priority/Priorities?	Choose an item	

Questions	Yes/No/ N/A	MA justification for decision
2. Is the proposed activity eligible?	Choose an item	
3. If a Challenge Fund is proposed, has the LP described fully the proposed criteria & processes for implementing the Fund & meets the minimum guidance?	Choose an item	
4. Is the MA satisfied that the application demonstrates the need for grant?	Choose an item	•
5. Is the MA satisfied that the application demonstrates added value?	Choose an item	
6. Is the MA satisfied that the application demonstrates how it fits to the relevant Investment Priority and approved strategic intervention?	Choose an item	
7. Has the relevant Outputs and Results Annex been completed & submitted?	Choose an item	
8. Are the outcomes appropriate & consistent with the approved SI?	Choose an item	
9. Do the proposed outcomes appear: <ul style="list-style-type: none"> • appropriate • achievable • ambitious and represent value for money?	Choose an item	
10. Has this section been completed fully & accurately?	Choose an item	
PART 6: HORIZONTAL THEMES		
1. Is the MA satisfied that the application demonstrates the Operation's contribution towards Environmental Sustainability?	Choose an item	
2. Is the MA satisfied that the application demonstrates the Operation's contribution towards Social Inclusion?	Choose an item	
3. Is the MA satisfied that the application demonstrates the Operation's contribution towards Equal Opportunities?	Choose an item	
4. Has this section been completed fully & accurately?	Choose an item	
PART 7: OPERATION ADMINISTRATION		
1. Is the MA satisfied that the application demonstrates that appropriate management, financial & administrative systems are in place to implement the Operation?	Choose an item	

Questions	Yes/No/ N/A	MA justification for decision
2. Has a flowchart been provided illustrating the management structure for the Operation?	Choose an item	
3. Is the strategy for delivering targets clear?	Choose an item	
4. Are the financial structures and systems credible and robust to ensure compliance?	Choose an item	
5. Is the MA satisfied that the Operation has an appropriate Communications & Marketing strategy in place with appropriate acknowledgement of ERDF/ESF?	Choose an item	
6. Has this section been completed fully & accurately?	Choose an item	
PART 8: REGULATORY (LEGAL) COMPLIANCE		
1. Have the chosen delivery methods been effectively described and justified?	Choose an item	
2. Is the MA satisfied that the procurement process and legal steps are clear and sufficient to evidence compliance?	Choose an item	
3. Has the Contract Information Sheet been completed and provided?	Choose an item	
4. Is the MA satisfied that the Challenge Fund process and legal steps which will be taken are sufficiently described?	Choose an item	
5. Is the MA satisfied that State Aid rules have been fully considered by the LP and will be met?	Choose an item	
6. Is the MA satisfied that the Operation will comply with Structural Funds publicity requirements?	Choose an item	
7. Has the application adequately dealt with how the operation will consider equalities?	Choose an item	
8. Has the application clearly set out how the operation will consider and mitigate its impacts on the environment?	Choose an item	
http://www.gov.scot/Topics/Environment/environmental-assessment http://www.gov.scot/Topics/Environment/environmental-assessment/sea/SEAGuidance		
9. Is the MA satisfied that a robust system has been established for retention of all appropriate Operation data and documentation?	Choose an item	
10. Has this section been completed fully & accurately?	Choose an item	

Questions	Yes/No/ N/A	MA justification for decision
PART 9: LEAD PARTNER DECLARATION		
1. Has this section been completed fully & accurately by the Chief Executive or Equivalent Head of Organisation?	Choose an item	

Details of any supporting documentation provided

KEY ISSUES

Please select the Key Issues that were detailed in SI Approval Letter (Note there may have been no key issues, some key issues or all key issues selected).

Type Yes for the appropriate Key Issue and comment in the box if this Issue has been addressed in the Operation Application.

If a Key Issue was not selected in SI Approval Letter the select No and type Not Applicable in the MA justification for decision Box.

Key Issues	MA Comments
Policy, Demand and Targets	
Provide an explanation of how the Strategic Intervention complements and/or avoids duplication with other Strategic Interventions within this Priority/Thematic Objective.	
Provide an explanation of how the Strategic Intervention complements and/or avoids duplication with the Youth Employment Initiative.	
Provide quantified evidence of demand/need for the SI, explaining where the SI fits alongside other SI's or interventions?	
Clearly define the delivery of the outcomes, particularly how they will be specified and quantified.	
Explain how the SI complements and fits with domestic policies/interventions and explain what gap, or opportunity, it will plug.	

Explain and justify why the specified delivery method(s) has/have been deemed appropriate.	
Finance	
Explain how the SI provides value for money.	
Identify which cost model will be used.	
Who will provide the match funding and is it clean?	
Explain the financial profile set out.	
Describe your track record in managing Structural Funds compliantly.	
Procurement	
Outline the Public Procurement processes to be undertaken and what legal advice has been sought.	
If a Challenge Fund process is envisaged, outline the approval processes and how they comply with European Regulations and National Rules.	
State Aid	
Provide details of what impact State Aid has on the operation applications and how this will be addressed.	
Specific Issues (Please List)	

OUTCOME	
Checks Completed for this version.	Choose an item.

Comments - Action Required / Undertaken		
<p>If further information/clarification is required go back to Lead Partner using comments box above to provide feedback.</p> <p>Lead Partner to answer points and/or provide further revised Application, if required.</p> <p>Checklist to be updated, as per guidance, following receipt of further information/revised application.</p>	Choose an item.	
<p>Should Operation Application go forward for assessment at the MA Approval Panel (MAAP)?</p> <p>If yes complete details on the MA Approval Panel Recommendations Overview Sheet and the Risk Rating Sheet, and the Overall Risk Rating and Assessment Sheet and submit to MAAP.</p>	Choose an item.	
Portfolio & Compliance Manager Sign Off & Date	<Insert Name>	<Insert Date>
Senior Portfolio & Compliance Manager Comments:		
Senior Portfolio & Compliance Manager Sign Off & Date:	<Insert Name>	<Insert Date>

Documents to be forwarded to the MAAP for final assessment:

- Financial Information (including Total Costs of the previously approved SI Application, and total eligible costs and grant requested for each operation submitted under the SI) **This should be completed on the MA Approval Panel Recommendations Overview Sheet – one for each growth team (See Staff DI – SI Operation Application Process).**