

**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

SCRUTINY AND RISK PANELS (SARP) 2014 – 2020 EUROPEAN STRUCTURAL FUNDS PROGRAMMES**ASSESSMENT AND ISSUES**

Note: One of these forms must be completed for each SI submitted to the Managing Authority and must be concluded following the meeting of the Scrutiny and Risk Panel (SARP).

Lead Partner Name:	
SI Title:	
Date of SARP:	
Section 1: Absolute Requirements (<i>Must be all Yes in this section to progress</i>)	
	Y/N
1	Is the proposal affordable within EU Funds?
2	Is there Match funding available?
3	Is there a clear contribution to EU 2020 goals?
4	Is the activity genuinely additional?
5	Feasible to deliver?

Section 2: Justification and Horizontal Themes		1-5
1	Does the Strategic Intervention have transformational potential?	
2	Does the proposal address identified needs or demand?	
3	Does the proposal credibly require EU funds to proceed?	
4	Is there evidence of engagement with appropriate stakeholders?	
5	Is there differentiation from or alignment with existing domestic activity?	
6	Is there evidence that the project will address relevant horizontal themes (Environmental Sustainability, Equal Opportunities, social inclusion)?	
7	Does the proposal have a clear plan for achieving synergies with other EU funding sources such as ETC or Horizon 2020?	
8	Is there evidence that relevant territorial needs have been addressed?	
Total		/40

Section 3: Detailed Risk Assessment - Programme Compliance		1-5
1	Is there a clear fit with the relevant Priority Axis in the Operational Programme?	
2	Is there a clear fit with the Investment Priority	
3	Is there a clear fit within the Programme Eligibility Rules	
4	Is the SI aligned with Scottish Government Policy & Strategies	
5	Does the SI Fit with other relevant EU funds, including ESF and other relevant Strategic Interventions.	
6	Is there a plan in place for mainstreaming activity beyond EU funding support?	
Total		/30

Note any Comments for Follow-up Monitoring

Section 3: Detailed Risk Assessment - Legal Compliance		1-5
1	Is there evidence that State Aid Rules have been fully considered and will be met?	
2	Is there evidence that the organisation has the necessary Procurement knowledge and will comply with the rules?	
3	Is there evidence that Equal Opportunities has been fully considered and that all legal obligations will be met?	
4	Is there evidence that Environmental issues have been fully considered and that all legal obligations will be met?	
Total		/20

Note any Comments for Follow-up Monitoring

Please note: For questions 5 & 6, where it may not be relevant to the application, e.g. if a challenge fund is not operating and therefore that questions is not applicable, use a score of 3 to maintain consistency.

Section 3: Detailed Risk Assessment – Financial Compliance		1-5
1	Does the proposed Financial Structure appear credible?	
2	Is there evidence that the Strategic Intervention is financially viable and offers value for money?	
3	Are the detailed financial arrangements for monitoring, reporting and auditing credible?	
4	Is there evidence that simplified cost models have been correctly understood and presented? AND/OR	
5	Have the contractual arrangements been clearly expressed?	
6	If a Challenge Fund scheme is proposed – is it based on clear and rational principles and selection criteria?	
Total		/30

<p>Note any Comments for Follow-up Monitoring (Risk Management Plan)</p>
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Section 3: Detailed Risk Assessment - Performance Compliance		1-5
1	Are the outcomes and results clearly linked to programme targets?	
2	Is there evidence that the forecast outcomes and results are achievable within the required timescales and that there is a clear plan for achievement?	
3	Are the forecast outcomes and results ambitious and capable of achieving a substantial proportion of the Programme Targets?	
4	Are the results proportionate to the costs involved?	
5	Do the outcomes and results offer clear socio economic benefits?	
6	Is the proposed management and monitoring structure robust and appropriate?	
7	Is there evidence that the process for identifying operations is credible and well thought through?	
8	Is there a contingency plan?	

Total	/40
Note any Comments for Follow-up Monitoring (Risk Management Plan)	
Total Score (Sections 1-3)	/160

Priority Axis Specific Questions – Please delete all tables not relevant to the Priority Axis being assessed in this application

ESF

Priority Axis 1: Promoting sustainable and quality employment and supporting labour mobility		1-5
1	Is there evidence of a clear analysis of which target groups are most prevalent in the area and how the pipeline approach will be used to support them into work or higher-quality work?	
Total Score ESF P1		/5

Priority Axis 2: Promoting Social Inclusion, combating poverty and any discrimination		1-5
1	Is there evidence of innovative community-based solutions?	
2	The ability to clearly identify and meet the needs of key target groups identified: workless households, lone parents, disabled, homeless and other disadvantaged group has been clearly evidenced?	
3	Clear and practical gender equality outcomes can be achieved?	
Total Score ESF P2		/15

Priority Axis 3: Investing in Education, Training and vocational training for skills and lifelong learning.		1-5
1	There is an underlying intention to address both quality of and access to skills acquisition?	
2	There is evidence that the intervention will promote intermediate and high-level skills in line with Regional Skills Plans and a detailed industry survey of the types of skills required by growth sectors in each region of Scotland.	

3	There is a clear evidence of alignment with the development of high-quality and high-skill vocation training and placements; the ability to support lower-skilled groups into higher levels of skills and productivity; and scope to broaden access and learning into the full workforce, for example through flexible or remote learning provision.	
Total Score ESF P3		/15

Priority Axis 4: Youth Employment Initiative		1-5
1	There is clear evidence of a commitment to the principle of results-orientation, and particularly an ambition to achieve the long-term results 6 months after a young person completes, regardless of the difficulties facing the young individual when they commence support.	
Total Score ESF P3		/5

ERDF

Priority Axis 1: Strengthening Research, Technological Development and Innovation		1-5
1	Is there evidence that the proposal will address the lack of business engagement in innovation, with a particular focus on those sectors identified as part of the Smart Specialisation Strategy?	
2	Is there evidence of a focus on demand-led support for businesses and a clear link between promoting innovation and using this as a route to growth and internationalisation?	
Total Score ERDF P1		/10

Priority Axis 2: ICT		1-5
1	Is there evidence of community engagement?	
2	Is there evidence of a suitable options appraisal to ensure the right kind of technology is being applied to difficult and remote territories?	
3	Is there alignment with take-up and demand increase strategies?	
Total Score ERDF P2		/15

Priority Axis 3: Enhancing the Competitiveness of SMEs		1-5
1	Is there evidence that the proposal will enable businesses to draw on a range of support as they grow and develop; and be clearly focussed on achieving growth and growth in employment in the key sectors identified in the Smart Specialisation Strategy, or sectors regionally important and identified in the Government Economic Strategy.	
Total Score ERDF P3		/5

Priority Axis 4: Low Carbon Economy		1-5
1	Is there evidence that the proposal fits with the Strategic Energy Technology Plan and the GES focus on green and low carbon jobs?	
2	Is there a commitment to working with business and community projects to develop their solutions?	
3	Is there evidence of the ability to lever in other sources of investment?	
Total Score ERDF P4		/15

Priority Axis 5: Preserving and Protecting the Environment and Promoting Resource Efficiency		1-5
	Investment Priority: Industrial transition towards a resource efficient economy	
1	Is there evidence of a good awareness of and fit with the EU's emerging policy on circular economies and Scotland's Zero Waste strategy?	
2	Is there evidence that the proposal is genuinely business/demand driven and will genuinely drive down use of resources over the long-term?	
	Investment Priority: Green Infrastructure	
1	Is there evidence that the proposal is based on a regional plan or other plan of scale that will ensure that individual projects cumulate into a bigger positive environmental impact.	
2	Is there evidence that the proposal balances environmental and social concerns and involves local communities?	
Total Score ERDF P5		/20

FINAL SCORE: SECTIONS 1-3 PLUS PRIORITY AXIS SPECIFIC QUESTIONS – See Guidance Note at back of this form

Final Score:		Final MCSW:	
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STRATEGIC QUESTIONS FROM SI TO BE ADDRESSED AT OPERATION APPLICATION ABOVE

Policy, Demand, and Targets		Comments
1.	Choose an item.	
2.	Choose an item.	

3.	Choose an item.	
4.	Choose an item.	
5.	Choose an item.	

***Please delete any lines not required.**

Delivery		Comments
1.	Choose an item.	

Finance		Comments
1.	Choose an item.	
2.	Choose an item.	
3.	Choose an item.	
4.	Choose an item.	
5.	Choose an item.	

***Please delete any lines not required.**

Procurement		Comments
1.	Choose an item.	
2.	Choose an item.	

***Please delete any lines not required.**

State Aid		Comments
1.	Choose an item.	
2.	Choose an item.	
3.	Choose an item.	

***Please delete any lines not required.**

STRATEGIC RISKS

Programme Compliance Risks		Comments
1.	Choose an item.	
2.	Choose an item.	
3.	Choose an item.	

4.	Choose an item.	
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****Please delete any lines not required.***

Legal Compliance Risks		Comments
1.	Choose an item.	
2.	Choose an item.	

****Please delete any lines not required.***

Financial Compliance Risks		Comments
1.	Choose an item.	
2.	Choose an item.	

****Please delete any lines not required.***

Performance Compliance Risks		Comments
1.	Choose an item.	
2.	Choose an item.	
3.	Choose an item.	
4.	Choose an item.	
5.	Choose an item.	

****Please delete any lines not required.***

ANY OTHER QUESTIONS RAISED

Question		Comments
1.		
2.		
3.		
4.		
5.		

****Please delete any lines not required.***

SARP Decision	
Return to LP for amendment/clarification <Insert Date>	Proceed to MA Approval Panel <Insert Date>

Please note: These forms must be attached to an email along with the minutes/formal record from the SARP meeting and emailed out to the member of the SARP panel for approval.

MSCW Guidance Note

M	Must	Very strong application and recommended for funding
S	Should	Strong application should be recommended for funding although may need some issues addressed prior to approval
C	Could	Acceptable application (and with some enhancement) could be recommended for funding but needs issues addressed prior to approval
W	Won't	Application cannot be recommended for funding and requires amendment and reappraisal

Each SI must be scored, and the scores listed in this SI Assessment Form. All Assessment forms consist of **3** sections of standard questions applicable across each Priority Axis and can total **160**. The form also encompasses additional Priority Specific Questions, together these can total as follows:

ERDF Priority Axis 1 – 10 (**Max 170**)
 ERDF Priority Axis 2 – 15 (**Max 175**)
 ERDF Priority Axis 3 – 05 (**Max 165**)
 ERDF Priority Axis 4 – 15 (**Max 175**)
 ERDF Priority Axis 5 – 30 (**Max 190**)

ESF Priority Axis 1 – 05 (**Max 165**)
 ESF Priority Axis 2 – 15 (**Max 175**)
 ESF Priority Axis 3 – 20 (**Max 180**)
 ESF Priority Axis 4 – 05 (**Max 165**)

The MSCW scoring bands below, shows the scores required for each accepted standard.

Max 165

Must: 136 - 165
 Should: 112 - 135
 Could: 81 - 111
 Won't: 0 – 80

Max 170

Must: 144 - 170
 Should: 119 - 143
 Could: 84 - 118
 Won't: 0 – 83

Max 175

Must: 148 - 175
 Should: 121 - 147
 Could: 86 - 120
 Won't: 0 – 85

Max 180

Must: 152 - 180
 Should: 125 - 151
 Could: 89 - 124
 Won't: 0 - 88

Max 190

Must: 161 - 190
 Should: 133 - 160
 Could: 96 - 132
 Won't: 0 – 95