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**Article 125 - On the Spot Verification Report (CFO Providers)**

The CFO provider should complete all the sections highlighted in yellow before the On the Spot visit takes place. A supporting guidance document is provided to help you complete each section. The provider should return the completed form to your CFO contact within the agreed timetable. The CFO will in turn review and submit the completed form to the designated Verification Manager.

**Please note:** the completion of the A125 OTS Verification Visit Report does not guarantee that further issues will not be found by other external auditors.

**Purpose**

The general principle of the A125 reviews is to verify that the co-financed products and services you are delivering either as ESF or match expenditures and the expenditure you declare for operations has actually been incurred and complies with Community and national rules.

Purpose of this Visit (√)

|  |  |
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| Full On the Spot |  |
| Follow up visit |  |

**Colour Coding Key:**

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|  | **To be pre completed by your CFO Compliance Team** |
|  | **To be completed by the CFO Provider and returned to your CFO Compliance Manager.** |
|  | **To be completed by the ESF Verification Team after the visit has taken place and issued to the CFO.** |

**Section A – Background and Reference Information**

| **Memorandum of Understanding Number** |  | |
| --- | --- | --- |
| **CFO Organisation Name** |  | |
| **Provider Name** |  | |
| **Priority Axis** |  | |
| **Investment Priority(s)** |  | |
| **CFO Contract Reference** |  | |
| **ESF or Match Contract** |  | |
| **Provider Address** |  | |
| **Contact name and phone number** |  | |
| **Contract Start Date** | | **Contract End Date** |
|  | |  |

**Visit Details**

|  |  |  |
| --- | --- | --- |
| Date and time of visit |  | |
| Value of expenditure tested at visit (£) | |  |
| Total value verified as eligible at visit (£) | |  |
| Amount of expenditure declared as irregular post visit (£) | |  |

**Project staff present during visit**

As the CFO Provider you will need to advise and assure us that all relevant records will be available on the day of the visit. Individuals with the following roles might therefore need to be available at some point during the review visit:

* HR (equality requirements)
* Estates (environmental sustainability requirements)
* Management Information
* Project Management

**•** Finance Manager/ Claims Officer (The Big Lottery only)

**•** Payroll (The Big Lottery only)

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| **Name** | **Job Title, Role & Contact Number(s)** |
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**CFO Compliance Team representatives present during visit**

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| **Name** | **Job Title** |
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**ESF Verification Team representatives present during visit**

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| --- | --- |
| **Name** | **Job Title** |
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**1. Publicity and Communications**

It is very important that the use of Structural Funds is publicised and there are certain specific European Union requirements in relation to ESF publicity and its branding.

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| **1.1** Are you meeting publicity ESF requirements? Please describe arrangements and provide compliance evidence for:   * Display of A3 sized posters advertising ESF * Logos on websites * Ensuring participants and employers are aware that they are on an ESF funded programme * Provision of case studies * Logos on advertisements, key project documentation and promotional or marketing materials. |
|  |
| **1.2** How does the lead partner, if applicable, monitor publicity requirements for sub contractors and delivery partners? |
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| **ESF Verification Manager comments on Publicity and Communications** |
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**2. Cross Cutting Themes**

To ensure the CFO providers, its sub contractors and delivery partners are complying against European funded programme rules concerning gender equality, diversity, sustainable and environmental development.

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| **2.1 Gender Equal Opportunities**. Please provide your Gender Equality Opportunities Policy and Action Plan when returning this checklist. What activity has the provider undertaken to date and please detail progress against the action plan objectives? How does the lead partner, if applicable, monitor these plans and policies for sub contractors and delivery partners? |
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| **2.2 Equality and Diversity Information Management**. Please provide, for participants, a standard report detailing progress to date against profiles for the range of equality data stated within your CFO contract. For example by gender, age, ethnicity, disabled by starts, results and outputs, as well as a short explanation for areas of under performance and plans for improvement. |
|  |
| **2.3 Environmental Sustainability**. Please provide your Environmental, Sustainable Development Policy and Action Plan with this checklist. For environmental sustainability, what activity has the project undertaken to date and please detail progress against the action plan objectives? How does the lead partner, if applicable, monitor these plans and policies for sub contractors and delivery partners? |
| **ESF Verification Manager Comments on Cross Cutting Themes** |
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**3. Sub contracting and Partners**

To ensure that the CFO provider has adequate systems in place for the effective procurement and monitoring of sub contractors and delivery partners in respect of ESF requirements. Refer to Directive 2014/24/EU on public procurement, implemented in England, Wales and Northern Ireland by the Public Contracts Regulations 2015 (2015 No. 102) and any amendments or replacements.

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| **3.1** **Procurement**: Please describe and evidence (if applicable) the procurement of any new sub contractors or new delivery partners since your CFO application? |
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| **3.2 ESF requirements**: For all sub contractors or delivery partners, please describe how ESF requirements are incorporated within their contracts or Service Level Agreements (SLAs)? |
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| **3.3 Partner monitoring**: Please describe the procedures in place to assess and monitor sub contractors and delivery partners to deliver ESF effectively and compliance with ESF requirements? |
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| **3.4** **Anti Fraud measures.** Please describe your anti fraud prevention policies or procedures. |
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| **ESF Verification Manager comments on Sub contracting and Partners** |
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**4. State Aid**

To ensure compliance with EC State Aid regulations relating to block exemption and de-minimis requirements

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| **4.1** Does your project receive State Aid? If so please describe the type of aid given. If not please go to section 5. |
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| **4.2 Block Exemption.** (Commission Regulation (EU) No 651/2014) If applicable, what steps has the CFO provider and its subcontractors or delivery partners taken to ensure compliance with Block Exemption rules? |
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| **4.3 De-Minimis.** (Commission Regulation (EU) No 1407/2013) If applicable, please describe how you ensure that your sub contractors or delivery partners are compliant with the regulations relating to De-minimis? |
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| **ESF Verification Manager comments on State Aid** |
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**5. Document Retention and Data Protection**

To ensure that the CFO providers and its subcontractors or delivery partners have a coherent policy on the retention of documentation covering all aspects of ESF and match provisions which complies with European Regulations 1303/2013 – Article 140*.*

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| **5.1** Please provide your Document Retention and Data Protection policies with this checklist. |
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| **5.2** Please describe the arrangements for your sub contractors and delivery partners to archive and protect project documentation? Please list the providers responsible for keeping source documentation, its locations, and plans for its archive by the responsible organisations and its archived locations? |
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| **ESF Verification Manager comments on Document Retention** |
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**Participant Sample Verification (one table to be completed per contract for a maximum of 2 contracts sampled at random), that made up the total provider payment value). [Not applicable to the Big Lottery Providers.]**

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| Participant reference | Total Participant claimed costs under review | Breakdown of Participant claimed costs under review and evidence to support deliverables as claimed that could include qualification certificates and timesheets where necessary.  Where balancing payments have been claimed, is this supported by the ILR planned dates and qualification obtained? | Supporting evidence to support eligibility, induction, initial assessment, action plans and regular reviews had taken place? |
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**Project Expenditure Details (Big Lottery Fund Providers only).**

**STAFF COSTS:**

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| **Sample No** | **Quarterly Claim Period & Name of Sub Contractor/ Delivery Partner (if applicable)** | **Post Title** | **Amount** | **Description** | **Evidence** | **Action/ findings** |
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| **TOTAL £** | | | | |  |  |

**OTHER COSTS - the following other costs will be checked (Big Lottery Fund Providers only)**

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| **Sample No** | **Quarterly Claim Period & Name of Contractor/ Delivery Partner (if applicable)** | **Amount** | **Description of Cost** | **Evidence** | **Action/ findings** |
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|  | **Total** | **£** | |  |  |

**6. Summary Table of Observations, Recommendations and Action Points**

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| **Observations (by exception), Irregularity calculations, Recommendations and Action Points** |
| Observations  Recommendations  Action Points |

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| **Contracts and other Documents noted as part of A125 activities** |
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| **ESF Verification Manager** | |
| Signature |  |
| Name |  |
| Position |  |
| Date |  |

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| **ESF Approving Manager** | | |
| Signature |  | Management check completed and confirmed it can be issued to applicant.  Yes/No |
| Name |  |
| Date |  |  |