



Special EU Programmes Body  
Foras Um Chláir Speisialta An AE  
Boord O Owre Ocht UE Projecks

# **BUSINESS PLAN 2016**

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## **Chief Executive's Foreword**

I am delighted to be taking on the role of incoming Chief Executive of the Special EU Programmes Body during this exciting time as we embark on this new EU programming cycle. I am looking forward to the many challenges and opportunities ahead as we manage the delivery of the PEACE IV and INTERREG VA Programmes for 2014-2020.

With a combined value of over half a billion Euro, these Programmes represent a significant level of investment from the European Union across the eligible region of Northern Ireland, the Border Counties of Ireland and Western Scotland, as it seeks to improve the lives of citizens through increased cross-border cooperation.

The PEACE Programme, itself, is unique across all of the Member States and symbolises the EU's commitment to supporting peace and stability across Northern Ireland and the Border Region of Ireland. The latest tranche of funding from Europe, worth €229m, highlights the high level of support that the Commission has provided for the region. This will be combined with the €240m worth of European funding under the new INTERREG VA Programme. Additional match funding will bring the Programmes' total value to over half a billion Euro.

I would like to take this opportunity to recognise the achievements of my predecessor Pat Colgan, who over the past 11 years has provided dedicated leadership spanning two successive programming periods. His contribution to the SEUPB was invaluable, not only in ensuring that the previous Programmes were delivered successfully, but also in paving the way forward for the preparation of the new the round of funding that will help to transform the region.

The PEACE III and INTERREG IVA Programmes have created a real and lasting legacy that will benefit the region for many years to come, and with Programme activity now concluded I would like to also formally recognise the hard work and dedication of all those involved in the delivery of the these Programmes. This work involved significant input and support from a large number of people including the members of our Monitoring and Steering Committees, the Accountable Departments in Northern Ireland and Ireland, and the Scottish Government, and off course the organisations delivering the projects.

Examples of this work include the Glen Community Complex which has helped to foster more positive cross-community relations in North Belfast; the Peace Link sports facility in Clones which is bringing thousands of young people from different communities together through a shared love of sport; as well as the REACH project for the Orange Order which has created two new interpretive centres at Schomberg House, Belfast and Sloan's House in Loughgall, Armagh.

Under the INTERREG IVA Programme EU support has also been awarded to economic development initiatives like the North West Regional Science Park and Project Kelvin; as well as projects designed to help protect the environment, like ANSWER and CIRB; along with a

significant investment in vital cross-border healthcare programmes under CAWT (Co-operation and Working Together).

As we move into the new programming period we can reflect upon the achievements and lessons learnt from both of these programmes and appreciate the positive effect that they have had on the lives of hundreds of thousands of citizens living across Northern Ireland, the Border Region of Ireland and Western Scotland.

In preparation of the 2014-2020 PEACE IV and INTERREG VA Programmes, the new approach by the European Commission has been adopted, and as a result the Programmes are much more concentrated and focused, with a clearly defined result orientation including measurable outputs, milestones and targets.

This represents a challenge, but also an opportunity, as projects must be able to contribute towards the distinct outputs set for each Programme objective. In doing so they will help to deliver upon the overarching aim of the PEACE IV and INTERREG VA Programmes in terms of creating a more peaceful and sustainable region through enhanced cross-border working and reconciliation.

I am pleased to present the Special EU Programmes Body's Business Plan for 2016 which outlines targets for our strategic business objectives for the coming year, and will be used to assess performance against the objectives outlined within the SEUPB's Corporate Plan for 2014-2016.

The plan uses the 'Balanced Scorecard' model to report on our main business outputs and all information contained within the 'Scorecard' reflects the work of our individual teams. We consider it to be a working document and as such it may be subject to some minor amendment throughout the year in response to changing circumstances.

The SEUPB works under the direction of the North South Ministerial Council, and we work closely with them and of course our own Sponsor Departments, the Department of Public Expenditure and Reform in Ireland and the Department of Finance and Personnel in Northern Ireland whose advice and guidance is invaluable in the delivery of our work.

I would also particularly like to express my admiration and continued gratitude to all of my colleagues within the SEUPB who work enthusiastically to ensure these Programmes are delivered.

**Gina McIntyre**

**Chief Executive (Designate)**

**Special EU Programmes Body**

# **SECTION ONE**

## **Overview of the work of the SEUPB**

## SEUPB Mission Statement:

*“To effectively manage and implement funding programmes on behalf of the two Governments aimed at delivering social and economic improvements to the people in Northern Ireland, Ireland and parts of Western Scotland through cross-border, transnational and inter-regional cooperation.”*

## SEUPB Vision Statement:

*“The SEUPB will work as a trusted agent of both Governments and the European Commission in the management and delivery of programmes that contribute to the economic and social wellbeing of the region. Its work will be imbued by the values of openness, transparency and accessibility.”*

## Our Guiding Principles:

These describe the essence of how we work. They define our culture and core beliefs and are firmly embedded within the strategic and business objectives outlined within this Business Plan. Our guiding principles have been developed through consultation with staff members and consideration of the dynamic environment within which we operate.

- *Financial Integrity*
- *Customer / Stakeholder Focused*
- *Equality in opportunity and accessibility for all*
- *Efficiency and value for money*
- *Transparency and openness in governance*
- *Collaboration, Sharing and Learning*
- *Respect for all*

## **Introduction**

In accordance with its Financial Memorandum, the Special EU Programmes Body (SEUPB) is required to prepare a three year Corporate Plan and annual Business Plan which is subject to the approval of the North South Ministerial Council (NSMC), including the two Sponsor Ministers (the Minister of Finance and Personnel in Northern Ireland and the Minister for Public Expenditure and Reform in Ireland).

The SEUPB intends to use this 2016 Business Plan as an operational tool to review performance in 2015 and to detail how we plan to deliver in 2016 the strategic objectives and targets set out within the Corporate Plan 2014-2016.

The budget for 2016 is driven by the operational activity targets identified and by the need to achieve value for money in the current challenging economic environment. The Business Plan will be a working document that will be further refined throughout the year to react to any challenges that may arise.

## **Governance Structures and Statutory Obligations**

The Special EU Programmes Body is a North South Body, established under the Agreement between the Government of Ireland and the Government of the United Kingdom of Great Britain and Northern Ireland (the Agreement) on 8 March 1999. The Agreement stipulates that the SEUPB will implement the policies directed by the NSMC as specified by the North South Co-operation (Implementation Bodies) (Northern Ireland) Order 1999 and the British-Irish Agreement Act 1999, as amended.

The Body operates within a complex legislative and financial environment and, as the governmental sponsors of the SEUPB, departmental responsibility rests with the Department of Finance and Personnel (DFP) in Northern Ireland and the Department of Public Expenditure and Reform (DPER) in Ireland. The Body carries out its functions in compliance with the provisions of the Financial Memorandum and any other agreements with these Departments. The Financial Memorandum is designed to ensure the proper use of public monies and sets out financial procedures and accountability arrangements which govern the operating and financial relationships between the SEUPB and the NSMC, DFP and DPER in their roles as both Sponsor and Finance/Public Expenditure Departments.

The SEUPB also reports to an Audit and Risk Committee, with independent Chair and Membership. The Audit and Risk Committee provides an oversight role for the Accounting Officer in the areas of risk, control and governance and associated assurance issues.

The SEUPB receives grants of money voted by the Northern Ireland Assembly and Dáil Éireann. The NSMC will, with the approval of the Finance/Public Expenditure Ministers, make recommendations as to the amount of such grants. The SEUPB will also receive monies directly from the EU Commission, for the designated programme advance and interim payments. However, these interim payments will be returned to the Governments who provided the grant on which this EU income received has been earned.

## **Organisational Staffing**

In relation to Human Resources, SEUPB continues to work to a maximum head count of 57 FTE staff for 2015. Staffing numbers continue to be managed to ensure that business critical areas receive priority in allocating staff resources. The majority of staff work in the Belfast Office, with the remainder working in the Omagh and Monaghan offices.

Staff turnover remained low during 2015 with only two staff members leaving post during the year and one retirement due before the end of 2015. The current turnover rate for is 3.10% (target less than 20%) for the past 12 months.

## **Key Organisational Roles**

The primary role of the SEUPB is to manage cross-border European Union Structural Funds Programmes in Northern Ireland, the Border Region of Ireland and parts of Western Scotland, on behalf of the European Commission and the two Member States.

### **2007-2013 Programmes**

The two 2007-2013 Programmes are the European Union's Programme for Peace and Reconciliation (PEACE III Programme) and the European Union's Cross-Border Programme for Territorial Cooperation (INTERREG IVA Programme). All the activity within these Programmes concludes by 31 December 2015 and closure work is already being undertaken. All closure work will be completed during early 2016 to ensure submission of Closure Documents to the European Commission by 31 March 2017.

### **2014-2020 Programmes**

The cooperation programmes for PEACE IV and INTERREG VA Programmes were agreed by the Northern Ireland Executive and Government of Ireland (and the Scottish Government for INTERREG Programme only) and were submitted to the European Commission in accordance with EU Regulations in 2014.



The final draft of the Cooperation Programme (CP) for the PEACE IV Programme was submitted to the EC on 2 October 2015 following approval by the Northern Ireland Executive and the Irish Government. The CP will enter an Inter Service Consultation within the European Commission. It is anticipated that the PEACE IV Programme will be officially adopted by the EC before 31 December 2015.

The INTERREG VA Cooperation Programme (CP) was officially adopted by the EC on 13 February 2015. On 5 August 2015, SEUPB issued the first two funding calls under the INTERREG VA Programme, relating to Environment and Sustainable Transport. A further call, Research and Innovation, opened on the 7 September 2015.

## INTERREG VA

### **Where does the Programme Impact?**

The eligible area for the new INTERREG Programme includes Northern Ireland, the Border Counties of Ireland (Monaghan, Leitrim, Cavan, Louth, Sligo and Donegal); and Western Scotland (Dumfries & Galloway, East Ayrshire and North Ayrshire mainland; South Ayrshire; Lochaber, Skye & Lochalsh, Arran & Cumbrae and Argyll & Bute and Eilean Siar/Western Isles).

### **How much is the Programme worth?**

The European Regional Development Fund (ERDF) contribution to the Programme is €240m. An additional 15% match funding is required and can be provided via Accountable Departments, regional sources or applicants' own resources.

### **What change will the Programme make?**

The Programme has four key priority areas where it plans to make significant and lasting change. These are Research & Innovation; the Environment; Sustainable Transport and Health & Social Care.

## PEACE IV

### **Where does the Programme Impact?**

The eligible area for the new PEACE Programme includes the six counties of Northern Ireland and the Border Region of Ireland encompassing the counties of Louth, Monaghan, Cavan, Leitrim, Sligo and Donegal.

### **How much is the Programme worth?**

The European Regional Development Fund (ERDF) contribution to the Programme is €229m.

An additional 15% match funding is required and can be provided via Accountable Departments, regional sources or applicants' own resources

### **What changes will the Programme make?**

The Programme has four key priority areas where it plans to make significant and lasting change: Shared Education; Children & Young People; Shared Spaces & Services and Building Positive Relations at a Local Level.

In managing the PEACE IV and INTERREG VA Programmes in 2016, SEUPB's work is divided into three main areas:

#### **1. Managing Authority**

The Managing Authority has overall responsibility for the management and implementation of the Cooperational Programme (the document approved by the European Commission which establishes the programme strategy and priorities) as well as overall evaluation of the Programme. Furthermore, the MA establishes a Financial Control Unit to verify the legality and regularity of all expenditure incurred. It conducts checks on each Lead Partner to establish their administrative, financial and operational capacity to receive grant funding and carries out administrative and on-the-spot verifications of claims made by a project.

#### **2. Joint Secretariat**

The Managing Authority are obligated to set up a Joint Secretariat to assist in the implementation of the Programmes and to have lead responsibility for providing information on funding opportunities. It also prepares project assessments which are presented to the Steering Committee for their final decision. It shall assist Lead Partners in the implementation of their projects.

#### **3. Certifying Authority**

The Certifying Authority is responsible for the certification of all expenditure claims submitted to the EU Commission, ensuring eligibility with EU and national rules. This includes the review of processes and procedures by those implementing the programmes and ensuring any irregularities are raised and actioned. In SEUPB, the Certifying Authority also controls the cash flow of the programme, including making payments to lead partners, drawdown of funds from the European Commission and subsequent reimbursement to each Member State.

### **INTERREG Transnational and Inter-Regional**

The SEUPB had a role in maximising North/South participation in the 2007-2013 INTERREG IVB and IVC Programmes, and this will continue in the new round of Programmes for 2014-2020. This role will see the SEUPB act as the Regional Contact Point on behalf of Northern Ireland for the

Northern Periphery and Arctic Programme in assisting programme development, attending programme monitoring committees, liaising with the programme secretariat and assisting project partners within NI with project development and applications. SEUPB also chairs the Northern Ireland Regional Advisory Group for the Northern Periphery Programme which assesses project applications and provides a view on the project to the Programme Monitoring Committee. SEUPB assists in project development for the other three programmes (North West Europe Programme, Atlantic Area Programme and INTERREG Europe Programme) and acts as an information point for potential partners within NI. The Northern and Western Regional Assembly undertakes similar roles on behalf of Ireland and SEUPB works with the North and Western Regional Assembly to encourage cooperation between partners in Ireland and Northern Ireland.

# **SECTION TWO**

## **Progress against 2015 Business Plan Targets**

## **Our Performance in 2015**

This section of the Business Plan will report briefly on outputs delivered against the SEUPB's Balanced Scorecard as contained within the 2015 Business Plan.

### **Summary of Key Outputs Delivered in 2015**

#### **KEY OUTPUTS**

##### **PEACE III and INTERREG IVA Programme Implementation**

As of 31 July 2015, the PEACE III Programme is fully committed with 214 projects worth €332,019,345 approved for funding, a commitment rate of 99.74%. The SEUPB is managing a process of utilising any surplus funds as they occur to maximise expenditure.

Also as of 31 July 2015, the INTERREG IVA Programme, in agreement with the Member States, is over committed by 6%, with 88 projects worth €270.4m approved for funding.

Progress to achieve the required expenditure in each Programme remains within the targets outlined within SEUPB financial projections and is reflective of the impact of spending patterns of several large capital projects that either commenced late or received contract extensions, and who are due to submit their substantial financial claims during the last 4 months of 2015.

As of 31 July 2015 there are 123 live projects that are in the process of closing activities and submitting final expenditure claims.

The tables below outline progress for each of the Programme Themes as at 31 July 2015.

PEACE III	Allocation €M	Commitment €M	Expenditure €M	% Commitment	% Expenditure
1.1 - Building Positive Relations at the Local Level	155.86	152.7	148.5	98%	95%
1.2 - Acknowledging and Dealing with the Past	43.15	42.2	41.3	98%	96%
2.1 - Creating Shared Public Spaces	100.48	105.9	74.9	105%	75%
2.2 - Developing Institutional Capacities	15.57	13.1	12.5	84%	80%
Technical Assistance	17.83	18.1	17.1	101%	96%
<b>Total</b>	<b>332.89</b>	<b>332</b>	<b>294.3</b>	<b>99.74%</b>	<b>88.42%</b>

INTERREG IVA	Allocation €M	Commitment €M	Expenditure €M	% Commitment	% Expenditure
1.1 - Enterprise	34.26	34.75	29.01	101%	85%
1.2 - Tourism	22.89	23.42	15.75	102%	69%
2.1 - Collaboration	95.01	99.54	88.89	105%	94%
2.2 - Infrastructure	93.55	102.00	79.04	109%	84%
Technical Assistance	10.32	10.65	9.62	103%	93%
<b>Total</b>	<b>256.03</b>	<b>270.36</b>	<b>222.31</b>	<b>106%</b>	<b>87%</b>

### Probity, Accountability and Financial Management

In ensuring the highest standards of probity, accountability and financial management of the programmes, the SEUPB must ensure that all governance and accountability requirements of all key stakeholders and policy instruments are met. This includes: the European Court of Auditors, the European Commission, the Member States (specific requirements regarding the management of public money), the Accountable Departments in Northern Ireland and Ireland (fourteen in total), the provisions contained in the Operational Programme for each of the Programmes, the provisions contained in all guidance notes, the implications of SEUPB's own Financial Memorandum and the standards and expectations of the Northern Ireland Audit Office and the Comptroller and Auditor General in Ireland. The SEUPB has continued to adhere to all requirements throughout 2015.

On the 31 July 2015, the final Programme Monitoring Committee (PMC) took place each for PEACE III and INTERREG IVA. The PMC for the 2014-2020 Programmes will assume the

responsibility of overseeing the closure of the PEACE III and INTERREG IVA Programmes going forward.

### **INTERREG IVB and IVC Transnational and Inter-regional Programmes**

The SEUPB has continued to promote and maximise North/South participation in the INTERREG IVB and IVC Programmes.

### **Development of the 2014 – 2020 Programmes**

#### **INTERREG VA**

On 29 July 2015, SEUPB held the first Programme Monitoring Committee for the INTERREG VA Programme.

On 5 August 2015, SEUPB issued the first two funding calls under the INTERREG VA Programme, relating to Environment and Sustainable Transport. The complete timetable for all remaining calls for applications to the INTERREG VA Programme has been agreed and issued on SEUPB's website.

#### **PEACE IV**

Following submission of the new PEACE IV Cooperation Programme (CP) the SEUPB formally received 79 observations from the EC on 18 January 2015, as a result of the EC's first inter-service consultation. SEUPB worked with Member States to address the EC observations and resubmitted the Programme CP on 2 October 2015, following approval by the Northern Ireland Executive and Irish Government. The CP will enter an Inter Service Consultation within the European Commission. After responding to any further queries raised by EC officials, it is envisaged that the CP will then be formally adopted before the end of 2015.

### **Communications Activities for the 2014-2020 Programmes**

The SEUPB has been given Sponsor Department approval for the creation of a new website for the organisation.

In April 2015 the SEUPB issued a Citizens' Summary of the new INTERREG VA Programme, which is available to download from the following link. [http://www.seupb.eu/Libraries/2014-2020\\_Programmes/CitizenSummaryINTERREG.sflb.ashx](http://www.seupb.eu/Libraries/2014-2020_Programmes/CitizenSummaryINTERREG.sflb.ashx)

SEUPB, in agreement with Member States, is in the process of adopting brand identities for the new Programmes for 2014-2020 and the production of a Citizens' Summary document for PEACE IV, pending its adoption by the European Commission.

Major launch events will be co-ordinated for both Programmes during 2015-16.

### **INTERREG VB and VC Transnational and Inter-regional Programmes**

The SEUPB will continue to promote and maximise North/South participation in the INTERREG VB and VC Programmes. The SEUPB acts as Regional Contact Point for Northern Ireland in the Northern Periphery Programme and works in an advisory and signposting role for the North West Europe Programme and the Atlantic Area Programme. The SEUPB also works in an advisory and signposting role for North/South participation in the INTERREG VC Inter-regional Programme.

#### **Progress**

A total of 237 applications were submitted to the INTERREG Europe Programme (INTERREG VC) by the closing date.

A total of 82 applications were submitted to the North West Europe Programme (INTERREG VB) by the closing date. These applications were assessed in July 2015 by the Programme's Monitoring Committee. A total of 19 projects were approved to Stage 2 including three projects with Northern Ireland Partners.

Nine projects with Northern Ireland partners were approved in the Northern Periphery and Arctic (NPA) Programme first call. The Second Call for applications under the Programme received a total of 14 applications, six of which are working with Northern Irish partners.

The Atlantic Area Programme awaits Commission approval. It is expected that the first call for this programme will be in late 2015. During the 2014-20 period €140million of ERDF will be available to projects across the eligible region.

#### **Corporate Governance and Services**

The SEUPB is in full compliance with its Corporate Governance requirements. The 2014 Annual Accounts have been prepared by the SEUPB within the required timescales, and the audit of these accounts is complete. An unqualified audit opinion was issued jointly by the Comptroller and Auditors Generals in late June 2015. The 2014 Annual Report and Accounts will be laid before the Northern Ireland Assembly and the Houses of the Oireachtas in late 2015.



The SEUPB has also worked diligently during the first half of 2015 to ensure that workplace efficiencies are achieved in line with those outlined within its Efficiency Savings delivery plan and are delivering on the 4% efficiency target and prompt payment targets.

Staff turnover for the period 1 January 2015 to 31 August 2015 is 1.57% with one employee leaving the organisation during this time. Absence levels are currently 4.02% of total available days lost. This equates to an average of 4.60 days lost per employee. For the past 12 months (1 September 2014 to 31 August 2015) the average days lost per employee is 9.4 days.

### **Information Technology Services**

SEUPB embraces new and evolving technologies to enable us to implement a robust technological platform, which will in turn improve efficiency. This includes use of mobile technologies (including tablets), investment in Server Infrastructure, upgrading of our Wide Area Network and upgrades to key systems such as the TRIM Records Management system, Microsoft Office and recently the upgrade of our Finance System.

During 2015 IT was responsible for capturing SEUPBs Specification of Requirements for the 2014-2020 Programmes Monitoring System. Now that a contractor has been appointed, IT has been responsible for Project Management of SEUPB user group and is providing technical input to the wider stakeholder user group during the course of Systems Development and Implementation which is scheduled for completion December 2015.

Information Security is always a primary consideration when we are going through a process of implementation of any upgraded or new system. The SEUPB has implemented an Information Security Policy and new procedures and will continue to ensure these security considerations are met when evaluating the need to change or implement systems.

# **SECTION THREE**

## **SETTING TARGETS FOR THE 2016 BUSINESS PLAN**

## **Setting Strategic Objectives and Goals for 2016**

In setting the strategic objectives for the 2016 Business Plan consideration was given to:

- The Vision and Mission of the SEUPB;
- The SEUPB's performance during 2015;
- The operational environment within which the SEUPB will be required to operate during 2016;  
and
- Alignment with the objectives and targets of the SEUPB's Sponsor Departments.

### **Mission, Vision and Guiding Principles**

The Mission, Vision and Principles of the SEUPB are outlined within the introductory section. These statements and principles embody the essence of how we work. They define our culture and core beliefs and are firmly embedded within the strategic and business objectives outlined within both our Corporate and Business Plans. Our Mission, Vision and Guiding principles have been developed through consultation with staff members and consideration of the dynamic environment within which we operate. Our business targets and key activities have been developed in line with this approach.

### **Economic and Public Expenditure Context**

Undoubtedly the major challenge facing the SEUPB, as with all public bodies in both Northern Ireland and Ireland, is the challenging economic and public expenditure context within which we will be required to operate.

As both the UK and Irish Governments deploy policies to aid economic recovery and address significant budgetary challenges, there will be considerable impact on the resources available for the planning period.

The Ulster University Economic Policy Centre forecasted growth of 2.2 per cent in 2014 and expects the Northern Irish economy to grow by 1.9 per cent in 2015, slowing to 1.1 per cent in 2016 in terms of Gross Value Added (GVA).

The Department of Finance in Ireland predict a continuation of the growth experienced in 2014. Growth of 4 per cent of GDP is expected in 2015 slowing slightly to 3.8 per cent of GDP in 2016.

Corporate Objectives contained within this plan are therefore to be considered within a context of pressures on departmental budgets for decision makers in Great Britain, Northern Ireland and Ireland. A robust and effective Efficiency Savings Delivery Plan is also required to demonstrate the

SEUPB's continued commitment to deliver value for money and adjust to the changing public expenditure environment.

### **European Context**

The cohesion policy (or regional policy) of the European Union provides a framework for financing a wide range of projects and investments with the aim of encouraging economic growth in EU Member States and their regions. The policy is reviewed by the EU institutions once every seven years. The current round of programmes are those for the 2014-2020 period.

The development of the Cooperation Programmes is informed by the European Union's key policy instruments, namely the Europe 2020 Strategy (EU2020) and the Common Strategic Framework (CSF), and the European Commission's position papers on the UK and Ireland.

The Europe 2020 Strategy (EU2020) outlines a ten-year growth strategy centred on five measurable targets to be achieved by 2020. The targets identified relate to expenditure on research and development; generation of renewable energy; working age employment levels; educational achievement; and reduction in poverty and exclusion. The achievement of these targets will be based on plans for smart, sustainable and inclusive growth.

This Strategy has become the cornerstone of all EU policies and programmes. Preparation of Cooperation Programmes for the period 2014 to 2020 have taken account of this strategy and contain proposals that will contribute to the attainment of the targets set out in EU2020.

### **Alignment with Sponsor Departments**

The SEUPB is very aware of the importance of ensuring that agreed targets are in alignment with those of its Sponsor Departments. Objectives have been considered in light of Sponsor Departmental targets. The SEUPB will continue to monitor its objectives in line with those of its Sponsor Departments upon finalisation of the plans.

Relevant objectives for the period as outlined with the DFP's Balanced Scorecard 2015-16 include:

- R1:** To support the Minister and the Executive in the securing, allocation and effective use of available resources.
  
- C1:** Deliver high quality, efficient and effective services to the citizen, NICS Departments and the wider public sector.

**OP1:** Support the delivery of the DFP business objectives and the *NICS People Plan* through the effective deployment, management, engagement and development of our people, whilst continuing to embed a culture of continuous improvement.

The Department of Public Expenditure and Reform's *Statement of Strategy* for the period 2015-2017 sets out its overriding goals, which are:

- To manage public expenditure at sustainable levels in a planned, rational and balanced manner.
- To have public management and governance structures that are accountable, transparent, and effective.

### **Priorities for SEUPB in 2016**

Throughout the process of establishing the corporate objectives for 2016, the SEUPB carefully considered its key regulatory functions as outlined in statutory legislation and EU regulations for the management of EU funding programmes. The work activities currently ongoing within the SEUPB were appraised against a backdrop of the regulatory functions and the resources available to SEUPB, and decisions were taken with regard to activities and services that the SEUPB could undertake and deliver in 2016.

Furthermore, in all of its work the SEUPB will be prioritising the improvement of its customers' experiences by ensuring:

- increased transparency;
- ease of accessibility for customers;
- enhanced engagement with the public; and
- the development of new website and improved social media channels.

The **key functions** for the SEUPB are set out below and the scope of the work activities for 2016 is summarised for each function:

1. During 2016 the SEUPB will work towards the successful and efficient closure of the 2007-2013 Programmes by:

- Liaising with the Audit Authority to ensure all open audit recommendations have been actioned and closed.
- Carrying out Closure Checks on all closed projects in preparation for potential audit and preparing the associated reports.
- Following the Closure Plan involving:

- Preparation of the final draft closure/implementation report (June 2016);
- Completion of the QA of the final closure/implementation report (June - August 2016); and
- Forwarding of draft final closure/implementation report to the Audit Authority (September 2016).

2. To act as the Managing Authority, Certifying Authority and First level of Control (verification) within the current PEACE IV and INTERREG VA Programmes as the 2014-2020 Programmes will be in full implementation mode.

3. Maximise the calls and response to 2014-2020 Programmes.

The Joint Secretariat (JS) within SEUPB provides services in relation to monitoring and supporting projects. The JS unit is established by the Managing Authority and the work with projects that they undertake has been delegated to them by the Managing Authority. This role of supporting and assisting projects to deliver their objectives is inextricably linked to the Managing Authority role, and JS will assist projects in effective project development and submission processes throughout 2016.

4. SEUPB's Corporate Services team includes core functions such as finance, human resources, communications and IT to ensure that the highest standards of public accountability and financial management are adhered to in order to meet the expectations of its many stakeholders.

5. SEUPB will continue to work to promote the INTERREG VB Transnational and INTERREG VC INTERREG EUROPE Programmes within Northern Ireland and the Border Region of Ireland in 2016. This will include providing regular updates on the programmes to stakeholders in the region, providing project development support at the pre-application stage, staging events/workshops within the region on the programmes and also continuing to complete the verification process on expenditure incurred by Northern Ireland partners who are successful under the programmes.

Taking the above into consideration, the SEUPB has established four corporate objectives for 2016, which reflect the essential elements of the role and functions of the organisation.

## Overarching Corporate Objectives

Four overarching Corporate Objectives have been identified for the 2016 Business Plan period. These are outlined below.

### **CORPORATE OBJECTIVE 1**

To ensure effective business processes for closure are implemented for the 2007-2013 Programmes which will result in a maximisation of EU receipts for both Member States.

### **CORPORATE OBJECTIVE 2**

To ensure the development of effective administrative structures and processes that will facilitate the implementation of new Programmes for the period 2014-2020, in accordance with the Regulatory Frameworks of the EU.

### **CORPORATE OBJECTIVE 3**

To provide guidance and support to projects so that they can access the Programmes and manage funding.

### **CORPORATE OBJECTIVE 4**

Enhance business performance of the SEUPB and its staff through the implementation of effective and efficient administrative processes within a corporate governance framework designed to meet accountability requirements.

## SEUPB Balanced Scorecard 2016

The SEUPB will continue to use a balanced scorecard to assist with Business Planning for 2016. The Balanced Scorecard allows the SEUPB to incorporate strategic and business objectives and their associated activities into resource allocation processes, therefore increasing the understanding of the SEUPB Corporate Vision and strategy for both internal and external stakeholders. The Balanced Scorecard is divided into a four-perspective view comprising Business Results; Customer Results; Internal Business Processes and Growth and Learning.

The summary balanced scorecard is outlined below and detailed activities to be undertaken to achieve these objectives, are outlined on the following pages.

### SEUPB Summary Balanced Scorecard for 2016

BUSINESS RESULTS	CUSTOMER REQUIREMENTS
<p><b>BR1:</b> Ensure the efficient and effective closure of the 2007-2013 PEACE III and INTERREG IVA Programmes.</p> <p><b>BR2:</b> Ensure Programmes are functioning in accordance with EU and Member State Regulatory Framework.</p> <p><b>BR3:</b> Develop effective processes to facilitate the implementation of 2014-2020 EU Programmes.</p> <p><b>BR4:</b> Ensure 2014-2020 Programmes are open for calls for applications and steering committees occur as scheduled within 36 weeks.</p>	<p><b>CR1:</b> Assist applicants to prepare and develop projects for the 2014-2020 Programmes</p> <p><b>CR2:</b> Ensure projects are provided with the support to meet the demands of their Letter of Offer and enable their functioning in accordance with EU and Member State Regulatory Frameworks.</p> <p><b>CR3:</b> Ensure compliance with the new regulations for information and publicity for the Programmes.</p> <p><b>CR4:</b> Meet any information and reporting requirements as stipulated within SEUPB's Financial Memorandum and other governing documents.</p>
INTERNAL BUSINESS PROCESSES	GROWTH AND LEARNING
<p><b>IP1:</b> Ensure good corporate governance and effective management of resources.</p> <p><b>IP2:</b> Continually develop internal processes to improve the efficiency and effectiveness of the SEUPB.</p>	<p><b>GL1:</b> Develop the skills, capabilities and knowledge of staff to achieve the organisational objectives.</p> <p><b>GL2:</b> Train staff on the implementation of the new regulations and administrative arrangements for the new programmes.</p> <p><b>GL3:</b> Ensure the lessons learnt from the 2007-2013 Programmes are taken forward into the implementation and delivery of the 2014-2020 Programmes.</p>



## Balanced Scorecard 2016

### CORPORATE OBJECTIVE 1

To ensure effective business processes for closure are implemented for the 2007-2013 Programmes which will result in a maximisation of EU receipts for both Member States.

Corporate Scorecard	Strategic Action	Target & Activities	Actions	Owner
BR1	Ensure a framework of closure procedures is established.	Ensure adequate guidance is in place to facilitate closure in line with regulatory and programme requirements by January 2016.	Continue to monitor the High Level Closure Protocol that has been shared and agreed with MS and Audit Bodies.	MA
			Quarterly/six monthly meetings of Closure Working Group during 2016.	MA
BR1/IP1 /IP2	Fulfil regulatory requirements.	Ensure all Article 13 (EC No. 1083/2006) requirements are completed	Administrative and On The Spot verification checks.	FCU
	Maximise EU receipts.	Reconcile all expenditure records and ensure maximisation of EU receipts in Final Declaration with 2% Closure Flexibility in December 2016.	Final financial analysis report to cover expenditure and EU receipts for both PEACE III and INTERREG IVA Programmes.	CA/MA
		Prepare and submit final statement of expenditure to Audit Authority by December 2016.	All financial claims to be verified, authorised and paid by 31 March 2016.	FCU/CA
		Ensure financial expenditure targets for the overall Programmes are met.	Final statement of expenditure to be completed by 31 December 2016.	CA
			Continued liaison between MA/JS to monitor progress of expenditure, identify risks and introduce mitigating actions to address any risk of non-achievement of targets.	MA/JTS
	Produce closure reports and submit to the European Commission.	Complete closure report by December 2016.	Continue drafting of Programme Closure Reports for both Programmes in early 2016 to meet deadline of March 2017.	MA

## CORPORATE OBJECTIVE 2

To ensure the development of effective administrative structures and processes which will facilitate the implementation of new Programmes for the period 2014-2020, in accordance with the Regulatory Frameworks of the EU.

Corporate Scorecard	Strategic Action	Target & Activities	Actions	Owner
BR2/BR3	Monitor the delivery of programme objectives.	<p>Chair and provide secretariat support to the Programme Monitoring Committees (PMC).</p> <p>Ensure all projects are regularly recording accurate and appropriate data to enable monitoring of achievement for all outputs.</p> <p>Create, approve and implement evaluation plans.</p> <p>Programme monitoring. Produce an Annual Implementation Report (AIR) for each programme in line with requirements and timescales set out by the European Commission.</p>	<p>Two meetings to be held each year per Programme.</p> <p>Project monitoring processes to be agreed and implemented, supported by NISRA. Training to be provided to successful projects within three months of receiving a letter of offer.</p> <p>Creation and approval of evaluation plans is an MA responsibility.</p> <p>PMCs are responsible for the implementation of the evaluation plans.</p> <p>An AIR to be completed for the new Programmes in June 2016.</p>	<p>MA</p> <p>JS</p> <p>MA</p> <p>MA</p>
BR2/CR4	Ensure both Programmes are functioning in accordance with the EU and Member States Regulatory Frameworks.	<p>Ensure financial and operational regulations are being adhered to both at programme and project level .i.e. EC 1299/2013 and EC 1303/2013.</p> <p>Ensure the compliance with information and publicity requirements as outlined in the regulations and captured within the Communications Strategy.</p>	<p>MA annual declaration statement in line with EC regulations.</p> <p>Agreed Comms Plan to be in place within three months of letter of offer being issued.</p>	<p>MA/CA</p> <p>JS/ COMMS</p>
BR3/GL1/ IP1/CR5	Provide leadership on the implementation of the new Programmes.	Ensure the Programmes are established and functioning appropriately in accordance with EU and Member State regulatory frameworks.	<p>Provide secretariat support for the Steering Committee ensuring that the committee acts in accordance with the Co-operation Programme, EU Rules and Member State requirements.</p> <p>Organise and deliver thematic workshops as appropriate.</p>	<p>JS</p> <p>JS</p>
BR2	Ensure adherence to EU regulatory framework.	All regulatory reports submitted by dates specified by the European Commission during 2016.	MA/CA and AA functions as fully defined by the regulations.	MA/CA/ AA
BR3	Ensure the highest standards of financial accountability are applied to the	Monitor commitment levels during 2016 to ensure N+3 Targets will be met in 2017 for each programme.	FCU to verify expenditure claims from projects during 2016 in line with EU regulations and Programme rules, including simplified cost options which will contribute to the N+3 target for 2017 for both Programmes.	FCU

	implementation of Programme funds.		<p>Provide letter of offer expenditure targets setting out expenditure targets.</p> <p>MA will monitor financial performance of operations and introduce any necessary mitigating actions to address any risk to the achievement of N+3 target in 2017 for both Programmes.</p>	<p>MA/JS/ CA</p> <p>MA</p>
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### CORPORATE OBJECTIVE 3

To provide guidance and support to projects so that they can access the Programmes and manage funding.

Corporate Scorecard	Strategic Action	Target & Activities	Actions	Owner
CR3	Ensure adherence to EU Member States Regulatory Framework at a project level.	Ensure operational regulations are being adhered to at project level as per the Programme Rules.	Work with applicants and other organisations to deliver training.  Ensure operational regulation has been adhered to at a project level.	JS
BR4/CR5	To ensure the efficient and effective delivery of the 2014-2020 Programmes ensuring Programme objectives are met and impact is maximised in the region.	To provide leadership, direction and management to ensure a portfolio of high quality projects in accordance with Programme objectives.	Open calls for both Programmes and then manage public calls for applications throughout 2016.  Assess project applications and provide recommendations to Steering Committee.  Proactively identify and engage with key stakeholders to advance up to 40 high quality projects in 2016.  Process the receipt of up to 60 applications by end of 2016.  Produce assessment reports for up to 60 projects.  Organise focused training for projects and stakeholders and assist beneficiaries with the implementation of projects.  Review communication plans of 100% project applications for the new Programmes.  Organise four publicity/communication network meetings in 2016.  Proactively seek media coverage and organise a launch event for each Programme in 2015/16.	JS  JS  JS  JS  JS  COMMS  COMMS  COMMS
BR2/BR4	To promote and maximise North/South participation in the INTERREG VB/C Transnational and Inter-Regional Programmes.	Manage the First Level of Control process for NI partners of all Transnational and Inter-regional projects.  To ensure compliance with the new regulations for information and publicity regulations, and meet the information requirements and external reporting requirements in relation to both Programmes.	Provide support and aid project development built around the timetable of calls for applications under the INTERREG VB/C Programmes in 2016.  Provide Secretariat function to the NI NPA Regional Advisory Group in order to provide regional input to assessment process.	TRANS  TRANS

		<p>To provide support and direction to ensure a portfolio of high quality projects are approved under the INTERREG VB/C Programmes.</p> <p>Continue to work towards a target of €14.6m in ERDF allocated to NI Partners and 63 Projects with at least one NI Partner under the INTERREG VB/C Programmes during the 2014-2020 programme period (to be achieved by the end of the Programmes)</p> <p>By the end of 2016:</p> <ul style="list-style-type: none"> <li>- Cumulative total of 32 projects with at least one NI Partner involved across four Programmes.</li> <li>- Cumulative total ERDF Allocated to NI Partners of €4.6m.</li> </ul>	<p>Proactively identify and engage with key stakeholders to advance up to 19 high quality projects in 2016 (32 overall by the end of 2016).</p> <p>Organise focused training for projects and stakeholders including:</p> <ul style="list-style-type: none"> <li>- Six Application Clinics ahead of the closure of each call for applications;</li> <li>- Two Project Development Seminars in conjunction with Programme Secretariats; and</li> <li>- Two Partner Workshops/events for successful NI Partners.</li> </ul> <p>SEUPB will continue to actively engage with the Regional Assemblies in Ireland to promote North/South participation and collaboration on the Transnational and Interregional Programmes.</p>	<p>TRANS</p> <p>TRANS</p>
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#### CORPORATE OBJECTIVE 4

Enhance business performance of the SEUPB and its staff through the implementation of effective and efficient administrative processes within a corporate governance framework designed to meet accountability requirements.

Corporate Scorecard	Strategic Action	Target & Activities	Actions	Owner
IP1/IP2	Effective financial strategies implemented to improve business performance.	<p>Make payments to suppliers on a prompt basis.</p> <p>Authorise payments to Lead Partners on a prompt basis i.e. within seven weeks.</p> <p>Achieve efficiency savings as determined by Finance Departments.</p> <p>Ensure that all procurement is in accordance with regulation and best practice.</p> <p>Prepare at least two expenditure claims on an annual basis.</p> <p>Provide a recovery statement by project with each EU claim.</p>	<p>Pay 95% of valid supplier invoices within 30 days, and 80% within 10 days.</p> <p>FCU to authorise 75% of claims within seven weeks of receipt of claim.</p> <p>Operate within budget which includes all reductions associated with the efficiency savings delivery plan.</p> <p>Continual review and update of internal procurement procedure. Management of procurement competitions which are compliant with all applicable regulations.</p> <p>Certify one PEACE IV and one INTERREG VA claim and submit to the Commission for reimbursement per annum starting in 2016.</p> <p>To be completed alongside each completed claim. Prepare monthly irregularity reports.</p>	<p>CF</p> <p>FCU</p> <p>CF</p> <p>CF</p> <p>CA</p> <p>CA</p>
IP1/IP2	Effective internal control and management of organisational risk.	<p>Ensure that Risk Register is maintained.</p> <p>Maintain and test the Business Continuity Plan.</p> <p>Ensure all relevant Terms and Conditions of Grant and agreements are in place with all Accountable Departments.</p>	<p>Collate business area and Directorate registers on a monthly basis, and Corporate level register quarterly for Audit Committee.</p> <p>Carry out one full test (desktop exercise) of BCP during 2016.</p> <p>Implement Hardware and Software to support BCP Planning Requirements.</p> <p>Terms &amp; Conditions of Grant to be signed by all relevant Accountable Departments.</p>	<p>CF</p> <p>HR/ICT</p> <p>ICT</p> <p>CA</p>
CR4	Meet all information and reporting requirements as stipulated within the Financial Memorandum	<p>Carry out corporate and business planning to enhance business performance.</p> <p>Prepare and publish an Annual Report in line with conditions set out in the Financial Memorandum.</p>	<p>Develop 2017 Business Plan and the 2017-2019 Corporate Plan within stipulated timeframe.</p> <p>Prepare Annual Report &amp; Accounts 2015 and lay before NI Executive and Irish Government before the end of 2016.</p>	<p>CS</p> <p>COMMS</p>

	and governing documents.	Prepare Annual Accounts for each year of the planning period and submit to the NIAO for Audit.  All requests for information to be answered within agreed timeframes.  Adhere to the Freedom of Information Code of Conduct for all North South Bodies.	Prepare draft 2015 Accounts by 31 March 2016.  Respond to 100% of all information queries.  Manage all FOI requests received in-line with SEUPB's FOI Policy.	CF  COMMS  COMMS
IP1/IP2	Effective IT Strategy and equipment to service the needs of the organisation.	Ensure the ICT Department provides an effective IT management and support service.	Remove four unsupported servers from SEUPB IT environment and replace with three new physical servers with newer versions of the Microsoft Server operating system.  Move Active Directory, DHCP and DNS Services to the three new physical servers in each office by end of 2015.  Decommission old services of Active Directory, DHCP, DNS and old version of Microsoft Exchange from SEUPB IT environment.	ICT  ICT  ICT
IP1/IP2	Fulfil all requirements of the Communications Strategy 2014.	Maintain and enhance corporate communications activity as identified within the Communications Strategy during 2016.	Formally launch new SEUPB website by the end of 2016.  Create and issue three seasonal issues of Your EU Corporate Magazine.  Co-ordinate funding call adverts/public notifications for both PEACE IV and INTERREG VA Programmes.  Co-ordinate a series of sector specific new programme application development workshops across eligible area.  Create and issue two euroPA e-zine's.  Produce four internal staff e-zine's.  Enhance the SEUPB's social media presence and engagement rate within its existing channels (Twitter, Facebook, You Tube and LinkedIn).	COMMS  COMMS  COMMS  COMMS  COMMS  COMMS
IP1	Legislation compliance control.	Complete annual progress report to Equality Commission.  Maintain a working environment which is health and safety compliant for both staff and members of the public.  Full compliance with Data Protection principles.	Complete annual S75 progress report by 31 August 2016.  Undertake annual Health & Safety Risk Assessments in compliance with legislation in Northern Ireland and Ireland.  Annual registration with the ICO in UK and the Data Protection Commissioner in Ireland and regular refresher for all staff by 1 August 2016.	HR  HR  HR

IP2	Appropriate systems in place to enable the effective audit of SEUPB business services.	SEUPB Audit & Risk Committee to meet on a regular basis.	Hold a minimum of three Audit & Risk Committee Meetings during 2016, supported by an efficient secretariat function.	CF
IP1	Efficient delivery of organisation's key targets.	Ensure effective monthly monitoring and evaluation of overall Business Plan and Corporate Plan targets.	Provision of monthly reporting on targets via SMT reporting grids.	All
IP1/IP2	Processes in place to allow organisation to fulfil all budgetary requirements.	Ensure expenditure of at least 98.5% of budgeted amounts.	Preparation of month end financial analysis within 3 working days to enable Managing Authority to monitor N+3 expenditure, Business Plan and Commitment levels against targets.	CA
		Ensure 4% per annum minimum cumulative cash releasing efficiency savings.	Operate within budget for 2016, which includes required 4% efficiency savings.	CS
		Release of efficiencies through review of contracts and identification of opportunities to re-tender.	Carry out a review of all major lines of expenditure and re-tender where appropriate.	CF
GL1	Achieve results in delivering business services through appropriately trained staff.	Maintain staffing levels throughout the planning period in line with the agreed staffing complement.	Maximise staffing levels throughout 2016 in line with agreed staffing complement of 57 FTE posts.	HR
		Prepare training plan to ensure that each staff member receives training.	Finalise annual Training Plan by 1 August 2016 to plan and deliver learning and development opportunities, ensuring plan aligns organisational learning and development with organisation's strategic objectives for 2016.	HR



# **SECTION FOUR**

## **Resourcing the Plan and Delivering Efficiency Savings**

## **Resourcing the Plan**

This section sets out the resources and budget required for 2016 and discusses the efficiency savings delivered to date and those achievable within the 2016 Business Plan period.

In light of the current economic position, there continues to be a need for all North South Bodies to examine urgently and robustly their programme objectives with a view to delivering them with the most efficient and effective use of resources during 2016. The North South Bodies have been asked to achieve 4% per annum cumulative cash releasing efficiencies in the years 2014-2016 against the 2013 baseline. Therefore for 2016, the administration budget will reflect a 4% reduction upon the 2013 baseline (a cumulative 12% reduction against the 2013 baseline, and a 20% reduction against the 2010 baseline). It is important to consider that the SEUPB is also required to ensure that all available income from the European Union is maximised over the 2007-2013 and 2014-2020 Programming Periods.

### **Administration / Operating Costs of the SEUPB**

Financial resources in respect of the administration/operating costs of the SEUPB are provided annually via an agreed budget from its Sponsoring Departments. Annex A outlines operating costs for the 2016 Business Plan period, and Annex B is the Efficiency Savings Delivery Plan.

The SEUPB will continue to work closely with its Sponsor Departments to ensure that the approved level of resources meets its requirements to deliver the broad range of services which the SEUPB is mandated to provide.

### **Delivering Efficiencies within the Administration / Operating Cost Budget**

The SEUPB operates within the framework of public reform and is committed to pursuing a proactive approach to maximise both cash and non-cash releasing efficiency savings. Previous business plans identified a series of measures within both the Administration/Operating Costs of the SEUPB as well as Programme Expenditure. These have resulted in very real and significant savings from 2010 to 2015. During 2016, the SEUPB will consolidate these savings, and continue to look for further changes to work processes which can deliver further reductions.

Efficiencies have already delivered within the Administration / Operating Cost Budget up to and including 2015 and further savings will be required in 2016. A summary of the efficiency savings achieved and planned is as follows:

**Staffing** – During 2015, the SEUPB has continued to implement changes to work processes with a view to unlocking the workflow efficiencies required to accommodate service deliver under the revised headcount level of 57. The 5% reduction in headcount (60 to 57) resulted in direct cash saving in the region of £115k in 2015. In addition to the direct salary savings, associated indirect savings in areas such as travel, training, etc. continue to be achieved.

**Procurement** – The SEUPB continues to investigate opportunities for efficiency through the re-tendering of services. Such tender competitions have delivered savings in the areas of Telecoms, Communications, and other office running costs.

**Recruitment** - Recruitment activity remains restricted to filling posts that are considered business critical within the Body. Whilst recruitment activity remains very low due to low staff turnover the SEUPB continues to minimise recruitment costs where possible through enhanced use of the electronic application process and reduced use of printed media for advertising.

**Facilities** – The SEUPB has recognised that there may be benefit in combined purchasing power when it comes to purchasing goods/services such as electricity, heating oil, cleaning services, etc. Where possible, the SEUPB has sought inclusion on NICS facilities maintenance contracts and joined tenders for procurement of goods and services in order to maximize opportunities to reduce costs and make savings.

**2014-20 Programme Design** – The architecture of the 2014-2020 Programmes, (including all aspects of assessment, monitoring, verification and financial management) continues to be established with efficiency at the heart of all aspects of design. The new programme period represents a key opportunity to build efficiency improvements into the principal systems/processes.

**ICT** – A range of actions in relation to the Body's ICT systems continue to accommodate efficient working. The videoconferencing facilities continue to minimise unnecessary travel costs and staff time, and the re-tendering of key services has resulted in cost reductions. Efforts will continue in 2016 to identify contracts in ICT and other areas which could be re-tendered to achieve efficiencies.

## **Programme Expenditure**

The figures included in Annex A reflect the ERDF and match contribution for Ireland and Northern Ireland for PEACE III and INTERREG IVA and the ERDF contribution only for Scotland (INTERREG IVA only).

## **Delivering Technical Assistance Efficiency Savings**

The Commission allocated amounts within each European Programme for programme administration costs which includes the management, monitoring and evaluation of the Programmes and information and publicity. These allocations are termed Technical Assistance.

The SEUPB in conjunction with its Sponsor Departments has always been committed to delivering services efficiently as demonstrated within past business plans, and this will continue in 2016.

The delivery of efficiencies in 2016 and beyond will concentrate on the various simplifications introduced to help reduce the level of bureaucracy in the 2014-2020 Programmes. Examples of such simplifications and the corresponding efficiencies include:

- Increasing the maximum duration of a project to seven years (subject to a rigorous mid-term evaluation). This will reduce the administrative inefficiency associated with managing the closure of shorter projects and subsequent assessment of a further application to continue that project as a new operation.
- Simplified costs will be introduced with the intention of reducing the administrative burden on both beneficiaries and on the SEUPB verification staff – thereby unlocking efficiencies within the verification process. The focus of verification will shift towards ensuring that output indicators/targets are achieved.
- A revised assessment process will be implemented to reduce the time required to assess project applications. The reduction in the use of external economic appraisals will release efficiencies in resources (both time and cost) to be directed towards other priority activities.

Such efficiency actions will ensure that SEUPB can continue to deliver against its challenging business objectives within the current climate of reduced funding from both Core and Technical Assistance sources in comparison with the 2007-2013 Programme period.

# **SECTION FIVE**

## **Monitoring, Evaluating and Communicating the 2016 Plan**

## **Monitoring and Evaluating the 2016 Business Plan**

Implementation of the objectives outlined within the 2016 Business Plan will be monitored and evaluated through a series of both internal and external measures.

### **Internal measures**

The Senior Management Team consider and report on progress against Business Plan Targets at monthly meetings. A comprehensive register is maintained to identify potential areas of risk associated with the delivery of the objectives and targets of the Body.

The SEUPB considers the Business Plan to be a working document and the Annual Business Planning Day allows the opportunity for all staff members to discuss progress against the Business Plan targets. This also provides the SEUPB with the opportunity to amend and discuss targets in light of changing operational environments.

### **External Measures**

In line with best practice, the Accounting Officer has established an Audit and Risk Committee to provide an oversight role to her in her responsibilities for risk, control and governance and associated assurance issues. Membership of the Committee is independent and includes representation from both Sponsor Departments. The Committee meets at least four times per annum and completes activity in accordance with stipulations outlined within its agreed Terms of Reference.

The SEUPB meets several times a year formally with its sponsor departments and reports on progress. The SEUPB also reports progress on the EU Programmes at four Programme Monitoring Committees held throughout the year.

In addition, the SEUPB provides progress reports on implementation of the Programmes and Objectives outlined within the Corporate and Business Plan to the North South Ministerial Council and Sponsor Departments as required. It is also subject to appearance before Northern Ireland Assembly and Oireachtas Committees as and when required.

### **Communicating the 2016 Business Plan**

The SEUPB recognises that forward thinking and visible leadership will be required from the Body's managers to ensure the successful delivery of the 2016 Business Plan. As recorded above, the Senior Management Team is committed to communicating the plan to all of the SEUPB's key stakeholders.

An annual business planning event will clarify the objectives and targets and once approved the plan will be issued to all staff. It will also be published on the SEUPB website and made available in other formats, as required.

The SEUPB has recently been given approval by Sponsor Departments for the creation of a new website for the organisation. It is also in the process of creating brand identities for the new Programmes for 2014-2020 and the production of a Citizens' Summary document for PEACE IV, pending its adoption by the European Commission. Major launch events will be co-ordinated for both Programmes during 2015.

The SEUPB will use all other relevant opportunities to promote the vision and mission outlined within the plan along with all associated targets and activities. This will include the posting of key messages in communal areas within all of the SEUPB's premises.

# **ANNEX A**

**Proposed Budget Allocation (£ and €)**



## Business Plan Summary - Proposed 2016 Budget Allocation (Sterling)

## ANNEX A

North South Body  €1 = £0.81 in 2015, and £0.7 in 2016	Agreed Budget 2015			Proposed change +/-			Proposed Revised Budget 2016		
	Current	Capital	Total	Current	Capital	Total	Current	Capital	Total
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000
<b>Programme Costs</b>									
<b>Peace III</b>	<b>43,580</b>	<b>0</b>	<b>43,580</b>	<b>(43,580)</b>	<b>0</b>	<b>(43,580)</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>Northern Ireland</b>	27,778	0	27,778	(27,778)	0	(27,778)	0	0	0
<b>Ireland</b>	15,802	0	15,802	(15,802)	0	(15,802)	0	0	0
<b>Interreg IVA</b>	<b>18,464</b>	<b>26,961</b>	<b>45,425</b>	<b>(18,464)</b>	<b>(26,961)</b>	<b>(45,425)</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>UK</b>	14,212	20,677	34,889	(14,212)	(20,677)	(34,889)	0	0	0
<b>Ireland</b>	4,252	6,284	10,536	(4,252)	(6,284)	(10,536)	0	0	0
<b>Peace IV</b>	<b>810</b>	<b>0</b>	<b>810</b>	<b>380</b>	<b>0</b>	<b>380</b>	<b>1,190</b>	<b>0</b>	<b>1,190</b>
<b>Northern Ireland</b>	648	0	648	284	0	284	932	0	932
<b>Ireland</b>	162	0	162	96	0	96	258	0	258
<b>Interreg VA</b>	<b>405</b>	<b>0</b>	<b>405</b>	<b>1,310</b>	<b>0</b>	<b>1,310</b>	<b>1,715</b>	<b>0</b>	<b>1,715</b>
<b>UK</b>	283	0	283	923	0	923	1,207	0	1,207
<b>Ireland</b>	122	0	122	387	0	387	508	0	508
<b>Total Programme Expenditure</b>	<b>63,259</b>	<b>26,961</b>	<b>90,220</b>	<b>(60,354)</b>	<b>(26,961)</b>	<b>(87,315)</b>	<b>2,905</b>	<b>0</b>	<b>2,905</b>
<b>Pay Costs</b>	1,206	0	1,206	(92)	0	(92)	1,114	-	1,114
<b>Non Pay Administration Costs</b>	599	40	639	10	0	10	609	40	649
<b>Total Administration costs (exc pension)</b>	<b>1,805</b>	<b>40</b>	<b>1,845</b>	<b>(82)</b>	<b>0</b>	<b>(82)</b>	<b>1,723</b>	<b>40</b>	<b>1,763</b>
<b>NI share representing 53%</b>	957	21	978	(44)	0	(44)	913	21	<b>934</b>
<b>IRE share representing 47%</b>	848	19	867	(38)	0	(38)	810	19	<b>829</b>
<b>Pension costs - NI</b>	39	0	39	7	0	7	46	0	46
<b>Pension costs - IRE</b>	3	0	3	8	0	8	11	0	11
<b>Total Admin Costs (inc pension)</b>	<b>1,847</b>	<b>40</b>	<b>1,887</b>	<b>(67)</b>	<b>0</b>	<b>(67)</b>	<b>1,780</b>	<b>40</b>	<b>1,820</b>
<b>Overall Total Expenditure for approval</b>	<b>65,106</b>	<b>27,001</b>	<b>92,107</b>	<b>(60,421)</b>	<b>(26,961)</b>	<b>(87,382)</b>	<b>4,685</b>	<b>40</b>	<b>4,725</b>
<b>Total NI/UK share, inc pension costs</b>	<b>67%</b>	<b>77%</b>	<b>70%</b>				<b>66%</b>	<b>53%</b>	<b>66%</b>
<b>Total IRE share, inc pension costs</b>	<b>33%</b>	<b>23%</b>	<b>30%</b>				<b>34%</b>	<b>47%</b>	<b>34%</b>
<b>Existing/Projected Staff Numbers</b>			57			0			57

Narrative to support expenditure figures:

- Admin costs incorporate 12% efficiency savings over 3 years, against the 2013 baseline (based on Stg values).
- New approach to efficiency calculation applied in 2016 (i.e. excluding pension costs).
- In line with previous years, costs due to Pension Administrator are included within 'Non-Pay Admin Costs' within the Business Plan, rather than within 'Pension Costs'.

**Breakdown of Pension/benefit costs included in Business Plan**

	<b>NI</b>	<b>IRL</b>
	<b>£'000</b>	<b>£'000</b>
Pension/benefit costs for N/S Body service*	12	10
Pension/benefit costs for service liability/ transferred in*	35	0
Pension/benefit costs already in payment and subsumed into the N/S Body*	0	0
Administration costs due to Pension Administrator	16	14
<b>Total costs of pensions/benefits included in Business Plan</b>	<b>63</b>	<b>24</b>

Business Plan Summary - Proposed 2016 Budget Allocation (Euro)

ANNEX A

North South Body	Agreed Budget 2015			Proposed change +/-			Proposed Revised Budget 2016		
	Current	Capital	Total	Current	Capital	Total	Current	Capital	Total
	€'000	€'000	€'000	€'000	€'000	€'000	€'000	€'000	€'000
€1 = £0.81 in 2015, and £0.7 in 2016									
<b>Programme Costs</b>									
<b>Peace III</b>	<b>53,803</b>	<b>0</b>	<b>53,803</b>	<b>(53,803)</b>	<b>0</b>	<b>(53,803)</b>	<b>0</b>	<b>0</b>	<b>0</b>
Northern Ireland	34,294	0	34,294	(34,294)	0	(34,294)			0
Ireland	19,509	0	19,509	(19,509)	0	(19,509)			0
<b>Interreg IVA</b>	<b>22,795</b>	<b>33,285</b>	<b>56,080</b>	<b>(22,795)</b>	<b>(33,285)</b>	<b>(56,080)</b>	<b>0</b>	<b>0</b>	<b>0</b>
UK	17,546	25,527	43,073	(17,546)	(25,527)	(43,073)			0
Ireland	5,249	7,758	13,007	(5,249)	(7,758)	(13,007)			0
<b>Peace IV</b>	<b>1,000</b>	<b>0</b>	<b>1,000</b>	<b>700</b>	<b>0</b>	<b>700</b>	<b>1,700</b>	<b>0</b>	<b>1,700</b>
Northern Ireland	800	0	800	532	0	532	1,332		1,332
Ireland	200	0	200	168	0	168	368		368
<b>Interreg VA</b>	<b>500</b>	<b>0</b>	<b>500</b>	<b>1,950</b>	<b>0</b>	<b>1,950</b>	<b>2,450</b>	<b>0</b>	<b>2,450</b>
UK	350	0	350	1,374	0	1,374	1,724		1,724
Ireland	150	0	150	576	0	576	726		726
<b>Total Programme Expenditure</b>	<b>78,098</b>	<b>33,285</b>	<b>111,383</b>	<b>(73,948)</b>	<b>(33,285)</b>	<b>(107,233)</b>	<b>4,150</b>	<b>0</b>	<b>4,150</b>
Pay Costs	1,489	0	1,489	102	0	102	1,591	-	1,591
Non Pay Administration Costs	740	49	789	130	8	138	870	57	927
<b>Total Administration costs (exc pension)</b>	<b>2,229</b>	<b>49</b>	<b>2,278</b>	<b>232</b>	<b>8</b>	<b>240</b>	<b>2,461</b>	<b>57</b>	<b>2,518</b>
<i>NI share representing 53%</i>	<i>1,181</i>	<i>26</i>	<i>1,207</i>	<i>124</i>	<i>4</i>	<i>128</i>	<i>1,305</i>	<i>30</i>	<i>1,335</i>
<i>IRE share representing 47%</i>	<i>1,047</i>	<i>23</i>	<i>1,071</i>	<i>110</i>	<i>4</i>	<i>113</i>	<i>1,157</i>	<i>27</i>	<i>1,184</i>
Pension costs - NI	48	0	48	18	0	18	66	-	66
Pension costs - IRE	4	0	4	12	0	12	16	-	16
<b>Total Admin Costs (inc pension)</b>	<b>2,281</b>	<b>49</b>	<b>2,330</b>	<b>262</b>	<b>8</b>	<b>270</b>	<b>2,543</b>	<b>57</b>	<b>2,600</b>
<b>Overall Total Expenditure for approval</b>	<b>80,379</b>	<b>33,334</b>	<b>113,713</b>	<b>(73,686)</b>	<b>(33,277)</b>	<b>(106,963)</b>	<b>6,693</b>	<b>57</b>	<b>6,750</b>
<b>Total NI/UK share, inc pension costs</b>	<b>67%</b>	<b>77%</b>	<b>70%</b>				<b>66%</b>	<b>53%</b>	<b>66%</b>
<b>Total IRE share, inc pension costs</b>	<b>33%</b>	<b>23%</b>	<b>30%</b>				<b>34%</b>	<b>47%</b>	<b>34%</b>
Existing/Projected Staff Numbers			57			0			57

Narrative to support expenditure figures:

- Admin costs incorporate 12% efficiency savings over 3 years, against the 2013 baseline (based on Stg values).
- New approach to efficiency calculation applied in 2016 (i.e. excluding pension costs).
- In line with previous years, costs due to Pension Administrator are included within 'Non-Pay Admin Costs' within the Business Plan, rather than within 'Pension Costs'.

#### **Breakdown of Pension/benefit costs included in Business Plan**

	<b>NI</b>	<b>IRL</b>
	<b>€'000</b>	<b>€'000</b>
Pension/benefit costs for N/S Body service*	17	14
Pension/benefit costs for service liability/ transferred in*	50	-
Pension/benefit costs already in payment and subsumed into the N/S Body*	-	-
Administration costs due to Pension Administrator	23	20
<b>Total costs of pensions/benefits included in Business Plan</b>	<b>90</b>	<b>34</b>

# **ANNEX B**

## **EFFICIENCY SAVINGS DELIVERY PLAN**

## EFFICIENCY SAVINGS DELIVERY PLAN

### NORTH/SOUTH BODY: SEUPB

This Delivery Plan describes the measures The SEUPB will implement to achieve its target savings for 2014 – 2016.

### Efficiency Programme

The Body will realise total efficiencies of **£',000s / €', 000s** from 2014-2016 as shown in the Total Efficiency Table below.

Sterling					Euro				
<u>Total Efficiency Targets (4% p.a., 12% cumulative)</u>	Baseline & Total Efficiencies	2014 Efficiency Savings	2015 Efficiency Savings (Cumulative)	2016 Efficiency Savings (Cumulative)	<u>Total Efficiency Targets (4% p.a., 12% cumulative)</u>	Baseline & Total Efficiencies	2014 Efficiency Savings	2015 Efficiency Savings (Cumulative)	2016 Efficiency Savings (Cumulative)
	£`000s	£`000s	£`000s	£`000s	€`000s	€`000s	€`000s	€`000s	€`000s
Baseline (2013 approved budget)	<b>2,051</b>				Baseline (2013 approved budget)	<b>2,930</b>			
Total Efficiencies Required		<b>82</b>	<b>164</b>	<b>246</b>	Total Efficiencies Required		<b>117</b>	<b>234</b>	<b>351</b>

The areas that have been targeted as a means of realising cash releasing efficiencies are summarised in the first column of the table below and the monitoring arrangements and measures that will be put in place to ensure efficiency savings are delivered without impacting on targets and service delivery are detailed in the final column.

**EFFICIENCY PROGRAMME SUMMARY TABLE - exchange rate used throughout for planning purposes - €1 = £0.70**

	Sterling	Euro		
Details of efficiencies	2016 Savings £`000s	2016 Savings €`000s	Responsible Officer	Monitoring arrangements / measures to ensure forecast level of savings are delivered without a detrimental impact on priority services.
<b>(a) Admin</b>				
1. Staff Costs	92	131	Gina McIntyre	Apportionment policy amendments
2. Premises	(8)	(11)	Gina McIntyre	Unavoidable increases in premises costs – e.g. rates
3. Office Costs	(2)	(3)	Gina McIntyre	Unavoidable inflationary increases in cost of required services
<b>(b) Resource</b>				
1.				
2.				
3.				
<b>(c) Capital</b>				
1.	-			
2.				
<b>Total Savings</b>	<b>82</b>	<b>117</b>		
<b>Savings-NI contribution</b>	<b>44</b>	<b>61</b>		
<b>Savings-Irish contribution</b>	<b>38</b>	<b>56</b>		

# **ANNEX C**

**DETAILS FOR NORTHERN IRELAND BUDGET  
REQUIREMENTS**



## ANNEX C

### DETAILS FOR NORTHERN IRELAND BUDGET

NI sponsor departments are required to provide some additional budgetary information on North South Bodies in order to reconcile to the budget position. The following table is required to complement the NI information contained within the Business Plan Budgets. This information ensures that the full Budget costs to their departments are approved by Northern Ireland Executive Ministers.

#### **SPECIFIC REPORTING REQUIREMENTS FOR NI BUDGETS**

	Non cash £'000	Near cash £'000
<b><i>Northern Ireland Non Cash Costs (excl pensions)</i></b>		
<b><i>DEL:</i></b>		
<b><i>Depreciation</i></b>	40	
<b><i>Northern Ireland Pension Costs:</i></b>		
<b><i>DEL:</i></b>		
<b><i>Increase in provision due to:</i></b>		
<b><i>Current Service Cost</i></b>		275
<b><i>Transfers IN</i></b>		-
<b><i>Added Years</i></b>		-
<b><i>Income from:</i></b>		
<b><i>Employee contributions</i></b>		55
<b><i>Transfers IN</i></b>		-
<b><i>Added years</i></b>		-
<b><i>AME:</i></b>		
<b><i>Use of Provision (benefits paid)</i></b>		57
<b><i>Release of Provision (benefits paid)</i></b>		(57)
<b><i>Interest on Scheme Liability</i></b>		160

NI sponsor departments must complete this Annex in conjunction with their North South Bodies and must include this annex in any submission to Northern Ireland Executive Ministers to ensure that Ministers are aware of, and approve the full budget implications.

# **ANNEX D**

## **PROGRESS AGAINST 2015 TARGETS**

Update for 2016 Business Plan – Target Review Business Plan

<b>CORPORATE OBJECTIVE 1</b>						
<i>Effectively achieve the objectives of the PEACE III and INTERREG IVA Programmes, by providing guidance and support to the approved projects to enable them to maximise their contribution to society.</i>						
<b>Measure/Strategic Action</b>	<b>Target</b>	<b>Actions</b>	<b>Owner</b>	<b>A Achieved/On Target/At Risk</b>	<b>B Amendment Required</b>	<b>C Progress Against Targets</b>
Monitor and achieve expenditure targets for 2015 for PEACE and INTERREG Programmes to maximise EU receipts.	Programme targets: - PEACE III = €53.8 - INTERREG IVA = €56.08	Establish and maintain regular contact with all Lead Partners to offer project implementation guidance and support to ensure financial expenditure targets and project objectives are fulfilled.	MA/CS/JS	Achieved	NO ACTION REQUIRED	MA aid JS and Pobal in achieving this by ensuring robust and up-to-date programme guidance is in place.
		Facilitate Audits from European Commission, Article 62, Managing Authority, Northern Ireland Audit Office and Internal Audit.		Achieved	NO ACTION REQUIRED	61 Article 62 checks carried out in 2014 by Audit Authority (26 PIII, 35 IIVA); 65 Article 62 checks due in 2015 (35 PIII, 30 IIVA); 11 Internal Audit checks carried out in 2014; 11 checks due to be carried out in 2015.
	Maintain full commitment across both Programmes.	Monitor commitment levels on a monthly basis and take any remedial action required if necessary and possible to recommit slippage funds. The recommitment of funds is governed by internal guidance to ensure projects life is not simply extended without due reason and outputs.	MA/CS/JS		REDRESS THE OVER COMMITMENT LEVEL FOR INTERREG WHEREVER POSSIBLE.  POSSIBLE REALLOCATION OF PEACE FUNDS PENDING DFP AND THE YEARLY SPEND FOR GIRDWOOD.	

Monitor the delivery of Programme objectives.	Organise two Programme Monitoring Committee meetings for both PEACE and INTERREG Programmes and any working groups that may be required during 2015.	Organise and provide secretariat support for two meetings per Programme annually.	MA	Achieved	NO ACTION REQUIRED	
		Write and distribute relevant meeting papers, a minimum of 10 days prior to the meetings.	MA	Achieved	NO ACTION REQUIRED	
Ensure both Programmes are functioning in accordance with the EU and Member States Regulatory Frameworks.	All regulatory reports submitted by dates specified by the European Commission during 2015.	Produce Annual Implementation Reports for both PEACE and INTERREG Programmes by deadline of 30 June 2015.	MA	Achieved		
	Implement effective suite of external communications activity in line with Communication Strategy 2014-2020.	Organise at least one major communication event/conference per Programme per year.	CS	On Target		
		Produce 'Your EU' Magazine three times a year and public affairs bulletin 'euroPA' on a bi-annual basis as a minimum.	CS	On Target		
		Maintain interactive and vibrant website with regular input of new material from programmes and projects.	CS	On Target		
		Co-ordinate media relations activities.	CS	On Target		

**CORPORATE OBJECTIVE 2**

*To ensure that funded projects are provided with support and guidance to enable their functioning in accordance with EU and Member State Regulatory Framework.*

<b>Measure/Strategic Action</b>	<b>Target</b>	<b>Actions</b>	<b>Owner</b>	<b>A Achieved/On Target/At Risk</b>	<b>B Amendment Required</b>	<b>C Progress Against Targets</b>
<p>Work with applicants and other relevant organisations to deliver high quality projects for all Programmes.</p>	<p>Manage up to a total of 158 live projects from 1 January 2015 ensuring projects are functioning in accordance with all conditions and financial requirements as set out in letters of offer.</p> <ul style="list-style-type: none"> <li>• 98 PEACE projects</li> <li>• 57 INTERREG projects</li> <li>• 3 Transnational and Inter-regional projects</li> </ul>	<p>Monitor the implementation of the letters of offer including considering one annual budget change request per project, deal with requests for extension and issue Addenda as required.</p>	<p>JS/MA</p>	<p>JS Achieved</p>	<p>Increased from three transnational/interregional projects supported to nine projects supported.</p>	<p>Nine Transnational and Interregional Projects supported to date.</p>
		<p>Co-ordinate at least one monitoring visit per project per annum.</p>		<p>MA On Target</p>		<p>MA regularly monitor Programme implementation through various reporting mechanisms and provide appropriate guidance and support to the JS &amp; Pobal to facilitate high quality project delivery.</p>
		<p>Set targets for each project with regard to expenditure, and monitor project expenditure on a quarterly basis against annual and cumulative targets, proactively managing all variances.</p>		<p>Achieved</p>		
		<p>Reallocate funds that become available through slippage or project failure.</p>		<p>Ongoing</p>		<p>Operational Programme level budget reallocations carried out for both Programmes and subsequently approved by the Commission (PEACE III on 18 November 2014 and INTERREG IVA on 30 March 2015).</p>

		Provide secretariat to a minimum of four meetings between CPD and SEUPB, per annum.		Achieved		
		Arrange at least one Bi-Lateral with Accountable Departments per annum to provide information on projects within their remit.		Achieved		
	Ensure the provision of information and support to key stakeholders.	Timely provision of reports and information to key stakeholders.	MA	On Target		AIRs for both Programmes have been prepared in time for deadline of 30 June 2015. Timely distribution of meeting papers and associated minutes in line.
		Timely resolution of queries and complaints from key stakeholders.		On Target		Bound by timeframes stipulated in internal policy documents, i.e. Complaints Procedure and Fraud Response Policy.
		Ensure transparency and accessibility of information through reporting and update of website.		On Target		All appropriate publications uploaded to the website (papers, minutes) and appropriate information distributed upon request to key stakeholders.
Ensure the highest standard of financial accountability with regards to the implementation of Programme funds.	Carry out First Level Control vouching and verification of expenditure for all PEACE and INTERREG approved projects in line with the internal guidelines for each Programme during 2015.	Quarterly pre-payment verification of Lead Partner expenditure claims.	FCU	On Target		

		75% of claims to be authorised within seven working weeks of receipt of Lead Partner declaration.	FCU	On Target		61.3% (at 10 June 2015).
		All On the Spot Systems Review checks complete by 31 March 2015.	FCU	At Risk	Amend completion date to 31 August 2015.	Irish Rail and Translink have been completed.
		Process valid advance requests received from the JTS within 10 working days. Review and accept/reject post payment irregularities submitted by the JTS, Pobal and other bodies within five working days of receipt.	CA	Not Met		
		Maintain an up-to-date irregularity database and issue within three working days of each month end.	CA			
	67 Project First Level of Control vouching and verifications carried out twice per year, in line with Transnational and Inter-regional Programme timetables and in line with Programme rules.	Provide support to project partners on programme and national rules organising meetings / seminars as required.	MA/FCU/ TRNS	<b>TRNS</b> - 67 - Not Achieved. <b>MA</b> - Achieved	<b>TRNS</b> The target of 67 Project First Level Control vouching and verifications carried out twice a year is incorrect.  <b>TRNS</b> A total of 14 verifications have been carried out on 14 separate partners within nine different projects to June 1 2015. The figure of 67 was not achievable as there is not sufficient numbers of projects/partners still 'live' in 2015 to meet this figure. This has been reported at SMT this year. There are	<b>TRNS</b> 14 Project First Level Control Vouching and Verifications carried out to June 1 2015.  <b>MA</b> facilitated a suite of specific project implementation related training workshops during the reporting period.

					<p>six verifications remaining to be completed in 2015. Therefore a <b><u>total of 20 Project First Level Control vouching and verifications will be carried out this year.</u></b></p>	
		Participate in the network of first level of controllers as required by each Programme.				
	On the spot checks carried out across all transnational and interregional programmes, in line with agreements for each Programme.	Provide onsite training on practical submission of claims and on the spot checks.		<p><b>MA</b> On Target</p> <p><b>TRNS</b> One on the spot check - Achieved</p>		<p><b>TRNS</b> A total of six On the Spot Checks carried out to June 1 2015.</p> <p><b>MA</b> OTS monitoring checks previously carried out on a sample of operations have been replaced by project closure focused spot checks carried out across both programmes by an MA Officer.</p>
Ensure adherence to EU Member States Regulatory Framework by all funded projects.	Ensure project compliance with publicity requirements as outlined within the Communications Strategy.	<p>Conduct quarterly reviews of project communication outputs.</p> <p>Organise two communication and network meetings with project communication leads, on annual basis, which will focus on closure issues.</p>	<p>CS</p> <p>CS</p>			<p>Pending approval of the Peace V Programme.</p>



### CORPORATE OBJECTIVE 3

*To ensure effective business processes for closure are implemented for the 2007-2013 Programmes which will result in a maximisation of EU receipts for both Member States.*

Measure/ Strategic Action	Target	Actions	Owner	A Achieved/On Target/At risk	B Amendment Required	C Progress Against Targets
Ensure a framework of closure procedures is established.	Ensure adequate guidance is in place to facilitate closure in line with regulatory and Programme requirements.	Implement and monitor closure plan for both Programmes throughout 2015.	MA/CS/JS	On Target	NO ACTION REQUIRED	Preparation for Closure Reports for both Programmes ongoing. A detailed Closure Protocol was drafted and presented to Management & Control Working Group. Going forward, the primary focus of this Working Group will be closure of both Programmes.
		Organise a minimum of two closure working group meetings in 2015.	MA	Achieved		Management & Control/Closure Working Group meetings held in November 2014 and February 2015. Next meeting scheduled for late summer/early Autumn 2015.
		Review and issue Programme guidance on project completion in accordance with regulatory and Member State requirements.	MA	Achieved		The most recent revision to the MA Closure Guidance Note was issued in December 2014.
		Establish quarter end reconciliation procedures and audit processes.	CA	On Target		
		Ensure the remaining 155 projects within PEACE III and INTERREG IVA are closed by December 2015 across both Programmes.	MA/JS	On Target		Monthly MA reporting and monitoring of project closure and pro-active liaison with JS to resolve closure issues.

**CORPORATE OBJECTIVE 4**

*Enhance business performance of SEUPB and its staff through the implementation of effective and efficient administrative processes within a corporate governance framework designed to meet accountability requirements.*

<b>Measure / Strategic Action</b>	<b>Target</b>	<b>Actions</b>	<b>Owner</b>	<b>A Achieved/On Target/At Risk</b>	<b>B Amendment Required</b>	<b>C Progress Against Targets</b>
Effective financial strategies implemented to improve business performance.	Pay over 95% of invoices within the 30 day statutory timeframe, and over 75% within 10 days.	Make payments to Suppliers on a prompt basis – over 95% within 30 days, and over 75% within 10 days.	CS	On Target	No	As at August 2015, 99% paid within 30 days and 86% within 10 days.
	Pay Lead Partner payment requests received from the MA on a prompt basis.	Make payments to lead partners within eight working days of a valid payment request.		On Target		As at August 2015, 99% paid within 30 days and 86% within 10 days.
	Conduct a review annually of internal apportionment policy, to identify opportunities for Technical Assistance to be used effectively as part of the efficiency delivery exercise.	Increase consistency in apportionment through the design and implementation of a revised apportionment policy for 2007-2013 TA, including the implementation of flat-rate allowances for 2014-2020 TA.		On Target		Policy updated for Rent/Rates/Staff & Stationery. Work yet to be completed on practicalities of flat rate aspect.
	Ensure that all procurement is in accordance with regulation and best practice.	Implement clear system of file review and QA at all stages of procurement process.		On Target		System improvements implemented. Procurement remains a priority area for compliance.
	Prepare at least four expenditure claims to be completed in line with necessary procedure and regulations annually for each Programme.	Certify five PEACE III and five INTERREG IVA claims and submit to the EU Commission for reimbursement per annum.		On Target		

	Provide a recovery statement by project with each claim to satisfy both EU and Member State requirements.	To be completed alongside each completed claims. Prepare monthly Irregularity reports.		On Target		
	Implement improvements and efficiencies in the area of budget responsibility and workflow management (purchasing).	During 2015 carry out one improvement exercise in respect of budget responsibility and work flow management. (Implementation of an automated purchase order system).		On Target	Yes – Automated PO system explored but considered too costly.	Changes made to purchasing systems for certain expenditure (e.g. accommodation, travel & events). Implementation of automated PO system will be cost-prohibitive. TRIM provides a mechanism for some workflow improvements here.
Effective internal control and management of organisational risk.	Ensure that Risk Register is maintained and update Business Continuity Plan during 2015.	<p>Monitor all Directorates updates to Risk Register on monthly basis, and co-ordinate an overall Corporate Risk Register quarterly for Audit &amp; Risk Committee.</p> <p>Complete annual disaster recovery testing of the Business Continuity Plan.</p> <p>Update Business Continuity Plan as necessary in line with post testing review and recommendations and best practice.</p> <p>Embed the systems around information management which were designed and implemented in 2013.</p> <p>Ensure appropriate ICT security controls are in place to support Information Management best practices.</p>	CS	<p>On Target</p> <p>Achieved</p> <p>Achieved</p>	<p>No</p> <p>No</p>	<p>Managed on a monthly/quarterly basis.</p> <p>First desktop test complete. Further test to be carried out late 2015.</p> <p>Upgrade of information systems including TRIM, SUN and email platform complete.</p> <p>ICT security controls updated including desk locks for laptops, bitlocker encryption fully implemented, Ironkeys replaced</p>

						standard USB drives. Increased complexity for passwords.
	Ensure all relevant SLAs and agreements are in place with all Accountable Departments and reflect accurate and up to date budgets following each monitoring round.	<p>Monthly monitoring of cash balances by Accountable Departments including variance analysis against project cash forecasts.</p> <p>Arrange a meeting with key Accountable Department prior to each monitoring round in Northern Ireland and budget exercise in Ireland to ensure sufficient budget cover against forecasts.</p> <p>Quarterly review of SLAs and update 'Schedule 1' budget following each budget exercise or monitoring round for each Accountable Department.</p>	CS	In Progress		Due to the late adoption of the PEACE Programme the templates for these documents remain to be agreed. It is anticipated that all SLA's will be approved before the end of 2015.
Meet all information and reporting requirements as stipulated within the Financial Memorandum and governing documents.	Complete an annual business plan in line with NSMC deadlines.	Develop 2016 Business Plan within stipulated timeframe.	CS	On Target	None	Pending approval.
	Prepare and publish an Annual Report.	Prepare 2014 Annual Report by April 2015 and ensure SEUPB provide the auditors with all information that would facilitate the accounts being signed off by 30 June 2015.	CS	Achieved		Certified by auditors before end of June 2015. Report will be laid before both Parliaments before the end of 2015.
	Prepare Annual Accounts for each year of the planning period and submit to the NIAO for Audit.	Prepare Financial Statements for 2014 by 31 March 2015.	CS	Achieved		Financial Statements prepared before 31 March 2015.
	All requests for information to be answered within agreed timeframes.	Provide accurate and timely information for all responses to NSMC meetings, Assembly Questions, Parliamentary Questions, Ministerial Briefings, Departmental Requests and Committee briefings.	CS	On Target		
	Adhere to the Freedom of Information Code of Conduct for all North South Bodies.	Manage the FOI process and respond to all requests in line with the Code of Practice.	CS	On Target		

	Implement effective corporate complaints procedures.	Provide a response to all complaints within specified deadlines	CS	On Target		
Effective IT strategy and equipment to service the needs of the organisation.	Ensure the ICT Department provides an effective IT management and support service.	Provide specification, project management and technical support to the development and implementation of the new SEUPB website	CS	On Target		Technical advice / support has been given for specification. Website now approved, meaning project management support for this contract is required by IT. Most of this is already achieved. There remains some work to be done on the AC system.
		Implementation of necessary and improved technologies such as; Power management, UPS, Telecommunications, and AC systems by December 2015.	CS			
		Complete annual testing and review of ICT Area Recovery Plan in line with the BCP Plan, and Update ICT Area Recovery Plan as necessary in line with findings.	CS	On Target		This is an annual and ongoing exercise. Desktop exercise completed. IT area recovery plan updated.
		Specification, Procurement and Implementation of identified hardware and software for key business applications for Business Continuity purposes.		Achieved		Specification, procurement and some implementation work achieved. There is still some implementation work to be done.
		Support Information Officer with the design, setup and implementation of new classification file structures for New Programmes within our EDRM system.		On Target		A vast amount of work has been done. There is still a small amount of work with MA and CA to be completed.

Fulfil all requirements of the Communications Strategy 2014-2020.	Maintain and enhance corporate communications activity as identified within the Communication Strategy during 2015.	A staff Corporate Day to be held once during the year.	CS	On Target		
		Maintain Facebook, Twitter and YouTube accounts on a daily basis, and ensure prompt messages are uploaded.	CS	On Target		
		Pro-actively issue 15 press releases per Programme on an annual basis to highlight achievements and raise profile of Programmes.	CS	At Risk		Due to project closure
		Create and issue three Your EU publications per year.	CS	On Target		
		Co-ordinated one major annual communications activity per programme.	CS	On Target		
		Issue two public affairs (euroPA) bulletins on an annual basis.	CS	On Target		
		Co-ordinate an annual stakeholder perceptions survey to assess the effectiveness of the Communications Strategy.	CS	On Target		
Legislation compliance control.	Complete annual progress report to Equality Commission by 31 August 2015.	Conduct activities as outlined within revised Equality Scheme including policy screening and EQIAs where required.  Draft and submit Annual Section 75 Progress Report to Equality Commission.	CS	On Target	Yes	Change date to 2016
	Maintain a working environment which is health and safety compliant for both staff and members of the public.	Conduct risk assessments in line with 2015 schedule and take appropriate action as required to ensure compliance.  Conduct risk assessments biannually.  Manage PPM Facilities Contract in line with Service Agreement.	CS	On Target  On Target	2016	Change date to 2016
	Full compliance with Data Protection principles.	Annual registration with The Information Commissioners' Offices in the UK and Ireland.  Systems tested annually to ensure compliance with the Data Protection legislation.	CS	Target	No	Annual Registration completed for both North and South premises.

Appropriate systems in place to enable the effective audit of SEUPB business services.	SEUPB Audit & Risk Committee to meet three times during 2015.	Schedule and facilitate at least 4 meetings of the SEUPB Audit & Risk Committee.	CS	On Target	None	Three meetings held as at September 2015. A fourth is planned for October.
		Maintain appropriate systems to enable the effective audit of SEUPB business services by ensuring processes and procedures are reviewed and updated on a quarterly basis.		On Target	None	Continued review and update of procedures, and actions taken to address any audit recommendations.
	Ensure recommendations are implemented, appropriate recommendations register is completed and articulated to relevant areas. Register to be updated on an ongoing basis, and reviewed quarterly in keeping with Audit & Risk Committee Schedule.	Review, update and issue the Audit Recommendations Register within three working days of each month end. Prepare summary information for Audit information for Audit and Risk Committee on a quarterly basis.				
Efficient delivery of organisation's key targets.	Ensure effective monthly monitoring and evaluation of overall Business Plan and Corporate Plan targets.	Each business area to report and discuss Business and Corporate Plan targets at Senior Management Team Meetings.  Manage ERDF cashflow including the reimbursement of EU receipts to Member States within four weeks of receipt and provision of annual forecast to the EU Commission by 30 April.	ALL  CA	Achieved		Monthly reporting to SMT on Directorate business areas and those specific areas where risk has been identified, and demonstrating the mitigating actions in place.
Processes in place to allow organisation to fulfil all budgetary requirements.	Ensure expenditure of at least 98.5% of budgeted amounts.	Preparation of month end financial analysis within three working days to enable the Managing Authority to monitor N+2 expenditure, Business Plan and commitment levels against targets.	CS	On Target		

	Ensure 4% per annum minimum cumulative cash releasing efficiency savings over the period 2014-16 in accordance with Business Planning guidance issued by the Finance/Public Expenditure Departments.	2015 admin budget to be set at level which facilitates the required 4% efficiency savings to be met. Monthly review of expenditure to maintain within budget, including introduction of additional efficiencies.		On Target	None	Budget set at level which incorporates required savings. Expenditure to date is within budgeted levels.
Achieve results in delivering business services through appropriately trained staff.	Maintain staffing levels throughout the period in line with the agreed staffing complement of 57 WTE posts, based on recommendations of the 2012 Staffing Review and agreement between Ministers.  Achieve a Turnover Rate of less than 20%.  Achieve absence levels of less than 3%.	Maximise staffing resources within agreed staffing complement levels to ensure full utilisation of staffing numbers through: <ul style="list-style-type: none"> <li>- Effective recruitment strategies</li> <li>- Effective retention policies</li> <li>- Managing absence and attendance policies</li> <li>- Updating Staff Handbook/HR Policies in line with best practice and new legislation.</li> </ul>	CS	Target	No	Staffing levels year maintained throughout year.  Updated policies available to all staff on ESS. Updated absence policies for both North and South introduced – relevant training provided.
	Develop annual Training Plan by 31 August 2016 that prioritises training and development activities to support the achievement of business objectives.	Maximise training opportunities for staff development through: <ul style="list-style-type: none"> <li>- Use of the annual staff appraisal system.</li> <li>- Individual and organisational TNA.</li> <li>- Continuous review of staff training.</li> <li>- Utilisation of EU experts /specialists to enhance EU specific knowledge.</li> <li>- Ensure the opportunities for in house shared training is offered and availed of across other MAs in NI Ireland and Scotland.</li> </ul>	CS	Achieved	No	Training Plan has been developed, and is now being implemented over the period September 2015 – August 2016.



	Employees to attend an average of three training events over 12 months, for training considered business critical and improve individual performance.			Achieved		EU specific training provided.
	Achieve Investors in People (IIP) status by 30 June 2016.	Implement development plan to achieve IIP status.	CS	On Target	No	Staff survey and IIP pre-check to be confirmed by 31 Dec 2015 to enable achievement of IIP Award by target date of 30 June 2016.

### CORPORATE OBJECTIVE 5

*To ensure the development of effective administrative structures and processes which will facilitate the implementation of future Programmes for the period 2014-2020, in accordance with the Regulatory Frameworks of the EU.*

Measure / Strategic Action	Target	Actions	Owner	A Achieved/On Target/At risk	B Amendment Required	C Progress Against Targets
Provide leadership on the implementation of the new Programmes.	Ensure the Programmes are established and functioning appropriately in accordance with EU and Member State regulatory frameworks by end of 2015.	Development of robust and comprehensive Monitoring System for 2014-2020 and ensure online applications are available by March 2015.	MA/CS	Delayed	Amendment Required	Key involvement in drafting SoR for the 2014-2020 Programmes database, permanent representation on the database development/user working group and ongoing involvement of the development of system in order to facilitate acceptance of applications by July 2015.
		Develop and issue Programme rules in line with EU Regulations.	MA	Achieved		Final draft of Programme Rules is under review
		Manage the process of recommendations for appointment of both Monitoring Committee memberships to the Member States.	MA	INTERREG PMC Achieved MA to organise for PEACE		INTERREG - Secured MC membership as of 16 June 2015. Nominations made, PEACE- MC targets still to be agreed. Meeting to be held in September 2015.
		Provide training/induction training of new PMC Members.	MA	On Target		
		Establish Member State Overview Committee for INTERREG Programme involving three jurisdictions.	MA	On Target		Establish roles as per regulations. Scheduled for late September 2015 for INTERREG PMC and SC members.
		Liaise with DFP to ensure compliance with e-cohesion requirements; including on line applications are available at the time for the first call.	MA	In Progress		Involvement in database development as detailed above.

		Implement and monitor SLA with service providers including: JS, Audit Authority, Internal Audit and monitoring services.	JS/MA		Thematic content to be developed.	Final draft of SLA with NISRA under review.
		Implement Lead Partner training programme completing a minimum of 10 seminars by the end of 2015.	MA/JS			12 New programme overview workshops held. Thematic workshops are planned to be held by JS.
		Manage the process of appointment of Steering Committee membership.	MA/JS	Achieved for INTERREG, Pending for PEACE		Pending, awaiting MS agreement on PMC for PEACE. PMC to be constituted within three months of Programme adoption.
		Establish Steering Committees structures, terms of reference and rules of procedure and training for members.	MA	Achieved for INTERREG		For PEACE Programme the appointment of SC membership cannot be finalised until first PMC is held. Rules of Procedure for Steering Committee has been drafted and approved by Member States Guidance document is approved
		Hold Steering Committee meetings for the implementation of both Programmes in line with regulatory requirements.	MA/JS	Achieved for INTERREG		INTERREG PMC held on 29 July 2015.
		Initiate and facilitate guidance and support for potential applicants on programme criteria and rules for the development of possible applications.	JS	Achieved for INTERREG		
		Development of project application and assessment documentation, and funding guidance, post award rules.  Development of programme letters of offer and standard conditions of grant based on lessons learnt from 2007-2013 Programmes and New EC Regulations.	MA/JS	Achieved for INTERREG		Application form and assessment criteria have been finalised  Funding guidance approved by INTERREG PMC in July 2015. PEACE PMC has not yet been agreed.  Work on LoO and standard conditions is ongoing and will be completed before the end of 2015.

		Develop assessment process, criteria and methodology along with appropriate template documentation.	JS	On Target		<p>Stage 1 and Stage 2 scoring criteria agreed.</p> <p>Assessment procedure agreed with the Member States.</p> <p>There are no delivery partners. Does not apply.</p> <p>Result orientation established in CP. Monitoring and evaluation procedure will be in place for designation</p>
		Development and procurement of a call off list for economical appraisal services and technical advice.	JS	Achieved for INTERREG		
		Programming of calls and preparation of thematic calls guidance.	MA/JS	In Progress		
		Development of procedures regarding assessment of project applications.	JS	On Target for INTERREG		
		Establishment of feedback surgeries for successful and unsuccessful applicants.	JS	Achieved		
		Development and implementation of guidance for Local Authorities for the development of Peace Action Plans.	MA/JS			
		Establishment of relationships with appropriate delivery partners.	MA/JS			
		Establishment of monitoring and evaluation process for projects.	MA			
		Meet with the Accountable Departments at least twice year to discuss thematic launches and calls. Designation procedure before first interim payment.	MA	To be established		
Ensure the highest standards of financial accountability are applied to the implementation of programme funds.	Economic appraisal of new programme applications in excess of €5M.	Monitor process for award of EAs, to ensure efficient allocation in timely manner and on VFM basis.	CS	Unknown		<p>Assessment process established, SEUPB will have a small number of EAs. Work ongoing in respect of technical advice.</p> <p>In conjunction with Corporate Finance, continue to regularly monitor TA spend within the budgets allocated to the MA Directorate.</p> <p>The web services interface will be used on a real time basis to ensure that payments are passed (in a secure format) to the SUN system as soon as entered on the monitoring system.</p>
	Effective budgeting of TA expenditure.	Monitor TA budgets during 2015 for both Programme periods. Budgeted spend across both Programmes 2014-2020 has been anticipated at €1.5M.	MA	On Target		
	Database interface with general ledger.	Further develop an electronic interface between Monitoring System and SEUPB accounting system to capture all required project payment details in a secure manner.	CS	On Target		

	<p>Develop new procedures for Article 4(5).</p>	<p>Draft procedures for Article 4(5) checks (prepayment verification, eligibility for funding and on the spot, including checklists and sampling methodology; Input to development of MIS-replacement for System 2007).</p>	<p>FCU/MA</p>	<p>FCU/MA On Target</p>		<p>Work on drafting relevant procedures is ongoing.</p> <p>Involvement, as above, in the development of the SoR for the MIS System for 2014-2020 Programmes.</p>
	<p>Develop the second level of control checklists and procedures for the certifying authority to use on the first level functions.</p>	<p>Draft procedures required for second level control environment, when the delivery mechanisms have been agreed.</p>	<p>CA</p>	<p>In Progress</p>		<p>Work on draft procedures is ongoing.</p>