

Grants Project Proposal Form (GPPF)

The PPF is to be completed, by the project manager, for every project proposal that:

- is identified in the Corporate Strategy
- is in the Capital Programme
- is seeking external funding

User:

Project Title

Project Manager

Head of Service

1) Is the project:

In the Corporate Strategy

Seeking External Funding

In the Capital Programme

In the City Regions Regional
Strategy for SW Wales

2) Project description - What is the Project going to deliver (outputs), achieve (benefits) and by when?

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3) How will the project contribute towards Carmarthenshire County Councils corporate objectives and/ or statutory obligations?

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4) What is the scope of the project (i.e. clarify what is included and what is not)?

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5) What are the alternative ways of achieving the same outputs/ benefits? On what rationale/ assumptions have you based your preferred option?

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6) What are the consequences of not running the project?

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7) What is the estimated cost of the project and how did you calculate the cost? Where will the funding come from?

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8) Are there any revenue implications of the project? Include costs and savings that will be incurred in the short and longer terms.

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9) Other than budget, what resources will be required to successfully deliver the project? For example, consider the need for expert services from other departments, contractors, partners etc.)

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10) Who will manage the project (Identify at least a Senior Responsible Officer and Project Manager/ Lead)? Do they have all of the skills required to manage this project?

11) What are the main risks associated with the project, are they manageable and acceptable to the Authority?

12) Who else has an interest in this project and should be involved in its development and/or delivery?

13. What is the location of your project? (use CTRL key to select more than one)	
All Amman Gwendraeth Llanelli	Taf Teifi Tywi

14) Will your project be delivered on a local or regional scale?

GUIDANCE NOTE

Project Closure Activities

Introduction

This guidance note provides an overview of areas that need to be considered when closing grant funded projects. It is designed to complement and not substitute Stage 4 of the Authority's Project Management Toolkit.

Planning for the closure of a project is a key step in the life cycle of a project and closing a project is easier if it has been preceded by good planning processes, so that the closure can proceed in an orderly manner.

Project managers should be aware of the steps that need to be considered when closing a project and should start pulling together a closure plan 6 months before the end of the project. During that latter stages of a project partner organisations may already be losing interest in the project and moving on to new activities. Some key staff may already have left the organisation. It is therefore very important that the process of closure starts in good time.

There are two parts to project closure; delivery closure and financial closure. The project end date is normally the date by which projects must be both physically and financially complete. We would advise that between 2-3 months is required to undertake financial closure. This is particularly important where you are subcontracting to other delivery partners where you will need to allow sufficient time for the collation of outputs and payment of claims from 3rd parties. The following are key points that need to be considered:

Consider and agree closure milestones

- Ensure you draw up and document an exit strategy;
- Ensure sufficient time has been allocated for the collation of targets and to undertake project evaluation before project completion date;
- All expenditure on the project must have been fully defrayed by project end date. Any expenditure defrayed after project end date will be deemed ineligible. (Exception: Final audit fees may be considered eligible following project closure, however this must be confirmed with the funder.)
- For capital projects, ensure that any retention requirements have been considered and ensure that this does not impact on the ability to claim the entire grant by completion date (Exception: ability to claim retention costs after project end date where Funding Body approval has been received)

Where projects have subcontracted delivery to other organisations and/or are delivering third party grants, the following should also be taken into consideration:

- Ensure sufficient time has been allowed to enable delivery partners to deliver, claim and report on outputs achieved
- Ensure that payments to third parties including project delivery partners have been defrayed prior to project end date
- Ensure existing contracts with delivery partners have taken into account the above timescales

Review the project aims and achievements and obtain final sign off from the Project Board/Steering group

- Refer back to the current Project Business Plan; has the project met its aims and objectives? If not, why not?

- Ensure formal closure of project has been undertaken by Project Board

Review and close off any residual risks and issues

- Project risks and issues may continue beyond the delivery of the project timeframe. Review any outstanding risks and issues and either close them off or allocate them to an appropriate individual for onward monitoring
- Ensure that all match-funding monies have been received
- Ensure projects have no actions outstanding
- Ensure that any special conditions imposed by the Funding Body have been addressed and signed off

Capture and Share Project Successes and Lessons Learned

- Identify and document any lessons learned in the project closure form Project Management Toolkit - Stage 4 - Key Steps
- Identify project successes and share this information with stakeholders
- Complete Post Investment Appraisal Form (Capital Projects only)
- Identify any recommendations for future development

Check that the paperwork is in order for audit and funding purposes, and close files

- Ensure that all the necessary paperwork and documents to back up the outputs you have claimed, as well as match-funding sources have been received
- Ensure that all third party grant files have been checked and all original/certified copy documentation retained to support grant payments
- Ensure that project files have been completed, indexed and labelled in accordance with CCC guidance (i.e Project Grants Manual)
- Ensure that any other department of the authority, an/or external delivery partners that will be retaining original documents relating to the project, are aware of the retention policy and their responsibilities in retaining the documentation for audit purposes
- Establish and maintain an inventory of all assets with a greater value of £5,000
- Ensure Closure Form for Externally Funded Projects has been completed and returned

Prepare for handover (if appropriate)

- In the event of staff terminating their contracts early, identify a core member of staff who will take responsibility for ensuring successful closure of the project
- Transfer operational, procedural instructions and any ongoing issues to core operating team or service area

Plan for future monitoring

- If a project is closed before all benefits / outcomes have been realised, an individual needs to be identified who will take responsibility for following up future outcomes and benefits.
- Ensure that all third party grant recipients are aware that they may be subject to monitoring visits following final payment. This will vary, depending on the funding body's requirements. Ensure that systems are in place for the on-going monitoring of third party grant in line with the funder's requirements.

Document Retention and Archiving

- Delivery Partners must retain any original invoice, account or other document relating to payments made directly by the Lead Partner and other partners must obtain the approval of the Funding Body before destroying any project documentation.
- Project sponsors also need to consider any additional requirements (including extended retention periods) that may be required relating to projects involving an element of State Aid – the retention period is normally 10 years from date on which the last individual aid was granted. This period could therefore extend beyond the period generally applicable to projects and therefore records relating to aid must still be retained until the State Aid record period has elapsed.
- You should only archive project files once you have received confirmation that the last grant payment has been received

CLOSURE FORM FOR GRANT FUNDED PROJECTS

Project Name		
Project Manager		Second Contact
Finance Officer		
Action Points - Checklist	Yes/No	Date actioned by
1. FINAL CLAIM		
If no, please state why		
2. ALL GRANT MONIES RECEIVED		
If no, please state why		
3. ALL MATCH FUNDING RECEIVED/ACCOUNTED FOR		
List all sources:		
If no, please state why		
4. ALL OUTPUTS RECORDED AND SUBMITTED TO FUNDER		
If no, please state why		
5. PROJECT FILES COMPLETED IN ACCORDANCE WITH GUIDANCE I.E. GRANTS MANUAL FOR INTERNAL PROJECTS		
If no, please state why		
6. ACTIONS OUTSTANDING (AS PER MONITORING VISIT UNDERTAKEN)		

Please provide a brief outline of how the project delivered against its aims and objectives – including wider benefits and an explanation of any changes in focus

Please provide an explanation of any variance against targets

Please provide details of any lessons learnt, other outcomes such as best practice models and any additional outputs / results that cannot be captured by the projects official monitoring and evaluation

Please provide details of any links international or otherwise that have not been captured as part of the project's official evaluation

Project Manager signature	<input type="text"/>	Date	<input type="text"/>
Date of sign off	<input type="text"/>	Date of archiving	<input type="text"/>

Head of Service	<input type="text"/>
Date of sign off	<input type="text"/>

**Please return to:
External Funding Team and Grants Compliance Officer**

PLEASE NOTE: This form has been endorsed by the Grants Panel to assist in the efficient and effective closure of grant funded projects



Cronfa Amaethyddol Ewrop ar gyfer Datblygu Gwledig: Ewrop yn Buddsoddi mewn Ardaloedd Gwledig
The European Agricultural Fund for Rural Development: Europe Investing in Rural Areas



Llywodraeth Cymru
Welsh Government

Project Name

Example

Profile Date

01/06/2019

Profile Version

1

Project Duration

1 April 2020 to 31 March 2022

Mobilisation Phase

1 April 2020 to 30 June 2020

Delivery Phase

1 July 2020 to 31 December 2021

Project Closure Phase

1 January 2022 to March 2022

		2020/21				2021/22				TOTAL
		April to June	July to Sept	Oct to Dec	Jan to March	April to June	July to Sept	Oct to Dec	Jan to March	
Expenditure										
Capital										
Estates										
Construction Costs				20,000	50,000	50,000	30,000			150,000
Estates Total		0	0	20,000	50,000	50,000	30,000	0	0	150,000
Total Capital		0	0	20,000	50,000	50,000	30,000	0	0	150,000
Revenue										
Administration										
Consumables		50	100	100	100	100	100	100		650
Administration Total		50	100	100	100	100	100	100	0	650
Human Resources										
Recruitment		500								500
Redundancy									1,000	1,000
Human Resources Total		500	0	0	0	0	0	0	1,000	1,500
ICT										
Hardware Purchase		400								400
Software Purchase		100								100
ICT Total		500	0	0	0	0	0	0	0	500
Legal & Professional										
Consultancy fees			20,000	20,000						40,000
Evaluation, development & monitoring								10,000		10,000
Legal & Professional Total		0	20,000	20,000	0	0	0	10,000	0	50,000
Marketing & Promotion										
Advertising & promotion					1,000	1,000	1,000	1,000		4,000
Events								6,000		6,000
Marketing & Promotion Total		0	0	0	1,000	1,000	1,000	7,000	0	10,000
Staff										
Project Management Staff	100% grant funded	10,000	10,000	10,000	10,000	10,250	10,250	10,250	10,250	81,000
Project Management Staff	Cash match funding	500	2,500	3,000	3,000	3,000	2,500	3,000	1,250	18,750
Project Delivery Staff	100% grant funded		7,500	7,500	7,500	7,650	7,650	7,650	7,650	53,100
Staff Total		10,500	20,000	20,500	20,500	20,900	20,400	20,900	19,150	152,850
Travel & Transport										
Travel & Subsistence		100	300	300	300	300	300	300	100	2,000
Travel & Transport Total		100	300	300	300	300	300	300	100	2,000
Total Revenue		11,650	40,400	40,900	21,900	22,300	21,800	38,300	20,250	217,500
Total Costs		11,650	40,400	60,900	71,900	72,300	51,800	38,300	20,250	367,500
Financing										
Capital										
Cash				4,000	10,000	10,000	6,000			30,000
Grant	80%	0	0	16,000	40,000	40,000	24,000	0	0	120,000
Total Capital Funding		0	0	20,000	50,000	50,000	30,000	0	0	150,000
Revenue										
Cash - Staff Match :										
Project Management Staff	Cash match funding	500	2,500	3,000	3,000	3,000	2,500	3,000	1,250	18,750
Cash		1,830	5,580	5,180	1,380	1,460	1,860	4,660	2,800	24,750
Grant	80%	9,320	32,320	32,720	17,520	17,840	17,440	30,640	16,200	174,000
Total Revenue Funding		11,650	40,400	40,900	21,900	22,300	21,800	38,300	20,250	217,500
Total Financing		11,650	40,400	60,900	71,900	72,300	51,800	38,300	20,250	367,500

Example of Supporting Officer Key Tasks

1. To provide support to the Project manager in achieving project aims.
2. To undertake the financial profiling and management of the budget for the programme period and ensuring project budgets are monitored on a bi-monthly basis
3. To provide quarterly/monthly analytical reports on the progress of the project in order to support officers delivering the project and to summarise activities undertaken for monitoring purposes.
4. To liaise with both internal and external groups/organisations at all levels and to resolve conflict as and when it arises, to ensure successful delivery of the project to agreed timescales, budgets and standards.
5. To assist in the development of tenders and ensuring appropriate procurement of supplies in conjunction with the corporate procurement unit
6. To assist in the development and management of SLAs with third party delivery organisations
7. To process and record all expenditure/income/match-funding under the programme and to be responsible for the submission of claims to the funding body on a quarterly basis in line with the Authority's Financial Procedure Rules and funder regulations;
8. To implement, maintain and evaluate robust systems to monitor and record the project's physical and financial outputs to satisfy the funder's audit requirements.
9. To maintain lines of communication with the Grants Compliance Officer to ensure that the project complies with internal grant compliance, audit and funding body requirements.
10. To be responsible for collating and verifying monthly progress reports in relation to project outputs
11. To support internal/external meetings and panels through the provision of advice and information to ensure compliance.
12. To assist the project manager in advising third party delivery organisations in receipt of funding to ensure compliance with the funding body regulations (ONLY INCLUDE WHERE ADMINISTERING A 3RD PARTY GRANT)
13. To assist the project manager to successfully manage project risk through effective analysis
14. To carry out any other duties within the scope of the grading of the post, as directed by the project manager

TIMESHEET

April 2019

01 Apr 2019		Cat	Hrs	Cat	Hrs	Cat	Hrs	Cat	Hrs	Cat	Hrs	Cat	Hrs
Mon (1st)		2	2.50	3	1.00	1	2.00						2.00
(Total: 7.50)													
hon-working (am)													
hon-working (pm)													
Tue (2nd)		4	2.00			5	3.00						2.00
(Total: 7.00)													
hon-working (am)													
hon-working (pm)													
Wed (3rd)		3	1.00	1	1.50	2	2.00						1.00
(Total: 7.50)				4	2.00								
hon-working (am)													
hon-working (pm)													
Thu (4th)		4	3.00	2	5.00								
(Total: 8.00)													
hon-working (am)													
hon-working (pm)													
Fri (5th)		1	0.50	5	2.50	4	3.50						1.00
(Total: 7.50)													
hon-working (am)													
hon-working (pm)													
TOTAL: 37.50		9.00		12.00		10.50		0.00		0.00		6.00	

08 Apr 2019		Cat	Hrs	Cat	Hrs	Cat	Hrs	Cat	Hrs	Cat	Hrs	Cat	Hrs
Mon (8th)		1	2.50	3	2.00								1.00
(Total: 5.50)													
hon-working (am)													
hon-working (pm)													
Tue (9th)		4	4.00	2	2.75								1.00
(Total: 7.75)													
hon-working (am)													
hon-working (pm)													
Wed (10th)		3	4.00	1	1.50								1.00
(Total: 8.50)				4	2.00								
hon-working (am)													
hon-working (pm)													
Thu (11th)		4	2.50	2	5.00								
(Total: 7.50)													
hon-working (am)													
hon-working (pm)													
Fri (12th)		1	1.75	2	4.00								1.00
(Total: 6.75)													
hon-working (am)													
hon-working (pm)													
TOTAL: 36.00		14.75		17.25		0.00		0.00		0.00		4.00	

15 Apr 2019		Cat	Hrs	Cat	Hrs	Cat	Hrs	Cat	Hrs	Cat	Hrs	Cat	Hrs
Mon (15th)		2	2.50	3	1.00	3	1.00						2.00
(Total: 6.50)													
hon-working (am)													
hon-working (pm)													
Tue (16th)		4	2.50	2	3.50								2.00
(Total: 8.00)													
hon-working (am)													
hon-working (pm)													
Wed (17th)		3	1.00	1	1.50	1	1.50						1.00
(Total: 7.00)						4	2.00						
hon-working (am)													
hon-working (pm)													
Thu (18th)		4	2.50	2	1.00	2	4.00						
(Total: 7.50)													
hon-working (am)													
hon-working (pm)													
Fri (19th)													
(Total: 0.00)													
hon-working (am)													
hon-working (pm)													
TOTAL: 29.00		8.50		7.00		8.50		0.00		0.00		5.00	

CORE / NON-FUNDED

CORE / NON-FUNDED

CORE / NON-FUNDED

Full Name
Joe Bloggs

Job Title
Project Officer

Employer
Carmarthenshire County Council

Employee Number
0123456

Other Ref

These details are accurate and I have not declared my work time to any other EU funded projects during April 2019

Signature

Date

Line Manager's Name
A N Other

Job Title
Project Manager

I am satisfied that the time and activity information is accurate.

Counter-signature

Date

22 Apr 2019		Cat	Hrs	Cat	Hrs	Cat	Hrs	Cat	Hrs	Cat	Hrs	Cat	Hrs
Mon (22nd)													
(Total: 0.00)													
<input type="checkbox"/> hon-working (am)													
<input type="checkbox"/> hon-working (pm)													
Tue (23rd)		4	2.50			1	3.25						2.00
(Total: 7.75)													
<input type="checkbox"/> hon-working (am)													
<input type="checkbox"/> hon-working (pm)													
Wed (24th)		5	2.00	1	1.50								2.00
(Total: 7.50)				5	2.00								
<input type="checkbox"/> hon-working (am)													
<input type="checkbox"/> hon-working (pm)													
Thu (25th)		4	2.50	2	5.00								
(Total: 7.50)													
<input type="checkbox"/> hon-working (am)													
<input type="checkbox"/> hon-working (pm)													
Fri (26th)		1	0.50	2	2.00	5	4.00						1.00
(Total: 7.50)													
<input type="checkbox"/> hon-working (am)													
<input type="checkbox"/> hon-working (pm)													
TOTAL: 30.25		7.50		10.50		7.25		0.00		0.00		0.00	5.00

29 Apr 2019		Cat	Hrs	Cat	Hrs	Cat	Hrs	Cat	Hrs	Cat	Hrs	Cat	Hrs
Mon (29th)		3	1.00	2	4.00	3	1.25						1.25
(Total: 7.50)													
<input type="checkbox"/> hon-working (am)													
<input type="checkbox"/> hon-working (pm)													
Tue (30th)		4	2.50	4	3.75								1.00
(Total: 7.25)													
<input type="checkbox"/> hon-working (am)													
<input type="checkbox"/> hon-working (pm)													
Wed (1st)													
(Total: 0.00)													
<input type="checkbox"/> hon-working (am)													
<input type="checkbox"/> hon-working (pm)													
Thu (2nd)													
(Total: 0.00)													
<input type="checkbox"/> hon-working (am)													
<input type="checkbox"/> hon-working (pm)													
Fri (3rd)													
(Total: 0.00)													
<input type="checkbox"/> hon-working (am)													
<input type="checkbox"/> hon-working (pm)													
TOTAL: 14.75		3.50		7.75		1.25		0.00		0.00		0.00	2.25

PROJECT TOTALS	29 %	43.25	37 %	54.50	19 %	27.50	0	0.00	0	0.00	0	0.00	15 %	22.25
		Project A		Project B		Project C		0		0		0		CORE / NON-FUNDED

MONTHLY TOTAL 147.50 hours

Category / code key:

#	Category	Hours
1	responding to enquiries (email / phone)	18.00
2	administration	43.25
3	attending / arranging meetings / seminars	13.25
4	financial - claims / budgets	37.25
5	promotion / marketing / publicity / web design	13.50
6	reports / research	0.00
7	staff management / managers meetings / appraisals	0.00
8	engagement	0.00
-	UNSPECIFIED	22.25
	TOTAL	147.50

Non-working days:

A	annual / flexi leave	0.00
B	bank holiday	2.00
C	sick leave	0.00
D	parental / unpaid leave (authorised)	0.00
E	maternity / paternity leave	0.00

Non-working days check:

Validated



The terms of your secondment are outlined below:

Commencement / Duration: The secondment will commence (insert date) and will continue until you are notified otherwise but no later than (insert anticipated project end date).

May I take this opportunity to wish you well in your new role.

Yours sincerely

(Signature)

(Print name)

(Title)

Volunteer declaration

I confirm that the above details are accurate and I have not declared my work time to any other grant funded projects for the dates/ times listed above.

Signature:

Job title / role

Date:

Counter Signature

Signature:

Name:

Job title / role:

Date:

APPROPRIATE FUNDER LOGOS HERE

Project Master file – Documentation checklist

PROJECT TITLE

DOCUMENTATION	REFERENCE	✓
General Project Information		
SECTION 1	PROJECT DEVELOPMENT	
Copy of PPF document		
Copy of Grant Application (authorised)		
Working Papers to Support Application		
Consents e.g. Planning, Building Regs		
Match Funding Documentation (securing funding)		
SECTION 2	FUNDING BODY APPROVAL PROCESS	
Grant Offer (Allocated or Unallocated)		
Copy of Grant Acceptance (Authorised)		
Grant Terms & Conditions		
Special Conditions & sign off from funding body		
Re-profiles/amendments to original offer		
Partnership/Service Level Agreements		
SECTION 3	PROJECT IMPLEMENTATION	
RECRUITMENT		
Organisational Chart		
Job Descriptions		
Job Adverts		
Job Selection/ Job Appointments/Contracts	Documentation held in HR	N/A
Starter Form, Change of Circumstance Forms, Termination Forms (if appropriate)	Documentation held in HR	N/A
Staff Movement Sheet	Summary detailing each post with start and end dates.	
PROCUREMENT - TENDERING		
Tender Advertisement		
Tender Documents		
Tender Report/Selection Criteria & Scoring		
Justification for Choice of Contractor		
Correspondence of Offer		
Correspondence of Acceptance		
Records of tenders invited/received		
Procurement - Frameworks		
Procurement - Quotes to support services/goods purchased		
SECTION 4	GRANT CLAIMS	
Copy of authorised Grant Claims		
Working Papers/reconciliations to financial ledger to support Grant Claim		
Supporting documentation <ul style="list-style-type: none"> • Creditor invoices - all original invoices are held centrally. Scanned invoices are made available via AGRESSO • Internal charges approved copies to be obtained via intranet. Supporting 	Where information is held electronically please place note on file where information is retained and how to access	

<p>documentation to support internal charges to be sourced from issuing department</p> <ul style="list-style-type: none"> • Timesheets (time recording) – must show 100% of officers activity allocated to projects/core. Signed by the employee and line manager • Travel claims – via Resourcelink and supported by receipts where applicable • Payroll Information – held electronically • Defrayment Information – held electronically • Volunteer Timesheets – signed by volunteer and authorised by approved officers 		
Income Receipts/Advice Notes & ledger print		
Progress Reports		
SECTION 5	PROJECT MONITORING	
Overall progress monitoring		
Budget Monitoring Returns		
Third Party Monitoring		
Match funding monitoring		
Meetings Agendas & minutes (date order)		
List of Outputs & any amendments (dated)		
Output Monitoring		
Output eligibility queries e.g. emails		
PI Framework / Indicator Evidence		
PI Return / Report		
SECTION 6	SUPPORTING DOCUMENTATION	
Authorised signatories register		
Documented procedures		
<ul style="list-style-type: none"> i) Creating an order, paying an invoice ii) Completing a grant claim 		
Asset Register for equipment purchases or property purchases	<ul style="list-style-type: none"> • <i>date of purchase of the Asset;</i> • <i>description of Asset;</i> • <i>price paid net recoverable VAT;</i> • <i>amount of Grant paid;</i> • <i>location of the title deeds;</i> • <i>serial or identification numbers;</i> • <i>location of the Asset;</i> • <i>date of disposal; and sale proceeds net of VAT</i> 	
State Aid compliant – copy of relevant state aid cover where applicable.		
SECTION 7	PUBLICITY	
Photographic evidence of project activity including photos of billboards and plaques with recognition of funding contribution and/or logo		
Press releases / leaflets / publications / radio adverts/transcripts - including funder acknowledgement	Correct use of funding body logo – colour, size and wording	
Screen print of website, incl evidence of logo.		

Funding body sign off (and EFT sign off where appropriate)		
SECTION 8	CORPORATE DOCUMENTATION	
Financial Procedure Rules	<i>Documentation held on Intranet</i>	N/A
Procurement – Quotation Procedure Rules	<i>Documentation held on Intranet</i>	N/A
Procurement – Contract Procedure Rules	<i>Documentation held on Intranet</i>	N/A
Recruitment & Selection Policy	<i>Documentation held on Intranet</i>	N/A
SECTION 9	EVALUATION	
Evaluation Report(s)		
SECTION 10	CLOSURE	
Project closure action plan (at least 6 months from end date)		
Document Retention Policy		

Project System & Processes - Assessment of the Control Environment

Project title	
Project reference (If applicable)	
Project manager	
Budget manager	
Department	
Funding body & programme	
Total project cost	
Grant awarded	
Grant rate	
Sources and amount of match funding	
Project duration	
Funding Claim Basis (Incurred/ defrayed or outcome based)	

Financial Ledger Details:

Capital	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Project code	
			Work order	
Revenue	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Cost Centre	
			Service Code	
			Job Code (if applicable)	

1. GENERAL

Please ensure that the following key policies and procedures along with terms and conditions of grant are adhered to in the development and delivery of the grant funded project.

- Grants Manual
- Procurement Rules
- Financial Procedure Rules
- Project Management Toolkit
- Integrated Impact Assessment

2. GRANT APPROVAL

Please detail the following in relation to grant application and approval process:

Who authorised the grant application?

Who signed the acceptance of grant within the Authority?

Do you have the approval letter on the project master file?

Are there any special conditions which form part of the terms and conditions of grant?

3. ROLE AND RESPONSIBILITIES OF THE AUTHORITY

- a) Is the project being delivered independently by the Authority?
- b) Is the Authority the lead partner on behalf of a wider partnership?
- c) Is the Authority a partner in a wider project?

If a partner, please specify who is the lead organisation

4. PARTNERSHIP AGREEMENTS

Please specify what arrangements have been agreed with the lead or partner organisations e.g. Partnership agreement or Service Level Agreement?

Please detail who has been involved in the development and approval of these arrangements.

5. STATE AID

Please document how you will comply with any state aid requirements

6. CLAIMS

Please document the claims process and key roles involved including how the following are met:

- (i) internal requirements e.g. reconciliation to the ledger
- (ii) terms and conditions of grant e.g. frequency of claims, use of approved templates etc.

What arrangements are in place for your claim to be appropriately authorised?
e.g. Head of Service/ finance signatory etc. Please detail:

What supporting information is retained to support transactions included in the claim? Please ensure these are retained in accordance with the funding body requirements.

6. MONITORING

- a) What arrangements are in place to monitor and minimise risk e.g.
- Total Project budget
 - Match funding
 - Partnership arrangements (where applicable)
 - Delivery risks
 - Delivery of 3rd party grants (where applicable)
 - Financial eligibility
 - Non-financial eligibility
 - Delivery of outputs/outcomes
 - Publicity requirements

- b) How is monitoring evidenced?

7. AUDIT ARRANGMENTS

- a) What are the audit requirements of the funding body? What arrangements are in place?

- b) When are claims to be audited and by whom? E.g. Wales Audit/Internal Audit. Please provide timescales.

8. THIRD PARTY GRANTS

What processes and procedures are in place to deliver the third party grants e.g. administration and application procedures

What processes and procedures are in place to determine eligibility under the funding body rules

What are the decision making arrangements and approval process?

What monitoring arrangements are in place?

9. DOCUMENT RETENTION

What are the requirements of the funding body in relation to document retention and what procedures are in place to meet these requirements?

10. PUBLICITY

What are the publicity requirements of the funding body and how are these being met?

Signed Project Manager

Date

Signed Head of Service

Date

Checklist of areas to be included in a Partnership Agreement

1. The parties of the agreement, i.e. the lead body and the partner(s);
2. The subject/ aim, duration, and nature of the agreement. i.e. partners as approved by the grant, as well as content of the partner's project (objectives, results to be achieved, eligibility period), reference to the Funding Agreement (partners should be provided with a copy of the Funding Agreement).
3. The budgetary allocations, based on the Funding Agreement and arrangements for any common 'shared costs';
4. Procedures and deadlines for payments to partners from the lead body, accounts to be used, exchange rate (if applicable), handling of generated revenues, de-commitment rules or spending plan for partner beneficiaries, based on the Funding Agreement/ Delivery Profile;
5. Partnership principles, mutual obligations and responsibilities for partners (e.g. timely information, reporting etc.), as well as their rights (e.g. for partners to receive payment in full, for the lead body not to accept expenditure declarations in specified circumstances).
6. Decision-making procedures (e.g. steering/ management group if any) and overall governance and management arrangements for the operation (lead body and partner tasks);
7. Reporting obligations and procedures for partner beneficiaries, including reporting deadlines reporting on outputs indicators as foreseen in the Business Plan, targets to be reached (e.g. milestones) and consequences for not reaching them;
8. Conditions for project changes, for budget changes and virement, deviation to approved activities, rights and procedures to terminate the partnership agreement, i.e. withdraw partners from the project;
9. Obligation to comply with the applicable eligibility rules and conditions of grant;
10. Key eligibility rules of particular relevance or high risk, for example, Procurement rules; State aid rules (e.g. de-minimis), VAT rules (e.g. exceptions).
11. Obligations and rights related to information and publicity, asset ownership arrangements, intellectual property rights;
12. Provisions on the required audit trail, such as the deadlines for keeping supporting documents after project closure;
13. Details of the internal controls that partners need to implement on their activities and expenditure. Details of checks to be undertaken by the lead body, specifying the rights and obligations of the lead body, partners, the funder and audit authorities;
14. Provisions on audit and verification of projects, including deadlines for making documents available to auditors and verification staff in order for them to be able to conclude their work on time;
15. Financial liabilities: consequences/ penalties in case of failures to deliver and in case of irregularities, recovery obligations and procedures, i.e. procedures for withdrawal and recovery of unduly paid amounts, deadlines for repaying funds. Liabilities for any flat-rate corrections applied to the operation due to systemic errors, which cannot be traced back to an individual partner beneficiary, or arrangements in case of suspension of payments. Liabilities to third parties;
16. Project closure arrangements, in particular financing for reporting activities after the eligibility period;
17. Rules for amendments to the partnership agreements.