



Cynllun Twf
Gogledd Cymru
North Wales
Growth Deal



North Wales Growth Deal

Financial Grant Claiming Process





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Growth Deal Grant Claiming Process

1. Purpose

- 1.1 Provide a consistent financial process for organisations reclaiming Growth Deal Funds. This guidance explains how to complete the required claim documentation and explains the evidence required to support a request for reimbursement.

2. Schedule of claims

- 2.1 The claiming cycle for the fund is detailed below. The claim submission dates will be 14th day of the month following the quarterly period end:

Expenditure Period	Submission dates	Submission details
May - July	14 th August	Claim form, signed declaration, invoices and bank-statements
August – October	14 th November	Claim form, signed declaration, invoices and bank-statements
November – February	14 th February	Claim form, signed declaration, invoices and bank-statements
February – March	<i>31st March</i>	<i>Email confirmation of any unclaimed expenditure as at 31st March</i>
February - April	14 th May	Claim form, signed declaration, invoices and bank-statements

- 2.2 Claims are expected to be submitted in line with the agreed schedule. As a rule, it will not be possible to extend the deadlines outlined above. Only in exceptional circumstances will requests to submit claims outside of the scheduled dates be considered. Any such request must be agreed in advance with the Programme Manager, including a clear explanation of the circumstances and a proposed revised submission date. Until written approval is provided, the original deadlines will remain in place.
- 2.3 In exceptional circumstances, it may also be possible to submit claims in advance of the scheduled deadlines. This must be discussed and agreed in advance with the Programme Manager, who will assess the justification and rationale for submitting a claim outside of the agreed schedule. *Examples of exceptional circumstances may include situations where limited cashflow could have a direct impact on the delivery or continuity of the project.*



3. Pre-Claim Submission Documents

- 3.1 The claiming process will commence once the funding agreement has been signed and accepted.
- 3.2 Recipients will be required to complete and return the below documentation prior to submitting the first claim. Claims will not be processed until the necessary documentation has been received:
 1. Match Funding Confirmation Letter
 2. Expenditure Profile
 3. Bacs Form
 4. Authorised Signatories Form

Match Funding Confirmation Letter Template:

- 3.3 Organisations declaring match funding from their own or other funding sources will be required to complete a Capital Match Funding confirmation letter. This should be submitted on letter headed paper, confirming the total amount and source of funding committed to the project and signed by a senior officer. See Template attached below.



Match Funding
confirmation letter.doc

Expenditure Profile Template:

- 3.4 An anticipated profile of expenditure is required at the outset. This will ensure appropriate funds are available and aid in identifying any delays to the project timeline. Claims will not be processed until a profile of spend has been received.



Expenditure Profile
Template.xlsx

Bacs Form Template:

- 3.5 To be completed to ensure the correct account details are held and to set up any new accounts. It is the organisations responsibility to inform the PMO of any changes.



Bacs form
~NWCJC.xls

Authorised Signatories Form Template:

- 3.6 The form below should detail who within your organisation is approved to submit claims. Only claim forms that are signed by an approved signatory will be processed.



Authorised
signatories.docx

4. Procurement:

4.1 All projects must ensure they are able to demonstrate Value for Money in line with the below procurement thresholds.

Contract Value (inc VAT)	Procurement Requirement
< £10,000	Direct award
£10,000 – £75,000	Minimum of three written quotations
> £75,000	Full competitive tender process

4.2 For all contracts awarded with a total value exceeding £75,000 inclusive of VAT, a Summary Evaluation Report must be prepared and submitted. This report should include the following elements:

- **Description of Goods/Services:** A concise overview of the goods or services procured.
- **Procurement Process Summary:** A brief outline of the procurement procedure followed, including key stages and decision points.
- **Evaluation Summary:** A summary of the evaluation criteria applied and the outcomes of the assessment process.
- **Award Recommendation:** A clear justification for the recommended supplier or contractor, based on the evaluation results.

4.3 All documentation relating to the procurement process must be retained and securely stored, as it may be subject to future audit or compliance review.

5. Claim Submission Documents

5.1 Requests for reimbursement of Growth Deal Funds will need to be submitted to the Portfolio Management Office (PMO) by the specified claim deadlines.

5.2 Projects must ensure completeness and accuracy of the claim. The claim must be signed by the appropriate authorised officer and submitted to the PMO in line with the agreed schedule of dates.

- 5.3 Incomplete claims will be returned with a request for resubmission. Failure to meet the claim resubmission deadline could result in the payment claim being held back until the next scheduled claim date.
- 5.4 In the spirit of collaboration, it is advisable that all claim-related queries should be raised before the relevant claim submission date.
- 5.5 All reimbursement request of Growth Deal Funds must include the below authorised documents:
- Expenditure Claim Form (customised and issued to organisation from PMO)
 - Claim Declaration (embedded)
 - Supporting Evidence (source document to support costs see section 8)
 - Procurement report
 - Monitoring report

6. Expenditure Claim Form Template

- 6.1 A claim form template will be issued once the Pre-Claim submission documents have been received. The claim form will be an excel document containing 4 tabs.
1. General project details
 2. Expenditure Claim
 3. Match Funding / Income Claim
 4. Audit Checklist
- 6.2 Projects must not change the format of the claim form. Please be aware the Claim Form contains formulas, therefore adapting the template may affect the formulas thus making the Claim Form open to errors.
- 6.3 Once you have received the claim form, please save the document in the specified format noted below. The date refers to the 'period end date' and the claim number should follow on from the previous submission.
- Project Title_OrganisationName_YY-MM-DD_ *Claim X*
- 6.4 Follow this format for each subsequent claim by resaving the last paid submission with the next period end date and claim number.

General Project Details tab

- 6.5 Projects will be required to verify the details contained on the 1st tab of the claim form, it provides details of the approved quarterly expenditure profile and claim submission schedule.

Expenditure Claim tab

- 6.6 The expenditure tab will need to be completed for each claim period. The first section of the expenditure tab will auto-populate based on the information from the General project details tab. The Project will need to enter the relevant claim period and claim number.



6.7 The Project will be required to record expenditure transactions with the details explained below:

Details of Expenditure	A brief description of the expenditure
Supplier	Name of the supplier
Invoice No.	Supplier invoice number / Project reference if internal costs
Invoice Date	Tax date noted on supplier invoice
Defrayed Date	Payment date as shown on the bank statement. Only payments made within the claim period or earlier should be claimed.
Net Amount	Value excluding VAT
VAT amount	VAT as detailed on invoice
Total invoiced amount	Total invoice value
Claimed Amount	Total claimed value. This may differ if you include any irrecoverable VAT or if only a proportion of the transaction is claimed.
Evidence to support claim	State the type of evidence submitted. i.e., invoice, receipt, valuation, bank statement.

6.8 An organisation is eligible to include VAT as part of their total project costs if the VAT is not reclaimable from the HMRC and a statement to that effect must be submitted by the organisation. **As noted in section 10.20 of the funding agreement**, in the event VAT is subsequently reclaimable from the HMRC, the organisation will be required to repay that element grant funding back.

Match Funding / Income Claim

6.9 This section will only need to be completed if there is Match Funding / Income to declare. The first section will auto-populate based on the information from the General project details tab and Expenditure Claim tab.

6.10 If applicable, complete all sections with the details explained below:

Details of Income / Match Funding Source	A brief description of the income source. Income claimed must be relevant to the project and not being used to fund any other project. (Clean Match/Not double funded)
Reference	A unique reference for the income. <ul style="list-style-type: none"> Eg. Qtr 2 WG Digital infrastructure funding
Date	Date the income received into Project's bank account. Date to match bank statement.
Net Value Gross Value	Value of income attributed to project.
Other Reference	Any other relevant details. This is for Project use to limit any queries upon processing. <ul style="list-style-type: none"> Eg. If expected source of income changes. State reason why?

Audit Checklist

6.11 The audit checklist tab provides details of the necessary audit documentation to be retained.



- 6.12 All claims will be paid retrospectively. It will be necessary to submit financial accounting records to evidence the expenditure and income included within the claim.
- 6.13 All claims for reimbursement must be accompanied with sufficient supporting evidence see section 8 for details.

7. Claim Declaration Template

- 7.1 The Project will also need to complete and submit a signed claim declaration to provide assurance that the relevant checks have been undertaken.

Project Title		This will be a drop down for you to select the project
Date		The completion date of the claim
Claim No.		Claim number submission
Claiming Period		Period of time (from - to) which the claim covers
Approved	A	Value as detailed in the Funding Agreement.
Balance available (b/f)	B	Total grant available not including this claim (previous balance to c/f)
This Claim	C	Total expenditure and income declared this claim
Balance to C/f	(B-C) D	Balance left to be carried forward to next submission

- 7.2 The declaration must be signed by an authorised officer and countersigned by a senior member of the organisations finance team. This should be returned to the PMO with the claim form along with the supporting evidence by the deadline stipulated in the claim schedule.



Claim
declaration.docx

8. Supporting Evidence

- 8.1 All claims must be accompanied by source documentation. This includes copy invoices, ledger reports and bank statements. Only expenditure supported by adequate evidence will be considered eligible for reimbursement.
- 8.2 Claims containing unsupported transactions may experience delays in processing and could be deferred until the subsequent claim period.

- 8.3 A comprehensive list of the required supporting evidence is available in the checklist tab of the claim form. Transactions should not be submitted for reimbursement until all necessary documentation is available.
- 8.4 We reserve the right to request additional documentation as deemed necessary, including but not limited to procurement records, employment contracts, payslips and timesheets.

9. Monitoring Report

- 9.1 Monitoring reports do not form part of this financial process but it is necessary to ensure that progress is communicated to the PMO on a regular basis.

10. Authorisation and Payment

- 10.1 The verification of any documents received will be reviewed and signed off within 2 weeks of receipt.
- 10.2 Any queries or requests for additional evidence will be sent by email to the agreed claims contact. A satisfactory response must be received within 5 working days to ensure that the grant claim can be processed. Any delays here may result in the claim being held back until the next claim period.
- 10.3 Once the verification is complete and agreed by the Programme manager, the claim will be passed for authorisation. The Project will be notified by e-mail that the claim has been processed. Payment should be received into your bank account within 10-15 working days.

11. On the spot review/ Audit review

- 11.1 **As stipulated in section 10.13.4 of the funding agreement**, during the life of the project and post project (up to 5 years after the last payment has been made), the PMO reserves the right to inspect both project records and assets. The PMO will give as much prior notice as possible, with the minimum notification period being 12 working days.
- 11.2 The Project will need to ensure that their arrangements are robust enough to facilitate any such review.
- 11.3 If after investigation the PMO is not satisfied with their findings they may request repayment of some or all the funding.
- 11.4 Projects should retain all original documentation and assets relating to the funding until written confirmation is received from the PMO that states it is safe to destroy and or dispose of them.