



Funded by
UK Government

SPFNW Claim process webinar

24 September 2024



Agenda

- Claim documents
- Grant claim form and common errors
- Overview of Progress report
- Claim deadlines and submissions
- Verification samples
- Change request
- Frequently asked questions
- Q&A



Claim Documents

- 1. Grant Claim Guidance document**
- 2. Annex 1: Suggested Evidence Requirements**
- 3. Claim Form Template (Expenditure/Achievements)**
- 4. Progress Report Template (Activity)**





Shared Prosperity Fund: North Wales - Grant Claim Form Guidance


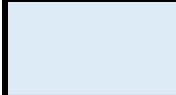

Introduction

- This claim form should be completed at the end of the claiming period and should only include approved expenditure.
- Claims should be submitted quarterly in line with the approved claim cycle dates, as specified within your grant funding agreement letter.
- Please check that the project details provided in the pale blue cells are correct and notify the Shared Prosperity Fund: North Wales team of any anomalies.
- The claim form template issued by the Shared Prosperity Fund: North Wales team should be used for every claim submitted throughout the project life span.
- **You are advised to save a copy of the template to complete and submit each quarter.**
- Please ensure that you scroll across and down each worksheet of the claim form

In addition to this claim form you must complete and submit a progress report. You are required to submit a progress report each quarter even if you are not submitting a financial claim. Failure to provide a progress report or submitting incomplete forms may result in the delayed payment of your claim. It may also trigger a targeted monitoring visit to your project.

How to complete the claim form

Specific sections of the claim are coloured.

	Please enter information in white coloured cells.
	Pale blue coloured cells contain values from Annex B of the project approved application form. A copy of the approved application form is included in the project Grant Funding Agreement.
	Grey coloured cells indicated pre-defined values or formulas. These cells are locked for editing.

How to submit the claim form

Email this Claim Form plus Progress Report to: sharedprosperitynorthwales@gwynedd.llyw.cymru

The file name for the claim form should include the 3-digit project reference number plus claim number. E.g. "001_Claim1"



Claim Declaration

Shared Prosperity Fund: North Wales - Claim Declaration

This grant claim form should be signed by a duly authorised officer.

Grant Recipient	Example 1				
Project Name	Arts Centre Gardens				
Project Reference Number	001	Project Start Date	01/06/2023	Project End Date	31/12/2024

Please specify the claim number, the claim period date range and if this is the final claim.	Claim Number	Claim Period From	Claim Period To	Final Claim
	2	01/09/2023	31/12/2023	No

You will need to fill in details for the Expenditure Claim Summary
 1) the total UKSPF expenditure and match funded expenditure previously claimed/reported
 2) the total UKSPF expenditure and match funded expenditure in this claim period. The total for this column should match the total sum of expenditure declared on the Expenditure Transaction List tab.

Expenditure Claim Summary		1)	2)		
Eligible Expenditure	Total approved expenditure as per Grant Funding Agreement	Total previous expenditure	Total expenditure this claim period as per Expenditure Transaction List tab	Total expenditure claimed to date (Not to exceed total approved expenditure)	Remaining expenditure (to be claimed in future claims)
Total Capital UKSPF grant amount	£ 376,000.00	£ 10,000.00	£ 10,000.00	£ 20,000.00	£ 356,000.00
Total Revenue UKSPF grant amount	£ 100,000.00	£ 3,000.00	£ 1,150.00	£ 4,150.00	£ 95,850.00
Total match grant amount: 10% of construction costs match funded	£ 37,600.00	£ 1,000.00	£ 597.00	£ 1,597.00	£ 36,003.00
Total Project Costs	£ 513,600.00	£ 14,000.00	£ 11,747.00	£ 25,747.00	£ 487,853.00

Ensure that dates are within the project **timeline**
 If it's a number format we can update this please submit **and we'll issue a new claim template for your next submission**

Match is not approved for all projects. Should you have match not approved that reduces the SPF required you will need to submit a change request.
 Totals should match the values on the expenditure list

Certificate of Authorised Signatory

I certify that, to the best of my knowledge and belief, the information contained in this claim, progress report and supporting document/s is true and accurate.

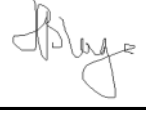
I certify that, none of the expenditure or match funding declared has been claimed or covered by other funding sources (double funded).

In signing this form, I also confirm that all assets purchased with UKSPF investment is still being used for the approved purpose and that it has not been transferred to another person / organisation or disposed of.

I confirm that all documents relating to the project will be kept for 10 years following final payment of grant and be available for any future audit purposes.

I have completed the procurement tab and retained the supporting documents

I have complied with the branding and publicity guidance and retained supporting evidence.

Name	J Blogs
Signed	
Position in Organisation	Project Manager
Date	05/01/2024

Must be signed by an Authorised signatory and authorised signatory must be included in the email submission

Delivery Plan and Milestones

Agreed Milestone or Workpackage	Start date	End date	Achieved to date? Yes or No	Revised Date(s)
Planning consents	01/06/2023	01/09/2023	YES	
Evaluation	01/09/2023	31/12/2024	NO	N/a
Clearing of site	01/10/2023	30/03/2024	NO	30/04/2024
Construction	01/04/2024	30/09/2024	NO	31/10/2024

Delivery Plan and Milestones

Comments
No tenders received for evaluation, this has been readvertised, due to close 15/01/2024
Slight delay in clearing site due to weather. Expect to complete a month later than originally planned. This will construction, enough contingency built in to complete within project timeframe

Expenditure Transaction List

Document reference ID number	Capital / Revenue	Cost Heading	Expenditure description	Name of Supplier / Creditor / Payee	Invoice number / Payee Reference	Invoice Date / Transaction Date	Transaction amount excl. VAT (Net Amount)	VAT	Total transaction amount (Gross)	Irrecoverable VAT amount	Total project claim amount	UKSPF Grant amount	Match Funding amount	Supporting comments or details of any assumptions relating to costs.	W3	W4
02-2023-12	Capital	Construction costs - contractor fees	Building costs - Phase 1	Contractor supplier name	INV 00001	03/10/2023	5,000.00	1,000.00	6,000.00	970.00	5,970.00	5,373.00	597.00	Only 3% of VAT is recoverable. 10% of costs are match funded	2,686.50	2,686.50
02-2023-12	Capital	Consultancy costs	Design fees	Consultancy supplier name	INV 12345	31/08/2023	4,627.33	-	4,627.33		4,627.33	4,627.33	-	Invoice received late, not included in previous claim.	2,313.67	2,313.66
02-2023-12	Revenue	Project delivery staff costs	Project Manager	J Blogs J0024	J0024	22/09/2023	1,000.00	-	1,000.00	-	1,000.00	1,000.00	-	Seconded to project from 03/09/23 0.5FTE	1,000.00	
02-2023-12	Revenue	Overheads - Accommodation	Overheads	Overheads	Sept overheads	30/09/2023	150.00		150.00		150.00	150.00	-			150.00
									-		-		-			
									-		-		-			
									-		-		-			
									-		-		-			
If required, insert more rows above this line																
										TOTAL UKSPF	CAPITAL	10,000.33		Using formulas so the totals don't add up when entered in the	5,000.17	5,000.16
										TOTAL UKSPF	REVENUE	1,150.00			1,000.00	150.00
												11,150.33			6,000.17	5,150.16

ANNEX B - PROJECT INFORMATION

SPF Financial Breakdown

For multi local authority projects, please allocate the relevant SPF amount per intervention per local authority area below.
 The total UKSPF grant amount allocated per Local Authority and intervention should match the intervention totals on the Expenditure Transaction List tab.

Conwy		UKSPF Capital Grant amount	UKSPF Revenue Grant amount
Investment Priority	Intervention	TOTAL	TOTAL
Communities & Place	W3 Creation of and improvements to local green spaces	£ 2,500.09	£ 500.00
Communities & Place	W4 Enhancing existing cultural, historic & heritage institutions offer	£ 2,500.08	£ 150.00
TOTAL		£ 5,000.17	£ 650.00

Ensure the figures are entered to 2 decimal places don't use formulas unless rounded to 2 decimal places

Denbighshire		UKSPF Capital Grant amount	UKSPF Revenue Grant amount
Investment Priority	Intervention	TOTAL	TOTAL
Communities & Place	W3 Creation of and improvements to local green spaces	£ 2,500.08	£ 500.00
Communities & Place	W4 Enhancing existing cultural, historic & heritage institutions offer	£ 2,500.08	£ -
TOTAL		£ 5,000.16	£ 500.00

TOTAL		UKSPF Capital Grant amount allocated per Local Authority	UKSPF Revenue Grant amount allocated per Local Authority	UKSPF Capital Grant amount noted on Expenditure Transaction List	UKSPF Revenue Grant amount noted on Expenditure Transaction List	Check this section is TRUE	
Investment Priority	Intervention	TOTAL	TOTAL	TOTAL	TOTAL		
Communities & Place	W3 Creation of and improvements to local green spaces	£ 5,000.17	£ 1,000.00	£ 5,000.17	£ 1,000.00	TRUE	TRUE
Communities & Place	W4 Enhancing existing cultural, historic & heritage institutions offer	£ 5,000.16	£ 150.00	£ 5,000.16	£ 150.00	TRUE	TRUE
TOTAL		£ 10,000.33	£ 1,150.00	£ 10,000.33	£ 1,150.00	TRUE	TRUE

If false review Expenditure Transaction List

Procurement

Procurement id	Description of works, supplies or services	Value of contract awarded	Contract award date	Organisation commissioned to deliver works, supplies or services.	How was the procurement exercise carried out? E.g. 3 quotes, full tender exercise, Sell 2 Wales portal	Please confirm that the procurement route you have undertaken meets the UKSPF Procurement, Public Contract Regulations 2015 and 2020 amendments.
1	Design consultants	£ 100,000.00	01/10/2023	Design consultant	Full tender on Sell2Wales	Yes
2						
3						
4						
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Risk Register

List of items	Risk status	Risk category	Threat / Opportunity	Risk / Opportunity	Detailed Description (There is a risk/opportunity that.....)	Risk / Opportunity Cause (The risk is caused by....)	Consequence of risk / opportunity (The impact of the threat will be....)	Likelihood	Impact	Risk Rating	Mitigation Strategy and actions	When the mitigation action has been / will be implemented	Post Mitigation Likelihood	Post Mitigation Impact	Post Mitigation Risk Assessment Rating
<i>Example</i>	<i>Open / Closed</i>	<i>e.g. Commercial / Technical / Operational etc</i>	<i>Threat or Opportunity</i>	<i>e.g. Cannot recruit staff</i>	<i>e.g. There is a risk that there will be delays in project commencement</i>	<i>e.g. The risk is caused by capacity constraints</i>	<i>e.g. The project would not be able to start on time.</i>	<i>1 - 5</i>	<i>1 - 5</i>	<i>1 - 25</i>	<i>1) Additional time has been built into the schedule 2) Look to use agency staff</i>	<i>1) June 23</i>	<i>1 - 5</i>	<i>1 - 5</i>	<i>1 - 25</i>
1	Closed	Commercial	Threat	Planning permission	Delay in planning permission approval	Project not starting on time	Project not completing on time	3	3	9	Additional time has been build in	01/07/2023	2	2	4
2	Open	Commercial	Threat	Cost increases	Cost increases	Insufficient funds for project	Unable to complete project	3	2	6	Contingency costs allowed for during tendering exercise	01/07/2023	2	2	4
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Shared Prosperity Fund: North Wales Progress Report

Mae'r ddogfen yma hefyd ar gael yn Gymraeg.

Grant Recipient

Lead Organisation Name			
Project Reference Number			
Project Name			
Claiming Period	From		To

1. Project Activity

Please provide a narrative update, summarising progress, and achievements during the claim period. This should include but not limited to progress against milestones, expenditure, recruitment, interventions outputs and outcomes.

**Reporting period date not matching the claim period date. Not signed by authorised signatory
Authorised signatory not included with the submitted email. Change to project personnel.**

The progress report should reflect the expenditure claimed within the claim form. The report should be signed by the Authorised signatory and included within the submitted email. If there are changes to the project personnel, a revised Annex 4 needs to be submitted.

Please provide as much information as possible so that we are aware of the progress of your project.

2. Publicity

Please inform us of any publicity activity undertaken during this claim period and any planned in the future

No information provided on any publicity activities within the claim period. No details of any upcoming events.

Publicity activities may include job advertisement/ beneficiary data forms/advertising via social media/events being held. This list is not exhaustive.

3. Special Conditions (inc. Condition Precedent)

Please provide a narrative update on any outstanding special conditions.

Please note grant payments will not be released until any condition precedent are satisfactorily met.

No narrative provided on how the Grant recipient has adhered with the special condition requirements.

If the terms and conditions of grant included any special conditions, it is a requirement to provide a statement and/or evidence of adhering to them. If not relevant to your project, please state N/A, but please check Annex 5 of your grant funding agreement first.

4. Project Evaluation

Please provide an update on progress of the project evaluation. E.g., drafting tender brief, consultant appointed, case studies.

No information provided on the evaluation process prepared for the project.

Details on how the evaluation will be procured, and timelines of the process and expected final evaluation should be provided. If you find difficulties in appointing an Evaluator, please contact your Local SPF Team.

5. Welsh Language

Please provide details of any activity undertaken to support the Welsh Language.

No details on how the project confirms to the Welsh Language requirements.

Details should be provided on what activities are being carried out to adhere to the Welsh Language requirements, as stated within your approved SPF application.

6. Equalities

Please provide details of any activity undertaken to support equalities.

No details on how the project confirms to Equality requirements.

Details should be provided on what activities are being carried out to adhere to the Equality requirements, as stated within your approved SPF application.

7. Net Zero

Please provide details of any activity undertaken to support Net Zero

No details on how the project confirms to Net Zero requirements.

Details should be provided on what activities are being carried out to adhere to the Net Zero requirements, as stated within your approved SPF application.

8. Subsidy Control

Please provide details of any 3rd party subsidies issued during the claim period.

If your project is providing subsidy to 3rd party, no information on the process has been provided.

Details should be provided on the process you have followed to ensure that the subsidy provided is within the relevant Subsidy regulations. If not relevant to your project, please state N/A

9. Issues arising

Please provide details of any issues you need to raise. This can include but is not limited to the delivery plan, claiming process, subsidy control.

You should state here any issues that may be raising a concern in the completion of your project.

If you have no issues arising, please state N/A or None

10. Forward Plan

Please provide details of the planned activity for the next period.

No details have been provided on what you expect to achieve during the next quarter.

We require details on what you expect to achieve during the next quarter of your project.

Use this section to explain your exit plan and legacy post funding.

11. Change Request

Please use this section to record any changes that have the potential to impact your project. Please confirm whether you consider this a significant change and if this has been discussed with the relevant local authorities. **Please refer to the Grant Claim Guidance for further details on the definition of a significant change**

Please state whether you anticipate a significant change:

Yes / No

If yes, please confirm whether you have discussed the potential changes with your local authority contact:

Yes / No

Please note here if you foresee any changes to your project that will require a change request. You will need to discuss this in the first instance with your Local SPF Team.

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Signed:			
Position:			
Contact Name:		Tel No.	

Please return completed form to the Shared Prosperity Fund North Wales Team:
SharedProsperityNorthWales@gwynedd.llyw.cymru

Claim deadline and Submissions

- Your **claim return dates** can be found on your Grant Offer Letter.
- We receive a high volume of claims every month, so it is important you adhere to your claim schedule. Any **late returns will delay payment being released**.
- **Submission dates are around the 14th of the month** following your period end date. Please email your progress report and claim form to:
ffyniantgyffredingogleddcymru@gwynedd.llyw.cymru
- Final claims will need to be submitted with a draft evaluation report. The cost of the evaluation must be incurred prior to the end date of your project. We will require a final version submitted by 28th February.



Verification Samples

- Each claim submission will be subject to a sample verification check.
- A sample maybe selected from:
 - Expenditure transaction list,**
 - Outputs achieved to date,**
 - Outcomes achieved to date**
 - Procurement undertaken**
 - Marketing activities**
- Details of the supporting evidence expected can be found in sections 30-32 of the guidance.
- You will be **notified of the sample** when we issue **confirmation that your claim payment** has been released.
- You will have **10 working days** to return the supporting evidence for the sample.
- **1 PDF document** should be returned to support a single sample.



Change Request

We're pleased to announce that the change request process for SPF projects in North Wales has now been extended to include provision to request an extension to a project's end date beyond 31 December 2024.

To maximise the possibility for projects to finish successfully; the six North Wales Councils have agreed to consider requests to extend project end dates from January to March 2025. Projects are expected to only request the minimum period required.

Requests to extend a project's end date will be considered on a case-by-case basis and only granted by exception where a clear case is presented that granting more time will mitigate the risk of underperformance (in terms of spend and/or results) or enable additional outputs / outcomes to be achieved.

Projects should only request the minimum time necessary and complete the new version of the form which is available on the website here: [Shared Prosperity Fund: North Wales - Change Requests \(sharedprosperitynorth.wales\)](https://sharedprosperitynorth.wales)



Recap

- Take some time to review the guidance document.
- Submit claims by your due date.
- Let us know of any issues or errors with any of the documents you receive.



Frequently asked questions:

Q Do we need to submit supporting evidence with the claim?

A No, you will only need to provide supporting evidence for a verification sample.

Q How do we make a change request?

A Discuss potential changes with your LA contact in the first instance. All changes will need to be submitted via your LA lead and approved on a case-by-case basis. See website for updated template.

Q Is the 20% virement based on the total project costs or individual budget line?

A 20% virement of an individual budget line

Q Do you need to keep an asset register for the grants given to 3rd parties?

A No need to include on the claim form but you will need to retain a record on their project file.

Q Can Egress be used for sending sensitive information?

A Yes, let us know what works best for you.

Q Do you require evidence to support overheads if using a flat rate % of spend?

A No, only require evidence to support the calculation if selected for verification.



Frequently asked questions:

Q Will project partner claims be required?

A Yes, any expenditure stated on the claim form will need to have the supporting evidence on file and provided if selected for review

Q Do we only submit a claim after the work has been completed?

A No, you can claim for any expenditure incurred throughout the quarter regardless of whether the work has been fully completed. You will need to demonstrate it has been paid if sampled.

Q What are the implications for underperformance?

A Any unexpected underperformance may cause a delay with processing your claim. Discuss any expected underspend or underperformance at the earliest opportunity with your local/multi LA contact.

Q Do evaluation reports need to be submitted bilingually?

A Yes, or at the very least the executive summary should be available in both Welsh and English.

Q What happens if several activities with a supplier, all being individually below the procurement threshold, but will take the spend over the threshold in total, say across several claim periods?

A If you are working with beneficiaries and you do not know what kind of support they will require, it will be difficult to procure for suppliers until you know what support they will actually need. In this instance, when we request details as part of the verification process, you will need to state why no procurement was carried out. What we don't want to see, is that you have artificially split the works to avoid procurement.



Frequently asked questions:

Q Verification samples for payroll costs, part of the evidence required are employment docs. If a previous sample required documents for one person, & then the person's costs are sampled again in another verification sample, do the employment documents need to be provided every time?

A No, if you have already provided the documents previously, provide details of when this information was submitted when you respond to the verification sampling.

Q Retention monies on infrastructure projects, it is normally a 12 month period from completion. This could take us over the project date. Can journaled funds to our consultancy department to cover the costs of retention be classed as defrayed?

A No, any retention not paid within the SPF project period cannot be classed as defrayed and claimed. You should pay for this out of your own funds or any match funding. If this is an issue for your project, get in touch with your Local SPF Team or us directly.

Q Do we need to list all procurement when we only needed 1 quote?

A No, only list when you are required to receive more than 1 quote.

Q&A

