



**NatureScot**  
Green Infrastructure



European Union



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**EUROPE & SCOTLAND**  
European Regional Development Fund  
Investing in a Smart, Sustainable and Inclusive Future

# Claims Guidance

Green Infrastructure Fund and  
Green Infrastructure Community  
Engagement Fund

July 2019

## Disclaimer

Applicants should be aware that as the Green Infrastructure Strategic Intervention is a new programme, the guidance will be reviewed as the programme evolves and therefore may be subject to change. The European Union and Scottish Ministers reserve the right to amend the National Rules and SNH reserves the right to amend the published guidance during the period of the programme. Decisions to fund Projects will be based on the availability of funding, how well the project matches the Green Infrastructure Strategic Intervention's priorities and its contribution to outcomes as part of the whole Strategic Intervention. These priorities may change during the course of the Strategic Intervention to take into account gaps in meeting priorities in previously funded Projects and not to fund at all. The Scottish Government reserves the right not to award any support at all under this programme.

## Version Control

Date	Issue	Status	Author	Authorised by
11/7/19	V1	Draft	EB	FS
12/7/19	V1	Final	LS	DP

# Contents

1. Introduction .....	3
2. Getting Started.....	3
3. Submitting a Claim.....	4
4. The Progress Report Form .....	8
5. The Claim Form .....	9
6. Claim Expenditure Evidence Requirements .....	11

## 1. Introduction

The purpose of this guidance is to provide an overview of the claims process and the roles of the Managing Authority, Lead Partner and Grantees.

### Who's Who & Other Terminology:

Managing Authority:	The Scottish Government, responsible for delivery of the ERDF Scottish Programme 2014 – 2020
Lead Partner:	Scottish Natural Heritage (SNH), responsible for delivery of the ERDF Green Infrastructure Strategic Intervention.
Grantee:	Your organisation, responsible for the delivery of your Project.
Senior Responsible Owner:	CEO or equivalent, required for signing off claims forms.
EUMIS:	The European Union's Management Information System (EUMIS), which is the Managing Authority's claims submission system which will be used by SNH, as the Lead Partner, to submit claims.

## 2. Getting Started

### Administrative Details

There is a significant administrative responsibility associated with ERDF funding. We strongly recommend that you become familiar with the claims evidence requirements well in advance of your project starting, so that a filing system and administrative structure is put in place from the outset to help you track and manage the evidence required for your project's activities and spend throughout the grant period. This will save you time and effort when it comes to submitting your quarterly reports and financial claims in particular, and ensure that claims are submitted with a clear file structure (please see Section 3 for an example of file naming conventions). This will prevent delays to your claim being processed or potential rejection of your claim.

We have included checklists and examples within this Guidance to assist you with the provision of procurement and other expenditure evidence.

### Bank Details

After Delivery Contracts have been signed and before we can make any payments, we will need a completed [Bank Detail Form](#) in order to make claim payments to you. You need to complete this document and return it to your Project & Funding Officer.

### Delivery Contract

Your Delivery Contract can only be signed once we have received final versions of all your application documents, major consents and completion documents, and confirmation of match funding. All mandatory conditions as per your Intention to Award Letter must also have been met. You will not be able to submit a claim until your Delivery Contract has been signed and you have been issued with your Approval to Start Letter. You will be required to

submit any outstanding pre-claims conditions with your first claim. Your Project and Funding Officer will help to guide you through this process.

### Audit Requirements

Your project can be subject to an audit by the Scottish Government's Audit Authority or the European Commission anytime between your start date and 31 December 2030 (N.B. EU exit does not affect this date). As such you are required to retain detailed records of all project documentation, suitable for local, national and EU audits up to 31 December 2030 or as otherwise directed. During any audit there must be someone available to show the auditor(s) all the relevant parts of the process and documentation, including physical and electronic copies. Please note an audit would focus on the project and its outputs / outcomes / claims and the systems you have in place to manage the compliance and monitoring of the GIF-funded project only, not your organisation as a whole. There will be no cost to you for an audit.

### Post- Completion Reporting

Once your project has finished, you will be required to submit a Final Report – a template for this will be provided to you.

Annual reporting on outcomes and results is also required until at least 2023. In some cases, annual reporting will be required beyond 2023 in order to demonstrate fully that outcomes have been achieved.

## **3. Submitting a Claim**

Claims are submitted via Objective Connect on a quarterly basis. Your Project and Funding Officer will keep you informed of any changes.

There are a standard set of required documents that comprise a quarterly claim, as below. You are free to include additional documents as long as they provide required, relevant evidence and follow the prescribed naming convention.

**Quarterly Progress Report:** see Section 4 below. The template is available for download on our website.

**Annex 1 – Completed Claim Form:** see Section 5 below. The template is available for download on our website.

**Annex 2 – Expenditure Evidence:** see Section 6 below.

### **Annex 3 - Match Funding Evidence**

We need to see an Offer Letter from each match funder specifically referencing the GI project and the precise amount it is awarding to the project for the specified project time period. **Please note:** your match funding confirmation letters must match (to the penny) the figure(s) agreed in your GI Delivery Contract. Failure to ensure this will mean it cannot be processed by EUMIS when it comes to making a claim.

In order to make your first claim you will need to have received and provided evidence of at least one element of your first match funding payment(s) into your bank account<sup>1</sup> (i.e. awarded and accepted). This evidence is supplied as part of your first claim.

#### **Annex 4 – Revised Financial Forecast**

This is a working project management document that shows how your spend profile has changed during the relevant delivery phase quarter of your project. This allows spend to be tracked and highlights where milestones and associated spend has changed. The template is available for download on our website.

In your first Claim, your Approved Expenditure is the expenditure approved in the financial Annex submitted with your application. Please ensure that your cost headings remain the same as in your application document.

For Claim 2 onwards, your Approved Expenditure becomes the previous claim's Reforecast Expenditure.

Please note that the Revised Financial Forecast file relies on formulae running through the tabs. Please do not add or delete rows or columns as this will void the formulae and therefore the outputs of the file. If there are not enough rows for your expenditure, please speak to your Project & Funding Officer directly in the first instance.

#### **Annex 5 - Updated Risk Register**

If there have been changes to any Risk in the Register, an updated copy must be submitted with your claim and an explanation provided in the Progress Report. Where there has been no change since the previous Quarter, please note this explicitly in the Progress Report. This is a working project management document.

#### **Annex 6 - Updated Milestone Monitoring**

You will need to show the progress of your milestones in in each claim quarter. You can do so using project plans or any other suitable way of presenting your project milestones that adequately shows project progress and risks, particularly due to slippage. Please discuss this with your Project & Funding Officer in advance of making your first claim.

If there have been significant changes to your Action Plan, an updated copy must be submitted with your claim and an explanation provided in the Progress Report. Where there has been no change since the previous Quarter, please note this explicitly in the Progress Report as well. This is a working project management document.

#### **Annex 7 - Updated Communication Plan**

If there have been significant changes to your Communications Plan, an updated copy must be submitted with your claim and an explanation provided in the Progress Report. Where

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<sup>1</sup> This is not necessary if the grantee is the sole match funder.

there has been no change since the previous Quarter, please note this explicitly in the Progress Report. This is a working project management document.

### **Annex 8 - Updated Community Engagement Plan**

If there have been significant changes to your Community Engagement Plan, an updated copy must be submitted with your claim and an explanation provided in the Progress Report. Where there has been no change since the previous Quarter, please note this explicitly in the Progress Report. This is a working project management document.

### **Annex 9 - Photographic Records**

Please provide photographic evidence of your project progress in a Word or other appropriate document. Please include context and reference to each photo, and specify whether photographic consents are (not) in place for those photographs containing members of the public. It is important that you also provide evidence of promotional materials that demonstrate compliance with the Communications Toolkit requirements.

### **Procurement Checklist**

For projects that have tendered for Procured expenditure, the Scottish Government's Procurement Checklist Aide Memoire **must** be completed and supplied for **each tender/contract awarded**. The template is available on our website.

In order to retain clarity and ease of reference, it is essential that a clear file naming convention is followed for each quarterly claim. Please use the following file naming convention:

*Claim Number - GIFAPP-000-00<sup>2</sup> – Grantee Name - Project Name – Quarter Calendar Year – Annex No – Annex Name – Date of Upload*

The following demonstrates the file and document naming conventions we expect to see for your submitted claim files on Objective Connect:

Claim 1 - GIAPP-123-01 - Grantee Name - Project Name - Q4 2017 - Annex 1 - Completed Claim Form - 01 January 2019
Claim 1 - GIAPP-123-01 - Grantee Name - Project Name - Q4 2017 - Annex 2 - Expenditure Evidence - 01 January 2019
Claim 1 - GIAPP-123-01 - Grantee Name - Project Name - Q4 2017 - Annex 3 - Match Funding Evidence - 01 January 2019
Claim 1 - GIAPP-123-01 - Grantee Name - Project Name - Q4 2017 - Annex 4 - Revised Financial Forecast - 01 January 2019
Claim 1 - GIAPP-123-01 - Grantee Name - Project Name - Q4 2017 - Annex 5 - Updated Risk Register - 01 January 2019
Claim 1 - GIAPP-123-01 - Grantee Name - Project Name - Q4 2017 - Annex 6 - Milestone Monitoring - 01 January 2019
Claim 1 - GIAPP-123-01 - Grantee Name - Project Name - Q4 2017 - Annex 7 - Updated Communications Plan - 01 January 2019
Claim 1 - GIAPP-123-01 - Grantee Name - Project Name - Q4 2017 - Annex 8 - Updated Community Engagement Plan - 01 January 2019
Claim 1 - GIAPP-123-01 - Grantee Name - Project Name - Q4 2017 - Annex 9 - Photographic Records - 01 January 2019
Claim 1 - GIAPP-123-01 - Grantee Name - Project Name - Q4 2017 - Procurement Checklist - 01 January 2019
Claim 1 - GIAPP-123-01 - Grantee Name - Project Name - Q4 2017 - Quarterly Progress Report - 01 January 2019

The following is a recommended file plan structure for your own internal project management that should help ensure that data and information is managed and stored for ease of access

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<sup>2</sup> This could be GIFAPP or GIAPP depending on which Round you were funded under.

and for claims and reporting. Not all files will be required for all projects and there may be additional ones required for your projects.

Management & Administration	
<b>Project Activity:</b>	<b>Management Structure:</b>
Application forms	Organisation chart (highlighting project personnel)
Offer letter & revised offer letters (if appropriate)	HR records
Project work plans	
Evidence of recruitment process, job descriptions, staff contracts, recruitment adverts with logo (if applicable)	<b>Valid insurance certificates:</b>
Evidence of community involvement and details of volunteers	Employer's liability
	Public liability
<b>Policy Documents:</b>	Buildings & contents
Equal opportunities	Originals wherever possible or copies signed as copy of the original
Fair employment	
Health & safety	<b>Minutes of Meetings / Reports:</b>
Document retention policy	Minutes of all meetings relating to the Project
Risk review	Minutes of partnership meetings (if applicable)
IT security system statement	Progress reports
	Case studies

Financial	
<b>Finance Reporting:</b>	<b>Staff Costs:</b>
Policies & Procedures	Payroll Records
Authorisation Limits / Delegated Authority	A Copy of Payslips (If Possible / Appropriate)
Management Accounts	BACS / Bank Statements
Financial Reports	Management Accounts
VAT Registration Details <sup>3</sup>	<b><i>Originals wherever possible or copies signed as a certified true copy of the original</i></b>
Evidence of Project Codes / Cost Centres	
Original Invoices & Receipts	<b>Site Investigation:</b>
	Specialist Reports
<b>Equipment / Machinery:</b>	Consultant Invoices
Asset Register	Environmental Impact Assessments (EIA)
Invoices (Originals)	
Receipts (Originals)	<b>Site Preparation / Building / Construction:</b>
Land acquisition:	Tender reports from operation QS
Land valuations	Valuations from contractor QS
Receipts for land on accounts summary	Payment records
	Contractor waste tipping notes (if appropriate)
<b>Depreciation:</b>	
Depreciation Policy	
Depreciation Methodology / Calculation	

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<sup>3</sup> You do not need to be VAT registered but either way we need to have a letter from HMRC or Accountants stating what your VAT Status is.



Delivery of Outputs & Results	
<b>Beneficiary Records:</b>	<b>Publicity:</b>
Performance indicators	All press cuttings / articles / brochures / leaflets / visual presentations etc relating to Operation
Monitoring spreadsheets	Pictures of Billboards
Activity reports	Stationery with Logos
Survey reports	
Before, during & after photographs for environmental works	<b>Horizontal Themes:</b>
Enhancements, land serviced	Details of themes covered
Spatial data	Annual sustainable development plan
	Green travel plan
<b>Procurement:</b>	Sustainable procurement plan
Procurement Policy	Sustainable buildings policy
Tenders and process	
Selection criteria / scoring sheets	<b>Equality &amp; diversity</b>
Quotes	Equal opportunities policy
OJEU Notices <sup>4</sup>	Annual equality action plan
Correspondence	Equality Impact Assessment

SNH will perform compliance checks on claims submitted by Grantees before submitting these to the Managing Authority via EUMIS. The Managing Authority will then carry out their own compliance checks.

Grantees will be informed of any errors, omissions or other issues raised by the compliance checks. These must then be resolved before the claim can proceed. These checks will also be subject to audit by the Scottish Government's Audit Authority and the European Court of Auditors.

Our checklists are designed to help Grantees ensure compliance and readiness for audit. The completed checklists may form part of the evidence base for audits.

Your expenditure must be defrayed before you can make a claim for it. We have set out a quarterly claim cycle so you will need to take these timescales into account when managing your project and organisational cash flow. Please remember that ERDF accounting cycle works on Calendar Years, **not** UK Financial Years.

## 4. The Progress Report Form

Your Progress Report is the narrative of your project throughout its lifetime, and accompanies each Claim Form. Any amendments made to your project during its implementation will be captured in your Progress Report, and should be accompanied by the updated supporting documents, i.e. financial annex or milestones, where these have

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<sup>4</sup> OJEU stands for the Official Journal of the European Union. This is the publication in which all tenders from the public sector which are valued above a certain financial threshold according to EU legislation must be published.

changed during that claim quarter. It is imperative that you are thorough and detailed in your completion of each Progress Report. Failure to do so will lead to delays in processing your claim. Progress reports must be submitted quarterly even if no financial claim is to be made for that quarter.

Any significant change(s) to your project will be carried out through our Change Request Process. The Change Request Guidance and Process document and the Change Request Form template are both available on the [Grantee Resources page](#) of our website. Please read the guidance carefully to ascertain what constitutes a formal Change Request. Please discuss any proposed major changes with your Project & Funding Officer in the first instance – do not wait until a progress report and claim is due.

There is no guarantee your Change Request will be accepted. Any changes need to be checked for ERDF eligibility and within the amount of funding we have available. Your Progress Report form will need to capture any change(s) along with your supporting documents (e.g. revised financial annex, activity plans, etc).

Please note that your Progress Report form MUST be signed and dated appropriately. We will accept electronic versions where a scan of the signature has been copy-pasted. Alternatively please print, sign and scan a pdf version alongside the Word version.

## 5. The Claim Form

Your claim form must be submitted to us with all the supporting evidence for each item, using the appropriate file naming conventions (as above). We have included an example claim form for a fictional project, including example evidence for both Staff and Procurement cost models. Please see ANNEX 1.

The claim form consists of three worksheets:

1. Non-Pay Expenditure (i.e. procurement)
2. Pay Expenditure (i.e. staffing)
3. Summary (Including Overhead)

Please find detailed guidance below for each field:

  = *Data Input Required.*

### Part 1/3 – Non-Pay Expenditure

Ref	Heading	Explanation
<b>A</b>	Grantee	Your name
<b>B</b>	Project Name	Your project's name
<b>C</b>	Project Reference	Your unique project reference number (e.g. GIFAPP-123-01)
<b>D</b>	Claim Reference	This is the claim number (e.g. 1 or 2 etc)
<b>E</b>	Period Ending	Refers to the calendar-year quarter end date (e.g. 30 June 2019)
<b>F</b>	Cost Model	Refers to Cost Model being applied. Use drop down box.

<b>G</b>	Grantee	See (A)
<b>H</b>	Project Reference	See (C)
<b>I</b>	Supporting Documentation Reference	Write on top right hand corner of the supporting document: Project Ref / 1....2....3.....4 etc
<b>J</b>	Transaction Date	Invoice / Certificate Date
<b>K</b>	Supplier	Supplier / Contractor Name
<b>L</b>	Transaction Description	Succinct description of work / goods and purpose
<b>M</b>	Net	Net value of goods / works / services per Invoice / Certificate
<b>N</b>	VAT	Input VAT charged on (M)
<b>O</b>	Gross	Contains Formulae – Protected Cell
<b>P</b>	ERDF Eligible	Please enter gross value as per (O) if applicable
<b>Q</b>	ERDF Ineligible	Contains Formulae – Protected Cell
<b>R</b>	Total	Contains Formulae – Protected Cell
<b>S</b>	Defrayed Date	Please enter the date the Invoice / Certificate payment left the Grantee's bank account
<b>T</b>	ERDF Eligible Claim (40%) OR Approved Rate	Contains Formulae – Protected Cell.
<b>U</b>	Match Funding	Contains Formulae – Protected Cell.
<b>V</b>	Milestone	Milestone Name to which the expenditure relates
<b>W</b>	ERDF Heading	Select From List
<b>X</b>	Match Funder	Please add name of Match Funding source
<b>Y</b>	Signature	Signature of the person completing the claim
<b>Z</b>	Approval Signature	Signature of Senior Responsible Owner for Project (or person with delegated financial authority). This cannot be the person completing the claim.

### Part 2/3 – Pay Expenditure

Ref	Heading	Explanation
<b>A</b>	Grantee	Contains Formulae – Protected Cell. Copies from the first sheet.
<b>B</b>	Project Name	Contains Formulae – Protected Cell. Copies from the first sheet.
<b>C</b>	Project Reference	Contains Formulae – Protected Cell. Copies from the first sheet.
<b>D</b>	Claim Reference	Contains Formulae – Protected Cell. Copies from the first sheet.
<b>E</b>	Period Ending	Contains Formulae – Protected Cell. Copies from the first sheet.
<b>F</b>	Cost Model	Contains Formulae – Protected Cell. Copies from the first sheet.
<b>G</b>	Grantee	See (A). Copies from the first sheet.
<b>H</b>	Project Reference	See (C). Copies from the first sheet.
<b>I</b>	Supporting Documentation Reference	Write on top right hand corner of the supporting document: Project Ref / 1....2....3.....4 etc.
<b>J</b>	Transaction Date	Payroll Date (Please enter the pay period end date)
<b>K</b>	Job Title	Job Title of allocated job role
<b>L</b>	Staff Name	Name of employee.

<b>M</b>	Gross	Please enter Gross Pay for the month for each staff member
<b>N</b>	Sick Pay	Please enter any ineligible Sick Pay as negative values
<b>O</b>	Pension Er's	Please enter Employer's Pension contributions
<b>P</b>	NIC Er's	Please enter Employer's NI contributions
<b>Q</b>	Total	Contains Formulae – Protected Cell
<b>R</b>	ERDF Eligible	Contains Formulae – Protected Cell
<b>S</b>	ERDF Ineligible	Contains Formulae – Protected Cell
<b>T</b>	Total	Contains Formulae – Protected Cell
<b>U</b>	Defrayed Date	Please enter the date the salary left the Grantee's bank account
<b>V</b>	ERDF Eligible Claim	Contains Formulae – Protected Cell
<b>W</b>	Match Funding	Contains Formulae – Protected Cell
<b>X</b>	≥40% Allocated	Evidence per National Rules. Enter "Y" / "N".
<b>Y</b>	Milestone	Milestone Name to which the expenditure relates
<b>Z</b>	ERDF Heading	Select From List
<b>AA</b>	Match Funder	Please add name of Match Funding source
<b>AB</b>	Signature	Signature of the person completing the claim
<b>AC</b>	Approval Signature	Signature of Senior Responsible Owner for Project (or person with delegated financial authority). This cannot be the person completing the claim.

### Part 3/3 – Summary (Including 15% Flat Rate)

The Summary is populated by formulae. Please double check the figures to ensure accuracy as this will highlight any input errors in the previous two sheets.

Ref	Heading	Explanation
<b>A</b>	Signature	Signature of the person completing the claim
<b>B</b>	Approval Signature	Signature of Senior Responsible Owner for Project

If you intend to claim for VAT, please note that you will need to supply an additional letter from your Finance Department or Accountant to explain why you are claiming for irrecoverable VAT. This is not the same as the VAT Registration Details letter that we request separately.

It is imperative that each claim form is signed off by the Senior Responsible Owner (or person with delegated financial authority) of the project, as well as by the person appointed to compile the claim itself (usually the Project Manager). Please note that your Claim Form MUST be signed and dated appropriately on all three tabs. We will accept electronic versions where a scan of the signature has been copy-pasted. Alternatively please print, sign and scan a pdf version alongside the Word version. Otherwise please send both the signed PDF version of the Claim Form and the Excel version of the Claim Form via Objective Connect.

## 6. Claim Expenditure Evidence Requirements

Please ensure that for both Cost Models you refer to the most recent [National Rules](#) to ensure Eligibility of Expenditure.

With your first claim, please provide a system transaction report which shows all the transactions charged to our ERDF project so far which should also show a **unique internal project reference**.

Below is a checklist of evidence requirements for each cost model and various expenditure lines:

**Claims Evidence Checklist**

CHECK	TYPE OF EVIDENCE
<b>Staff Costs</b>	<ul style="list-style-type: none"> <li>- Complete and Sign Off the Claim Form;</li> <li>- Provide Finance System Report showing Payroll Transactions charged to the assigned Project Code including Gross Pay + Employer's National Insurance &amp; Pension Contributions;</li> <li>- Payroll Record for the post concerned;</li> <li>- Payslip or software-generated report as agreed with Project &amp; Funding Officer / Finance &amp; Audit Manager;</li> <li>- Payroll BACS Report which contains the Staff Member's Net Pay for that period;</li> <li>- Bank Statement which shows the Total of the Payroll BACS leaving the Grantee's Bank Account;</li> <li>- Evidence that Match Funding has been awarded and accepted;</li> <li>- Appointment or reassignment letter;</li> <li>- Job Description;</li> <li>- If Dedicated to Project Above 40% but less than 100% - Require Managing Authority Timesheet.</li> </ul>
<b>Plant &amp; Machinery / Equipment</b>	<ul style="list-style-type: none"> <li>- Asset Register</li> <li>- Invoices</li> <li>- Bank Statements</li> <li>- Management Accounts</li> <li>- Receipts</li> </ul>

<b>Depreciation</b>	<ul style="list-style-type: none"> <li>- Depreciation Policy</li> <li>- Asset Register</li> </ul>
<b>Land Acquisition</b>	<ul style="list-style-type: none"> <li>- Independent Land Valuation</li> <li>- Purchase Details / Payment</li> </ul>
<b>Site Investigation</b>	<ul style="list-style-type: none"> <li>- Specialist Report</li> <li>- Consultant Invoices</li> <li>- Environmental Impact Assessment</li> </ul>
<b>Site Preparation / Building &amp; Construction</b>	<ul style="list-style-type: none"> <li>- Tender Report – Project QS</li> <li>- Valuation Applications – Project QS</li> <li>- Valuation Reports</li> <li>- Payments – Bank Statements</li> <li>- Waste Disposal Documentation</li> </ul>
<b>Others – Consumables, Consultancy Fees</b>	<ul style="list-style-type: none"> <li>- Invoices</li> <li>- Bank Statements</li> </ul>
<b>Revenue / Income – Followed Delivery Contract conditions?</b>	<ul style="list-style-type: none"> <li>- Sources of Revenue / Income</li> <li>- Sale of Project Assets</li> <li>- Sale of Products / Services</li> <li>- Management Accounts</li> <li>- Bank Statements</li> </ul>
<b>Publicity – Has the Operation fulfilled its commitment to publicise EU contribution to this Operation as stated in the Delivery Contract?</b>	<ul style="list-style-type: none"> <li>- Plaques on Buildings</li> <li>- Logos on Stationary, Website</li> <li>- Logos on Advertising &amp; Promotional -material such as brochures, flyers &amp; billboards</li> <li>- Funding Acknowledged in Press Briefings</li> </ul>
<b>Procurement – Where applicable, are public procurement, EU procurement rules and regulations being followed,</b>	<ul style="list-style-type: none"> <li>- Completed and signed-off Claim Form, to be completed by the relevant Grantee project manager or finance officer, and authorised by a Senior Responsible Owner;</li> </ul>

<p><b>including the Treaty of Rome<sup>5</sup> Principles?</b></p>	<ul style="list-style-type: none"> <li>- Finance system reports showing procured transactions charged to the assigned Project Code;</li> <li>- Supplier Record from the Payables Ledger;</li> <li>- A copy of the Invoice showing Net, VAT, Total, Invoice Date, Description of Goods / Services provided;</li> <li>- Supplier BACS Report which contains the Supplier Invoice being paid;</li> <li>- Bank Statement which shows the Total of the Supplier BACS leaving the Grantee's bank account;</li> <li>- Evidence that Match Funding has been awarded and accepted;</li> <li>- Completed Managing Authority Procurement Checklist;</li> <li>- Provide evidence of quotes from suppliers. This should be at least 3 quotes.</li> <li>- Copy of Organisation's Procurement Policy.</li> </ul>
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## **Changes in Staff during Project Delivery**

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<sup>5</sup> The Treaty on the Functioning of the European Union applies to all procurement activity regardless of value, including contracts below the thresholds at which advertising in the Official Journal of the European Union is required and including contracts which are exempt from application of the EU Procurement Directives. Fundamental principles flowing from the Treaty include:

- Transparency - contract procedures must be transparent and contract opportunities should generally be publicised
- Equal treatment and non-discrimination - potential suppliers must be treated equally
- Proportionality - procurement procedures and decisions must be proportionate
- Mutual recognition - giving equal validity to qualifications and standards from other Member States, where appropriate

It may be the case that new staff join during the project life-cycle of a project to replace a member of staff who is working on your ERDF-funded project and leaves to pursue other roles, or where temporary replacement must be sought, e.g. during long-term sick leave.

In these events, the claim evidence you will need to provide for the new member of staff must include:

- Roles and Responsibilities
- Job Description
- Assignment Letter
- % of role time
- Revised Financial Annex
- Change Request (if required) – Please refer to the Change Process Guidance (available on the [Grantee Resources page](#) of our website).
- Narrative explanation of the staff change in your Progress Report
- Accompanying updates to your financial reforecast and any other relevant project document (e.g. Risk Register, Milestones etc).

### **Procurement Background**

It is your responsibility to ensure that your procurement process complies with the requirements of ERDF funding. Further information regarding procurement can be found in [the National Rules](#), in particular Section 1.8.

It must also meet the European Union Directives, Scottish public sector legislation and the regulatory framework and your organisational internal procedures and policy regarding procurement in force at the time of tender, and as such you are required to follow procurement principles (Open or Restricted tender or suitable Framework Agreement) for all elements of the work including the provision of works, materials and/or services. Procured contracts below the EU thresholds (details of thresholds can be seen here: <https://www.ojeu.eu/thresholds.aspx>) must ensure that they are advertised and are fairly and equally treated.

Using another public body to do the work is acceptable as long as the competition was held in a fair and competitive manner such as obtaining quotes and delivery of elements by the Grantee is acceptable as long as all work is again tendered in a fair and open manner using fully costed market rates. However, please note that an organisation carrying out internal invoicing / charging to the project is not acceptable and constitutes ineligible expenditure.

### **Procurement Evidence**

If a procurement procedure has been carried out under national law, the auditors will require certain documentation to demonstrate that the procedure was carried out in compliance with the national requirements. You should ensure that all supporting documentation in support of the procurement process followed is available and submitted with your claim. Please use the Managing Authority's Procurement Checklist to do so if applicable (see below). A [template](#) is available for download on our website.

Please note that if your tender process is electronic, during any audit there must be someone available to show the auditor(s) all the relevant parts of the process and documentation.



Please refer to the Scottish Government website for further guidance:

<http://www.gov.scot/Topics/Business-Industry/support/17404/EuropeanStructuralFunds/ProgrammeDocumentation/Publicprocurementguidance>

<http://www.gov.scot/Topics/Government/Procurement>,

<https://www.procurementjourney.scot/>

### **Procurement Non-Compliance**

The following EC documents provide an explanation of the consequences of a procurement that is not compliant.

- COMMISSION DECISION of 19.12.2013 on the setting out and approval of the guidelines for determining financial corrections to be made by the Commission to expenditure financed by the Union under shared management, for non-compliance with the rules on public procurement.

[http://ec.europa.eu/regional\\_policy/sources/docoffic/cocof/2013/cocof\\_13\\_9527\\_en.pdf](http://ec.europa.eu/regional_policy/sources/docoffic/cocof/2013/cocof_13_9527_en.pdf)

- Guidelines for determining financial corrections to be made to expenditure financed by the Union under shared management, for non-compliance with the rules on public procurement.

[http://ec.europa.eu/regional\\_policy/sources/docoffic/cocof/2013/cocof\\_13\\_9527\\_annexe\\_en.pdf](http://ec.europa.eu/regional_policy/sources/docoffic/cocof/2013/cocof_13_9527_annexe_en.pdf)

If you have any questions relating to this please let us know and we can forward these on to the Managing Authority on your behalf.

# ANNEX 1 - Claim Form with Example Data



**Green Infrastructure (GI) Fund**

Claim Form

EUMIS Reference: **0000**

a Grantee: **Green Infrastructure Fund**

b Project Name: **Example 1**

c Project Reference: **GICEFAPP-01**

d Claim Reference: **01**

e Period Ending: **30-Jun-19**

f Cost Model: **Procurement**

**Part 1/3 - Non Staff**

						m		n		o		p		q		r		s		t		u		v		w		x	
						Invoice Value		ERDF		ERDF		Total		40%		60%													
						Net		Gross		Eligible		Ineligible		Total		ERDF		Match		Eligible Claim		Funding							
g	h	i	j	k	l	£'s	£'s	£'s	£'s	£'s	£'s	£'s	£'s	£'s	£'s	£'s	£'s	£'s	£'s	£'s	£'s	£'s	Milestone	ERDF Heading	Match Funder				
1	Green Infrastructure Fund	GICEFAPP-01	1A	30/04/2019	SWECO	100,000.00	20,000.00	120,000.00	100,000.00	20,000.00	120,000.00	16/06/2019	40,000.00	60,000.00	M3	Main Contract Works	SUSTRANS												
2	Green Infrastructure Fund	GICEFAPP-01	1B	20/05/2019	ABC Engineering	50,000.00	10,000.00	60,000.00	50,000.00	10,000.00	60,000.00	16/06/2019	20,000.00	30,000.00	M6	Main Contract Works	City Deal												
3						-	-	-	-	-	-		-	-															
4						-	-	-	-	-	-		-	-															
5						-	-	-	-	-	-		-	-															
<b>Totals</b>						<b>150,000.00</b>	<b>30,000.00</b>	<b>180,000.00</b>	<b>150,000.00</b>	<b>30,000.00</b>	<b>180,000.00</b>		<b>60,000.00</b>	<b>90,000.00</b>															

y Signature..... z Approval Signature.....

Print Name..... Print Name.....

Date..... Date.....

**Compliance Declaration**

By signing this claim form you declaring that all expenditure listed within it complies to the Delivery Contract conditions, which includes compliance with the National Rules for ERDF funding.

Procurement

**Green Infrastructure (GI) Fund**

Claim Form

EUMIS Reference: **0000**

a Grantee: **Green Infrastructure Fund**

b Project Name: **Example 1**

c Project Reference: **GICEFAPP-01**

d Claim Reference: **01**

e Period Ending: **30-Jun-19**

f Cost Model: **Direct Staff Cost + Flat Rate**      **15%**



						m	n	o	p	q	r	s	t	u	v	w			y	z	aa
						Gross	Less Sick Pay	Pension On-Cost	NIC On-Cost	Total	ERDF Eligible	ERDF Ineligible	Total	Deftayed	ERDF Eligible Claim	Match Funding	Minimum 40% Allocated	Milestone	ERDF Heading	Match Funder	
g	h	i	j	k	l	£'s	£'s	£'s	£'s	£'s	£'s	£'s	£'s	£'s	£'s	£'s	£'s	£'s	£'s	£'s	£'s
Grantee	Project Ref	Supp Doc Ref	Transaction Date	Job Title	Staff Name								Date								
1	Green Infrastructure Fund	GICEFAPP-01	1C	31/05/2019	Project Manager	D Peacock	2,750.00	(200.00)	500.00	350.00	3,400.00	3,400.00	31/05/2019	3,400.00	1,360.00	2,040.00	Y	M1	Direct Staff Costs	City Deal	
2	Green Infrastructure Fund	GICEFAPP-01	1D	30/06/2019	Project Finance Officer	L Scott	3,000.00	-	800.00	450.00	4,050.00	4,050.00	28/06/2019	4,050.00	1,620.00	2,430.00	Y	M1	Direct Staff Costs	City Deal	
3																	Y		Direct Staff Costs		
4																	Y		Direct Staff Costs		
5																	Y		Direct Staff Costs		
6																	Y		Direct Staff Costs		
7																	Y		Direct Staff Costs		
8																	Y		Direct Staff Costs		
9																	Y		Direct Staff Costs		
10																	Y		Direct Staff Costs		
11																	Y		Direct Staff Costs		
12																	Y		Direct Staff Costs		
13																	Y		Direct Staff Costs		
14																	Y		Direct Staff Costs		
15																	Y		Direct Staff Costs		
16																	Y		Direct Staff Costs		
17																	Y		Direct Staff Costs		
18																	Y		Direct Staff Costs		
19																	Y		Direct Staff Costs		
20																	Y		Direct Staff Costs		
<b>Totals</b>						<b>5,750.00</b>	<b>(200.00)</b>	<b>1,100.00</b>	<b>800.00</b>	<b>7,450.00</b>	<b>7,450.00</b>	<b>-</b>	<b>7,450.00</b>	<b>-</b>	<b>2,980.00</b>	<b>4,470.00</b>					

a b Signature.....

a c Approval Signature.....

Print Name.....

Date.....

Compliance Declaration

By signing this claim form you are declaring that all expenditure listed within it complies to the Delivery Contract conditions, which includes compliance with the National Rules for ERDF funding.

**Green Infrastructure (GI) Fund**

**Claim Form**

EUMIS Reference: 0000

Grantee: Green Infrastructure Fund

Project Name: Example 1

Project Reference: GICEFAPP-01

Claim Reference: 01

Period Ending: 30-Jun-19

Cost Model (1): Procurement

Cost Model (2): Direct Staff Cost + Flat Rate 15%



**Part 3/3 - Claim Summary**

Heading	Eligible Expenditure £'s	Grant Intervention Rate %	Grant to Claim £'s	Match Funding £'s
1 Non Pay	150,000.00	40.0%	60,000.00	90,000.00
2 Pay	7,450.00	40.0%	2,980.00	4,470.00
3 Total	<u>157,450.00</u>		<u>62,980.00</u>	<u>94,470.00</u>
Check				

4 Overheads	1,117.50	40.0%	447.00	670.50
5 Grand Total	<u>158,567.50</u>		<u>63,427.00</u>	<u>95,140.50</u>

a Signature..... b Approval Signature.....

Print Name..... Print Name.....

Date..... Date.....

**Compliance Declaration**

By signing this claim form you declaring that all expenditure listed within it complies to the Delivery Contract conditions, which includes compliance with the National Rules for ERDF funding.

Published: July 2019

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**NatureScot**  
Green Infrastructure