

These procedures form part of the Council's Financial Regulations

Contents

Section 1 - External Funding Flowchart - guidance as to which procedures should be followed

Section 2 - Roles and Responsibilities – Submission Stage

Section 3 - Roles and Responsibilities – Approval Stage

Section 4 - Roles and Responsibilities – Implementation Stage

Section 5 - Roles and Responsibilities – Completion Stage

Section 6 – Suggested monitoring for DLT's

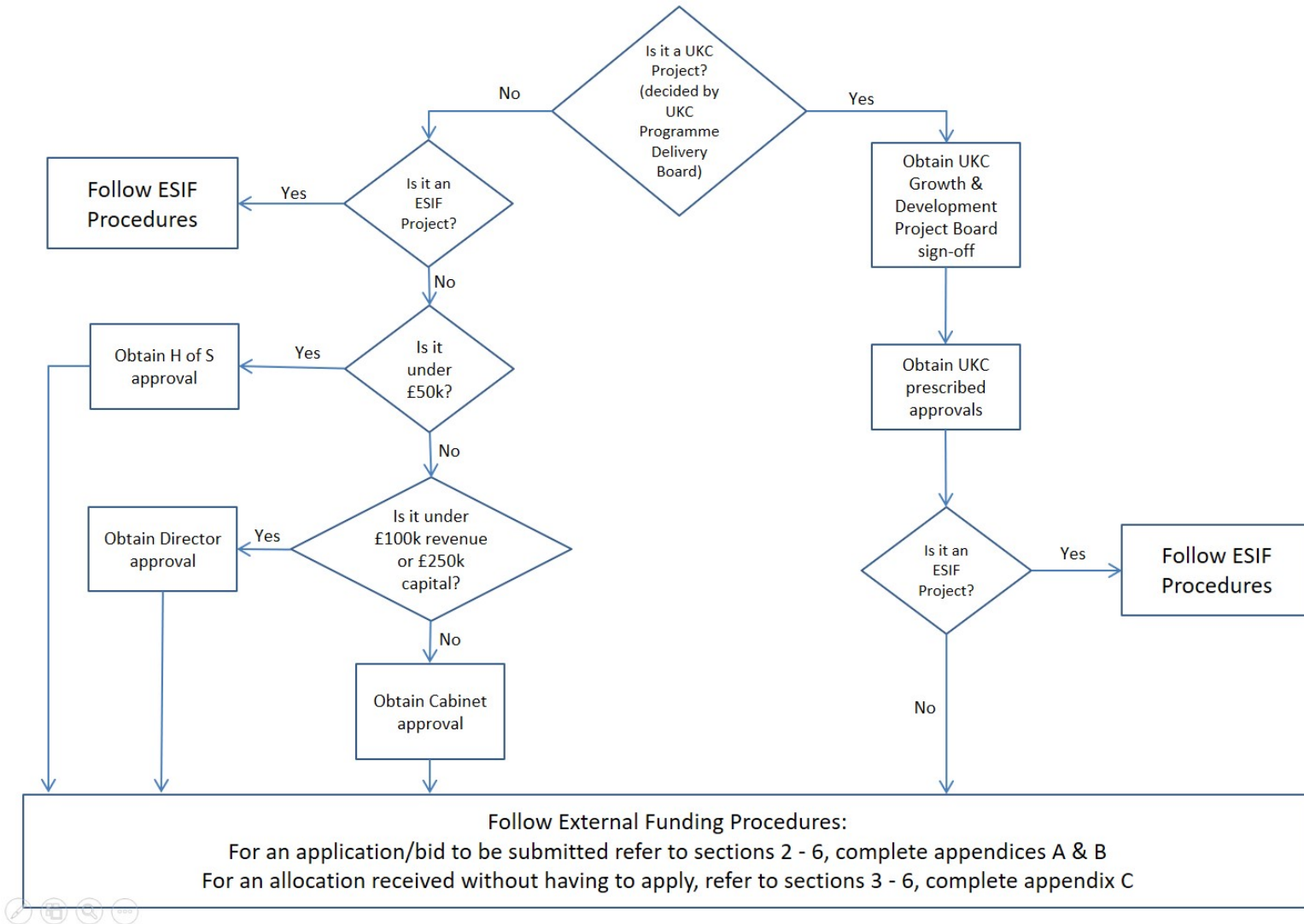
Appendix A - Bid Assessment Form for External Funding

Appendix B - Grants Project Consent Checklist: Applications

Appendix C - Grants Project Consent Checklist: Allocations

Section 1

Procedures for Externally Funded Projects



Section 2

Roles and Responsibilities – Submission Stage

REQUIREMENTS	SPONSOR DIRECTORATE	FINANCIAL OPERATIONS (Directorate Finance Manager and their teams)
<ul style="list-style-type: none">• BAF• COMPLETED APPLICATION FORM & ACCOMPANYING BUDGETS / SUPPORTING EVIDENCE• APPROVAL REPORT – DLT / CLT / CABINET	<ul style="list-style-type: none">▪ Obtain DLT / CLT / Cabinet approval (dependent on value and Council virement rules)▪ Nominate Project Manager▪ Develop project budget▪ Set up a meeting with Directorate Finance Officer to agree project costs▪ Complete Application Form, BAF and collate supporting evidence (as required by funder)▪ Obtain BAF sign-off by DLT (This may be completed in stages).	<ul style="list-style-type: none">▪ Directorate Finance Team Officer to review costs and budgets.▪ Directorate Finance Manager to approve final cost for submission with application and sign off BAF.

Section 3

Roles and Responsibilities – Approval Stage

REQUIREMENTS	SPONSOR DIRECTORATE (nominated Project Manager)	FINANCIAL OPERATIONS (Directorate Finance Manager and their teams)
<ul style="list-style-type: none"> • APPROVAL LETTER • PROJECT CONSENT CHECKLIST • FINANCE MEETING WITH PROJECT MANAGER 	<ul style="list-style-type: none"> ▪ Forward outcome of bid and any correspondence including offer letter to Directorate Finance Officer. ▪ Review offer for accuracy ▪ Review original project to take account of any changes that may have occurred e.g. timescales or budget ▪ Review and address any pre-contract conditions ▪ Review contract and identify contract conditions ▪ Address any outstanding issues from submission stage ▪ Carry out project risk assessment 	<ul style="list-style-type: none"> ▪ Directorate Finance Team review and check offer letter ▪ Directorate Finance Officer to complete Project Consent Checklist and ensure any outstanding issues have been resolved ▪ Carry out finance project risk assessment. ▪ Authorised Finance Manager to sign off Project Consent Checklist. ▪ Directorate Finance Officer to set up finance codes in general ledger and budgets. ▪ Directorate Finance Team update Grants Register with on-going information

Section 4

Roles and Responsibilities – Implementation Stage

REQUIREMENTS	SPONSOR DIRECTORATE (nominated Project Manager)	FINANCIAL OPERATIONS (Directorate Finance Manager and their teams)
<ul style="list-style-type: none"> • CLAIM COMPLETION • BUDGET MANAGEMENT • DELIVER OUTPUTS • MEET MILESTONES • MANAGE RISK 	<ul style="list-style-type: none"> ▪ Operational management of project, including staff management, contract management and budget management ▪ Ensure timely claim completion ▪ Review and verify completed claim and sign-off Claim Checklist ▪ Send completed claims and Claims Checklist to relevant finance team for checking ▪ Submit signed-off claims to funder ▪ Monitor spend through ORACLE ▪ Ensure project budgets are accurately profiled ▪ Complete all monitoring reports ▪ Create an auditable monitoring trail of all outputs and financial information ▪ Project Manager attendance at all audits 	<ul style="list-style-type: none"> ▪ Directorate Finance Officer to support project manager in monitoring spend. ▪ Directorate Finance Officer to check, verify and reconcile claims prior to submission. ▪ Directorate Finance Officer complete finance section of claim checklist and obtain sign off from Authorised Finance Signatory. ▪ Directorate Finance Manager to update DLTs on financial position of the project as part of the regular financial monitoring reports to DLT ▪ Directorate Finance Team to update their Grants Register with on-going information if appropriate. ▪ Directorate Finance Team provide support for Internal / External Audits of the grant when required

Section 5

Roles and Responsibilities – Completion Stage

REQUIREMENTS	SPONSOR DIRECTORATE (nominated Project Manager)	FINANCIAL OPERATIONS (Directorate Finance Manager and their teams)
<ul style="list-style-type: none">• LESSONS LEARNED REPORT• PROJECT EVALUATION / PROJECT CLOSURE REPORT	<ul style="list-style-type: none">▪ Project Manager to report back to DLT▪ Project Manager to report back to funder as per contract conditions▪ Project Manager to ensure required audit trail is complete, in place and appropriately archived in line with funder requirements	<ul style="list-style-type: none">▪ Directorate Finance Team to update their Grants Register as appropriate▪ Directorate Finance Team to provide support at Project Closure Audits if required.

Section 6

Suggested Financial Monitoring for DLTs

DLT's receive monthly A3 summaries now with financial information on them so these will need to include a Grants financial summary if deemed appropriate outside the main financial forecasting section – Directorate Finance Manager to agree approach with the relevant DLT in terms of what detail they want to receive, depending on the value of the project.

Appendix A

BID ASSESSMENT FORM FOR EXTERNAL FUNDING

The purpose of this document is to capture a brief description of your proposed project and obtain DLT approval.

This form must be completed by the officer responsible for submitting the bid for all applications for external funding over £10k to secure official authorisation for the project to take place.

Please contact your Service Finance Team for help and advice on budgets and costings at the earliest opportunity. Budgets need to be approved prior to submission.

Name of Project	
Project Officer	
Project Officer Contact Phone Number	
Project Officer e-mail address	
Directorate	
Approving DLT Member	
Funding Body	
Funding stream	
Funding Body Deadline for submission	
Capital and/or Revenue	
Total Project Cost £	
Grant Funding £	
Match Funding £	
SMBC £ (Cost centre must be identified)	
Other £ (Please state)	
Project Start Date	
Project End Date	

All the following documents must be attached to the Bid Assessment Form. Bids cannot be checked if any items are missing. If any items are not applicable to your project please state why.

	Documents Required	Attached (Yes/No/N/A)
1	Funding Body Application Form *	
2	Funding Body Guidelines *	
3	DLT Member Approval *	
4	Cabinet Report for projects over £100,000 Revenue Cabinet Report for projects over £250,000 Capital (If there are any revenue implications or match funding Cabinet approval is required for any amount)	
5	Full project budget checked and approved by Accountancy *	
6	Future revenue cost implications approved by Accountancy *	
7	Match Funding Offer Letters	
8	Budget Holder approval for SMBC Match Funding	
	* Mandatory attachments	

Appendix B

Grants Project Consent Checklist: Applications

To be completed by the officer responsible for the bid in conjunction with Finance.

Project Name:			
Project Manager:		Value of Grant:	
Funding Body:		Funding Period:	
Date Received:		Date Returned:	
Deadline:			

No.	Question	Yes/No	Comments/Actions
	Documentation Required		
1.	Are the following documents attached and signed off by the appropriate officers: <ul style="list-style-type: none"> ▪ Bid Assessment Form ▪ Application Form 		
2.	Has an issues log been completed with all issues resolved?		
3.	Has Cabinet Approval been obtained (Over £100k revenue, £250k capital)?		
4.	Has all required match funding been identified and can this be verified through paperwork, such as confirmation from the budget manager or from a third party?		
	Offer Letter Checks		
1.	Are there any differences between the original application and the offer letter in relation to the funding available?		<<If there are changes you should contact the budget manager and Senior Accountant to confirm the changes in the funding available and re-align the budget accordingly>>
2.	Are the costs in the application still accurate and realistic?		<<Action as above>>
3.	Are there any changes to the timescales since the original application?		<<If there are changes you should contact the budget manager and Senior Accountant to confirm the outcomes are still achievable in the timescale. If not, the budget manager must liaise with the Funding Body>>
4.	Are there any changes to the expected outputs since the original application?		<<Action as above>>

5.	Does the grant require internal or external audit certification?		<<If the grant requires audit certification a budget must be identified to cover the cost of the audit. For internal audit certification you should inform Corporate Finance immediately>>
6.	Has any spend been incurred prior to the date of the offer letter?		<<If spend has been incurred you must identify if it is eligible against the grant. If the spend is not eligible a budget must be identified to cover the costs>>
	Approvals		
	Have the following approvals been confirmed following the receipt and review of the offer letter and grant conditions:		<<The project manager and/or Finance Manager may need to report back to DLT and/or Cabinet where there have been significant changes to the original application>>
	Project Manager		
	Finance Manager		

Offer Letter and Grant Conditions

Please enter all relevant financial grant conditions that need to be considered prior to the grant offer being accepted by the Authority, such as ring fencing of funding, claim requirements, auditor certification, and carry forward restrictions in line with section 151 responsibilities and Audit Commission best practice.

No.	Condition	Yes/No	Comments/Actions
<i>E.G</i>	<i>The date(s) for the claim(s) to be submitted to the funding body</i>		
1.			
2.			
3.			
4.			
5.			

Project Authorisation

Checked By:		Date:	
	<<Finance Officer>>		
Authorised By:		Date:	
	<<Section 151 Officer or designated signatory>>		

Finance Team Actions

No.	Action	Yes/No	Comments
1.	Send a signed copy of the offer letter and project consent checklist to the following officers: <ul style="list-style-type: none">▪ Project Manager▪ External Funding Team Officer		
2.	Arrange project manager set up meeting within 30 days of the grant being accepted.		
3.	Arrange for a new cost centre to be requested if required – complete the online request form. For capital also ask the manager to complete a Capital Update Form.		
4.	Ensure details of the grant are added to: <ul style="list-style-type: none">▪ Grants Register for your team▪ Monthly Monitoring▪ Central schedule of return dates▪ Corporate Finance informed of any audit requirements		

Appendix C

Grants Project Consent Checklist: Allocations

To be completed by the officer responsible for the bid in conjunction with Finance for any allocations received over £10,000 and/or with conditions.

Project Name:			
Project Manager:		Value of Grant:	
Funding Body:		Funding Period:	
Date Received:		Date Returned:	
Deadline:			

No.	Question	Yes/No	Comments/Actions
1.	Has a Budget Holder been identified?		
2.	Has Cabinet Approval been obtained (Over £100k revenue, £250k capital)?		
3.	Has all required match funding been identified and can this be verified through paperwork, such as confirmation from the budget manager or from a third party?		
4.	Has a planned programme of spend been developed and is this achievable within the timescales? <<Budgets to be uploaded on this basis>>		
5.	Does the grant require internal or external audit certification?		
6.	Has any spend been incurred prior to the date of the offer letter?		

Offer Letter and Grant Conditions

Please enter all relevant financial grant conditions that need to be considered prior to the grant offer being accepted by the Authority, such as ring fencing of funding, claim requirements, auditor certification, and carry forward restrictions in line with section 151 responsibilities and Audit Commission best practice.

No.	Condition	Yes/No	Comments/Actions
<i>E.G</i>	<i>The date(s) for the claim(s) to be submitted to the funding body</i>		
1.			
2.			
3.			
4.			
5.			

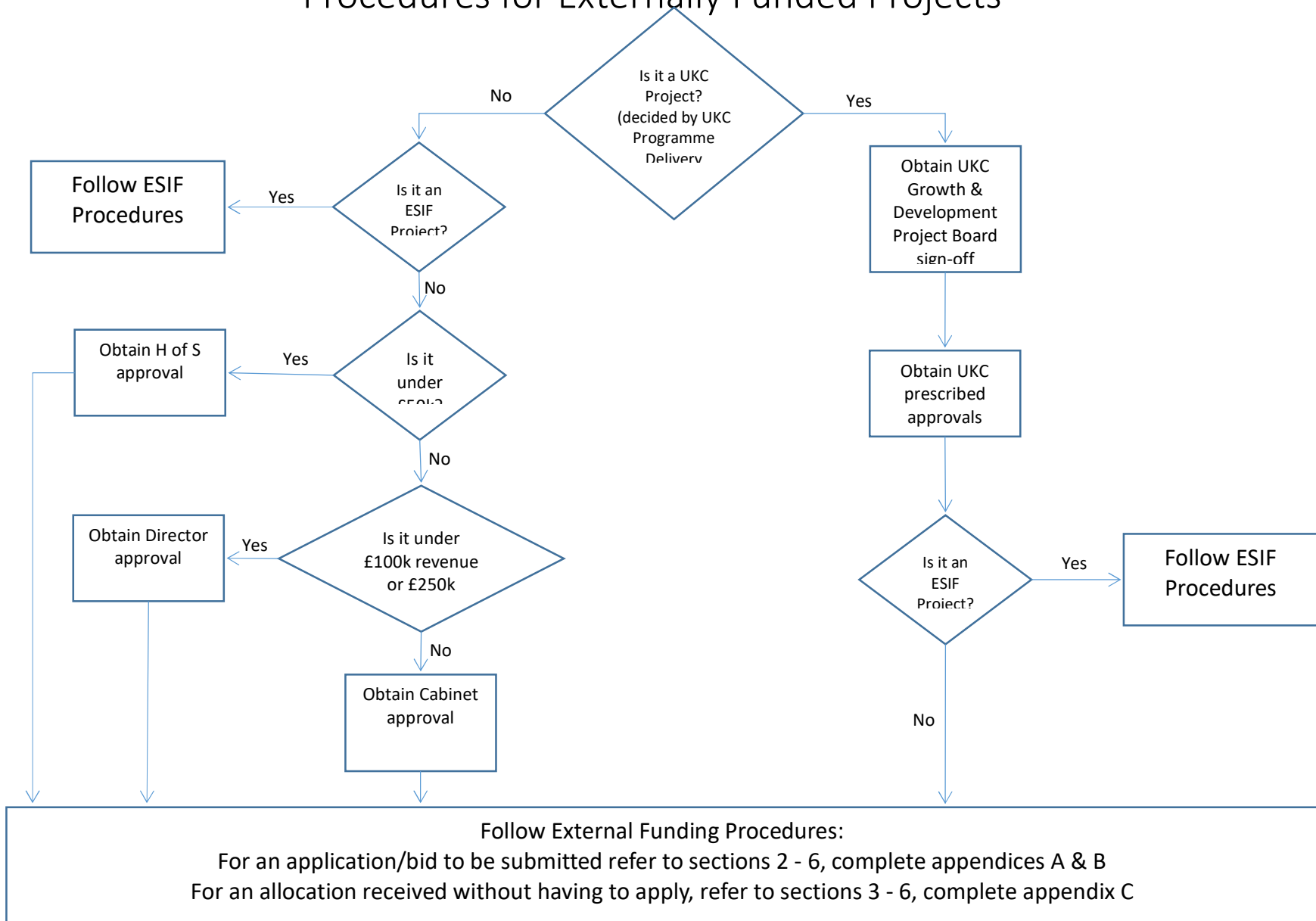
Project Authorisation

Checked By:	<<Finance Service Team Representative>>	Date:	
Authorised By:	<<Section 151 Officer or designated signatory>>	Date:	

Finance Team Actions

No.	Action	Yes/No	Comments
1.	Send a signed copy of the offer letter and project consent checklist to the following officers: <ul style="list-style-type: none"> ▪ Project Manager ▪ External Funding Team Officer 		
2.	Arrange project manager set up meeting within 30 days of the grant being accepted.		
3.	Arrange for a new cost centre to be requested if required – complete the online request form. For capital also ask the manager to complete a Capital Update Form.		
4.	Ensure details of the grant are added to: <ul style="list-style-type: none"> ▪ Grants Register for your team ▪ Monthly Monitoring ▪ Central schedule of return dates ▪ Corporate Finance informed of any audit requirements 		

Procedures for Externally Funded Projects



Follow External Funding Procedures:
 For an application/bid to be submitted refer to sections 2 - 6, complete appendices A & B
 For an allocation received without having to apply, refer to sections 3 - 6, complete appendix C