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Low Carbon Travel & Transport Challenge Fund

8. Claims process and reporting requirements

Round 3



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Disclaimer

Grantees should be aware that as the Low Carbon Travel and Transport Challenge Fund (LCTT Challenge Fund) is a developing 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 Transport Scotland reserves the right to amend the published guidance during the period of the programme.

Version Control				
Date	Issue	Status	Author	Authorised by
16/10/2019	V3	FINAL	Energy Saving Trust	Transport Scotland

Background

Transport Scotland has been awarded funding under the European Regional Development Fund (ERDF) 2014-2020 programme to deliver a Low Carbon Travel and Transport (LCTT) Programme.

As part of the ERDF programme, Transport Scotland has committed to running a LCTT Challenge Fund and has appointed Energy Saving Trust to deliver this.

About this document

This document provides an overview of the claims process and reporting requirements to be adhered to by Grantees of the LCTT Challenge Fund.

This document is one of four documents that form a suite of guidance available to Grantees. The full suite can be downloaded from [the Energy Saving Trust website](#).

- 6. Audit and compliance guidance – Round 3**
- 7. Communications and publicity guidance – Round 3**
- 8. Claims process and reporting requirements – Round 3 (*this document*)**
- 9. Evaluation guidance – Round 3**

For any questions please contact the Energy Saving Trust LCTT Challenge Fund project team: LCTT@est.org.uk / 0131 555 8691.

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1 Introduction

This document provides an overview for Grantees of the claims process and reporting requirements for the Low Carbon Travel and Transport (LCTT) Challenge Fund. It includes an explanation of how to complete the claim form, timeframes for claims, and checklists to support Grantees to ensure all claims are compliant. It also provides detail on reporting requirements and templates for these reports, as well as guidance on how to manage changes to projects.

2 Claims process

Claims are to be submitted to Energy Saving Trust (Challenge Fund Administrators) on a quarterly basis. Energy Saving Trust will perform compliance checks on all material before providing a consolidated claims report to Transport Scotland (Lead Partner) for final approval. All material will also be subject to audit by the Scottish Government's Managing Authority and Audit Authority and the European Court of Auditors. The checklists included in this guidance are designed to ensure all claims are compliant and ready for audit.

Grantees must ensure from the outset that robust and suitable systems and processes are in place to maintain adequate audit trails and manage information efficiently and effectively. This information will not only need to be summarised and presented with the claim, but also made available for on the spot verifications and audits throughout the delivery and post completion under the retention of document requirements. For more on this see *Audit and compliance guidance – Round 3*.

2.1 General principles

All preconditions stated in the Grant Offer Letter must be met prior to the first payment of ERDF grant funding.

Claims are to be submitted in arrears on a quarterly basis and only eligible expenditure defrayed (incurred and paid) by the end of that period can be included in the claim for reimbursement. Preparatory work can be considered as eligible costs as long as it falls under section 4.1.2 of the [National Rules on eligibility of expenditure](#) on Pre-Contract and Contract Implementation Costs. For pre-contract works that meet the criteria under section 4.1.2 to be considered, they must be ERDF compliant (see section 6 of the [LCTT Challenge Fund - Guidance for Applicants - Round 3](#)), they must be included in the project application and they must be accompanied with the appropriate evidence. The start date of the programme is 1 January 2014. Feasibility studies are not eligible under this rule.

In an event where no expenditure has been defrayed during the quarter, Grantees must still submit a quarterly progress report.

ERDF grant and Transport Scotland match funding payments are calculated as percentage contribution rates against the declared expenditures reported within the claim.

Grantees must notify Energy Saving Trust promptly if at any time they become aware that they are unable to make a claim in accordance with the outlined timescales or in accordance with the expenditure profile.

The Grantee must ensure that all supporting documentation is kept and made available alongside the claim, as set out in *Audit and compliance guidance – Round 3*.

The claim will only be processed once Energy Saving Trust and Transport Scotland are satisfied that all information is present and complete and complies with the terms and conditions of the Grant Offer Letter and the [ESIF National Rules on Eligibility of Expenditure](#).

10 per cent of the final Grant payment shall be retained and will not be released for payment until the Grantee has provided a Final Project Report to be submitted by the Grantee within 30 days following completion of the Project.

2.2 Timeframes

Claims are to be produced quarterly in arrears.

The quarterly claim instalment periods for the LCTT Challenge Fund are as follows:

Period	Expenditure incurred and defrayed
Quarter 1 2020-21	GOL date – 30 June 2020
Quarter 2 2020-21	1 July 2020 – 30 September 2020
Quarter 3 2020-21	1 October 2020 – 31 December 2020
Quarter 4 2020-21	1 January 2021 – 31 March 2021
Quarter 1 2021-22	1 April 2021 – 30 June 2021
Quarter 2 2021-22	1 July 2021 – 30 September 2021
Quarter 3 2021-22	1 October 2021 – 31 December 2021
Quarter 4 2021-22	1 January 2022 – 31 March 2022
Quarter 1 2022-23	1 April 2022 – 30 June 2022
Quarter 2 2022-23	1 July 2022 – end of project delivery, i.e. 30 September 2022
Quarter 3 2022-23	Only expenditure defrayed between 1 October and 31 December 2022, but INCURRED BEFORE OR ON 30 September 2022.

Claims are to be submitted within 20 working days, at the latest, following the end of the quarterly claim instalment period. Grant payment will normally be met within 40 working days from receipt of a complete claim.

A claim is only considered complete when the claim form has been correctly populated, signed and submitted and when the Energy Saving Trust and Transport Scotland are satisfied that the associated evidence demonstrates the presence of a complete audit trail. Until this is provided, payments cannot be processed.

2.3 Claim documentation

Claims must include:

- Completed claim form in excel and signed PDF format;
- Appropriate supporting evidence, as described in the Claim Evidence Checklist (Annexe 1).

Claims must be emailed to LCTT@est.org.uk within 20 working days following the end of the quarter. The claim form must be submitted both as an excel document and as a PDF that has been signed and scanned by the project owner. Supporting evidence documents should be clearly titled and cross-referenced to match the descriptions provided in the claim form.

2.3.1 Claim form

The claim form is an excel document that can be downloaded from [the Energy Saving Trust website](#).

The claim form is made up of three sheets:

- A guidance sheet with instructions to fill in the form correctly;
- The claim form to be filled out by the Grantee;
- An index of associated evidence to be filled out by the Grantee, listing all the documents attached to the claim and their correlation.

The layout of this form must not be amended or changed in any way except for inserting additional lines / rows within the table. When new lines are inserted into the table please ensure that the formulas calculating the sub total and total values are updated and correct. New, separate sheets can be added to accommodate further explanatory notes or calculations (e.g. if apportionments are applied) supporting the information included in the claim form sheet.

Please note that:

- All expenditure to be claimed for must fall within the agreed scope of the project activities and within the agreed expenditure categories defined in the Financial Plan.
- All expenditure must conform to all respects of the eligibility criteria as set out in the National Rules and must not have been incurred before the Date of the Grant Award or after 30 September 2022.
- All apportionment methodologies for shared costs must be agreed in writing before these can be included within the grant claim.
- All expenditure declared within the claim must be defrayed by the end date of the quarter.

2.3.2 Supporting evidence

Supporting evidence is required for each item of expenditure being claimed for and the match funding that relates to each claim. Details of appropriate supporting evidence are provided in Annexe 1.

The principle is that for each claim item a complete audit trail (from procurement – or recruitment in the case of staff costs – to defrayal) must be evidenced.

You will be required to assign a unique reference number to each claim item, as described in the claim form guidance sheet. In order to identify which documents refer to which claim item, you will be required to label and annotate the documents with the relevant reference number.

It is essential that all amounts stated in the claim are easily identifiable in the associated evidence. If the amount that is being claimed for results from a calculation, this calculation needs to be explicitly annotated on the evidence provided. The Energy Saving Trust nor Transport Scotland will assume how the calculation was made.

All supporting evidence will have to be listed in the index of associated evidence sheet in the claim form and the correlations amongst documents must be described.

2.4 Financial year-end process

To allow the Scottish Government to accurately accrue expenditure at the end of the financial year, Grantees will need to provide an estimate of the expenditure that will be claimed for the last quarter of the financial year.

The estimate that relates to Quarter 4 2020-21 (1 January – 31 March 2021) must be provided by Wednesday, 14 April 2021 and estimates related to Quarter 4 2021-22 (1 January – 31 March 2022) must be submitted by Thursday, 14 April 2022.

Additionally, as required in the Grant Offer Letters, Grantees must, within one month following the end of each financial year in respect of which the Grant has been paid, submit to the Scottish Ministers a statement of compliance with the Conditions of the Grant using the template provided in Annexe 2. The statement shall be signed by the Grantee's Director of Finance or equivalent.

3 Progress reporting requirements

3.1 Quarterly progress report

A narrative report providing a clear description of the projects' progress, both physically and financially, and how it is performing in terms of its stated purpose is required with every claim.

The quarterly progress report for each claim should provide details of the progress achieved during the quarter following on from the last claim submission.

A template for the quarterly progress report is contained in Annexe 3.

This template should be completed and mailed to LCTT@est.org.uk within 20 working days following the end of the quarter (see section 2.2).

3.2 Monthly update report

In addition to the quarterly progress report, Grantees are required to provide Energy Saving Trust with a monthly update report.

This update should provide brief details on activities undertaken during the month, any emerging/materialising risks, as well as a description of how the project is tracking against the submitted project plan.

A template for the monthly progress report is contained in Annexe 4.

This template should be completed and mailed to LCTT@est.org.uk by the 5th working day of the following month.

3.3 Final project report

On completion of the Project, the Grantee will be required to submit a report to the Scottish Ministers summarising the outcomes and performance of the Project. This report should be submitted within 30 working days following completion of the Project.

The report shall focus on the following areas:

- Project progress and performance
- Risk management
- Financial management
- Publicity and communications
- Evaluation update
- Horizontal themes
- Lessons learned
- Sustainability

When project completion date approaches, the Energy Saving Trust will provide each Grantee with a project-specific template listing all original progress and financial milestones as well as key deliverables to monitor project achievements against plans.

Separately, the Grantee will be required to monitor and evaluate the Project to evidence its outputs and outcomes and will be expected to report on this on an annual basis for a 3-year period following 30 September 2022.

More information on project evaluation can be found in the *Evaluation guidance – Round 3*.

4 Change process

From time to time Grantees may need to alter or adapt the project based on issues arising during monitoring, or due to changing circumstances. For example, money may need to be moved from one expenditure category to another, or changes may

need to be made to the overall expenditure profile of the project, or to the sequence or timeframes in the project plan.

Grantees should inform Energy Saving Trust of any changes made in the monthly update reports. However, if the change is material it is essential that Grantees inform Energy Saving Trust and get our approval before implementing the change.

4.1 Types of changes

Change type	Example causes
Time <ul style="list-style-type: none"> • Timescale change • Schedule / timing of payments 	<ul style="list-style-type: none"> • Change in the order of individual elements of project work • Delays caused by: weather, complying with legislation unforeseen construction challenges, or delays with electricity supply upgrades
Cost <ul style="list-style-type: none"> • Interim claims • Final / total amount claimed 	<ul style="list-style-type: none"> • Changes to match funding package • Increase or decrease to overall cost • Changes to the cost of individual elements but no change to overall cost • Difference between estimated cost in application and the final procured cost
Deliverables <ul style="list-style-type: none"> • Indicators • Measures 	<ul style="list-style-type: none"> • Revisions to output or results indicators based on improved or new datasets • Non-compliance (intentional and unintentional)
Changes to External Drivers	<ul style="list-style-type: none"> • PESTLE (Political, Economic, Social, Technological, Legal and Environmental influences from outside that may affect delivery of the project)

4.1.1 Non material change

Provided that the outcomes remain unaffected, non-material changes can include the following:

- Non-cost changes.
- Revising costs downwards.
- A change that involves moving costs between expenditure categories if the impact will change any single expenditure category by less than 5 per cent (this does not apply if the change is more than £5,000);

4.1.2 Material change

Examples of material changes include:

- Change of project ownership, control or final beneficiaries;
- Change to the nature or purpose of the Project;

- A change that involves moving costs between expenditure categories if the impact will change any single expenditure category by more than 5 per cent (this does not apply if the change is less than £5,000);
- Change in the agreed expenditure for fees, management, administration or purchase of land;
- Any change to the project as a whole requiring a significant change to the forecast profile of expenditure;
- Any change to match funding contributions or sources;
- Change to quantifiable targets;
- Any change to the expected physical or financial completion dates;
- If irregularities or fraud are detected or suspected.

Please note that this list is not exhaustive, if unsure please always check with Energy Saving Trust first.

If changes are considered reasonable, the project is still delivering eligible activity and it still represents value for money, obtaining approval for changes should be straight forward if Grantees provides sufficient justifications for the change. However, if Grantees go ahead and make a change without getting prior agreement, there is no guarantee that a “retrospective” change will be agreed, and this could result in the loss of some, or even the entire, ERDF grant.

4.2 Change request form

A change request form is provided in Annexe 5. This form should be submitted to Energy Saving Trust as soon as the Grantee is aware of the change. Associated documentation must also be submitted to justify the change request. A checklist related to this is available in Annexe 6.

Change requests will be considered in the context of potential impacts on the project, the project’s risks, and the aims of the LCTT programme. Changes will be processed by Energy Saving Trust and approved by Transport Scotland on a case by case basis taking into consideration the original approval that grant was offered on including the criteria used from the relevant and any subsequent LCTT Challenge Fund round. Changes can be approved, rejected, deferred or more information may be requested. Where change requests are considered to be of sufficient scale, these may require review by the original LCTT Assessment Panel before being approved or rejected. Depending on the nature of the change, the Grantee either will receive an email confirmation from Energy Saving Trust, or if necessary an agreed amendment to the Grant Offer Letter will be made and signed by the Grantee and Transport Scotland.

5 Monitoring

The information provided to Energy Saving Trust in the quarterly claims, quarterly progress reports and monthly update reports will be used to track the projects’ expenditure and progress towards milestones against forecasts.

The following measures will be used to monitor the progress of LCTT Challenge Fund projects and compliance with the requirements of the fund. Grantees' performance will be assessed against the following measures:

Measure	Description	Outcome sought
Claims submitted on time.	The % of eligible claims submitted on time to Energy Saving Trust.	Grantees submit claims per the agreed timeline.
Claims returned.	The % of claims that have to be returned by Energy Saving Trust due to inaccuracy or incompleteness.	No claims returned.
Transaction audit check.	The number of transactions that fail an audit and compliance check.	100% compliance.
Eligible spend against budget.	The % of eligible costs incurred to date against budget.	Actual defrayed expenditure is in line with budget.
Quarterly progress reports submitted on time.	The % of quarterly progress reports by Grantee submitted by deadline.	100% submitted on time. Quarterly progress reports should be submitted throughout the project whether or not milestones have been achieved or expenditure has been incurred.
Monthly update reports submitted on time.	The % of monthly update reports by Grantee submitted by deadline.	100% submitted on time. Monthly update reports should be submitted throughout the project whether or not milestones have been achieved or expenditure has been incurred.

Annexe 1: Claims evidence checklist

Check	Yes / No	Type of Evidence	Comments
Land Acquisition		Independent Land Valuation Purchase Details / Payment Bank Statements	See National Rules section 4.1.1
Site Investigation / Decontamination		Specialist Report Consultant Invoices Environmental Impact Assessment Bank Statements	See National Rules section 4.1.2
Site Preparation / Building and Construction		Tender Report - Project QS Valuation Applications - Project QS Valuation Reports Payments Bank Statements Waste Disposal Documentation Invoices Bill of Quantities Evidence of date when work begins and is completed	See National Rules section 4.1.2
Equipment / Fixtures and fittings		Asset Register Invoices Bank Statements Internal Accounting / Journals / Ledger Transactions Receipts	See National Rules section 4.1.6, 4.1.7 and 4.1.8
Marketing Costs		Invoices Bank statements	See National Rules section 4.1.9
Staff Costs Minimum 40% Dedicated to Operation		Payroll Records Timesheets Contracts Job Descriptions Payslips BACS Bank Statements Ledger Transactions	See National Rules section 4.2.1
Revenue / Income Followed Grant Offer Letter conditions?		Sources of Revenue / Income Sale of Project Assets Sale of Products / Services Management Accounts Bank Statements	
Publicity Has the project fulfilled its commitment to publicise the EU contribution to this Operation as stated in the Grant Offer Letter?		Plaques on Buildings Logos on Stationery, Website Logos on Advertising & Promotional Material such as Brochures, Flyers, Billboards Funding Acknowledged in Press Briefing	See <i>Communications and publicity guidance – Round 3</i> .
Procurement		Written Procurement Policy	See <i>Procurement</i>

Where applicable, are public procurement, EU procurement rules and regulations being followed, including the Treaty of Rome Principles?		Tender File for a Competitive Tender (EOI, Work Specification, Selection Criteria, Proposals, Tender Responses, Evaluation Report, Award Notifications, Contracts...) OJEU Notice for EU Level Tender Written Quotes Received Local Advertisements	<i>guidance, Section 4 of the Audit and compliance guidance – Round 3 document.</i>
Match funding Does match funding evidence correspond to match funding stated in the Grant Offer Letter?		Bank Statements Internal Accounting Explanatory Notes (if required)	

Annexe 2: Statement of compliance with the condition of grant



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STATEMENT OF COMPLIANCE WITH CONDITIONS OF GRANT

The European Regional Development Fund (ERDF), Low Carbon Travel and Transport (LCTT) Challenge Fund.

[Reference number] – [Name of project]

This is to confirm that the Grant claimed by *[name of Grantee]* in relation to the above Project during the financial year ended *[date]* was properly due and was used for its intended purpose(s) in accordance with the terms and conditions of the Grant. This statement is supported by the records of *[name of Grantee]* and signed by the company's Director of Finance or equivalent.

Signed:

Name in block capitals:

Position:

Date:

Annexe 3: Quarterly progress report template

A word version of this template can be downloaded from [the Energy Saving Trust website](#).

Project ref no.:				
Name of organisation:				
Project name:				
Reporting period:				
Project summary:				
<p>Provide a summary of the project and its key objectives. <i>E.g. The [name of project] will construct an active travel hub. The project aims to:</i></p> <ul style="list-style-type: none"> • <i>Provide the local community with access to alternative travel modes</i> • <i>Will increase confidence in commuters to travel actively by offering appropriate training, etc.</i> 				
Physical progress and main achievements:				
<p>Describe the actual activities undertaken and outputs/deliverables achieved in the quarter. This should relate back to the scope of activities outlined in the application and Grant Offer Letter. If there have been any delays or issues encountered in the period, these should also be outlined with information on how the project is dealing with these issues.</p>				
Milestones / activities:				
<p>In this section Grantees will report on the planned / forecasted achievement of the milestones outlined in the Grant Offer Letter as well as confirming actual achievement. All milestones and activities listed in the originally approved project plan should be included here. If no progress occurred in the quarter in relation to specific milestones/activities, please state so in the notes. Please also explain in the notes in a contracted date has changed following a formal change request. This should be set out in the format within the delivery report as follows:</p>				
<i>Milestone / activity</i>	<i>Contracted achievement date as per original project plan</i>	<i>Forecasted achievement date</i>	<i>Date achieved</i>	<i>Notes</i>

Activity planned for next period:						
Provide an outline of the key activities that are planned for the next quarter including any key dates or events. If there is any future major activity that is planned beyond the next quarter, this should also be covered.						
<i>Milestone / activity</i>	<i>Previous forecast date</i>	<i>Current forecast date</i>	<i>RAG</i>			
<i>RAG description key (related to planned activities)</i>						
R	Delivery is significantly behind schedule; significant under/over-spend is likely; no plans in place to address problems.					
A	Problems identified with delivery and/or resourcing but a plan is in place to address these					
G	Project running on time, to budget and is on track to meet all milestones. Any potential problems are being monitored and managed					
B	Milestone completed on time					
W	Task complete					
Risks in this period:						
Risks should be taken from the project's risk register.						
<i>Date identified</i>	<i>Risk description</i>	<i>RAG/ score</i>	<i>Mitigation strategy</i>			
<i>RAG description key</i>						
5	Almost certain	5	10	15	20	25
4	Likely	4	8	12	16	20
3	Possible	3	6	9	12	15
2	Unlikely	2	4	6	8	10
1	Rare	1	2	3	4	5
		Insignificant	Minor	Moderate	Major	Catastrophic
		1	2	3	4	5

Budget/Financial management:			
Report on the performance in terms of actual expenditure against the profiled values contained in the Funding Agreement.			
<i>Total budget</i>	<i>Total budget defrayed</i>	<i>Total TS match funding support claimed</i>	<i>Total ERDF funds claimed</i>
£	This quarter £	This quarter £	This quarter £
	To date £	To date £	To date £
Applicant's own/external match funding:			
Grantees will need to report on the funding received during the quarter as well as the cumulative values received to date. This should be broken down by named funder. Any potential changes to the funding package should also be referred to.			
<i>Match funder (excluding TS)</i>	<i>Match funding received this claim period</i>	<i>Cumulative total to date</i>	<i>Contracted value</i>
	£	£	£
	£	£	£
	£	£	£
	£	£	£
	£	£	£
	£	£	£

Publicity and communications:

Report on any publicity activity that has taken place during the quarter. This may include publicity material, leaflets, banners or stationery and any press releases, newspaper articles or publicity events.

Annexe 4: Monthly update report template

Email this table to LCTT@est.org.uk by the 5th working day of the following month.

A word version of this template can be downloaded from [the Energy Saving Trust website](http://www.est.org.uk).

Project ref no.:																																	
Name of organisation:																																	
Project name:																																	
Reporting month:																																	
Progress:	Detail progress during the reporting month, <i>e.g. project manager hired, tenders issued for construction contract, planning permission confirmed etc.</i>																																
Any risks or issues:	Detail any emerging or materialising risks, <i>e.g. milestones not completed on time, potential overspend, etc.</i> Note mitigation strategy where appropriate.																																
Progress against project plan:	<p>Detail project's overall progress against the original project plan, reporting any slippages or issues. Please report on all activities, including the ones where no progress occurred this month. For past dates, please put in actuals. For future dates, please put in the most realistic forecast to date. Please also comment in case of deviation from the project plan.</p> <table border="1"> <thead> <tr> <th>Milestone / activity</th> <th>Start date</th> <th>Completion date</th> <th>Comments</th> </tr> </thead> <tbody> <tr><td></td><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td><td></td></tr> </tbody> </table>	Milestone / activity	Start date	Completion date	Comments																												
Milestone / activity	Start date	Completion date	Comments																														

Annexe 5: Change request form

A word version of this template can be downloaded from [the Energy Saving Trust website](#).

Project ref no.:	
Name of organisation:	
Project name:	
Date:	
Change type:	
<input type="checkbox"/> Time <input type="checkbox"/> Cost <input type="checkbox"/> Deliverables <input type="checkbox"/> External driver	
Describe the change being requested:	
Describe the reason for the change:	
Describe all alternatives considered:	
Describe risks to be considered for this change:	
Describe resources and costs needed to implement this change:	
<i>To be completed by Energy Saving Trust</i>	
<input type="checkbox"/> Approve <input type="checkbox"/> Reject <input type="checkbox"/> Defer	
<i>Justification of decision:</i>	
<i>Date approved:</i>	

Annexe 6: Change request checklist

Type of change	Yes / No	Required Evidence	Additional evidence – possibly required
Time		Updated project plan	Updated financial plan Technical documents Designs
Cost		Updated financial plan	Quotes or costing documents justifying the change
Deliverables		Updated output/product description (in some instances the description included in the change request form might suffice)	Technical documents Designs
External driver		Evidence of external factor that caused the change request	Updated project and/or financial plans (as and if affected by the change) Quotes or costing documents (if applicable)

Please note: this checklist is not exhaustive. Further evidence might be required.



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For more information about the Low Carbon Travel & Transport Challenge Fund,
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