

## **Parks for People**

### **Managing your grant – Delivery phase**



This document will help you to manage your grant and request grant payments.

It also explains in detail what you must do to comply with the terms of your grant.

## Managing your grant - Contents

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# 1 Introduction

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## 1.1 Background

The 'Managing your grant' document and associated forms are referred to in the standard terms of grant which are set out on our website. They tell you what information we need from you to meet our monitoring requirements. They also deal with other requirements such as insurance, publicity, and changes to the grant.

You must follow 'Managing your Grant' and associated forms and provide the documents and information set out in them. The requirements are part of the contract and a breach of them will constitute a breach of the terms of your grant.

Exceptionally we may choose not to follow all of the procedures set out in this document.

You are responsible for the quality of your project. All work you carry out must comply with the relevant British or European standards and current best practice for conservation, if relevant. Any permissions we give do not mean that we accept or approve of the suitability or correctness of the detailed matters they apply to.

You must ensure that all timber and timber products used during the course of your project are from legal sustainable sources. Please read our guidance [Planning Greener Heritage Projects](#) for more information about this and other green standards. (All our guidance is available from our website).

## 1.2 Monitoring

We may decide to use outside consultants or heritage agencies to monitor your project for us. We will let you know as soon as possible if we are going to do this. If we are going to use more than one project monitor, we will choose one of them to be the lead monitor. This person will be your first point of contact. They will call high-level progress meetings with you, your project manager and the main members of your project team and may make site inspections. Our project monitors cannot approve changes to the approved purposes of your grant.

We will monitor your project against the standards set out in:

- the application pack;
- your first-round and or second-round application as approved by us;
- our grant notification letter including the schedule of agreed work and costs which qualify for grant support;
- our standard terms of grant, together with any additional grant conditions set out in the grant notification letter, and this 'Managing your grant' document;
- the documents which you must provide when you request our permission to start;
- the approved purposes; and
- any other agreements we make with you, or correspondence with you.

We will monitor the progress of your project and will carry out checks at and after the end of the project to confirm that it is delivering the benefits expected.

If we do not appoint an external monitor to carry out the activities above, HLF staff will act as project monitors.

## 1.3 Public procurement

You must follow good practice in buying goods, work or services. You will be asked to tell us about any goods or services procured when reporting your project progress. You will need to follow the Public Procurement Regulations if your goods, works or services are above certain financial thresholds and if:

- you are subject to the Public Procurement Regulations in your own right; or
- lottery funds contribute more than 50% of your project costs

This means that you will usually have to put your contracts out to public tender, by putting an advertisement in the Official Journal of the European Union. Please refer to the Public Procurement Regulations sheet or the latest figures from the Office of Government Commerce website <http://www.ogc.gov.uk/index.asp?id=397>

#### **1.4 Reviewing design drawings and documents**

We will review your project at suitable stages to see how it is progressing towards meeting the approved purposes, the requirements of our standard terms of grant and any additional conditions set out in the grant notification letter. We will decide when to make these reviews based on the nature and/or type of your project.

We may carry out reviews at:

- technical design (stage E of the RIBA plan of work);
- tender drawings and documents (stage G of the RIBA plan of work); or
- at other suitable stages.

To help us with these reviews you need to provide all design drawings and documents that we ask for.

The reviews will consider:

- cost and timetable increases;
- the effect they have on the approved purposes; and
- whether the final project still represents value for money

#### **1.5 Property ownership**

If we ask, you must provide proof of who owns any property that forms a part of your project and any restrictions or other claims on it.

If you are taking a lease, we will not accept one with a break clause or a forfeiture on insolvency clause. (This gives the landlord the right to end the lease if the tenant becomes insolvent.) You must also be able to sell on, sub-let and charge your lease but you must first have our written permission to do any of these.

#### **1.6 Insuring the works**

You must take out insurance for the works (if any) and for any unfixed materials and goods delivered to the property. All of these must be covered for their full value against loss or damage.

Insurance should be held in the joint names of the organisation receiving the grant and the contractor carrying out the works.

#### **1.7 Insuring the property**

You must insure the property for its full reinstatement value including inflation and professional fees. If the property is lost or damaged, for example by fire, lightning, storm or flood, you may find that you cannot meet the approved purposes of your grant. In this instance we may have to consider claiming back our grant payments.

If we have agreed in writing that you can self-insure, you do not need to take out any other insurance.

#### **1.8 Filling in online forms**

You will need to fill in a range of standard forms (online at <http://www.hlf.org.uk>) as part of our monitoring process, and your requests for grant payment. If we ask you to send copies of documents there is a facility to attach files (of less than 10Mb in total) at the end of each form.

The forms you need to complete will be automatically released to the registered user area of the website when they need to be completed. There are four standard forms:

- Permission to start
- Progress report
- Payment request
- Completion and evaluation report

If you log on to the HLF website expecting to see a form for completion and there are no new forms available, please contact your Grants Officer. The first forms will be available on the registered users area of the website approximately fifteen working days after a grant has been awarded.

If you make any misleading or false statements on these forms, you will have to repay all of the grant you have received. You will not receive any further payments.

## 2. Before work starts

You should not start any work on your delivery phase until you have our written permission to do so. If you do so it is at your own risk. To apply for our permission you should fill in the relevant 'Permission to start' form online and send in a signed hard copy to your case officer.

### 2.1 Permission to start

#### Section One Documents we require

You should attach the documents listed below. If you have already sent us these documents you will need to bring the information up to date and provide any other details we ask for.

#### Proof of partnership funding

Provide proof that all your partnership funding is in place and that it is from the sources set out in your application.

If all your partnership funding is not in place then we may exceptionally consider accepting a realistic fund-raising plan instead. We will only do so if the project can be divided into separate phases and you can show that the fund-raising plan is achievable. You must raise your partnership funding in line with the agreed phases and get our permission each time you want to start a new phase.

#### Timetable or Programme

Provide a detailed timetable or work programme to complete the whole project before the grant expiry date shown in the grant notification letter. It should show a realistic timescale for achieving the approved purposes of the project, including any additional conditions set out in the grant notification letter. It should clearly show all the main activities, resources, milestones and targets necessary to complete the delivery project on time.

#### Cost breakdown and cash flow

Provide an up-to-date breakdown of costs, which shows the cost of each of the main elements of your project delivery. In your breakdown you must identify separately any amounts allowed for VAT and contingency.

Provide a cash flow, which shows the planned timing of your income (including partnership funding) and expenses over the life of the delivery phase of your project. You must show clearly the expected timing of grant payments. Remember that we cannot pay more than 90% of the total grant before your project is finished.

#### Project management structure and method of selecting consultants, contractors and suppliers

Provide a description of how you will organise and manage the delivery project. This should include:

- the names of the people who can sign documents for your organisation, including grant payment requests;
- a copy of the organisation chart for managing your project which clearly names the project manager or project co-ordinator and other people or organisations who will be working on the project; and
- a statement of how you will choose and manage your goods, works and services contracts.

#### Section Two Bank account, VAT and signatory details

Make sure we have your bank, VAT and signature details to avoid any delay in the permission to start process. Please check that the details are correct and update them if necessary.

We will not make payments into personal bank accounts and the grant can only be paid to the organisation named in the grant notification letter.

For us to pay your grant requests by bank transfer (BACS), we need to see a copy of a recent bank statement (within the last three months), or a cheque or a paying-in slip for the relevant account, showing the bank's name and address. You can attach a scanned version of any of the above documents or post copies along with your complete permission to start and payment request form to your Grants Officer.

The signatories can be up to three people from your organisation who can sign documents on your behalf. The names entered here will appear for selection in the drop down menu in section six, the declaration.

### **Section Three Declaration**

You can provide updated contact details and use the drop down to choose who will be signing the printed version of your permission to start and payment request form. If you wish to change the names appearing in the drop down, please return to section four.

### **Submission**

Use the attach button to upload any attachments you wish to submit with the electronic form.

When you have completed the form, print and sign the permission to start and payment request form and post the signed original and any supporting documents you cannot attach electronically to your Grants Officer. Once submitted electronically, forms cannot be amended.

Once we have approved all of the documents you send with this form, we will sign your 'Permission to start' form and return it to you. You can then start work on your project. We will use these documents to help us monitor your project's progress and performance.

### 3. Updating us on your progress

You must monitor the progress of your project and fill in a progress report online at intervals agreed with your Grants Officer.

Your progress report should be produced no later than three weeks after the period it covers.

#### 3.1 Progress Report

##### **Section One Project progress**

Describe how your project is progressing against the headings displayed and enter a percentage figure to reflect how close you are to completing each element of the project. Include details on any achievements or key events.

##### **Section Two Risks**

Tell us about any difficulties you have and how you will overcome them. List the main risks your project is facing now. These may be:

- technical – for example, discovering unexpected and wide-ranging damp;
- financial – for example, a reduced contribution from another funding source;
- organisational – for example, a shortage of people with the skills you need or staff needed to work on other projects;
- economic – for example, an unexpected rise in the cost of materials;
- social – for example, negative responses to consultation or a lack of interest from your target audience;
- management – for example, a significant change in the project team;
- legal – for example, changes in law that make the project impractical; or
- environmental – for example, difficulties in finding sources of timber from well-managed forests.

##### **Section Three Changes**

You cannot change the project aims set out in your grant notification letter and section one of this form. If you want to have the aims of your project changed in any way, you must send us written details of your reasons for the change and show us how it will affect:

- the cost of your project;
- the quality of your project;
- the time you need to finish your project.

Use the table to tell us about any changes you have had approved since your last progress report

The text box can be used to tell us about any changes or events which may prevent your project from achieving its aims or affect its viability. We may then re-assess the project, or take any other action we consider necessary.

##### **Section Four Reviews**

Use the table to summarise any comments you have had from us or the project monitor on any documents submitted for review during the period covered by your report.

##### **Section Five Timetable**

Explain any delays to your project. You will also need to tell us how you plan to make up the time so that the project finishes by the grant expiry date. The grant expiry date displayed can only be changed by HLF staff before the progress report form is released.

##### **Section Six Staff and volunteers**

If your approved purposes include creating new jobs, you must advertise the vacancies and back-filled posts openly in suitable places. Complete the table to tell us about any staff you have appointed to work on the project.

Send a copy of the job description to us for our approval before you make any appointments.

If we ask, you must provide us with copies of all CVs and contracts of employment for new staff.

If volunteer work is part of your project, record the number of volunteers that have worked on your project.

### **Section Seven Procurement**

If you have received a grant from us and you are looking for goods, work or services worth more than £10,000, you must get at least three competitive tenders or quotes and show that you have selected the one which provides best value for money. It is best practice to get at least three tenders or quotes regardless of the value of the service or works sought.

If you have not followed a competitive process you must agree this with us in writing before you award the contract.

If we disagree with your reasons for not selecting the lowest offer, we may reduce your grant.

### **Section Eight Property ownership**

If we ask, use the table to summarise any documents supplied that provide proof of who owns any property that forms a part of your project and any restrictions or other claims on it.

### **Section Nine Insurance and permissions**

Detail any insurance for the property, works, any unfixed materials and goods received as part of the project.

You must make sure that you get all the statutory approvals or permissions that you need for your project before the work starts. Examples include:

- planning permission;
- listed building consent;
- scheduled monument consent;
- conservation area consent; or
- building regulations;
- bat licence;
- tree felling licence;
- newt licence;
- alcohol licence.

Detail any permissions received using the table.

### **Section Ten Further standard or special conditions**

Use the table to list any further standard or special conditions applied to your grant and summarise how you are working towards meeting them.

### **Section Eleven Photographs**

You must send us a free photographic record of your project recording its stages and events.

The photographic record should be at least:

- four high resolution digital images in electronic format (images 250mm x 200mm @ 300 dpi minimum), or
- four colour slides (35mm); or
- four colour prints (250 x 200mm minimum)

The pictures should show your project in action and its outcome. You should also provide a sample of photos which show your project before, during and after it is finished.

Please also let us know if material from your project is available on the internet and where this can be found.

We may use your photographs in publicity material. If your photographs include people, you must gain their permission (or that of parents or guardians for children under 16) before you submit them to us.

Ensure that you have the written consent of the copyright owner of the images you send to us so that HLF may use any of them to represent the project.

Please also send us copies of any other records of events or activities that you have run.

**Submission**

Use the attach button to upload any attachments you wish to submit with the electronic form. Once submitted electronically, forms cannot be amended.

Post hard copies of any supporting documents you cannot attach electronically to your Grants Officer. You do not need to print, sign or send a hard copy of your progress report.

## 4 Each time you request part of your grant

Each time you request a grant payment you must fill in on line the 'Grant payment request' form (or send in a hard copy if you do not have an online account).

You should request your grant payment as soon as possible after you have received an invoice at intervals agreed during your start-up discussions.

We will not make any payment until we are satisfied with your grant payment request and latest progress report.

### 4.1 Grant payment request form

#### Section One Summary of invoices

Complete the summary of invoices table to demonstrate your project spend for the period covered. The table will automatically add up all invoices entered and calculate the eligible cost of each invoice based on the information you enter.

You must send copies of invoices, contract administrator's interim payment certificates or table of costs as proof of your expenditure. This can be done using the facility to attach files (of less than 10Mb in total) at the end of the form or by posting hard copies to your Grants Officer. All proof of costs must be dated after the grant award date and before the grant expiry date shown in the grant notification letter.

If any of your invoices include costs which are not part of your eligible costs, you must provide a breakdown of the invoices showing clearly which costs we have agreed to support.

For amounts of less than £100 you should submit a table of costs which specifies the date, amount and description of each item of expenditure, instead of the individual invoices. The total of your table should be shown as a single line on your schedule of invoices. Please keep all of your invoices so that if we ask you to, you can send them to us.

We will pay your grant only when we have received proof of your eligible costs.

#### Section Two Volunteer timesheet

If volunteer work is part of your partnership funding, keep a record of the number of hours that each volunteer has worked. Please tell us how they have contributed to your project for this request by completing the table.

The form will calculate voluntary contributions as follows:

- unskilled volunteer – Up to £50 a day;
- skilled volunteer – Up to £150 a day;
- professional services volunteer – Up to £350 a day

We calculate one volunteer Full Time Equivalent (FTE) day to be 7 hours.

Please note that HLF does not accept more volunteer contributions than agreed in your approved costs.

#### Section Three Funding acknowledgement and public relations

You must acknowledge our support publicly, featuring our logo clearly and visibly.

Do this in line with the 'How to acknowledge your grant' guidance. This guidance can be found at:

<http://www.hlf.org.uk/granholders/Pages/granholders.aspx>

You must fulfil the minimum requirements as set out in this guidance for the kind of project you are running. We will look for appropriate visual recognition of our grant when assessing the progress of your project.

Any marketing work that you undertake for your project should also acknowledge our support in line with the 'How to acknowledge your grant' guidance.

You need to get our agreement before you give an interview, make a public statement or issue a press release relating to a project or work that we have funded when you initially announce the grant and at completion of the project. At other times, please notify us of any press and media contacts so that we are aware of any potential clashes, broader issues or possible links with similar activities that we are planning ourselves.

Let us know when any celebration or marking of a project achievement, such as an opening event, is taking place at which a representative from HLF can attend.

If you need any help or have any questions about how to acknowledge your grant please contact your Grants Officer.

For any acknowledgement you display, it is your responsibility to get in good time all the statutory approvals or permissions that you need.

#### **Section Four Eligible and final costs**

Using the information entered into the summary of invoice screen, the form will automatically populate the payment you are requesting. Enter your expected final cost for each of the agreed cost headings. If your project costs have increased you must tell us how you will meet these additional costs and how it will affect your project.

#### **Section Five Contingency and cost transfers**

Insert details of any contingency use included in the payment request. You will be unable to add contingencies that are greater than the contingency cost heading approved by HLF when your grant was awarded.

Detail any transfers between cost headings using the costs transfer table. You will be unable to transfer more than the existing budget for any cost heading approved by HLF when your grant was awarded. Use the final field to explain the effect the transfer will have on your project.

#### **Section Six Payment request**

All the fields in this final section of the form are calculated automatically using the information already provided in the summary of invoices section.

We will not pay more than the grant percentage of your eligible costs.

#### **Submission**

Use the attach button to upload any invoices and other attachments you wish to submit with the electronic form. Once submitted electronically, forms cannot be amended.

Post hard copies of any invoices and other supporting documents you cannot attach electronically to your Grants Officer. You do not need to print, sign or send a hard copy of your payment request

We will pay your grant by bank transfer only when we have received proof of your eligible costs.

#### **4.2 Advance payments**

If you would like us to pay in advance the salary costs of posts relating to your project, we will need details of salaries and copies of your contracts of employment or letters of appointment.

## 5 Project Completion

Request your final grant payment as soon as possible after:

- your project is finished and you have achieved your second-round approved purposes and complied with any additional grant conditions;
- you have acknowledged the grant in accordance with the 'How to acknowledge your grant' guidance; and
- you have submitted your completion and evaluation report.

Once you have made your final grant request, we will not accept any further requests for payments from you. You should therefore try to agree your final accounts with your contractors and suppliers before you apply for the final grant payment. Please include evidence to support any approved future management and maintenance costs with your final grant payment claim.

### 5.1. Completion and evaluation report

#### **Section One Key milestones**

Please summarise how you have met the approved purposes including details of any events you may have held. Tell us about any problems or issues that you faced and how you responded to them. Tell us about major changes you made, (including key staff), and the effect they had on your costs or timetable.

#### **Section Two Long-term requirements**

Using the table, list below the long term requirements that are set out in your grant award letter. Describe how you will meet these requirements and list any of your own that apply.

#### **Section Three Staff and volunteers**

See progress report section six.

#### **Section Four Procurement**

See progress report section seven

#### **Section Five Property ownership**

See progress report section eight

#### **Section Six Insurance and permissions**

See progress report section nine

#### **Section Seven Further standard and special conditions**

Use the table to list any further standard or special conditions applied to your grant and summarise how you have met them.

#### **Section Eight Evaluation and records**

We expect evaluation feedback from all the projects we support, in the form of an evaluation report. The detail of what you choose to evaluate, and how, is up to you. Refer to our guidance [Evaluating your HLF project](#) for more information.

We will not pay the final part of your grant until we are satisfied with your completion and evaluation report and final grant payment request.

#### **Submission**

Use the attach button to upload any attachments you wish to submit with the electronic form. Once submitted electronically, forms cannot be amended.

Post hard copies of any supporting documents you cannot attach electronically to your Grants Officer. You do not need to print, sign or send a hard copy of your progress report.

## 6 After your project is complete

### 6.1 Monitoring after the project has ended

To ensure that quality and standards of management and maintenance are maintained within the park you must apply for, and achieve, a Green Flag Award in the first year after completion of your capital works, and retain this award for a minimum period of seven years. We will receive annual reports from the Green Flag Award contractor, and will expect high scores for **all** criteria.

If the award is not yet available in your country, we will expect you to arrange for a separate assessment using the same standards as those published for the Green Flag Award in England.

We will continue to monitor your project after it is finished to make sure that it still meets the terms and any additional conditions of the grant and its goals for the duration of the terms of grant as set out in the grant notification letter. We will send you an evaluation questionnaire one year after the project is complete to help us do this.

Our staff or committee members may also visit your project to carry out a short evaluation two or more years after your project is finished. If we do this, we will not usually let you know in advance.

### 6.2 Repayment of grant

#### Parting with property

If, during the life of the terms of grant, you part with assets or goods which you have bought, restored, conserved or improved with our funding during the grant contract, you must give us a suitable share of the proceeds of sale after you have paid any debts, costs, expenses and tax. You must do this within a month of parting with the land, assets or other goods.

We may claim from you:

- an amount in the same proportion to the sale price as the grant is to the original cost of the approved purposes; or
  - the portion of our grant spent on assets or goods which were bought, restored, conserved or improved;
- whichever is greater.

You must pay whatever we decide is appropriate in the circumstances.

#### Other breaches of the terms of grant

Our terms of grant entitle us to require you to repay to us the grant you have received in various circumstances, including, in particular, breach by you of any of our terms and conditions of grant. The terms of grant also say that we might not require you to repay all the money you have been paid, if there are reasons to justify taking this view.

Given the enormous range of projects we fund, it is impossible to generalise on what sort of reasons for repayment of grant might be relevant to any particular case. We do, therefore, have absolute discretion to decide in any given circumstances whether or not to seek the return of all of our grant. By way of guidance, we will always expect repayment of the whole amount in cases involving:

- you failing to use the grant for the purposes we agreed to fund or to do what the project was intended to achieve (unless due to factors beyond your control);
- you ceasing to operate, becoming bankrupt, or being placed into receivership or liquidation;
- fraud, negligence or you providing us with incorrect or misleading information;
- you or us being directed by a competent authority to repay/recover the whole grant.

## 7 Definitions

**Accounting records** - You must keep proper up-to-date accounts and records. We may ask you to provide a copy of your accounts and bank statements within an agreed period of the end of the financial year in which we have made any grant payments.

**Approved purposes** – the purposes for which you have been offered a grant and how you plan to carry out those purposes as set out in your application and confirmed in our letter awarding you the grant.

**Back-filled post** - A back-filled post is the position that is vacated when a secondee from within your organisation takes on a post created within your project.

**Contingency** - Only use this allowance where unforeseen circumstances have affected the costs of individual elements of the project. You must get our permission for major spending of the contingency against any individual elements. We will reduce your grant by the proportion of the contingency that you did not need to spend.

**Eligible costs** - The costs we have agreed to contribute towards as set out in your grant award notification. If the final cost of your project is lower than the eligible cost, we will reduce your grant in line with the agreed overall grant percentage. If the final cost of your project is higher than the eligible cost, we do not have to increase your grant. (We will only consider increasing your grant in exceptional circumstances. In this case you will have to provide further information.)

**Grant Expiry Date** – The date by which your grant expires. If you are not able to complete your project before your grant expires, please contact your Grants Officer.

**Grant Percentage** - The percentage of your project costs that HLF has agreed to fund, up to the total cash value of the grant award. For example, if the grant percentage is 65% of the eligible costs, we will pay up to 65% of the value of the invoices for those costs which you provide at any one time. The grant percentage is fixed throughout the project.

**90% limit** - We will not pay more than 90% of your grant until we are satisfied that:

- the project is finished;
- you have met all our standard terms of grant and any additional grant conditions;
- we have received an acceptable final grant payment request and completion and evaluation report;
- appropriate funding acknowledgement is in place.

**Procurement** – The process by which goods and services are sourced. It is best practice to get at least three quotes for all goods and service you are going to pay for. You must get at least three quotes for all project costs in excess of £10,000.

**VAT** - Our grant percentage will include your VAT payments if these were included in the eligible costs for your project.

You must do all that you can to:

- make sure your project is VAT-efficient;
- make sure that VAT is applied only to relevant parts of your project; and
- claim back any VAT which you can.

If your VAT payment decreases during the project, we will reduce our contribution to those costs and you will have to pay back any amounts of VAT you have managed to claim back from HM Revenue and Customs. If your VAT payments increase we may not increase our grant payment. You must not transfer any VAT savings that you have made to any other budget heading.

**Volunteer** - Any person who gives their unpaid time for the benefit of the project.