



Heritage Enterprise - Receiving a grant

**Mentoring and monitoring; Permission
to Start; and Grant payment**

September 2017

If you require a copy of this guidance in an alternative format (large print, Braille or audio version), or if your first language is not English, we can provide it in the appropriate format or language if you ask us. It is also available in Welsh.

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1 Introduction

This document will help you to request payment from HLF and report on the progress of your project. We are committed to being flexible in our approach, working responsively, proactively and collaboratively. Your case officer is your main contact throughout the delivery of your project.

You must comply with the HLF Terms of Grant and any additional requests set out in your Grant Notification letter. You must also address any issues identified during monitoring, and follow the requirements specified in the Programme Application guidance, the *How to acknowledge your grant* guidance, and any other material we refer to. All guidance is available on our website.

In some circumstances we may choose to vary any of the procedures set out in this document.

This guidance applies to all Heritage Enterprise awards in development or delivery.

1.1 Filling in forms

You will need to fill in a number of forms online via the portal as part of our monitoring process. We will ask you to send copies of documents as part of this process and you can attach files (of less than 5MB in total) online at the end of the form.

The forms are:

- Permission to Start
- Progress Report
- Payment Request Forms (dependent on the size of your grant award)
- Completion and Final Payment Request

There is also a form available on the portal which you can use for requesting acknowledgment materials from us.

1.2 Before Starting

Before you can start your project and seek a grant payment, you will need to complete a 'Permission to start' form—details below. We often arrange a start-up meeting with you to discuss delivering your project, at which we will agree a timetable for reporting progress and help plan your payments and predict cashflow as well as advise you on how to complete the Permission to Start form.

You should not start your project until you have received our approval through Permission to Start. If you start before receiving our approval, this will be at your own risk. We will not make any grant payments to you until Permission to Start has been approved.

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1.3 Reporting on progress

You will be expected to report progress on a regular basis to HLF. To do this you will need to complete a 'Progress Report' form online. As a minimum we would expect reports every 3 months. We may choose to alter the frequency of reports.

For **development grants** it is important to keep in touch with HLF as your project progresses. We will undertake a formal review at an appropriate point. For development grants with projects involving capital works, the review is likely to be when your plans are in line with RIBA work stage 2 (or old RIBA work stage C). You can see RIBA's plan of work by following the link below <https://www.architecture.com/files/ribaprofessionalservices/practice/ribaplanofwork2013overview.pdf>. The timing of the review will be discussed at the start up meeting. The review will look at progress across all areas of the project including development of the activity plan, architectural proposals, project business plan, management and maintenance plan, costs and other relevant documentation.

A review may involve a meeting with HLF staff, monitors and mentors as needed. The review will consider:

- if the proposed project and its outcomes changed significantly since the first round pass was awarded
- if the project risks have changed significantly since the first round pass was awarded
- if there been any significant changes to the project costs or partnership funding since the first round pass was awarded

For **delivery grants** we will monitor the progress of your project against the Approved Purposes of the grant. It is important that you keep us informed of risks and issues arising so that we can respond and support you as appropriate. We may decide to undertake a review of your project. This can happen at any stage. To help us do this review, you will need to provide all design drawings and documents that we ask for along with a progress report.

1.4 Mentoring and monitoring

We have a range of consultants who we may use, depending on the project, to support you in delivery and help review risks.

Mentors, act as project enablers sharing their expertise and knowledge of best practice to help you to deliver your project. If appointed, a Mentor will work with you on developing the whole project or specific aspects such as capital works, management and maintenance plans, environmental impact, business planning, interpretation, learning, audience developments or training. Mentors may be asked by HLF officers to provide expert advice but their focus will be on using their expertise to help you and your project team in thinking about how to achieve the best outcomes for your project.

Additionally, we may appoint a **Monitor** to your project to help us as appropriate.

In exceptional cases we may use a monitor as well as a mentor. If we do, the project monitor will usually be your lead contact while they are appointed and will call progress meetings with you, your project manager and the main members of your project team and may make site

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inspections and review any paperwork deemed necessary. They will report back to HLF officers.

Our monitors and mentors are able to provide informal advice but cannot approve changes to the approved purposes of your grant. Any changes can only be agreed by HLF via your officer.

1.5 Seeking payment of your grant

The payment arrangements are based on the level of grant award.

For development grants of less than £100,000 we pay in three instalments:

- We will give you 50% of the grant up-front (once we have agreed your Permission to Start).
- Once you have spent the first instalment of your grant, we will give you the next 40%.
- We will pay the final 10% of your grant when you have finished your project.

We will ask to see evidence that you have spent your grant.

Please complete the form 'Payment Request - for Grant awards of less than £100,000' at the same time as your 'Permission to Start' form for your first grant payment. You will need to use a Payment Request form to claim the second payment as well. To claim the third and last payment of your grant you will need to fill in a 'Completion and Final Payment Request' form.

For development and delivery grants of £100,000 or more you will be paid as the project progresses in accordance with the schedule agreed at Permission to Start. To claim a payment you must fill in a form 'Payment Request'.

We usually pay a proportion of the costs you have incurred based on your agreed costs. The payment percentage is based on cash contributions to your project so may differ from the grant award percentage. This is because when calculating your payment percentage we do not take into account volunteer and non-cash contributions to your project, although we want you to continue to report on these valuable contributions in your progress reports to us. Below we explain the difference between payment percentage and award percentage.

Worked example:

At award

Total project cost of £500,000 which includes £100,000 of volunteer labour and other non-cash donations. The cash contribution from you is £200,000 and the HLF grant award is £200,000. The award percentage is therefore 40% (grant award divided by total project cost).

At payment

When it comes to payment HLF's grant award remains £200,000 and your cash contribution is still £200,000. However the agreed costs are £400,000 (discounting the volunteer labour and non-cash donations). The payment percentage is therefore 50% (grant award divided by agreed costs).

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We aim to release funds within 15 working days of receiving your Payment Request provided you have sent us the information that we ask for. Payment will be made to the account details submitted at Permission to Start. We can only release funds against agreed costs that meet the approved purposes and that will deliver the intended outcomes.

1.6 When your project finishes

We normally withhold 10% of the grant until the project is completed.

You must fill in a 'Completion and Final Payment Request' form to claim the final part of your grant. You must provide an evaluation report, evidence of acknowledgement of our funding and images as part of this final claim. We will not pay the final part of your grant until we are satisfied that all our requirements have been fulfilled.

The following information offers guidance for each of the forms you may need to complete.

2 Permission to Start

You will need to complete the form online with the following attachments:

- Proof of partnership funding
- Proof of ownership/leasehold requirements, if relevant
- Details of statutory permissions required and obtained
- Detailed timetable or work programme
- Cost breakdown and cashflow
- Detailed Project Management structure
- Method of buying goods, works and services
- Your bank account details

We will use the documents you supply with the Permission to Start form to help us monitor your project's progress and performance. As standard we pay against costs incurred after you have obtained Permission to Start.

Once the form is completed and submitted via the online portal, print a hard copy of the form only, have appropriate members of your organisation sign and date it, and send it to your case officer for HLF approval. The people signing this declaration must have the authority to do so. By signing the declaration, you are confirming that your organisation understands and accepts the grant award along with all the associated requirements.

Once we have approved your request we will return a copy of the form to you. You can then start work on your project. You must get our approval in writing if you need to make changes to these documents.

If you have already sent us the above documents you will need to bring the information up to date and provide any other details we ask for.

2.1 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. In your breakdown you must identify separately any amounts allowed for VAT

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and contingency. 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. If your VAT payments increase we will not increase our grant payment. You must not transfer any VAT savings that you have made to any other budget heading.

You must provide a cash flow, which shows the planned timing of your income (including partnership funding) and expenses over the life of this phase of your project. You must show clearly the expected timing of grant payments. We pay the grant as needed in line with expenditure and we normally retain 10% until your project is completed.

2.2 Partnership funding

Provide proof that all your partnership funding is in place and confirm where it is from. 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 e.g. the separate RIBA stages 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.

You will need to state evidence of non-cash contributions for this project, as agreed at the time of the HLF award. We will continue to request this information as the project progresses.

2.3 Timetable or Programme

Provide a detailed timetable or work programme which shows completion of 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, including any additional conditions. It should clearly show all the main activities, resources, milestones and targets necessary to complete the project on time.

2.4 Project management and procurement

Provide a description of how you will manage your project. This should include:

- the names of the people who can sign documents for your organisation, 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 sets out their roles and lines of communication;
- details of the responsibilities for project decision making including change control and budget management;
- Briefs for commissioning services to be paid for through the grant and job descriptions for posts to be funded through the grant; and
- a statement of how you will choose and manage your goods, works and services contracts. It must also include details of how you intend to recruit any project staff.

You must advertise all new staff posts.

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2.5 Proof of ownership

We expect you or a formal partner in the project to own any property (land, buildings, heritage items or intellectual property) on which you spend the grant. See appendix B.

2.6 Statutory permissions and licences

Please state which permissions you require for your project to comply with statutory requirements.

You should get statutory approvals or permissions that you need for your project before work starts. There may be other licences involved which are not listed below but frequent examples include:

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

We may agree a phased programme of works with you that allow you to start the project before all statutory approvals or permissions have been obtained. In these circumstances you will need to update HLF staff as you receive approval for new permissions and licences when you fill in your Progress Report Form.

2.7 Bank account details

We will pay your grant by bank transfer (BACS). 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. You may wish to set up a separate bank account for the project.

We will 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.

2.8 Declaration

By submitting your application form online, you (and your partners, if any) have confirmed that your organisation accepted our standard terms of grant available on our website for the Heritage Enterprise programme. We ask you to sign this Declaration with your Permission to Start for our records.

3 Updating us on your progress

You must report your progress in accordance with the schedule agreed at Permission to Start. Your progress report must be produced no later than three weeks after the period it covers.

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You should tell us about your achievements and successes. We also want to know about any problems or issues that you face. If something significant occurs between scheduled progress reports which is likely to lead to changes in the costs, serious delays, or a failure to deliver the approved purposes and outcomes you agreed in the Permission to Start documentation you will need to let us know as soon as possible.

3.1 Approved Purposes Progress

This should be a summary of your progress against each of the approved purposes of your grant.

If the approved purposes set out in your grant notification letter or start-up discussions are likely to change, you will need to seek our permission by sending your grants officer details of your reasons for the change and showing us how it will affect:

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

Tell us about any changes or events which may prevent your project from achieving its predicted outcomes or affect its future viability. We may then call a review, re-assess the project, or take any other action we consider necessary. We may give permission for the change only if you agree to extra terms and conditions.

Give details of how the work you have done so far will change the Approved Purposes you originally predicted. For development projects this will include changes to the scope and costs of the proposed project in the delivery phase.

3.2 Additional grant conditions (if any)

If we have identified any additional grant conditions for your project, tell us about your progress towards meeting those.

3.3 Identifying, charting and managing risk.

Tell us about any difficulties you have and how you will overcome them. List the main risks your project is facing. Initially you should refer to the list you provided in Question 5g of your application form. Over time these may change. We will follow up on any major difficulties the project is facing. Once a problem is resolved please complete and explain how in the Actions section you have mitigated the risk.

3.4 Changes to your project timetable and programme

Explain any significant delays to your project's delivery. 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. HLF staff may agree changes to timetable and will amend the Grant Expiry dates of your project accordingly.

3.5 Statutory Permissions and Licences update

Provide evidence that you have received approval from the relevant authority.

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3.6 Partnership funding update

If your funding was not secured when we gave permission to start, and we agreed a phased approach with you, give details of your progress towards securing all partnership funding. Explain any changes to your funding sources. You will need to keep your cash flow table up to date.

Please report all volunteer input and any other non-cash contributions.

3.7 Selecting consultants, contractors and suppliers

Procedures to recruit consultants and contractors must be fair and open and keep to the relevant equality legislation. In all applications regardless of level of funding we will ask you to give us details of the procurement (buying), tendering and selection process for all parts of your project. If you are unsure about your obligations, we advise you to take professional advice.

If you have already procured goods, works or services, you will need to tell us how you did it. We cannot pay your grant if you have not followed the correct procedure.

You must get at least three competitive tenders or quotes for all goods, work and services worth £10,000 or more (excluding VAT) that we have agreed to fund.

For all goods, works and services worth more than £50,000 (excluding VAT), you must provide proof of competitive tendering procedures. Your proof should be a report on the tenders you have received, together with your decision on which to accept. You must give full reasons if you do not select the lowest tender.

Your project may be covered by European Union (EU) procurement rules if it exceeds the thresholds noted below. This will require that all services for both fees and construction will need to be tendered through Tenders Direct, previously known as Official Journal of the European Union (OJEU).

If you are a non-public body, and your HLF grant exceeds 50% of the estimated cost of a contract, or the HLF grant together with other public funding exceeds 50% (e.g. ERDF, local authority, or other lottery distributors), and exceeds the thresholds noted below, you must adhere to EU Procurement Regulations. The applicable thresholds can be found on the Cabinet Office website. Thresholds are reviewed annually in January. If you are a public body, different thresholds apply, and you will have to comply with those that are already relevant to you.

The thresholds apply to all individual consultant appointments (or to the aggregate fee as a single appointment) and to construction works.

If you are looking to recruit a consultant or member of staff for your development phase and your delivery phase, you should make sure their contract clearly states that this is the case, and allow for break clauses (in case your second-round application is unsuccessful). If you do not, we may ask you to re-recruit after the second-round decision has been made. We will not be able to reimburse costs incurred for the three months your project is in assessment.

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3.8 Staff

Professional fees

Fees should be in line with professional guidelines and should be based on a clear written specification.

New staff costs

Include costs of new fixed-term contracts, secondments (people who are temporarily transferred to your organisation) and the costs of freelance staff to help develop your project. Do not include the costs of paying trainees here. In your separate spreadsheet, you must use a separate line for each new member of staff.

All staff posts must be advertised, with the following exceptions:

- If you have a suitably qualified member of staff on your payroll that you are moving into the post created by your HLF project. You will need to provide a job description for this post.
- If you have a suitably qualified member of staff on your payroll whose hours you are extending so that they can work on the project. In this case we will fund the cost of their additional hours spent on the project and you will need to tell us about the role they will undertake.
- If you are a voluntary organisation and are including a proportion of a staff member's time in your Full Cost Recovery calculation.

If you are moving an existing member of staff into a post created by the project, then we can either pay for the cost of this member of staff, or for the cost of backfilling their post.

All salaries should be based on sector guidelines or benchmarking against similar posts elsewhere.

Recruitment

This can include advertising and travel expenses. We expect your organisation to keep to good human-resource practice and follow all relevant laws.

3.9 Changes to Agreed Costs

Complete this table if there are significant changes to the costs as agreed in your grant notification letter and you are wishing to seek agreement from HLF to change the approved purposes or consider revising the grant award or grant percentage.

3.10 Photographic and other records

The photographic record over the duration of your project should include at least five high-resolution digital images in electronic format showing different aspects of your project.

The pictures should show your project in action and its outcome. You should also provide a sample of photos that show your project before, during and after it is finished. You should let us know if material from your project is available on the internet and where this can be found.

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We may make use of your photographs in publicity material. Before you provide us with any images, you must ensure that the necessary consents are in place for that. See '*Photography of HLF-funded projects: A guide for grantees*' available on our Promoting your Project page for more information.

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

3.11 Funding Acknowledgement

Please tell us how you have acknowledged and promoted National Lottery Players' funding in accordance with the '*How to acknowledge your grant*' guidance. You must confirm that you have put at least the minimum level of visible acknowledgement during the project works.

4 Grant Payments

You must keep proper up-to-date accounts and records. Please attach evidence of spend, for example invoices to the Payment Request form. See Appendix C for an example of the information we expect to see in an invoice. When saving digital copies of invoices to send to us, please keep the file size as small as possible, while still ensuring the image is clear.

For amounts of less than £500 (less than £250 for development grants of less than £100,000) 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 the summary of invoices on the Payment Request Form. You must retain the original receipts or invoices in case we ask to see them.

Where we have agreed to pay a contribution towards the Management and Maintenance Plan during the delivery of your project you will need to supply a signed letter on appropriate letterhead quantifying the amount you have paid towards these costs.

We pay our grant up to the point you reach 90% of your total project costs. After that we will not make any further payment until your project is finished and you complete a Completion Form (see section 5).

All proof of costs must be dated after the grant award date and before the grant expiry date shown in the *grant notification letter*. We reserve the right to refuse payment of invoices which we consider do not form part of the agreed project.

4.1 Payment Request for Grant Awards of £100,000 or more

To claim your grant you will need to complete the 'Payment Request Form for Grant Awards of £100,000 or more'. Enter invoices or other references as appropriate. You should request your grant payment as soon as possible after you have received invoices 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.

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4.2 Payment Request for Grant Awards of less than £100,000

If your grant award is less than £100,000, we will pay in three instalments. To claim your first and second payment complete the 'Payment Request for Grant Awards of less than £100,000' form.

5 Final grant payment

You will need to show us in the Completion Form how much you have paid against agreed costs. We will not make any further payments until we have received evidence of this. You will need to claim your final grant payment by filling in the 'Completion and Final Payment Request' form.

The form asks you to:

- describe how you achieved your approved purposes;
- describe issues or changes, and the impact on the timetable or costs;
- describe how you will meet the long term requirements;
- describe how you have and will conduct evaluation, including attaching a report;
- send in some project records, for example, digital images.

It also asks about how you met any additional grant conditions if this is relevant and includes a statement about agreed costs and the declaration needed as part of the payment request.

Request your final grant payment as soon as possible after:

- your project is completed and you have achieved your approved purposes and complied with any grant conditions;
- you have acknowledged the grant in accordance with the 'How to acknowledge your grant' guidance; and
- you have a 'Practical Completion Certificate' (for a building project); and
- you are able to supply all the additional information we require including evaluation report, images and proof of acknowledgment of our funding.

Where we have agreed to pay a contribution towards the Management and Maintenance Plan you will need to supply a signed letter on appropriate letterhead confirming your commitment and quantifying the amount you agree on an annual basis for the duration of the agreed plan.

We will not make your final payment until we have received all the additional information including your evaluation reports. You will need to have submitted your 'Completion and Final Payment Report', with all required evidence, before your Grant Expiry Date.

Once you have made your final grant request, we will not accept any further requests for payments from you. You should therefore agree your final accounts with your contractors and suppliers before you apply for the final grant payment.

We will continue to keep in contact with you at intervals after the project is completed.

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Appendix A: Additional Definitions

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 and any additional information as set out in the Permission to Start and subsequent correspondence.

Approved costs - The costs we have agreed to contribute towards as set out in your grant award notification.

Grant percentage –calculated by dividing the grant award value by total project cost which includes non-cash contributions and volunteer labour.

Payment percentage – the proportion we pay against invoices calculated by dividing the grant award by the agreed cash costs.

Payment limit - We will normally pay no 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 and photographs have been submitted.

Back-filled post - is a job that is vacated within your organisation when that person adopts a new role as part of your project and where the intention is for them to return to their original work once the project is finished.

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

You must do all that you can to:

- make your project 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 status changes so you can reclaim more than you expected, you will need to return this to us. We will consider authorising the use of contingency if you underestimate VAT, but we cannot guarantee that this will be approved. It is therefore important to include the correct amount of VAT when applying to us.

Contingency allowances for unexpected expenses - Only use this allowance where unforeseen circumstances have affected the costs of individual elements of the approved purposes. 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.

Increases or decreases in the approved cost – The costs of the project may increase or decrease. Where a project increases during the course of the project we will only consider

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increasing your grant in exceptional circumstances and never within the Development Phase. If this is the case you should contact your officer and will be asked to provide further information.

If the final cost of your project is lower than the agreed cost, we will reduce your grant in line with the agreed overall grant percentage.

Appendix B: Property ownership

If you are successful with your Heritage Enterprise application, we expect you to own any property (land, buildings, heritage items or intellectual property) on which you spend the grant. If we award you a grant, we may require a charge on the land, buildings or heritage items.

Land and buildings

For projects involving buying or carrying out capital work to land or buildings, we expect you to own the freehold or have a lease of sufficient length for you to fulfil our standard terms of grant as detailed in your grant notification letter. If you do not meet our ownership requirements, we will need you to improve your rights (for example, by changing or extending a lease) or include the owner as a partner in your application.

- For projects involving work to a building or land, if your organisation does not own the freehold, you will need a lease with at least 10 years left to run after the expected date of your project's completion.
- If your project involves buying land or buildings, you must buy them freehold or with a lease with at least 10 years left to run after the expected date of your project's completion.
- We do not accept leases with break clauses (these give one or more of the people or organisations involved the right to end the lease in certain circumstances).
- We do not accept leases with forfeiture on insolvency clauses (these give the landlord the right to end the lease if the tenant becomes insolvent).
- You must be able to sell on, sublet and mortgage your lease but if we award you a grant, you must first have our permission to do any of these.

Digital outputs

If you create digital outputs we expect you either to own the copyright on all the digital material or to have a formal agreement with the copyright owner to use the material and to meet our requirements – see Appendix 4: Digital outputs on the application guidance.

Appendix C: Invoices submitted with payment request forms

All invoices submitted to Heritage Lottery Fund as evidence of spend should be clear, legible, and be for eligible works against the approved purposes HLF has agreed to fund. They must include the following information for us to be able to pay against them. They should be clear enough to read and not folded up, damaged or tampered with.

They must all related to works agreed to be funded by HLF and the client named on them should be the organisation submitting the payment.

Invoices must have an invoice number, the date they were raised and the date payment is expected and the payment terms, how payment is made and to whom. They must include company details including, name, address, email address, telephone number, Company number , VAT registration number (if VAT registered). They must also include a description of the services provided, the gross (without VAT), VAT amount if VAT registered and the net (total) amount due.

Example Invoice

Company Name

41 First line of address

Second line of address

City

Postcode

Tel:

Email:

Company #:000000

VAT: XX-XXX-XX

Invoice Number: XXX 001

Date: Day Month Year

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Due Date: Day Month Year

To: Organisation Name

Detailed description of services

Example breakdown:

10 days @ £500 per day £5,000

Sub Total £5,000

VAT @ 20% £1,000

TOTAL £6,000

Payment terms: Payment within 30 days.

Pay by [method] to the account below:

Company Name (matches top)

Sort Code: XX-XX-XX

Account No: 12345678