Checklist for Project Files

Introduction

This guide has been produced to assist EBs in maintaining structured and comprehensive project files which will ensure all relevant information concerning the expenditure of LCF funds is retained. Properly structured and detailed project files will assist EBs in complying with the regulations and also assist the Compliance review process.

1 Project Application Form 2

All projects must be approved by ENTRUST before any LCF element of the project is started and any LCF money is spent. Project applications may be submitted online and will be approved by the Registrations team if they meet the object specific criteria. If rejected the EB has the option of requesting a submission to a review panel to gain further details of the rejection and if the decision can be over turned.

2 Project Approval Letter

When the project is approved by ENTRUST, the EB will receive a letter, confirming project approval. This must be kept on file by the EB which will provide date of approval and project approval number.

3 Funding Decision by EB/DEB/LO

The funding decision documents are to be held on file to ensure that the project has been given the funding for the approved project. This will ensure that the details of what is being funded by LCF are clearly documented.

4 Funding Agreement

The funding agreement sets out the details of which projects will be funded and any conditions attached to the funding. This will ensure both parties understand the terms of the grant. The agreement may include fund total, timeframe of project, aim of project, outcome of project and asset conditions. The agreement may also require Contributing Third Party details if the LO requires a payment.

5 Project Quotes /Tenders/Value for Money/Minutes

The EB should follow its own documented procedures for procurement and have evidence on file that they have been followed. ENTRUST guidance expects works under £5000 to have at least three quotes on file. Works over £5000 would expect a tendering exercise to be carried out. The file should contain quotes and tenders on file and the basis of decisions taken to choose contractor. Minutes of meetings should show that all relevant members were at the meeting and reasons for selecting contractors should be detailed.

6 Project Progress Reports

Projects may require progress reports to be issued to funders and the EB itself may find it helpful to ensure they are on track to meet the project criteria by keeping a monitoring record of projects. Some funders may require a progress report as they may pay instalments of the project fund in stages.

7 Invoices

Invoices should be on file to show how LCF money has been spent on the project. Some invoices may only be part paid due to certain elements allowed by funders and this should be highlighted.

8 Payment Requests/Grant claims

Funders may pay in stages and files should contain copies of payment requests on appropriate claims forms if required by funders. This will ensure that claims can be paid from valid evidence.

9 Final Completion Reports/Photographs

Reports on file should have completion reports with information such as, if the project has been completed on time and within budget. Photographic evidence should show before and after details of the project. The EB should also complete the Project Completion Forms via EOL and keep copies.

10 Asset records/Monitoring records

LCF funded assets and projects should be monitored for a set period of time to ensure they remain compliant under LCF Regulations. EB's can either request compliance statements from project applicants to show that the project is still compliant at a set date or have detailed records of site visits.

11 Miscellaneous Correspondence/documents

All other relevant documents that cover the project such as planning approval, application decisions, site map, extension to completion dates, income derived, funding related parties involved etc.

12 Legal Documents

It is advisable that legal documents such as contracts, deeds etc are retained securely and not necessarily on individual project files; however, these should be accessible if required.

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