



The Scottish Government

Rural Development Contracts - Rural Priorities



Scotland Rural Development Programme

Statement of Intent Workflow and Records Management

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Version 1.3

Version Control

Author	Version	Date	Reason
Karen Mowat	1.1	24-Aug-2009	Feedback from Users
Karen Mowat	1.2	September 09	Feedback from Users
Business Support Team	1.3	October 09	To incorporate new Sol Bypass release

1. Introduction

The following guidance summarises how case processing and administration is handled from the submission of a Statement of Intent (Sol) through to the provision of Sol feedback.

2. Background

The Applicant/Agent can draft and re-draft the Sol until they are content that it is ready for submission.

Before submitting the Sol they must visit the “map requirements” screen and print off the system generated list of Options for which a map is required.

This sheet, which includes the unique Case Reference Number allocated by the system, must be attached to the Sol map and posted, emailed (.jpg format) or handed in, to the Pre-approval Co-ordinating Office for the Regional Proposal Assessment Committee (RPAC).

Once the Applicant/Agent is content with their details, they submit their Sol online.

Submission generates an online acknowledgement of receipt for the Applicant/Agent.

3. Pre Approval Co-ordinating Office

3.1 The Case Administrator

3.1.1 The Sol appears on the Case List.

If a map **is** required the Case Status shows “Sol Received” and the Case is directed to the Case Administrator. If a map **is not** required the Case Status is set to “Sol Ready for Assessment” and the Case goes directly to the Pre Approval Co-ordinator.

3.1.2 All Sols which require an accompanying map will, as part of their online acknowledgement, be advised that they must submit this within 14 days. If the required map(s) is/are not received within 14 days from the date of submission, a reminder letter should be prepared and issued by the Case Administrator within the designated RPAC office

It is important, at this stage, to identify who has submitted the Sol as all correspondence should be addressed to that person. Correspondence should be addressed to the mandated Agent for the scheme. If no agent has been appointed, the Business Contact Details should be used. This information can be established with any RPAC Office.

3.1.3 Once a map is received the Case Administrator should issue an appropriate acknowledgement; a pre-printed receipt if handed in, an acknowledgement letter if received by post or an electronic receipt if sent by email, i.e. the acknowledgement letter attached to an email.

They will then scan the map into a .jpeg format, giving the map a file name in the format of: Case 123456 – Map – document description (100 characters free text) – RPAC region – BRN 123456. The map will be uploaded to the system and the case status set to “Sol Ready for Assessment”.

3.1.4 If the required map is not received, within 14 days from the date of the map reminder letter, the Case Administrator should upload a copy of the Map Reminder Letter to the system and set the case status to “Sol Rejected” and this Sol cannot proceed. (Please ensure that sufficient time is given before setting the case status to “Sol Rejected” as once this is set it cannot be reversed.) A letter should be sent to the applicant/agent informing them of the rejection.

The Case is now with the Pre-Approval Co-ordinator.

3.2 The Pre-Approval Co-ordinator

3.2.1 Using the agreed protocol within the respective RPAC area, the Pre-Approval Co-ordinator assigns the Sol to a Case Officer. On allocation, the case status changes to “Sol Assessment in Progress”.

It is possible for Case Officers to work on cases across more than one RPAC and the Pre-Approval Co-ordinator can allocate a Sol to a Case Officer from outwith their RPAC.

3.2.2 The Pre Approval Co-ordinator notifies the Case Officer of their allocated Sol and arranges for completion of the Fly Sheet and Covering Letter which should both be emailed directly to the Case Officer.

3.2.3 Any maps received will be sent, by post, to the Case Officer.

4. Case Officer

4.1 The Case Officer should receive an email notifying them of the allocation of an Sol for their attention.

They then arrange for the Case Officer Introductory letter to be prepared and sent to the Applicant/Agent. Any covering letter from the Pre Approval Co-ordinating Office should also be acknowledged, as appropriate, with a copy retained for filing.

4.2 The Sol, Fly sheet and copy of the Introductory Letter are then printed and the Case Officer arranges for a physical file to be created.

4.3 Creating and Maintaining a Physical File

All new physical files created must be recorded in the record management system(s) appropriate to each organisation. Further guidance on record management can be found at <http://www.scotland.gov.uk/Topics/Rural/SRDP/RuralPriorities/HowItWorks/GuidanceforStaff/ApplicationClaimFiles>

4.3.1 A physical (paper) file will be created using the blue pre-printed file covers with "Rural Development Contract – Rural Priorities" on the front. **All** documents/correspondence should be filed on the physical file until such time as a full electronic file is available.

4.3.2 Files must be clearly marked, in the appropriate sections, with the RPAC Code, Business Reference Number (BRN), Case Reference Number and Location Code.

4.3.3 The Business Name and the Case Title must be clearly written in the appropriate section using BLOCK CAPITALS.

4.3.4 The Date of Opening section must be completed.

4.3.5 All papers should be filed in chronological order using a standard A4 punch and secured with the blue plastic tags.

4.3.6 There will be four standard sections in each file:

Section 1 = Sol

Section 2 = Proposal and associated inspection

Section 3 = Contract

Section 4 = Claim and associated inspection

Each section must be clearly separated using dividers with Section 1 at the back of the file cover and all papers within each section to be sequentially numbered in the top right hand corner e.g. ./1, ./2, ./3 etc

4.3.7 Any maps must be placed in the file pouch which is an integral part of the back cover of the file.

Polypockets should not be used.

4.3.8 If one file cover/part is impractical due to the volume of paperwork then the paperwork should be placed in a separate file cover attached to the 'main' file cover. This may be more relevant for Sols covering multiple items. In the section on the file cover for "Volume" files should be marked 1 of 1, 1 of 2, etc.

4.4 Assessment of Sol.

The target for processing is 25 days from the date the case was allocated to the Case Officer

4.4.1 The Case Officer should include in their assessment reasons for the assessment rating including availability of funding for projects of this type. Once you have completed the Case Assessment text **you should ensure the correct Assessment Status (Red or Amber) has been selected.**

4.4.2 The Case Officer should then print of a copy of their assessment and place it in the physical file.

4.4.3 The Applicant/Agent will obtain their feedback by logging on to Rural Payments online.

If the Sol has not been progressed to a Proposal a year after the Red or Amber assessment has been awarded, the Case Officer must contact the applicant to determine if the case is to be progressed or withdrawn.

4.5 Withdrawn Sol

4.5.1 The Case Officer can, if requested by the Applicant/Agent, withdraw the Sol whilst the status is showing as "Sol Assessment In Progress". The reason for the Withdrawal should be clearly noted in the "Case Officer Notepad".

4.5.2 The Case Officer must print of details of the Withdrawal Notification and place it in the physical file. If the file is in SNH or FCS then it should be transferred to RPID.

4.6 Transferring files to RPID

The physical case file(s) should be transferred to the central administration point of the RPID Area office that covers the RPAC area that the case is in. Files waiting to be transferred must be kept in a secure area. Electronic files do not require to be transferred; any important details held electronically should be printed and placed on the physical file.

When a Case is ready to be transferred to RPID the Case Officer must record on the Case Notepad that the paper master file has been transferred to RPID [name of office] on [date].

The files must be transferred by person or a courier service to the central administration point of the respective RPID office. The receiving office should be notified before the files are transferred so that the transfer goes smoothly, e.g. an email along the following line:

"the following RDC-RP files have been couriered today to your office. The courier is xxxxxxxx and should be with you by xxxxx, can you please email *name* to confirm the files have been received."

RPID Administrative staff will, upon receipt of files:

- (i) email notification of receipt of files to the respective sender(s). This notification should be retained by the transferring office and
- (ii) record all relevant details of files received in respective office recording system.

A record of all the files that have been transferred to RPID must be kept by FCS and SNH and matched up with the receipt. The record should include the Case Ref, MLC, BRN, Business Name, Case Officer, Date Case Transferred Out, Date of Receipt by RPID, Name of Office File transferred to and comments. SNH and FCS must record information to identify files transferred to RPID on their record management systems. This must be done on the same day that file is transferred.