



Scotland Rural Development Programme (SRDP)

Rural Development Contracts – Rural Priorities (RDC-RP)

Capital Claim Workflow

October 2009

Version 0.2

Version Control

Author	Version	Date	Reason
Karen Mowat/Kat Feldinger	0.1	16-Mar -2009	Initial Publication
Sheena Lindsay	0.2	Oct-2009	Procedure changes New Appendix 8

Capital Claim –Manual Processing Workflow

Background

This document details how to issue and process manual capital claims for Rural Priorities.

1. Sending out claim forms

- 1.1 When the appropriate signed page accompanying the Contract is returned to the Case Officer this should prompt them to arrange for the issue of a Capital Claim form.
- 1.2 Separate claims should be issued for all Interim and Final claims stated in the Contract. In most cases this will only be one but the Case Officer should be asked to confirm this before any forms are issued.
- 1.3 The claim(s) should be pre-populated with Case Reference Number, Business Reference Number, Main Location Code, Business Name and Address and RPAC Region Code. It/They should be printed as double sided before being issued to the Applicant, or their authorised Agent, along with a covering letter (Appendix 3).
A copy of [Invoice Receipting Requirements for Actual Cost Capital Payments](#) should also be enclosed where appropriate.
- 1.4 Applicants who enquire about making a claim should also be directed to the Rural Priorities website where guidance on how to complete the form can be found.

Note: if you think the Applicant may not know where their local RPID office is please amend the covering letter so that it is clear where the completed form should be sent.

2. Applicant

When the Applicant, or their approved Agent, is ready to submit a Capital Claim form they should check the pre-populated information and then complete the remainder of the claim form. They then submit it, with all the required documentation, to their local RPID office. Applicants should ensure that if they are submitting a claim under Section 4: Actual Cost Options that invoices fulfil all the criteria required as per [Invoice Receipting Requirements for Actual Cost Capital Payments](#). It is important to note that submitting invoices which do not meet these standards will result in them being returned and the claim being held up until correctly receipted invoices are received.

3. RPID Office

Claims should be dealt with by the RPID office that has responsibility for the Beneficiary (using the Business Reference Number) and the claim will be allocated to a member of staff in accordance with individual office guidelines. **Note – RPID have given an undertaking to pay capital items within 3 months of the claim being received by RPID. Claims should be processed and forwarded to Rural Payments Team as soon as possible following receipt.**

3.1 Case Administrator – assessment of claim (The Case Administrator may be any member of RPID Admin. Staff)

Assess the claim, plus any associated documentation, in accordance with the Capital Claim Checklist (Appendix 8) up to point 13. All anomalies should be clearly detailed within the comments section or, if appropriate, on a separate sheet.

- 3.1.1 date stamp all documentation received (on the reverse side to avoid any of the details of the document being obscured). The actual claim (which is double sided) should be date stamped in the “for official use” box on the first page of the claim.
- 3.1.2 record receipt of the claim in the Capital Claims spreadsheet located in Objective (Appendix 1 details individual office reference numbers).
- 3.1.3 check that claim has been submitted by the Business or the approved Agent that was issued the Contract.
- 3.1.4 check that all mandatory sections of the claim have been completed, including signature, status and date, in line with Contract.
- 3.1.5 check that items claimed are in accordance with the laid down specification and timescale detailed in the Schedule of Works.
- 3.1.6 check that all necessary supporting documentation, as specified in the Contract, has been submitted and that invoices are properly receipted

3.1.7 If claiming to be non Registered for VAT, check that a VAT Registration Status Declaration Form has been submitted.

3.2 Case Administrator – the next stage

3.2.1 if the claim matches the Contract details and, if an Actual Cost claim, the invoices are correctly receipted:

3.2.1.2 prepare and issue an Acknowledgement Letter (Appendix 4) placing a copy on the file.

3.2.1.3 proceed to paragraph **3.4.1**

3.2.2 if the claim matches the Contract details and, if an Actual Cost claim, has invoice deficiencies:

3.2.2.1 prepare and issue a holding letter (Appendix 5) returning the deficient invoices with a copy of the claim. Retain a copy of the holding letter for the file along with the original claim form and photocopies of the returned invoices. Photocopied invoices should be annotated to indicate they have been returned.

3.2.2.2 update Capital Claim spreadsheet located in Objective (Appendix 1 details individual office reference numbers).

- (i) If the invoices are subsequently returned to RPID correctly receipted you may proceed to paragraph **3.4.1**. (The photocopied invoices retained on file (**3.2.2.1** refers) should be destroyed and replaced with the correctly receipted original ones.)
- (ii) If the invoices are subsequently returned to RPID and still do not meet our requirements repeat the procedure as per paragraph **3.2.2.1**.

3.2.3 if the claim does not match the Contract and there are also invoice deficiencies:

3.2.3.1 pass to the District Higher Agricultural Officer (HAO) highlighting the differences on the Checklist and clearly stating that deficient invoices will need to be returned.

3.2.4 if the claim does not match the Contract, but the invoices are acceptable:

3.2.4.1 pass to the District HAO, highlighting the differences on the Checklist.

3.3 District HAO (for 3.2.3 and 3.2.4 above)

- 3.3.1** assess the goods and/or services being claimed in relation to the Contract and, if necessary, contact the Case Officer. It may be considered appropriate to contact the claimant and request that they submit, by e-mail or in writing, reason(s) for the difference. A decision has to be taken at this point as to whether (i) the claim is to be rejected outright or (ii) whether the mis-matches are considered acceptable for the claim to be processed.
- 3.3.2** return the claim to Case Admin. clearly stating your decision and the reason(s) for this.

3.4 Case Admin

Upon return of the claim from the HAO either:

- (i)** accept claim, but address invoice deficiencies; prepare and issue a holding letter (Appendix 5) together with all supporting documents and a copy of the claim. If the HAO has highlighted any major issues with the claim these should be explained in the letter to the applicant, giving them the chance to withdraw their claim and submit a new one. Retain the original claim form and a copy of the holding letter on file.
- (ii)** if the claim is to be rejected, prepare and issue a Rejection Letter (Appendix 6) returning the claim together with all supporting documentation and invoices. Retain a copy of the claim, all related documents and the Rejection letter on file.
- (iii)** if the claim is to be accepted proceed as per **3.4.1**

3.4.1 in all cases update the Capital Claims spreadsheet located in Objective (Appendix 1 details individual office reference numbers).

3.4.2 If no further information is required the claim is now at the stage where it can be exposed to Risk Assessment to determine whether or not it is to be selected for inspection.

The "Ready to be exposed to Risk" column in the Capital Claim Spreadsheet (see Appendix 1) should now be completed which means that the claim will be exposed to the weekly risk assessment programme which is run each Friday.

Important Note: Do not certify any claims until at least 7 calendar days after submission of the claim to ensure that they have been exposed to the weekly risk analysis. In addition, cases selected for inspection must not be certified until the inspection has been completed.

4 Inspections

4.1 Claims Selected For Inspection

If the claim is selected for inspection the Capital Claims Spreadsheet will be updated by HQ's Land Services Branch on a Friday and respective

RPID Offices will be notified by e-mail of selected cases on the following Monday.

4.1.1 Post Approval Co-Ordinator

A decision is taken on the most appropriate organisation to carry out the inspection and an e-mail sent to that office requesting that Line Management identify a suitable individual to carry out the inspection. To ensure clear separation of duties, this cannot be the Case Officer who has been responsible for the case processing.

The Post Approval Co-Ordinator selects or is informed of the name of the Inspecting Officer and reassigns the Case to them. They must then inform Case Admin. accordingly.

4.1.2 Case Admin.

Once advised of who the Inspecting Officer is proceed to:

- make up an Inspection Pack including a Certification and Authorisation Sheet (Appendix 9)
- send the Pack and the file to the Inspecting Officer.

If the file is to be transferred to an office outwith RPID the receiving office/Inspecting Officer should be notified before the file is transferred. 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, please email *name* to confirm the files have been received."

Details of the file transfer must also be recorded within the respective office recording system. The outer cover of the package should be addressed to a named individual and be marked Addressee Only.

4.1.3 Inspecting Officer

4.1.3.1 If the Inspecting Officer is **not** an RPID member of staff upon receipt of the file they should:

- e-mail notification of receipt of file to the respective sender. This notification should be retained by the transferring office and
- record all relevant details of files received in respective office recording system.

4.1.3.2 Upon completion of the inspection the Inspecting Officer:

- completes the Inspection Pack
- certifies the claim – para. 5 refers
Where the Inspecting Officer is a FCS or SNH employee they may certify the claim but are not permitted to authorise the claim and accordingly the completed Inspection Pack and file are returned to the RPID office for authorisation.
- returns the Pack, the Certification and Authorisation Sheet and the file back to RPID Case Admin.

If the file has to be transferred back to an RPID office, RPID Case Admin. should be notified before the file is transferred. 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, please email *name* to confirm the files have been received."

Details of the file transfer must also be recorded within the respective office recording system. The outer cover of the package should be addressed to a named individual and be marked Addressee Only

4.1.4 Case Admin.

Following receipt of the completed Inspection Pack and the file:

- 4.1.4.1 If the file has been returned from another office, details of the file transfer must now be recorded within the RPID office recording system.

Separation of Duties

The **Certifying Officer** must be an RPID member of staff (with the exception of cases inspected by FCS or SNH employees – see 4.1.3.2.). In straight forward cases this may be the Case Administrator who has been responsible for earlier processing of the claim. Where breaches or penalties apply it may be more appropriate for certification to be carried out by a member of the Professional and Technical staff.

The **Authorising Officer** must be an RPID employee.

To meet Audit requirements the Authorising Officer must be a different individual to the Case Administrator and Certifying Officer.

5 Certifying Officer

- 5.1 If the claim has not been selected for inspection or an inspection has been completed satisfactorily it should now be certified for payment:
- 5.2 check all invoices and amounts claimed, ensuring that ineligible items are clearly deducted in the official use column in the claim form
- 5.3 once any original invoice(s) has/have been examined by the Certifying Officer they must be stamped "Examined" on the front using the Scottish Government "Examined" stamp and annotated with the Scheme Name "Rural Priorities" and Case Reference Number. This is to ensure that invoices are not resubmitted with the possibility of double funding. Please try to ensure no information is obscured when stamping invoice.
- 5.4 for each option (which may include several items) apply any penalties which have been identified as a result of previous checks. **N.B. if an intentional breach is suspected the Case should be referred to an HAO or Senior Agricultural Officer (SAO) for checking and further investigation.**

- 5.5 enter amounts due in the appropriate column in the claim form, ensuring none of these exceed the maximum amount available for that item in the Contract. If the eligible amount exceeds the maximum amount available then you should restrict the figure in the "amount due" column to the maximum amount available.
- 5.6 complete, sign and date the Certification section on the Certification and Authorisation Sheet (Appendix 9).
- 5.7 complete and sign the Claim Checklist (Appendix 8)
- 5.8 minute file to the Authorising Officer
- 5.9 If the claim is to be rejected return to Case Admin to:
- 5.9.1 prepare and issue a Rejection letter (Appendix 6) returning the claim together with all supporting documentation and original invoices. Retain copies of everything including the Rejection letter for the file.

6 Authorising Officer

- 6.1 check that Claim Checklist has been completed and signed and claim has been certified and signed at Appendix 9, noting any deductions or penalties applied.
- 6.2 take one photocopy of the examined invoice(s) which is/are attached to the original claim. Once the claim has been paid we will then make certified copies to be retained on file and return the originals.
- 6.3 complete the Authorisation section on the Claim Checklist (Appendix 8) **and** the Certification and Authorisation Sheet (Appendix 9).
- 6.4 update Capital Claims spreadsheet located in Objective (Appendix 1 details individual office reference numbers)
- 6.5 if appropriate prepare and issue a Deduction Letter (Appendix 7)
- 6.6 authorised claims plus a copy of all "examined" invoices are sent to: Rural Payments Team, Mailpoint 1E, Pentland House. **N.B. ensure that the Checklist and the Certification and Authorisation sheet are attached to the claim (Appendices 8 & 9)**

7 Rural Payments Team, Pentland House

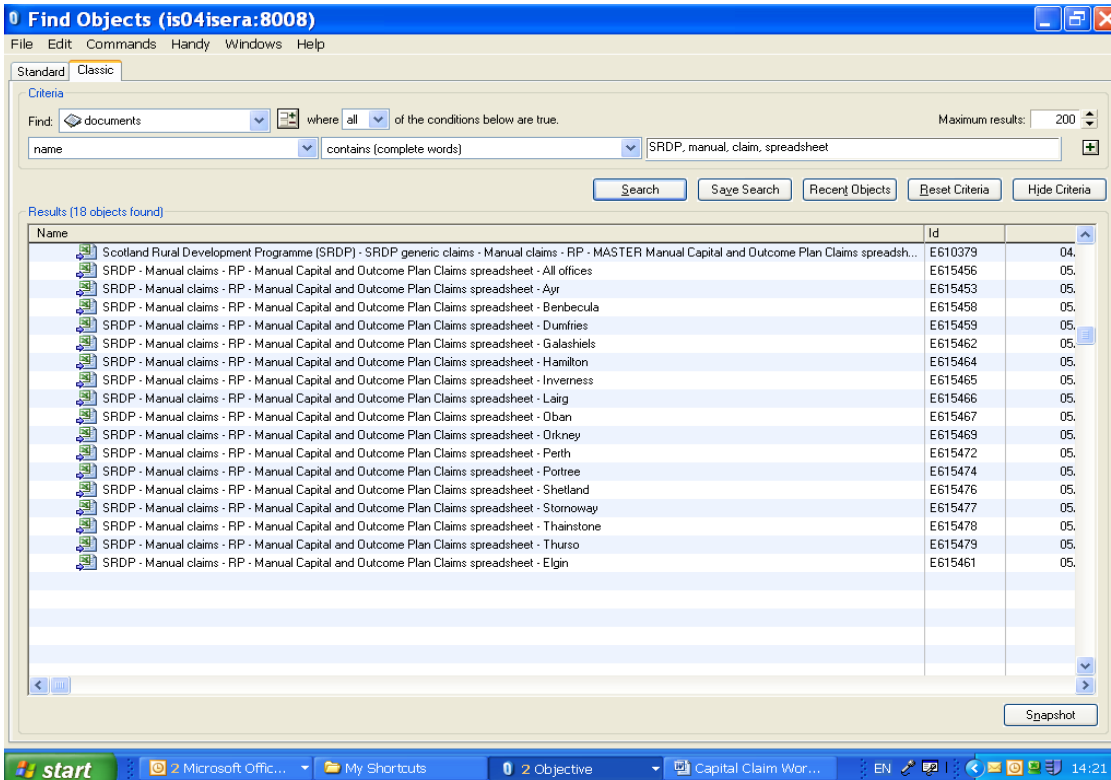
- 7.1 the Rural Payments Team will check the submitted claim and documentation and process the payment through SEAS. If the Team have any queries they

will contact the Authorising Officer. They will then return the paid claim to the respective RPID office with a copy of the payment calculation, manual payment request form and letter issued to claimant

8 RPID Office

Upon receipt of the paid claim from Rural Payments Team, Case Admin (**any member of RPID Admin. Staff**):

- 8.1** check that the manual payment request form sent with the claim has a payment date entered at section 3 of the request form
- 8.2** associate the paid claim with the file.
- 8.3** update Capital Claims spreadsheet located in Objective (Appendix 1 details individual office reference numbers).



Each office will have a capital claims spreadsheet in Objective. As a claim is received and progressed through to payment, each office should track this on the spreadsheet.

It is very important that all offices work directly on the Objective sheets and remember to release them when they have finished working on them. If they do not, the inspections team in Pentland House will be unable to select cases for inspection.

You can find the spreadsheets by running a search in Objective. Go to 'Windows' in the menu bar, then 'find options'. Search for documents with complete words in the title: "SRDP, manual, claims, spreadsheet".

Appendix 2

Identifying breaches and applying penalties

For Capital items, the main type of breach you should be looking for is an 'over-claim', i.e. where the participant claims more than they are entitled to with regards to their Contract, or with regards to the amounts supported by their invoices. Over-claims are usually the result of ineligible items being claimed alongside eligible expenditure, either by negligence or intentionally. If you suspect it is intentional, you should immediately refer the case to a senior officer.

For cases where the claimed ineligible items form part of an invoice (or a set of invoices) which also lists eligible items, you should calculate the percentage of the total amount claimed represented by ineligible items. If the difference is less than 3%, there will be no additional deductions. If the difference is greater than 3%, you should deduct a further amount equal to the value of the ineligible items.

For cases where an ineligible item is claimed on its own, you should simply deduct the entire value of that item. You will then need to deduct an amount equivalent to the value of that item (or those items) again.

Using the columns in the claim form

In section 4 of the claim form, you are asked to calculate the eligible amount from invoices, making any deductions for items which are ineligible. This should be the item with any ineligible costs netted off. You are then asked to set out any deductions to be made in addition as the result of a breach.

Identifying an over-claim relies on you assessing the amounts approved against the amounts claimed and the expenditure incurred.

A case with no over-claims will have invoices that match what is being claimed – in short, there is sufficient eligible expenditure to justify paying out the amount being claimed. Claiming on eligible items to a value in excess of the agreed Contract is permissible, but we will only ever pay up to the agreed limit of expenditure.

Over-claims should be calculated against the total amounts claimed and approved against an item as a whole (e.g. a shed).

The grant rate calculation should be made after any deductions have been made. For ineligible items, the grant rate will be 0.

Examples

Example 1: No breach

A participant is approved for £100 with a grant rate of 50%, but has spent £98 completing the project. The participant claims £98, all of which is eligible.

Example 2: Over the agreed amount – but not a breach

A participant is approved for £100 with a grant rate of 50%, but has spent £112 completing the project. All £112 is eligible, and this is what the participant is asked to submit on his claim form. Because it is all eligible expenditure, this constitutes a declaration of expenditure, not an over-claim. You should use the agreed amount (£100) in calculating the Amount Due:

$$100 * 50\% = \text{£}50$$

Example 3: Under the agreed amount – but a breach

A participant is approved for £100 with a grant rate of 50%, but has spent £98 completing the project. The participant claims £98, but on checking the invoices, the eligible items come to only £92. This is an over-declaration of £6 out of £92, or 6.5%. The over-claim is greater than 3%, so in addition to deducting ineligible amounts, you must deduct the same amount again as a penalty.

$$(\text{£}92 - \text{£}6) * 50\% = \text{£}43$$

Example 4: Includes ineligible items – but still not a breach

A participant is approved for £100 with a grant rate of 50%, but has spent £120 completing the project and declares this. The eligible items total £110. Because there is sufficient eligible expenditure to justify paying out the full agreed amount, we will do so:

$$\text{£}100 * 50\% = \text{£}50$$

Example 5: Ineligible item

A participant submits an invoice for an ineligible item. This should be deducted, and an equivalent amount deducted again.

	FOR OFFICIAL USE ONLY				
	Amount Claimed	Eligible Costs	Further deductions?	Grant rate	Amount due
1	98	98	0	50%	49
2	112	112	0	50%	50
3	98	92	6	50%	43
4	120	110	0	50%	50
5	67	0	67	0	-67
6	500	300	500	50%	0

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Example 6: Intentional breaches

The final row on the table above shows an intentional breach This is where the participant has knowingly and willingly made an incorrect claim for his own financial gain. Cases of this are usually difficult to assess because of the legal requirement on burden of proof (i.e. it is us who must prove that the breach is intentional), and the consequences for the participant are serious. You should seek advice from your authorising officer if you need to. For intentional breaches, you will need to deduct the entire amount being claimed. You will also need to record this on the certification sheet (section 7) as an intentional breach will mean that the participant will not receive any payments for that measure for that year or the following year.

There can be more than one Option under each Measure. You can recognise this by the first three numbers in the option Code (e.g. all options starting with RP214 are the same measure). If there are any other items being claimed affected by this, these should also be set to '£0' in the amount due column. Please highlight all the rows affected on the claim form.

Appendix 3 – Letter to applicant enclosing Capital Claim(s)
**Rural Development Contracts - Rural
Priorities**

«Organisation»
«Address1»
«Address2»
«Address3»
«Address4»
«Postcode»



[Applicant's first name] [second name]
[business name]
«Address1»
«Address2»
«Address3»
«Address4»
«Postcode»

Case Reference Number:
Case Title:
Date:

Dear

**Scotland Rural Development Programme (SRDP)
Rural Development Contract – Rural Priorities (RDC-RP)
Capital Claim Form(s)
Contract Reference:**

I refer to your Rural Development Contract detailed above and now enclose the appropriate claim form(s) for your use.

Please complete and submit it/them to your local RPID Area Office in accordance with agreed timescales.

If you are submitting any receipted invoices with the claim form(s) please ensure that it/they meet(s) the receipting standards as detailed on the attached sheet.

Guidance for completing your form can be found at:

<http://www.scotland.gov.uk/Topics/Rural/SRDP/RuralPriorities/HowItWorks/ClaimsPayments/Howtomakecapitalclaim>

Guidance on the funding for Capital claims can be found at :-

<http://www.scotland.gov.uk/Topics/Rural/SRDP/RuralPriorities/HowItWorks/ClaimsPayments/StandardActualCostItems>

Please do not hesitate to contact me if you have any questions.

Yours sincerely

(Name)
Case Officer

**Rural Development Contracts - Rural
Priorities**

«Organisation»
«Address1»
«Address2»
«Address3»
«Address4»
«Postcode»



[Applicant's first name] [second name]
[business name]
«Address1»
«Address2»
«Address3»
«Address4»
«Postcode»

Case Reference Number:
Case Title:
Date:

Dear

**Scotland Rural Development Programme (SRDP)
Rural Development Contract – Rural Priorities (RDC-RP)
Contract Reference:**

I am writing to confirm safe receipt of your Capital Claim form*and associated documentation received on (date).

Your claim will now be processed in accordance with the laid down procedures and we will notify you of our decision in due course.

Please do not hesitate to get in touch if you have any questions.

Yours sincerely

(Name)
For Principal Agricultural Officer

* delete as appropriate

Appendix 5 –Capital Claim Holding Letter
**Rural Development Contracts - Rural
Priorities**

«Organisation»
«Address1»
«Address2»
«Address3»
«Address4»
«Postcode»



[Applicant's first name] [second name]
[business name]
«Address1»
«Address2»
«Address3»
«Address4»
«Postcode»

Case Reference Number:
Case Title:
Date:

Dear

**Scotland Rural Development Programme (SRDP)
Rural Development Contract – Rural Priorities (RDC-RP)
Contract Reference:**

I refer to your Capital Claim received on(date).

Unfortunately, we are unable to proceed with further consideration of your claim for the following reason(s):

* Accordingly, the deficient invoice(s) and a copy of your original claim are being returned. Once you have addressed the points detailed above please return the original invoices, along with the copy of the claim to which it/they relate, to the above address. This must be done within one month from the date of this letter.

If any of the amounts or items you are claiming change, e.g. if you have been given a discount you should write to us withdrawing the claim in question and submit a new one. If you do not do this, and your claim is for a greater amount than your invoices support, or you claim upon ineligible items we may apply a penalty. You do

not need to submit a new claim if there are no changes to amounts or items being claimed.

Please do not hesitate to contact *me/(name of Case Officer) if you have any questions.

Yours sincerely

(Name)

For Principal Agricultural Officer

* delete as appropriate

Appendix 6 –Capital Claim Rejection Letter
**Rural Development Contracts - Rural
Priorities**

«Organisation»
«Address1»
«Address2»
«Address3»
«Address4»
«Postcode»



[Applicant's first name] [second name]
[business name]
«Address1»
«Address2»
«Address3»
«Address4»
«Postcode»

Case Reference Number:
Case Title:
Date:

Dear

**Scotland Rural Development Programme (SRDP)
Rural Development Contract – Rural Priorities (RDC-RP)
Contract Reference:**

I refer to your Capital Claim received on(date).

Unfortunately, we are unable to proceed with further consideration of your claim as:

Accordingly, it has been rejected and is returned.

*I am also returning all the supporting documentation you submitted.

*Once you address and rectify the points highlighted you can resubmit the claim and documentation for further consideration.

Please do not hesitate to contact *me/(name of Case Officer) if you have any questions.

Yours sincerely

(Name)
For Principal Agricultural Officer
* delete as appropriate

Appendix 7 – Capital Claim Deduction Letter
Rural Development Contracts - Rural Priorities

«Organisation»
«Address1»
«Address2»
«Address3»
«Address4»
«Postcode»



[Applicant's first name] [second name]
[business name]
«Address1»
«Address2»
«Address3»
«Address4»
«Postcode»

Case Reference Number:
Case Title:
Date:

Dear

**Scotland Rural Development Programme (SRDP)
Rural Development Contract – Rural Priorities (RDC-RP)
Contract Reference:-**

I refer to your Capital Claim received on(date) and am pleased to inform you that it has been passed for payment.

Of the costs included in your claim we were unfortunately unable to pay grant on the undernoted:

Item(s)	Cost	Reason
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Please do not hesitate to contact *me/(name of Case Officer) if you have any questions.

Yours sincerely

(Name)
For Principal Agricultural Officer

* delete as appropriate

Section 1 Case Admin. – assessment of claim complete, circle or tick as appropriate

- 1. Case Reference Number:
(confirmed in SIACS Web: Back Office Production) _____
- 2. Date claim received: _____
- 3. Business Reference Number (BRN):
(confirmed in SIACS 1) _____
- 4. BRN matches Business Name on claim: Yes/No
- 5. BACS details are entered in SIACS 1: Yes/No
- 6. Claim details have been entered on spreadsheet.
Case Sequential Number: _____ Yes/No
- 7. Has a Contract Acceptance Letter been issued? Yes/No
- 8. Does the claim match the detail in the Contract? Yes/No
- 9. Have all documents listed on the claim been submitted? Yes/No/NA
- 10. If claimant has stated that they are **not** registered for VAT has
a VAT declaration been submitted? Yes/No
- 11. Do these documents agree with the information in the
Contract/Outcome Plan? Yes/No/NA
- 12. Are invoices receipted in line with scheme requirements? Yes/No/NA
- 13. Acknowledgement letter issued and copied to file Yes/No

Comments:

Signature: _____ User No: _____ Date: _____

Section 2 Case Admin. – the next stage

*delete as appropriate

*Claim matches the Contract/Schedule of Works, * invoices are correctly receipted and claim has now been exposed to Risk Assessment on the spreadsheet

*Claim matches the Contract/Schedule of Works but has invoice deficiencies. Copy Holding Letter is at ./_.

***M_____ (HAO)**

*Claim does not match the Contract/Schedule of Works and also has invoice deficiencies

*Claim does not match the Contract/Schedule of Works but invoices are correctly receipted

*Please see my comments at Section 1 above and advise accordingly.

Signature:_____ User No:_____ Date:_____

Section 3 District HAO

M_____ (Case Admin.)

I have assessed the claim, in light of the comments detailed above, and advise as follows:

Signature:_____ Use No_____ Date:_____

Section 4 Case Admin. - Cases selected for Inspection

M _____ (Inspecting Officer)

- 1. Type of Inspection: _____
- 2. Selection notification has been copied to the file at ./_ Yes/No
- 3. Inspection Pack has been prepared and placed in file pouch. Yes/No

Comments:

Signature: _____ User No: _____ Date: _____

M _____ (Case Admin.)

- 4. Claim has been inspected and completed Inspection Pack filed at ./_
- 5. Claim *has been certified – see section 5/*should now be passed for certification.

Comments:

Signature: _____ User No: _____ Date: _____

Section 5 Certifying Officer Certification/Rejection

M _____ (Authorising Officer)

- 1. All invoices have been checked to ensure that goods/services being certified are eligible. Yes/No/NA
- 2. Deductions, Breaches and Penalties have been assessed and recorded on the claim form (if an intentional breach is suspected the Case must be referred to an HAO or SAO to certify). Yes/No/NA
- 3. All original invoices claimed have been stamped as “Examined” and annotated with the Scheme Name and Case Ref. No. Yes/No/NA

4. Claim has been certified at Appendix 9. Yes/No

Comments:

Signature: _____ User No _____ Date; _____

Section 6	Authorising Officer	Authorisation/Rejection
------------------	----------------------------	--------------------------------

1. As a result of the above checks the capital claim is *authorised/rejected.

A single payment of £_____ has been authorised and the original claim and copy invoice(s) has/have been sent to:
Rural Payments Team, Mailpoint 1-E, Pentland House Yes/No/NA

2. Notification of any Deductions, Breaches or Penalties has been checked and Issued to the claimant. Yes/No/NA

3. A Rejection Notification letter has been prepared and issued with a copy retained for the file. Yes/No/NA

4. Capital Claims spreadsheet has been completed. Yes/No

Comments:

Signature: _____ User No: _____ Date: _____

Appendix 9 – Capital Claim Certification and Authorisation Sheet

Grant certified from claim

Section 3	£
Section 4	£
TOTAL GRANT CERTIFIED FOR PAYMENT	£

CERTIFYING OFFICER

I The work to which this claim relates satisfies the conditions of the scheme to the best of my knowledge and belief.

II I have examined the relevant vouchers and am satisfied that the rates/charges are reasonable and grant as stated above has been earned.

III I am satisfied that breaches and penalties have been handled in accordance with the current guidance which takes account of Commission regulations (1975/2006) (control regulation)

IV The work to which this claim relates has been inspected.
YES NO

Report (Include reason for any restriction e.g restriction to 70% of maximum value available if for interim claim)

Certifying Officer:

User ID: _____ Date:

AUTHORISATION STATEMENT

Further details of any breaches and penalties applied to this claim

Are you satisfied that any over-claim of less than 3% of the total value of the eligible items has been deducted in the certified amounts in section 4 of the claim form?

YES / NO / Not Applicable

Are you satisfied that any over-claim greater than 3% of the total value of the eligible items has been deducted in the certified amounts in section 4 of the claim form and that the appropriate penalty has been applied?

YES / NO / Not Applicable

In your opinion, has the claimant committed an intentional breach by wilfully submitting an inaccurate claim or part of a claim to his financial benefit?

YES / NO

(please note, answering yes to this question will mean that the business will receive no co-financing support for the operation in question and shall be excluded from receiving support from the European co-financed schemes – including all of the SRDP and any Pillar 2 legacy schemes - for that measure that year and the next.)

If YES, to which option code(s) does this intentional breach apply?

Grant authorised:	£ _____
Authorising Officer	
User ID	Date