To : Finance Branch, SWD

**Lotteries Fund**

**Claim Certificate - Reimbursement**

Please read the notes on page 2 carefully before completing the form

|  |  |
| --- | --- |
| Name of Non-governmental Organisation (NGO) : |  |
| Service Unit : |  |
| SWD File Ref. : |  |
| Description of Grant : |  |
|  |  |
|  | (As stated in the caption of the letter of approval) |
| Grant Code : |  |

 In relation to our claim for payments under the Lotteries Fund for the items listed in the \*Form I (Annex 5.3.1-for works project with Authorised Person (AP)/Consultant) / \*Form II (Annex 5.3.2- for procurement of furniture, equipment or vehicle, or works project without AP and other claims) attached, I am authorised by the organisation to certify that

|  |  |
| --- | --- |
| \*(1) | the items currently claimed under Form I : - |
|  |  |
|  | (a) have not been claimed previously and settled by the Lotteries Fund |
|  | (b) are in accordance with the contract entered according to the guidelines on procurement as contained in the Lotteries Fund Manual; and  |
|  | \*(c) (for lump sum grant for fitting-out works project) are up to the standard specified in the Technical Schedule. |
|  |  |
| \*(2) | the items currently claimed under Form II : - |
|  |  |
|  | (a) have been received in good conditions; |
|  | (b) are in accordance with approved specifications and drawings; |
|  | (c) have not been claimed previously and settled by the Lotteries Fund; |
|  | (d) have been checked to be correct against the supporting invoices and receipts in respect of the quantities, unit prices and amounts; and |
|  | (e) have been purchased by quotation or tender in accordance with the guidelines as contained in the Lotteries Fund Manual. |
|  |  |
| (3) | full receipts have been attached  |
|  |  |
| (4) | the unclaimed balance (net of the current claim) of the grant amounting to $ \_\_\_\_\_\_\_\_\_　\*can be reverted to the Lotteries Fund / \* is still required for further payment. |
| 2. For further information, please contact \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ at telephone no. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ and email \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_. |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  |  |  |  |
| Signature: |  | Position: |  |
|  |  |  |  |
| Official Chop of NGO | Name: |  | Date: |  |

(\*Delete as appropriate)

(Rev 01/22)

### Notes

1. Separate Claim Certificate for Reimbursement (Annex 5.3(a)) and Certificate of Payment (Annex 5.3.1 or 5.3.2) should be submitted by organisations for applications involving different grant codes. A new Claim Certificate for Reimbursement and Certificate of Payment should be submitted each time an organisation applies for reimbursement.
2. The correct Grant Code as advised by the Social Welfare Department must be quoted to identify the particular grant against which the current claim is being made.
3. All forms, invoices/ receipts, certificates etc. should be submitted in duplicate.
4. Failure to complete the claim forms properly may cause delay in reimbursement.
5. Unless otherwise specified in the Manual/ approval letter (e.g. the claim certificate for final payment claims of fitting out/ works projects without final account should be addressed to LFPS of SWD in accordance with paragraphs 3.3.3 and 5.6.7 of the Manual), the duly completed Claim Certificate for Reimbursement with the relevant Certificate of Payment should be sent to Finance Branch of SWD for processing.

To : Finance Branch, SWD

# Lotteries Fund

# Application for Advance Payment

(Please refer to the Notes on page 3 and 4 of this document before completing the form)

|  |  |
| --- | --- |
| Name of Non-governmental Organisation (NGO) : |  |
| Service Unit : |  |
| SWD File Ref.: |  |
| Description of Grant : |  |
|  |  |
|  | (As stated in the caption of the letter of approval) |
| Grant Code : |  |

 In relation to our application for advance payments under the Lotteries Fund for the items listed in the #Form I (Annex 5.3.1-for works projects with Authorised Person (AP)/Consultant)/ #Form II (Annex 5.3.2-for procurement of furniture, equipment or vehicle, or works projects without AP and other claims, etc.) attached, I am authorised by the organisation to certify that the items applying for advance payment –

|  |  |
| --- | --- |
| (a) | the items applying for advance payment have not been claimed previously and settled by the Lotteries Fund; |
| #(b) | *(for items applied under Form I only)* the works are conducted in accordance with the contract entered according to the guidelines on procurement as contained in the Lotteries Fund Manual;  |
| #(c) | *(for items applied under Form I only)* the works are confirmed by the AP to be up to the standard specified in the Technical Schedule, with AP certificate provided; |
| #(d) | *(for items claimed under Form II only)* the items have been purchased by quotation or tender in accordance with the guidelines as contained in the Lotteries Fund Manual; |
| #(e) | *(for items claimed under Form II only)* F&E items or vehicles have been received in good conditions; have been checked to be correct against the supporting invoices in respect of the quantities, unit prices and amounts; |
| #(f) | *(for items claimed under Form II only)* for works without AP, Technical Feasibility Study, consultancy studies and others, they have been carried out/ completed in satisfactory condition; are conducted in accordance with approved specifications and drawings; have been checked to be correct against the supporting invoices in respect of the quantities, unit prices and amounts. |
|  |  |
| *# Please delete as appropriate.* |

2. I hereby confirm that –

|  |  |  |
| --- | --- | --- |
| (a) |  | there is no receipt and supporting document, if required, that is overdue for submission for previously released advance payments under the same project (i.e. same grant code); |
| (b) |  | our organisation has made necessary arrangements to stagger the payments for the project in order to minimise possible financial impact on our cashflow; |
| (c) |  | our organisation has genuine financial difficulties to meet the payment for the expenses concerned; |
| (d) |  | all pre-agreed payment schedule(s) with the contractor/ supplier/ consultant for the advance payment under application, if any (Note), has/ have been attached and the invoice(s) submitted has/ have clearly stated the progress stage that the project has reached with reference to the information in the payment schedule; and |
| (e)  |  | the project has reached the stage progress as stated in the invoice(s)/ receipt(s) and our organisation is satisfied with the quality of works/ service/ goods delivered in the project so far. |

I understand that our organisation would be accountable to answer enquiry related to the application and bear the possible consequence of misrepresentation, if any.

*(Note) For each works project or consultancy project (including technical feasibility study), there should be a payment schedule agreed between the NGO and the contractor/ supplier/ consultant which sets out the percentage/ amount of payment after attaining certain progress in the project. For other projects, if such payment schedule is available, the NGO should also present it and confirm the stage progress accordingly.*

|  |  |
| --- | --- |
|  |  |

3. I hereby submit the invoice(s) and relevant documents mentioned in Note 8 of this application for the advance payment request and undertake that receipts of purchase and other documents (if applicable) required by SWD would be submitted as soon as possible, and in any case not later than the specified time frame as marked in Note 10 of this application after the release of payment from the LF. I fully understand and accept that –

(a) SWD may release up to two advance payment claims while awaiting return of relevant receipt and/ or supporting documents required, if any, under the same project (i.e. same grant code) at any point in time, on the condition none of the scenarios mentioned in Note (7) applies;

(b) if our organisation fails to submit the receipt and/ or other supporting documents required for this subject advance payment after the deadline, SWD may take actions to suspend other payments for this project (including reimbursement payment claims) and/ or other LF projects under our organisation (including Block Grant);

(c) SWD may consider the information provided by our organisation, past records of our organisation’s readiness to submit documents requested and receipts within the time frame required when handling applications for advance payment, and other relevant information as and when necessary, in considering this application for advance payment;

(d) the responsibility to meet the payment request according to the agreed schedule with the contractor/ supplier/ consultant rests with our organisation; and SWD, under no circumstances, would be accountable for any delay in payment by our organisation to the contractor/ supplier/ consultant; and

(e) SWD could only process the claim with required documents submitted and with reasonable time allowed to complete the formalities. The urgency to meet payment would not constitute a justified reason for SWD to release advance payment claim without sufficient information provided or without reasonable time to complete formalities required.

|  |  |
| --- | --- |
|  |  |
| 4. The unclaimed balance of the grant amounting to $ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*#can be reverted to the Lotteries Fund/ is still required for further payment*. *# Please delete as appropriate.*5. For further information, please contact \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ at telephone no. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ and email \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
|  |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  |  |  |  |
| Signature: |  | Position: |  |
|  |  |  |  |
| Official Chop of NGO | Name: |  | Date: |  |

(Rev 01/22)

Notes

|  |  |
| --- | --- |
| 1. | The minimum amount of advance payment claim is $50,000. |
| 2. | Separate Application for Advance Payment (Annex 5.3(b)) and Certificate of Payment (Annex 5.3.1 or 5.3.2) should be submitted by organisations for applications involving different grant codes. A new Application for Advance Payment and Certificate of Payment should be submitted each time an organisation applies for advance payment. |
| 3. | The Grant Code as advised by the SWD must be correctly quoted to identify the particular grant against which the current claim is being made. |
| 4. | One original plus one copy of all forms, invoices, certificates etc. should be submitted in duplicate. |
| 5. | Failure to complete the claim forms properly may cause delay in release of advance payment.  |
| 6. | Unless otherwise specified, the duly completed Application for Advance Payment with the relevant Certificate of Payment should be sent to Finance Branch of SWD for processing. |
| 7. | SWD could release **up to two advance payment claims** while awaiting return of receipts and supporting documents (if any) required under the same project (i.e. same grant code) at any point in time, on the condition that –1. there is no receipt and supporting document, if required, that is overdue for submission for previously released advance payment(s) under the same project (i.e. same grant code); and
2. there is no punitive measure in force against the NGO, regarding its continuous failure to submit the outstanding payment receipts and other supporting documents for advance payment(s) in its other project(s) under the LF for outstanding receipt(s) and supporting document(s)) (Note: The NGO would be informed of any such punitive measure in force in writing by SWD); and
3. SWD has not ruled that the NGO could not be released any advance payment for other reasons (e.g. in view of its unsatisfactory past records in terms of readiness to submit documents requested and receipts within the time frame required when handling application(s) for advance payment) (Note: The NGO would be informed of any such punitive measure in force in writing by SWD).
 |
| 8. | The ceilings for different types of advance payments and documents to be submitted in support of an advance payment application are set out below – |

| **Type of****Payment Claim** | **Ceiling for the total amount of advance payment that could be released while awaiting return of receipts and supporting documents (if any) required under the same project** **\*** | **Documents Required to be submitted together with advance payment applications** |
| --- | --- | --- |
| 1. Purchase of Vehicle
 | Lower of –(1) $2 million per vehicle, or (2) the amount as stipulated in payment schedule agreed between the NGO and the supplier; subject to aggregate payment not exceeding LF grant approved (after offsetting the Ex-gratia Payment and scrapped value).  | Proof of receipt of vehicles and supporting documents including invoice from supplier, vehicle registration document issued by the Transport Department and photographs of vehicles concerned), and payment schedule (if any). |
| 1. TFS and other consultancy (excluding consultancy for construction/ renovation/ fitting-out projects)
 | Lower of –1. $ 2 million; or
2. the amount as stipulated in payment schedule agreed between the NGO and the consultant,

subject to aggregate payment not exceeding LF grant and contract sum.  | Invoice, relevant certificates from project consultant stating the progress stage reached and payment schedule as contained in the contract with consultant on arrangement for stage payment. |
| 1. Works Projects (including consultancy studies for construction projects under two-stage approach)
 | The lowest of –(1) $15 million;(2) 1/4 of grant amount/ contract sum; or(3) the amount as stipulated in payment schedule agreed between the NGO and the supplier/ contractor/ consultant,subject to aggregate payment not exceeding 95% of LF grant and contract sum. | Invoice, relevant certificates (e.g. AP certificate) from project consultant stating the progress stage reached and payment schedule as contained in the contract with consultant/ contractor on arrangement for stage payment.  |
| 1. Non-works projects (excluding purchase of vehicle)
 | The lowest of –(1) $5 million; (2) 1/4 of grant amount/ contract sum; or(3) the amount as stipulated in payment schedule agreed between the NGO and the supplier/ contractor/ consultant,subject to aggregate payment not exceeding LF grant and contract sum.  | Invoice, photograph(s) and payment schedule, if any |
| *\* Amounts exceeding the ceiling are to be settled by reimbursement upon presentation of receipt.*  |

|  |  |
| --- | --- |
| 9. | SWD may take into account past records of the NGO’s readiness to submit documents requested and receipts within the time frame required when handling application(s) for advance payment. |
| 10. | The following documents should be submitted to SWD within one month after release of advance payment from LF –

|  |  |
| --- | --- |
| **Type of****Payment Claim** | **Basic documents to be submitted to SWD after release of advance payment\***  |
| I. Purchase of Vehicle | Receipt and photograph(s) of vehicle purchased with the acknowledgement of the donation from LF being painted on both sides of the vehicle body. |
| II. TFS and other consultancy (excluding consultancy for construction projects) | Receipt |
| III. Works Projects (including consultancy studies for construction projects) | Receipt |
| IV. Non-works projects (excluding purchase of vehicles) | Receipt |

*\* SWD may request for additional documents to be submitted when necessary.* |

To : Finance Branch, SWD

# Lotteries Fund

# Advance Payment – Submission of Documents after Release of Payment

*(Please refer to the notes on page 2 before completing the form)*

|  |  |
| --- | --- |
| Name of NGO : |  |
| Service Unit : |  |
| SWD File Ref. : |  | Date of Approval of the Grant  |  |
| Description of Grant : |  |
|  |  |
|  | (as stated in the caption of the letter of approval) |
| Grant Code : |  |

 I hereby submit the receipt(s) and other documents, if any, for the following advance payment released previously –

|  |  |  |  |
| --- | --- | --- | --- |
| Date of Submission of Advance Payment Application | Date of Notification of Advance Payment | Amount of Advance Payment Released(A) | Receipt(s) Included in this Submission |
|  |  |  | Amounts(B) | Attachment. No. |
|  |  |

2. I confirm that –

|  |  |
| --- | --- |
| 🞎\* | I have submitted all the relevant receipt(s) and required documents for the above advance payment. |
| 🞎\* | the receipt(s) and required documents submitted only cover part of the advance payment released. I will submit the required documents for the remaining amount as soon as possible. I understand that in case of delay in submission of documents required, SWD may take actions to suspend other payments for this project (including reimbursement payment claims) and other LF projects approved to our organisation (including Block Grant).  |
| 🞎\* | the receipt(s) and required documents submitted only cover part of the advance payment released. I agree to refund the portion of the advance payment released which cannot be supported by receipt and supporting documents provided by our organisation (i.e. $\_\_\_\_, being Amount (A) less Amount (B) reported in the above table). |

*\* Please put a tick “🗸” in the appropriate box. Only one of the above boxes should be chosen.*

3. For further information, please contact \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ at telephone no. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ and email \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_.

|  |  |
| --- | --- |
|  |  |
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|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  |  |  |  |
| Signature: |  | Position: |  |
|  |  |  |  |
| Official Chop of NGO | Name: |  | Date: |  |

### Notes

|  |  |
| --- | --- |
| 1. | Separate Advance Payment-Submission of Documents after Release of Payment (Annex 5.3(c)) should be used by organisations for submission of documents in relation to advance payment involving different grant codes.  |
| 2. | The Grant Code as advised by the Social Welfare Department must be correctly quoted to identify the particular grant against which the current claim is being made. |
| 3. | One original plus one copy of all forms, invoices/ receipts, certificates, etc. should be submitted. |

(Rev 01/22)

**Lotteries Fund**

**Certificate of Payment – Form I (Note 1)**

(For works project with Authorised Person / Consultant)

|  |  |
| --- | --- |
| Name of Non-governmental Organisation (NGO) : |  |
| Service Unit : |  |
| SWD File Ref. (Note 2): |  |
| Date of Approval of the Tender / Quotation (Note 2): |  |
| Grant Code : |  |
| Amount of Grant Approved :  | $ |
| Name of Contractor : |  |
|

|  |  |
| --- | --- |
|  |  |
| **Contract Sum :**  |
| Amount of approved tender sum : | $ |  |  |  |
| Extra work of Variations (if any)  | + $ |  |  |  |
|  | – $ |  |  |  |
| Contingencies | – $ |  |  |  |
| Adjusted contract sum : | = $ |  |  |  |
|  |
|  |  |  |  |  | Amount     ($)      |
| Total amount certified to date: - |  |  |
| Less: | Retention Money:  | ( %) |  |  |  |  | ( ) |
| Less: | 1. Previous Payment Certificate No.
 |  |      ($)       |  |  |
|  | (a) |  |  |  |  |
|  | (b) |  |  |  |  |
|  | (c) |  |  |  |  |
|  | (d) |  |  |  |  |
|  | (e) |  |  |  | ( ) |
|  |  |  |
| Current Payment Certificate No. (if any) \_\_\_\_\_\_\_\_ Date\_\_\_\_\_\_\_\_ Amount Claimed: |  |
| **Other payments to be taken into account (if any)*** Professional Fee
* Lithography
* Others (please specify) :
 |  |  |  |
|  |
|  |
| Less:(2)Amount of Recipient’s / Borrower’s Contribution (if any) |  | ( |  ) |  |
|  |  |  |
|  | **Total amount now claimed $** |  |   |

 |  |

**Notes :**

1. This form must be accompanied by the Authorised Person / Consultant’s certificate of progress and (for lump sum grant for fitting-out projects) undertaking that the fitting-out works are up to the standard specified in the Technical Schedule. One original plus one copy of each document should be attached.
2. Where approval of quotation/tender by the Social Welfare Department (SWD) is required, the SWD file reference in respect of the approval of tender / quotation should be stated.

(Rev 07/20)

**Lotteries Fund**

**Certificate of Payment - Form II**

(For procurement of furniture, equipment or vehicles, or

works project without Authorised Person and others)

|  |  |  |
| --- | --- | --- |
| Name of Non-governmental Organisation | : |  |
| Service Unit | : |  |
| Description of Grant | : |  |
| Grant Code | : |  |

**Part A** – Details of previous claims submitted

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| No | Date(as shown in claim certificate) | AmountClaimed$(a)=(b)+(c)+(d) | AmountReleased$(b) | AmountNot Approved$(c) | AmountPending Release$(d) |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
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|  |  |  |  |  |  |
|  | 1. Total:
 |  |  |

(Rev 01/22)

**Part B** – Details of current claims

|  |  |  |  |
| --- | --- | --- | --- |
| Attachment No.(Note 1) | Description of Items(Note 2) | Quantity | Amount Claimed($) |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
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|  |  |  |  |
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|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  | 1. Total :
 |  |
|  | **Total Claims up-to-date** (A) + (B) : |  |

**Notes :**

1. Please assign sequential reference number to each supporting invoice/ receipt. The number should be marked on the top right hand corner of each invoice/ receipt. One original plus one copy of invoice/ receipt should be attached.

2. (a) For works project, please enter the item (and its number) claimed as described in the approval list of the Social Welfare Department’s approval letter. Alternatively, details of current claims can also be provided by a photocopy of the said approval list modified to include information required in Part B here.

 (b) For claims of furniture and equipment and others, please fill in the description of the invoice/ receipt.

(Rev 01/22)