

**MAYOR OF LONDON**



**GLA ESF 2014-2020 CO-FINANCING PROGRAMME**

# **PROSPECTUS**

**START UP, STEP UP LONDON**

**LONDON**  
GROWTH HUB



**European Union**  
European  
Social Fund

# **COPYRIGHT**

**Greater London Authority (GLA)**  
**January 2019**

Published by  
Greater London Authority  
City Hall  
The Queen's Walk  
More London  
London SE1 2AA  
**[www.london.gov.uk](http://www.london.gov.uk)**

Copies of this document are available  
from [www.london.gov.uk](http://www.london.gov.uk)

**Project Code:** P1.1/P2.1/SUSUL

**Sponsoring Team:** Regeneration & Economic Development

For more information or to ask a question during the bidding process, please email  
**[ESFProgramme2014-20@london.gov.uk](mailto:ESFProgramme2014-20@london.gov.uk)**

---

## CONTENTS

<b>Section 1</b>	<b>Introduction and Context</b>	<b>1</b>
<b>Section 2</b>	<b>How to apply</b>	<b>4</b>
<b>Section 3</b>	<b>How GLA will score your application</b>	<b>7</b>
<b>Section 4</b>	<b>Conditions of Applying</b>	<b>12</b>
<b>Section 5</b>	<b>Useful Information</b>	<b>15</b>
<b>Appendix 1</b>	<b>Acronyms</b>	<b>28</b>
<b>Appendix 2</b>	<b>Additional documentation</b>	<b>29</b>

APPLICANTS SHOULD NOTE THAT IN ORDER TO ACCESS THE FUNDING OPPORTUNITIES OUTLINED IN THIS PROSPECTUS THEY MUST COMPLETE THE FULL APPLICATION

FOR FURTHER INFORMATION, PLEASE SEE SECTION 2 OF THIS PROSPECTUS.

## How to use this Prospectus

If you are interested in applying to deliver the Start Up, Step Up London project which is supported under GLA's ESF 2014-20 programme, please read this prospectus carefully. It will give you details of how to submit an application, the scoring, moderation and award process, and the timelines for the application process and delivery period, as well as additional information that will assist you to complete your application.

- Section 1** provides contextual information regarding the client groups that GLA would like projects to support, the rationale behind our decision to provide funding in respect of the delivery of sustained outcomes, and gives an introduction to the management structure of London's ESF programme, and to the other London Co-Financing Organisations (CFO's).
- Section 2** details the:
- process applicants will need to adhere to when submitting their bids;
  - confirms the timetables and guidance that will be available.
- Section 3** explains the scoring and selection process for applicants.
- Section 4** explains the conditions that applicants must adhere to if they decide to submit an application for funding.
- Section 5** contains information that applicants may find useful in completing a bid, as well as generic information about the GLA ESF programme, and guidance and links to key documentation.
- Appendix 1** contains a list of Acronyms.
- Appendix 2** contains a list of additional documents that will be released on GLA website at the commencement of the Stage 1 & 2 Full Application period.

Applicants intending to submit a bid must ensure that they are aware of the detail in the 'Specification' for the grant(s) that they intend to apply for.

## Section 1 Introduction and Context

### 1.1 Introduction

GLA is a strategic authority with a London-wide role to design a better future for the capital. GLA supports both the Mayor of London to deliver his priorities for London, and the London Assembly in their role of scrutinising the work of the Mayor and representing the interests of Londoners.

GLA is responsible for driving London's sustainable economic growth, and works to tackle the various barriers to employment and seek to improve and develop the skills of London's workforce. GLA has a vital role to play in creating an effective approach to economic development and regeneration in London.

GLA's ESF programme channels investment to progress NEET, unemployed and economically inactive individuals into sustained employment and/or education for a minimum of 26 weeks, and to assist those in low paid employment to improve their position in the labour market, with a focus on disadvantaged groups.

### 1.2 The case for sustained employment

During the ESF 2007-13 Programme, London Development Agency (LDA - then the Mayor's agency responsible for driving London's sustainable economic growth) introduced sustained result targets, and specifically sustained employment results targets. In order to implement the findings of the Freud/DWP (2007) publication 'Reducing Dependency, Increasing Opportunity: Options for the future of welfare to work' the final sustainable employment count point was increased to 52 weeks for new 2011-13 activity when the Regional Development Agencies were closed in 2012 and LDA ESF activity was transferred to GLA.

The rationale for adopting a 12-month measure of sustainability can be broken down into two arguments: a fiscal case for a longer sustainability measure, and the benefits of longer outcomes for individuals. The fiscal merits of a 12-month outcome are clear. Freud argued that the fiscal gain of a year-long move into employment by a claimant on one of the three main benefits is substantial. For instance, an IB claimant sustaining work could generate £5,900 savings on benefit expenditure, with wider exchequer gains of a further £3,000 a year<sup>1</sup>. If you combine Freud's work on the potential savings with the LDA/Inclusion paper on the benchmarks of getting the long-term workless back into sustained work, the Exchequer would only make savings once an individual sustains employment for almost one year.

Moreover, these findings are in line with the Social Market Foundation's work on welfare reform. In their seminal paper on the next stages of welfare reform<sup>2</sup> they argue that welfare to work interventions do not break even unless employment is sustained for 52 weeks or more and any back to work programme that does not measure sustainability for at least 12 months runs the risk of being cost negative to the Exchequer.

Whilst the fiscal arguments make economic sense they are more compelling when seen from the individual's perspective. Individuals who are able to sustain employment for 12 months and more are more likely to:

<sup>1</sup> Freud/DWP (2007) 'Reducing Dependency, Increasing Opportunity: Options for the future of welfare to work'

<sup>2</sup> Social Market Foundation (2009) 'Vicious Cycles: the future of welfare reform'

- **Earn more.** Almost everyone is better off in work and the probability of being better off after working for a year is greater than after six months.
- **Have greater labour market security.** Individuals with recent work history tend to be more employable (and the longer the employment spell stretches the better) and better able to adapt to changing labour market demand or unforeseen economic shocks.
- **Be healthier.** People that work and sustain work are healthier and less likely to suffer from extended sickness of mental health related illnesses; and
- **Contribute to greater social mobility.** Children of individuals that worked are themselves more likely to work. And working also reduces the risk of children living in poverty and experiencing inter-generational poverty.

For the ESF 2014-20 period, CFO's in London are required to include 26 week sustained employment and education result targets. Therefore, in order to create a comparable London programme, GLA have aligned their programme objectives with the other CFO's.

### 1.3 European Social Fund in London

Since 2000, the European Social Fund (ESF) has been a key part of the EU's Lisbon strategy for growth and jobs. It supports the EU's goal of increasing employment by giving workless and disadvantaged people the training and support they need to enter jobs. By focusing on those most in need of help, it contributes to policies to reduce inequality and build a fairer society. The ESF also equips the workforce with the skills needed by business in a competitive global economy<sup>3</sup>. The ESF was set up to improve employment opportunities in the European Union and so help raise standards of living. It aims to help people fulfil their potential by giving them better skills and better job prospects.

The 2014-2020 London European Social Fund Programme, which is under the strategic direction of the Mayor and the London Enterprise Panel (LEP), is administered on the Mayors' behalf by the European Programmes Management Unit (EPMU), who act as the Intermediate Body for ESF in London.

The LEPs 2014-2020 London European Structural & Investment Funds (ESIF) Strategy for London<sup>4</sup> sets out the key areas for investment and details how ESF will support the capitals jobs and growth aims.

### 1.4 How activity will complement other Co-Financing Organisation (CFO) ESF provision

The LEP has designed a comprehensive package of ESF provision which responds to the suite of ESF objectives outlined in the Operational Programme for 2014 to 2020<sup>5</sup>.

During the development of the 2014-2020 London ESF Programme, GLA worked alongside a range of stakeholders, including London CFOs, London boroughs, VCS organisations, providers and others to discuss how best to support the cohorts identified as requiring assistance. Throughout this development, lessons learnt from the 2007-13 London ESF programme were applied to the programme design, included a review of unit costs to ensure that investment was appropriate to particular cohorts. The development work resulted in a number of specifications being created for use by London CFOs.

<sup>3</sup> <https://www.gov.uk/guidance/england-2014-to-2020-european-structural-and-investment-funds>

<sup>4</sup> <https://lep.london/sites/default/files/2016%2002%2005%20%20London%20ESIF%20with%20Financial%20alloc%20%26%20outputs%20V2.pdf>

<sup>5</sup> <https://www.gov.uk/government/publications/european-social-fund-operational-programme-2014-to-2020>

Initially the make-up of London CFOs (or Opt-in Organisations) for the 2014-2020 comprised of regional agreements with national organisations; the Skills Funding Agency (SFA), Big Lottery Fund and Department of Work and Pensions (DWP); and regional provision supported through the national agreement with the National Offender Management Scheme (NOMS). However, on 22 November 2015, the GLA were also invited to become a CFO, and CFO Status was approved on 14 March 2016.

GLA, for the 2014-20 programme period, has developed a suite of projects approved by EPMU which is fully integrated and customer focused. The GLA ESF CFO Programme has been developed to complement existing provision, including piloting new approaches to delivery, targeting specific cohorts, and building on the Mayoral 'brand', whilst responding to the objectives of moving people into sustained employment, education or training, of upskilling people in low-paid employment, and of reviewing skills offered to ensure they match the requirement of business (and particularly SMEs and Micros). The GLA have worked closely with EPMU during the design phase to ensure that proposed projects dovetail with existing CFO provision.

Projects will focus on disadvantaged workless groups, delivering activities which add value to and complement mainstream programmes. The GLA has identified where it can best provide added value, and its projects include those which aim to assist specific client groups not already identified in alternate CFO provision, those which are piloting innovative approaches to engagement and delivery, and those which leverage Mayoral influence and strategic stakeholder links to improve programme impact and increase employer engagement.

## Section 2 How to apply

GLA invites applications from potential delivery partners in line with the requirements laid out in this prospectus and the appropriate project application form. GLA are interested in working with organisations that follow the principles of the Merlin Standard. In the application form we would be looking to see how lead partners will demonstrate this with sub-contractors. GLA Grant Agreement will underpin this and that sub-contractors are treated no less favourably than Lead Providers.

### 2.1 Application Process

Potential applicants will be required to complete a tailored application form comprising Part A: Pre-Qualification Questionnaire (PQQ), and Part C: Proposal. The PQQ will require applicants to select the relevant answers to a series of questions which;

- Confirm processes that they will have in place that will allow them to deliver their proposed programme;
- Confirm procedures that they will have that determine the way they will deliver their proposed programme;
- Confirm areas such as Financial robustness;
- Confirm any prior experience in delivering similar projects to similar client groups;
- Confirm their ability to provide relevant referees;
- Confirm their ability to immediately provide any documentation that GLA will require to carry out due diligence checks;

and which may test the applicants ability to deliver a project by reviewing prior experience.

The application form will be scored against set criteria by a minimum of two scorers. Applications will be evaluated using objective criteria based on the following:

- Understanding of the target group and extent to which proposed delivery meets the needs of the target groups in terms of access and delivery
- Quality and achievability of the provision and outcomes
- Value for money
- Contribution to equal opportunities, sustainable development and health
- Evidence of effective collaborative working and intention to work in partnership
- Proposed Project Plan
- Ability to implement, manage, monitor and deliver the project to ESF requirements (including current capacity)
- Clarity of outputs & outcomes from the project

Any questions from applicants must be submitted to GLA between 25 January 2019 and 16:00 on 27 February 2019. Questions must be submitted via email to [ESFProgramme2014-20@london.gov.uk](mailto:ESFProgramme2014-20@london.gov.uk) and questions via other media will not be permitted. Applicants should note that all questions and their answers will be posted on the GLA website in order that all applicants are kept informed. GLA cannot advise applicants about the answers they intend to submit regarding their specific project proposals in their Application form.

Applicants should ensure that they have a full understanding of all ESF requirements, details of which can be found at <https://www.gov.uk/guidance/england-2014-to-2020-european-structural-and-investment-funds>



**Table 1 – Timeline for Questions and Submission of Applications**

Process	Dates	Guidance
Full application form released on the GLA website	25 January 2019	Documentation will be posted on the GLA website. To access the documentation please go to: <a href="https://www.london.gov.uk/what-we-do/skills-and-employment/skills-londoners/funding-opportunities/growth-hub/esf-funding-opportunities-start-step">https://www.london.gov.uk/what-we-do/skills-and-employment/skills-londoners/funding-opportunities/growth-hub/esf-funding-opportunities-start-step</a>
Opportunity to ask questions	25 January 2019 to 16:00 hrs on 27 February 2019	<p>If questions are submitted, they must be sent by email (no other medium will be accepted) to: <a href="mailto:esfprogramme2014-20@london.gov.uk">esfprogramme2014-20@london.gov.uk</a></p> <p>Questions submitted by 16:00 hrs on the Wednesday of each week will have responses posted by 17:00 hrs on the following Friday on the GLA CFO ESF website <a href="https://www.london.gov.uk/what-we-do/funding/european-social-fund/gla-co-financing-organisation/current-funding-opportunities-8">https://www.london.gov.uk/what-we-do/funding/european-social-fund/gla-co-financing-organisation/current-funding-opportunities-8</a>.</p> <p>The GLA cannot advise Bidders individually; any queries about posted responses will need to be submitted by email.</p> <p>All questions submitted and answers provided will be available to be viewed by all Bidders.</p>
Submission of full application	17:00 on 8 March 2019	The documentation required to be submitted with the applicants application form is listed in the application form

## 2.2 Making multiple Applications

The GLA CFO ESF 2014-2020 programme comprises of a number of projects which will be released over a staggered period. Potential delivery partners wishing to submit applications for more than one grant offer are required to submit all of the documentation requested for each grant offer which they wish to be considered, (see 3.1.2 for a list of Due Diligence requirements).

Failure to submit any of these documents with an application for any individual grant offer will mean that your application will fail and will not be considered further.

If applicants submit versions of either the Full Application or the Payment Trigger Calculator for an individual grant offer that vary from each other, your application will fail and will not be considered further.

## 2.3 Period of validity

Grant applications must remain open for acceptance for a minimum of 120 days.

## 2.4 Submission of applications

Applications must be submitted electronically via email to [ESFProgramme2014-20@london.gov.uk](mailto:ESFProgramme2014-20@london.gov.uk). A zipped folder should be created and, where possible, all documentation should be inserted; to include all documentation listed in Part B (iii) [Due Diligence Documentation] and Part B (iv) [Other Documentation] of the application form. The folder should be named using the following naming convention: Specification Reference Number \_Your Organisation Name. If two or more folders are required, please also include a folder number after your Organisation Name. The email with the embedded zipped folder(s) must state "I confirm that the documents included in this email are true and accurate records, and that I am authorised by the bidding applicant to submit them on behalf of (Organisation Name), [Name of sender], [Position in the Organisation]".

If more than one version of any document is sent, the GLA will only accept the final version submitted by the deadline.

The closing date for submission of applications and all accompanying documents is 17:00 on 8 March 2019.

Applications received after the deadline will not be considered.

## Section 3 How GLA will score your application

### 3.1 Due Diligence of Applicant Organisations

#### 3.1.1 Context

The GLA will carry out financial due diligence checks prior to any agreement to award funding. This is to ensure that any risk to the success of the programme and project objectives, or to the funding itself has been considered and is deemed acceptable. The due diligence checks will provide an indication of the financial risks (if any) to the GLA making an award, include any suggested mitigations, and will give a recommendation to the Internal Moderation Panel. In addition, this panel will consider other aspects of the scoring process and make a decision as to whether to award funding.

The due diligence will comprise of the following checks: liquidity, profitability, return on capital employed, debtors & creditors cycle, the review of Dun & Bradstreet reports, Charity Commission checks (where applicable), the review of insurance documents, finance & procurement regulations to ensure that robust governance arrangements are in place to account for and manage the GLA funding.

Due diligence checks will either be carried out on those organisations that progress to Part C of the application, or those organisations that are to be invited to interview. Part A of the application, (the pre-selection questionnaire), requires that organisations confirm that they have provided mandatory documentation with their application. Organisations that cannot provide confirmation of this requirement will not progress beyond Part A.

#### 3.1.2 Financial Due Diligence Documentation

In order to facilitate the due diligence process, applicants must provide as much of the following documentation with their application as legally able. Where an organisation cannot provide documentation because they are not legally able, they must provide an explanation in their application:

- Certificate of Incorporation
- A copy of the most recent audited accounts **or** copy of the most recent accounts signed by an independent and qualified accountant. The accounts must include a full set of notes to the accounts, Directors report, balance sheet, statement of the organisation's turnover, profit & loss/income & expenditure (not abbreviated) and cash flow position for the most recent full year of trading/operations, where this information is not available in audited form.
- A statement of the organisation's cash flow forecast for the current year;
- The organisation's budget for the current year;
- Financial Regulations (to include procurement rules);
- Evidence of Public and Employer's Liability Insurance;

- Budgeted allocation of funding within the project or a budget detailing which activities within the recipient's organisation will be funded. The budget should contain line details of proposed expenditure e.g. staffing costs, stationery and publicity.

### 3.1.3 Other Key Information

#### Checks on Charities

For applicants with a charitable status, the applicant's details will be checked against those held on the Charity Commission's website. Checks are undertaken to verify an applicant's charity status, that all documents requested by the Charity Commission have been submitted on time and that the Charity Commission has not raised any concerns about their status.

#### Sole Lead Applicant / Sole Deliverer

Applicants applying for funding as either a (i) Sole Lead Applicant or (ii) a Sole Deliverer should supply Financial Due Diligence Documentation for the Sole Deliverer or Sole Lead Applicant only.

#### Consortium

Applicants applying for funding as part of a consortium should supply Financial Due Diligence Documentation for all members. The information will be collated in order to establish the strength of the consortium as a whole.

**Definitions of Consortium, Sole Deliverer and Sole Lead Applicant can be found in para 5.1, Form of Applicant.**

#### Multiple Applications

Potential delivery partners making multiple applications should be aware that due diligence recommendations may limit the amount of funding or volume of grants offered to an individual organisation. This is to ensure that the GLA is able to gauge its level of exposure in relation to any one applicant and where the GLA deems fit, to spread the distribution of funding to minimise any financial risk across the programme.

#### Exemptions

Local Authorities, Local Authority controlled schools and Government bodies and departments are exempt from the financial due diligence process. Therefore their status must be clearly highlighted within the application form.

### 3.2 Scoring Applications and Interviews

Fully compliant applications that are received by the deadline set out in Table 1 will be scored by a minimum of two scorers, each scoring independently. In order to maintain a consistent approach, the same scorers will score all applications submitted. Scores will be moderated by scorers following completion of their independent scoring, and the total score available from the application will be 100%.

Individual questions will be weighted to represent the importance that GLA attach to answers, and a table of questions, weighting, maximum scores, and the maximum percentage that each question can achieve, is shown in the Application Form. The GLA may interview the top scoring applicant plus any applicants who, following interview, could achieve an amended score that would place them in a position where they could be awarded the grant for the project. For details of whether interviews will be required, applicants should refer to individual project specifications.

If invited to interview, a maximum of four people may attend, and applicants must ensure that key members of their delivery team, including consortium partners, attend. The interview will seek to clarify the applicant's delivery team's understanding of the project methodology and rationale, and interview questions will be selected from the application form. The GLA may however ask supplementary questions to ensure that they have understood the responses of applicants.

Following the interview, the GLA may adjust the individual scores in the application form dependant on the answers provided by the applicant's interviewees. Any adjustment will be made by considering the interview response in line with the scoring principal indicated in the table above, and weighted in line with the scoring framework shown in the application form. This adjustment may be either positive (an awarded score is increased) or negative (an awarded score is reduced).

### 3.3 Quality Assurance of Application Scoring

If scores issued by independent scorers differ significantly for the same area of an application, they will come together to discuss and review the reasons for the scores that they have applied, and agree upon the appropriate moderated score for that section.

If an aggregate score cannot be agreed between scorers following their independent review and subsequent discussion regarding aggregation, they will call upon an adjudicator who will review with scorers the reasons for the scores that they have applied, and decide upon the appropriate moderated score for that section.

The adjudicator's decision regarding scores for a section in question will be final.

### 3.4 Selection of Preferred Suppliers

Scores will be considered by an internal Evaluation Panel comprising of GLA ESF staff members, and a synopsis of information received for each application, together with preferred supplier recommendations, will be presented in writing to the appropriate Senior Manager for review and ratification of the grant offer recommendations.

Summary information application scores from the full application will be provided to demonstrate the overall score which comprises; application score, interview score and due diligence. Due diligence restrictions, may inhibit GLA from offering a delivery partner more than one funding opportunity, where the combined value of projects would exceed the recommended maximum value to an individual delivery partner.

GLA reserves the right to re-allocate money across the programme in order to achieve spend and outcome targets.

### 3.5 External Moderation

The GLA does not intend to hold a specific External Moderation Panel, but will write to London CFOs and EPMU to inform them of the decision taken by the GLA Internal Moderation Panel and invite comment. Comments will be requested within one week, and will be considered. External Moderation comments may impact on GLA Internal Decisions, and if this is the case applicants will be kept informed via email.

### 3.6 Notification to Applicants

All applicants will be informed in writing of GLA's decision regarding their application.

### 3.7 Feedback to Unsuccessful Applicants and Informing Preferred Suppliers

Applicants who are unsuccessful at full applications stage will be given written feedback regarding their application, to include as a minimum;

- the overall score achieved for the application and interview;
- areas where the winning bid scored higher than the unsuccessful application;
- the score achieved by the winning applicant

The feedback will be included in the letter notifying applicants, and will be dispatched no later than one week from the date that GLA formally approves the grant offer recommendations.

Preferred Suppliers will be informed of an in-principle offer in writing at the start of the Stand Off period, during which time arrangements will be made for the pre-grant clarification meeting.

### 3.8 Stand off period

GLA will stand off from making formal offers and initiating any pre-grant discussions with successful applicants for a period of two weeks from the date that Notification Letters are sent out to unsuccessful applicants. During this period unsuccessful applicants will be provided with feedback in accordance with 3.7 above.

### 3.9 Pre-grant Clarification period and workshop

Following any in-principle offer of funding by GLA to an applicant, GLA will require that applicant or the lead applicant (for grants issued with sub-granting arrangements) or authorised representatives of applicant consortia to attend a pre-grant clarification meeting. This meeting will verify the expectations and requirements of GLA, confirm that the volumes and unit rates of outputs and outcomes ('Trigger Payments') supplied in the application cannot be amended, that the proposed profile of delivery is appropriate, will clarify any matters in order to enable the population of the grant agreement (see 3.10 below) and will give the applicant the opportunity to ask any questions they may have pertaining to the delivery period.

**NB: Please note that decisions to grant funding (if any) are subject to a formal decision making process. You must not place any reliance whatsoever on the support of GLA until formally notified in writing and your authorised signatories have executed and returned a grant agreement with which you will be provided by GLA should your application prove successful and following any pre-grant clarification meeting.**

**Accordingly, any expenditure that you incur and/or to which you commit (including that which you have incurred or committed to in relation to the preparation of your application)**

**prior to formal notification and execution and return of the funding agreement is incurred and/or committed entirely at your own risk.**

Successful applicants will be required to attend a pre-delivery induction workshop or meeting with GLA.

### 3.10 The Grant Agreement

Any grant funding awarded will be subject to a standard, non-negotiable grant agreement, a draft copy of which will be provided as part of the full application invitation documentation and any applicants to whom an in principle offer is made will be required to sign a copy of the final fully populated grant agreement before GLA commits to any funding. It is advised that potential applicants review the grant conditions and satisfy themselves that they will be able to adhere to the requirements prior submitting an application.

### 3.11 Publication of Successful Applicants

GLA will publish the details of successful applicants and projects on GLA website ([www.london.gov.uk](http://www.london.gov.uk)). This information will include project status, project start and end dates, organisation name, address and postcode, total project cost, total ESF funding awarded, contact name and number, brief project summary, ESF funding measure, participant and output targets, and partner organisations.

Successful applicants will be required to ensure that this information is correct and must follow guidelines on the website to make any updates that are required.

Additionally, details of successful projects will be made available to the London European Programme Management Unit and DWP ESF Division who may also publish relevant information to maximise awareness of the publicity of ESF activity approved as part of the London programme.

### 3.12 Project period

It is intended that the project will be for a period which will be defined in the relevant specification.

Any delays to the start of the direct delivery period may result in a shortened direct delivery period. although the GLA reserve the right to extend a project period to enable or enhance delivery provided that there is considered to be sufficient time prior to the programme end date.

However, if delays to the start of the delivery period are considered by GLA to be likely to have a significant impact on the achievement of proposed outcomes, GLA reserve the right to reduce or withdraw the offer of funding and reallocate the funding to another successful applicant for any of the projects within the 2014-2020 programme.

### 3.13 Project Period following Brexit

On 12 August 2016 in a letter to the Secretary of State for Exiting the European Union<sup>6</sup>, Treasury confirmed their intention to continue to fully fund projects and programmes intended to be supported by European Structural and Investment Funds (ESIF) beyond the UK's departure from the EU.

---

<sup>6</sup>[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/545767/CST\\_letter\\_to\\_SoS\\_for\\_DEx\\_EU\\_August\\_2016.PDF](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/545767/CST_letter_to_SoS_for_DEx_EU_August_2016.PDF)

## Section 4 Conditions of Applying

### 4.1 Conditions of applying

If GLA considers it necessary to make any additions or deletions to any documents, supplementary clauses or additional information before the deadline for the submission of applications, then these will be issued to applicants via GLA CFO ESF email [ESFProgramme2014-20@london.gov.uk](mailto:ESFProgramme2014-20@london.gov.uk) and will be posted on GLA website and will be deemed to be part of the grant competition documents.

Any form of grant application submitted by an applicant in respect of which the applicant:

- has directly or indirectly canvassed any official of GLA, or obtained information from any other person who has been contracted to provide services to GLA, concerning the award of the grant; or who has directly or indirectly obtained or attempted to obtain information from any such member or official concerning any other applicant or form of grant application submitted by any other applicant
- fixes or adjusts any prices in the form of grant application and/or schedules by or in accordance with any agreement or arrangement with any other person
- communicates to any person other than GLA the amount or approximate amount of the prices shown in the form of grant application and/or schedules, except where such disclosure is made in confidence in order to obtain quotations necessary to prepare the grant application or for the purposes of insurance or financing enters into any agreement with any other person that such other person shall refrain from submitting a grant application or shall limit or restrict the prices to be shown or referred to by another applicant in its form of grant application and/or schedules
- offers or agrees to pay to any person having direct connection with this application; or gives any sum of money, inducement or valuable consideration, directly or indirectly, for doing or having done or causing or having caused to be done in relation to any other grant application or any other person's proposed application
- in connection with the award of the grant agreement commits an offence under the Prevention of Corruption Acts 1889 to 1916 or gives any fee or reward, the receipt of which is an offence under sub-section 2 of Section 117 of the Local Government Act 1972

shall not be considered for acceptance and shall accordingly be rejected by GLA, provided always that such non-acceptance or rejection shall be without prejudice to any other civil remedies available to GLA or any criminal liability which such conduct by an applicant may attract.

GLA may at its discretion refuse to consider any application if:

- it is not in accordance with this invitation or is in breach of any condition contained in any other of the application documents
- the applicant submitting the application makes, or attempts to make, any variation or alteration of the terms and conditions of the template grant agreement, the form of grant application or other grant application documents, except where a variation or alteration is invited or permitted by GLA
- it contains gaps and omissions

GLA shall not be bound to accept any application submitted.

GLA shall not be under any liability in respect of any expenses or losses that may be incurred by the applicant in preparation of its grant application.



No alteration or addition shall be made to the form of grant application or to any of the grant application documents. In addition submissions must not be qualified, but must be submitted strictly in accordance with the application documents and these instructions.

Submissions must not be accompanied by any covering letter or any statements that could be construed as rendering the application equivocal and/or placing it on a different footing from other applications.

If your proposal is successful you will be asked to enter into a written grant agreement incorporating those terms and conditions. GLA will incorporate all relevant information and requirements of the project into the template agreement and then finalise it for execution by the parties. Applicants should note that GLA will not enter into negotiations in respect of the grant agreement but that it does reserve the right to make amendments as it deems necessary. If you seek to qualify this requirement in any way, or you supply your own terms and conditions of grant award with your application, your application may be disqualified.

Again:

Decisions to grant funding (if any) are subject to a formal decision making process. You must not place any reliance whatsoever on the support of GLA until formally notified in writing and your authorised signatories have executed and returned a grant agreement with which you will be provided by GLA should your application prove successful and following any pre-grant clarification meeting.

Accordingly, any expenditure that you incur and/or to which you commit (including that which you have incurred or committed to in relation to the preparation of your application) prior to formal notification and execution and return of the funding agreement is incurred and/or committed entirely at your own risk.

#### 4.2 Conflicts of Interest

Applicants must consider, based on their knowledge of all the circumstances and reasonable enquiries, whether their application or, if successful, their selection, might give rise to a conflict of interest affecting GLA or DWP (including the reputation of GLA or DWP) or performance of the grant. Applicants for all grant awards, where a conflict of interest may exist or arise must inform GLA, providing details, and submit proposals for avoiding such conflict.

#### 4.3 Freedom of Information

GLA as a public authority is subject to the Freedom of Information Act 2000 ("the FOIA"). In applying for this (or any) grant award you should be aware that information you provide may be disclosable, either under our Publication Scheme or if a request is made to GLA.

The FOIA requires GLA normally to release information requested by any "person" ("person" legally includes companies and other bodies). At the same time the FOIA recognises that a public authority, in order to carry out its functions, may decline certain requests where an appropriate exemption applies. In particular two exemptions under sections 41 and 43 of FOIA, described below, may apply.

#### 4.4 Information provided in confidence

Section 41 provides that information is exempt if it was obtained by GLA from any other person and the disclosure of the information to the public by GLA would constitute a breach of confidence actionable ("actionable" meaning that it could be the subject of a legal claim) by that or any other person. In order for GLA to rely on this exemption the information must be given in confidence, that is, the information must not be in the public domain, must not have been treated as non-confidential in the past, and must have been provided in circumstances importing an obligation of confidence. You should be aware that, firstly, GLA will not normally agree to treat information as confidential in the absence of specific legal advice that it is proper to do so, and, secondly, that marking a document as "Confidential" will not give it that status. The scope for application of the section 41 exemption in relation to an application for funding is limited.

#### 4.5 Commercially sensitive information

It is more likely that this exemption may apply to a grant application. Section 43 provides that information may be exempt if it constitutes a trade secret or if the disclosure is likely to prejudice the commercial interests of any person (which includes the applicant). Accordingly, for example, genuinely sensitive pricing information may attract this exemption. This exemption is subject to the public interest test - that is, in considering disclosure, GLA must weigh up the public interest in withholding disclosure with the public interest in disclosing the information in question.

#### 4.6 Requests for special treatment of information

Should you regard particular information as given in confidence, constituting a trade secret, or likely if disclosed to prejudice your commercial interests, please indicate this clearly, with explanation. Note that it will not be sufficient to assert that the whole application is confidential or commercially sensitive. Indicating what information may be confidential or commercially sensitive may assist GLA in determining whether any exemptions apply. It should be noted that it is GLA, which will determine whether a disclosure should be made and that this will be determined on a case by case basis by GLA.

#### 4.7 Effect of time

Bidders should be aware that, over time, some information may lose its confidential nature or commercial sensitivity. If you consider this to be the case, please indicate when, in your view, such information may be released. This should be a reasonable time period in relation to the nature of the data.

#### 4.8 Personal data

One other FOIA provision, which may be relevant in certain circumstances, is section 40, which broadly speaking provides an exemption in relation to personal data (as defined in the Data Protection Act). This will not however usually exempt, for example, information provided about individuals involved in the application.

## Section 5 Useful Information

### 5.1 Form of Applicant

Applicants must bid as either a Sole Lead Applicant, a Sole Deliverer or a Consortium, and are defined by the manner in which the grant agreement is signed. For the purposes of this funding round;

- **Sole Lead Applicants** are an individual organisation who is solely responsible for the achievement of the project which is delivered through a partnership which is legally bound by sub-granting or sub-contracting arrangements.
- **Sole Deliverers** are an individual organisation without sub-granting or sub-contracting arrangements. GLA will issue a grant to the Sole Deliverer.
- **Consortiums** are formed of a Partnership of organisations who come together to deliver a common objective (the project), and are held jointly accountable for the delivery of the project. Consortiums are a legally constituted organisation (in which case all members must participate in the project). The GLA will issue a grant agreement to the Consortium, and all members must sign the agreement.

### 5.2 Partnership building

In order to identify appropriate partners or to build consortia, applicants may utilise:

- the GLA ESF Mailing list to share your details with prospective partners.<sup>7</sup>
- the LVSC ESF Partnership Database which aims to help London's employment and skills providers find partners for ESF funding opportunities in London<sup>8</sup>.
- the Access Europe Network ESF Partnership Database which aims to help leads and partners for ESF funding opportunities in London<sup>9</sup>.

Partnerships may consist of;

- Consortium members, as well as additional paid sub-grantees or sub-contractors and other delivery organisations who will provide elements of the project but will not receive payment; or
- Lead delivery partners and their sub-guarantees or sub-contractors and other delivery organisations who will provide elements of the project but who will not receive payment; or
- Individual Delivery Organisations as well as other delivery organisations who will provide elements of the project but will not receive payment.

### 5.3 ESF Guidelines

Guidelines on the current programme are published on the ESIF Programme Guidance webpage<sup>10</sup>. Applicants should ensure that their submission aligns with ESF rules and regulations before submitting an application.

<sup>7</sup> <https://www.london.gov.uk/WHAT-WE-DO/funding/european-social-fund/gla-co-financing-organisation>

<sup>8</sup> <http://vcsassist.org.uk/directory/welcome/>

<sup>9</sup> <http://www.accesseurope.org.uk/esf/esf-partners>

<sup>10</sup> <https://www.gov.uk/government/publications/european-structural-and-investment-funds-programme-guidance>



## 5.4 Calculating your Projects Cost

Applicants must ensure they review the eligible and ineligible costs in the “European Social Fund Programme for England 2014 – 2020 National Eligibility Guidance”<sup>11</sup> when calculating their project costs and must calculate the expenditure per item for the lifetime of the project in relation to the activities required to deliver the proposed outputs and outcomes utilising the Payment Trigger Calculator as per section 5.6.

Lead partners should calculate the entire project cost for lead providers and any sub-contractors and include this amount in their submission. No additional costs should be passed onto sub-contractors. GLA may request information on payments made by sub-contractors to lead partners during the lifetime of the project.

No costs or charges should be passed onto the participants.

## 5.5 List of eligible ESF Costs

The costs that applicants can include in their application for ESF Funding are specified in “European Social Fund Programme for England 2014 – 2020 National Eligibility Guidance”. Broad headings supplied in the Payment Trigger Calculator are as follows:

### Direct Costs

- Staff costs
- Participant costs
- Participant allowances

### Other Costs

- Rent and Leasing of buildings
- Depreciation of buildings (unless cost of building has been funded through European Union (EU) funds)
- Hire and lease of equipment
- Depreciation of equipment
- Non recoverable VAT
- Consumables
- Small items of equipment valued at under £1000

### Indirect Costs

- Staff costs (Project Management – Indirect)
- Central/support staff costs and personnel costs
- Equipment
- Premises cost
- Telephone and postage
- Electricity, gas and water
- Insurance

## 5.6 List of Ineligible Costs

---

<sup>11</sup> [https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/510300/european\\_social\\_fund\\_national\\_eligibility\\_rules.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/510300/european_social_fund_national_eligibility_rules.pdf)

The following items of expenditure are ineligible for ESF support and must not be included in your project costings;

- In kind contributions, which comprise of the provision of land, real estate, equipment and unpaid voluntary work;
- Purchase of furniture, vehicles and equipment (other than small items of equipment);
- Bank debit charges
- Legal fees
- Fines, financial penalties and expenses arising from litigation;
- Purchase of land
- Purchase of real estate (i.e. buildings after construction and the land on which they are built);
- Expenditure relating to venture capital, loan and guarantee funds;
- Redundancy payments

If any ineligible costs are included in a proposed project budget, the GLA reserves the right to remove the cost, reduce the overall project value accordingly, and apply the new project value to the calculation of unit rates determined in the Payment Trigger Calculator. The GLA will inform applicants of any proposed reductions during the scoring process, in order to confirm whether applicants would like their proposed project to continue to be considered, or whether they would like to withdraw their application prior to selection.

## 5.7 The Payment Trigger Calculator (PTC)

The PTC is an Excel tool that has been developed to assist applicants. Guidance is embedded in the document, and on completion the Calculator will give applicants information regarding the unit rates that will be paid by GLA for each payment stage of the project, and the income they can expect to achieve if they deliver the project to the profiles they have proposed for each payment stage.

An optional section of the PTC is included which will allow applicants to input their proposed annual project expenditure. This will allow a comparison against income to assist with cash flow planning for the duration of the project.

Where applicable, the PTC requires applicants to profile starters, outputs and results. It is advised not to profile starters within the first three months to allow lead in and set up time. However if starters are enrolled during this period, they will attract payment.

Applicants must complete a copy of the PTC for each grant opportunity and submit this with their completed application form.

## 5.8 Last Date for non-sustained activity

Non-sustained activity is the period that a participant spends on a project whilst barriers and learning/training requirements are addressed prior to progressing into employment, education or training (EET). When profiling, applicants should consider that they will need to ensure that sufficient volumes of participants (including the conversion target required to cover those who may be unsuccessful in remaining in EET) are planned within 32 weeks of the project end date, and with sufficient time remaining to collect required evidence prior to the final claim date.

Please see the specification for further information.

## 5.9 Procurement thresholds

GLA procurement thresholds to be applied to purchases made on behalf of successful projects are as follows:

- Up to £10,000: obtain at least one written quote from potential supplier;
- £10,001 up to £150,000: obtain at least three written quotes from potential suppliers;
- Above £150,000: obtain at least three competitive tenders from potential suppliers follow OJEU processes.

## 5.10 VAT

GLA cannot recover VAT on services or items delivered on projects and will therefore not accept VAT invoices from successful applications. Lead Partners should recover all VAT whenever possible, and only non-recoverable VAT should be included in costings within the project applications. GLA requires that the applicant supplies proof of irrecoverable VAT by providing a confirmation letter from HMRC or a signed independent audit report. In addition, GLA will request verification annually and at the conclusion of the project of VAT estimates against the items confirmed as generating irrecoverable VAT, and for confirmation that no items suggested to generate irrecoverable VAT have subsequently been included in VAT returns. Applicants should verify their particular circumstance with HMRC if they are unsure of their VAT status and the implications on their project activities. GLA cannot provide advice on the VAT status of individual delivery organisations.

## 5.11 Pre-grant clarification and induction process

Successful applicants will be required to attend a pre-grant meeting to clarify that their offer matches the GLA's understanding of their offer, and to address any issues that may arise as a result of the scoring and moderation process. In the event that any issue arising cannot be resolved to the satisfaction of GLA during the pre-grant period, GLA reserve the right to withdraw the offer of funding and award the grant to an alternate applicant. As value for money forms part of the assessment criteria, GLA will not accept delivery partners requesting to renegotiate contract values, lifetime outputs or results, or unit costs during pre-grant negotiations.

Following the satisfactory conclusions of the pre-grant period, successful applicants will be required to attend an induction workshop (or meeting) prior to commencing delivery of their project.

## 5.12 How funding will be paid to successful applicants

Projects will only be funded on an output related basis. Output values will be determined by the completion of the Payment Trigger Calculator.

Projects will be required to verify outputs monthly in order to draw down funding, and will be required to include scanned copies of evidence, as well as keeping original evidence on record, as indicated in the Eligibility & Evidence Handbook, to substantiate their quarterly (as a minimum) claims. It is the Lead Partners responsibility to collate all records of evidence, and any evidence found not to be available after payment has been released by GLA will result in claw back of an appropriate value of funding.

All payments will be made by BACS and successful applicants will be required to be able to utilise this system in order to be considered for funding.

### 5.13 Advance Payment

In order to assist with start-up cost, GLA will issue successful applicants with an advance payment of no more than 10% of the project's lifetime budget. Individual project specifications will confirm the maximum value that can be applied for. Applicants must select the value of the advance that they would like applied to their grant when completing the Payment Trigger Calculator.

### 5.14 Recovery of Advance Payment

Initial advances will be recovered from successful applicants against second stage output payments, (see the Payment Trigger Calculator for additional information regarding the point where advances will be recovered). If insufficient outputs are achieved to enable recovery of the Advance payment, GLA will recover the payment in another manner, which may include one or more of; recovery from other output or result payments achieved in the delivery of the project, recovery by issuing invoice for the remaining balance, recovery against any other project that the organisation may be delivering on behalf of GLA.

### 5.15 Increasing grant value based on positive performance

Applicants who perform in excess of the profiled delivery in their Payment Trigger Calculator may, at the sole discretion of GLA, be offered additional funding at the unit rates and conversion rates agreed for their project, dependent on the availability of funds.

### 5.16 Maximum value of funding beyond the project budget

The payment Trigger Calculator requires applicants to give a maximum value of funding that they would be prepared to increase their project budget to if additional funding became available. Any additional funding provided (at the sole discretion of GLA) would be offered at the same unit rate calculated in their original application for each appropriate payment and offers would be conditional on projects maintaining the same target for conversion rates for individuals between enrolment, start of employment, education or training, and sustained employment, education or training at 26 weeks.

In any event no offer of additional funding will exceed the maximum value indicated in the Payment Trigger Calculator, and may be further reduced by any maximum value of grant allowed following initial or further due diligence checks.

### 5.17 Reducing grant value based on underperformance (including sub-contractors)

Applicants should be aware that if they are successful with their proposed project and subsequently underperform to a level that GLA deem is unrecoverable, they will be instructed to cease recruitment until their performance recovers, or may be instructed to cease recruitment completely, and their grant reduced by any value of budget which will not be able to be drawn down.

### 5.18 Recovery of funding following GLA monitoring (including sub-grantees and sub-contractors)

If during or following GLA monitoring sample checks, delivery partners are unable to provide evidence of any payment trigger as defined in GLA Eligibility and Evidence Handbook, GLA reserves the right to reduce any subsequent claims by the amount owed, or to invoice the delivery partner for any amount owed.

Identification of unsupported claims may result in an increase in any sample size chosen by GLA Project



Managers during monitoring visits, and may result in recovery of funding by extrapolation at a proportionate level that match the unsupported items observed, if the sample size is deemed suitable to the project size, and if the error rate would suggest that claims are being made regularly without appropriate supporting evidence.

#### 5.19 Recovery of funding following European Audit

If monitoring carried out by any organisation other than the GLA results in a reduction in funding from European Programmes Management Unit to GLA, GLA will recover an appropriate value from the appropriate grantee, either by reducing any subsequent claims by the amount owed or invoicing the delivery partner for the amount owed.

#### 5.20 Audit

GLA will make payments to successful applicants based on the unit rates determined by their project costing in their Payment Trigger Calculator. An assessment of costs to ensure eligibility, and a test for Value for Money during the bidding process will ensure that the rates paid are deemed appropriate, and delivery will be evidenced by GLA during monitoring to ensure that claims are sample checked to verify that funds drawn down against outputs and results meet the requirements laid out in GLA Outcomes and Results Handbook.

Therefore GLA will not require an external audit of expenditure, and you should not include this item of expenditure when calculating your project cost.

#### 5.21 Audit Trail

Although GLA will not require an external audit of expenditure, GLA retain the right to carry out, or to allow other auditors access to carry out on their behalf or on behalf of the European Commission, a financial or Outcome audit. Therefore, if requested by GLA, successful applicants must allow access to bodies who carry out audit functions on projects supported by ESF funding. The list of organisations is not exhaustive, but may include; GLA Staff Members, representatives of the London European Programmes Management Unit, European Social Fund Division (the national Managing Authority for ESF), auditors working on behalf of The European Commission.

**Key documents must be retained in order to allow auditors to verify there is appropriate evidence to support the payment triggers claimed, that evidence of expenditure defrayed in delivering the project is available and is coded separately from other expenditure that the organisation may have incurred, and that applicants have complied with European Commission (EC) regulations, including eligible expenditure requirements, and the requirements of their contracts.**

#### 5.22 Eligibility of Participants

It is the responsibility of the Lead Partner to ensure that all participants are eligible and evidence of eligibility is obtained and retained. GLA will recover any funding that has been paid where eligibility cannot be confirmed. Further information evidence to support participant eligibility is available in GLA Delivery and Eligibility & Evidence Handbooks, and in the ESF Data Evidence Requirements document<sup>12</sup>

---

<sup>12</sup>

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/519597/ESF\\_Data\\_Evidence\\_Requirements.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/519597/ESF_Data_Evidence_Requirements.pdf)

### 5.23 GLA Project Management, Employability Performance Rating and Quality Assurance

GLA Project Management will take a number of forms, including monitoring visits to lead providers and sub-contractors (which will include face to face interviews with staff and participants), desk reviews of periodic delivery partner claims submissions, reviews of delivery against profiled Outputs and Results, on the spot checks, and formal monitoring against a set of criteria including discussions with participants and stakeholders to ensure qualitative and quantitative feedback.

Additionally GLA will require that all successful applicants participate in the Employability Performance Rating (EPR)<sup>13</sup>, which intelligently uses management performance information, supports customer choice and collates evidence of customer satisfaction, provides an evidence based track record of delivery against grant, improves transparency of contract management and provides a framework for lead delivery partners to performance manage sub-contractors. Full details of which can be found on the Greater London Authority website: <http://data.london.gov.uk/dataset/lepr-esf-2014-20>.

**Table 2 - Employability Performance Rating (EPR) Key Performance Areas**

Key Performance Area (KPA)	Weighting	Indicators	Weighting of Indicator within KPA
Contract Performance	60%	1. Delivery against grant targets	48%
		2. Delivery against grant diversity targets	12%
Quality	30%	3. Conversion factor	12%
		4. Self-assessment of quality	9%
		5. Client satisfaction	9%
Contract Compliance	10%	6. Contract compliance and contractor pro-activity in delivery	10%

### 5.24 Sharing EPR performance data

GLA will publish EPR performance data on the <http://data.london.gov.uk/dataset/lepr-esf-2014-20> webpages, and will specifically share performance data of all grants supported through the GLA ESF 2014-2020 Programme with GLA ESF 2014-2020 delivery partners, and with various organisations which have an interest in the programme, to include:

Private Sector Match funders (where applicable)

EPMU

London LEP

DWP

EC

Appointed Auditors by GLA or any of the organisations listed above.

---

<sup>13</sup> <http://data.london.gov.uk/london-employability-performance-rating/>

This is not exhaustive.

#### 5.25 ESF Publicity requirements

Successful applicants will be required to adhere to the EFS Publicity Guidance<sup>14</sup>. Generally this entails including the ESF logo and a statement regarding the financial support on all programme documentation and external publicity (including on successful applicants websites) displaying the ESF poster at project locations; including delivery locations, informing participants during induction of the ESF support provided and publicising the project activity and achievements.

#### 5.26 GLA Publicity Requirements

Successful applicants will be required to adhere to GLA ESF Publicity requirements which will be made available in GLA ESF Standard grant agreement. Generally this entails including the Mayor of London logo and a statement regarding the financial support provided on all programme documentation and external publicity, and must ensure that press releases including reference to the Mayor of London's role in ESF in London. All material that is intended to be published must be submitted for approval prior to its release. Further guidance will be made available in GLA ESF Standard grant agreement.

#### 5.27 Targeted Groups

All ESF projects nationally are required to target specific proportions of eligible groups where they are eligible and appropriate to the intended project cohort. Additional project specific detail is contained within project specifications, but generally the programme aims to recruit the following proportions of starters;

Targeted Group	Investment Priority and Percentage (%)			
	1.1	1.2	2.1	2.2
Participants with disabilities (CO16)	22	9	7	N/A
Participants from Ethnic Minorities (O5)	44	35	43	N/A
Participants who live in single adult households with dependent children (CO14)	16	5	6	N/A
Participants without basic skills (O6)	18	18	18	N/A
Participants over 50 years of age	15	0	15	N/A

#### 5.27 Cross Cutting Themes (CCTs)

Within all ESF projects in London there are two cross cutting themes; gender equality and equal opportunities, and sustainable development (which incorporates environmental sustainability), both of which should be embedded within the project and promoted throughout its lifetime. GLA will review CCTs during monitoring visits to successful applicants.

#### 5.28 Gender Equality and Equal Opportunities

<sup>14</sup>

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/470206/ESIF\\_Publicity\\_Requirements\\_v2\\_221015.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/470206/ESIF_Publicity_Requirements_v2_221015.pdf)

Successful applicants will be required to demonstrate that they and any sub-contractors have a project specific Gender Equality and Equal Opportunities Policy and Implementation Plan in place, or commit to the development of a project specific Gender Equality and Equal Opportunities Policy and Implementation Plan. The required content of the policy and plan is detailed in the GLA 'Delivery Handbook'. Successful applicants will be monitored to ensure that policies and plans are reviewed periodically and updated as appropriate.

#### 5.29 Sustainable Development

Successful applicants will be required to demonstrate that they and any sub-contractors have in place, or commit to have in place within one year of commencing delivery of their project, a project specific Sustainable Development Policy and Implementation. The required content of the policy and plan is detailed in the GLA 'Delivery Partner Handbook'. Successful applicants will be monitored to ensure that policies and plans are reviewed periodically and updated as appropriate.

#### 5.30 DBS checks

Successful applicants will be required to ensure that DBS checks are undertaken for all persons (including volunteers) (as considered reasonable in line with Government guidance<sup>15</sup>), engaged in or about the funded project including (without limitations) the personnel of sub-contractors and/or sub-grantees, who are required to work with children or vulnerable people as part of their project.

#### 5.31 Securing sensitive data

Successful applicants will, prior to any award of funding, be required to demonstrate that they, and their sub-contractors or sub grantees, have appropriate procedures in place regarding security when collecting, collating and storing any data relating to project delivery, to include staff awareness of their responsibilities and provision of appropriate firewalls to restrict access to the data.

#### 5.32 Managing Risk (and maintaining delivery)

Applicants will be required to demonstrate that they understand the risks inherent in delivering the project they propose, and that they are able to consider mitigations in order to reduce the risk and maintain project delivery. A Risk Management template is required to be submitted with the application form, and successful applicants will be required to update their risk management record periodically throughout the lifetime of the project. GLA will monitor the risk management record periodically to determine its effectiveness.

#### 5.33 Document retention

All documents relating to the delivery of ESF programmes must be kept for a period of two years after the Audit Authority submits the Annual Control Report, which contains the final expenditure for the completed GLA Programme, to the EC. In order to allow for any issues that may delay the end of the programme, GLA will require that all documentation must be retained until **31st December 2030**. Key documents may be scanned and retained electronically provided that they are suitably endorsed. The rules regarding document retention apply to all organisations involved in delivery and administering the programme, including those who successfully apply to deliver projects.

<sup>15</sup> <https://www.gov.uk/disclosure-barring-service-check/overview>

Further information is available in the Guidance on Document Retention<sup>16</sup>.

#### 5.34 State Aid

Successful applicants must ensure that they deliver their project(s) in accordance with all current State Aid regulations. See <https://www.gov.uk/government/publications/european-structural-and-investment-funds-state-aid-documents> for further information and guidance.

#### 5.35 Delivery of Accredited Training

Applicants who propose to deliver training will be subject to the OFSTED and Common Inspection Frameworks and will be required to provide copies of their most recent inspection reports with their application, alongside evidence of Centre Accreditation.

#### 5.36 Project Evaluation

##### Programme

The GLA will appoint an external evaluator to review and evaluate the GLA/ESF expenditure at a programme level. This evaluation will look at the overall programme objectives and activities, spend, outcomes achieved, and VfM.

The programme evaluation will make use of all individual project evaluations, whether externally procured or delivered as a self-evaluation, and all lead and sub-partners must agree to (i) allow their project evaluation to be used/quoted from/attached to enhance the programme level evaluation, and (ii) allow the GLA appointed programme evaluator access to individuals and businesses involved in project delivery; including but not limited to staff, participants, stakeholders, SMEs, employers, educational establishments; in order to further explore information that may be required to produce a robust and connected overarching programme evaluation report.

##### Project (Externally procured)

The GLA will procure and appoint an external evaluator on behalf of the project. Lead Partners will be invited to comment on the evaluation specification, and will be expected to participate in any Steering Group meeting required to be held by the evaluator. Lead Partners (and their sub-contractors as appropriate) will give access to evaluators in line with the requirements set out in the GLA ESF Grant Agreement; including but not limited to data, staff, participants, stakeholders, SMEs, employers, educational establishments; and will assist evaluators in any way that is required to ensure that they are able to produce a robust project evaluation report. All evaluations will be required to follow the principles set out in the Treasury Green Book

<https://www.gov.uk/government/publications/the-green-book-appraisal-and-evaluation-in-central-government>

and The Magenta Book on Appraisal and Evaluation

<https://www.gov.uk/government/publications/the-magenta-book> and the GLA ESF Evaluation Template document, which will be provided to preferred suppliers. Lead Partners will be required to

---

<sup>16</sup>

[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/731515/ESF\\_Document\\_Retention\\_Guidance.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/731515/ESF_Document_Retention_Guidance.pdf)

produce a Theory of Change/Logic Chain, and where appropriate this will also be required of all sub-contractors.

#### Project (Self-evaluation)

Lead Partners (and their sub-contractors as appropriate) will be required to follow the principals set out in the Treasury Green Book

<https://www.gov.uk/government/publications/the-green-book-appraisal-and-evaluation-in-central-government>

and The Magenta Book on Appraisal and Evaluation

<https://www.gov.uk/government/publications/the-magenta-book> and the GLA ESF Evaluation Template document, which will be provided to preferred suppliers. Lead Partners will be required to produce a Theory of Change/Logic Chain, and where appropriate this will also be required of all sub-contractors.

**For further information please see the relevant specification**

# APPENDICES

## Appendix 1 Acronyms

CFO	Co-Financing Organisation
DWP	Department for Work & Pensions
EC	European Commission
EPMU	European Programmes Management Unit
EPR	Employability Performance Rating
ESF	European Social Fund
ESIF	European Structural and Investment Funds
EU	European Union
GLA	Greater London Authority
JSA	Jobseeker's Allowance
LDA	London Development Agency
LEP	London Enterprise Panel
NEET	Not in Education, Employment or Training
PTC	Payment Trigger Calculator
VAT	Value Added Tax
YPES	Young People's Education and Skills



## Appendix 2      Additional documentation

Additional documentation which will enable bidders to complete their Full Application.

Documentation will include;

- GLA ESF Full Application Form
- GLA Eligibility & Evidence Handbook
- GLA Delivery Handbook
- GLA Payment Trigger Calculator
- GLA ESF Standard Grant Agreement
- The 'Form of Grant' template
- The 'Certificate of bona fide Application' template

## Other formats and languages

For a large print, Braille, disc, sign language video or audio-tape version of this document, please contact us at the address below:

### Public Liaison Unit

Greater London Authority  
City Hall  
The Queen's Walk  
More London  
London SE1 2AA

Telephone **020 7983 4100**  
Minicom **020 7983 4458**  
**www.london.gov.uk**

You will need to supply your name, your postal address and state the format and title of the publication you require.

If you would like a summary of this document in your language, please phone the number or contact us at the address above.

### Chinese

如果需要您母語版本的此文件，  
請致電以下號碼或與下列地址聯絡

### Hindi

यदि आप इस दस्तावेज की प्रति अपनी  
भाषा में चाहते हैं, तो कृपया निम्नलिखित  
नंबर पर फोन करें अथवा नीचे दिये गये  
पते पर संपर्क करें

### Vietnamese

Nếu bạn muốn có văn bản tài liệu  
này bằng ngôn ngữ của mình, hãy  
liên hệ theo số điện thoại hoặc địa  
chỉ dưới đây.

### Bengali

আপনি যদি আপনার ভাষায় এই দলিলের প্রতিলিপি  
(কপি) চান, তা হলে নীচের ফোন নম্বরে  
বা ঠিকানায় অনুগ্রহ করে যোগাযোগ করুন।

### Greek

Αν θέλετε να αποκτήσετε αντίγραφο του παρόντος  
εγγράφου στη δική σας γλώσσα, παρακαλείστε να  
επικοινωνήσετε τηλεφωνικά στον αριθμό αυτό ή ταχυ-  
δρομικά στην παρακάτω διεύθυνση.

### Urdu

اگر آپ اس دستاویز کی نقل اپنی زبان میں  
چاہتے ہیں، تو براہ کرم نیچے دئے گئے نمبر  
پر فون کریں یا دیئے گئے پتے پر رابطہ کریں

### Turkish

Bu belgenin kendi dilinizde  
hazırlanmış bir nüshasını  
edinmek için, lütfen aşağıdaki  
telefon numarasını arayınız  
veya adrese başvurunuz.

### Arabic

إذا أردت نسخة من هذه الوثيقة بلغتك، يرجى  
الاتصال برقم الهاتف أو مراسلة العنوان  
أدناه

### Punjabi

ਜੇ ਤੁਹਾਨੂੰ ਇਸ ਦਸਤਾਵੇਜ਼ ਦੀ ਕਾਪੀ ਤੁਹਾਡੀ ਆਪਣੀ ਭਾਸ਼ਾ  
ਵਿਚ ਚਾਹੀਦੀ ਹੈ, ਤਾਂ ਹੇਠ ਲਿਖੇ ਨੰਬਰ 'ਤੇ ਫੋਨ ਕਰੋ ਜਾਂ ਹੇਠ  
ਲਿਖੇ ਪਤੇ 'ਤੇ ਰਾਬਤਾ ਕਰੋ:

### Gujarati

જો તમને આ દસ્તાવેજની નકલ તમારી ભાષામાં  
જોઈતી હોય તો, કૃપા કરી આપેલ નંબર ઉપર  
ફોન કરો અથવા નીચેના સરનામે સંપર્ક સાધો.