

**INVESTMENT PARTNER QUALIFICATION QUESTIONNAIRE**

**NOTES**

It is of benefit to the GLA and the applicants that the information provided on this application form is as accurate as possible to avoid unnecessary wasted effort at the subsequent stages of the application. GLA reserves the right to request additional information in relation to applications for Investment Partner status.

By submitting an application for Investment Partner status, Registered Providers will be giving consent that relevant financial information provided to the Regulator of Social Housing may be shared with the GLA on a confidential basis. It should be noted that all schemes developed under the Affordable Homes Programme 2021 to 2026 must meet the requirements outlined in the main funding guidance and the Capital Funding Guide.

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**SECTION 1.1: RESPONDENT ORGANISATION INFORMATION**

Item	Evaluation	Information Required	Response
1.1.1	Information	Name of respondent organisation in whose name the application is submitted:	
1.1.2	Information	Registered Office Address:	
1.1.3	Information	Company Registration Number: (Company Registration Number / FCA Registration Number / Regulator of Social Housing Registration Number and/or Charity Registration Number – as appropriate)	
1.1.4	Information	Date of Company Incorporation/Registration	
1.1.5	Information	Type of Organisation	1. A public limited company <input type="checkbox"/>
			2. A private limited company <input type="checkbox"/>
			3. A Registered Provider of Social Housing If yes, please provide registration number: If yes, provide current Regulatory grading: For Profit <input type="checkbox"/> Not for Profit <input type="checkbox"/>
			4. Local Authority <input type="checkbox"/>
			5. An Arm's Length Management Organisation <input type="checkbox"/>
			6. Charitable Incorporated Organisation <input type="checkbox"/>
			7. Other <input type="checkbox"/> Please specify:

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<b>1.1.5.1</b>		Have you ever engaged in Affordable Housing Grant funded delivery for the GLA?  If yes, please provide the organisation code (OPS no.) you used for this activity.	Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>1.1.6</b>	<i>Information</i>	Is your organisation a subsidiary of another organisation?	Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>1.1.7</b>	<i>Information</i>	Principal contact for enquiries: (Contact name, title, and office address if different to registered address provided at 1.1.2)	
<b>1.1.8</b>	<i>Information</i>	Telephone Number:	
<b>1.1.9</b>	<i>Information</i>	E-mail address:	

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**Please complete and certify as applicable to your provider type.**

**CONFIRMATION STATEMENT FOR LOCAL AUTHORITIES**

**Local authority** applicants are asked to confirm, that they are not subject to Direction by the Secretary of State for Communities, under section 15 of the Local Government Act 1999 and that neither the authority or its officers has made a Section 114 Report made under section 114(3) or section 114(A) of the Local Government Finance Act 1998, by ticking this box ☐.

If the Local Authority is subject to the above, please provide the date of the report and for how long it is valid till:

**CONFIRMATION STATEMENT FOR REGISTERED PROVIDERS**

**Registered Provider** applicants are asked to confirm:

- Current Governance and Viability ratings .....
- They are not currently subject to a Grading Under Review by the Regulator of Social Housing by ticking this box ☐.

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**CONSORTIUM / SPECIAL PURPOSE VEHICLE (SPV) / JOINT VENTURE (JV) INFORMATION**

Item	Evaluation	Information Required	Response
<b>1.1.10</b>	<i>Information</i>	Is your application made as a Consortium or SPV / JV?	Yes <input type="checkbox"/> Please complete questions below No <input type="checkbox"/> Go to Section 2
<b>1.1.11</b>	<i>Information</i>	If relevant, please provide:  i) Full name of participating organisations ii) Position within Consortium/SPV/JV iii) Shareholding membership if SPV/JV <i>If this is not indicated, the GLA will assume that the division is pro rated across the indicated membership)</i> iv) A structure chart/diagram	
<b>1.1.12</b>	<i>Information</i>	Indicate whether the Consortium members/SPV/JV shareholders noted above have worked together (as a Consortium or SPV) within the last three (3) years  <i>(Please include brief details of each Project, relevant dates, and value)</i>	Attached? Yes/No Unique reference to supporting information:
<b>1.1.13</b>	<i>Information</i>	Provide a copy of the consortium agreement / memorandum of understanding of the relevant contract or sub-contract arrangements existing at the date of the application between the consortium members in respect of this programme	Attached? Yes/No Unique reference to supporting information:

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**SECTION 1.2: INFORMATION ABOUT OTHER ORGANISATIONS PARTICIPATING IN A CONSORTIUM OR SPV / JV**

This Section is only relevant for each of the participating organisations that are either fulfilling a developing or long-term ownership function as follows:

- i) **Consortia** – this Section must be completed for all Consortium members
- ii) **SPVs/JVs** – this Section must be completed for all shareholders (other than the respondent organisation) within the SPV/JV noted at Item 1.1.11

Item	Evaluation	Information Required	Response
<b>1.2.1</b>	<i>Information</i>	Name of respondent organisation in whose name the application is submitted:	
<b>1.2.2</b>	<i>Information</i>	Registered Office Address:	
<b>1.2.3</b>	<i>Information</i>	Company Registration Number: ( <i>Company Registration Number / I&amp;P number – as appropriate</i> )	
<b>1.2.4</b>	<i>Information</i>	Date of Incorporation/Registration:	

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Item	Evaluation	Information Required	Response
<b>1.2.5</b>	<i>Information</i>	Type of Organisation	1. A public limited company <input type="checkbox"/>
			2. A private limited company <input type="checkbox"/>
			3. A Registered Provider of Social Housing <input type="checkbox"/> If yes, please provide registration number: For Profit <input type="checkbox"/> Not for Profit <input type="checkbox"/>
			4. Local Authority <input type="checkbox"/>
			5. An Arm's Length Management Organisation <input type="checkbox"/>
			6. Charitable Incorporated Organisation <input type="checkbox"/>
			7. Other <input type="checkbox"/> Please specify:
<b>1.2.5.1</b>	<i>Information</i>	Have you ever engaged in Affordable Housing Grant funded delivery from the GLA?  If yes, please provide the organisation code (OPS no.) you used for this activity. Please provide current regulatory ratings (Governance and Viability ratings)	Yes <input type="checkbox"/> No <input type="checkbox"/>  Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>1.2.6</b>	<i>Information</i>	Is your organisation a subsidiary of another organisation? If so, please provide:	

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		i) Full name and address of the registered office of the immediate parent company  ii) Full name and address of the registered office of the ultimate parent company	
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**Please complete and certify as applicable for all members of your Consortium/SPV/JV**

**CONFIRMATION STATEMENT FOR LOCAL AUTHORITIES**

**Local authority** applicants are asked to confirm, that they are not subject to Direction by the Secretary of State for Communities, under section 15 of the Local Government Act 1999 and that neither the authority or its officers has made a Section 114 Report made under section 114(3) or section 114(A) of the Local Government Finance Act 1998, by ticking this box ☐.  
If the Local Authority is subject to the above, please provide the date of the report and for how long it is valid till:

**CONFIRMATION STATEMENT FOR REGISTERED PROVIDERS**

- Registered Provider** applicants are asked to confirm:
- Current Governance and Viability ratings .....
  - They are not currently subject to a Grading Under Review by the Regulator of Social Housing by ticking this box ☐.



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**SECTION 2: STATEMENT OF GOOD STANDING**

**2.1 Pass / Query**

Each respondent organisation and all participating organisations listed at Item 1.1 and 1.1.11 must provide a signed copy of the following Statement of Good Standing, on its organisation's letter headed paper, signed by a Director, Partner or equivalent. Where a respondent or participating organisation is unable to provide such confirmation, they may supply a qualified confirmation together with an explanation of any mitigating circumstances. Applications involving such qualified confirmations may be accepted or rejected, at the GLA's discretion.

**SECTION 2: STATEMENT OF GOOD STANDING**

**We confirm that:**

- **We have full power and authority to enter into an Agreement with the GLA under the Mayor's Affordable Housing Programmes.**
- **Neither the organisation nor any member of its directing body (e.g. board members / management committee members / trustees / partners etc) are in, or in expectation of, a state of bankruptcy, insolvency, compulsory winding up, administration, receivership, composition or arrangements with creditors or any analogous state or subject to relevant proceedings or, (if the respondent organisation is a Registered Provider of Social Housing), is in breach of any of the regulatory standards set by the Regulator of Social Housing or has an active Regulatory Notice; and**
- **Neither the organisation nor any member of its directing body (e.g. board members / management committee members / trustees / partners etc): (a) have been subject to a disqualification order or a disqualification undertaking under the Company Director's Disqualification Act 1986 or equivalent legislation in Northern Ireland; (b) have been subject to an order under section 429(2) of the Insolvency Act 1986 relating to disabilities on revocation of a county court administration order; (c) have been disqualified under section 72 of the Charities Act 1993 from being a charity trustee; (d) have been convicted of a criminal offence relating to business or professional conduct, or are being investigated for, or subject to proceedings that are underway regarding the same; or (e) committed an act of grave misconduct in the course of business; and**
- **We have fulfilled our obligations relating to the payment of social security contributions and taxes; and**
- **In the last three (3) years, in aggregate, we have not paid, or been required to pay, liquidated damages or general damages under contract or tort, exceeding an amount equal to 5% of the turnover shown in our most recent audited consolidated accounts; and**

**Our accounts have not been qualified by auditors in the last three (3) years or, if they have, details are attached, and that there have been no material post balance sheet events. This statement applies to the accounts for the years (please confirm the dates of the accounts to which this statement applies. \* Please insert the dates of the accounting periods to which this statement applies for your organisation. For example - 2018-19, 2019-20 and 2020-21).**

**Signed:**

**Dated:**

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<b>Name:</b>	<b>Position:</b>
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Item	Evaluation	Information Required	Response
2.2	Pass/Query	<p>Indicate whether the respondent organisation or any of the participating organisations have been involved in any of the following and, where applicable, please provide brief details (for consortia please indicate to which organisation the details are relevant):</p> <ul style="list-style-type: none"> <li>i) court action;</li> <li>ii) Leasehold Valuation Tribunal hearings;</li> <li>iii) Investigations/prosecutions/civil actions for any Health &amp; Safety offences; and/or</li> <li>iv) Housing ombudsman determinations over the last three (3) years</li> <li>v) Regulatory breach and notice</li> </ul>	

## INVESTMENT PARTNER QUALIFICATION QUESTIONNAIRE

### SECTION 3

#### NOTES

It is of benefit to the GLA and the applicants that the information provided on this application form is as accurate as possible to avoid unnecessary wasted effort at the subsequent stages of the application. GLA reserves the right to request additional information in relation to applications for Investment Partner status.

By submitting an application for Investment Partner status, Registered Providers will be giving consent that relevant financial information provided to the Regulator of Social Housing may be shared with the GLA on a confidential basis. It should be noted that all schemes developed under the Affordable Homes Programme 2021 to 2026 must meet the requirements outlined in the main funding guidance and the [Capital Funding Guide](#).

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**SECTION 3: FINANCIAL AND COMMERCIAL STANDING**

Where an applicant has already submitted information to the GLA as part of the standard information template, the GLA does not require this information to be provided again. Please indicate in the relevant section below if information has previously been provided and to whom. Please note: The information will need to have been submitted in precisely the form requested below and there should have been no changes since to the information since the previous submission. Please note: The information will need to have been submitted in precisely the form requested below and there should have been no changes since to the information since the previous submission.

Item	Evaluation	Information Required	Response
3.1	Information	i) Name of Single Entity Applicant Organisation	
3.2	Pass/Fail	<p>Please provide a copy of:</p> <p>i) The respondent organisation's most recent audited consolidated accounts (if applicable)</p> <p>ii) The respondent organisation's latest management accounts (n/a for local authorities)</p> <p>and if applicable:</p> <p>iii) The consolidated accounts for the ultimate parent company for the previous two years.</p> <p>iv) The latest management accounts for the ultimate parent company (if applicable)</p> <p>v) A cashflow including development/capital activity and ongoing trading on a monthly basis for 5 years showing the monthly cash/borrowing balance together with details of any loan facilities.</p>	<p>Attached? Yes/No</p> <p>Unique reference to supporting information</p>

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		ii) If your application is made as a Consortium, SPV or JV, please provide the requested information for ALL participating organisations.	
<b>3.2.2</b>		iii) For <b>developing organisations only</b> (i.e., those not retaining ownership) – a development appraisal and cashflow showing the peak funding requirement together with details of funding (general facility or project specific). iv) Forecast profit and loss account v) Forecast balance sheet.	
<b>3.3</b>	<i>Information</i>	Confirm name of lead partner applying on behalf of the consortium or Special Purpose Vehicle (SPV) and list the names of ALL active consortium or Special Purpose Vehicle (SPV) members.	
<b>3.4</b>	<i>Pass/Fail</i>	For each participating organisation fulfilling a developing or long-term ownership role, please provide: i) The applicant organisation's most recent audited consolidated (if applicable) accounts ii) The applicant organisation's latest management accounts. iii) The most recent audited, consolidated (If applicable) accounts for the ultimate parent company. iv) Latest management accounts for the ultimate parent company if applicable. v) A cashflow including development/capital activity and ongoing trading on a monthly basis for 5 years showing the monthly cash/borrowing balance together with details of any loan facilities. vi) For <b>developing organisations only</b> (i.e., those not retaining ownership) – a development appraisal and	

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		<p>cashflow showing the peak funding requirement together with details of funding (general facility or project specific).</p> <p>vii) Forecast profit and loss account</p> <p>viii) Forecast balance sheet</p>	
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**SECTION 4**

**NOTES**

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**SECTION 4 General: MANAGING DEVELOPMENT**

For Consortium / SPV / JV applications, the below information may relate to the relevant participating organisation(s), where necessary.

The expertise and management arrangements of a partner or developing agent can be used by the applicant to complete this section. The GLA may award Investment Partner status on the basis of working with the approved partner/contractor/managing agent. Kindly note company brochures or any marketing material is not required.

Item	Evaluation	Information Required	Response
4.1	Information	Name of respondent organisation in whose name the application is submitted.	
4.2	Information	Will a third-party contractor or managing agent be appointed to undertake the development?  <i>i.e. will the respondent organisation take on responsibility for the development works or will another organisation be responsible.</i>	<div>Yes – please go to section 4.3 <input type="checkbox"/></div> <div>No – please go to section 4.5 <input type="checkbox"/></div>
4.3	Information	Please provide full name and registered address of appointed contractor(s)/managing agent (if not known as this stage or procurement still on-going, please state not known).	
4.4	Information	<p>If a contractor/managing agent is to be appointed, please briefly outline the arrangements you have undertaken (or will undertake) to choose a Contractor/Developing agent.</p> <p>(i.e., Find a Tender Service threshold / joining an existing Local Authority Framework / using a pre-qualified agent/contractor through industry standard accreditors or equivalent).</p>	Attached? Yes/No/NA



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		<p>Please provide details of the stages undertaken to-date</p> <p>Where applicable response should include: ·</p> <ul style="list-style-type: none"> <li>• All stages of Procurement completed to-date;</li> <li>• Date of expected completion of Procurement.</li> </ul> <p>Also, please advise:</p> <ul style="list-style-type: none"> <li>• Do you have an established complaints procedure? Please provide a link where possible.</li> </ul> <p><b>(Maximum one (1) side of A4)</b></p>	
<b>4.5</b>	<i>Scored</i>	<p><b>Development Experience</b></p> <p><b>Note that in responding to the questions posed in sections 4.5, 4.6 and 4.7 applicants can use the same 3 case studies in support of their answers.</b></p> <p>Provide details of the capability of the developing organisation or intended partners to deliver the proposed project/allocation.</p> <p>If the respondent organisation has appointed a contractor/managing agent, draw on its experience in your response.</p> <p>If a contractor/managing agent is yet to be appointed, please state that procurement is yet to be completed, and provide further details about the status of the procurement process (failure to have a contractor/managing agent in place may result in the GLA rejecting this application or awarding restricted Investment Partner status).</p>	Attached? Yes/No/NA

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		<p>For Consortium/SPV applications, the information may relate to the relevant participating organisation(s).</p> <p>The response should include but is not limited to:</p> <ul style="list-style-type: none"> <li>• Applicant/Contractor/Managing agent history of delivery of affordable housing or comparable development activity.</li> <li>• Up to three case studies of projects completed in the last three years demonstrating Applicant (or Contractor/Managing agent) expertise and track record. Details should include a description of project, size, approximate value, contracting approach/procurement method, and details of whether the project was completed on time and to budget.</li> <li>• Case studies should demonstrate how previous projects have or would have complied with the London Design Standards Framework.</li> <li>• <a href="https://www.london.gov.uk/programmes-strategies/housing-and-land/homes-londoners-affordable-homes-programmes/homes-londoners-affordable-homes-programme-2021-2026/design-and-sustainability-further-guidance">https://www.london.gov.uk/programmes-strategies/housing-and-land/homes-londoners-affordable-homes-programmes/homes-londoners-affordable-homes-programme-2021-2026/design-and-sustainability-further-guidance</a></li> <li>• Demonstrate how recent projects have achieved innovation and optimised the use of Modern Methods of Construction (MMC) or equivalent</li> </ul>	
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		<p>innovative processes. Please see link to MMC: <a href="https://www.london.gov.uk/programmes-strategies/housing-and-land/increasing-housing-supply/affordable-housing-capital-funding-guide">https://www.london.gov.uk/programmes-strategies/housing-and-land/increasing-housing-supply/affordable-housing-capital-funding-guide</a> (section 2.2.62)</p> <ul style="list-style-type: none"> <li>Describe your approach to design quality and design management. What benefits have been achieved by this approach? · Where applicable, what proportion of your proposed new development might positively address the published "Building for Life 12" criteria? Please see link to published criteria below: <a href="http://www.builtforlifehomes.org/go/building-for-life-12">http://www.builtforlifehomes.org/go/building-for-life-12</a></li> <li>Provide details of any quality assurance certification/accreditation achieved. If certification/accreditation is being actively pursued, provide evidence that this will be gained in the near future.</li> </ul> <p>(Maximum one (1) side of A4)</p>	
<b>4.6</b>	<i>Scored</i>	<p><b>Management Experience</b></p> <p>If you are not managing the completed homes yourself, outline procurement process/criteria and performance and review mechanisms for management company/RP. If you are managing the homes yourself, please outline management track record in London (including, for new providers, the experience of staff recruited or to be recruited).</p>	Attached? Yes/No/NA

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		<p>Provide details of your managerial experience for controlling development work over the last three years or, if you are new to development, how you propose to manage delivery of the proposed project/allocation?</p> <p>The response should include but is not limited to:</p> <ul style="list-style-type: none"> <li>• Overview of management arrangements of delivery of affordable housing or comparable development activity;</li> <li>• Roles and responsibilities of individuals/organisations involved, please provide group structure chart, where possible;</li> <li>• Demonstration that resources are or will be in place to manage delivery of this project/allocation;</li> <li>• Details of mechanisms to be put in place to manage Contractor/Developing agent;</li> <li>• Details of any quality assurance certification/accreditation achieved or currently being sought.</li> </ul> <p>(Maximum one (1) side of A4)</p>	
<b>4.7</b>	<i>Scored</i>	<p><b>Risk Management</b></p> <p>Provide details of your approach to risk management for development work or, for smaller providers, arrangements for the delivery of this project/allocation.</p>	Attached? Yes/No/NA

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		<p>Please give case study examples. The response should include but is not limited to:</p> <ul style="list-style-type: none"><li>• Overview of approach to risk management and/or details of organisation's risk management strategy;</li><li>• Details of processes to identify risks and actions that can be undertaken to mitigate those risks;</li><li>• Details of monitoring arrangements in place to ensure milestones are achieved in line with timescales for approved project/allocation.</li></ul> <p>(Maximum one (1) side of A4)</p>	
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