

Compliance Audit Notes for Auditors

<p>This document applies to the below GLA programmes:</p> <ul style="list-style-type: none"> • Programmes that have utilised earlier versions of this checklist in previous years: <ul style="list-style-type: none"> ○ AHP 2016-23 (including addendum / Building Council Homes for Londoners) ○ Care and Supported Specialised Housing Fund (CASSH) ○ Rough Sleeping Accommodation Programme (RSAP) • Programmes that are subject to their first audit cycle, and may have additional programme requirements: <ul style="list-style-type: none"> ○ Affordable Housing Programme (AHP 2021-26) ○ Council Homes Acquisitions Programme (CHAP) ○ Refugee Housing Programme (RHP) ○ AHP 2021-26 Supported and Specialist Housing Programme (AHP 21-26 SSHP) ○ Single Homelessness Accommodation Programme (SHAP) <p>The Social Sector ACM Cladding Remediation Fund checklist is available in section 9 of the GLA Affordable Housing Capital Funding Guide (AHCFG).</p>	<p>Version 1 (August 2024)</p>
<p>This Notes for Auditors document provides supplementary information for auditors undertaking audits through the GLA compliance audit process, and should be read in conjunction with the Compliance Audit checklist.</p> <p>The GLA’s Affordable Housing Capital Funding Guide (AHCFG) is located at https://www.london.gov.uk/programmes-strategies/housing-and-land/increasing-housing-supply/affordable-housing-capital-funding-guide. Further guidance on the compliance audit process can be found in section 9 of the ACHFG.</p> <p>Unless otherwise stated, where auditors are asked to review milestone dates on GLA OPS, they should look at the milestones within the Milestones Block on OPS.</p> <p>Where auditors are asked to review the date that milestones were submitted by providers, or the date that milestones were approved by the GLA, they should review the Project History audit trail on the Project Overview screen.</p> <p>Where auditors are required to review individual homes (for example, when looking at design standards) on a scheme, they must do the following:</p> <ul style="list-style-type: none"> • For schemes of 40 homes or less, check a minimum of 8 random homes. • For schemes of 41 homes or more, check a 20% random sample of the homes. 	

Item no.	Subject	Notes for auditors
	General/location	
1	<p>Has a comprehensive scheme file containing all relevant documents, as set out in section 9 of the AHCFG, been made available on the date of the audit?</p> <p>Is the project located within the borough boundary stated on OPS?</p>	<p>Please refer to section 9 of the GLA's AHCFG for the full list of documents required in the scheme file.</p> <p>Auditors should check all documents are signed and dated. Auditors to specify which documents, if any, are omitted, incomplete or invalid.</p> <p>When checking borough, auditors should review the borough identified in the Project Details block on OPS against the postcode of the completed project to confirm location.</p>
2	<p>Where a project has been developed by a different provider from the one that will own and manage the project, is there a written agreement between the providers on the terms of transfer?</p> <p>Where a project has been developed by the same provider who will own and manage the project, this question is not applicable.</p>	<p>There should be a written agreement on the terms of transfer and all warranties should be assignable and available at the point of audit.</p>
	Secure Legal Interest and site acquisition	
3	<p>Was there a compliant Secure Legal Interest in the site on or before the approved Land Acquisition milestone date in the OPS Milestones Block?</p> <p>If no Land Acquisition milestone, was there a compliant Secure Legal Interest in the site on or before the approved Start on Site milestone date in the OPS Milestones Block?</p>	<p>Secure Legal Interest is defined within the individual Grant Agreement of the relevant programme.</p> <p>Checks should include the following:</p> <ul style="list-style-type: none"> • Cover both freehold and leasehold elements • Check the project's OPS Milestones Block as required to determine the approved milestone date for the Land Acquired or Start on Site milestones. See Appendix 1 for OPS screen examples. • Check exchange and completion dates of purchase contracts. • Check for solicitor-based evidence that the purchase completion has taken place at the agreed sum and is dated either on the date or post purchase completion. • Check that the property offers 'Good title' as defined in section 2 of the AHCFG. • Check for defective title indemnity insurance in favour of the grant recipient, with a limit of indemnity equal to at least the scheme grant for the project. • Check solicitor's report on title or lease if one has been prepared, and a copy of the Land Registry extract. Note that, where an acquisition grant claim is being made, the provider must have either the freehold or long leasehold interest prior to drawing down grant. A conditional interest and/or indemnity insurance is insufficient. • Check if the land or property requires restriction in favour of the GLA and if this was registered on the Land Registry's Title Register.

		<p>Where restrictions on the title are in place:</p> <ul style="list-style-type: none"> • Check that any specified consents were obtained. • Confirm that there were no covenants or restrictions likely to impede development or that there was relevant indemnity insurance in place. <p>Where the answer is 'No' to either question, but the provider states they had received agreement from the GLA to proceed with the claim, the auditor should obtain evidence of this agreement and confirm within their report. A record of the approval must be available on file and commentary should be added to OPS within the Project History.</p> <p>Where auditors find that required conditions were achieved after the approved Land Acquisition / Start on Site milestone date on OPS, they should set out whether the conditions were achieved by the date the associated Land Acquisition / Start on Site milestone claim was submitted by the provider on OPS, or by the date the GLA approved the associated Land Acquisition / Start on Site milestone claim on OPS.</p> <p>RSAP</p> <p>In addition, for RSAP homes, auditors should review the RSAP Project Information block (for RSAP 21-24 projects) and the Additional Questions block (for RSAP 2020-21 projects) on OPS to identify the stated length of the lease on the property. Note that for new-build schemes, reference to 'in perpetuity' on OPS means a minimum 60-year lease, and for purchase / leasing / remodelling / refurbishment projects, reference to 'in perpetuity' on OPS means a minimum 30-year lease. This should be compared to the actual length of the lease for the property.</p>
4	<p>Is there a valid valuation report for the purchase of the site/property which meets the requirements of the AHCFG?</p> <p>If the processing route on OPS is 'New Build – Development only', this question is not applicable.</p>	<p>Guidance on what the valuation report should include is in AHCFG section 9. Broadly, the report should:</p> <ul style="list-style-type: none"> • Take account of all the relevant factors affecting the site/property and its development. • Carry the valuer's original signature and dated. • Clearly identify the site/property which is the subject of the valuation on an accompanying plan endorsed by the valuer. • Be valid at the date of exchange of purchase contracts. • For local authority providers only, in-house valuations are acceptable if they are conducted in line with all AHCFG section 9 requirements and performed by a suitably qualified valuer.
	<p>Planning & other conditions</p>	
5	<p>Were all relevant planning conditions signed off by the Local Planning Authority (LPA) on or before the Completion milestone date in the OPS Milestones Block?</p>	<p>Auditors should check whether the LPA had signed off conditions on or before the approved Completion milestone date in the OPS Milestones Block. See Appendix 1 for OPS screen definitions.</p> <p>Auditors should ensure that all necessary planning consents were obtained at the relevant stage of development. This can be evidenced by written confirmation from the Employer's Agent.</p> <p>Where planning conditions were not formally discharged on or before the milestone, auditors should provide brief details of the nature and requirements of these conditions.</p> <p>Auditors should not report on conditions within other phases of the project if within a multi-phased development, unless they apply to the selected audit project. Auditors should identify conditions that</p>

		<p>cannot be discharged until the completion of the entire project within their report.</p> <p>Providers may use the 'deemed discharge' route to confirm that planning conditions are no longer outstanding. To evidence this, there should be a copy of the notice to the LPA specifying the planning application and the planning condition to which it relates on file. The notice should specify the date on which the notice is to take effect, providing that the LPA has not determined the application.</p> <p>Where a provider states that they received consent from the GLA that the Completion milestone date on OPS could be before conditions were formally discharged by the LPA, the auditor should obtain evidence of this agreement and confirm within their report. A record of the approval must be available on file and commentary should be added to OPS within the Project History.</p> <p>Where auditors find that required conditions were achieved after the Completion milestone date on OPS, they should set out whether the conditions were achieved by the date the associated Completion milestone claim was submitted by the provider on OPS, or by the date the GLA approved the associated Completion milestone claim on OPS.</p>
6	Where required, were other specified consents obtained for the relevant works?	Check if other consents apply and if they were obtained e.g., party wall award, listed building consent, permission to demolish, Environment Agency remediation plan etc.
7	Where there is evidence of factors that may adversely affect mortgageability, have relevant expert reports been obtained and where applicable has necessary warranty been documented?	<p>Auditors should check for documented evidence of factors that may adversely affect mortgageability.</p> <p>If there is documented evidence, check whether relevant expert reports were obtained and whether suitable warranties have been documented.</p> <p>Auditors should check filed documentation, noting which documents have been reviewed and their date. This could include:</p> <ul style="list-style-type: none"> • House builder warranties / CML cover notes, which must be available on completion. • Valuations • Solicitor's Report on Title • Indemnity insurance • Insurability of innovative house building systems <p>Auditors should provide a description of these factors within their reports. Attachments shared with the report are required by exception and only to support specific audit findings, or to evidence any mitigating circumstance.</p>
	Works	
8	<p>Was the main works contract signed and dated by both parties on or before the Start on Site milestone date in the OPS Milestones Block?</p> <p>Was contractual possession of the site passed to the main development contractor on or</p>	<p>Check to confirm that the milestone date for Start on Site date meets the GLA's Start on Site grant claim requirements detailed in section 2 of the AHCFG. A 'letter of intent' issued by the Provider to the main build contractor is not acceptable.</p> <p>Where the main works contractor is also the site vendor, check the date of the agreement for sale or the date of the development agreement.</p> <p>Where the grant recipient's direct labour is contracted, auditors must check the date of internal purchase order and evidence of when the works achieved Start on Site.</p>

	before the Start on Site milestone date in the OPS Milestones Block?	<p>Where a breach is identified, auditors should provide details of the form of contract entered into with the main development contractor and the date of agreement.</p> <p>Should any variation of this route have been agreed with the GLA, the auditor should obtain evidence of this agreement and confirm within their report. A record of the approval must be available on file and commentary should be added to OPS within the Project History.</p> <p>Where auditors find that required conditions were achieved after the approved Start on Site milestone date on OPS, they should set out whether the conditions were achieved by the date the associated Start on Site milestone grant claim was submitted by the provider on OPS, or by the date the GLA approved the associated Start on Site milestone grant claim on OPS.</p>
9	Was the relevant completion claim documentation issued on or before the Completion milestone date in the OPS Milestones Block?	<p>Confirm that the following certificates were issued on or before the Completion milestone date in the Milestones Block on OPS:</p> <ul style="list-style-type: none"> the Final Certificate under the Building Regulations, and; the Practical Completion certificate under the building contract. <p>Check the extent to which the requirements set out in the 'Claiming payment milestones' paragraph in section 2 of the AHCFG were met on or before the approved OPS Completion milestone date.</p> <p>Where auditors find that required conditions were achieved after the approved Completion milestone date on OPS, they should set out whether the conditions were achieved by the date the Completion milestone claim was submitted by the provider on OPS, or by the date the GLA approved the Completion milestone claim on OPS.</p>
10	Were suitable warranties in place on or before the Completion milestone date in the OPS Milestones Block?	<p>Check that there are house builder warranties suitable for mortgage providers, together with accompanying 'cover note' as required by the CML initiative.</p> <p>Where auditors find that required conditions were achieved after the approved Completion milestone date on OPS, they should set out whether the conditions were achieved by the date the Completion milestone claim was submitted by the provider on OPS, or by the date the GLA approved the Completion milestone claim on OPS.</p>
11	Does the main works contract require the London Living Wage (LLW) be paid to those employed directly and indirectly under it?	<p>The GLA expects this to be demonstrated by either:</p> <ol style="list-style-type: none"> All contractor /sub-contractor employees to be paid the LLW. Where this is not evident in the main works contract, further evidence should be obtained from the grant recipient, or; All grant recipient development employees to be paid the LLW. <p>Check if consultants, contractors, and sub-contractors paid at LLW or above.</p>
	Unit details	
12	Is there evidence that the completed scheme matches	For all programmes, auditors should check for scheme file evidence confirming the following data in OPS:

	<p>the relevant unit details in OPS?</p>	<ul style="list-style-type: none"> • Number of homes in each affordable tenure. • Gross Internal Area for the project, as defined on OPS • Total number of wheelchair homes. <p>For AHP 21-26, auditors should also check for scheme file evidence confirming the following data on OPS:</p> <ul style="list-style-type: none"> • The total number and percentage of affordable habitable rooms in the project (as set out in Affordable Homes block)
Rent levels and tenancies		
13	<p>Are the rents accurate in OPS?</p> <p>Are relevant tenancies accurate in OPS?</p>	<p>For all rented homes (including social rent and London Living Rent)</p> <p>Auditors must compare rent figures in the Unit Details Block on OPS against the first letting rents in the tenancy agreements or in the provider’s rents computer system. If these do not match, auditors should include a table in their report setting out:</p> <ul style="list-style-type: none"> • Each dwelling address • The rent and service charge in the tenancy agreement • The rent and service charge entered in OPS • The actual and percentage variance from the tenancy agreement to the OPS input. <p>Providers should not use ranges or averages in their input, and auditors should not use ranges or averages in their report.</p> <p>For social rent homes</p> <p>In addition, auditors must confirm that the rent charged in the tenancy agreement is set at or below a rent calculated in accordance with the formula for calculating social rents, with reference to the Rent Standard and Guidance (gov.uk), applicable at the point of first letting. If this is not the case, auditors should include a table in their report setting out:</p> <ul style="list-style-type: none"> • Each dwelling address • The rent in the tenancy agreement • The rent as calculated with reference to the Rent Standard • The actual and percentage variance from the tenancy agreement to the calculated social rent. <p>Providers should not use ranges or averages in their input, and auditors should not use ranges or averages in their report.</p> <p>For London Living Rent homes</p> <p>In addition, auditors should confirm that that the rent charged in the tenancy agreement is within the applicable published London Living Rent benchmark level, accessible online via London Living Rent (london.gov.uk). If this is not the case, auditors should include a table in their report setting out:</p> <ul style="list-style-type: none"> • Each dwelling address • The rent and service charge in the tenancy agreement. • The upper rent as calculated by the GLA LLR benchmarks. • The actual and percentage variance from the tenancy agreement to the applicable London Living Rent benchmark. <p>Providers should not use ranges or averages in their input, and auditors should not use ranges or averages in their report.</p>

		<p>If tenancy agreements include provision to meet the requirements under section 3 of the AHCFG on LLR rent increases, check that the leases offer a purchase option.</p> <p>For Shared Ownership homes</p> <ul style="list-style-type: none"> • Check service charge on OPS corresponds with service charge in lease agreement at initial sale stage. • Check annual net rent charged on unsold equity is no higher than 2.75%, as detailed in section 4 of the AHCFG. Rent on unsold equity amount is not recorded on OPS, so auditors should check with the provider on actual rent charged, the percentage of unsold equity and market value, then calculate as per formula (unsold equity at no more than maximum of 2.75%). <p>For RSAP homes</p> <p>In addition, for RSAP homes, auditors should confirm that tenancies will be two-year assured shorthold tenancies (AST). If the provider has secured an exemption from offering a two-year AST, this exemption should be on file.</p>
	Total scheme costs	
14	Are the total scheme costs accurate?	<p>Auditors should check the scheme costs on OPS match the final scheme costs in the provider's scheme file. Details of eligible scheme costs can be found in section 2 of the ACHFG.</p> <p>For AHP 21-26 projects, auditors should also satisfy themselves that the final scheme costs in the provider's scheme file reflect the scheme costs as broken down in in table 4 of the Affordable Homes block on OPS:</p> <ul style="list-style-type: none"> • Acquisition or development costs • Development costs • On-costs
	Intermediate homes (shared ownership and LLR)	
15	Have the required fundamental clauses been included in shared ownership leases?	<p>Check the lease for required fundamental clauses of the model lease.</p> <p>The required fundamental clauses are set out in section 4 of the GLA's AHCFG. If an exemption has been granted by the GLA, this must be reflected in both OPS and evidence retained on the scheme audit file. Note the amended/additional fundamental clauses for AHP 21-26 are set out in blue on the model leases (available in section 4 of the AHCFG).</p>
16	Did the successful applicant(s) meet the eligibility and affordability criteria for shared ownership and LLR homes?	<p>Is there evidence that the provider completed all applicant eligibility checks including:</p> <ul style="list-style-type: none"> • maximum household income within the GLA threshold. • unable to purchase suitable property without assistance. • an affordability or financial assessment to determine that the applicant can afford and sustain mortgage costs and has been encouraged to purchase the maximum affordable share. This may include evidence of advice from professional mortgage advisors and/or lenders. <p>Further guidance on eligibility checks for shared ownership applicants can be found in section 4 of the AHCFG. Further</p>

		guidance on eligibility checks for LLR applicants can be found in section 4 of the AHC FG.
17	Were all shared ownership and LLR homes advertised through the Homes for Londoners Property Portal?	Is there evidence that shared ownership and LLR homes were advertised on the Homes for Londoners Property Portal? (https://www.london.gov.uk/programmes-strategies/housing-and-land/homes-londoners/homes-londoners-property-search)
	Management agreements	
18	Was there a signed management agreement for the project? If there is no one managing this project on the provider's behalf, this question is not applicable.	If an organisation is managing the completed project on behalf of the provider, the auditor to confirm that a signed and dated management agreement is on file. RSAP For RSAP projects, check OPS to identify which organisation will be responsible for making nominations: <ul style="list-style-type: none"> • If Clearing House is responsible, confirm a Service Level Agreement is in place between Clearing Housing and the provider as per paragraph 2.7 of the capital funding agreement. • If Clearing House is not responsible, confirm the provider is submitting monitoring data to Clearing House monthly.
	Design standards	
19	Does the completed project match the relevant design standard details confirmed on OPS?	Design standard requirements differ depending on the programme. For AHP 21-26 (and AHP 21-26 SSHP) projects, this section relates to providers' stated compliance with the nine standards set out in the Design Standard (or similar named) block on OPS (also set out under 'Design Standards' on the GLA's website). If RHP, CHAP, RSAP, and AHP 16-23, see headings below. Where the provider has stated it complies with the design standards, auditors should check the 'as-built' schedule and other scheme file evidence such as construction drawings. Where the provider has selected n/a, auditors should check this is correct. Where the provider has stated they do not comply with the design standards, auditors should check that the stated underperformance against the design standards is accurate (based on 'as-built' schedule and construction drawings). Where a required design standard is not set out in detail on OPS, further details relating to these standards may be found in the following documents: <ul style="list-style-type: none"> • The London Plan – March 2021 (london.gov.uk) • Housing Design Standards LPG – June 2023 (london.gov.uk) RHP For Refugee Housing Projects, auditors are only required to check against the following Design Standards, as approved by the GLA in the RHP Design Information Block: <ul style="list-style-type: none"> • Achieves EPC rating of D (auditors should review the property's energy certificate).

		<ul style="list-style-type: none"> • Meet Decent Homes S standards (auditors should satisfy themselves that the provider has identified compliance). • Included white goods and furniture when let. <p>Further guidance about the Decent Homes S standard is set out here:</p> <ul style="list-style-type: none"> • Decent Homes S standard – (gov.uk) <p>CHAP</p> <p>For CHAP projects, auditors are required to check against the following Design S standards:</p> <ul style="list-style-type: none"> • Achieves EPC rating of D (auditors should review the property’s energy certificate). • Meet Decent Homes S standards (auditors should satisfy themselves that the provider has identified compliance). <p>RSAP</p> <p>Check for evidence that:</p> <ul style="list-style-type: none"> • All units meet the building safety standards as set out in the RSAP prospectus ‘Building safety standards’ table. • All units meet minimum property standards set out in the grant agreements. • For remodelling and refurbishment schemes check that minimum EPC rating of D has been met. • Units are self-contained or shared as stated in OPS design information block. <p>AHP 16-23 (and CASSH)</p> <p>Check the Space & accessibility and Environmental standards Blocks on OPS. Only the following questions should be reviewed:</p> <ul style="list-style-type: none"> • Do all units meet or exceed the Mayor’s space standards for gross internal area? See table 3.3 in the Housing Standards Minor Alterations to the London Plan 2016. • Does each unit have at least 5 sq.m. of private outdoor space for each 1-2 person dwelling and an extra 1 sq.m. for each additional occupant? • Do all units have a floor to ceiling height of 2.5 metres or more for at least 75% of their gross internal area? • Are all dwellings that are either north facing, or have three or more bedrooms, dual aspect? <p>Where the provider has stated it complies with the standards (the above questions may not show on OPS if the provider has stated it complies with all standards), auditors should check the ‘as-built’ schedule and other scheme file evidence such as construction drawings. Where the provider has stated they do not comply, auditors should check that the stated underperformance against the Design Standard is accurate (based on ‘as-built’ schedule and construction drawings).</p>
	Building safety standards	
20	Does the completed project match the building safety standards confirmed on OPS?	<p>Providers with projects in this section are required to achieve the GLA’s five building safety standards (as set out in section 2 of the AHCFG).</p> <p>If the provider has committed to achieving the GLA’s five building safety standards, then auditors should check compliance. GLA has not yet provided formal guidance to partners on what</p>

	<p>This section is only for the following types of development:</p> <ul style="list-style-type: none"> • New build, purpose-built blocks of flats • All new build supported and specialist accommodation (including houses) <p>Where the above types of development are homes that have been acquired by a provider via an 'off-the-shelf' package deal, where the homes were not previously occupied, these are considered 'new build'.</p> <p>If the project is AHP 16-23 or CASSH, this question is not applicable.</p> <p>If the project is not covered by the above criteria, please respond to question 12 with 'N/A' and answer question 13. This includes any new build houses.</p>	<p>evidence to retain on file to demonstrate compliance with these standards in this section.</p> <p>Guidance as to what auditors could seek to review has been set out below. Auditors should set out in their reports what they have been able to review and what conclusions they have reached regarding compliance with the building safety standards which could include:</p> <ul style="list-style-type: none"> • For standard 1: provider may have written confirmation from contractor on file regarding compliance. It may also be possible to review the maintenance agreement to confirm Automatic Water Fire Suppression Systems (AWFSS – i.e., sprinklers) are in place. • For standard 2: provider may have written confirmation from contractor on file regarding compliance. • For standard 3: provider may have written confirmation from contractor on file regarding compliance. • For standard 4: auditors should seek evidence of confirmation from manufacturer's registration service. For the avoidance of date, this covers both integrated and free-standing appliances. • For standard 5: auditors should review the resident 'pack' or 'manual' for information about product registration, product recalls and electrical safety. <p>If the provider has secured an exemption from the GLA, this exemption should be on file.</p>
21	<p>Does the completed project match the building safety standards confirmed on OPS?</p> <p>This section is for the following types of development:</p> <ul style="list-style-type: none"> • Acquisitions (excluding off-the-shelf acquisitions) • New build houses purchased after completion, not commissioned through 21-26 (excluding supported & specialist) • Homes delivered as refurbishment, conversion or remodelling <p>Acquisitions in this section include 'second-hand' homes, i.e., the purchase of homes that have previously been occupied.</p>	<p>Providers with projects in this section are required to achieve three of the GLA's five building safety standards. These are standards 2, 4 and 5 (as set out in section 2 of the AHCFG). (as set out in section 2 of the AHCFG).</p> <p>If the provider has committed to achieving the GLA's three building safety standards, then auditors should check compliance. GLA has not yet provided formal guidance to partners on what evidence to retain on file to demonstrate compliance with these standards in this section.</p> <p>Guidance as to what auditors could seek to review has been set out below. Auditors should set out in their reports what they have been able to review and what conclusions they have reached regarding compliance with the building safety standards, which could include:</p> <ul style="list-style-type: none"> • For standard 2, confirm there is a signed S statement of Reasonable Endeavours on file (a template of which is available here: https://www.london.gov.uk/programmes-strategies/housing-and-land/improving-quality/building-safety-london), and evidence that this has been sent to the GLA. Also confirm that any documents that the provider has confirmed as being available in the S statement of Reasonable Endeavours were available to the provider. • For standard 4: auditors should seek evidence of confirmation from manufacturer's registration service. For the avoidance of doubt, this standard covers both integrated and free-standing appliances.

	<p>If the project is AHP 16-23 or CASSH, this question is not applicable.</p>	<ul style="list-style-type: none"> For standard 5: auditors should review the resident 'pack' or 'manual' for information about product registration, product recalls and electrical safety. <p>If the provider has secured an exemption from the GLA, this exemption should be on file.</p>
Sustainability standards		
22	<p>Does the completed project achieve the relevant sustainability standards confirmed on OPS?</p> <p>If the project is not AHP 21-26 (i.e., AHP 16-23, CHAP, RHP, RSAP or SHAP), this question is not applicable.</p>	<p>This section relates to providers' stated compliance with the standards set out in the Sustainability Standard (or similar named) block on OPS.</p> <p>For all programmes, where the provider has stated they comply with the relevant Sustainability Standards below, auditors should check scheme file evidence such as planning permissions. Where the provider has selected n/a, auditors should check this is correct.</p> <p>Where the provider has stated they do not comply with the Sustainability Standards, auditors should check if the provider has secured an exemption from the GLA, this exemption should be on file.</p> <p>Auditors are required to check the following standards:</p> <ul style="list-style-type: none"> For referable schemes, a whole life-cycle carbon assessment has been undertaken - auditors should confirm evidence has been provided that an assessment was completed and submitted to GLA planning. Data has been submitted to the GLA's 'Be Seen' monitoring portal – auditors should confirm evidence has been provided that a 'Be Seen As-built Stage webform' was submitted via the GLA's website at planning stage. The scheme meets the relevant borough Urban Greening Factor (UGF) target scores, or where none exist, the interim score of 0.4 in the London Plan – auditors should review the approved planning application for the project, which should include an UGF calculation setting out the UGF score. <p>While auditors are not asked to undertake detailed reviews of the above assessments, further information about these three areas can be found as follows:</p> <ul style="list-style-type: none"> Whole Life Cycle Costs - whole life cycle costs - gov.uk 'Be Seen' - be seen - gov.uk Urban Greening Factor - UFG - gov.uk

Appendix 1: guidance on where to find key information on OPS

The below screenshot is from an example project on OPS, taken from the Milestones Block. It shows where to identify the confirmed date of the relevant milestone on OPS where required.

MILESTONE	N/A	DATE	GRANT %	EVIDENCE
Detailed planning permission achieved		30 / 10 / 2025	N/A	None added
Contractor appointment		15 / 12 / 2025	N/A	None added
Land acquired		30 / 12 / 2025	40	None added
Start on Site		28 / 02 / 2026	35	None added
Completion		28 / 02 / 2029	25	None added

Under some audit items, auditors are also asked to review compliance with the date the milestone was claimed on OPS by the provider, and the date the GLA approved the milestone claim. These dates can be identified on the Project History tab on the Project homepage on OPS. An example (using a different example project on OPS) is shown below,:

Project History ▲

08/12/2023 at 14:48 Approved by

08/12/2023 at 14:48 Completion milestone authorised by Date GLA approved milestone claim (including any payment)

08/12/2023 at 11:54 Payment Authorisation Requested by
PC milestone claim Internal GLA recommendation - auditor to ignore

24/11/2023 at 16:53 Approval requested for unapproved blocks Unit Details,Milestones by
PC occurred 23/11/23. Date provider submitted milestone claim (including any payment claim) to the GLA for approval