

MAYOR OF LONDON

GLA ESF 2014 - 2020 CO-FINANCING PROGRAMME

DELIVERY HANDBOOK

**CREATIVE ENTERPRISE ZONES:
TOTTENHAM ENTERPRISE & SKILLS**



European Union

European
Social Fund

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1. Introduction and Purpose of the Document

The London European Social Fund Programme

- 1 The European Social Fund (ESF) forms part of the European Structural and Investment Funds (ESIF) for 2014-20, which aim to improve employment opportunities across the European Union (EU), raise living standards and assist people to improve their skills and job prospects.
- 2 The Department for Work and Pensions (DWP) is the *Managing Authority* (MA) with overall responsibility for ESF funds in England. DWP manages the England ESF programme at a national level and liaises with the European Commission in Brussels. Each region has an indicative ESF allocation to support activities to address its regional jobs and skills needs within the framework of the two priorities in the England ESF programme.
- 3 The London Economic Action Partnership (LEAP) is responsible for the strategic oversight of the ESIF in London and has been notionally allocated €748 million of ESIF funding to support people into work, create jobs and support business growth in the Capital.
- 4 In London, the ESF is managed by the Greater London Authority's European Programmes Management Unit (EPMU) which acts as an *Intermediate Body* (IB) on behalf of the Managing Authority, DWP.
- 5 The majority of ESF provision in London is being delivered through Co-Financing Organisations (CFOs). Co-Financing Organisations (CFOs) are responsible for providing the match funding for the ESF provision that they commission and manage. In addition to the Greater London Authority (GLA) there are eight CFOs delivering activities in London: the Department for Work and Pensions (DWP), the Education and Skills Funding Agency (ESFA), the Big Lottery Fund (BLF), the National Offender Management Service (NOMS), and four sub-regional partnerships of London boroughs have been awarded CFO status for the delivery of the Work and Health Programme in London.

- 6 As a CFO, the GLA develops and implements employability and skills activities on behalf of LEAP that are co-funded by ESF and that meet local needs and Mayoral priorities.
- 7 More information about the London ESF 2014-20 programme can be found at https://lep.london/content_page/european-social-fund.

Understanding the terminology in this document

- 8 This GLA ESF 2014-20 Programme Delivery Handbook, will be referred to from this point in this document as the “*Delivery Handbook*”.
- 9 In this Delivery Handbook, the terms “*GLA*”, “*we*”, “*us*” and “*our*” refer to the Greater London Authority.
- 10 The GLA, acting as a CFO has awarded Grant Agreements for services for the delivery of the GLA ESF 2014-20 Programme. The payments made for the services delivered are referred to in this document as “*ESF Grant Agreement Funding*”. The organisations that have been awarded ESF Grant Agreement Funding and have signed Grant Agreements with the GLA in their capacity as the lead organisations responsible for delivering these services are referred to throughout this handbook as “*ESF Providers*”. This includes all Consortium Members. We also use “*You*”, “*Your*” or “*Yourself*” to refer to ESF Providers.
- 11 We define a “*Subcontractor*” as a separate legal entity that has an agreement with You to deliver any element of the Project. A separate legal entity includes companies in Your group, other companies and sole traders. It also includes individuals who are self-employed or supplied by an employment agency, unless those individuals are working under Your direction and control, in the same way as Your own employees.
- 12 Any other organisations involved in supporting the delivery of a GLA ESF 2014-20 Programme Grant Agreement for services will be referred to as “*ESF Delivery Partners*”. ESF Delivery Partners are not paid by the ESF Provider for the activities they undertake in supporting the Project and they would not hold a formal Grant Agreement or agreement with the ESF Provider. ESF Delivery Partners could be referral organisations, training providers, Local Authorities etc., without whom the ESF Provider may be unable to deliver the Project objectives.
- 13 We use the term “*Participant*” to describe an individual who is a direct beneficiary of the services delivered through the GLA ESF 2014-20 Programme. We use the term “*Employer Beneficiary*” to describe an organisation (e.g. a business, social

enterprise) which is a direct beneficiary of the services delivered through the GLA ESF 2014-20 ESF Programme.

- 14 From this point in this document we will refer to the services that You are delivering in accordance with the Grant Agreement awarded to You for the delivery of the GLA ESF 2014-20 Programme services as Your “*Project*”.
- 15 A “*GLA Provider Manager*” will be designated as the ESF Provider’s main point of contact with the GLA during the delivery period of the Grant Agreement for services.
- 16 You have been awarded ESF Grant Agreement Funding to deliver services to support Participants and Employer Beneficiaries leading to the ‘*Outputs*’ and ‘*Results*’ which are set out in Schedule 3 of Your Grant Agreement.

About this Delivery Handbook

- 17 This Delivery Handbook has been designed as an aid to ESF Providers. It includes information about reporting to the GLA and claiming payments. It also includes template forms to assist You with evidence collection.
- 18 The Delivery Handbook forms part of the terms and conditions of Your *GLA ESF 2014-20 Programme Grant Agreement Terms and Conditions* (referred to from this point as the “*Grant Agreement*”) and the two should be read in conjunction with each other. All employees of ESF Providers, ESF Providers’ Subcontractors and ESF Delivery Partners who are involved with delivery of the Project should ensure they are familiar with the Grant Agreement including the Annexures.
- 19 You must operate within the requirements of the Grant Agreement, this Delivery Handbook, the *GLA ESF 2014-20 Programme Eligibility and Evidence Handbook* (referred to from this point as the “*Evidence Handbook*”), and any other supplementary GLA guidance which may be issued. If You do not, You may be in breach of Your Grant Agreement.
- 20 You must also familiarise Yourself with the national ESF guidance, available on <https://www.gov.uk/guidance/england-2014-to-2020-european-structural-and-investment-funds>, particularly the [European Social Fund data evidence requirements: eligibility and results guidance](#) and the [Output and Result Indicator Definitions Guidance for the European Social Fund](#). The guidance may be updated by the Managing Authority from time to time and it is Your responsibility to ensure that You are aware of and complying with the latest version.

- 21 There may be some requirements in the Delivery Handbook, Evidence Handbook, or Your Grant Agreement which go beyond the requirements in the national ESF guidance, but which have been introduced to meet GLA requirements. If there is a discrepancy between the information in the national ESF guidance and the information in the Delivery Handbook, Evidence Handbook, or Your Grant Agreement You should speak to Your GLA Provider Manager to clarify which requirements take precedence.
- 22 Each ESF Provider should allocate a named person to be the main contact with the GLA. This will usually be the “*Project Manager*” responsible for the day-to-day management of the delivery of the Project. You will also be required to nominate a second contact to cover periods of absence by the main contact, and a named person (the Noticee) who will be responsible for any communications in relation to amendments to the Grant Agreement and/or it’s terms.
- 23 The GLA reserves the right to make changes to this Delivery Handbook as and when necessary in future. This may be, for example, to comply with any updates to the rules and regulations of the ESF and to ensure continued compliance with any requirements set by government.
- 24 It remains the responsibility of the ESF Provider to ensure compliance with GLA and ESF rules at all times.

2. Managing the delivery of Your Project

Project Onboarding

- 25 Prior to the start of delivery of Your Project, we will carry out an onboarding exercise. This will include a visit to check that the systems You have put in place to deliver the services as per Your Grant Agreement are compliant with both ESF and GLA requirements. We will review these systems and may require You to amend them prior to starting to deliver Your Project if we deem appropriate.
- 26 The GLA may arrange additional workshops or briefings prior to the start of delivery and throughout the programme to support ESF Providers, share good practice and facilitate networking between different ESF Projects. Your GLA Provider Manager will inform You of any planned events.

Your Project Staff

- 27 A staffing structure for Your Project should be drawn up and kept on file. This will ensure that all staff members are aware of their, and others', responsibility and accountability for Project activities. The Project Manager, appointed by You, the ESF Provider, should be in a position to take responsibility for delivery of the Project, compliance with GLA and ESF requirements and all reporting to the GLA, including delivery by Your Subcontractors and ESF Delivery Partners.
- 28 You must ensure that the recruitment and selection of all staff involved with the Project follows the statutory requirements of the Equality Act 2010, including (but not restricted only to), Equal Opportunities, Race Discrimination and Disability Discrimination. Each member of staff must be issued with a Job Description that details their main responsibilities.
- 29 You must ensure that there is adequate evidence of the recruitment and employment of staff kept in the Project files, such as employment contracts and recruitment adverts.

Subcontracting Delivery

- 30 You must take Your own legal advice about the impact of Public Contracts Regulations 2015 on Your recruitment of Subcontractors and have this advice available for inspection by us on request.
- 31 Your governing body or board of directors and Your accounting officer (senior responsible person) must be satisfied that all Your delivery subcontracting meets Your strategic aims and enhances the quality of Your participant offer.
- 32 You should only use Subcontractors:
 - 32.1 if You have the knowledge, skills and experience within Your organisation to successfully procure, contract with and manage those Subcontractors and can evidence this with the CVs of relevant staff;
 - 32.2 which Your governing body/board of directors and Your accounting officer (senior responsible person) determine as being of high quality and low risk, and provide written evidence confirming this; and
 - 32.3 if You have robust procedures to ensure subcontracting does not lead to the inadvertent funding of extremist organisations.
- 33 You are responsible for all the actions of Your Subcontractors connected to, or arising out of, the delivery of the Project services which You subcontract.

Subcontractor selection and procurement

- 34 The delivery subcontracting arrangements approved in Your original bid for the GLA ESF 2014-20 Programme will form the basis of the GLA approved subcontracting plan.
- 35 Any proposed change to these subcontracting arrangements after You have been awarded a Grant Agreement must be notified to the GLA and You must get our approval prior to implementing the change. In these circumstances, the GLA reserves the right to revisit the selection criteria as originally tested during procurement to confirm that these criteria would still be met in light of the proposed change.
- 36 When appointing Subcontractors, You must avoid conflicts of interest and You must write to us through Your GLA Provider Manager about any circumstances which might lead to an actual or perceived conflict of interest (for example, where You and Your proposed Subcontractors have common directors or ownership).

- 37 You must carry out Your own due diligence checks when subcontracting and have both the process and the results available for inspection by us.

Entering into a subcontract

- 38 You must not award a subcontract to any organisation if:

38.1 it has passed a resolution (or the court has made an order) to wind up or liquidate the company, or administrators have been appointed; or

38.2 its statutory accounts are overdue.

- 39 You must make sure that Participants or Employer Beneficiaries supported or Businesses engaged through subcontracting arrangements know about both You and Your Subcontractors' roles and responsibilities in providing the service.

- 40 You must have a legally binding contract with each Subcontractor that includes all the terms set out in paragraph 43.

- 41 You must have a contingency plan in place for Participants and/or Employer Beneficiaries in the event that:

41.1 You need to withdraw from a subcontracting arrangement;

41.2 a Subcontractor withdraws from the arrangement; or

41.3 a Subcontractor goes into liquidation or administration.

- 42 You must make sure that the terms of Your subcontract allow You to:

42.1 monitor the Subcontractor's activity;

42.2 have control over Your Subcontractor's delivery; and

42.3 monitor the quality of Project services provided by Your Subcontractors.

Terms that You must include in Your Grant Agreements with Subcontractors

- 43 You must make sure that Your Subcontractors:

43.1 comply with the requirements set out in the Delivery Handbook and Evidence Handbook and the national ESF guidance;

- 43.2 provide You with data and management information related to Participants, Employer Beneficiaries or Businesses receiving Project services so that Your reporting to us accurately reflects Your Subcontractor's delivery;
- 43.3 give us, and any other person nominated by us, access to their premises and all documents relating to the Project on the same terms as in Your Grant Agreement with us;
- 43.4 provide You with all necessary evidence to support Your regular Project reports and claims to us;
- 43.5 always have suitably qualified staff delivering the Project services;
- 43.6 co-operate with You to make sure there is continuity for the Participants, Employer Beneficiaries or Businesses if the subcontract ends for any reason;
- 43.7 tell You immediately if evidence of any irregular financial or delivery activity arises, which could include, but is not limited to:
 - 43.7.1 non-delivery of Project services, Outputs or Results for which ESF Grant Agreement Funding has been claimed, including errors and inaccuracies in claims;
 - 43.7.2 sanctions or restrictions imposed on the Subcontractor by an awarding organisation;
 - 43.7.3 complaints or allegations by Participants or Employer Beneficiaries, employees or volunteers working for the Subcontractor, ESF Delivery Partners or other relevant parties; and
 - 43.7.4 allegations of fraud.
- 43.8 are bound by clause 7 from Your Grant Agreement which includes, but is not limited to, ensuring that the GLA has the right to enforce the terms of the subcontract.
- 43.9 do not use the ESF Grant Agreement Funding as match funding for other ESF projects, or to make bids for, or claims from, any other European funding on their own behalf or on our behalf.

Monitoring Your Subcontractors

- 44 You must manage and monitor all of Your Subcontractors to ensure that high quality delivery is taking place that meets the Project objectives and the requirements of the Delivery Handbook and Evidence Handbook.
- 45 You must carry out a regular and substantial programme of assurance and compliance checks on the Project services delivered by Your Subcontractors
- 46 The assurance programme must include:
 - 46.1 visits to venues where delivery takes place which are unannounced or at short notice;
 - 46.2 checks to confirm that Participants, Employer Beneficiaries or Businesses exist and are eligible;
 - 46.3 checks to ensure compliance with the requirements of the Delivery Handbook, Evidence Handbook and national ESF requirements;
 - 46.4 direct observation of initial guidance, assessment, and delivery of other Project activities; and
 - 46.5 face-to-face interviews with Participants or Employer Beneficiaries, employees or volunteers working for the Subcontractor and ESF Delivery Partners.
- 47 The findings of Your assurance checks should confirm that the Subcontractor is delivering the Project as agreed in Your subcontracting plan, and in accordance with any data, management information or supporting evidence that the Subcontractor has submitted to You. Where this is not the case You should take immediate actions to ensure the issues identified are addressed.
- 48 The GLA may request to see evidence of Your assurance programme, the findings arising from this and any actions that You have agreed or taken to correct any issues identified.

Requesting changes to subcontracting arrangements

- 49 Your GLA approved subcontracting plan must include:
 - 49.1 the name of each of Your Subcontractors;
 - 49.2 the contract start and end date for each Subcontractor;

- 49.3 the Project activities that will be undertaken, and Outputs and Results that will be delivered by each Subcontractor
 - 49.4 the estimated proportion of ESF Grant Agreement Funding that will be paid to that Subcontractor for delivery of the Project services
- 50 If You wish to change Your Subcontractors after You have been awarded a Grant Agreement You must get our prior written approval and follow the process set out in paragraphs 35 to 42.3.

Distributing ESF Grant Agreement Funding between You and Your Subcontractors

- 51 The GLA will pay You ESF Grant Agreement Funding for delivery of Outputs and Results. If Your Subcontractors are delivering some of the Outputs and Results on Your behalf we would normally expect You to pass the payments we make to You for these Outputs and Results on to Your Subcontractor.
- 52 You may retain some of the ESF Grant Agreement Funding that we pay You for these Outputs and Results if You are providing services to support Your Subcontractor with administration and management, or other support to enable the Outputs and Results to be delivered. If You intend to do this you must have a clear, published policy in relation to funding retention or charges to Subcontractors, which Your governing body or board of directors must review. Your accounting officer must sign the policy.
- 53 You should be aware that if You charge Your Subcontractors a fee for providing them with support services, this service may be subject to VAT and recoverable VAT cannot be included in Your claim for ESF Grant Agreement Funding.
- 53.1 As a minimum, You must include the following in Your subcontracting funding retention and charges policy: Your reason(s) for using Subcontractors;
 - 53.2 a description of the support and management services You will provide to Your Subcontractors in return for the ESF Grant Agreement Funding You retain and how this arrangement will improve Your and Your Subcontractors' quality of delivery of the elements of the Project that will be subcontracted;
 - 53.3 the percentage of ESF Grant Agreement Funding You will retain to support and manage Your Subcontractors, and how You calculate this percentage, noting that ESF Grant Agreement Funding retained by You cannot be more than 10% of the ESF Grant Agreement Funding payable to the Subcontractors for the Outputs and Results delivered;

- 53.4 if appropriate, the reason for any differences in retention amounts or support provided to, and management and oversight of, different Subcontractors;
 - 53.5 the payment terms that will apply between You and Your Subcontractors, including the timing of payments in relation to delivery of Project activities, Outputs and Results, and Your timescale for paying claims for ESF Grant Agreement Funding received from Subcontractors;
 - 53.6 how and when You will communicate and discuss Your policy with current and potential Subcontractors;
 - 53.7 how and when the policy will be reviewed; and
 - 53.8 where You publish Your policy.
- 54 You must also tell us the actual level of ESF Grant Agreement Funding paid and retained for each of Your Subcontractors in each financial year.

Data Protection

- 55 Some of the information that You are required to collect and store about Participants and/or Employer Beneficiaries will be personal, sensitive and confidential. You will need to ensure that You take data protection into consideration and comply with the requirements of the [Data Protection Act 2018](#) and the [General Data Protection Regulation \(EU\) 2016/679](#) (GDPR).
- 56 For further information on data protection, its implementation and how it may affect Your organisation, please refer to the Information Commissioner’s website at: <https://ico.org.uk/>.

Data Protection and Statistical Reporting and Evaluation

- 57 The “Participant Data Form” (PDF), is a tool which You must use to record and report to the GLA data and management information about the Participants and/or Employer Beneficiaries supported by the Project. The “Business Data Form” (BDF), is a tool which You must use to record and report to the GLA data and management information about the Businesses engaged in the Project. The PDF and BDF may be in Excel format, paper format or via the GLA’s “Open Project System” (OPS) as determined by the GLA. The OPS is a secure online portal for project management, submission of claims for ESF Grant Agreement Funding and the reporting of Project data and management information. The PDF and BDF names may be subject to change as the GLA’s OPS is developed further.

- 58 We are required to report statistical data to the IB and Managing Authority to demonstrate the activity that has taken place on the Project. This information will be taken from the PDF and BDF and will be anonymised before it is submitted to the IB or Managing Authority. Personal data and contact details may be passed on to an organisation that has been selected to undertake an evaluation of the GLA ESF 2014-20 Programme. Findings from the evaluation will be presented in an anonymised format and no individuals will be mentioned by name or identifiable by other distinguishing characteristics. Participants and Employer Beneficiaries will be contacted by the evaluators and will have the option not to participate in the evaluation.
- 59 This information is included in the “*Data Protection Declaration*” section of the Participant Enrolment Form, the Employer Beneficiary Engagement Form and the HEI/Employer Activity Pilot Engagement Form (see section 4 of this Delivery Handbook). Participants and Employer Beneficiaries, as well as schools, colleges and other organisations involved in Activity Pilots, must agree to sign this declaration before they can benefit from involvement in Your Project.
- 60 Additionally, DWP will undertake evaluations of the national ESF programme, which may include contacting Participants and Employer Beneficiaries to gain their view about the Projects. Further information is provided in paragraphs 118 and 119.

Data Protection and Monitoring and Audit requirements

- 61 The GLA, DWP (and its agents), the National Audit Office, the European Commission, the European Court of Auditors or other programme authorities may wish to monitor delivery of a Project or undertake an audit. This may require that documentary records that contain personal, sensitive or confidential data are viewed in order to verify that activity has taken place to support a claimed payment. This information will not be published by any party.
- 62 You will also need to provide the GLA with scanned copies of the evidence to support Your claims for ESF Grant Agreement Funding. This will include personal and/or sensitive data which must be transferred to the GLA securely. We will confirm the process and system for transferring this data during onboarding, but You should note that requirements may be subject to change during the lifetime of the Project. Changes may be a result of changes in legislation, changes to ESF requirements or changes in the systems or operational processes that the GLA employs.

Your Project Control Systems

- 63 The ESF regulations require that all payments of ESF funding are ‘regular and legal’. That means that You and We are obliged to maintain an audit trail for the ESF Grant

Agreement Funding You receive and for Project activities, Outputs and Results. You must maintain the evidence for each Output and Result and make that available for audit at the request of the GLA or other audit authority. Failure to maintain the audit trail will result in us recovering ESF Grant Agreement Funding from You. Your control systems will be an important element in the management of Your audit trail.

- 64 You must comply with the ESF requirements or You will be in breach of Your Grant Agreement and this could result in us recovering ESF Grant Agreement Funding from You and/or terminating Your Grant Agreement. This includes complying with guidance in this Delivery Handbook and the Evidence handbook.
- 65 You must put in place adequate control systems to ensure that Your claims to us for ESF Grant Agreement Funding and the audit trail to justify them are accurate and complete. Your control systems must allow You to recover evidence for audit quickly and accurately. Your control systems must extend to Your Subcontractors and, where relevant, Your other ESF Delivery Partners.
- 66 You must regularly test Your control systems and Your Subcontractors' control systems and the evidence for Participants and Employer Beneficiaries that is being collected and maintained. You must be able to provide evidence to us of these tests and that Your systems are operating correctly.
- 67 At the start of the Grant Agreement, You must supply examples of Your paperwork, systems and processes for the Project to confirm that they meet the evidence criteria set out in this Delivery Handbook for the Outputs and Results in Your Grant Agreement.
- 68 Your Project record-keeping: You must keep auditable records of evidence that supports all activity delivered, all ESF Grant Agreement Funding claimed from the GLA and all information provided to the GLA to aid with the management of the Project.
- 69 You must keep up-to-date project files in which all information pertaining to the delivery of the Project and records relating to both Outputs and Results should be stored.
- 70 We will visit You on a regular basis and will expect to see that the Project information and evidence is stored in an appropriate and accessible manner.
- 71 You should also keep auditable records relating to the finance of the Project. We will not monitor Your evidence of expenditure because the ESF Grant Agreement Funding is paid against evidence of Outputs and Results. However, there may be a requirement from the GLA, DWP, National Audit Office, European Commission, the

European Court of Auditors or other programme authorities to view evidence to support expenditure incurred in the delivery of the Project.

Evidencing Your delivery

- 72 You must collect and retain evidence for each Output and Result in Your Grant Agreement according to this Delivery Handbook, the Evidence Handbook, the current ESIF guidance available on GOV.UK, and any supplementary guidance which We or the Managing Authority may issue from time to time, including evidence of the following for both You and Your Subcontractors:
- 72.1 appropriate Participant and/or Employer Beneficiary eligibility;
 - 72.2 Outputs and Results;
 - 72.3 that You have acknowledged the ESF funding in Your Project publicity and delivery, including:
 - 72.3.1 copies of ESF-branded materials;
 - 72.3.2 photographic evidence of the ESF poster in Your premises;
 - 72.3.3 publicity material, case studies and good news stories;
 - 72.3.4 use of an induction narrative outlining the contribution of ESF;
 - 72.3.5 activities to promote gender equality in relation to the Project;
 - 72.4 if necessary a State Aid *de minimis* assessment and declaration or State Aid Block Exemption form, if *de minimis* is not suitable, including evidence of employer contributions (for more information please refer to the State Aid section (paragraphs 142 to 153));
 - 72.5 evidence of control systems and regular checks on these; and
 - 72.6 actual cost evidence (where relevant).
- 73 When we request it You must provide us with this evidence.
- 74 You must hold and retain evidence for both You and Your Subcontractors of the existence and promotion of the following policies and procedures and of their effective implementation, in accordance with the Delivery Handbook, Your Grant Agreement,

the ESIF guidance available on [GOV.UK](https://www.gov.uk), and any ESF supplementary guidance which we or the Managing Authority may issue from time to time:

- 74.1 a sustainable development policy and implementation plan which also meets the requirements of the [Cross-Cutting Themes Guidance for European Social Fund \(Sustainable Development and Equality\)](#);
 - 74.2 an equal opportunities policy and implementation plan which is in accordance with the [Equality Act 2010](#) and also meets the requirements of the [Cross-Cutting Themes Guidance for European Social Fund \(Sustainable Development and Equality\)](#);
 - 74.3 a child safeguarding policy and implementation plan, which includes how You identify and act on safeguarding concerns and comply with the [Prevent Duty](#);
 - 74.4 a vulnerable adult safeguarding policy and implementation plan, which includes how You identify and act on safeguarding concerns and comply with the [Prevent Duty](#);
 - 74.5 a policy, or policies, and procedures in place to gather and act upon feedback, complaints and whistleblowing;
 - 74.6 data protection policies and procedures and archiving and document retention policies and implementation procedures which also meet the requirements of the [England European Social Fund Operational Programme 2014-20 Guidance: Guidance on document retention, including electronic data exchange, for 2014-20 ESF projects](#);
 - 74.7 health and safety policy and procedures; and
 - 74.8 fraud prevention policies and procedures.
- 75 You should refer to the Evidence Handbook for further guidance on evidencing the eligibility of Participants and/or Employer Beneficiaries, and Your Project Outputs and Results.

The Participant and Employer Beneficiary file

- 76 A Participant or Employer Beneficiary file is a collection of information brought together to form a single point of reference relating to the learning and/or support that has been delivered to an individual or organisation by the Project.

- 77 The file may be in paper, electronic or a mixture of formats. It could include enrolment forms, engagement forms, eligibility evidence, data-capture forms, induction checklists, initial assessments, training plans, confirmation letters to participants, self-declarations, attendance records, copies of certificates, result forms and so on. This collection of documents could also include employment records held by a Participant or Employer Beneficiary's employer.
- 78 The Participant or Employer Beneficiary file must show the evidence needed to support the funding claimed and must be available to us on request. It is Your responsibility to ensure that the evidence is retained and accessible when required by the GLA or auditors.
- 79 You must keep evidence that the Participant, the Employer Beneficiary or any other organisation benefitting from the support delivered by the Project is eligible to participate in the Project.
- 80 The Participant or Employer Beneficiary file must include a record of what You have agreed with the Participant, the Employer Beneficiary or other benefitting organisation including their objectives, the activities they will undertake, and the support you will provide. For individuals this must include the relevance of the objectives set with them to their employment prospects and labour market needs.
- 81 Where applicable, the Participant or Employer Beneficiary file and data collected in respect of Businesses must confirm the following:
- 81.1 all information reported to us in the "*Monthly Progress Return*" (MPR, see paragraphs 166 to 169 for further information) and PDF and BDF (see paragraph 57) and the supporting evidence for the data that You report to us;
 - 81.2 Your assessment of a Participant's, Employer Beneficiary's or other benefitting organisation's eligibility to participate on the Project and appropriate evidence to support this assessment as set out in the Evidence Handbook;
 - 81.3 any initial, basic skills and diagnostic assessments;
 - 81.4 information on prior learning or achievements that is relevant to the learning or support that You are providing through this Project or the delivery of any of the objectives of the Project;
 - 81.5 a description of how You will deliver the support that you have proposed and the actions You will take to enable the Participant, Employer Beneficiary or other benefitting organisation to achieve their objectives;

- 81.6 evidence that you have identified any specific support needs that a Participant or Employer Beneficiary may have that may need to be addressed in order of for them to benefit from their participation on the Project, including how You will meet these needs and the evidence of that support being provided;
 - 81.7 records of participation (including evidence of attendance and participation in a particular Output or Result as applicable) with evidence that the activity is taking or has taken place;
 - 81.8 appropriate evidence of a Participant's status regarding claiming state benefits and their labour market status on the day that they start on the Project;
 - 81.9 all records and evidence of achievement of the Project Outputs and Results.
- 82 If a Subcontractor delivers any provision to a Participant, Employer Beneficiary or Business, it must clearly show both Your name and theirs in the Participant or Employer Beneficiary file or Business data, and confirm that the Participant, Employer Beneficiary or Business has been made aware of the relationship between You and the Subcontractor. This must match the Subcontractor information reported to us in the PDF or BDF if applicable.

Confirmation and signatures

- 83 The Participant, Employer Beneficiary or Business must confirm the information which is to be held on the file is correct when it is collected by You. You must have evidence of this, which can include electronic formats.
- 84 Digital signatures, electronic evidence and the wider systems of control related to them must give Your management team assurance that Participants, Employer Beneficiaries or Businesses exist and are eligible to participate on the Project. You must make sure You have systems in place to monitor the activities that Participants, Employer Beneficiaries and other benefitting organisations undertake while on the project, including that they are continuing to learn and achieve. Good electronic signature systems would offer:
- 84.1 authentication – linking the originator to the information;
 - 84.2 integrity – allowing any changes to the information provided to be easily detected; and

- 84.3 non-repudiation – ensuring satisfaction (in a legal sense) about where the electronic signature has come from.
- 85 Further information on electronic collection and storage of data and information to support ESF claims may be found in the [England European Social Fund Operational Programme 2014-20 Guidance: Guidance on document retention, including electronic data exchange](#), which may be amended by the Managing Authority from time to time.
- 86 You must keep effective and reliable evidence to support claims for ESF Grant Agreement Funding submitted to the GLA. You are responsible for making the evidence You hold easily available to us as and when we need it.

Self-declarations by Participants and Employer Beneficiaries

- 87 Self-declarations must only be used as the sole source of evidence if permitted by the [European Social Fund data evidence requirements: eligibility and results guidance](#), which may be amended by the Managing Authority from time to time.
- 88 All self-declarations must confirm the Participant's or Employer Beneficiary's details and describe clearly what the Participant's or Employer Beneficiary is confirming for the requirements set out in this Delivery Handbook and/or the Evidence Handbook.

Procurement of works, equipment, goods and services

- 89 When procuring works, equipment, goods and services related to Your Project please read and comply with the guidance within Clause 3 of Your Grant Agreement and ensure that You follow best value principles.

Project Management

- 90 The GLA will assign each Project a GLA Provider Manager who will maintain regular contact with You via telephone, email and visits. This will enable us to view and understand the progress of Your Project and allow You to raise and address any issues or concerns relating to the Project at an early stage.
- 91 Please refer to Clause 12 of Your Grant Agreement for details of Your Grant Agreement obligations regarding management of Your Project, which include but are not limited to:
- 91.1 Appointment of a Project Manager

- 91.2 Verification of Outputs and Results
- 91.3 Internal control procedures, including risk management
- 91.4 Recovery planning
- 91.5 Attendance at workshops or seminars as directed

Delivery Planning

- 92 The purpose of a delivery plan is to provide a framework to show the tasks and responsibilities of everyone involved in the Project and should help to keep the Project on track. It should be used as a working document and regularly updated including with information on the Project structure, staffing and governance (including steering group details where applicable), key milestones and Output, Result and Expenditure profiles.

Managing Risks

- 93 You are expected to have a process for identifying, escalating and managing risks and issues that may arise in relation to Your Project. This will include maintenance of a “*Project Risk Register*”.
- 94 The Project Risk Register is a tool to determine the likelihood of problems occurring during the lifetime of the Project and to identify measures to prevent them occurring or minimise their impact.
- 95 You will be required to maintain a Project Risk Register for Your Project, initially based on the risks identified in Your bid, which may be amended in discussion with us during on-boarding. You may also choose to set up or share Your Project Risk Register with Your Project Subcontractors and ESF Delivery Partners.

Participant and Employer Beneficiary Feedback

- 96 Obtaining feedback from Your Participants and Employer Beneficiaries is crucial. Regular feedback contributes to effective project monitoring and management, and encourages active engagement of Participants, Employer Beneficiaries and all those contributing to the learning experience, including project managers, tutors, guidance staff, Your Subcontractors and ESF Delivery Partners and their staff, and external stakeholders such as employers, training providers and referral agencies.
- 97 You will need to be able to demonstrate that:

- 97.1 Your Participants and/or Employer Beneficiaries are provided with regular opportunities to give feedback about the Project and the activities that they have been involved in;
 - 97.2 You have in place a process for enabling complaints and whistleblowing to be raised and for managing and responding to these in an effective and timely manner.
- 98 You should explain and provide access to the procedure for providing feedback, raising complaints and whistleblowing during Participants' and/or Employer Beneficiaries' induction. Any information concerning complaints or whistleblowing raised by Participants and/or Employer Beneficiaries should be reported to and actioned by a senior member of the ESF Provider staff. Actions should be recorded and evidence of the procedure followed and actions taken should be retained in line with Your organisation's complaints and whistleblowing procedures.
- 99 Participant and/or Employer Beneficiary feedback may be gathered in many formats depending on the nature of Your Project and the individuals that You are supporting. Examples include:
- 99.1 Satisfaction surveys and questionnaires;
 - 99.2 Individual or group discussions, the results of which are recorded and retained;
 - 99.3 Participant and/or Employer Beneficiary involvement in project management meetings and/or steering group meetings.
- 100 You will need to keep evidence in Your project management files of any feedback received and any actions that were undertaken as a result of this feedback.

Publicity Requirements

- 101 The ESF has strict requirements on publicity that will be audited and failure to adhere to these will lead to financial penalties. These publicity requirements are published in the [European Regional Development Fund and European Social Fund Branding and Publicity Requirements](#). You and Your Subcontractors must adhere to the ESF publicity requirements in addition to the clauses in Your Grant Agreement related to branding, logos and publicity referring to the Mayor of London or the GLA.
- 102 The requirements for the ESF 2014 to 2020 Programme are different from previous programmes; please do not reuse 2007 to 2013 ESF programme publicity materials.

- 103 The ESF publicity requirements include (but are not limited to):
- 103.1 displaying at least one ESF publicity poster with information about the provision funded through Your Grant Agreement at a location readily visible to the public;
 - 103.2 ensuring that all printed documents and publications produced acknowledge and reference the funding received by displaying the correct logo and ensuring it is visible in a prominent position;
 - 103.3 the ESF logo must be displayed on the main page of websites developed specifically for provision funded by Your ESF Grant Agreement Funding, including those developed by Your Subcontractors or ESF Delivery Partners. If the GLA ESF 2014-20 Programme is publicised on an organisation's main website, the ESF logo needs to be placed on the main page; the ESF logo must be immediately visible on these landing pages without the need to scroll down and may also be placed on an organisation's home page;
 - 103.4 ensuring all electronic materials produced for Your Project acknowledge and reference the ESF funding received by displaying the appropriate logo;
 - 103.5 ensuring all materials and documents produced for an event in advance, on the day and after the event including invitations, tickets, press releases, exhibition stands, and presentation slides, acknowledge and reference the ESF funding received by displaying the appropriate logo; and
 - 103.6 ensuring that all participants who are taking part in activities associated with the provision funded by Your Grant Agreement are informed about the support from ESF and the EU at the start of their activity.
- 104 You and Your Subcontractors must adhere to the ESF publicity requirements and provide evidence as described above in this handbook.
- 105 Before using any materials containing the ESF or GLA logos, You must forward a copy to Your GLA Provider Manager and obtain permission to use the materials. The GLA has strict guidelines concerning the use of its logo and may ask You to amend the way that Your materials are presented. You should give as much notice as possible to obtain permission from the GLA, but no less than 10 working days.
- 106 In order to demonstrate how You have promoted Your Project, You should keep copies of all publicity materials and press cuttings in an easily accessible folder.

Case Studies

- 107 ESF Providers are required to submit at least one good news story and/or case study for the Project each quarter, along with their ESF Grant Agreement Funding claims for the months of June, September, December and March each year.
- 108 We are interested in hearing about anything positive that is happening on the Project or that has happened as a result of the Project, and the information should follow the guidance contained in Schedule 6 Part 4 of Your Grant Agreement.
- 109 We will use this information in our own press releases and publicity materials, and will forward the information to EPMU and the Managing Authority for use in ESF publicity materials. As with the data that You provide in the *Participant Data Form*, You must have explicit consent from any individuals, including Participants or Employer Beneficiaries, if information about, or images of, them are used in Your case studies and Project publicity. Evidence of their consent must include their signature and must be retained on the Project files.
- 110 Please refer to the Case Study guidance in Section 4 of this Handbook and template in Annex 1. Further details of Your Grant Agreement commitments regarding marketing and logos can be found in Clauses 17 and 45, and Schedule 12 of Your Grant Agreement.

Sustainability and Equal Opportunities

- 111 The objectives of the GLA ESF 2014-20 Programme must be pursued in line with the principles of sustainable development, including the aim of preserving, protecting and improving the quality of the environment, as well as the need to prepare for expected changes to the environment and climate.
- 112 Before the start of Your Grant Agreement, you must have in place sustainable development governance, policies and implementation plans which meet the requirements of the [Cross-Cutting Themes Guidance for European Social Fund \(Sustainable Development and Equality\)](#). These will be checked by Your GLA Provider Manager during onboarding and any delivery which begins prior to these being in place will not be eligible for ESF Grant Agreement Funding. The policies and plans must include a description of:
 - 112.1 Your commitment to promoting sustainable development and complying with relevant EU and domestic environmental legislation; and

- 112.2 how the commitment will be turned into action at the level of Your Grant Agreement.
- 113 The national ESF Programme aims to promote equal opportunities and non-discrimination. The ESF Managing Authority, the GLA and all ESF Providers, their Subcontractors and ESF Delivery Partners, must adhere to the principles and processes set out in EU and UK equality legislation. Before the start of Your Grant Agreement, you must have in place equal opportunities governance, policies and implementation plans which meet the requirements of the [Cross-Cutting Themes Guidance for European Social Fund \(Sustainable Development and Equality\)](#). These will be checked by Your GLA Provider Manager during onboarding and any delivery which begins prior to these being in place will not be eligible for ESF Grant Agreement Funding.
- 114 You must ensure that the principle of equal opportunities is embedded in Your service delivery and that You promote gender equality. You must ensure that Your activities are fully accessible to people with a disability or health condition in line with Your duty under the [Equality Act 2010](#).
- 115 You must monitor the impact of Your equal opportunities policies across Your Project in line with the targets in Your Grant Agreement and the wider ESF programme targets detailed in the [European Social Fund Operational Programme 2014-2020](#). This will include details of any actions to address increased participation from under-represented groups and evaluation of the success of any such initiatives.
- 116 You and Your Subcontractors and ESF Delivery Partners must follow the requirements of the ESF horizontal principles and provide evidence as described above. Further information on the ESF requirements in relation to these principles are detailed in the [Cross-Cutting Themes Guidance for European Social Fund \(Sustainable Development and Equality\)](#).

Programme and Project Evaluation

Managing Authority national ESF evaluations, surveys and annual implementation reporting

- 117 To enable us to report on our ESF activity for evaluations, surveys and the Managing Authority's Annual Implementation Report, You must, when asked, be able to give us examples of:
- 117.1 measures You have taken to publicise and provide information about Your Project;

- 117.2 measures You have taken to implement the horizontal principles of equal opportunities and sustainable development;
 - 117.3 case studies of good-practice activities on Your Project; and
 - 117.4 a summary of the Project, its achievements to date, future activities and lessons learned.
- 118 In addition, the Managing Authority will use the data on Participants and Employer Beneficiaries that we submit in order to conduct monitoring and evaluation activities. Consent is not required from the Participant and Employer Beneficiary for the collection of personal data or for this data to be used to re-contact the Participant and Employer Beneficiary for monitoring and evaluation purposes. The Managing Authority sets out the legal basis for collecting and processing data for monitoring and evaluation purposes, and the procedures for doing so, in its guidance: [Evaluation of the European Social Fund 2014 to 2020](#).
- 119 Participants and Employer Beneficiaries may be contacted to discuss their involvement in the Project by organisations undertaking research and evaluation on behalf of the Managing Authority. Participation in research is voluntary and Participants and Employer Beneficiaries will be asked to consent before taking part in any research or evaluation activity.

Programme Evaluation

- 120 The GLA is committed to promoting the highest standards of evidence and evaluation.
- 121 We intend to appoint an external evaluator to review and evaluate the GLA ESF 2014-20 Programme. We anticipate that this evaluation will look at the overall programme objectives and activities, spend, results achieved, and return on investment in social and economic terms.
- 122 The GLA ESF 2014-20 Programme evaluation will make use of all individual Project-level evaluations, whether externally procured or self-evaluations, and in addition, in order to capture the necessary information and learning to produce a robust Programme evaluation, all ESF Providers and Subcontractors must agree to:
- 122.1 allow their contributions to Project evaluations to be used, quoted from or attached to enhance the Programme-level evaluation, and
 - 122.2 enable the GLA-appointed Programme evaluator to access and interview individuals and organisations involved in the Project; including but not limited

to the ESF Providers' and Subcontractors' staff, ESF Delivery Partners, Participants, Employer Beneficiaries, and other Project stakeholders including businesses, educational establishments, local authorities and referral agencies.

Project Evaluation

- 123 All ESF Providers are required to undertake a self-evaluation of their Project.
- 124 You will be required to produce a Theory of Change/Logic Chain for Your Project. As part of this You will identify measures and Key Performance Indicators (KPIs) to enable You to assess the performance of the Project towards meeting its aims and objectives. Where appropriate this will also be required of Your Subcontractors .
- 125 In evaluating Your Project, you (and Your Subcontractors as relevant) will be required to follow the principles as set out by us, in [The Green Book: Central Government Guidance on Appraisal and Evaluation](#) (the "Treasury Green Book"), and in [The Magenta Book: Guidance for evaluation](#) (the "Treasury Magenta Book").
- 126 We will provide templates and guidance to support You in creating Your Theory of Change and KPIs and undertaking Your evaluation. You must use these templates where we require You to do so.
- 127 In addition, for some Projects where the GLA is piloting activity to inform future mainstreaming approaches or policy changes, the GLA may wish to procure an independent external evaluator. In these cases You will have been informed of our intentions at the point of signing Your Grant Agreement or as soon as possible thereafter. Subject to timing, confidentiality and conflict of interest considerations related to the procurement, we anticipate that we would invite You to comment on the evaluation specification. In accordance with the requirements set out in Your Grant Agreement, You (and Your Subcontractors, as appropriate) will be required to:
- 127.1 Provide the evaluators with access to Project files and data
- 127.2 Provide the evaluators with access to individuals, including but not limited to the ESF Providers' and Subcontractors' staff, ESF Delivery Partners, Participants, Employer Beneficiaries, and other Project stakeholders including businesses, educational establishments, local authorities and referral agencies.
- 127.3 Assist the evaluators in any way that is required to ensure that they are able to produce a robust Project evaluation.

Grant Agreement Closure and Final Reconciliation

- 128 Project delivery including delivery of claimable Outputs and Outcomes must be completed by 30 September 2022 at the latest and all Outputs and Results must be reported to the GLA on or before 1 month after this date unless you have been advised of an earlier date in Your Grant Agreement. In this Delivery Handbook, this period from the date that a Grant Agreement commences to the date that the final claim for the Project must be submitted is called the “*Project Delivery Period*”.
- 129 You will prepare for Grant Agreement closure in (or before) the last three months of the Project Delivery Period. Preparations for Grant Agreement closure will include ensuring:
- 129.1 Participant data and Monthly Progress Report submissions are reconciled and accurate;
 - 129.2 the audit trail for all of the Outputs and Results claimed is complete, accurate and stored in compliance with the GLA and ESF document retention requirements (see paragraphs 85 and 134 to 141);
 - 129.3 the evidence required to support Your claims for ESF Grant Agreement Funding, as detailed in this Delivery Handbook and the Evidence Handbook is complete, accurate and stored in compliance with the GLA and ESF document retention requirements; and
 - 129.4 arrangements are in place to archive the evidence and documents related to Your Project in accordance with the GLA and ESF document retention requirements.
- 130 Unless You have been advised of an earlier date in Your Grant Agreement, You will be required to submit a final claim together with Your lifetime “*Certificate of Delivery*” (COD) on or before Summer 2022. The COD verifies the outputs and results that You have delivered, the ESF Grant Agreement Funding payments received for that delivery, and any adjustments required from previous financial years (see paragraphs 182 to 185 for further information on the COD).
- 131 Following receipt of Your final claim and COD, before we authorise Your final ESF Grant Agreement Funding payment we will undertake a final monitoring visit and a final lifetime reconciliation of Your Claims, after which we will make any necessary adjustments against Your final claim, including recovering any overpayments, and if necessary we may ask You to resubmit Your final claim and COD.

- 132 In the final reconciliation we will take into account any ESF Grant Agreement Funding recovered, or to be recovered, as a result of irregularities or ineligible activities identified during monitoring, audits or compliance checks. The detailed timetable for the ESF final claim submission and reconciliation will be issued by us at the beginning of the final financial year of Your Grant Agreement.
- 133 Please note that, based on current arrangements for closure of the national ESF 2014-20 Programme, no payments will be made for activities, Outputs and Results which occur after 30 June 2023 and/or which are reported to the GLA after 31 July 2023. Should these national closure arrangements change, ESF Providers will be notified by the GLA as soon as possible.

Storage and Retention of Project Documents

- 134 The GLA, Managing Authority, European Commission or other programme authorities will audit Your Grant Agreement for ESF compliance. You must ensure that evidence is available to support the payments we have made to You. In the normal course of the programme You may be audited more than 18 months after we have paid You. Additionally, the Managing Authority, European Commission, or European Court of Auditors could audit You for ESF compliance after project closure up until the “*Retention of Documents Date*”.
- 135 All supporting documentation evidencing the delivery of Your Project must be kept for a period of three years from 31 December following the submission of the government accounts which include the expenditure for the national ESF 2014-2020 Programme. This is known as the Retention of Documents Date and is currently 31 December 2030.
- 136 You must maintain original invoices, delivery evidence, management information returns and all other documents necessary to verify the services in relation to this Grant Agreement until at least the Retention of Documents Date. You must maintain the documents for Yourself and Your Subcontractors. The GLA will notify You of any future change to this date where possible, however it is Your responsibility to ensure that You keep Yourself informed of the date and retain all relevant documents until then.
- 137 Documents must be collected and retained in line with the [England European Social Fund Operational Programme 2014-20 Guidance: Guidance on document retention, including electronic data exchange, for 2014-20 ESF projects.](#)

- 138 At the end of the Grant Agreement, as part of Project closure you must notify us in writing where You have archived the Grant Agreement documents and Your processes for retrieving them.
- 139 At any time during the delivery of the services under this Grant Agreement and up until the Retention of Documents Date, where You are unable to provide the required evidence for any Output and Result You must write to us. You must provide the reason(s) why You are unable to comply with the evidence requirements and give full details of alternative evidence to be considered. We will review the request and if we decide to accept the alternate evidence we will notify You in writing of any revisions to the evidence requirements which shall then form part of the terms and conditions of Your Grant Agreement. In all such reviews, our decision shall be final.
- 140 At any time during the delivery of the services under this Grant Agreement and up until the Retention of Documents Date, if when requested during audit or monitoring You are unable to provide the required evidence for any Output and Result or alternative evidence that we consider to be acceptable, we may recover the funding for that Output and Result.
- 141 You are responsible for ensuring that the GLA and ESF document retention requirements are met by You, Your Subcontractors and any ESF Delivery Partners.

State Aid

- 142 Where support is made to individuals who are in employment and/or their employers then You must adhere to EU competition law and State Aid rules for the provision to be eligible (as required in terms of compliance with the [Commission Regulation \(EU\) No 1407/2013 of 18 December 2013 on the application of Articles 107 and 108 of the Treaty on the Functioning of the European Union to de minimis OJ L 352, 24.12.2013](#) - “the *De Minimis* Aid Block Exemption”).
- 143 State Aid is any advantage granted by public authorities through state resources on a selective basis to any organisations that could potentially distort competition and trade in the European Union.
- 144 The definition of State Aid is very broad because ‘an advantage’ can take many forms. It is anything that an undertaking (an organisation engaged in economic activity) could not get on the open market.
- 145 State Aid rules can (amongst other things) apply to the following:

145.1 Grants

- 145.2 Loans
- 145.3 Tax breaks
- 145.4 The use or sale of a state asset for free or at less-than-market price.
- 146 The rules can apply to funding given to charities, public authorities and other non-profit-making bodies where they are involved in commercial activities.
- 147 You can find national guidance on State Aid on [GOV.UK](https://www.gov.uk/guidance/state-aid) at <https://www.gov.uk/guidance/state-aid> and ESF guidance in relation to State Aid is available in [European Social Fund 2014-2020 - Guidance on State Aid](#).
- 148 It is Your responsibility to ensure that You comply with the provisions of all applicable rules on State Aid and ensure that all requirements for application of exemptions or notification to, and approval by, the European Commission under such rules, are met.
- 149 Where the rules on State Aid apply, You must assess the employer, which may or may not be an Employer Beneficiary, for the State Aid that they have already received and are proposed to receive as a result of their involvement in Your Project.
- 150 Where an employer or Employer Beneficiary (based on the assessment in paragraph 149 above) will exceed the *de minimis* threshold under the De Minimis Aid Block Exemption, You must contact us to obtain written guidance on how to proceed.
- 151 We may require You to obtain a contribution towards the cost of the services delivered through this Project from the employer of any Participant or from any Employer Beneficiary. Where a contribution is required, we will confirm to You in writing the exact percentage of the contribution.
- 152 Where we require You to obtain a contribution towards the cost of the services in delivering this Project, You must provide evidence that the contribution has been received.
- 153 In the event that any funding paid under this Grant Agreement is deemed to constitute unlawful State Aid, we reserve the right to require immediate repayment of any such funding.

Employability Performance Rating

- 154 You may be required to participate in the “*London Employability Performance Rating*” (EPR) unless Your project is funded under ESF Priority Investment 2.2.
- 155 The EPR provides an evidence-based assessment of the quality and effectiveness of delivery for ESF Providers based on management information, participant and employer beneficiary feedback and self-assessment. It supports the GLA’s objective to benchmark the achievements of providers and our commitment to transparency and openness.
- 156 Further information about the EPR, including the requirement regarding the completion of documentation, can be found on the Greater London Authority’s website: <http://data.london.gov.uk/london-employability-performance-rating/>.

3. Payments, Performance and Monitoring

System Requirements

- 157 You must have the capacity and capability for data and evidence collection, management and reporting and be able to comply with our and the ESF requirements, including the evidence requirements and submission of performance management data through the GLA's Open Project System (OPS) or other system, as directed by Your GLA Provider Manager.
- 158 You must have processes and controls in place to ensure the eligibility of Participants and Employer Beneficiaries, compliance with audit requirements, monitoring of progress, and risk management.
- 159 You will need to have provided copies of all evidence to support Your claims for ESF Funding electronically when You submit a claim through an online secure portal as directed by us. Further information on data, evidence and reporting requirements can be found in the Evidence Handbook and separate guidance on using the secure evidence portal will be provided to You during onboarding.

Reporting Tools

The Participant Data Form (PDF)

- 160 In the reporting and claims process, the Participant Data Form (PDF) is a reporting tool which ESF Providers must use to record and report to the GLA data and management information about the Participants and Employer Beneficiaries supported by the Project and the stages of their progression (see also paragraph 57).
- 161 You are responsible for the accuracy of all information submitted on the PDF, and only You can submit information to support the ESF Grant Agreement Funding claims.
- 162 Data submitted to the GLA in the PDF must correspond with evidence You have collated in Participant and Employer Beneficiary files to verify claimed Outputs and Results (for example, contact details and eligibility information from Participant and Employer Beneficiary enrolment forms, Participant and Employer Beneficiary timesheets to verify hours spent on project activities, and other required evidence as detailed in the Evidence Handbook).

The Business Data Form (BDF)

- 163 In the reporting and claims process, the Business Data Form (BDF) is a reporting tool which ESF Providers must use to record and report to the GLA data and management information about the Businesses engaged in the Project (see also paragraph 57).
- 164 You are responsible for the accuracy of all information submitted on the BDF, and only You can submit information to support the ESF Grant Agreement Funding claims.
- 165 Data submitted to the GLA in the BDF must correspond with Business data evidence You have collated to satisfy the evidence as detailed in the Evidence Handbook.

The Monthly Progress Return (MPR)

- 166 You are required to submit a “*Monthly Progress Report*” (MPR) regardless of the frequency of Your ESF Grant Agreement Funding claims.
- 167 The MPR includes Your Grant Agreement delivery profiles, actual achievements to date and a profiled forecast of Your future delivery. The MPR must be submitted to the GLA no later than 14 days after the last day of each calendar month.
- 168 You must provide the GLA with electronic copies of all information and evidence as required in the Evidence Handbook to fully support the data in the MPR and PDF and/or BDF. This must be submitted via the reporting tool (OPS) no later than 14 days after the last day of the calendar month that the MPR relates to.
- 169 Your GLA Provider Manager will review evidence pertaining to a minimum of 10% of the Outputs and Results recorded in the MPR; verification may involve requests for You to check (and amend if necessary) information on the reporting tool or resubmit the MPR as appropriate.

Open Project System (OPS)

- 170 The GLA’s Open Project System (OPS) is a secure online portal for project management, submission of claims for ESF Grant Agreement Funding and the reporting of Project data and management information. OPS is accessible to both ESF Providers and GLA Provider Managers. ESF Providers are required to register to use OPS. Separate guidance and training on registering and use of OPS is provided to ESF Providers during onboarding.

ESF Grant Agreement Funding Claims

- 171 A “*Claim Period*” is the period of Project delivery between submission of claims for ESF Grant Agreement Funding. A Claim Period is normally three calendar months (or “one quarter” of a financial year). The minimum period between claims that the GLA will allow is one calendar month.
- 172 ESF Providers will usually be required to submit an ESF Grant Agreement Funding claim every three months (“quarterly”). You may request more frequent claim and payment schedules, and we may agree to Your request at our discretion. Also, we may require more frequent claim submissions and You will be informed in writing if this applies to You. Projects will be paid no more frequently than by calendar month.
- 173 ESF Grant Agreement Funding is paid in arrears, based on the value of the actual Outputs and Results delivered in the quarter prior to submission of the quarterly claim.
- 174 You will be paid up to the maximum value of ESF Grant Agreement Funding awarded for the duration of the Grant Agreement (the ‘*Lifetime Grant Agreement Value*’) unless we have agreed to vary the value of Your Grant Agreement award.
- 175 Your Grant Agreement includes a profile of Your anticipated delivery and ESF Grant Agreement Funding claim for each financial year (Your “financial-year profile”). If You overperform against Your financial-year profile and sufficient funding is available at the level of the GLA ESF 2014-20 Programme the GLA will normally pay for overperformance in a financial year cumulatively up to the maximum of Your Lifetime Grant Agreement Value. However, in order to manage budgets at a programme level the GLA reserves the right to limit, at its discretion, the ESF Grant Agreement Funding it pays You in any financial year to the amount profiled for that year in Your Grant Agreement.
- 176 You are required to complete the claims documentation through OPS, or such other paper-based or electronic submission process as we may advise, no later than 14 days after the final day of the month ending each claim period.
- 177 In order for the GLA to approve payment of your claim for ESF Grant Agreement Funding You must submit as a minimum:
- 177.1 the fully and accurately completed MPR (or MPRs) for the relevant claim period (found at Part 1 of Schedule 6 of Your Grant Agreement);
 - 177.2 the completed and up-to date Project Milestones Update & Project Risk Register Update (found at Part 3 of Schedule 6 of Your Grant Agreement);

- 177.3 the fully and accurately completed PDF and/or BDF for the relevant claim period (referred to at Part 2 of Schedule 6 of Your Grant Agreement); and
- 177.4 all evidence required to support Your claim.
- 178 Your claims for the claim periods ending on the last day of June, September, December and March each year must also include a Project Case Study (found at Part 4 of Schedule 6 of Your Grant Agreement)
- 179 The PDF and/or BDF must balance with information submitted in the MPR and be supported by the evidence submitted via the online portal. If it does not this may lead to a delay in approval of Your claim because You will be required to amend Your claim, and/or resubmit the MPR, PDF, BDF or supporting evidence as appropriate.
- 180 The “*Payment Trigger Calculator*” (PTC) is an Excel tool which automatically calculates the “Unit Rates” payable to an ESF Provider for each Output and Result they will deliver, based on the ESF Provider’s estimated delivery cost for the Project Delivery Period, the number of Participants and Employer Beneficiaries the ESF Provider expects to recruit, and how many of these the ESF Provider expects to be successful at each stage of the Project. The PTC will have been submitted with an ESF Provider’s original bid to deliver the GLA ESF 2014-20 Programme services and can be found at Part 2 of Schedule 5 of the Grant Agreement. When You completed the PTC for your bid, you may have requested a portion of the ESF Grant Agreement Funding to be paid to You during the set-up period for your Project. Advance payments, where requested in the PTC, will be paid with Your first claim and then recovered against future payments as indicated in Your Grant Agreement.
- 181 We will not pay for any Outputs or Results against which the advance payment is to be recovered until the entire value of the advance has been recouped by us. The MPR automatically calculates the offsetting of the advance payment.

Certificate of Delivery (COD)

- 182 After the end of each financial year, each ESF Provider will need to complete a “*Certificate of Delivery*” (COD) which will be required to be signed by an authorised signatory in their organisation who can confirm achievements delivered, payments claimed and income received during the preceding financial year. A template COD is available at Schedule 11 of Your Grant Agreement.
- 183 We have developed this certificate for use with programmes where payments are made against the achievement of Outputs and Results. The COD verifies the Outputs and Results that You have delivered, the ESF Grant Agreement Funding payments

received for that delivery, and any adjustments required from previous financial years.

- 184 The deadline for completion of the COD and its return to us each year is no later than 30 calendar days following the end of the GLA's financial year (i.e. by 30 April, which is 30 days after the 31 March). The final lifetime COD must be received no later than 30 calendar days after the Project end date and no later than 31 July 2023.
- 185 Please note that we **will not** release payment for claims submitted for delivery of Outputs and Results in a financial year until a COD which has been completed fully and accurately to our satisfaction has been received for the previous financial year. In the final year of the Project we will not release Your final payment until a lifetime COD has been received which has been completed fully and accurately to our satisfaction. As we cannot make any ESF Grant Agreement Funding payments after September 2023, any delays with the COD may jeopardise You receiving Your final payment.

Links between Payments, Grant Agreement Values and Project Activities

Eligible Project Delivery Period

- 186 Projects may begin delivery from the project start date in their Grant Agreement, and, based on the current arrangements for closure of the national 2014-20 ESF Programme, all delivery must end on or before 30 June 2023 at the latest and all deliverables, Outputs and Results must be reported to the GLA on or before 31 July 2023. No payments will be made for deliverables, Outputs and Results which occur after 30 June 2023 and/or which are reported to or claimed from the GLA after 31 July 2023.

Reductions in Grant Agreement values

- 187 As Your ESF Grant Agreement Funding payments are based on the actual Outputs and Results that You deliver, underperformance will result in a reduction in the proportion of Your Lifetime Grant Agreement Value that You can claim. At monitoring points during the year, the GLA may decide that Your Lifetime Grant Agreement Values should be formally reduced through a Grant Agreement variation based on unsatisfactory performance to date and/or predicted future underperformance evidenced by Your claims and/or the outcome of our monitoring and review visits.
- 188 Your GLA Provider Manager will work closely with You to ensure that Your delivery and performance meets both our quality expectations and the Output and Results targets agreed in Your Grant Agreement. GLA Provider Managers will undertake

regular Project monitoring visits and will raise any concerns regarding delivery, including performance, at the earliest opportunity.

- 189 Where issues with performance and/or the quality of delivery are identified, we will require You to develop an action plan to address these issues. This action plan will need to be approved by us. The action plan will include agreed milestones by when the issues identified will need to have been addressed and performance recovered to a level acceptable to us. The action plan will also set out the expected consequences if issues are not resolved. If You fail to agree an action plan, do not implement the action plan as agreed, or do not meet the agreed milestones, we may, at our discretion, reduce Your Lifetime Grant Agreement Value or terminate Your Grant Agreement.
- 190 Every Grant Agreement is unique and so it is not possible for us to specify all circumstances in which an action plan might be required or where we might take a decision to suspend payments, reduce the value of, or terminate a Grant Agreement.
- 191 Payments may be suspended and/or the Lifetime Grant Agreement Value may be reduced at our discretion, but circumstances which might lead us to take this action include:
- 191.1 a complainant or whistleblower alerts us to a breach in Your financial management controls, safeguarding or other key areas of governance;
 - 191.2 the outputs and outcomes evidenced are not at the level or quality agreed within the Grant Agreement;
 - 191.3 irregularities in claims, data submissions or supporting evidence are identified and/or claims, reports and data submissions are consistently late or incorrect; or
 - 191.4 an ESF Provider becomes insolvent;
 - 191.5 audits or monitoring identify serious and/or widespread irregularities and/or failures in management control systems;
- 192 During the financial year we will assess Your delivery on an ongoing basis and may reduce Your Lifetime Grant Agreement Value if we consider that underperformance cannot be addressed through any additional performance improvement measures as set out in paragraph 189, or such measures have been implemented and performance has not improved.

193 The value of any reduction in Your Lifetime Grant Agreement Value due to the circumstances set out in this section will be at the discretion of the GLA. Any reduction in the Lifetime Grant Agreement Value will maintain the “*Overall Unit Cost*” for the “*Primary Result*” as explained in paragraphs 201 to 205 below.

Increases in Grant Agreement values

194 If You wish to request an increase in Your Lifetime Grant Agreement Value, You must discuss this with us in advance. We will consider a request using the criteria at paragraphs 197 to 199 below

195 The maximum additional ESF Grant Agreement Funding that a provider can be awarded would be 30 per cent of their original Lifetime Grant Agreement Value. A provider may request more than one increase in their Grant Agreement value during the delivery period of their Grant Agreement and may request an increase of more than 30 per cent of their annual funding year Grant Agreement value, as long as the cumulative changes which are approved by the GLA do not exceed 30 per cent of the original Lifetime Grant Agreement Value.

196 Delivery performance targets will be adjusted in accordance with any agreed changes in order to maintain value for money. Requests for changes in the Lifetime Grant Agreement Value must be made against specific Outputs and Results and will be required to maintain (or improve upon) the “*Overall Unit Cost*” for the “*Primary Result*” as explained in paragraphs 201 to 205 below. Any re-allocation of funding will take into consideration the allocated budgets for each Project within the GLA ESF 2014-20 Programme.

197 Requests for increased funding will be considered in the light of:

197.1 the availability of ESF funding at the level of the GLA ESF 2014-20 Programme to meet the request;

197.2 Your capacity and capability to deliver as evidenced by Your performance to date against:

197.2.1 Your lifetime Grant Agreement targets;

197.2.2 Your annual Grant Agreement targets;

197.2.3 Your capacity and capability to deliver as evidenced by Your track record on meeting Grant Agreement reporting, management information and evidence requirements from the perspective of both accuracy and deadlines.

- 198 The decision whether to agree to a request for an increase in the Lifetime Grant Agreement Value allocated for a Project resides solely with the GLA and the value of any increase or reduction is at the discretion of the GLA. Every Grant Agreement and provider relationship is unique and so it is not possible to specify in detail all of the circumstances and criteria that would lead to the GLA making a decision to approve or reject an ESF Provider's request for an increase in their Lifetime Grant Agreement Value. However, when considering whether to request an increase in their Lifetime Grant Agreement Value, providers should be aware that requests for additional funding may be approved by the GLA if we are satisfied that the following criteria have been met:
- 198.1 the quality of evidence presented to the GLA over the previous three monitoring or audit visits raises no substantive issues or causes for concern;
 - 198.2 You can demonstrate good performance to date (see paragraph 197), e.g. being within 10% of Your annual Grant Agreement targets for the 12 months preceding the Claim Period prior to the request for an increase in the value of Your Grant Agreement or, if the Grant Agreement has been delivering for less than 12 months, being within 10% of Your Grant Agreement targets in the Claim Period prior to the request of an increase in funding;
- 199 Before agreeing to a request for an increase in Your Lifetime Grant Agreement Value the due diligence and financial health checks that were undertaken as part of the procurement exercise to award You a Grant Agreement will be repeated to confirm that You still meet the criteria that were tested during procurement, and will continue to do so once the revised Lifetime Grant Agreement Value is taken into account. ESF Providers receiving a financial health rating of "Satisfactory" or "Inadequate", or which fail to meet the other aspects of the due diligence criteria, may not be offered an increase in their Lifetime Grant Agreement Value or may only be offered an increase subject to additional performance management conditions. For further information please refer to the *GLA ESF 2014-20 Financial Health Requirements and Guidance* and the *GLA ESF 2014-20 Programme Specification*.
- 200 Where the funding available at the level of the GLA ESF 2014-20 Programme is insufficient to meet demand, we reserve the right to introduce additional criteria to meet Mayoral priorities and in these circumstances we will notify ESF Providers of the new criteria and give them the opportunity to evidence to the GLA the degree to which they meet these in addition to meeting the requirements in paragraph 197 to 199.

Calculating increases and reductions in Lifetime Grant Agreement Values

- 201 You will be paid up to the **Lifetime Grant Agreement Value** as set out in Your Grant Agreement, which will be the same as the value of Your original award of ESF Grant Agreement Funding unless we have subsequently agreed to a variation in Your Grant Agreement.
- 202 The “*Overall Unit Cost*” for delivering a single “*Primary Result*” is calculated by dividing the Lifetime Grant Agreement Value by the total number of Primary Results that a Project will deliver. The Primary Result is the key Result that the GLA wishes to see arising from the delivery of the Project. Each Project has its own Primary Result as detailed in the Grant Agreement.
- 203 If we agree to an increase or reduction in Your Lifetime Grant Agreement Value this will be calculated based on a revised target for Primary Results using the Payment Trigger Calculator. The Overall Unit Cost for a Primary Result may not increase as a result of any increase in Lifetime Grant Agreement Value. You will also be required to maintain the same proportions of Participants, Employer Beneficiaries or other benefitting organisations achieving Results that were proposed in your original bid and are confirmed in Your Grant Agreement (“*Conversion Rates*”).
- 204 The original Overall Unit Cost and Conversion Rates are used so that we protect and maintain the value for money proposed by You during the competitive stages of the Grant Agreement tender process.
- 205 If a decrease in Your Lifetime Grant Agreement Value is being proposed, and a revised target for Primary Results and Conversion Rates which meets the conditions in paragraph 203 cannot be agreed, at our discretion we may calculate Your revised Lifetime Grant Agreement Value based on the Overall Unit Cost and the Outputs and Results that you have achieved to date and initiate clawback to maintain value for money.

Overpayments and clawback

- 206 Where a project has been paid in excess of the agreed Unit Rate for any Output or Result, the GLA reserves the right in accordance with Clause 23 of Your Grant Agreement to either;
- 206.1 offset any overpayment from future payments due for Outputs or Results achieved during the Project Delivery Period, or
- 206.2 clawback the overpayment by issuing an invoice for the value of the overpayment to You, or

206.3 in accordance with Clause 47 of Your Grant Agreement, offset any overpayment from any other Grant or Grant Agreement that You are delivering on behalf of the GLA, either now or in the future.

207 All overpayments by the GLA will be recovered from the ESF Provider. Any recovery of an overpayment incurred due to delivery by a Subcontractor will be the responsibility of the ESF Provider, and the ESF Provider will be responsible for any recovery.

Monitoring

208 As part of our financial assurance and monitoring work, we will continue to monitor compliance with the Evidence Handbook and Delivery Handbook. We will contact You where we identify that You have submitted data, claims or evidence that do not meet our requirements. We will require You to correct inaccurate MPR, PDF, BDF and evidence data or to adjust Your Claim for ESF Grant Agreement Funding.

209 Performance will be closely managed and regularly reviewed during the Project Delivery Period, both through our regular monitoring and review visits and our reporting and performance management processes. We expect to undertake quarterly visits to:

209.1 discuss performance against Your annual and lifetime financial profiles and target Outputs and Results;

209.2 review the quality of delivery and management systems, governance, policies and procedures; and

209.3 undertake sample checks on the evidence to support Your claims for ESF Grant Agreement Funding.

210 The frequency of monitoring and review visits may be increased if You are underperforming or we have other concerns about Your delivery.

211 You will be required to provide certified scanned copies of the evidence required to support Your claims through an online secure portal (see paragraph 159). Guidance will be provided separately.

212 We may review areas of project delivery, management, cross cutting themes and quality of delivery; this may include visits to Subcontractors and meetings with staff and participants.

- 213 During the lifetime of the project, we may review all activities related to the delivery of the project including: Quality Systems; Governance; Delivery; hard copy evidence to support entries onto the PDF and/or BDF and for activities, Outputs and Results claimed; Financial Systems; Financial Delegations and Claims Processes; Cross Cutting Themes; Added Value; Publicity; any prior Action Points or other areas as required by Your GLA Provider Manager.
- 214 Your GLA Provider Manager may also ask to observe Project activities taking place and/or to meet some of the Participants, Employer Beneficiaries or Businesses on Your project, either at the monitoring visit, or at other informal, or ad hoc, visits that may be arranged from time to time. You are required to facilitate such observations and meetings on request.

4. Template Forms

About the Template Forms

- 215 It is Your responsibility to ensure that You are complying with the latest version of the national eligibility rules and programme guidance for ESF, which are available on the European Structural and Investment Funds 2014-20 website (<https://www.gov.uk/guidance/england-2014-to-2020-european-structural-and-investment-funds>). Please note that these documents are regularly updated and supplemented by additional guidance and action notes providing details of how the guidance should be implemented and interpreted (<https://www.gov.uk/guidance/england-2014-to-2020-european-structural-and-investment-funds>). Please note that these documents are regularly updated and supplemented by additional guidance and action notes providing details of how the guidance should be implemented and interpreted.
- 216 You will be responsible for ensuring that You have collected all evidence for Your project to meet the European Structural Fund and GLA requirements. The forms provided here may be used as templates to assist with this process. Please note that not all forms will be relevant to every project.
- 217 You may use Your own forms provided they collect the required data, although all forms must include GLA and ESF logos and any required statements (such as the Data Protection Enrolment Declaration & DWP Evaluation Declaration included in the Participant Enrolment Forms).
- 218 Your GLA Provider Manager will review all project templates prior to the start of delivery and can require You to use additional or alternative templates if they deem it necessary.
- 219 Templates within this handbook are designed to help ensure You have good quality participant data for Your ESF Participant and Employer Beneficiary files. They are also designed to help ensure that You have collected sufficient and appropriate data to confirm the eligibility of Your Participants, Employer Beneficiaries, Project activities, Outputs and Results. This will in turn enable the GLA to complete its claims to DWP in accordance with the Managing Authority's requirements. Where a template has not been provided, You must ensure the evidence that You collect and retain complies with the Evidence Handbook and the ESIF Guidance available on GOV.UK.

220 The template forms in Section 4 will be provided by the GLA in electronic (Word) format along with other core forms and guidance documents.

- Participant Enrolment Form
- Induction Checklist
- Bespoke Training Plan
- Recording Hours
- Bespoke Training Plan Review
- Qualification Achieved as a Result of Intervention
- Case Study Template
- Participant Exit Strategy
- Leaver Template
- Returner Template

221 Due to the potential for variances in the requirements of Project Results developed under funding distributed via '2.2: Improving The Labour Market Relevance Of Education And Training Systems', Template Forms have not been created for this Investment Priority. Where projects are funded under Investment Priority 2.2 ESF Providers should review the evidence requirements as set out in the Evidence Handbook and design documents and/or systems accordingly.

222 If You require further support or explanation, please contact Your GLA Provider Manager.

Template Forms - Summary

223 The template forms listed above are described below and provided in **Annex 1**.

Participant Enrolment Form

224 These forms enable You to collect background data on a participant when they start the project. Some of this information is mandatory to claim an Output payment for a Starter. The forms also include the Data Protection Enrolment Declaration and DWP Evaluation Declaration referred to in paragraphs 59, 118 and 119.

225 The Participant Enrolment Form includes a section for "Project Specific Declarations". You should use this section to include any confirmations required from the Participant as per the Project Specification. Further information on what this may include can be found in the Evidence Handbook.

226 NB. Please note that if You are using Your organisation's own enrolment form, You **must** include this declaration in Your form. **If the Data Protection Enrolment**

Declaration has not been signed by a participant, You will not be able to claim the participant as a Starter.

Induction Checklist

227 Participants should be inducted into Your organisation and the Project when they enrol, and the Induction Checklist should be used to verify that all appropriate areas have been covered.

Bespoke Training Plan

228 Once a Participant has been enrolled on the Project, You should agree a Bespoke Training Plan (BTP) with them. This forms part of the evidence required to generate a starter Output payment for a Participant. The purpose of the BTP is to:

228.1 Record background information about the participant including current circumstances (e.g. residential address), work experience and education;

228.2 Record results of individual assessments including Skills for Life levels where appropriate;

228.3 Set individual SMART actions and targets in agreement with the participant including the member of staff responsible for supporting the participant to achieve them;

228.4 Agree actions to help the participant to stay on track;

228.5 Agree review dates so that progress against the agreed actions can be monitored;

228.6 Provide evidence to show when participants have completed.

229 The BTP should include references to planned liaison and support to be provided by, or to, employers, educational or training establishments that are working with the ESF Provider to support the Participant's journey towards achieving Result, including any ESF Delivery Partners.

Recording Hours

230 In order to ensure that a full audit trail is maintained, You will need to keep a record of all the time that Participants or Employer Beneficiaries spend undertaking Project activities. Signed registers and/or timesheets must be kept in Participant and Employer Beneficiary files for monitoring by us and for audit purposes. Participant and Employer Beneficiary timesheets should be signed by both a member of staff

and the Participant or Employer Beneficiary. There are two main methods of recording participant time:

230.1 With a signed register for each session/workshop;

230.2 With a signed weekly individual timesheet for each participant.

231 Whichever method is used, all absences should be recorded and these hours of absence should not be reported.

Bespoke Training Plan Review

232 The BTP should be reviewed regularly, and a record kept of the conversation to include progress against targets, next steps, and general comments, and a final review to record the next steps for the Participant or Employer Beneficiary on completing and/or leaving the project.

233 Review sheets may be held separately or may be incorporated into the BTP.

Qualification Achieved as a Result of Intervention

234 This form provides confirmation that a Participant has achieved a qualification as a result of interventions provided by Your Project.

Case Study Template

235 This form is to be used to provide at least one good news story with each quarterly Claim. This may cover anything positive that is happening on the Project or that has happened as a result of the Project. For ESF Providers who are submitting monthly Claims, submission should be made with the June, September, December and March Claims.

236 As with data provided in the PDF and BDF, any publicity including information or images of individuals on the Project must be approved for use by the individuals themselves, and releases must be signed and held on the Project records as evidence

Participant Exit Strategy Questionnaire

237 The Exit Strategy Questionnaire is to be completed by the Participant or Employer Beneficiary on entry into employment, education or training, if they are an early leaver or when the Participant or Employer Beneficiary completes the final intervention (and achieves a Result). Information captured will also feed into the Employability Performance Rating.

Leaver Template

238 This form will capture the final destination of the Participant or Employer Beneficiary having completed their time of engagement with the project. The template will also capture information to feed into the Employability Performance Rating.

Returner Form

239 A returner form should be completed for any Participant or Employer Beneficiary who exits the Project, either through choice or through non-contact, but who returns to the Project to complete their delivery and progress to education, employment or training. Returners do not attract second payments for stages that have previously been claimed, but can attract payments for subsequent stages.

Annex 1 – Template Forms

GLA ESF 2014-2020 Co-financing Programme
Participant Enrolment Form

All sections of this form must be completed in full and the eligibility criteria satisfied as per the Evidence & Eligibility Handbook and evidenced accordingly.

Unique Participant Identification Number (UPIN)	
GLA Project Reference Code	
Subcontractor (if applicable)	
Initial Project Joining Date	

Participant Details	
First Name	
Middle name (if any)	
Last Name	
Address (Line 1)	

Address (Line 2)	
Address (Line 3)	
Postcode	
Borough	
Home Phone Number	
Mobile Phone Number	
Email	
Gender	
Male	
Female	
Other	
Prefer not to say	
Date of Birth	
Age when joining the project	

Referral Source	
School/College	

Youth/Community Organisation	
Local Authority (Youth Services)	
Local Authority (Social Services)	
Local Authority (Other)	
Self-Referral	
Job Centre Plus	
Other	
Pre-Intervention Employment Status (Labour Market Status)	
At Risk of becoming NEET (C003)	
Unemployed (C001)	
Are You under 25 years of age with more than 6 months continuous spell of unemployment (Long-Term Unemployed) (C002)	
Are You 25 years of age or more with more than 12 months continuous spell of unemployment (Long-Term Unemployed) (C002)	
Inactive (C003)	
Inactive, not in education or training (C004)	
Employed (including Self-Employed) (C005)	
Highest Educational attainment upon joining	
Below Primary education (ISCED level 0) – Other disadvantaged	
Primary education or equivalent (ISCED1)	
Lower secondary education or equivalent (ISCED 2)	
Upper secondary education or equivalent (ISCED 3)	
Post-secondary (non-tertiary) education or equivalent (ISCED 4)	
Tertiary education or equivalent (ISCED5-8)	

Not Known	
None	
Basic Skills Requirements (equivalent of GCSE A-C in Maths and English)	
Entry Level Basic Skills required	
Level 1 Basic Skills required	
ISCED Level 2 required	
Currently in Education or Training	
Yes	
No	

Equalities Characteristics

Ethnic Origin	
White – English/Welsh/Scottish/Northern Irish/British	
White – Irish	
White - Gypsy or Irish Traveller or ROMA	
White - Other	
Asian or Asian British – Indian	
Asian or Asian British - Pakistani	
Asian or Asian British – Bangladeshi	
Asian or Asian British –Chinese	

Asian or Asian British - Other	
Black or Black British – African	
Black or Black British – Caribbean	
Black or Black British – Other	
Mixed/Multiple Other	
Mixed /Multiple White and Asian	
Mixed /Multiple– White and Black African	
Mixed / Multiple– White and Black Caribbean	
Other Ethnic Group - Arab	
Other Ethnic Group - Other	
Prefer not to say	
Single Adult Household with Dependent Children	
Yes	
No	
Not Applicable	
Do You live in a Jobless Household?	
Yes	
No	
Not Applicable	
If You are in a Jobless Household, do You have dependent children?	
Yes	
No	
Not Applicable	

Homeless	
Yes	
No	
Prefer not to say	
Offender	
Yes	
No	
Prefer not to say	
Ex-Offender	
Yes	
No	
Prefer not to say	
Disability	
DDA definition includes amongst others the following conditions:	
Physical impairment (asthma, diabetes, epilepsy etc.)	
Mental impairment (learning difficulty, dyslexia, clinically recognised mental health issue)	
Sensory impairment (hearing, or visual impairment not corrected by glasses)	
Progressive conditions (cancer, multiple sclerosis, muscular dystrophy, HIV)	
Under the definition of the 2010 Equality Act, do You consider Yourself to be disabled?	
Yes	
No	
Prefer not to say	
Project Specific Declarations:	

Information that the GLA will report upon

The GLA will provide statistical information to a number of organisations, and may report on the programme as a whole, or on cross sections of the programme such as the numbers of participants for individual boroughs. The information will not mention You by name, or any other distinguishing feature, and we will not provide information on individuals other than in an anonymised format, except for evaluation purposes as mentioned in the declaration below.

Anonymised information will NOT include Your name, address, National Insurance number, telephone numbers or email address.

The information that we will report on may include the following:

Start Date; Gender; Date of Birth; Post Code; London borough of residence; Labour Market Status; Length of unemployment (if applicable); Currently in Education or Training (if applicable); the Equalities characteristics; Highest level of qualification held at start; Basic Skills requirement (if applicable); Leaving Date; Support received (including childcare) ; Qualifications achieved; Destination information.

GLA Data Protection

Participant Enrolment Declaration

The purposes of data processing

The information You provide to the Greater London Authority will be shared with the Department for Work & Pensions (DWP) and used to evaluate this project and to report to the Greater London Authority and European Social Fund for monitoring purposes, in line with European Commission regulatory requirements.

Your information will be shared with research organisations working on behalf of the Department for Work & pensions who may contact You to discuss Your involvement in the projects for research purposes. Participation in research is voluntary and You will be asked to consent before taking part in any research activity You may be contacted about.

The DWP may also link Your personal details to official administrative records in order to monitor Your employment status before Your ESF support began and 6 to 12 months after You left. This information may also be shared with research organisations working on behalf of the DWP however individuals will **not** be identifiable and You will **not** be contacted about this research.

Data will **not** be used or shared for any commercial or marketing purposes.

At all times Your information will be kept securely, and nobody will have access to it that shouldn't.

General Data Protection Regulation

For the purposes of the General Data Protection Regulation (GDPR), the DWP is the data controller in respect to information processed which relates to all participation in European Social Fund. ESF grant beneficiary organisations are data processors in respect to information processed which relates to participants in the operation and projects funded by the European Social Fund.

DWP is **not** the controller for any other/ additional data collected by Greater London Authority that is not essential for delivering the ESF programme, or for any personal data that would normally be collected anyway by the Greater London Authority.

The ESF Programme Action Note 018/18 sets out the lawful basis for processing personal data under ESF.

Retention periods for personal data

All personal data held by DWP or research contractors **for the purposes of evaluation** will be permanently deleted no more than six months after the research has been completed (i.e. when the final report is published on [GOV.UK](https://gov.uk)):

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/591617/ESF_Guidance_on_document_retention.pdf

The rights available to individuals in respect of the processing

If You do not wish for Your personal data to be used for ESF evaluation purposes please contact ESF.EVALUATIONS@DWP.GSI.GOV.UK and we will delete Your data held for these purposes and You won't be contacted about participating in research.

More information about how and why DWP uses Your personal information, including how to ask for a copy of the personal information DWP holds about You can be found in DWP's Personal Information Charter at:

<https://www.gov.uk/government/organisations/department-for-work-pensions/about/personal-information-charter>

Information about how to ask for a copy of the information DWP holds about You (known as a 'Right of Access Request') can be found at:

<https://www.gov.uk/guidance/request-your-personal-information-from-the-department-for-work-and-pensions>

Information collected on this enrolment form and regarding Your progression through this programme will be collected and provided to the Greater London Authority as evidence of Your enrolment.

The Greater London Authority will pass Your personal contact details and personal data on to an organisation which will be responsible for evaluating the GLAs European Social Fund (ESF) programme and DWP evaluators. The evaluation reports will be presented in an anonymised report and You will not be mentioned by name or other identifiable

characteristic. If contacted by the GLA or DWP evaluation organisation You may refuse to be included in the evaluation.

The Greater London Authority will also use the information collected on this enrolment form to produce reports to a variety of interested parties in a statistical format only, which will not include Your personal contact details.

Organisations with which the Greater London Authority will share statistical (non-personal) information will include the Greater London Authority's European Programmes Management Unit, the Department of Work and Pensions, London's Co-financing Organisations, London Borough Councils, to provide answers to questions from the London Assembly, and for other purposes closely connected with the project.

The information that the GLA will report upon is listed above.

The information held on this form, and on other documentation generated during Your time on the project, will be made available to organisations solely for the purposes of monitoring and auditing the activities carried out on the project. The organisations that may access information include the GLA, project sponsors, DWP and their appointed auditors, the European Commission and their appointed auditors. They may produce reports about the project, but they will not mention You by name or other identifiable characteristic.

To enrol on a course funded under the GLA ESF 2014-20 programme You must agree to these conditions.

Declaration

I have read and agree to the conditions indicated in the Data Protection Enrolment Declaration

Signed

Date

For office use only – to be completed by project officer prior to making a claim

Participant Eligibility conditions to evidence	Document to support the eligibility on file	Copy On File	
		Yes	No
Legal right to live and work in the UK			
Proof of address			
Proof of age			
Project specific conditions			

	Yes	No
Enrolment complete		
Data Protection Enrolment Declaration signed		
Eligibility Status confirmed		
Bespoke Training Plan completed		
Induction of Participant completed		
Starter – Month/Year Claimed (please state the month and year in which the claim for this Participants ‘Start’ on the programme was claimed from the Greater London Authority)		
<p>Declaration:</p> <p>I confirm that I have checked eligibility of the participant and hold on file a copy of the supporting documentation.</p> <p>Signed (Project Officer) Date.....</p> <p>Print Name (Project Officer)Date.....</p>		

**GLA ESF 2014-2020 Co-financing Programme
Induction Checklist**

Unique Participant Identification Number (UPIN)	
GLA Project Reference Code	
Subcontractor (if applicable)	
Initial Project Joining Date	

PLEASE TICK NEXT TO EACH HEADING TO CONFIRM THAT YOU HAVE BEEN INFORMED AND HAVE UNDERSTOOD THE FOLLOWING IN RELATION TO YOUR INDUCTION TO THIS PROJECT:

Participant name		
Date of Induction		
1.	Health and safety regulations and participant responsibilities.	
2.	Overview of the project.	
3.	What is expected of participants.	
4.	What You can expect of us.	
5.	Arrangements for support, e.g. – travel or childcare.	
6.	Equal Opportunities and Sustainable Development explained and understood.	
7.	Completion of participant enrolment form.	
8.	Evidence of eligibility presented/copied for file.	
9.	Completion of the Bespoke Training Plan.	
10.	Participant timetables.	
11.	Data protection and how it affects You.	
12.	Freedom of Information explained and understood.	
13.	Project is funded by ESF and the GLA.	

14.	(Insert any project specific induction)	
-----	---	--

I CONFIRM THAT I HAVE BEEN INFORMED AND HAVE UNDERSTOOD THE ABOVE.

Signed: _____

Print name: _____ Date: _____

Career/employment/skills development aims for the future:

Participant's general aims for the project:

Individual Action Plan (IAP)

List any support required: (e.g. – careers advice, childcare, travel expenses, access support)

--

<p>Assessment Results (to be filled in by assessor, if applicable)</p> <p>Skills for Life levels (literacy, numeracy, ESOL)</p> <p>Other information</p> <p>Are basic skills required? If the answer is yes, which ones?</p>

Objectives	Activity to achieve objectives (e.g. training module, voluntary work, mentoring support, specialist advice, confidence building, job search, workplace trips).	By whom?	Target achievement date

Participant declaration

I declare that the details given on this form are true to the best of my knowledge and I agree that the objectives reflect my needs.

Signed**Date****Project Officer/Mentor's declaration**

I confirm that the individual's needs have been assessed and we have agreed on an appropriate course of action

Signed**Date**

GLA ESF 2014-2020 Co-financing Programme
Recording Hours Form

All sections of this form should be completed in full and eligibility criteria satisfied and evidenced on file.

GLA Unique Participant Identification Number		GLA Project Reference Code				
It is your responsibility to ensure that this timesheet is completed and signed by the project manager/mentor at the end of every session and handed in at the end of every day/week/month. Participant/Employer Beneficiary name: _____ Week/month: _____						
Date	Activity	Start time	Finish time	No. of hours	Your signature	Project Manager/Mentor signature
			Total hours			
Sickness or Other Absences: (to complete where applicable)						
Date/s	Reason for absence e.g. type of illness, accident, funeral			Total no. days absence		

I certify that the information provided is a true reflection of attendance:

Participant/Employer Beneficiary signature: Date:

Project Manager/Mentor signature: Date:

SUPPORTED BY
MAYOR OF LONDON



European Union
European
Social Fund

GLA ESF 2014-2020 Co-financing Programme
Qualification Achieved as a Result of Intervention

Unique Participant Identification Number (UPIN)	
GLA Project Reference Code	
Subcontractor (if applicable)	
Initial Project Joining Date	
Participant Name	
Name of Project Officer/Mentor	
Qualification Name	
Qualification Level	
Date of Qualification	

I can confirm that my participation in the above Project helped me achieve the above qualification.

Participant Signature:

Date:

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GLA ESF 2014-2020 Co-financing Programme
Bespoke Training Plan Review

All sections of this form should be completed in full and to take place regularly – please use a separate page for each review.

Unique Participant Identification Number (UPIN)	
GLA Project Reference Code	
Subcontractor (if applicable)	
Initial Project Joining Date	
Participant Name	

Date of review:	Review number:	Hours of engagement: (to reflect timesheet)
------------------------	-----------------------	--

Progress towards objectives:

New objectives:

Participant Comments:

Project Officer/Mentor Comments:

Participant signature:

Project Officer/Mentor signature:

Date:

Date:

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GLA ESF 2014-2020 Co-financing Programme

Case Study Form

Unique Participant Identification Number (UPIN)	
GLA Project Reference Code	
Subcontractor (if applicable)	
Initial Project Joining Date	

Participant Name	
Date	
Name of Project Officer/Mentor	

Case studies are necessary to bring the projects and participants success to life and communicate back to key stakeholders the tangible success of the GLA/ESF Funded project. A strong local human-interest story that show how an individual's life or a community has been transformed in some way, always makes a good news story.

This guidance has been designed to help You pull together the information needed for a case study.

Information that we recommend (but not limited to) to include in the case study have been outlined below, how You present this is entirely Your choice.

1. **Title:** Keep it short. Focus on highlighting the most compelling accomplishment.
2. **Executive Summary:** A summary of the entire story.
3. **About:** An introduction to the background of the participant or project,

4. **Challenges:** A description of the challenges, barriers the participants were facing *prior* to joining the project. This section should also include the objectives that the participant/project set out to achieve.
5. **How You Helped:** A section that describes how You engaged with the participant and why they chose to join the project. How did the service provide a solution to their problem?
6. **Results:** A testimonial that proves how Your service specifically impacted the participant, and helped achieve goals. Include numbers to quantify Your contributions for project case studies. Are there any soft outcomes to report?
7. **Supporting Visuals or Quotes:** Pick one or two powerful quotes that You would feature at the bottom of the sections above, as well as a visual that supports the story You are telling.

Please ensure that You collect the correct consents from the participant to secure their agreement that the information provided (text, images and photographs) may be used by the Greater London Authority for publicity regarding the project.

By signing this form, You confirm that the information provided is true and can be publicised.

Project Officer Name	
Project Officer Signature	
Date	

By signing this box, You are happy for us to use the above information for publicity regarding the project.

Name	
Signature	
Date	

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GLA ESF 2014-2020 Co-Financing Programme
Participant Exit Strategy Questionnaire
(On Entry into Employment, Education, Training,
Progression in Employment, or early leaver)

Unique Participant Identification Number (UPIN)	
GLA Project Reference Code	
Subcontractor (if applicable)	
Initial Project Joining Date	
Participant Name	

Q1. What have You achieved while on the project:					
Q2*. What do You think of Your advisor?					
	Very Good	Good	Not Good or Bad	Bad	Very Bad
Knowledge of the activity					
Understanding of Your needs					
Support in setting targets to help You achieve Your goals					

Help with finding other support for You					
Support with helping You to plan Your next steps					
Q3*. How has this activity made a difference to You?					
	Improved A Lot	Improved A Little	Not changed	Got Worse	Got Much Worse
My confidence has					
My skills have					
My prospects of getting a job have					
My knowledge of options available to me has					
My motivation to make the next steps has					
My ability to manage my time and responsibilities has					
Q4. What are Your future plans and objectives?					

Q5. Do You require any further support to achieve these objectives?

Q6. Any other comments about the project, duration of training etc

Q7*. Overall, how satisfied or dissatisfied were You with the activity?				
Very satisfied	Satisfied	Neither Satisfied or dissatisfied	Dissatisfied	Very Dissatisfied
<p>Q8. If You are leaving the project before completion of Your course, please indicate Your reasons for doing so or any barriers that have prevented You from achieving Your objectives:</p>				
Participant signature			Date	

*Note to project officer - answers to questions 2, 3 and 7 will be used to input into the Employability Performance Rating Calculator.

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**GLA ESF 2014-2020 Co-financing Programme
Leaver Form**

All sections of this form should be completed in full by the Project Officer

Unique Participant Identification Number (UPIN)	
GLA Project Reference Code	
Subcontractor (if applicable)	
Initial Project Joining Date	
Participant Name	

Leaver Type (please tick)

Completer	<input type="checkbox"/>	Early Leaver	<input type="checkbox"/>
Dates participant attended the project			
Participant leave/early leave date			
Participant return date (if applicable)			

Employment Status upon leaving (please tick)

Employed (including self-employed)	<input type="checkbox"/>
Inactive - In Education or Training	<input type="checkbox"/>
Inactive - Not in Education, Employment or Training	<input type="checkbox"/>
Unemployed (short term)	<input type="checkbox"/>
Long Term Unemployed	<input type="checkbox"/>
No longer in contact with participant - unknown leaver destination	<input type="checkbox"/>

Qualification gained upon leaving (please tick)

Participant gained Basic Skills	<input type="checkbox"/>
---------------------------------	--------------------------

Gained Level 2 or below or a unit of level 2 or below skills qualification (excluding basic skills)	
Gained Level 3 or above or a unit of level 3 or above skills qualification	
Not Known	
None	

Highest educational attainment on leaving (please tick)

Below Primary education (ISCED level 0) – Other disadvantaged	
Primary education or equivalent (ISCED 1)	
Lower secondary education or equivalent (ISCED 2)	
Upper secondary education or equivalent (ISCED 3)	
Post-secondary (non-tertiary) education or equivalent (ISCED 4)	
Tertiary education or equivalent (ISCED 5-8)	
Not Applicable	

I confirm the above details are correct & all evidence for the participant as required by ESF Data Evidence requirements has been collected.

Signed by Project Officer	
Name of Project Officer	
Date	

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GLA ESF 2014-2020 Co-financing Programme
Returner

Unique Participant Identification Number (UPIN)	
GLA Project Reference Code	
Subcontractor (if applicable)	
Initial Project Joining Date	

Participant Name	
Name of Project Officer/Mentor	
Initial Date of Leaving	
Date of Returning	

Why the participant has returned to the project:

What objectives and/or targets are not yet complete:

<p>Additional aims for the project:</p>
--

<p>Participant declaration</p>			
<p>I declare that the details given on this form are true to the best of my knowledge and that I have returned to the project.</p>			
Signed		Date	

<p>Project Officer/Mentor's declaration</p>			
<p>I confirm that the individual's needs have been assessed and we have agreed on an appropriate course of action and completed a Bespoke Training Plan.</p>			
Signed		Date	

Annex 2 – Glossary

Term	Definition
Business Data Form (PDF)	The tool which the ESF Provider must use to record and report to the GLA data and management information about the Businesses engaged by the Project. The BDF may be in Excel format, paper format or via the GLA's Open Project System (OPS) as determined by the GLA.
Certificate of Delivery	A form completed after the end of each financial year, signed by an authorised signatory of the ESF Provider and confirming for the preceding year the Outputs and Results that the ESF Provider has delivered and the ESF Grant Agreement Funding payments received for that delivery, plus any adjustments required from previous financial years.
Claim Period	A Claim Period is the period of Project delivery between submission by an ESF Provider of claims for ESF Grant Agreement Funding. A claim period is normally three calendar months. The minimum period between claims that the GLA will allow is one calendar month.
Co-Financing Organisation (CFO)	Co-financing Organisations (CFOs) are responsible for providing the match funding for the ESF provision that they commission and manage. In addition to the GLA there are four national CFOs delivering activities in London: the Department for Work and Pensions (DWP), the Education and Skills Funding Agency (ESFA), the Big Lottery Fund (BLF), and the National Offender Management Service (NOMS). In addition, the sub-regional partnerships of London boroughs have been awarded CFO status for the delivery of the Work and Health programme.
Conversion Rate	The proportion of Participants or Employer Beneficiaries who enrol on the Project and subsequently achieve Results (e.g. if 10 Participants enrol and 5 achieve an entry to employment this is a Conversion Rate of 50%, if a further 5 go on to sustain their employment at 6 months this is a Conversion Rate (from 'starter') of 25%.

Data Protection Declaration	Declaration to be signed by individuals and organisations involved in projects detailing the purposes of data processing, retention of personal data and GDPR implications related to their involvement in the Project.
Delivery Handbook	The GLA ESF 2014-20 Programme Delivery Handbook forms part of the ESF Provider's Grant Agreement and includes information about reporting to the GLA, claiming payments and template forms.
Employer Beneficiary	An organisation (e.g. a business, social enterprise) which is a direct beneficiary of the services delivered through the GLA ESF 2014-20 ESF Programme.
European Social Fund (ESF)	The ESF is a structural fund from the EU. The specific objectives of the ESF focus on improving employment opportunities, promoting social inclusion and investing in skills by providing the help people need to fulfil their potential.
ESF Grant Agreement Funding	The money that the GLA allocates to an ESF Provider to deliver a Grant Agreement for services for the GLA ESF 2014-20 programme.
ESF Delivery Partner	Any organisation that is not the ESF Provider or a Subcontractor but is involved in supporting the delivery of the Project. ESF Delivery Partners are not paid by the ESF Provider for the activities they undertake in supporting the Project and they will not hold a formal Contract or Agreement with the ESF Provider. These ESF Delivery Partners could be referral organisations, training providers, Local Authorities etc, without whom the ESF Provider may be unable to deliver the Project objectives and Primary Results.
ESF Provider	An organisation that has been awarded a Grant Agreement for services to deliver the GLA ESF 2014-2020 Co-financing programme.
Evidence Handbook	The GLA ESF 2014-20 Programme Eligibility and Evidence Handbook, which forms part of an ESF Provider's Grant Agreement and includes information on evidence and eligibility requirements and responsibilities.
GLA Provider Manager	A GLA member of staff designated as the main point of contact between the ESF Provider and the GLA during the Project Delivery Period.

Grant Agreement	The GLA ESF 2014-20 Programme Grant Agreement
Intermediate Body	The European Social Fund programme in London is managed by the European Programmes Management Unit (EPMU) in the Greater London Authority (GLA) which acts as an Intermediate Body (IB) on behalf of the Department for Work and Pensions (the Managing Authority). This is separate from the GLA's role as a Co-Financing Organisation.
Lifetime Grant Agreement Value	The maximum value of ESF Grant Agreement Funding awarded to an ESF Provider for the duration of the Grant Agreement.
London Employability Performance Rating (EPR)	The Employability Performance Rating uses management and performance information collected by ESF Providers to provide an evidence-based track record of delivery against the Grant Agreement. It supports the GLA's objective to benchmark the achievements of providers and our commitment to transparency and openness.
Managing Authority	The governments of the Member States of the European Union are responsible for managing European Structural Funds programmes. A designated Managing Authority in each Member State provides information on the programme, selects projects and monitors implementation. In the UK, the government department which has overall responsibility for the implementation of the European Social Fund in England is the Department for Work and Pensions.
Monthly Progress Return MPR	The document completed by an ESF Provider, including the Grant Agreement delivery profiles, actual achievements to date and a profiled forecast of future delivery on the Project which must be submitted to the GLA no later than 14 days after the last day of each calendar month.
Open Project System OPS	The GLA's Open Project System (OPS) is a secure online portal for project management, submission of claims for ESF Grant Agreement Funding and the reporting of Project data and management information.
Operational Programme	The national European Social Fund Operational Programme 2014-2020 document that describes what the ESF programme in England will fund and who it will support (https://www.gov.uk/government/publications/european-social-fund-operational-programme-2014-to-2020).

Output	Outputs are measurable deliverables which attract a payment on achievement as defined in an ESF Provider's Grant Agreement. Outputs are mainly a measurement of a Participant or Employer Beneficiary successfully completing a stage of their journey through the Project.
Overall Unit Cost	The Overall Unit Cost for delivering a single Primary Result is calculated by dividing the Lifetime Grant Agreement Value by the total number of Results that the Project will deliver.
Participant	An individual who is a direct beneficiary of the services delivered through the GLA ESF 2014-20 Programme.
Participant Data Form (PDF)	The tool which the ESF Provider must use to record and report to the GLA data and management information about the Participants and/or Employer Beneficiaries supported by the Project. The PDF may be in Excel format, paper format or via the GLA's Open Project System (OPS) as determined by the GLA.
Participant/Employer Beneficiary File	A collection of information brought together to form a single point of reference relating to the learning that is taking place
Payment Trigger Calculator	The PTC is an Excel tool which automatically calculates the "Unit Rates" payable to an ESF Provider for each Output and Result they will deliver, based on the ESF Provider's estimated delivery cost for the Project Delivery Period, the number of Participants and Employer Beneficiaries the ESF Provider expects to recruit, and how many of these the ESF Provider expects to be successful at each stage of the Project. The PTC will have been submitted with an ESF Provider's original bid to deliver the GLA ESF 2014-20 Programme services and can be found at Part 2 of Schedule 3 of the Grant Agreement.
Primary Result	The key Result that the GLA wishes to see arising from the delivery of the Project. Each Project has its own Primary Result as detailed in the Grant Agreement.
Project	The services delivered by an ESF Provider in accordance with the Grant Agreement awarded to them for the delivery of the GLA ESF 2014-2020 Co-financing Programme services.
Project Delivery Period	The period from the date that a Grant Agreement commences to the date that the final claim for the Project must be submitted.

	The GLA will not make any payments for service delivery or other Project activities, Outputs, Outcomes and Primary Results which occur or are reported outside of the Project Delivery Period.
Project Manager	An individual, appointed by, and accountable to, the ESF Provider to manage the Project on their behalf (including ensuring compliance with GLA and ESF requirements, that all GLA and ESF reporting requirements are met, that the Project Outputs and Results are delivered, and that the Project is delivered in accordance with the original aims and objectives). The ESF Provider, and their Project Manager, are responsible for compliance, reporting and delivery by the Project's sub-contractors and ESF Delivery Partners.
Project Period	The Period from the Project Start Date to the later of the Project End Date or the date on which the ESF Provider has met and discharged all of the obligations and liabilities under the Grant Agreement including (without limitation) all reporting and evaluation obligations.
Project Risk Register	A tool to determine the likelihood of problems occurring during the lifetime of the Project, and to identify measures to prevent them occurring or minimise their impact.
Results	Results are measurable deliverables which attract a payment on achievement as defined in the Grant Agreement. Results differ from Outputs in that they are normally a measurement of the successful achievement by the Participant or Employer Beneficiary of the aims of the Project at the point of leaving the Project (e.g. achievement of a qualification, achievement of an entry to employment). See also Primary Result.
Retention of Documents Date	All supporting documentation evidencing the delivery of a Project must be kept for a period of three years from 31 December following the submission of the government accounts which include the expenditure for the national ESF 2014-2020 Programme. This is known as the Retention of Documents date and is currently 31 December 2030.
Subcontractor	A separate legal entity that has an agreement with the ESF Provider to deliver any element of the Project. A separate legal entity includes companies in the ESF Provider's group, other companies and sole traders. It also includes individuals who are self-employed or supplied by an employment agency, unless

	those individuals are working under the direction and control of the ESF Provider, in the same way as the ESF Provider's own employees.
Unit Rate	The amount payable by the GLA to the ESF Provider for each Output and Result that the ESF Provider delivers. Because each ESF Provider may have a different expectation of the number of Participants or Employer Beneficiaries that they will recruit and that will succeed at each stage of delivering the Project, the Unit Rates are different for each ESF Provider.

Annex 3 – Background Documents and Links

ESIF Guidance	
The government's England 2014-20 European Structural and Investment Funds [ESIF] web pages (GOV.UK)	https://www.gov.uk/guidance/england-2014-to-2020-european-structural-and-investment-funds
European Social Fund Operational Programme 2014-2020	https://www.gov.uk/government/publications/european-social-fund-operational-programme-2014-to-2020
England European Social Fund Operational Programme 2014-20 Guidance: Guidance on document retention, including electronic data exchange, for 2014-20 ESF projects	https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/731515/ESF_Document_Retention_Guidance.pdf
European Social Fund data evidence requirements: eligibility and results guidance	https://www.gov.uk/government/publications/european-structural-and-investment-funds-eligibility-documents
2014-20 European Growth Programme Output and Result Indicator Definitions Guidance for the European Social Fund	https://www.gov.uk/government/publications/european-structural-and-investment-funds-outputs-and-results
European Regional Development Fund and European Social Fund Branding and Publicity Requirements	https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/735917/ESIF-GN-1-005_ESIF_Branding_and_Publicity_Requirements_v7.docx
Cross-Cutting Themes Guidance for European Social Fund (Sustainable Development and Equality)	https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/731312/ESF_Cross_Cutting_Themes_guidance.pdf

European Social Fund 2014-2020 - Guidance on State Aid	https://www.gov.uk/government/publications/european-structural-and-investment-funds-state-aid-documents
Guidance and documents about the monitoring and evaluation of the European Social Fund 2014 to 2020 Programme	https://www.gov.uk/government/publications/evaluation-of-the-european-social-fund-2014-to-2020
Other Documents and References	
Equality Act 2010	https://www.legislation.gov.uk/ukpga/2010/15/contents
Data Protection Act 2018	http://www.legislation.gov.uk/ukpga/2018/12/contents/enacted
The General Data Protection Regulation (EU) 2016/679 (GDPR)	https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A32016R0679
Information about how to ask for a copy of the information DWP holds about You (known as a 'Right of Access Request')	https://www.gov.uk/guidance/request-your-personal-information-from-the-department-for-work-and-pensions
Commission Regulation (EU) No 1407/2013 of 18 December 2013 on the application of Articles 107 and 108 of the Treaty on the Functioning of the European Union to de minimis OJ L 352, 24.12.2013 (the "De Minimis Aid Block Exemption")	http://ec.europa.eu/competition/state_aid/legislation/de_minimis_regulation_en.pdf
The Green Book: Central Government Guidance on Appraisal and Evaluation (the "Treasury Green Book")	https://www.gov.uk/government/publications/the-green-book-appraisal-and-evaluation-in-central-government
The Magenta Book: Guidance for evaluation (the "Treasury Magenta Book")	https://www.gov.uk/government/publications/the-magenta-book

Prevent Duty	https://www.gov.uk/government/publications/prevent-duty-guidance
London Employability Performance Rating	https://data.london.gov.uk/london-employability-performance-rating/
Information Commissioner's website	https://ico.org.uk/
London ESF 2014-20 programme information	https://lep.london/content_page/european-social-fund
UK government State Aid guidance	https://www.gov.uk/guidance/state-aid
DWP's Personal Information Charter	https://www.gov.uk/government/organisations/department-for-work-pensions/about/personal-information-charter
Compass Careers benchmark tool.	https://compass.careersandenterprise.co.uk/info

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