



**European Social Fund and Match Funded Contracts**

**ESF1 (07-13)**

**Compliance Monitoring Form**

**ESF Regulatory Requirements & Cross Cutting Themes**

<b>Contract Title</b>			
<b>Contract Number</b>	<b>Overall Value £</b>	<b>Region</b>	<b>District</b>
<b>Provider Name</b>			
<b>Provider Site Visited</b>			
<b>Provider Staff Present</b>			
<b>Monitoring Visit Conducted By</b>			
<b>Date Of Visit</b>			

<b>Compliance Rating</b>	
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	<b>Contract Monitoring Officer</b>	<b>ESF Contract Manager / SRM / LPM</b>
<b>Name</b>		
<b>Signature</b>		
<b>Date</b>		

## Index and Compliance Rating by Category

Key Control Question	Category	Compliance Rating
KC1	European Social Fund Marketing and Publicity	
KC2	Cross Cutting Themes – Gender / Equality / Diversity / Equal Opportunities	
KC3	Cross Cutting Themes - Sustainable Development	
KC4	Cross Cutting Themes - Health (London only)	
KC5	Document Retention	
<b>Total</b>		

Please see the ESF1 Aide Memoire for guidance on completion of this form.

### Scoring Table



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**KC1 ESF Marketing and Publicity**

Ref	Question / Prompt	Findings	Rating
1.1	What evidence can the prime provider supply to show that ESF 2007-2013 plaques are displayed and visible to participants, staff and others at its own premises?		
1.2	What evidence can the prime provider supply that ESF 2007-2013 plaques are displayed and visible to participants, staff and others at its sub-contractors and/or delivery partner premises?		
1.3	What evidence can the prime provider supply that the ESF 2007-2013 programme logo is clearly visible on leaflets, posters, newsletters, customer forms (e.g. action plans) and electronic media (e.g. websites) in use by the prime provider in the delivery of the programme?		
1.4	What evidence can the prime provider supply that the ESF 2007-2013 programme logo is clearly visible on leaflets, posters, newsletters, customer forms (e.g. action plans) and electronic media (e.g. websites) in use by its sub-contractors and/or delivery partners in the delivery of the programme?		
1.5	What evidence can the prime provider supply to show they are complying with arrangements to seek the approval of Jobcentre Plus for locally produced marketing material?		

Ref	Question / Prompt	Findings	Rating
1.6	What evidence can the prime provider supply to show how they will identify and promote good news stories arising from customer participation on the ESF programme?		
<p><b>Summary of Findings:</b></p>			

## KC2 Cross Cutting Themes – Gender / Equality / Diversity / Equal Opportunities

Contract Compliance Monitoring note: -It is a requirement of the Momenta accreditation process that the provider has provided assurance that its policies are compliant in adhering to the following legislation:- Sex Discrimination Act 1975; Race Relations Act 1976 and Race Relations (Amendment) Act 2000; Disability Discrimination Act 1995; Employment Equality (Religion and Belief) Regulations 2003; Employment Equality (Sexual Orientation) Regulations 2003; Age Discrimination 2006. Health & Safety at Work Act 1974.

Ref	Question / Prompt	Findings	Rating
2.1	Has MOMENTA accredited the provider? If not what action is being taken?		
2.2	Has a 12 month equality review been conducted for the prime provider with MOMENTA?		
2.3	What assurance can the prime provider supply that it is operating in compliance with the legislation and this ESF regulatory requirement for this contract?		
2.4	What evidence is held to provide assurance that the prime provider has ensured that its sub-contractors are acting in accordance with the ESF regulatory requirements?		
2.5	Has the prime provider produced necessary / required information on sub-contractors, for example proportion of sub-contractors who are SMEs, ethnic minority enterprises; black minority enterprises?		
2.6	Does the prime provider conduct annual self-appraisal incorporating equal opportunities?		
2.7	How does the prime provider promote accessibility for all groups - including people who are disabled?		

Ref	Question / Prompt	Findings	Rating
2.8	How is the prime provider actively promoting equal opportunities for gender, race, disability, age, religion/belief and sexual orientation?		
<p><b>Summary of Findings:</b></p>			

### KC3 Cross Cutting Themes - Sustainable Development

A Self Assessment Questionnaire with the same questions as below will be issued to the Provider **four** weeks before the visit to be returned **two** weeks before the visit, which will inform this section.

Ref	Question / Prompt	Findings	Rating
<b>Policy &amp; Strategy</b>			
3.1	Does the prime provider have a sustainability policy?		
3.2	Does the prime provider have a sustainability strategy?		
3.3	How is the prime provider's sustainability strategy linked with other organisational strategies and management systems such as corporate strategy and Environmental Management Systems?		
3.4	Is the prime provider's sustainability strategy (or action plan) scrutinised by an outside body? If yes by who?		
<b>People</b>			
3.5	Is there a sustainability champion identified in the prime provider's organisation? If yes at what level are they within the organisation?		
3.6	What sustainability training has the sustainability champion received?		
3.7	What sustainability training, if any, have all other prime provider staff received?		
3.8	Are sustainability objectives included in the prime provider's key staff's personal development and appraisal process? Please supply examples.		

Ref	Question / Prompt	Findings	Rating
3.9	Does the prime provider publicise their achievements in sustainability? If yes how?		
<b>Process</b>			
3.10	Has the prime provider completed expenditure analysis? How?		
3.11	Has the prime provider established sustainability objectives?		
3.12	To what extent does the prime provider consider sustainability criteria in contracts?		
3.13	Are sustainability risks in the prime provider's business and supply chain managed effectively through the procurement contracts? How?		
3.14	Does the prime provider have targets to improve sustainability with their suppliers and sub-contractors? What are they?		
<b>Suppliers / Sub-contractors &amp; Communication</b>			
3.15	How does the prime provider communicate sustainability issues with staff, suppliers, sub-contractors and participants?		
3.16	How does the prime provider engage with its staff, suppliers, sub-contractors and participants on sustainability?		
<b>Results</b>			
3.17	How does the prime provider measure their achievements/performance in sustainability?		

Ref	Question / Prompt	Findings	Rating
3.18	What evidence does the prime provider have of regular performance measurement and continuous improvement of sustainability?		
3.19	Does the prime provider compare their organisation's performance in this area with others'? How?		
<p><b>Summary of Findings:</b></p>			

### KC4 Cross Cutting Themes - Health (London only)

The Lord Mayor's vision for London is an exemplary, sustainable world city, which enables all people to enjoy a good quality of life without compromising either the needs of future generations, or the planet's environmental limits, based on the three interwoven objectives of economic development, social inclusion, and environmental.

**NB:** More questions to be added when more information on requirements received.

Ref	Question / Prompt	Findings	Rating
4.1	What evidence can the prime provider provide that it has a Health Plan compliant with the "Sustainable London" vision?		
4.2	What evidence can the prime provider give that its subcontractors and/or delivery partners have a Health Plan compliant with the "Sustainable London" vision?		

#### Summary of Findings:

**KC5 Document Retention**

Ref	Question / Prompt	Findings	Rating
5.1	Is the prime provider aware that ESF and Match documentation must be retained until at least 31 December 2022? (Providers will be updated should this date be changed at any stage in the future).		
5.2	What evidence can the prime provider supply that it, has adequate arrangements and processes in place for the retention of documents arising from the delivery of the ESF 2007-2013 in accordance with contractual requirements and Provider Guidance?		
5.3	What evidence can the prime provider supply that its sub-contractors and/or delivery partners, have adequate arrangements and processes in place for the retention of documents arising from the delivery of the ESF 2007-2013 in accordance with contractual requirements and Provider Guidance?		
5.4	Is there a system in place to monitor subcontractors to ensure that evidence is being retained? What are the systems in place to monitor them?		

Ref	Question / Prompt	Findings	Rating
5.5	What measures are in place to test the effectiveness of systems to recover documents held in storage?  When were they last tested and with what result?		
<p><b>Summary of Findings:</b></p>			