

# Withdrawn

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# **GRANT COMPETITION SPECIFICATION**

**For**

**Future Support Offer 2024  
Grant Competition**

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## 1. GLOSSARY

1.1 In this Future Support Offer ('FSO') 2024 Grant Competition Specification, and the FSO Grant Application Form, the following words and phrases have the following meanings:

**"Added Value"** in the Applicant's response means going above and beyond the requirement asked in the question. This could include innovations, minimising costs, and reducing risks in the context of the Authority's position as a government department and the Authority's strategic objectives at paragraph 20 of this Grant Competition Specification

**"Applicant"** means an organisation or consortium of organisations that submits an Application in response to the FSO 2024 Grant Competition Specification;

**"Application"** means an FSO 2024 Grant Application Form submitted in response to the FSO 2024 Grant Competition Specification;

**"Asset"** means any assets that are to be purchased or developed using the Grant including equipment or any other assets which may be a Fixed Asset;

**"Authority"** means the Secretary of State for Work and Pensions acting as part of the Crown through his/her Representatives in the Department for Work and Pensions;

**"Clarification Questions"** are questions submitted by Applicants to [uc.futuresupport2024@dwp.gov.uk](mailto:uc.futuresupport2024@dwp.gov.uk) about the FSO 2024 Grant Competition;

**"Co-Participant"** means a member of a group making an Application as a consortium or partnership;

**"Commencement Date"** means the date the Funding Period starts on;

**"Conditionality Group"** means the group into which a Universal Credit claimant is placed, and determines what they need to do to find work (if this is appropriate), what is required of them in relation to their Universal Credit payment, and the type of work-related activities the claimant can be required to do as part of their claimant commitment;

**"Costs Score"** means the costs score given to an Application, as calculated in accordance with paragraph 9.6;

**"Customer"** means someone who receives assistance through the FSO 2024 in relation to UC;

**Data Protection Legislation** means (i) the UK GDPR; (ii) the Data Protection Act 2018 to the extent that it relates to the processing of Personal Data and privacy; (iii) (to the extent that it applies) the EU GDPR; (iv) all applicable Law relating to the processing of Personal Data and privacy;

**"Deadline for Clarification Questions from Registered Interested Parties"** means the corresponding time and date set out in **"Table 1 – Proposed Competition Timetable and Administrative Arrangements"**;

**"Deadline for Application Submissions"** means the corresponding time and date set out in **"Table 1 – Proposed Competition Timetable and Administrative Arrangements"**;

**"Duplicate Funding"** means the Grant Recipient claiming for a project or costs which have already been funded through government spending;

**"EIR"** means the Environmental Information Regulations 2004;

**"Employee Data"** means the anonymised information relating to employees of the Former Grantee who may be in scope to transfer under the Employment Regulations;

**"Employment Regulations"** means the Transfer of Undertakings (Protection of Employment) Regulations 2006 (SI 2006/246) or any successor legislation;

**“Evaluation Plan”** means a plan focussing on measuring the FSO 2024 Outcomes. As part of monitoring and evaluation, robust data must be collected to demonstrate the effectiveness and the sustainability of the FSO 2024 over a period of time;

**EU GDPR** is as defined in section 3 of the Data Protection Act 2018;

**“Exit Plan”** means the plan prepared and submitted by the Grant Recipient to the Authority to enable the smooth closure, or transfer, of the Funded Activities to the Authority or successor of the Grant Recipient in accordance with the provisions of Annex 9 of the Grant Funding Agreement;

**“Financial Year”** means 1 April to 31 March;

**“FOIA”** means the Freedom of Information Act 2000 and any subordinate legislation made under that Act from time to time together with any guidance or codes of practice issued by the relevant government department concerning the legislation;

**“Forecast Expenditure”** means all forecast eligible expenditure costs for delivering the FSO 2024 support offer;

**“Former Grant Recipient”**; means any third-party provider carrying out activities which are the same or substantially similar to any of the Funded Activities and who is in receipt of grant funding provided by the Authority (whether directly or as a sub-grantee) for the purposes of carrying out such activities, before the date of the Relevant Transfer;

**“Funded Activities”** means those activities to be funded by the FSO 2024 Grant as described in paragraph 22;

**“Funding Period”** takes the meaning given in paragraph 19;

**“Funding Year”** means a Financial Year falling in the Funding Period;

**“FSO 2024 Grant”** means the funding to be awarded to the Grant Recipient by the Authority;

**“FSO 2024 Grant Application Form”** means the application form made available by the Authority for Applicants to apply for the FSO 2024 Grant;

**“FSO 2024 Grant Competition”** means the competition to be run by the Authority to select the Grant Recipient to whom the FSO 2024 may be awarded;

**“FSO 2024 Grant Competition Specification”** means this document and any appendices or annex to this document;

**“Go-Live Readiness Report”** means a report that sets out the Grant Recipient’s readiness against a set of predefined go-live readiness criteria that will be provided by the Authority;

**“Grant Claim”** means the payment request form submitted by the Grant Recipient to the Authority for payment of the Grant. The form will be in a format, and contain the data, required by the Authority from time to time;

**“Grant Funding Agreement”** means the grant funding agreement for Future Support Offer 2024, in the form specified by the Authority, a draft of which is being made available in the FSO 2024 Grant Competition;

**“Grant Funding Letter”** means the letter the Authority will issue to the Grant Recipient confirming the award of the FSO 2024 Grant;

**“Grant Recipient”** means the Grant Recipient who is the successful Applicant chosen to provide the Funded Activities;

**“HRA”** means the Human Rights Act 1998 and any subordinate legislation made under that Act from time to time together with any guidance or codes of practice issued by the relevant government department concerning the legislation;

**“Implementation Plan”** means a plan that shows the products, activities, dependencies, timescales and responsibilities required to successfully deliver the FSO 2024 from the expected Commencement Date of FSO 2024;

**“Information Acts”** means the Data Protection Legislation, FOIA and the EIR, as amended from time to time;

**“Integrated Delivery Plan”** means a joint implementation plan between the Grant Recipient and the Authority that includes activities that will be progress monitored and reported against at regular checkpoints;

**“Law”** means any applicable law, statute, byelaw, regulation, order, regulatory policy, guidance or industry code, judgment of a relevant court of law, directive or requirement of any regulatory body or delegated or subordinate legislation;

**“Lowest Total Value Offer”** means the Application that, of the Applications not excluded, has the lowest Total Value Offer;

**“Marking Scheme”** means the range of marks that may be given to an Applicant depending on the quality of its response to a question, and which is located in the boxes next to the applicable question;

**“Monthly Reports”** means the reports referred to in paragraph 26.5.2 of this Specification.

**“Overall Score”** means the overall score given to an Application, as described in paragraph 9.7;

**“Party”** means the Authority or Grant Recipient as the context requires and Parties shall be a reference to both of them;

**“Personal Data”** has the meaning given to it in the UK GDPR or the EU GDPR as the context requires;

**“Quality Questionnaire”** means the part of the Application Form with that name;

**“Quality Score”** means the quality score given to an Application, as calculated in accordance with paragraph 9.5;

**“Registered Interested Parties”** means those who register an interest in submitting an Application for the FSO 2024 Grant Competition by emailing their organisation’s name and contact details, including email address, to [uc.futuresupport2024@dpw.gov.uk](mailto:uc.futuresupport2024@dpw.gov.uk);

**“Relevant Transfer”** means a transfer of employment under the Employment Regulations;

**“Relevant Transfer Date”** means the date of a Relevant Transfer;

**“Representatives”** means any Party’s duly authorised directors, employees, officers, agents, professional advisors and consultants;

**“Spending Review”** means the Government’s long-term plan for some of its expenditure, usually taking place every two to four years and setting limits on departmental spending;

**“Statement of Requirements”** means a statement issued by the Authority detailing its requirements in respect of the FSO 2024 as set out in Part C of this FSO 2024 Grant Competition Specification;

**“Terms for Competition”** shall have the meaning given in paragraph 11;

**“Total Value Offer”** means, in respect of each Application, the total of the figures in cell I27 on the Mobilisation tab and cell O54 on the On-going Running tab of its Grant Forecast Expenditure Template;

**“UC”** means Universal Credit;

**“UC Claimant”** means any person who has made a claim for Universal Credit and/or any person who wishes or intends to make a claim for Universal Credit;

**“UK GDPR”** is as defined in section 3 of the Data Protection Act 2018

**“VAT”** means value added tax chargeable in the UK.

1.2 In this FSO 2024 Grant Competition Specification, unless the context otherwise requires:

- (1) the singular includes the plural and vice versa;
- (2) reference to a gender includes the other gender and the neuter;
- (3) references to a person include an individual, company, body corporate, corporation, unincorporated association, firm, partnership or other legal entity or Crown Body;
- (4) a reference to any Law includes a reference to that Law as amended, extended, consolidated or re-enacted from time to time;
- (5) the words "including", "other", "in particular", "for example" and similar words will not limit the generality of the preceding words and will be construed as if they were immediately followed by the words "without limitation";
- (6) references to “writing” include typing, printing, lithography, photography, display on a screen, electronic and facsimile transmission and other modes of representing or reproducing words in a visible form, and expressions referring to writing will be construed accordingly;
- (7) references to “representations” will be construed as references to present facts, to “warranties” as references to present and future facts and to “undertakings” as references to obligations under the FSO 2024 Grant Funding Agreement;
- (8) references to “sections”, “paragraphs” and “Annexes” are, unless otherwise provided, references to the sections, paragraphs and annexes of this FSO 2024 Grant Competition Specification and references in any Annex to parts, paragraphs and tables are, unless otherwise provided, references to the parts, paragraphs and tables of the Annex in which these references appear; and
- (9) the headings in this FSO 2024 Grant Competition Specification are for ease of reference only and will not affect the interpretation or construction of this FSO 2024 Grant Competition Specification.

## 2. INTRODUCTION

2.1 This FSO 2024 Grant Competition Specification document relates to the FSO 2024 Grant Funding Competition to award grant funding to an organisation (or organisations) to assist those UC Claimant(s) in England, Scotland and Wales (not Northern Ireland) requiring additional support to make and maintain their UC claim, up until their first correct UC payment. This FSO 2024 Grant Competition Specification contains the information and instructions the Applicant needs to comply with in order to submit an Application for the FSO 2024 Grant.

2.2 Please note that, following award, the FSO 2024 Grant and its Funded Activities may be referred to and publicised under a different name (i.e. not FSO 2024) subject to the agreement of the Authority and the Grant Recipient.

- 2.3 To aid Applicants, the suite of FSO 2024 Grant Competition documents and information to be considered is as follows:
  - 2.3.1 FSO 2024 Grant Competition Specification;
  - 2.3.2 FSO 2024 Grant Application Form;
  - 2.3.3 FSO 2024 Grant Funding Agreement; and
  - 2.3.4 FSO 2024 Grant Forecast Expenditure Template;

### **3. OVERVIEW OF FSO 2024 GRANT COMPETITION SPECIFICATION**

- 3.1 The FSO 2024 Grant Competition Specification comprises three (3) Parts (A – C):
  - 3.1.1 Part A – The FSO 2024 Grant Competition process: sets out the proposed competition timetable and information and instructions relevant to the submission and evaluation of Applications;
  - 3.1.2 Part B – Terms for Competing in the FSO 2024 Grant Competition: sets out the rights and obligations which apply to the Applicant and the Authority during this FSO 2024 Grant Competition; and
  - 3.1.3 Part C – Statement of Requirements: a statement issued by the Authority detailing its requirements in respect of the FSO 2024.

### **4. CONSIDERATION OF EMPLOYEE ISSUES – STAFF TRANSFER EMPLOYMENT PROVISIONS**

- 4.1 In relation to the transfer of staff pursuant to the Employment Regulations, Applicants should note the following:
  - 4.1.1 The FSO 2024 replaces Help to Claim that is funded by the Authority and currently undertaken by two national bodies who sub-grant the work to a number of charities, the Former Grant Recipient see paragraph 4.1.4 below.
  - 4.1.2 It is the Authority's view that the Employment Regulations are likely to apply to this FSO 2024 Grant Competition and if any Applicant forms a different view, they should explain their reasons before submitting their Application. However, the Authority makes no representations or warranties in this regard in advance of organisations submitting their Application and is not liable for this opinion. All Applicants should obtain their own independent legal advice on the applicability of the Employment Regulations to the Funded Activities provided pursuant to this FSO 2024 Grant.
  - 4.1.3 The Applicant should carefully consider how they would manage any staff transfer process provided the transfer adheres to the Employment Regulations.
  - 4.1.4 All Employee Data received from the Former Grant Recipient will be provided in anonymised form, on request from [uc.futuresupport2024@dw.gov.uk](mailto:uc.futuresupport2024@dw.gov.uk) upon the Applicant entering into a Non-Disclosure Agreement ("NDA"). Based on this early Employee Data provided by the Former Grant Recipient, the Authority understands there are approximately 1,151 existing employees currently engaged by over 86 different organisations throughout England, Wales and Scotland undertaking activities related to the scope of this FSO 2024 Grant Competition, and therefore potentially in scope to transfer under the Employment Regulations. This is comparable to a full time equivalent headcount of approximately 300. The Authority understands none of these employees are current, or former, Authority employees. The Authority does not anticipate that any existing Authority staff will be subject to transfer under the Employment Regulations as a result of the FSO 2024 Grant Competition.
  - 4.1.5 Employee Data will be provided by the Former Grant Recipient. The Authority has no control over the content of the Employee Data and has not verified or approved this. It is provided for Applicants who may wish to take their own professional or specialist advice on the basis of the following terms of use:
    - i. The Authority does not make any representations, warranties or guarantees, whether express or implied, that the Employee Data is accurate, complete or up to date;



- ii. The Employee Data is provided for information only. It is not intended to amount to advice on which Applicants should rely. Applicants should obtain professional or specialist advice before taking, or refraining from, any action on the basis of the Employee Data.
- 4.1.6 Employee Data will only be shared by the Authority with Applicants who request it from [uc.futuresupport2024@dwp.gov.uk](mailto:uc.futuresupport2024@dwp.gov.uk) and who complete and return the NDA (which will be in a prescribed form stipulated by the Authority) setting out their responsibilities in relation to the Employee Data. The Authority will provide the NDA template.
- 4.1.7 Applicants should note that there will not be any additional funding made available to cover any mobilisation or other staff transfer costs. Applicants need to be aware that the FSO 2024 Grant Funding covers all staff transfer costs and mobilisation/set up costs including without limitation those set out below:
  - a) the cost of integrating the TUPE transferring workforce into the Grant Recipient's organisation;
  - b) costs of any additional staff; and
  - c) any additional training or recruitment costs.
- 4.1.8 All mobilisation/set up costs in connection with the staff transfer pursuant to the Employment Regulations must be included within the "Mobilisation Tab" of the **"FSO 2024 Grant Forecast Expenditure Template"**. Please note redundancy costs are not permitted to be included within mobilisation or staff costs because the Authority believes that activities are remaining fundamentally the same and that efficiencies can be achieved through reorganization and natural attrition.
- 4.1.9 Applicants should make their own staffing assessments noting that current delivery of the Funded Activities is presently supported both by not only those listed in the Employee Data but also volunteers. Applicants are required in the **"FSO 2024 Grant Forecast Expenditure Template"** to indicate whether they believe the Funded Activities are currently over or understaffed using the headings identified above and those set out on the **"FSO 2024 Grant Forecast Expenditure Template"**.

## PART A – THE FSO 2024 GRANT COMPETITION PROCESS

### 5. FSO 2024 GRANT COMPETITION TIMETABLE

- 5.1 The timetable for this FSO 2024 Grant Competition is set out in **"Table 1 – Proposed Competition Timetable and Administrative Arrangements"** at paragraph 5.4.
- 5.2 The Authority may change this timetable at any time. Applicants will be informed if changes to this timetable are necessary.
- 5.3 Following the issue of the FSO 2024 Grant Competition Specification, Application Form and Grant Funding Agreement, **the remainder of the FSO 2024 Grant Competition documents (Employee Liability Information which is subject to signing of a non-disclosure agreement; non-disclosure agreement and the responses to clarification questions) will only be released to those who register an interest in submitting an Application for the FSO 2024 Grant Competition ('Registered Interested Parties') by emailing their organisation's name and contact details, including email address, to [uc.futuresupport2024@dwp.gov.uk](mailto:uc.futuresupport2024@dwp.gov.uk).** Please note, as set out at paragraph 4 of this FSO 2024 Grant Competition Specification, Registered Interested Parties will be required to sign a non-disclosure agreement in order for the Employee Data to be released to them.

- 5.4 See “**Table 1 – Proposed Competition Timetable and Administrative Arrangements**” below:

**TABLE 1 - PROPOSED COMPETITION TIMETABLE AND ADMINISTRATIVE ARRANGEMENTS**

Publish FSO 2024 Grant Competition (Documents listed in paragraph 2.3)	19 June 2023
Date by which to register as a Registered Interested Party	11:59pm 30 June 2023
Deadline for Clarification Questions from Registered Interested Parties	11.59pm 14 July 2023
Deadline for responses to Clarification Questions from Registered Interested Parties to be made available to Registered Interested Parties	11.59pm 21 July 2023
Deadline for Application Submissions	11.59pm 28 July 2023
Commencement of Evaluation and Approval Process	31 July 2023
Proposed funding award notification	December 2023
Expected execution (signature) date	January 2024
Expected Commencement Date of FSO 2024 Grant Funding Agreement	1 April 2024

## 6. CLARIFICATION QUESTIONS

- 6.1 Registered Interested Parties may seek clarification regarding any aspect of this FSO 2024 Grant Competition at any time prior to the Deadline for Clarification Questions from Registered Interested Parties.
- 6.2 The Authority will look to respond to Clarification Questions at the earliest opportunity, and no later than the date set out in the proposed timetable at “**Table 1 – Proposed Competition Timetable and Administrative Arrangements**” at paragraph 5.4. **In order to submit Clarification Questions and receive Authority responses to Clarification Questions, you must become a Registered Interested Party, as per paragraph 5.3 above.** We will maintain an anonymised Clarification Questions log, and regularly issue updates to Registered Interested Parties.
- 6.3 To ensure that all Applicants have equal access to information regarding this FSO 2024 Grant Competition, the Authority will e-mail all Registered Interested Parties with its responses to Clarification Questions raised, on an anonymous basis.
- 6.4 Subject always to the Authority’s obligations under FOIA and any other applicable legislation, if a Clarification Question is deemed by an Applicant to be commercially confidential, then the Applicant should clearly indicate as part of their Clarification Question that it believes this to be the case. The Authority will consider this request and may exercise its discretion to keep such information confidential when handling the Clarification Question.
- 6.5 The Authority will not enter into exclusive discussions regarding the requirements of this FSO 2024 Grant Competition with Applicants.
- 6.6 At times, the Authority may issue communications to the email address for the Applicant contact provided in the FSO 2024 Grant Application Form, therefore please ensure that this mailbox is reviewed on a regular basis.

## 7. COST

- 7.1 Applicants are requested to complete and return the FSO 2024 Grant Application Form and the **“FSO 2024 Grant Forecast Expenditure Template”** as part of their Application.
- 7.2 All Applicants (including the Grant Recipient) will be liable for all costs incurred in the preparation and submission of their Application. The Authority will not be liable for these costs and the Grant Recipient cannot use the FSO 2024 Grant funding to cover costs incurred in the preparation and submission of their Application.

## 8. SUBMITTING AN APPLICATION

- 8.1 You must register your interest in submitting an Application for the FSO 2024 Grant Competition by becoming a Registered Interested Party, as per paragraph 5.3 above. Applications will only be accepted from Registered Interested Parties.
- 8.2 The Authority responses to the Clarification Questions will be made available to Applicants who are Registered Interested Parties.
- 8.3 Employee Data will be made available to Registered Interested Parties following request, and subject to prior signature of an NDA.
- 8.4 All Applications must be submitted to [uc.futuresupport2024@dwp.gov.uk](mailto:uc.futuresupport2024@dwp.gov.uk) Applications submitted by any other means will not be accepted.
- 8.5 The Authority must receive all fully completed and final Applications before the Deadline for Application Submissions.
- 8.6 Applications received after the Deadline for Application Submissions may be rejected by the Authority. The decision whether to reject an Application received after the Deadline for Application Submissions is made entirely at the Authority's discretion.
- 8.7 Each Applicant is responsible for ensuring that its Application has been successfully completed and all relevant information submitted to the Authority by the Deadline for Application Submissions. For these purposes, it is recommended that each Applicant allows time for a final check to be undertaken prior to the Deadline for Application Submissions. IT problems affecting the Applicant's own system will **not** be considered reasonable grounds for late submission.
- 8.8 An Applicant may modify and resubmit its Application at any time prior to the Deadline for Application Submissions. Applications cannot be modified by Applicants after the Deadline for Application Submissions.
- 8.9 Applicants must not seek to alter the content or functionality of any Excel spreadsheet, declaration or other response template issued by the Authority, save only for the population of those Application-specific items of information which are specifically required to be included by the Authority in relevant instructions for the FSO 2024 Grant Application Form. Without prejudice to the generality of this requirement and save only to the extent (if any) specifically permitted by the Authority to do so in relevant instructions, Applicants must not insert or otherwise seek to apply any qualifications or assumptions around any of the matters on which responses are required.
- 8.10 An Application (including costs within the **“FSO 2024 Grant Forecast Expenditure Template”**) must remain valid and capable of acceptance by the Authority for a period of 310 days following the Deadline for Application Submissions. An Application with a shorter validity period will be rejected.
- 8.11 The Authority welcomes Applications from consortia/partnerships with details of how they would co-ordinate in order to meet the full FSO 2024 requirements. Please note however that the Authority will only enter into one Grant Funding Agreement, which will be with the lead

member of the consortium/partnership. Consortium/partnership members should then have a consortium/partnership agreement in place between themselves.

## 9. APPLICATION EVALUATION

9.1 Applications will be evaluated in line with the following:

9.2 Applicants who fail any of the mandatory questions contained within the FSO 2024 Grant Application Form will be excluded from the competition.

9.3 All Applications that are not excluded will be scored on the basis set out in this paragraph 9.

9.4. 80% of the total available marks will relate to the Quality Score and the remaining 20% of the total available marks will relate to the Costs Score.

9.5. An Applicant's Quality Score will be produced as follows:

9.5.1 The Authority will produce a non-weighted score for an Applicant's response to each scored question in the Quality Questionnaire on the basis of the marking scheme stated in the question in the Application Form.

9.5.2 The Authority will then produce a weighted score for an Applicant's response to each scored question in the Quality Questionnaire by applying the following formula:

weighted score =

(non-weighted score / 30) x relevant question weighting in table below,

expressed as a percentage

Question in the Quality Questionnaire	Relevant question weighting
5.1 Operating Model	12%
5.2 Telephony and Digital Infrastructure and Service Capabilities	12%
5.3 Approach to Quality	12%
5.4 Customer Satisfaction	12%
5.5 Outcomes	12%
5.6 Partnership Working	5%
5.7 Marketing	5%
5.8 Governance and Financial Management	5%
5.9 Diversity, Equality & Inclusion	2.5%
5.10 Income	2.5%

For example, if an Applicant received a non-weighted score of 18 for its response to question 5.1 (Operating Model), it would receive a weighted score for that question of 7.2%, being:

$(18 / 30) \times 12 \%$ ,

expressed as a percentage.

This is further illustrated in the table below:

Question 1	Operating Model
Weighting	12%
Example Applicant Score	18
Example Applicant Weighted Score	7.2%

9.5.3 the Authority will then add together the weighted scores produced in accordance with paragraph 9.5.2 to produce the Applicant's Quality Score, which is expressed as a percentage.

9.6. An Applicant's Costs Score will be produced as follows:

9.6.1 where the Applicant has submitted the Lowest Total Value Offer, it will receive the maximum Costs Score available i.e. 20%;

9.6.2 where the Applicant has not submitted the Lowest Total Value Offer, its Costs Score will be produced by the Authority applying the following formula:

$$(\text{Lowest Total Value Offer submitted} / \text{Total Value Offer for Applicant being scored}) \times 20\%,$$
  
expressed as a percentage.

9.7. The Authority will add an Applicant's Quality Score to that Applicant's Costs Score to produce an Applicant's Overall Score. This will be rounded to the first decimal point and then the overall score shall be expressed as a percentage.

## 10. GRANT AWARD

10.1. The Applicant that achieves the highest Overall Score will be awarded the FSO 2024 Grant subject to:

10.1.1. paragraph 16 of the FSO 2024 Grant Competition Specification;

10.1.2. completion of the Authority's governance process (which will include Spotlight due diligence checks on the Applicant that achieves the highest Overall Score); and

10.1.3. signing and accepting the conditions in the finalised FSO 2024 Grant Funding Agreement produced by the Authority.

10.2. If two or more of the Applicants obtain the same highest Overall Score, the following process will be applied:

10.2.1. **Step 1** - the Applicant with the highest combined weighted score for question 5.3 (Approach to Quality) and question 5.4 (Customer Satisfaction) in the Quality Questionnaire will be deemed to have achieved the highest Overall Score for the purpose of paragraph 10.1. If more than one Applicant has the same combined weighted score for questions 5.3 (Approach to Quality) and 5.4 (Customer Satisfaction), then Step 2 will apply;

10.2.2. **Step 2** - the Applicant with the highest combined weighted score for question 5.3 (Approach to Quality), question 5.4 (Customer Satisfaction) and question 5.5 (Outcomes) in the Quality Questionnaire will be deemed to have achieved the highest Overall Score for the purpose of paragraph 10.1. If more than one Applicant has the same combined weighted score for questions 5.3 (Approach to Quality), 5.4 (Customer Satisfaction) and 5.5 (Outcomes), then Step 3 will apply;

10.2.3. **Step 3** - the Applicant with the highest combined weighted score for question 5.3 (Approach to Quality), question 5.4 (Customer Satisfaction), question 5.5 (Outcomes) and question 5.6 (Partnership Working) in the Quality Questionnaire will be deemed to have achieved the highest Overall Score for the purpose of paragraph 10.1. If more than one Applicant has the same combined weighted score for questions 5.3 (Approach to Quality), 5.4 (Customer Satisfaction), 5.5 (Outcomes) and 5.6 (Partnership Working), then Step 4 will apply;

10.2.4. **Step 4** - the Applicant with the highest combined weighted score for question 5.3 (Approach to Quality), question 5.4 (Customer Satisfaction), question 5.5 (Outcomes), question 5.2 (Telephony and Digital Infrastructure and Service Capabilities) and question 5.1 (Operating Model) in the Quality Questionnaire will be deemed to have achieved the highest Overall Score for the purpose of paragraph 10.1.

**10.3.** As per paragraph 16, the Authority reserves the right to cancel or vary all or any part of the FSO 2024 Grant Competition including any supporting documentation at any time during the FSO 2024 Grant Competition.

## **PART B – TERMS FOR COMPETING IN THE FSO 2024 GRANT COMPETITION**

### **11. INTRODUCTION**

11.1. The terms for competing in the FSO 2024 Grant Competition as set out in this Part B of the FSO 2024 Grant Competition Specification (“**Terms for Competition**”) regulate the conduct of the Applicants and the Authority throughout the FSO 2024 Grant Competition. These Terms for Competition also grant the Authority specific rights and limit its liability.

11.2. In these Terms for Competition any reference to 'person' includes, but is not limited to, any person, firm, not-for-profit organisation, charity, body or association, corporate or incorporate.

### **12. CONDUCT**

12.1. By participating in the FSO 2024 Grant Competition, an Applicant agrees to abide by these Terms for Competition and any instructions given in this FSO 2024 Grant Competition Specification and agrees to ensure that any of its staff, contractors, subcontractors, consortium members and advisers involved or connected with the FSO 2024 Grant Competition abide by the same.

12.2. The Authority shall exclude Applicant(s) where it transpires that the FSO 2024 Grant is intended to be used for, or the Applicant is convicted for, any criminal activity including but not limited to any one or more of the following:

12.2.1. any offence committed under the Bribery Act 2010 or the common law offence of bribery;

12.2.2. money laundering;

12.2.3. fraud and corruption; and/or

12.2.4. an offence under the Counter Terrorism Act 2008.

### **13. CONTACT AND CANVASSING DURING THE FSO 2024 GRANT COMPETITION**

13.1. Applicants must not directly or indirectly canvass any Minister, public sector employee or agent regarding this FSO 2024 Grant Competition or attempt to procure any information from the same regarding the FSO 2024 Grant Competition (except where expressly permitted by the FSO 2024 Grant Competition Specification). Any attempt to do so may result in an Applicant's disqualification from this FSO 2024 Grant Competition.

### **14. COLLUSIVE BEHAVIOUR**

14.1. Subject to paragraph 14.2 of this Part C below an Applicant must not (and shall ensure that its subcontractors, consortium members, advisors or companies within its group do not):

14.1.1. fix or adjust any element of its Application by agreement or arrangement with any other person;

- 14.1.2. communicate with any person other than the Authority about the value set out in the Application; or information which would enable the precise or approximate value to be calculated by any other person;
- 14.1.3. enter into any agreement or arrangement with any person, so that the person refrains from submitting an Application;
- 14.1.4. share, disclose or permit access to another person to any information relating to its Application (or another Application to which it is party) with any other person;
- 14.1.5. offer or agree to pay, give or does pay, or sums of money, inducement or valuable consideration directly or indirectly to any other person, for doing or having done or causing or having caused to be done in relation to the Application any other Application or proposed Application, any act or omission;
- 14.2. Co-Participants in an Application may share, disclose, or permit access to such information relating to that Application as is necessary to prepare that Application.
- 14.3. If an Applicant breaches paragraph 14.1, the Authority may (without prejudice to any other criminal or civil remedies available to it) disqualify the Applicant from further participation in the FSO 2024 Grant Competition.
- 14.4. The Authority may require an Applicant to put in place any procedures or undertake any such action(s) that the Authority in its sole discretion considers necessary to prevent or curtail any collusive behaviour.

## **15. COMPLIANCE**

- 15.1. In cases where an Application is deemed by the Authority to be non-compliant with the requirements set out within the FSO 2024 Grant Competition Specification the Authority may exclude an Applicant from the FSO 2024 Grant Competition.

## **16. RIGHT TO CANCEL OR VARY THE FSO 2024 GRANT COMPETITION**

- 16.1. The Authority reserves the right:
  - 16.1.1. to amend, clarify, add to or withdraw all or any part of the FSO 2024 Grant Competition documents listed at paragraph 2.3 at any time during the FSO 2024 Competition;
  - 16.1.2. to vary any timetable or deadlines set out in the FSO 2024 Grant Competition Specification;
  - 16.1.3. not to conclude a FSO 2024 Grant Funding Agreement for some or all of the outcomes (as applicable) for which Applications are invited;
  - 16.1.4. to cancel all or part of the FSO 2024 Grant Competition at any stage at any time. This includes, but is not limited to, in the event that the Authority concludes it is not financially viable to continue with the FSO 2024 Grant Competition and award process after receiving Applications from Applicants.
- 16.2. By participating in the FSO 2024 Grant Competition, an Applicant accepts and acknowledges that the Authority is not bound to accept an Application or obliged to conclude an FSO 2024 Grant Funding Agreement with any Applicant at all.

## **PART C – STATEMENT OF REQUIREMENTS**

### **17. INTRODUCTION**

- 17.1. The Authority is responsible for welfare, pensions and child maintenance policy. As the UK's biggest public service department it administers a range of working age, pension age, disability and ill-health benefits to around 23 million citizens.

17.2. The Authority's priorities include:

17.2.1. Improving people's quality of life;

17.2.2. Maximising employment and in-work progression; and

17.2.3. Delivering excellent services for citizens and taxpayers.

17.3. The Authority is seeking to provide the FSO 2024 Grant for activities that deliver a consistent quality of support, across England, Scotland and Wales irrespective of a citizen's location. We are interested in Applications from both:

17.3.1. organisations that could demonstrably offer specialist support where required (this could be on the basis of local reach, issue type, client type, etc.); and co-ordinate with other providers/organisations to meet and deliver the full FSO 2024 requirements; and

17.3.2. organisations that provide national coverage within their own organisation, and/or co-ordinate national coverage through other organisations.

17.4. The Authority is open to hearing about creative and innovative ideas organisations may have to support UC Claimants to make a UC claim and help UC Claimants engage with that support.

## **18. SUMMARY OF GRANT FUNDING**

18.1 The Authority intends to provide the FSO 2024 Grant to an organisation that best meets the requirements and conditions set out in this FSO 2024 Grant Competition Specification. Applications will be assessed by the Authority's panel in accordance with paragraph 9 (Application Evaluation) of this FSO 2024 Grant Competition Specification.

18.2 The FSO 2024 will be a digital and telephony only support offer, and Applicants should note that funding has not yet been agreed. Further detail is provided at paragraph 23 (Funding Caveat).

## **19. FUNDING PERIOD**

19.1 The Grant Recipient will be required to be ready to fully deliver the FSO 2024 starting on 1 April 2024.

19.2 Pursuant to paragraph 3.1 of the Grant Funding Agreement, the FSO 2024 Grant Funding Period starts on 1 April 2024 and end on 31 March 2026, unless terminated in accordance with the Grant Funding Agreement or extended by up to 12 months in accordance with paragraph 3.5 of the Grant Funding Agreement.

11.3. The FSO 2024 Grant cannot be used to pay for any work undertaken prior to countersignature of the FSO 2024 Grant Funding Agreement by the Grant Recipient. If, as a result of, setting up and preparing for delivery of FSO 2024 the Grant Recipient needs to incur any costs after the FSO 2024 Grant Funding Agreement has been entered into by both parties and before the start of the Grant Funding Period they will need to be approved by the Authority and where approved will be permitted to be funded through the first grant instalment payment. Any such costs incurred without prior approval of the Authority are incurred at the Grant Recipient's own risk.

## **20. FUNDING PURPOSE**

20.1 strategic objectives of the FSO 2024 are to:

20.1.1 Provide accessible support through telephony and digital channels (including webchat);

20.1.2 Provide support to a person to make and complete a new claim to UC up to the first full correct payment of UC;

20.1.3 Provide support to a person to help them maintain a new claim to UC by themselves;

20.1.4 Deliver high quality support, such that there is consistent quality of outcomes; and



20.1.5 Identify wider issues such as debt; housing etc. and refer to appropriate support.

## **21. ELIGIBILITY CRITERIA OF APPLICANTS**

- 21.1. To be eligible to apply for FSO 2024, an Applicant must satisfy the following criteria (in the case of a consortium or partnership, each Co-Participant must satisfy the following criteria):
- 21.2. The Applicant organisation must be a UK registered organisation with headquarters in the UK and operating in the UK;
- 21.3. The Applicant must have a UK bank account that has been operational for at least 3 years (ending on the Deadline for Application Submissions);
- 21.4. The Applicant must deliver the Funded Activities under the FSO 2024 on a not-for-profit basis – that is, no profits are to be made by the Grant Recipient as a result of delivering the Funded Activities. The Applicant must be able to evidence this requirement;
- 21.5. The Applicant must currently be registered with the appropriate registration body, and must have been for at least the last 3 years (up to the Deadline for Application Submissions), and have no late and or missing filings with the appropriate registration body Companies House, Charity Commission or the Scottish Charity Regulator as required;
- 21.6. The Applicant must have filed accounts with the appropriate registration body e.g. Companies House, Charity Commission, or the Scottish Charity Regulator, for at least the last 3 years (up to the Deadline for Application Submissions) as required;
- 21.7. The Applicant organisation must not within the last 5 years (ending on the Deadline for Application Submissions) have been: made bankrupt or been the subject of insolvency or winding-up proceedings; had its assets administered by a liquidator or by the court; have been in an arrangement with creditors; had its business activities suspended; or been in any analogous situation;
- 21.8. The Applicant organisation(s) must have other sources of income for the period of the FSO 2024 Grant; and
- 21.9. The Applicant organisation(s) must provide evidence satisfactory, in the view of the Authority, of delivering welfare benefits advice

## **22. SCOPE OF FUNDED ACTIVITIES AND FSO 2024 GRANT FUNDING REQUIREMENTS**

- 22.1. This section sets out the Funded Activities that the Grant Recipient is to carry out (whilst adhering to the provisions of the Grant Funding Agreement) to meet the requirements of the FSO 2024 Grant.
- 22.2. The Grant Recipient is to:
  - 22.2.1. Design and implement support based on the need of UC Claimants at national, local and community based level;
  - 22.2.2. Provide support for UC Claimants to understand eligibility to UC, taking full account of the circumstances of UC Claimants, to help them understand if UC is the right benefit for them, including variations to the rules and regulations across England, Scotland and Wales;
  - 22.2.3. Provide support for UC Claimants to make a new UC claim, either through the on-line UC claim process or the UC non-digital claim process where appropriate, up until their first full correct payment;
  - 22.2.4. Encourage and promote self-service using the UC online channel, whilst demonstrating that the most vulnerable and hardest-to-help UC Claimants who may have more than one issue are fully supported (and referred effectively to other provision);

- 22.2.5. Support UC Claimants to provide the evidence needed to make a new claim to UC;
- 22.2.6. Ensure the support is available to UC Claimants making a new claim to UC from different demographic-based claimant groups including employed/unemployed, those with a disability or health condition, different ages and UC Claimants who have never interacted with the benefits system before;
- 22.2.7. Provide accessible support through telephony and digital channels (including webchat);
- 22.2.8. Support UC Claimants with understanding how UC works;
- 22.2.9. Provide support through telephony and digital channels (including webchat) to eligible UC Claimants who request support from the Grant Recipient irrespective of how a UC Claimant contacts the Grant Recipient;
- 22.2.10. Maximise the FSO 2024 Grant funding to deliver high quality support across England, Scotland and Wales, that demonstrates value for money through vigorous performance management via the collation and monitoring of management information (see paragraphs 26, 27, 28 ,29 and 30);
- 22.2.11. Provide a quality assurance process, using recognised industry standard quality methodologies (or equivalent), and report quality to the Authority (see paragraphs 26, 27, 28, 29 and 30);
- 22.2.12. Provide management information to the Authority which focuses on the quantitative and qualitative FSO 2024 outcomes see paragraph 27 and 28);
- 22.2.13. Provide national coverage across all localities, in England, Scotland and Wales (including capability to support Welsh speaking UC Claimants), with a consistent and high quality of support, irrespective of the location;
- 22.2.14. Seek out opportunities to continuously improve the FSO 2024 design and delivery, generating innovative ideas to maximise the effectiveness of the Funded Activities and will agree their deployment and evaluation with the Authority;
- 22.2.15. Market the Funded Activities across all localities in England, Scotland and Wales, improving its reach into the community by targeted marketing to increase awareness of the FSO 2024;
- 22.2.16. Have a reach in the community beyond the Authority with the ability to reach UC Claimants, including engaging with partner organisations to achieve that;
- 22.2.17. Have a process by which the Authority and other support organisations can refer eligible people to FSO 2024 support, and which tracks the person through their support;
- 22.2.18. Demonstrate and establish effective partnership working and strong links with the ability to co-ordinate with a range of relevant expert organisations providing support and advice in relation to social welfare. This includes organisations providing support with drugs, alcohol, mental and physical health issues and debt advice as well as housing and social care;
- 22.2.19. Establish a relationship with the Authority and each Jobcentre District in England, Scotland and Wales and Jobcentres within those Jobcentre Districts, that enables any operational issues to be escalated and resolved, whether from the Authority or the Grant Recipient, including identifying where UC Claimants need immediate support from the local Jobcentre and having a process in place to offer that support;
- 22.2.20. Provide the necessary technical infrastructure to support their delivery of the FSO 2024;

- 22.2.21. Have business continuity plans to ensure continuity of the FSO 2024 in the event that UC Claimants are unable to access a channel of, or any element of the FSO 2024, including arrangements for reporting service outages to the Authority;
- 22.2.22. Have a system for creating and maintaining client records, including recording client details, contact, referral source and outcome;
- 22.2.23. Provide qualitative and quantitative data and user research to continuously improve the user experience and regularly report a clear set of outcomes to demonstrate benefits (financial and non-financial);
- 22.2.24. Provide and report on Key Performance Indicators (KPI), Performance Indicators (PI) and Management Information (MI) as specified in this Specification at paragraphs 26 (Governance Monitoring and Reporting), 27(Evaluation), 28 (FSO 2024 Outcomes) including **FSO 2024 Table of Outcomes**, 29 (Key Performance Indicators), and 30 (Management Information);
- 22.2.25. Provide telephony access to the offer only via freephone number(s);
- 22.2.26. Offer adviser support (e.g. telephony and digital (including webchat) during normal business hours (09:00 – 17:00 Monday to Friday, and ensure UC Claimants can still access support outside of those hours, e.g. via a webpage;
- 22.2.27. Demonstrate financial competence provide regular and thorough financial reporting; see paragraph 23 (Governance Monitoring and Reporting) for further information;
- 22.2.28. Not facilitate fraudulent claims for UC and/or fraudulent reporting of change(s) in circumstances;
- 22.2.29. Have a sound administration and audit process, including internal financial controls, appropriate to their type of organisation to safeguard against fraud, theft, money laundering, terrorist financing or any other impropriety or mismanagement in connection with the administration of the Grant, including reporting any instances to the Authority. The Grant Recipient shall require that the internal/external auditors report on the adequacy or otherwise of that administration and audit process;
- 22.2.30. Work with the Authority to complete a Fraud Risk Assessment for the FSO 2024 Grant, including regular reviews as required by the Authority;
- 22.2.31. Have accounting and finance controls and processes in place to track and report to the Authority how the FSO 2024 Grant is being spent;
- 22.2.32. Undertake and participate in evaluation of the FSO 2024 as specified by the Authority producing a Mid-Year Evaluation Report and an End-of-Year Project Report, as set out in paragraph 27 (Evaluation of FSO 2024 Delivery);
- 22.2.33. Ensure that all advisers whether paid or voluntary have passed a Disclosure and Barring Service (DBS) check and a full audit of this is maintained and is accessible, and is available to the Authority on request; and
- 22.2.34. Confirm they have a satisfactory child protection policy.

### 22.3. Out of Scope:

For the avoidance of doubt, the Grant Recipient is not to use FSO 2024 grant funding:

- 22.3.1.1.1. to provide face-to-face FSO 2024 support;

22.3.1.1.2. to provide support beyond the first full correct payment of UC;

## 23. FUNDING CAVEAT

- 23.1. There is no guarantee that the Authority will secure the requisite funding for the FSO 2024 Grant and, if it does not, the Authority shall rely on paragraph 16 (Right to Cancel or Vary the FSO 2024 Grant Competition).
- 23.2. If funding for the FSO 2024 Grant is secured, this will initially only be for the period 1 April 2024 to 31 March 2025 (i.e. the first twelve months of the Funding Period).
- 23.3. Funding for the period 1 April 2025 to 31 March 2026 (i.e. the second twelve months of the Funding Period) is subject to the outcome of the next Spending Review. If funding for the period 1 April 2025 to 31 March 2026 is not secured at the Spending Review the Authority will terminate the Grant Funding Agreement in accordance with the provisions of the Grant Funding Agreement.
- 23.4. If the Authority wishes to extend the Funding Period by up to twelve months (i.e. up to 31 March 2027), this will be subject to the outcome of the Spending Review, internal Authority governance approvals and the agreement of the Grant Recipient.

## 24. PROJECT COSTS

- 24.1. The Applicant must present a financial breakdown of their forecast expenditure for the FSO 2024 using “**FSO 2024 Grant Forecast Expenditure Template**”. Any individual costs for capital items over £5,000 will need to be clear and justified. Bulk asset purchases of items which are individually below £2,500, but collectively greater than £5,000 (e.g. Laptops) should be captured and pooled for capital reporting purposes. This information should be submitted at a project and work package level. The Applicant will need to provide an inventory of any capital costs over £5,000 at the end of the FSO 2024 Grant Funding Agreement.
- 24.2. The Authority will require a share in the residual proceeds of any market disposal of assets remaining at the end of the FSO 2024 Grant Funding Agreement, equal to the proportion of the original purchase price funded from the FSO 2024 Grant.
- 24.3. The Authority’s planning assumptions are:
  - 24.3.1. The length of a support session will average around 40 minutes with some UC Claimants needing less time and others needing more time. The Grant Recipient will also need to factor in after-session activity, such as recording details of the contact, follow up contact(s) and capturing any information required for KPIs, PIs and MI. The after-session activity will average around 45 minutes;
  - 24.3.2. Based on historic data, the Authority anticipates that UC Claimants accessing the support may need an average of around 1.7 support sessions per client. As stated, this is a planning assumption of the Authority only and is not to be relied upon by the Grant Recipient who must make its own judgement in this regard based on the needs of each UC Claimant. The Grant Recipient will be expected to provide support to all eligible UC Claimants until they reach first correct UC payment and should ensure this is reflected in their Application;
  - 24.3.3. Based on volumes from a similar previous support offer the Authority’s planning assumption is that approximately 191k UC Claimants may seek support from the Grant Recipient to make a UC claim in the period 1 April 2024 to 31 March 2025 and approximately 161,000 UC Claimants may seek support from the Grant Recipient to make a UC claim in the period 1 April 2025 to 31 March 2026; and
  - 24.3.4. UC Claimant(s) will present with an average of 6.4 questions.
- 24.4. All Applicants must clearly set out a proposal for how much FSO 2024 Grant funding will be drawn down in each financial quarter. Applicants must support this with a detailed budget breakdown.

Forecast costs should be presented using the document “**FSO 2024 Grant Forecast Expenditure Template**”.

**Please note: Applicants’ drawdown requests and budget must align with the Authority financial year, which runs from 1st April to 31st March.**

## **25. ELIGIBLE AND INELIGIBLE EXPENDITURE**

- 25.1. The Authority will only pay the FSO 2024 Grant in respect of expenditure incurred by the Grant Recipient to deliver the Funded Activities (“Eligible Expenditure”) pursuant to paragraph 5 of the Grant Funding Agreement. Please see paragraph 5 of the Grant Funding Agreement for the provisions governing Eligible and Ineligible Expenditure.

## **26. GOVERNANCE, MONITORING AND REPORTING**

- 26.1. The reporting requirements are detailed in the FSO 2024 Grant Funding Agreement and include the following FSO 2024 Grant governance processes and structures that will be in place between the Authority and the Grant Recipient. Any changes made to these processes and structures will be notified to the Grant Recipient.
- 26.2. The Grant Recipient will use all reasonable endeavours to accommodate any changes required by the Authority to its reporting requirements. The Grant Recipient will participate in the following activities with the Authority during the FSO 2024 Funding Period:
  - 26.2.1. Governance Board between the Authority (chair) and the Grant Recipient. The Grant Recipient will provide the Authority with Project Progress Reports for review at the Governance Board. Each Governance Board review may result in the Authority deciding the matters set out in the non-exhaustive list in paragraph 6.3 of the Grant Funding Agreement. The Grant Recipient will present a report focussing on the Grant Recipient’s reporting on the performance of the FSO 2024 and delivery against the agreed outcomes and KPIs it sets for itself. This informs the decision on payment of an FSO 2024 Grant instalment. The frequency of the Governance Board will depend on the payment frequency of the FSO 2024 Grant instalments;
  - 26.2.2. Monthly Operational meeting between the Authority (chair) and the Grant Recipient - to focus on high level delivery of the FSO 2024;
    - 26.2.2.1. Monthly Finance Control meetings between the Authority and the Grant Recipient to scrutinise the Grant Recipient’s actual and forecasted FSO 2024 spend with an explanation of any variations from the baseline agreed with the Authority at the outset of the Grant Funding Agreement or the baseline agreed by the Authority at subsequent governance meetings, whichever is the most recent.
  - 26.2.3. Monthly Control Centre meeting between the Authority (chair), the Grant Recipient to focus on escalated operational issues requiring senior attention (senior operational leaders from the Authority will attend);
  - 26.2.4. Weekly Planning Checkpoint with the Authority (chair) and the Grant Recipient to discuss the FSO 2024 Integrated Delivery Plan;
- 26.3. The Grant Recipient will work with the Authority to develop an FSO 2024 Integrated Delivery Plan.
- 26.4. The Grant Recipient shall provide the following pre go-live outputs as part of the Funded Activities:
  - 26.4.1. A draft Implementation Plan, that it will have submitted as part of its Application Form, showing the products, activities, dependencies, timescales and responsibilities required to successfully deliver the Funded Activities from the expected Commencement Date. Upon award of the FSO 2024 Grant, the draft Implementation Plan shall be agreed with the Authority and finalised in a format stipulated by the Authority. This plan will then form the basis of an Integrated Delivery Plan with the Authority (see paragraph 23.4.3 below). Activities and progress will be monitored and reported at regular checkpoints with the Authority;

- 26.4.2. A Go-live Readiness Report setting out the Grant Recipient's readiness against a set of predefined go-live readiness criteria that will be provided by the Authority. The Authority will provide the template for this report;
  - 26.4.3. The Grant Recipient will work with the Authority to develop a FSO 2024 Integrated Delivery Plan that will set out the products, activities, dependencies, timescales and responsibilities for the delivery of the Funded Activities from the Commencement Date of the FSO 2024 Grant Funding Agreement throughout the duration of the FSO 2024 Funding Period. This will be agreed before the FSO 2024 Funding Period commences and will be refreshed at a minimum quarterly through joint planning meetings between the Authority and the Grant Recipient;
  - 26.4.4. Depending on the payment schedule for the FSO 2024 grant, a claim for the first grant instalment;
  - 26.4.5. Receipt of the appropriate "**FSO 2024 Grant Forecast Expenditure template**" (budget vs forecast) and declaration that no Duplicate Funding has been received;
  - 26.4.6. An agreed plan for monthly finance discussions between the Authority and the Grant Recipient; and
  - 26.4.7. An agreed plan for the Governance Boards that will take place between the Authority and the Grant Recipient during the course of the Grant Funding Agreement.
- 26.5. During the FSO 2024 Funding Period the Grant Recipient will submit the following outputs in accordance with a timeline agreed by the Authority before a decision can be made by the Authority, and subject to the conditions in the FSO 2024 Grant Funding Agreement, on payment of a grant instalment. The following outputs will be in a format, and contain the information, required by the Authority from time to time. The frequency and dates will be determined by the payment frequency of the FSO 2024 Grant instalments.
- 26.5.1. The Project Progress Reports. The structure and format of the Project Progress Reports will be agreed with the Authority and will be a Microsoft PowerPoint document or Adobe PDF document. The following must be contained within the Project Progress Reports:
    - 26.5.1.1. evidence of completion of, or progress made against, the FSO 2024 objectives, including milestones and FSO 2024 Funded Activities agreed with the Grant Recipient and the outcomes as set out in the **FSO 2024 Table of Outcomes** and all data and evaluation outputs as specified in that table;
    - 26.5.1.2. a breakdown of net expenditure to date including relevant supporting documentation if requested;
    - 26.5.1.3. a breakdown of the current financial position of the Funded Activities, including any anticipated changes to the FSO 2024 Grant Forecast Expenditure;
    - 26.5.1.4. if applicable, any change in the nature or scale of the Funded Activities;
    - 26.5.1.5. if applicable, any change in the management or staff structure used for the Funded Activities;
    - 26.5.1.6. if applicable, details of any Assets either acquired or improved using the FSO 2024 Grant; and
  - 26.5.2. Monthly Reports – the following must be contained within the Monthly Reports:
    - 26.5.2.1. Indicative progress against the quality and client satisfaction KPIs;
    - 26.5.2.2. Telephony and digital performance information;
    - 26.5.2.3. Average, longest and shortest time spent with UC Claimants; by Customer/Conditionality Group;
    - 26.5.2.4. Breakdown of UC Claimants supported by gender, age, ethnicity, and having a health condition;
    - 26.5.2.5. Breakdown of UC Claimants supported by income; and
    - 26.5.2.6. Employment status of UC Claimants supported; and

The Monthly Report structure and format will be agreed with the Authority and will take into account the Authority's reasonable requests. The Monthly Report will be a Microsoft PowerPoint document or Adobe PDF document [and will be prepared and delivered each month by the Grant Recipient to the Authority.

26.5.3. Grant Claim and Finance Report - The following must be contained within the Grant Claim and Finance Reports:

- 26.5.3.1. actual expenditure vs forecast to date and forecast expenditure with an explanation of any variations from the baseline agreed with the Authority at the outset of the Grant Funding Agreement or the baseline agreed by the Authority at subsequent governance meetings, whichever is the most recent; and
- 26.5.3.2. the amount of FSO 2024 Grant funding being requested for the payment instalment period.

The Grant Claim and Finance Report template will be a Microsoft Excel document and will be provided by the Authority. The Finance Report will be in the “**FSO 2024 Grant Forecast Expenditure template**” format showing latest actuals vs budget vs forecast along with the amount being requested and a signed declaration by the Finance Director of the Grant Recipient or equivalent on behalf of the head of organisation of the Grant Recipient.

26.5.4. Exit Plan prepared by the Grant Recipient and agreed by the Authority (See Grant Funding Agreement).

## 27. EVALUATION OF FSO 2024 DELIVERY

27.1. The Grant Recipient will need to develop a robust Evaluation Plan in conjunction with the Authority and where applicable, its chosen research partner, and should complete this within 2 months of the Commencement Date of the FSO 2024 Grant Funding Agreement. This plan should focus on measuring the FSO 2024 Outcomes. As part of monitoring and evaluation, robust data must be collected to demonstrate the effectiveness and the sustainability of the FSO 2024 over a period of time. Alongside the Grant Recipient's evaluation, the Authority will conduct an independent evaluation using an external research contractor and/or its own resources.

27.2. Mid-Year Evaluation Report:

27.2.1. In each Funding Year, the Grant Recipient shall submit a Mid-Year Report in accordance with a timeline and format required by the Authority.

27.3. End-of-Year Project Report:

27.3.1. For each Funding Year, the Grant Recipient shall submit an End-of-Year Report after the conclusion of the Funding Year in accordance with a timeline and format required by the Authority. This report should include (in respect of the Funding Year to which it relates):

- 27.3.1.1. a full financial statement detailing the use of the FSO 2024 Grant;
- 27.3.1.2. a discussion of lessons learned and assumptions made in the course of delivering the Funded Activities;
- 27.3.1.3. an overview of any changes made to the Funded Activities from inception to completion, with explanations of why changes were made;
- 27.3.1.4. a summary of progress made towards achieving the agreed outcomes in table 3 at paragraph 25 below;
- 27.3.1.5. a final evaluation of the Funded Activities; and
- 27.3.1.6. any other areas reasonably required by the Authority.

27.4. Ad hoc reporting:

27.4.1. The Grant Recipient will provide to the Authority, in a timely manner, any data collected during the Funding Period that is reasonably requested on an ad hoc basis.

27.4.2. The Grant Recipient will ensure senior executives attend quarterly ministerial meetings to present and report on the progress of Funded Activities, if required by the Authority.

## 28. FSO 2024 OUTCOMES

28.1. The Grant Recipient will deliver the Funded Activities in accordance with the outcomes in the table below. The Grant Recipient shall report on the following outcomes at the frequency set out below:

Outcome description	Frequency of Reporting (annually/quarterly/monthly/ other)
<p>Provide quality FSO 2024 support</p> <p><b>[Note: This outcome will be measured by a key performance indicator(s) to be proposed by the Applicant and agreed by the Authority.]</b></p>	<ul style="list-style-type: none"> <li>Monthly;</li> <li>Quarterly; and</li> <li>Mid-Year Evaluation Report and End-of-Year Project Report</li> </ul>
<p>Providing quality FSO 2024 support</p> <p><b>[Drafting Note: This outcome will be measured by a key performance indicator(s) to be proposed by the Applicant and agreed by the Authority. However, at the minimum the Authority expects the following to be proposed in performance indicators in respect of providing quality FSO 2024 support:]</b></p> <ul style="list-style-type: none"> <li>Number of advisers delivering FSO 2024.</li> </ul>	<ul style="list-style-type: none"> <li>Quarterly</li> </ul>
<p>Providing quality FSO 2024 support</p> <p><b>[Drafting Note: This outcome will be measured by a key performance indicator(s) to be proposed by the Applicant and agreed by the Authority. However, at the minimum the Authority expects the following to be proposed in performance indicators in respect of providing quality FSO 2024 support:]</b></p> <ul style="list-style-type: none"> <li>Regular reporting on telephony performance, broken down by: <ul style="list-style-type: none"> <li>Total number of calls to FSO 2024 Line</li> <li>Number of calls offered to FSO 2024 Line</li> <li>Percentage of calls answered</li> <li>Percentage of calls answered within 20 seconds</li> <li>Average speed of answer</li> <li>Number of abandoned calls (including breakdown by occurrence point).</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Monthly;</li> <li>Quarterly; and</li> <li>Mid-Year Evaluation Report and End-of-Year Project Report</li> </ul>
<p>Demonstrating customer satisfaction with FSO 2024 support</p> <p><b>[Note: This outcome will be measured by a key performance indicator(s) to be proposed by the Applicant and agreed by the Authority. However, at the minimum the Authority expects the following to be proposed in performance indicators in respect of customer satisfaction with FSO 2024 support:]</b></p>	<ul style="list-style-type: none"> <li>Monthly;</li> <li>Quarterly; and</li> <li>Mid-Year Evaluation Report and End-of- Year Project Report</li> </ul>



Outcome description	Frequency of Reporting (annually/quarterly/monthly/ other)
<ul style="list-style-type: none"> <li>Percentage of customers satisfied with FSO 2024 support overall;</li> <li>Percentage of customers satisfied with ease of access to FSO 2024 support; and</li> <li>Percentage of customers who would recommend the FSO 2024 support.</li> </ul>	
<p>Understanding more about overall use of the FSO 2024</p> <p><b>[Note: This outcome will be measured by a key performance indicator(s) to be proposed by the Applicant and agreed by the Authority. However, at the minimum the Authority expects the following to be proposed in performance indicators in respect of understanding more about the overall use of the FSO 2024]:</b></p> <p>Management Information: Number of customers helped, broken down by channel and referral route; and</p> <ul style="list-style-type: none"> <li>Advice area enquiries (level of support/service element) and average number of issues per customer.</li> </ul>	<ul style="list-style-type: none"> <li>4-Weekly;</li> <li>Quarterly; and</li> <li>Mid-Year Evaluation Report and End-of-Year Project Report</li> </ul>
<p>Understanding how specific groups use the FSO 2024</p> <p><b>[Note: This outcome will be measured by a key performance indicator(s) to be proposed by Applicant and agreed by the Authority. However, at the minimum the Authority expects the following to be proposed in performance indicators in respect of understanding how specific groups use the FSO 2024]:</b></p> <ul style="list-style-type: none"> <li>Management Information: Breakdown of profile of customers helped, broken down by age, gender, and ethnicity; and</li> <li>At least one case study which focuses on how the Applicant is helping customers, particularly customers in vulnerable circumstances.</li> </ul>	<ul style="list-style-type: none"> <li>Monthly;</li> <li>Quarterly; and</li> <li>Mid-Year Evaluation Report and End-of-Year Project Report</li> </ul>
<p>Understanding how specific groups use the FSO 2024</p> <p><b>[Drafting Note: This outcome will be measured by a key performance indicator(s) to be proposed by the Applicant and agreed by the Authority. However, at the minimum the Authority expects the following to be proposed in performance indicators in respect of understanding how specific groups use the FSO 2024]:</b></p> <ul style="list-style-type: none"> <li>Speed of support (including average length of contact) broken down by - <ul style="list-style-type: none"> <li>Telephone</li> <li>Webchat</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Monthly;</li> <li>Quarterly; and</li> <li>Mid-Year Evaluation Report and End-of-Year Project Report</li> </ul>

Outcome description	Frequency of Reporting (annually/quarterly/monthly/other)
<ul style="list-style-type: none"> <li>• Other</li> <li>• Post contact work Reported by Customer/Conditionality Group.</li> <li>• All Customers broken down by Conditionality Group.</li> </ul>	
<p>Financial and non-financial benefit of FSO 2024 support and advice</p> <p><b>[Drafting Note: This outcome will be measured by a key performance indicator(s) to be proposed by the Applicant and agreed by the Authority. However, at the minimum the Authority expects the following to be proposed in performance indicators in respect of financial and non-financial benefit of FSO 2024 support and advice]:</b></p> <ul style="list-style-type: none"> <li>• financial gain for customers, with clear demonstration of link to the FSO 2024; and</li> <li>• non-financial benefits for customers with clear demonstration of link to the FSO 2024.</li> </ul>	<ul style="list-style-type: none"> <li>• Quarterly; and</li> <li>• Mid-Year Evaluation Report and End-of-Year Project Report</li> </ul>
<p>Value and benefit to society of FSO 2024 support</p> <p><b>[Drafting Note: This outcome will be measured by a key performance indicator(s) to be proposed by the Applicant and agreed by the Authority. However, at the minimum the Authority expects the following to be proposed in performance indicators in respect of value and benefit to society of FSO 2024]:</b></p> <ul style="list-style-type: none"> <li>• Regular reporting on the value and benefit to society of the FSO 2024 support provided.</li> </ul>	<ul style="list-style-type: none"> <li>• Mid-Year Evaluation Report and End-of-Year Project Report</li> </ul>

- 28.2. Applicants to note that all measures to demonstrate each Outcome set out under **FSO 2024 Table of Outcomes** above (including the measures proposed by the Applicant) shall be populated, finalised and included in Grant Funding Agreement on the award of the FSO 2024 Grant.

## 29. FSO 2024 KEY PERFORMANCE INDICATORS (“KPI”)

- 29.1. Performance and quality will be measured through the use of KPIs covering quality and Customer Satisfaction and through the reporting of additional Performance Indicators. These will be reported as per **FSO 2024 Table of Outcomes** at paragraph 28.1 above, and at the frequency specified in the same table.
- 29.2. The quality KPI will form part of the FSO 2024 Grant payment decision process (see the FSO 2024 Grant Funding Agreement).
- 29.3. The Customer Satisfaction KPI will form part of the FSO 2024 Grant payment decision process (see the FSO 2024 Grant Funding Agreement).

### 30. MANAGEMENT INFORMATION

30.1. The Grant Recipient will provide the following information, in addition to that set out in **FSO 2024 Table of Outcomes**, about the Funded Activities to the Authority as required:

30.1.1. Case studies focused on how the Grant Recipient is helping those from particularly 'vulnerable' from groups protected by the 2010 Equalities Act'

30.1.2. Maps broken down by area with data including:

- 30.1.2.1. numbers of UC Claimants supported;
- 30.1.2.2. top issues that UC Claimant(s) present with in making their UC claim; and
- 30.1.2.3. profile breakdown of UC Claimant(s) supported e.g. demographic, characteristics.

30.1.3. In year data-dive, including:

- 30.1.3.1. understanding demand, looking into unmet demand and whether we can understand this better;
- 30.1.3.2. optimising delivery models, looking into routes into for UC Claimants to access Funded Activities, such as comparing urban and rural locations, and the Customer journey leading up to them making their UC claim; and
- 30.1.3.3. meeting different needs – understanding different needs for differing groups, particularly the most vulnerable, and the needs of different Conditionality Groups.

30.1.4. The Grant Recipient will provide, in addition to the information required under this Annex 6, information on people who are invited to move from legacy benefits to Universal Credit separately for areas set out by the Authority. For example:

- 30.1.4.1. Numbers of UC Claimants supported; and
- 30.1.4.2. Meeting different needs – understanding different needs for differing groups, particularly the most vulnerable, and the needs of different Conditionality Groups.