# The Social Inclusion and Community Activation Programme (SICAP) 2018-2022

# Guide for Local Community Development Committees (LCDCs) for 2020 Annual Planning

This document sets out a guide to preparing and approving the 2020 Annual Plan, and associated timelines. The information outlined is based on the funding agreement and the SICAP Programme Requirements, with additional information and clarifications where necessary. Sections 7 (Annual Planning and Performance Reviews) and Section 8 (Financial Requirements) of the SICAP Programme Requirements provide further detail to support this process. The **Guidance on Annual Plan** document, (See appendix 2), provides further detail on what should be contained in a good quality plan.

## The SICAP Annual Plan

Local Development Companies are required to submit a SICAP annual plan to the LCDC, setting out their proposed SICAP plan for the coming year. The annual planning process provides LDCs with an opportunity to reflect on their work and identify emerging trends to be addressed in the Lot area. The annual plan outlines the proposed actions for the following year and the targets and outcomes that will be achieved as a result, and includes costings. The three horizontal themes of the programme (Equality, Community Development and Collaboration), must be incorporated into the planning process. The role of the LCDC is to review and approve the annual plan and assess it to ensure it is in line with local priorities and with the SICAP Programme Requirements.

## Budgetary Changes 2020

Following the recent Department communication on potential budgetary changes for 2020, the following outlines the process to apply in reflecting these changes in the 2020 Annual Planning process.

### Underspend Carryover

LDCs can carry over underspends from 2019 into 2020. The maximum amount of underspend to be carried forward is limited to 5% of the 2019 Lot allocation. Any underspend carried forward into 2020 can only be spent on action costs (both salary and non-salary action costs). The maximum threshold for Administration Costs remains at 25% of the annual allocation amount. LDCs are required to base their 2020 Annual Plan on their 2019 Lot allocation, but note in the action detail where they intend to use their estimated carryover underspend in the following year. Note, the Lot annual budget stated on IRIS does not increase to reflect the underspend carryover. This amount will be displayed separately as cash in hand when it becomes known following the completion of the end of year reporting process.

### SICAP Budget potential increase for 2020

The Department is intending to seek an overall increase to the SICAP funding allocation for 2020. While this will not be confirmed until December 2019, this possible increase must be taken into account in the Annual Planning process for 2020. LCDCs and LDCs are required to plan for a potential budget increase and include additional text in the action detail highlighting how the additional budget will be spent. LDCs may also include an additional action, without assigning a budget, but detail the proposed amount and KPIs in the action description. The annual plan overall costs amount must not exceed the annual budget allocation.

**Timeline for uploading and reviewing the Annual Plan 2020**

The timelines and process for uploading and approving the 2020 Annual Plan has been tailored to reflect the potential increase in budgets for 2020, which will not be confirmed until December. The process aims to limit the administration burden on LDCs and LCDCs and the need to engage in a second annual planning process once budgets are confirmed. Note once Annual Plans are approved, LCDCs can move the Annual Plan stage directly from Stage 4. Pobal Reviewed to Stage 6. Approved.

1. The Department will confirm 2020 budgets to LCDCs as soon as possible in December, once Programme budgets have been agreed.

2. LCDCs and LDCs are to apply the baseline recommended minimum and maximum KPI targets for the Programme for 2020 and as per Programme Requirements (Page 41), the LCDC can adjust by 15% either way. Therefore, LCDCs can set the same targets that were in place for 2019 if they wish or set different targets using the 15% flexibility rule. These must be communicated to Pobal by **Friday 11th October 2019**. Pobal will insert these targets into IRIS. Note, if budgets are subsequently increased, then agreed KPI targets will be increased accordingly.

3. LCDCs can select one emerging needs group for their Lot. This can vary each year and is a group that the LCDC wish to see particular engagement with. The LCDC must confirm the emerging needs target group to Pobal by **Friday 11th October 2019.**

4. LCDCs to communicate indicative budgets (based on 2019 budgets), targets, emerging needs group (if applicable), timeframe and process for submission of AP to LDCs by **Friday 11th October 2019**.

5. LDCs submit the Annual Plan on IRIS by **15th November 2019** (LDCs can commence inputting the Annual Plan from 11th October 2019).

6. The submitted Annual Plan should form part of discussions and continue to be reviewed at SICAP sub-committee meetings.

7. The Department will confirm budgets in December and Pobal will input new budget and KPIs (if applicable) and plans will be changed back to Draft.

8. Once budgets and KPI targets are updated on IRIS, LDCs to amend Annual Plans accordingly and move the Annual Plan back to “Submitted” within one week of budget confirmation. In addition, LDCs should email confirmation to LCDCs and Pobal where amendments have been made to the Annual Plan to reflect the budget increase.

9. LCDCs should complete the Annual Plan review Checklist, based on the revised Annual Plan submitted, and feedback any issues to Pobal by **31st January 2020**.

10. Pobal will carry out a high level review and provide feedback to the LCDCs by **5th February 2020.**

11. Final Approval of the Annual Plan (following approval of the 2019 Annual Performance Review ) by **28th February 2020**.

## Preparing the Annual Plan

LDCs and LCDCs should engage with each other and commence the annual planning process in September 2019, giving consideration to previous experience in delivering SICAP in 2019, what has worked well and what has not and emerging trends.

The Annual Plan should

- be informed by the LDCs understanding of the Lot needs from a social inclusion perspective;
- Focus on the needs of SICAP target groups and LCGs;
- Take into consideration other services and schemes already in place in the Lot area and where gaps in provision lie;
- Take into account the views of the LCDC in terms of actions and interventions and any specific target groups or communities requiring additional engagement or supports, in line with the Programme Requirements.

The Annual Planning process provides an opportunity to link SICAP thematic areas and actions with the LECP priorities. LDCs should refer to their SICAP Strategic Plan (as submitted as part of the tender process) and ensure the annual plan continues to reinforce those strategic objectives.

An emerging needs target group can be selected by the LCDC, as a group which the LCDC wishes to see particular engagement with. This group can be included in the Annual Plan and the LDC must identify specific actions to support this group. Please note only one emerging needs target group can be included each year and it is important that the LCDC provide clarity and specific detail where possible on the emerging needs that they have identified. For example if the Homeless have been identified, then the LCDC need to be clear what specific issue within this target group or the gap in services that the LDC need to focus on.

## Drafting and uploading the Annual Plan by the LDC

Pobal will clone the core information on the 2019 Annual Plan on IRIS for 2020, which will allow the majority of the action detail to be carried across - goal, action name and action description.
New actions and initiatives (from those delivered in 2019) can be developed for 2020, based on experiences of delivering SICAP in 2019 and taking into account emerging trends and local priorities identified. Any new actions must be in line with the SICAP Programme Requirements.

The LDC must ensure that:

- The annual plan includes a maximum of 20 actions, with a minimum of 8 allowed - four actions for each of the two Goals;
- Each action must be linked to a thematic area;
- LDCs select relevant outcome(s) expected to be achieved by each action. The LDC must ensure that robust and appropriate outcomes are selected for each action that

will reflect the level of activity and supports for the action (please refer to Section 5 of the SICAP Programme Requirements).

- KPI targets for LCGs and Individuals must be set for each action, where relevant.
- A primary target group for each action is identified, and if applicable, a secondary target group. Where "people living in disadvantaged communities" is named as a primary target group, then the LDC must name the designated disadvantaged areas that the action will target, in the Location field or the action description field.

LDCs must submit an annual plan budget, which outlines the action (direct), and administration (indirect) costs. When preparing the costings for the Annual Plan, the LDC must adhere to the SICAP Programme Requirements (see sections 7 and 8).

The following documents for 2020 must be uploaded to the relevant Sharepoint document folder on IRIS by the LDC:

- Staffing Cost Sheet (Annual Plan folder). If salary costs are expected to change due to the Underspend Carryover and / or the budget increase, then the Staffing Cost Sheet should be submitted once the budgets are confirmed in December 2019.
- List of LDC Staff Members (printed from IRIS) (Annual Plan folder). The LDC must ensure that this list is up to date on IRIS. The names of staff members no longer funded by SICAP should be deactivated. Please refer to the following user guide UG1.4 IRIS User Guide: How to Add New LDC Staff Member Records
- CVs for each new staff member (AP-Staff CVs folder).

The proposed Annual Plan must be approved by the LDC board before submission. The Plan can be input on IRIS and marked as at "Draft Stage", printed and presented to the LDC board for approval. Once the LDC board approves it and all documentation required is on IRIS, the LDC can move the Annual Plan to "Submitted Stage" on IRIS.

The deadline for LDCs to submit their Annual Plan on IRIS is **15th November 2019**.

Please refer to Section 7 of the SICAP Programme Requirements for further detail on the Annual Planning process.

## Review of the Annual Plan by the LCDC

The LCDC is responsible for reviewing and approving the annual plan, and ensuring the following:

- Budgets and KPI targets are as per the agreed Lot budgets and KPIs.
- Action detail is in line with the Programme Requirements and the LECP and local priorities;
- Where an emerging needs group has been identified, they are aligned to specific action(s).
- All costings must be in line with the Programme Requirements;
- Proposed actions must meet KPI targets and match the Lot budget;

The LCDC should ensure that the quality of the Annual Plan is in line with the **Guidance on Annual Plan** document (appendix 2). A suggested Review Checklist for LCDCs (appendix 1) also accompanies this document, and sets out what needs to be reviewed.

The LCDC may contact the LDC to seek clarification or discuss particular points in the plan during the review process. Where necessary, the Annual Plan can be referred back to the LDC for further information/clarification and then resubmitted if it is considered there is a need for further adjustment.

The LCDC may wish to invite the LDC to give a presentation of its proposed Annual Plan when it is uploaded an IRIS, providing an overview of the actions and target groups proposed. This provides the LCDC an opportunity to raise questions directly and discuss the focus of the plan.

Once the LCDC has reviewed the annual plan, any issues identified should be made known to the Pobal Development Coordinator (in advance of the Pobal High Level Review). The Annual Plan Stage should be moved to "LCDC Reviewed".

**Pobal High Level Review**

Pobal will carry out a high-level review on behalf of the Department of Rural and Community Development and will include the following:

- Review of actions to ensure they are in line with the SICAP Programme Requirements;
- KPIs set are in line with agreed Lot targets and targets set at action level will result in their achievement;
- Adherence to financial rules and thresholds.

Once the LCDC has confirmed the outcome of their review to the Pobal Development Coordinator, Pobal will provide feedback to the LCDCs by **5th February 2020**. Any items identified must be addressed by the LDC and confirmed with Pobal. Once this has been completed, Pobal will move the Annual Plan Stage to "Pobal Reviewed".

**Approval of the Annual Plan**

The LCDC must make a decision on the formal approval of the 2020 Annual Plan by **28th February 2020.** The final approval of the Annual Plan is subject to the outcome of the end of year (2019) review process, which will be carried out in Quarter 1 2020.

Once the End of Year (2019) review is completed and satisfactory, the LCDC can formally approve the Annual Plan and move the stage on IRIS to "Approved" and tick "LCDC Formally Approved". The approved plan forms part of the Funding Agreement and must then be inserted into the relevant Schedule in the Agreement. As a result of a Lot budget increase for 2020, LCDCs should revise Schedule A of the Funding Agreement and re-issue on the basis of the 2020 allocation amount.

The Annual Plan may not be approved by the LCDC if aspect of the Annual Plan are not deemed satisfactory. The LCDC should engage promptly with the LDC in the first instance and agree appropriate changes. In these circumstances, immediate engagement with Pobal and DRCD will be required.

**Further information**

If you would like further information on anything outlined here, please contact your Pobal Development Co-ordinator.

## Appendix One

### SICAP 2018- 2022 LCDC Review Checklist for 2020 Annual Plan

Guidance note:

This Review Checklist should be used by the LCDC when assessing each LDCs SICAP 2020 Annual Plan. It is designed to help LCDCs with carrying out the appraisal process and will ensure greater consistency of approach nationally. It covers all the areas that should be included within the assessment. The LCDC should ensure that the Annual Plan has been set to "submitted" on IRIS by the LDC before beginning your appraisal.

The LCDC is responsible for the appraisal and approval of plan. Each LCDC will determine its own process for how to complete this appraisal template. Regardless of what process is used, the responsibility is on the LCDC to ensure that there is transparency and no conflicts of interest.

The checklist includes 5 sections that should all be completed, a Y/N column and space to provide a comment beside each. Under each section there is an overall assessment of satisfactory/not satisfactory one of which should be selected accordingly, and a comment box and space for the LCDC to provide a response or areas for follow up if necessary.

Please refer to the following user guide UG 3.2 SICAP IRIS User Guide How to Review and Approve and Annual Plan

### Annual Plan Review Checklist for LCDCs:

| | |
|---|---|
| **LDC:** | |
| **Lot Name & Number:** | |
| **Lot Budget:** | |

**Section 1: Document Checklist**

| Item | Y/N / N/A & Date Uploaded on IRIS | Comment (if any) |
|---|---|---|
| 1. Staffing Cost Sheet | | |
| 2. List of LDC Staff members | | |
| 3. CVs for each new staff member | | |

**Section 2: Financial check**

The first page of the printed report (or the first sections of the Annual Plan tab on IRIS) shows the headline financial information which should be reviewed below. This is generated by information inputted by the LDC elsewhere in the AP.

| Item | Y/N | Comment (if any) |
|---|---|---|
| The Annual Budget is as per the Lot budget | | |
| The Overall Costs equal the Annual Budget | | |
| Subcontractor costs are not greater than 30% of the annual budget (ticked). | | |
| Total grant costs do not exceed 7.5% of total action costs budget (ticked) | | |
| The % of administration costs not greater than 25% of the annual budget | | |
| Total costs for each goal are between 40% and 60% of the total action costs budget. (Alternative % split between the Goals requires approval from the LCDC) | | |
| The LDC has detailed in the Annual Plan where any underspend carryover will be spent (Action Costs – salary and non - salary only)? | | |
| Do the costs on the Staffing Cost Sheet agree with the salary costs on IRIS for each of the Administration, Goal 1 and Goal 2 salary budget headings? | | |
| **Satisfactory/Not satisfactory:** | | |
| **Comment box:** | | |

**Section 3: Targets**

| Item | Y/N | Comment (if any) |
|---|---|---|
| Are the KPI 1 and KPI 2 targets on IRIS in line with the agreed Lot targets? | | |
| Is the target for % KPI2 in disadvantaged areas in line with the agreed target for the Lot? | | |
| **Satisfactory/Not satisfactory:** | | |
| **Comment box:** | | |

**Section 4: Proposed Actions**

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| Read all the proposed Goal actions and the information on each. There will be a maximum of 20 actions across the plan, with a minimum of 4 actions per goal. The LDC will have given information on each of the actions, including costs, a description, the expected outcomes, the target groups, which LECP objectives it meets etc. Please refer to Appendix 2 **Guidance on Annual Plan** document for guidance on what should be included in the action detail. |

Use your judgement and local knowledge, and your experience of SICAP and the types of actions supported under it, to assess the quality of each action proposed and whether it fits with the programme and priorities for the Lot. There is an appraisal box for each of the 2 goals below to allow you to review the actions under each.

| GOAL 1 | Y/N | Rationale/Comment |
|---|---|---|
| Check there are at least 4 actions under this goal with a maximum of 10. | | |
| Have all fields been completed for the actions and is enough detail given on each action i.e. What, why, where and how? | | |
| Are the actions eligible under SICAP and are they appropriate to the goal? | | |
| Are there any new actions outlined? | | |
| Are the SICAP target groups selected for each action the most appropriate groups for the type of actions outlined? | | |
| Do the proposed actions sufficiently target groups in the Lot and are they prioritising SICAP work in the right areas? | | |
| Where the action has “People living in Disadvantaged Communities” named as the primary target group, does the location field or action description clearly name designated disadvantaged areas? | | |
| Has the LDC satisfactorily demonstrated how any potential budget increase and / or carryover underspend from 2019 will be spent? | | |
| Where an emerging needs target group has been identified for the Lot, has it been selected as a primary or secondary target group for at least one action (if relevant under Goal 1)? | | |
| Where an emerging needs target group has been identified for the Lot, are there actions that will support this group? | | |
| Has a KPI 1 target been assigned to each action (where relevant)? Will the KPI targets set at action level result in the overall KPI targets being achieved? | | |
| Are the thematic outcomes selected for each action relevant and reflective of the level of activity and supports for the actions? | | |
| Are the actions in collaboration with partners and do these appear to be most appropriate partners? Is it clear what the partners role in the action is? | | |
| Have RAPID areas been named, where relevant, to the Lot and action focus? | | |

| | | |
|---|---|---|
| Does each action have at least one LDC staff member assigned to it? | | |
| Do the actions support priority needs and issues emerging from the LECP (if applicable)? | | |
| Are there any gaps in actions proposed that need to be incorporated, or new actions to reflect the LECP and location priorities? If so, name these in comment box below. | | |
| Will the horizontal themes of community development, equality and collaboration be delivered through the proposed actions? | | |
| **Satisfactory/Not satisfactory:** | | |
| Comment:<br>*Provide an overall comments on the quality of the actions under this goal i.e. are the actions a priority for the Lot, are they well structured, realistic and support the priorities of the LECP* | | |
| **GOAL 2** | **Y/N** | **Rationale/Comment** |
| Check there are at least 4 actions under this goal with a maximum of 10. | | |
| Have all fields been completed for the actions and is enough detail given on each action i.e. What, why, where and how? | | |
| Are the actions eligible under SICAP and are they appropriate to the goal? | | |
| Are there any new actions outlined? | | |
| Are the SICAP target groups selected for each action the most appropriate groups for the type of actions outlined? | | |
| Do the proposed actions sufficiently target groups in the Lot and are they prioritising SICAP work in the right areas? | | |
| Where the action has “People living in Disadvantaged Communities” named as the primary target group, does the location field or action description clearly name designated disadvantaged areas? | | |
| Has the LDC satisfactorily demonstrated how any potential budget increase and / or carryover underspend from 2019 will be spent? | | |
| Where an emerging needs target group has been identified for the Lot, has it been selected as a primary or secondary target group for at least one action (if relevant under Goal 2)? | | |
| Where an emerging needs target group has been identified for the Lot, are there actions that will support this group? | | |

| | | |
|---|---|---|
| Has a KPI 2 target been assigned to each action (where relevant)? Will the KPI targets set at action level result in the overall KPI targets being achieved? | | |
| Are the thematic outcomes selected for each action relevant and reflective of the level of activity and supports for the actions? | | |
| Are the actions in collaboration with partners and do these appear to be most appropriate partners? Is it clear what the partners role in the action is? | | |
| Have RAPID areas been named, where relevant, to the Lot and action focus? | | |
| Does each action have at least one LDC staff member assigned to it? | | |
| Do the actions support priority needs and issues emerging from the LECP (if applicable)? | | |
| Are there any gaps in actions proposed that need to be incorporated, or new actions to reflect the LECP and location priorities? If so, name these in comment box below. | | |
| Will the horizontal themes of community development, equality and collaboration be delivered through the proposed actions? | | |
| **Satisfactory/Not satisfactory:** | | |
| Comment:<br>*Provide an overall comments on the quality of the actions under this goal i.e. are the actions a priority for the Lot, are they well structured, realistic and support the priorities of the LECP* | | |

**Section 5: Outcome**

| Item | Y/N |
|---|---|
| Has the 2020 AP been approved? | |
| Comment: | |

**Appendix Two**

# Guidance on Annual Plan SICAP 2018-2022

The SICAP Annual Plan covers a 12 month period and should detail actions to be delivered by the LDCs under both SICAP goals, which link into the monitoring framework as outlined in the programme requirements, and be reflective of the needs of the Lot area. Each annual plan should include a minimum of four actions under each goal so a minimum of eight and a maximum of twenty actions across the Annual Plan. The LDC inputs the annual plan on to IRIS in November each year.

**Targets**- The AP should include agreed overall targets for KPI-1 and KPI-2 and the percentage for working with individuals from disadvantaged areas.

**Budget**- The AP should include the agreed annual budget with administration cost not exceeding 25% of the Lot annual budget and all actions (direct) costs must be divided across as non-salary or salary costs, with an approximate 40%-60% split between both goals in line with programme requirements. Each action within the annual plan should include non-salary costs associated with that specific action under both goals.

Subcontracting should not exceed 30% of the annual Budget and Grants 7.5% of the total action costs budget.

**Actions**-

- Each action should include a target for KPI 1 and 2 (where relevant) under the relevant Goals.
- Each action should indicate which Goal the action is being delivered under and should include, where relevant, non- salary costs related to that specific action.
- If the action is focused on Disadvantaged Communities then named designated disadvantaged communities should be included in the Location field or the Action Description field.
- The LDC should include the following information within the description field for each action:
    - Brief overview of action
    - Details of where the action will be delivered
    - How the action will be delivered including timeframe
    - Rationale for why the action is being delivered, for example a new action based on research or analysis carried out, demonstrating local need within the Lot area. If actions are being carried over from a previous year the LDC need to include a justification for the continuation of the action/support, for example building on work/support undertaken in the previous year, demonstrating progress.
    - Action descriptions should provide details on activities being undertaken with noncaseload as well as any collaborative activities.
    - Action description should also include information on the type of grants/support which may be provided for LCGs/Individuals.
    - Information should be included on the role of the collaborative partners named in the collaborative partner field.

**Target Groups**- primary target groups and, if applicable, secondary target groups should be named for each action in line with SICAP programme beneficiaries and emerging need target groups identified by the LCDC.

**Expected outcomes** each action should include information on the expected outcomes for LCGs/Individuals/collaborative work, which outline what the action hopes to achieve at a local level. It can also include the numbers involved and likely impact on target groups, which may not be reflected in the SICAP monitoring framework indicators. This section can also include the number of noncaseload attending events or the number of workshops being held. Expected outcomes should be realistic and achievable within the timeframe stated.

**SICAP Outcomes**- each action should be linked to a thematic area and SICAP outcome indicator. Additional actions can be split across goals and these actions should include thematic areas and outcomes for both goals.

**Rapid**- If an action will be delivered in a Rapid area, then the relevant Rapid area should be named within the action.

**Collaborative Partners-** names of collaborative partners should be included for each action, where relevant, and these should link directly into the focus of the action and expected outcomes. The role of Collaborative Partners should be stated in the Action Description section.

**LECP objectives-** actions should be linked, where relevant, to the LECP objectives uploaded on to IRIS by the LCDC