The Social Inclusion and Community Activation Programme 2018-2023

Guide for LCDCs to Completing the Mid-Year Review for 2022

What is the mid-year review?

The continued funding of SICAP is subject to positive findings from a mid-year and annual performance review by the LCDC and the KPI targets being met. Two Financial and Monitoring *(Fin & Mon)* reports are submitted annually for each Annual Plan / Lot, at mid-year and end of year.

The SICAP mid-year review assesses your Local Development Company's (LDC) performance at the mid-point of the year. It is an opportunity for each Local Community Development Committee (LCDC) to take stock of the performance of their LDC in delivering SICAP in accordance with the 2022 Annual Plan, SICAP Programme Requirements and the Funding Agreement, prior to the end of year review. It is designed to serve as a catalyst for greater engagement between the LCDC and the LDC and to be a supportive process in the lead up to the end of year review.

As a result of carrying out the mid-year review, LCDCs will have a good understanding of how their LDC is performing and will be able to direct support where needed e.g. support meetings between the LCDC and LDC. The review can also highlight areas of good practice and confirm that sufficient progress is being made and the performance of the LDC has been satisfactory or greater. It would be highly recommended that the monitoring process is also used as a mechanism to give feedback on areas of the work that have progressed really well.

If an LDC is deemed by the LCDC not to have made the expected level of progress, both will enter into a process of engagement. The purpose of this engagement is to identify where the concerns are in terms of meeting targets, the rationale for slow progress and budgets by year-end and to agree a plan of work that will ensure that these will be met. See page 7 of this guidance for more on the engagement steps to be taken if insufficient progress.

This year, the mid-year performance review is taking place in a somewhat altered environment due to a number of different factors such as the one-year extension to the programme till 2023. This follows a mid-programme review in 2021 at lot level where LCDCs and LDCs selected and agreed to address certain lot priorities   for the remainder of the programme. In addition, since March of this year,the Ukranian crisis has unexpectedly evolved leading to the arrival of many Ukranian refugees. SICAP has responded proactively and flexibly with humanitarian assistance and has supported these refugees integrate into local communities and access state supports. This had been an additional challenge for SICAP, in balancing this work with existing SICAP commitments, following the Covid pandemic.

Given the current operating environment, DCRD has agreed there will be an opportunity to revisit SICAP targets for 2022 using the same approach on targets during COVID. Similar to last year this will involve engagement of LCDCs and LDCs at local level, to mutually agree the level of flexibility that is required. A decision on the revision of targets will take place early Q4 , when there will be more clarity

for LCDCs and LDCs on the local environment that SICAP is working in. A guide will be issued later to outline the LCDCs role in reviewing and agreeing changes to 2022 targets, if an under-achievement of targets is projected by the LDC.

This document sets out the process for undertaking the Mid-Year Review under the following headings:

- Purpose
- What to upload onto IRIS?
- Timeline for completing the Mid-Year Review
- The Mid-Year checklist
- Completing the Mid-Year Review
- IRIS data checks
- Outcomes from the Mid-Year Review and Approval Steps

Purpose

- The LCDC is responsible for undertaking the mid-year review. The review allows the LCDC to assess the progress of LDCs almost halfway through the year against what was set out in the SICAP annual plan and budget.
- It provides a snapshot of progress to date in achieving the actions and targets set out in the SICAP annual plan and budget for each Lot.
- It identifies any issues well in advance of the end of year performance review. (For example, if a particular action is not working, engaging with the LDC to identify the steps that can be taken to address the slow progress).
- It provides a mechanism for LDCs to report on and charge VAT costs to the programme.

Documents to be uploaded onto IRIS

The LCDC reviews progress by assessing financial and non-financial information through the Fin & Mon report. As part of submitting the Fin and Mon report, the following documents are printed and uploaded onto IRIS by the LDC:

- A Lot cost charged report (This report must be signed by the LDC)
- The Lot Summary report
- Individual Caseload by Target Group Report
- Action Progress Report
- Goal 1 and Goal 2 Outcome Reports (For Pobal use)

Please refer to Page 2 of the following guide for clarity on which folders IRIS documents should be saved

IRIS User Guide 1.6: How to Upload a Document

Timeline for completing the Mid- Year Review

1. The LDC uploads their Fin & Mon report on IRIS by **Wednesday 15th June 2022**
2. The LCDC reviews the Fin & Mon report and provide feedback to Pobal on any issues identified by **Wednesday 29th June 2022**.
3. Pobal will carry out a high-level review (to ensure compliance with the Programme Requirements) and provide feedback to the LCDCs by **Monday 11th July 2022.**
   The Pobal review will look at the following:
   - Financial review to ensure the spend reported against administration and goal costs are in line with the % agreed in the 2022 annual plan
   - KPI 1 and 2, and % KPI2 for Disadvantaged areas achievement
   - Action Level Performance
4. Fin & Mon reports should be formally approved by the LCDC by **Friday 29th July 2022.**

The Mid-Year Checklist

A checklist has been developed by Pobal to assist LCDCs in completing the mid-year review (see separate Checklist issued with this guidance). It contains a list of items which should be assessed as part of the mid-term review in the Fin & Mon report and additional information, which should be reviewed. Pobal recommends that LCDCs follow the checklist as it compiles in one place all the aspects to be reviewed and provides a space for LCDCs to set out any adjustments deemed necessary in order to fully deliver on the agreed action plan.

Completing the Mid- Year Review

The key tool for completing your review is the Fin & Mon mid-year report on IRIS and this incorporates a review of financial and non-financial information. Refer to the *IRIS User Guide UG 3.5 : How to Review and Approve a Financial & Monitoring Report* which sets out the steps to view and run the following reports: Link here

Please refer to the Pobal website Here for video Tutorials on "How to Submit a Fin and Mon Report" and "How to Review and Approve a Fin and Mon Report".

For additional details on the Mid-Year Review process you can refer to the SICAP Induction Manual for Local Authority LCDC Support staff Here

➢ **Financial Information**:

   Fin & Mon Report
   Lot Cost Charged Report (Signed by the LDC)

➢ **Non-Financial Information**
   KPI Achievements (Fin & Mon Report)
   Lot Summary Report

Individual Caseload by Target Group Report
Action Progress Report
Goal 1 and Goal 2 Outcome Reports (For Pobal use)

As part of the mid –year reporting process, the Lot Cost Charged report, the Lot Summary report, Individual Caseload by Target Group Report**,** Action Progress Report and the Goal 1 and Goal 2 Outcome Reports will be uploaded by the LDC as PDF files to the SharePoint Documents folder "Fin & Mon". **Please ensure that you are reviewing the reports for the period to the 31ˢᵗ May that were provided by the LDC up to the 15ᵗʰ June and uploaded onto IRIS; if you run the reports after this date additional payments and outputs may be included**.

> ➢ **Programme Priorities**

In light of the national programme priorities for 2022/23 announced by the Minister last year and the outcomes of a Mid- Programme Review process at lot level, a statement of priorities was agreed and submitted by each LDC with their 2022 Annual Plan.   The actions in each annual plan provide details of the planned activities and supports with regard to the national priority groups selected for each Lot. Direct supports and outputs can be recorded for each beneficiary type. A narrative on the work carried out to support the Programme priority groups should be included in the "Action Progress Update" section of the action record. LDCs are asked to consider the following in their update:

- What Programme priority groups is the action supporting?
- How are they engaging with these priority groups?
- What are the types of supports and activities being delivered?
- Who have they collaborated with in the delivery of the action?
- Are there any challenges or successes to note at this point?

Pobal developed a User Guide 2.18 which provides guidance on reporting on the Programme Priorities for 2022 and 2023. This was issued by email on 1/4/22. Here is a link to the user guide which is also available on the Pobal website (here)

Review of Financial Information

• **Lot Cost Charged report:**

The Lot Cost Charged Report details costs charged to SICAP and comprises details of costs charged for administration/ direct salary items and Action costs.

The checks to be undertaken are as follows:

- The total amount reported as administration costs must not be in excess of 25% of the total budget and proportionally (for the five-month period under review), should not be in excess

of 10% -12.5% of the total budget, unless a reasonable rationale has been provided by the LDC.

- It is recommended that each goal has a 40% to 60% split of the total action costs. The percentage split of goal costs presented in the annual plan should be adhered to as closely as possible by the LDC. Where the split of goal spend varies by more than 10% from what is contained in the Annual Plan then this deviation needs to be presented to the LCDC and approved by them.
- Check the % of costs reported is in line with the budget on a proportional basis for the five-month reporting period. LCDC's should be on the lookout for items which have a very low level of spend as this may be a warning that the action might not be on track to be completed. Check that there are no potential underspends emerging and note any budgets that the LCDC and the LDC will need to keep an eye on to make sure that there is full spend by year end.
- Check that the maximum grant amount awarded to an individual at this point is no more than €800. Please note that each individual can now be awarded more than one grant per annum, but only to a maximum of €800 cumulatively. (See Dashboard on IRIS)
- Check that the maximum total grants awarded to a Local Community Group (LCG) is €2,500. Please note that each LCG can now be awarded more than one grant per annum, but only to a maximum of €2,500 cumulatively. (See Dashboard on IRIS)
- Check that the maximum total grant awarded to an Enterprise Start Up or Social Enterprise is €2,500 and that no Enterprise Start Up or Social Enterprise has been awarded more than one grant. (See Dashboard on IRIS)
- The LCDC must ensure that all LDC VAT payments have been entered on IRIS.

Review of Non-Financial Information:

The main tools in reviewing Lot level performance of the LDC are as follows:

- Achievement to date of the two KPIs and % KPI2 in disadvantaged areas
- Lot Summary Report
- Individual Caseload by Target Group Report
- Action Progress Report
- Goal 1 and Goal 2 Outcome Reports (For Pobal use)

KPI achievements:

Check to ensure that achievements (actuals) against KPI 1 (the number of local community groups) and KPI 2 (the number of individuals) are reasonable for the reporting period. As no mid-year targets are set, the expected achievement of targets by the end of May is 40%. It would also be useful to check the percentage of goal spend and see if this correlates with the targets achieved so far for KPI 1 and KPI 2.

Check also the achievement against % KPI 2 in disadvantaged areas and ensure it is in line with the target set.

If actuals achieved are low, then a rationale should be sought from the LDC and the LDC must demonstrate how they will achieve targets fully by year-end.

Lot Summary Report:

The Lot Summary Report displays key performance information and allows for a centralised review of IRIS data. It also offers a national comparison, where appropriate. The range of information provided includes the following:

Goal 1:

- Performance against KPI 1, Newly registered LCGs, Average number and duration of interventions, number of grants, total grant amount
- Number of LCGs interventions and number of LCGs interventions by support type
- Percentage of LCGs by Primary and Secondary target group
- Total social enterprise grants, number of social enterprises supported and number of jobs created.

Goal 2:

- Performance against KPI 2, newly registered individuals, average number and duration of interventions, number of grants, total grant amount, % of individuals with barriers to participation.
- Total number of Individual interventions
- Total number of SICAP funded LLL course placements
- Breakdown of individuals living in disadvantaged areas
- Percentage of individual caseload by the type of intervention and output.
- Percentage of children supported by type of activity.

Individual Caseload by Target Group Report

This report provides a breakdown of the individual caseload by target group and national caseload

- Number of individuals on the case load
- Number of individuals by target group
- Percentage of individuals by target group

The LCDC should review both reports within the context of local performance and achievement to date, ensuring that the type of supports and targeting reflects the local priority needs. Where LCDCss have identified an emerging needs target group, the LCDC should review targeting to ensure that the emerging needs group is being supported accordingly.

Action Progress Report

Non-financial information on progress to date within agreed actions can also be found in the action level progress section within each action of the annual plan. This section allows the LDCs to provide a narrative update under each action outlining the level of achievement to date or explaining why no

progress has been made at this stage. The Action Progress Report also provides the opportunity for LDCs to record detail on beneficiaries, progress on agreed lot level priorities and support received that cannot be captured on IRIS.

Goal 1 and Goal 2 Outcome reports:

The Goal 1 and Goal 2 outcome reports provides a snapshot of the LDCs progress against the thematic areas (collectively) selected in the Annual Plan. It demonstrates how many beneficiaries were supported against each of the themes and the type of support provided. This document is of primary use by Pobal in order to report on the national impact of the SICAP Programme. It is not a requirement for the LCDC to utilise this report, but it may be used as a reference point to view outcomes achieved overall at Lot level.

IRIS Data Checks

The following IRIS Data Checks will need to be carried out by the LCDC to ensure quality reporting on IRIS. A number of Dashboards have been setup on IRIS to facilitate identifying gaps on IRIS. See separate guidance note issued with this guidance on viewing these Dashboards:

1. Check where Personal Action Plans have not been completed for individuals. (LCDC Overview Dashboard).

2. Check where Support Plans have not been completed for Local Community Groups. (LCDC Overview Dashboard).

3. IRIS Data Quality

- **Incomplete Registration** where personal data consent has not been ticked.
- **Invalid student type** Individuals who have completed second level education but have been incorrectly registered as 'at risk of early school leaving'. (See Dashboard Guide)

4.   IRIS KPI 2 Caseload Follow-Up

LCDCs should also check the Dashboard "Individual Caseload Management" to ensure that the LDC is carrying out regular individual caseload follow up as follows:

- **Caseload management more than 6 Months since last activity** – To support good caseload management, this identifies the individuals where no contact has been made in over 6 months. Please note the number of individuals on this list and remind LDCs to ensure that individuals no longer receiving support should be exited from the programme – see the date of last intervention column.
- **Caseload Management Long Term Results due** – This identifies individuals who have exited SICAP and where ESF 6 month follow up is required.
- **Follow-up LLL Activity Outcome** – This identifies individuals who have completed a Lifelong-learning course and follow up regarding their course outcome and progression is required.
- **Follow-up Employment Six Months** – This identifies individuals who progressed into employment over 6 months ago and follow up regarding their economic status is required.
- **Follow-up Self-Employment 12 Months** - This identifies individuals who progressed into self-employment over 12 months ago and follow up regarding their economic status is required.

Outcomes from the Mid-Year Review and Approval Steps

Following the review, the LCDC may:

1. Conclude that sufficient progress has been made and they are satisfied with the LDC performance in delivering SICAP.

2. Conclude that performance has not been satisfactory and there has not been an acceptable level of progress, or in any other way is deemed to have fallen short on the annual plan. In this case, the LCDC can request a report from the LDC setting out the reasons for performance issues and putting forward actions to address these. The LCDC and LDC should enter into a process of engagement and the LDC should commit to making changes to how it is delivering SICAP. The LCDC may arrange ongoing meetings with the LDC and/or request additional updates.

Review and Approval Steps:

Step 1: The LDC must submit the Fin & Mon report and upload associated documents on IRIS by **Wednesday 15th June 2022.**

Step 2: The LCDC will commence the review of the Fin and Mon Report on IRIS. The LCDC must confirm with the Pobal Development Coordinator if any issues have been identified as part of the review by **Wednesday 29th June 2022.**

Step 3: Pobal will undertake a high-level review of financial and monitoring information and provide feedback to the LCDCs by **Monday 11th July 2022.**

Step 4: Any issues identified as part of the review process must be communicated to the LDC, with a timeline to address these issues. The LCDC must confirm with Pobal how the LDC addressed items raised by Pobal. Once this is completed, Pobal will tick **"Pobal Verified"** on IRIS.

Step 5: Assuming the LCDC is satisfied with the outcome of the fin and mon report and approves the fin and mon report, the LCDC should move it from "**Submitted**" to "**Approved**" and tick **"LCDC Formally Approved"**. The deadline to have all Fin and Mon reports approved is **Friday 29th July 2022.**

Step 6: If the LCDC is not satisfied by the mid-year performance, then they need to engage promptly with the LDC and identify issues and agree actions to ensure the full delivery of the annual plan by year-end. In these circumstances, immediate engagement with Pobal and DRCD will be required.

Further Information

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