

CHANGEUP PROGRAMME

INFRASTRUCTURE INVESTMENT PLANS

COLLATION AND ANALYSIS OF DATA

REPORT FOR CAPACITY BUILDERS

SECTION 4: APPENDICES

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Third Sector Strategy and Governance

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Collation and analysis of Infrastructure Investment Plans

Report for Capacity Builders

SECTION 4: APPENDICES

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ORIGINAL AIMS OF THE STUDY

Extract from original ACD tender invitation

REQUIREMENT FOR MONITORING AND ANALYSING DATA FOR THE CHANGEUP PROGRAMME

SPECIFICATION

ChangeUp collation and analysis proposal

On 2 February 2006, the Home Office (through the Active Communities Directorate – ACD) invited tenders to develop a paper on the activities and achievements of ChangeUp to date. The paper would be “...*primarily a monitoring paper, a ‘temperature’ check of the programme to date, and ...not a formal evaluation exercise*”.

Background

The ChangeUp framework was published in June 2004 in line with a recommendation of HM Treasury’s 2002 Cross Cutting Review of the Role of the Voluntary and Community Sector in Service Delivery, which recognised that the sector and Government have a mutual interest in building the capacity of voluntary and community organisations. The review made a series of recommendations that aimed to strengthen the support available to voluntary and community organisations.

The aim of ChangeUp is that by 2014 the needs of frontline voluntary and community organisations will be met by support which is:

- available nationwide
- structured for maximum efficiency
- offering excellent provision
- accessible to all
- reflecting and promoting diversity
- sustainably funded.

The government announced an investment of £80m, available until March 2006. In March 2005, the Home Secretary announced a further £70m for the programme for financial years 06/07 and 07/08.

The ChangeUp programme has been delivered through the Home Office and the nine Government Offices for the regions. Grants have been offered to voluntary and community sector organisations to undertake activities to support the achievement of the ChangeUp aim. The March 2005 announcement included plans to set-up a sector-led agency, **Capacity Builders** by April 2006 which would “*take on the challenges to date of ChangeUp and ensure that the step change required in the delivery of support to front line voluntary and community sector organisations is realized*”.

Data on the change up programme is being collected through a range of routes:

- Baseline monitoring forms (completed by every ChangeUp project. Data entry and analysis already in place)
- Quarterly monitoring reports completed by projects – currently being held by Government Offices and the Home Office (c 600 projects)
- Quarterly monitoring forms completed by 9 GOs for the Home Office
- Infrastructure Investment Plans – due to be completed in March 2006 for every region/sub-region in England (expect c 150 plans of c20 pages length)

No formal evaluation has been commissioned for the ChangeUp programme overall to date but most regions have commissioned some evaluation work for their own region. The requirement here is not to undertake a formal evaluation of the ChangeUp programme but to collate and analyse the data currently available on ChangeUp and make an initial assessment of what has been done to date.

Objectives of the Work

To collate data and undertake an analysis of what has been funded and achieved through ChangeUp to date, including:

- a summary of what has been funded to date across the programme;
- an assessment of what has been achieved (recognising it is early days) towards reaching the ChangeUp aim (temperature check).

At regional/sub-regional level

- a review of all infrastructure investment plans particularly identifying what consortia are identifying as key themes/activities/gaps in provision within their plans;
- a commentary on any differences in approaches to ChangeUp funding across the regions and why particular approaches were adopted ie in response to specific regional gaps or building on existing infrastructure models (this should include both projects funded and the mechanisms set up to deliver ChangeUp i.e. consortia) (temperature check);
- examples of some innovative projects/activity funded through ChangeUp (defined as better ie more effective ways of meeting need), written up in a way that provides case studies which can be shared across the programme;
- an assessment of the costs and benefits of partnership working as a mechanism to deliver the programme which potentially supports the delivery of the ChangeUp aim and any illustrative examples of this being a force for change (temperature check);
- learning about the effectiveness of different types of infrastructure that has been generated through ChangeUp (temperature check).

At national level

- a commentary on differences in approach between hubs and why these were particular approaches were adopted (temperature check);
- an assessment of the extent to which national projects have been co-ordinated with each other and the regional/sub regional work (temperature check)
- examples of some innovative projects/activity funded through ChangeUp (defined as better ie more effective ways of meeting need), written up in a way that provides case studies which can be shared across the programme;

Scope of the Work

In scope

- The ChangeUp investment programme and projects and mechanisms funded through the programme (includes early and main spend)

Out of scope

- Any analysis or assessment of wider investment in infrastructure outside of ChangeUp
- Any literature review of the benefit of infrastructure (work on this has been commissioned by the Infrastructure National Partnership)

Issues to be considered

- The need to collate, analyse and assess data from across a diverse programme in a short period of time;
- Gathering views from stakeholders.

Methodology

Prospective contractors were expected to propose an appropriate overall methodology for carrying out the work, adaptable as the work progresses, to include, but not be limited to the following:

- Analysis of written documents e.g. Infrastructure Investment Plans
- Engagement with stakeholders
- Engagement with relevant officials in the Active Communities Directorate
- Engagement with the board of Capacity Builders

Given the short time scale for the project it is expected that the work will fall roughly into two parts: the analysis and collation of data which covers the whole programme, for example analysis of overall spend and the review of infrastructure plans and a more qualitative ‘temperature check’ around a number of areas to understand progress, for example the commentary on different approaches.

Within the scope of work elements which might be approached as a ‘temperature check’ are marked as such. It is envisaged that these items might be tackled through discussions with some regions and stakeholders but that a systematic review of the programme is not expected in these areas.

Phases of Work and Time-scales

Deadlines for delivery of the report will be agreed between the Authority and Contractors but it is expected that the final reports will be no later than end June 2006 (this would require final drafts in early June).

The Contractor should be able to commence work in February 2006.

An early findings/progress report is expected for both reports in late March and will give the Home Office and Capacity Builders board an opportunity to have an early understanding of the direction the work is taking.

Work plan agreed between Capacity Builders and the Good Foundations Consultancy

The Good Foundations Consultancy (GFC), a VCS consultancy based around the work of Nigel Siederer, expressed interest in the work but declined to submit a formal tender. The interest was based on Nigel Siederer's long experience of work with VCS infrastructure and capacity building organisations, and in particular his having directed in the 1980s a predecessor programme of ChangeUp, the Local Development Agencies Fund.

The Consultancy produced an outline plan for carrying out most elements of the work (involving recruitment of a team of analysts), pointing out that the full work envisaged could not be done in the timescale. At the request of the Home Office and Capacity Builders, GFC then produced a plan for work which was reduced in scope and would be done on a slightly longer timescale. This led to agreement between Capacity Builders and the Good Foundations Consultancy that:

- (a) the work should be done between 3 April and 31 July 2006, with an interim oral report to the Capacity Builders Board on 22 June
- (b) a team of consultants should be recruited to share the work as proposed by GFC
- (c) the work should focus on analysis of the local, sub-regional, and regional plans, with a series of structured regional and national interviews
- (d) the HO quarterly reports from the Government Offices would not be analysed
- (e) case studies would not be carried out, but examples for subsequent study and write-up would be collected during the analysis.

Work proceeded to the reduced plan, except that, as noted in the body of the report, some delays were incurred because the full array of plans was not available, and nor was full financial information.

On presentation of the oral report to the Capacity Builders Board on 22 June, GFC was requested to bring forward the final report for presentation to the next Board meeting on 13 July. In order to achieve this, it was agreed not to carry out the national interviews, some of which were in any case likely to duplicate elements of the review of the Hubs that Capacity Builders had commissioned meanwhile.

AIMS OF THE CHANGEUP PROGRAMME AND BREAKDOWN OF FUNDING

ChangeUp is a major Government investment in voluntary and community sector infrastructure, intended to last for ten years – from 2004 to 2014. It flows from the Treasury's 2002 'Cross-Cutting Review' of the sector's role in public service delivery. This recommended strengthening the sector's strategic support, leading to a consultation paper issued in September 2003, draft proposals in April 2004, and the announcement on 9 July 2004 by Home Office Minister Fiona Mactaggart. Several quotations from the launch paper are given in the frontispiece of this report.

ChangeUp was run initially by the Active Communities Directorate with significant delegation to regional Government offices. £8 million has been spent on developing it (including 22 'national exemplar' and other 'early spend' projects announced in February and March 2004, following a launch in December 2003), and £72 million was made available up to March 2006. The £72m had a notional £66m/£16m revenue/capital split, with £5m for 'investment management and evaluation', leaving £67 million for three programmes:

- Embedding quality and improving reach – £33 million
- Modernising infrastructure – £29 million
- Driving up activity in key service areas – £5 million.

Key guidance to Government offices was issued in October 2004.

Defra

Defra's Rural Voluntary and Community Sector and Social Exclusion Programme, which aimed to strengthen the ability of the voluntary and community sector to understand and meet the needs of socially excluded groups in rural areas, worked in conjunction with, and added resources to, the Change Up programme. Just under £7 million was allocated to the Infrastructure Investment programme to develop infrastructure within a rural context, funding specific measures for developing assistance to frontline voluntary and community sector organisations operating within or on behalf of rural communities. This required the formation of consortia of VCS infrastructure organisations with their users and funders. Consortia were tasked with developing infrastructure investment plans (IIPs) for 42 sub-regions. The programme consists of two phases – a preparatory phase that ran from January to Summer 2004, followed by a main investment phase to be completed by the end of March 2006.

An effect of this was that the planning for the Defra-sponsored consortia was several months ahead of that in other areas, causing co-ordination problems, particularly in very mixed regions.

Allocation of funds to regions

The total spend at regional level and below (around £47m) was brought together and allocated according to a range of indices:

- 40% allocated evenly across regions
- 25% in line with indices of multiple deprivation
- 20% in line with population

- 10% weighted for rural lagging
- 5% in line with the number of local authorities in the region

This gave the following overall weightings:

Region	%	Region	%
East	9.6%	South East	10.2%
East Midlands	9.4%	South West	10.9%
London	12.9%	West Midlands	11.6%
North East	8.9%	Yorks & Humber	11.7%
North West	14.7%		

Applying these to the ACU and Defra funds gave the following allocation:

Region	ACU: ChangeUp programmes 2004-06 (K)	<i>of which capital (K)</i>	<i>of which admin (K)</i>	Defra Infra- structure investment (K)	Defra Infra- structure delivery (K)	<i>Total Allocation (K)</i>
East	4,473	1,251	289	637	46.8	5,157
East Midlands	4,389	1,228	283	583	43.0	5,015
London	6,027	1,681	388	-	-	6,027
North East	4,128	1,156	267	266	19.8	4,414
North West	6,857	1,910	441	319	23.4	7,199
South East	4,746	1,327	306	956	70.0	5,772
South West	5,070	1,416	327	743	54.6	5,868
West Midlands	5,414	1,511	349	532	39.0	5,985
Yorks & Humber	5,447	1,520	351	319	23.4	5,789
Total	46,551	13,000	3,001	4,355	320.0	51,226

Within this, Defra's allocation was split across the financial years as follows:

Defra Infrastructure investment main phase	2004/05	2005/06	Total	Delivery/ admin- istration 2004/05	2005/06
East	278	359	637	23.4	23.4
East Midlands	255	328	583	21.5	21.5
North East	116	150	266	9.9	9.9
North West	139	180	319	11.7	11.7
South East	417	539	956	35.0	35.0
South West	324	419	743	27.3	27.3
West Midlands	232	300	532	19.5	19.5
Yorks & Humber	139	180	319	11.7	11.7
Total	1,900	2,455	4,355	160.0	160.0

The Defra funds were not available in London, which is deemed completely urban.

Continuation Fund 2006/07

On 22 March 2005, the Home Secretary announced an additional £70m for the ChangeUp programme for 2006/07 and 2007/08 and plans to set up the Capacity Builders agency by April 2006 to take on fund management of this investment. At least 65% of the funding would continue to go to local and regional ChangeUp activity and that the Capacity Builders agency would be funded from within the money announced. The Capacity Builders board would have discretion over the remainder of the money available for 2006/2007 and the full allocation for 2007/2008. The breakdown of the ChangeUp £35m for 2006/2007 would be roughly as follows:

£15.75m	Local and regional spend determined via Capacity Builders
£7.00m	Local and regional continuation spend
£7.00m	National hub spend
£3.25m	National project spend determined via Capacity Builders
£2.00m	Capacity Builders agency

Allocations to regional offices for 2006/07, applying the same formula as in 2005/06, were therefore as follows:

Region	£K	Region	£K
East	£672.7	South East	£714.7
East Midlands	£658.7	South West	£763.7
London	£903.7	West Midlands	£812.7
North East	£623.7	Yorks & Humber	£819.7
North West	£1,029.7		

These are revenue, not capital.

Further guidance was issued to Government Offices in October 2005. The intention was that proposals should be agreed and submitted by consortia by 19 December 2005, and further funding decisions would be communicated by the Government Offices by 27 January 2006.

Sources

1. *Changeup - Capacity Building and Infrastructure Framework for the Voluntary and Community Sector*, Home Office, June 2004
2. *ChangeUp and Defra Infrastructure Investment Programmes*
Guidance for Government Offices, October 2004
3. *ChangeUp Infrastructure Investment Programme – Continuation Fund 2006/2007*
Guidance for Government Offices, October 2005
4. *Investing in Voluntary and Community Sector Infrastructure*
<http://www.defra.gov.uk/rural/voluntary/default.htm>, 21 July 2005,
modified 16 December 2005

THE TEAM OF ANALYSTS

Nigel Siederer

Principal, Good Foundations Consultancy since 2002 – with past clients including the Big Lottery Fund, Charities Aid Foundation, Citizens Advice Notes Service, Directory of Social Change, Futurebuilders, Home Office, Institute of Fundraising, and various individual foundations and local charities. Previously chief executive, Association of Charitable Foundations (1990-2002), co-ordinator, Local Development Agencies Fund (the predecessor of ChangeUp) (1986-90), trustee of National Council for Voluntary Organisations (1996-2001), and staff member of Lambeth Umbrella Group of advice centres and of London Voluntary Service Council.

Jo Durning

Independent consultant since 2005. Previously senior civil servant: Director, Europe and Better Regulation, Dept of Trade & Industry (2003-05), Community Interest Company project team, DTI (early 2003), Director, Transdepartmental Science and Technology, Office of Science and Technology (1998–2002), Member of Economic and Domestic Secretariat, Cabinet Office (1996–98), Health and Safety Executive, head of International and General Policy branches (1992–96).

Katia Herbst MA PhD

Independent consultant since 1994, offering research and development services to charities and not-for-profit organisations – with current and past clients including a wide range of national charities in the fields of medicine, disability, family policy and welfare, and ageing. Previously Director, Centre for Policy on Ageing (1992-1994), Head of Research Development Division, Royal National Institute for Deaf People (1991), Projects Officer and then Policy Development Officer, Mental Health Foundation (1980-1991). Chairman, Sense: The National Deafblind and Rubella Association (since 2001).

Des Palmer MBE

Independent consultant since 1996 with wide range of commissions from grant-making trusts, companies and voluntary and community organisations, including part-time posts, involving evaluation, grants assessment, fundraising and management issues. Clients include Barrow Cadbury Trust, Bridge House Trust, City Parochial Foundation/Trust for London, Home Office and Volunteering England. Previously Community Affairs Manager at Allied Dunbar (now part of Zurich Financial Services) (1978-96), one of the UK's leading promoters of corporate community involvement, Author: *Monitoring and Evaluation: a practical guide for grant-making trusts* for the Association of Charitable Foundations.

Emma Tait MBA, BA, CQSW

Independent consultant since March 2001. Drafted commissioning strategies for older people for three local authorities: Luton, Essex, Brent. *Voluntary sector clients include:* British Red Cross Society, Hillingdon Assn of Voluntary Services (Developed innovative management development programme for voluntary sector managers – course awarded 'Champions of Learning' by the Learning and Skills Council (2005). Previously

Executive Director, BackCare (National Back Pain Assn) (1998-2001), Head of Service Support and Development, British Red Cross Society (1992–98), Inspector in Dept of Health, Social Services Inspectorate (1990–92). Deputy Director, LB Brent Social Services (1990-92).

Peter Williams

Director, Amida Consulting, with clients including Governance Hub (Research Report – Trustees Learning and support for Chairs, 2005-6), South London CVS Partnership (Creating a Workforce Development Strategy for 2004-05), Futurebuilders UK (Developing a Knowledge Management Framework, 2005), Coram Family (Business development plan 2004-05), various local programmes within Sure Start (since 2000), Hertfordshire Infrastructure Investment Plan Consortium (2004), Fairbridge Programme (National Evaluation 2000-03), facilitating Boards and staff team events, preparing business plans, Previously Director of Advice Services, National Council for Voluntary Organisations (1995-98), Head of Development, Kids Clubs Network (1994-95), London Divisional Manager, Save the Children Fund (1985-90).

Kamila Zahno MA

Director, Zahno Rao Associates. Specialist in regeneration throughout the UK. Assignments include: *Mainstreaming Equality and Diversity in Changeup* (2006), *Forecasting and Trends Analysis of London's Voluntary Sector* (2005), *South London Capacity Checking Framework* (2005), *Race Equality in Employment Standard* (2005), *Regeneration and London's Black and Minority Ethnic Communities* (2004). Previous posts include: Head of Research and Consultancy, Black Training and Enterprise Group (1998-2000), Senior Consultant, CAG Consultants (1990-1998), Head of Policy and Policy Officer, Economic Development Division, London Borough of Southwark (1984-90).