

Annex A: Capacitybuilders objectives and Key Performance Indicators

CAPACITYBUILDERS objectives, targets, time-bound tasks and KPIs for 2006/07				
Capacitybuilders Key Objective	Operational			
What this means	Key tasks	Targets	How is this measured?	Lead Executive
Improve the quality of infrastructure support to VCOs.	Maintain, strengthen and develop the infrastructure that ChangeUp has already established.	Deliver Continuation Fund to 127 existing consortia in a timely and effective manner.	Process 100% of funds to consortia by March 2007. Deliver 98% of consortia payments on time and accurately each quarter.	Programmes Director Resource Director
		Deliver 2006/07 funding to the six Hubs in a timely and effective manner. Hub review to improve current delivery model.	Process 100% of funds to Hubs by March 2007. Deliver 98% of Hubs payments on time and accurately each quarter. Hub report by August 2006. Action plan by October 2006.	Programmes Director Resource Director Chief Executive Chief Executive
		Further improve infrastructure by funding high-priority projects identified by consortia in their IIPs.	Process 95% of funds to high priority projects by March 2007.	Programmes Director
			Deliver 98% of high priority projects payments on time and accurately.	Resource Director
			Write programme definition by end of July 2006. Payments to commence by October 2006.	Programmes Director Resource Director
		Identify other infrastructure that is not part of or associated with existing consortia.	Release programme criteria by end of August 2006.	Programmes Director
			Deliver 98% of high priority projects payments on time and accurately.	Resource Director
			Support at least one national infrastructure.	Programmes Director
			Identify at least one infrastructure per region.	Programmes Director

Capacitybuilders Key Objective	Operational			
What this means	Key tasks	Targets	How is this measured?	Lead Executive
Encourage extra investment in infrastructure through demonstrating its benefits.	Fund studies and activities to identify and understand what works best in infrastructure provision, and how best to improve the quality and effectiveness of services.	Commission studies. Commission or support events or activities. Produce a matrix of areas for investment and sources of additional investment.	Studies commissioned and published. The number of events and activities that take place. Production of matrix.	Programmes Director
	Identify trends and technologies that will influence the future social and economic conditions for the VCS.	Commission research studies or surveys. Produce an action plan for incorporating findings into Capacitybuilders' programme of work.	Studies and surveys commissioned and results published.	Programmes Director
	Quantify the progress and benefits to date of ChangeUp.	Identify the baseline or start point for measurement of progress. Articulate the ChangeUp success criteria for 2014. Have an approved measurement methodology for the success criteria. Produce a report on the benefits of ChangeUp from 2004 to 2006 by March 2007.	Changes introduced to objectives and/or programme of work. Board and Cabinet Office approval for the Nigel Siederer Consultancy Report. Board and Cabinet Office approval for the success criteria delivered in the evaluation report. Board and Cabinet Office approval for the measurement methodology recommended in the evaluation report. Board and Cabinet Office approval for the evaluation report.	Chief Executive

Capacitybuilders Key Objective	Operational			
What this means	Key tasks	Targets	How is this measured?	Lead Executive
Improve the reach of infrastructure services.	<p>Deliver funding for improving infrastructure services within marginalised communities.</p> <p>Develop the understanding and capacity for applications and fund management among marginalised communities.</p>	<p>Develop Capacitybuilders' knowledge of those parts of the VCS that have not yet benefited from ChangeUp.</p> <p>Increase awareness of ChangeUp and Capacitybuilders among non-consortia VCOs and marginalised communities.</p> <p>Design application, payment and monitoring processes.</p> <p>Receive expressions of interest and deliver payments.</p>	<p>Number of new applications.</p> <p>Number of different types of communities benefiting (black and minority ethnic, faith, age, rural etc).</p> <p>Geographical spread of applications.</p> <p>Functional spread of benefits (IT, training, governance etc).</p>	Programmes Director
Spend up to limits contained in the budget allocation letter covering Resource and Capital DEL budgets.	Monthly monitoring to Board, Cabinet Office finance, treasury and Senior Management Team.	Develop and implement Capacitybuilders' reporting and monitoring process by June 2006.	Quarterly statutory account reports and annual accounts.	Resource Director

Capacitybuilders Key Objective	Organisational			
What this means	Key tasks	Targets	How is this measured?	Lead Executive
Develop Capacitybuilders' funding sources.	Delivering a growing proportion of ChangeUp using non-public funds.	Market analysis through research studies, reports and surveys. Produce a database of potential sources of investment. A communications plan for influencing and approaching likely sources of investment.	Studies and surveys commissioned and results published. Declarations of intent from private, charitable and EU sources. Number of approaches made.	Programmes Director
	Deliver a growing amount of funding on behalf of other government departments and agencies, organisations and NDPBs.	Become the third-party fund deliverer of choice for other government departments and agencies, organisations and NDPBs.	Number of other government departments and agencies delivering through Capacitybuilders. Increase in total payments as a result of third- party funds.	Chief Executive

Capacitybuilders Business Objective	Organisational			
What this means	Key tasks	Targets	How is this measured?	Lead Executive
To promote equal opportunities and diversity in Capacitybuilders.	Improve equality and diversity performance monitoring across the organisation.	<p>Review and maintain a comprehensive equality of opportunity and diversity policy in accordance with CRE guidance to focus on staff and service delivery by December 2006.</p> <p>Carry out a diversity audit (age/gender/sexuality/ethnicity/disability/religion) of all HR policies and procedures.</p> <p>Offer all guidance leaflets translated into other languages and formats to comply with the requirements of the Disability Discrimination Act 1995 and the Race Relations Acts.</p> <p>Monitor current agreements set up for arranging interpreters (including deaf signing). Monitor the use of interpreters and translators, and languages required.</p>	<p>Review policy submitted by the end of quarter 2.</p> <p>Board members to attend diversity training by the end of quarter 3.</p> <p>Capacitybuilders staff to receive diversity training by quarter 4.</p> <p>Report to Board in quarter 4. Implementation of plan by quarter 4.</p> <p>Monitor number of translation requests and languages requested. Provide a report to the Board by quarter 4</p> <p>Provide a report to the Board by quarter 4 to raise awareness of diversity of users.</p>	<p>Resource Director</p> <p>Chair</p> <p>Chief Executive</p> <p>Resource Director</p> <p>Communications Manager</p> <p>Communications Manager</p>

Capacitybuilders Business Objective	Organisational			
What this means	Key tasks	Targets	How is this measured?	Lead Executive
To be incorporated as an NDPB.	<p>To become a legal entity.</p> <p>To be able to operate.</p>	<p>Articles of incorporation by 14 February 2006.</p> <p>Bank account opened by 30 March 2006.</p> <p>Procurement authority granted by Cabinet Office by July 2006.</p>	<p>Company registration number.</p> <p>Bank account details.</p> <p>Signed agreement.</p>	Resource Director
To be recognised and credible.	<p>Have a logo.</p> <p>To be an acknowledged lead on relevant VCS matters.</p> <p>To establish brand differentiation from similar organisations such as the Big Lottery Fund and Futurebuilders.</p>	<p>Logo awareness.</p> <p>Established communication channels.</p> <p>Funders' Forum.</p>	<p>Regular surveys showing increasing awareness.</p> <p>Hits on website.</p> <p>Regular newsletters.</p> <p>Quarterly meetings with Regional Offices.</p> <p>Invitations to speak at VCO meetings.</p> <p>Attendance at forum.</p> <p>Reduction in redirected approaches and applications.</p>	Communications Managers

Capacitybuilders Business Objective	Organisational			
What this means	Key tasks	Targets	How is this measured?	Lead Executive
Provide a first-class service to the public, stakeholders and the sponsoring department.	Promote Capacitybuilders as a learning organisation.	<p>Promote and instil a culture where everyone takes responsibility for total quality management, reviewing all activities and recommending improvements.</p> <p>Introduce an annual training programme based on needs identified from the appraisal process and prioritise in line with business needs in a corporate training programme</p> <p>Provide senior management training on objective setting, action planning and equality monitoring.</p> <p>Continuously identify best practice and implement through the Senior Management Team.</p>	<p>Review training needs for appraisal by quarter 3 and implement appropriate action by the end of quarter 4.</p> <p>Devise annual training programme by Q4.</p> <p>Devise training programme by the end of the third quarter and evaluate feedback received on a monthly basis.</p> <p>KPI workshop, October 2006.</p>	Resource Director

	Develop a robust and coherent performance management regime.	<p>Coherent governance structure.</p> <p>Effective risk management throughout Capacitybuilders.</p> <p>Operational continuity/disaster recovery plan in place.</p>	<p>Number of changes implemented and benefits that ensued.</p> <p>Effectiveness of Board and its committees.</p> <p>Regular review of corporate and programme risk registers.</p> <p>Plan approved by Board.</p> <p>Plan tested by March 2007</p>	<p>Chief Executive</p> <p>Resource Director</p>
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Capacity Builders Objective	Financial				
What This Means	Key Tasks	Targets	How is this measured	Lead Executive	
Ensure the appropriate allocation of public funds in meeting the business needs and to consider the effective application of financial resources.	Ensure compliance of accounts direction issued by the Cabinet Office sponsoring team and HM Treasury guidance.	Produce statutory accounts by May 2007 to include applicable elements of Cabinet Office accounts direction and HM Treasury guidance.	Review by external auditions on compliance of accounts direction.	Resource Director	
	Secure economy, efficiency, effectiveness, regularity and propriety.	Implement Internal Audit recommendations by March 2007.	Quarterly monitoring of the Recommendation Action Plan by the Internal Audit Committee.	Resource Director	
		Review all existing contracts for services employed locally to identify central providers by Quarter 4.	Creation and implementation of central service contracts.	Resource Director	
	To consider the allocation of funding in providing financial resources to deliver business objectives.	Ensure expenditure is contained within resources available.		Documentation of tendering processes to demonstrate competitive basis and tenders representing value for money.	Resource Director
			Implement financial controls within Quarter 2.	Resource Director	
	Produce unqualified annual accounts.	Devise and publish year-end timetable by February 2007.	Quarterly monitoring of budgets by the Board.	Resource Director	
	Prepare a budget for the incoming 2007-08 financial year.	Consider financial resources required to meet 2007-08 business objectives.	Internal Audit Inspections and recommendations.	Resource Director	
		Board to approve budget allocation. Submit a draft expenditure plan to the sponsoring department.	Resource Director		

Capacitybuilders Business Objective	Organisational			
What this means	Key tasks	Targets	How is this measured?	Lead Executive
Value and develop our workforce.	<p>Maintain human resource practices, training and development.</p> <p>Promote communication within Capacitybuilders and provide all staff with regular briefings and updates, and the means for broad discussion.</p>	<p>Produce Capacitybuilders staff handbook.</p> <p>Review and monitor employees' information.</p> <p>Regular meetings with all staff to provide briefings, and receive feedback and ideas.</p> <p>Review Capacitybuilders communications strategy.</p> <p>Develop an internal communications policy.</p> <p>Implement initiatives to maintain staff morale and reputation of Capacitybuilders as a good employer.</p>	<p>Published by end of quarter 4.</p> <p>Provide accurate information to the Cabinet Office on diversity of Capacitybuilders employees.</p> <p>Continue to build on dissemination of information through the Capacitybuilders Senior Management Team meetings.</p> <p>Provide regular updates on corporate issues via newsletters and intranet.</p> <p>Conduct staff survey by end of quarter 3 and review action plan by quarter 4.</p> <p>Issue a minimum of four Capacitybuilders newsletters during the year.</p> <p>Involvement in Capacitybuilders activities.</p> <p>Staff turnover.</p> <p>Planned training and development.</p> <p>Corporate away days.</p>	<p>Resource Director</p> <p>Resource Director</p> <p>Chief Executive</p> <p>Communications Manager</p> <p>Communications Manager</p> <p>Communications Manager</p> <p>Resource Director</p> <p>Chief Executive/ Resource Director</p>

Annex B: Risk register

Ser*	Risk no.	Risk	P**	I**	Action	Comment
1	003	If Capacitybuilders does not have funding for more than two years it will not have credibility with stakeholders.			<ol style="list-style-type: none"> 1. Develop Business Plan. 2. Secure funding in SR06. 3. Identify other sources of funding. 	First draft Business Plan being developed alongside strategy.
2	017	If Capacitybuilders has not added value to the sector then it will not have credibility with stakeholders.			<ol style="list-style-type: none"> 1. Evaluation Reports FY06/07 and FY07/08. 2. Benefit Realisation Plan May 07. 3. Research programme 	
3	009	If Capacitybuilders' role is not clearly defined then it will not be seen as an effective body.			<ol style="list-style-type: none"> 1. Need clear strategy. 2. Need to identify markets. 3. Identify and approach partners and competition. 	Board has approached BLF and been briefed by FutureBuilders. Need to develop Working Group.
4	011	If Capacitybuilders does not deliver the bulk of grants in Oct 06 then it will have an underspend resulting in a serious loss of credibility with stakeholders.			<ol style="list-style-type: none"> 1. Produce criteria by mid-May latest. 2. Contract third-party support. 3. Publish assessment criteria. 4. Get agreement to role of RC in regions. 	Criteria with INP for comment.
5	012	If the monitoring system is not robust then Capacitybuilders will not be able to demonstrate that funding has achieved intended objectives.			<ol style="list-style-type: none"> 1. Meet with Performance Hub. 2. Use of RC. 3. Clear criteria for every programme. 4. Make monitoring and performance module part of acceptance. 	Must tie in with Funding Strategy. Consistent with intended outcomes. Is there a baseline?
6	013	If there is no funding strategy then Capacitybuilders may not deliver funds in accordance with Capacitybuilders' strategy.			<ol style="list-style-type: none"> 1. Produce Funding Strategy to Board. 	Approved by Board 23 May 06.
7	014	If there is no early evaluation of ChangeUp then the programme might be cancelled through lack of evidence of its impact.			<ol style="list-style-type: none"> 1. Evaluation funding in budget. 2. Establish baseline. 3. Competitive tender for Evaluation Project in autumn 06. 	Baseline to be delivered by Nigel Sedera Consultancy in July 06. Evaluation contract to be let in autumn 06 (and also in autumn 07).
8	015	If there is no future guaranteed beyond Mar 08,			<ol style="list-style-type: none"> 1. Produce evidence through R&D 	

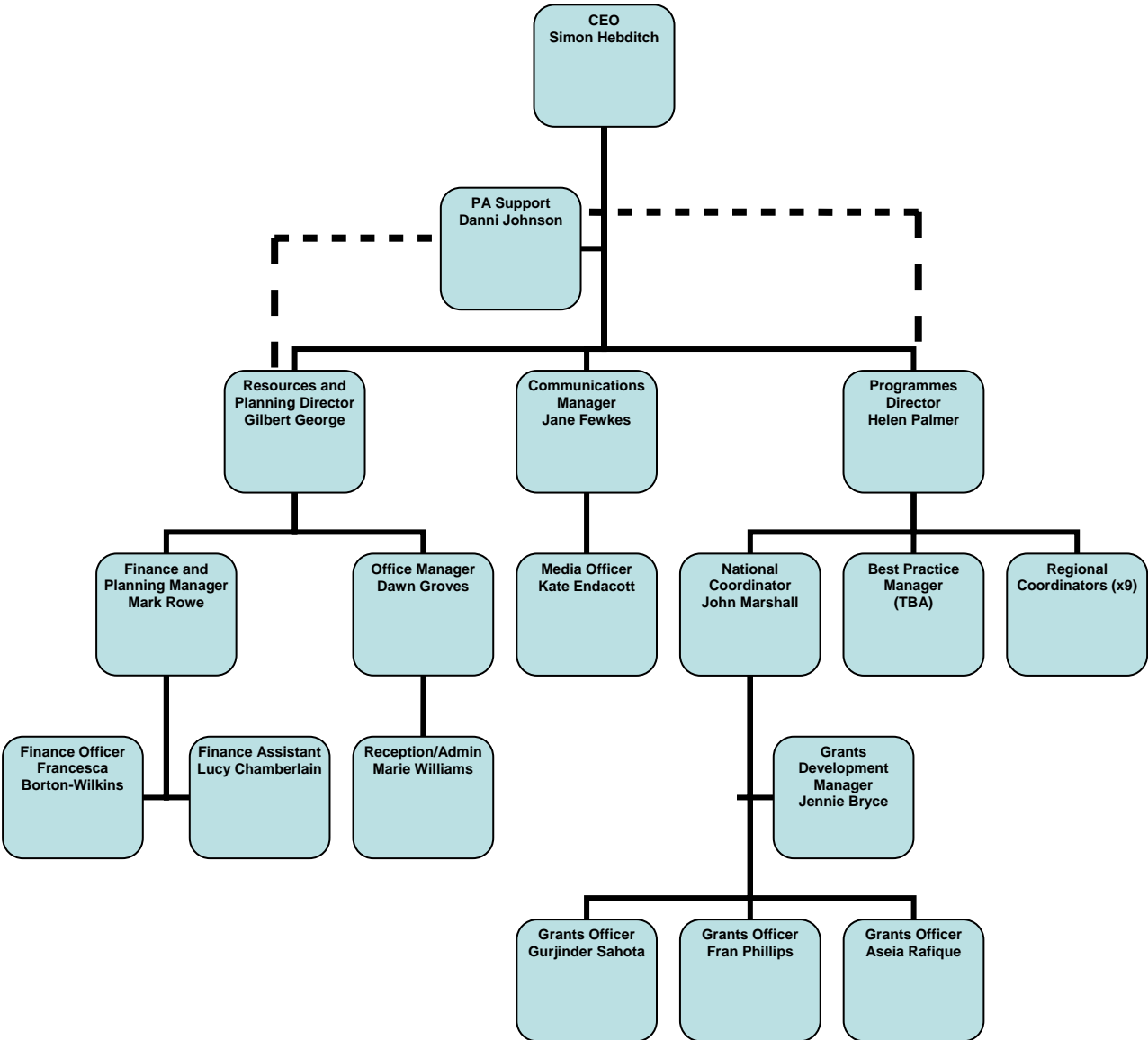
		private funders will be reluctant to invest in the VCS.			programmes. 2. Develop concept and plan by Aug 06. 3. Secure FY08/09 funding	
9	016	If all third-party funding channelled through Capacitybuilders then the exposed total may be subject to pruning.			1. Communications plan needed. 2. Incremental approach. 3. Research potential economies of scale.	

* Serial number. ** P = Probability of risk occurring. I = Impact of risk should it occur

Annex C: Board Directors, Managers and Regional Coordinators

Board	Chair	Chris Pond
	Chief Executive	Simon Hebditch
	Non-executive	Caryl Agard
	Non-executive	Margaret Bolton
	Non-executive	David Harbourne
	Non-executive	Julia Kaufmann
	Non-executive	Roger Singleton
	Non-executive	Margaret Talbot
	Executive	Gilbert George
	Executive	Helen Palmer
Managers	Communications Manager	Jane Fewkes
	Office Manager	Dawn Groves
	National Co-ordinator	John Marshall
	Finance and Planning Manager	Mark Rowe
	Grants Development Manager	Jennie Bryce
	Best Practice Manager	<i>(to be appointed)</i>
Regional Coordinators	East Midlands and East of England	Kally Barot Mike Wilkins
	North East and Yorkshire and Humberside	Sandra Beighton Neil Bennett
	West Midlands and North West	Corrina McHale Mary-Jane Peach
	South West South East	Vernon Samuel <i>(to be appointed)</i>
	London	Jill Walsh

Annex D: Organisation chart



Annex E: National Hubs – details and allocations

Hub name	Address	Chief Executive	Total grant 2006/07 £
Finance Hub	7th Floor, St Andrew's House 18–20 St Andrew Street London EC4A 3AY	Stephen Aingis	1,000,000
Governance Hub	Regent's Wharf 8 All Saints Street London N1 9RL	Ben Kernigan	1,381,000
ICT Hub	Regent's Wharf 8 All Saints Street London N1 9RL	Ben Kernigan	2,388,667
Net Gain Hub	National Rural Enterprise Centre Stoneleigh Park Kenilworth Warwickshire CV8 2RR	David Head (sec)	679,993
Performance Hub	4 Coldbath Square London EC1R 5HL	Colin Nee	1,321,510
Volunteering Hub	New Oxford House 16 Waterloo Street Birmingham B2 5UG	Christopher Spence	1,338,878
Workforce Hub	Regent's Wharf 8 All Saints Street London N1 9RL	Ben Kernigan	1,355,000

9,465,048

Annex F: Alignment with Cabinet Office strategic objectives

CABINET OFFICE			CAPACITYBUILDERS					
STRATEGIC OBJECTIVE	STRATEGIC TARGETS	STRATEGIC ACTIONS	OPERATIONAL OBJECTIVES	KEY OBJECTIVES	2014 AIMS	INTENDED OUTCOMES		
Citizens, communities and the voluntary sector are more fully engaged in tackling social problems and there is more equality of opportunity and respect for all races and religions.	TARGET 6 Increase voluntary and community engagement especially amongst those at risk from social exclusion.	Dismantle Barriers	Continuation Fund	Improve the Quality of VCS Infrastructure	Support Available Nationwide	Structured For Maximum Efficiency		
		Encourage Participation	Hubs					
		Improve VCS Capacity	Consortia Projects					
		Charity Laws Modernised	Non-consortia Infrastructure					
		Promote culture of citizenship	Consortia Projects					
	TARGET 7 Reduce race inequalities and build community cohesion.	Invest in infrastructure	Learning & Development Fund	Extra investment in infrastructure through demonstrating benefits			Ofes Excellent Provision	
		Accountable Public Services	Best Practice Fund					
		Tackle Inequality	Evaluation Programme	Investment in Diverse Organisations				Accessible to All
		Reduce Discrimination	Improved Reach Programme					
		Eradicate racism & extremism	Research Programme	Develop knowledge and Influence				
Promote inclusive citizenship								
Participation by all communities			Sustainably Funded					
				More Efficient VCS Infrastructure				
			Better Effective Delivery of VCS Services					
			Structured For Maximum Efficiency					

Annex G: 2006/07 payment profile

FY06/07 BUDGETED GRANT PAYMENT PROFILE

