



# Regional Network Fund

**Guidance on planning and monitoring  
your grant**

**RNF/G/01**

You can also find all relevant documents at:  
[www.capacitybuilders.org.uk/monitoring](http://www.capacitybuilders.org.uk/monitoring)

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## 1. Introduction

Capacitybuilders, using public funds, supports the overall outcome of the ChangeUp framework, which is that by 2014 the needs of frontline third sector organisations will be met by support which is:

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

Individual funding streams or programmes and the grants awarded within them have been designed to fund specific priorities that will help achieve this overarching outcome.

Having effective systems in place for monitoring progress in achieving outcomes is critical for both grant recipients and funders as it contributes to the evidence base for what works and why. Our new monitoring procedures are designed to support Capacitybuilders' aim to focus on outcomes rather than activities and to be proportionate in our administrative demands on grant holders.

At the beginning of the grant we require you to complete a Workplan (Appendix A - RNF/W/01) that reconfirms the outcomes you expect to achieve with the funding, how they might be measured and some of the possible risks to you being able to achieve the outcomes. It is likely that you will already have most of this information as it will have formed part of the development of your submission. You are also likely to have begun delivery of some aspects of the work. We will require you to provide a Monitoring Report (Appendix B - RNF/M/01) to us **every six months** to tell us about progress towards meeting your outcomes.

This guidance explains our expectations from you, in relation to:

- submitting a Workplan (RNF/W/01)
- forecasting and reporting on your expenditure using the Expenditure Summary (RNF/E/01)
- monitoring the progress of your work using the Monitoring Report template (RNF/M/01)

As a grant recipient of the Regional Network Fund grant you will be required to complete the following reports throughout the life of your grant:

- RNF/W/01 Workplan (Appendix A) *by September 11<sup>th</sup> 2009*
- RNF/M/01 Monitoring Report (Appendix B) *every six months from April 30<sup>th</sup> 2010*
- RNF/E/01 Expenditure Summary (Appendix C) *every quarter from October 31<sup>st</sup> 2009*

These documents are available to download from our website:

[www.capacitybuilders.org.uk/monitoring](http://www.capacitybuilders.org.uk/monitoring)

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In addition to the monitoring documents:

- quarterly/annual monthly face to face performance management meetings will take place (please refer to your offer letter which will state if these will occur quarterly or six monthly, as from project to project this will vary) with Capacitybuilders Regional Manager and your Government Officer Representative. Your Regional Manager will be in touch to arrange these meetings with you.

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## 2. The Workplan

The Regional Network Fund **Programme outcomes** are:

**Outcome 1:** By 2011, regional third sector networks are able to demonstrate influence over regional and national policy affecting the third sector.

**Outcome 2:** By 2011, regional third sector networks are able to demonstrate improvements in their leadership, income diversity, and efficiency.

In the Workplan (RNF/W/01), we ask you to tell us about your intended project outcomes, indicators, milestones and risks. The key questions that underpin our approach are:

- Outcome: what change are you hoping to bring about with this funding?
- Indicator: how will you know that the change has happened?
- Milestone: where do you expect to be and by when in reaching your outcome?
- Risk: what are the main risks to you achieving the outcome?

### *Outcomes*

In your Workplan (RNF/W/01), please reconfirm the programme outcomes you are supporting and the specific (i.e. **project**) outcomes you aim to achieve with your grant ensuring that you clearly explain the change you wish to bring about.

### *Indicators*

Please consider what indicators will tell you whether you have achieved the intended outcome. For example, if a project outcome is to ensure wider representation, especially specialist and sub sectors, the indicator might be the development of a specialist network consisting of specialist organisations / sub sectors to inform the work of the network by a specified date. Indicators should be measurable whenever possible. It is important, where possible, that you provide some indication of baseline information at the beginning of your project to help you provide evidence of what has changed over the life of the grant.

### *Milestones*

We expect you to have a detailed delivery plan, but we do not require you to submit this to us. We do however wish to know about key milestones that will indicate progress over time towards your outcome. These should be triggers that help you to consider if you are on track to achieve the outcome, or if there are things that you need to do differently to help you get there. As a general guide, between 2- 4 milestones will usually be sufficient for each outcome.

### *Risks*

We would like you to consider the main risks to you achieving your outcomes and how you might address them. This exercise is useful in ensuring that you have planned realistically to minimise the things that could adversely affect your ability to deliver the outcomes. For example, if a key risk is the lack of capacity of frontline organisations to participate in training, the delivery plan should include a task to identify the particular barriers to participation and ways of addressing them (e.g. location, frequency and timing of training events).

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### 3. The initial financial forecast and ongoing financial reporting

Within the Workplan (RNF/W/01) we require you to complete a financial forecast estimating the expenditure pattern during the life of the grant.

We will also ask you to provide us with a **quarterly** Expenditure Summary (RNF/E/01 - see example in Appendix C) from 31<sup>st</sup> October 2009.

### 4. Paying your grant

HM Treasury rules stipulate that Capacitybuilders funding must be accounted for within the financial year (April 1<sup>st</sup> – March 31<sup>st</sup>). Your grant will usually be paid in quarterly instalments subject to you meeting the terms and conditions of your grant.

Your offer letter set out details about claiming your initial payment.

For subsequent quarters, we will usually issue grant payments in advance, and automatically, based on the information you provide in your regular expenditure summaries. We will review progress throughout the course of the grant and may contact you at any point for additional information or clarification prior to issuing a quarterly payment.

At the end of the grant, you will be asked to deliver a final report on the delivery of your outcomes and expenditure over the lifetime of the grant.

**It is very important that you complete all documentation fully and on time. Failure to do so may result in delays to your grant payments or a reduction in the overall amount of your grant.**

Table A – overleaf - summarises the key documents you are required to submit in each quarter.



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## 5. Monitoring your grant

Your **six-monthly** Monitoring Report (RNF/M/01) will focus on the outcomes your grant aims to achieve and should tell us about your progress towards meeting them. If you are not on track, we will ask you to tell us what the issues are and what you are doing to tackle them. The approach is intended to be a useful review exercise for you, without being unduly burdensome. Please be as honest as possible – if you are not making as much progress as you anticipated, it is helpful to reflect on the reasons, as this contributes to the overall learning about what interventions work and why. The key questions are:

- Are we going in the right direction towards achieving the outcomes?
- Are we where we want to be at this point?
- Do we need to do things differently (e.g. more / fewer / different activities)?

### *Verification visits*

As part of our monitoring process, we identify a number of grant recipients each year to receive a verification visit, to discuss the grant in more depth. These visits will be scheduled in advance and at a time when all key members of staff will be available.

An example of the Monitoring Report (RNF/M/01) template is provided in Appendix B.

## Appendix A: The Workplan (RNF/W/01)

**Your Workplan:** This is an example of the Workplan we would like you to submit to us. A blank template is provided separately, and is available to download from [www.capacitybuilders.org.uk/monitoring](http://www.capacitybuilders.org.uk/monitoring)

<b>Programme</b>	Regional Network Fund
<b>Organisation name</b>	
<b>Consortium name</b>	
<b>URN</b>	
<b>Contact name</b>	
<b>Position</b>	
<b>Date completed</b>	

Complete the following for both **programme outcomes** (copy and paste the tables as required). Your project will be contributing to both of these outcomes.

<b>Programme Outcomes</b>	<p><b>Outcome 1:</b> By 2011, regional third sector networks are able to demonstrate influence over regional and national policy affecting the third sector.</p> <p><b>Outcome 2:</b> By 2011, regional third sector networks are able to demonstrate improvements in their leadership, income diversity, and efficiency.</p>
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**Part one: Outcomes**

**Programme Outcome 1:** By 2011, regional third sector networks are able to demonstrate influence over regional and national policy affecting the third sector.

(These are the **3 areas of regional policy** that you wish to influence as agreed in your final submission)

**Project Outcome 1: 1<sup>st</sup> area of regional policy influence**

(what is the change you wish to bring about?). You may have provided this information in your application.

<Enter text here>

**Indicators** (what will tell you that the change has happened?) Please make these measurable if possible.

<Enter text here>

**Milestones that will indicate progress towards the project outcome** (with dates where possible). You may have provided this information with your application, but you may wish to update / modify it.

<Enter text here>

**Risks to achieving this outcome and how you will address them**

<Enter text here>

**Programme Outcome 1:** By 2011, regional third sector networks are able to demonstrate influence over regional and national policy affecting the third sector

(These are the **3 areas of regional policy** that you wish to influence as agreed in your final submission)

**Project Outcome 1: 2nd area of regional policy influence**

(what is the change you wish to bring about?). You may have provided this information in your application.

<Enter text here>

**Indicators** (what will tell you that the change has happened?) Please make these measurable if possible.

<Enter text here>

**Milestones that will indicate progress towards the project outcome** (with dates where possible). You may have provided this information with your application, but you may wish to update / modify it.

<Enter text here>

**Risks to achieving this outcome and how you will address them**

<Enter text here>

**Programme Outcome 1:** By 2011, regional third sector networks are able to demonstrate influence over regional and national policy affecting the third sector

(These are the **3 areas of regional policy** that you wish to influence as agreed in your final submission)

**Project Outcome 1: 3<sup>rd</sup> area of regional policy influence**

(what is the change you wish to bring about?). You may have provided this information in your application.

<Enter text here>

**Indicators** (what will tell you that the change has happened?) Please make these measurable if possible.

<Enter text here>

**Milestones that will indicate progress towards the project outcome** (with dates where possible). You may have provided this information with your application, but you may wish to update / modify it.

<Enter text here>

**Risks to achieving this outcome and how you will address them**

<Enter text here>

**Programme Outcome 1:** By 2011, regional third sector networks are able to demonstrate influence over regional and national policy affecting the third sector

(These are the **3 regional organisations** that you wish to influence as agreed in your final submission)

**Project Outcome 1: 1st organisation to be influenced**

(what is the change you wish to bring about?). You may have provided this information in your application.

<Enter text here>

**Indicators** (what will tell you that the change has happened?) Please make these measurable if possible.

<Enter text here>

**Milestones that will indicate progress towards the project outcome** (with dates where possible). You may have provided this information with your application, but you may wish to update / modify it.

<Enter text here>

**Risks to achieving this outcome and how you will address them**

<Enter text here>

**Programme Outcome 1:** By 2011, regional third sector networks are able to demonstrate influence over regional and national policy affecting the third sector

(These are the **3 regional organisations** that you wish to influence as agreed in your final submission)

**Project Outcome 1: 2nd organisation to be influenced**

(what is the change you wish to bring about?). You may have provided this information in your application.

<Enter text here>

**Indicators** (what will tell you that the change has happened?) Please make these measurable if possible.

<Enter text here>

**Milestones that will indicate progress towards the project outcome** (with dates where possible). You may have provided this information with your application, but you may wish to update / modify it.

<Enter text here>

**Risks to achieving this outcome and how you will address them**

<Enter text here>

**Programme Outcome 1:** By 2011, regional third sector networks are able to demonstrate influence over regional and national policy affecting the third sector

(These are the **3 regional organisations** that you wish to influence as agreed in your final submission)

**Project Outcome 1: 3<sup>rd</sup> organisation to be influenced**

(what is the change you wish to bring about?). You may have provided this information in your application.

<Enter text here>

**Indicators** (what will tell you that the change has happened?) Please make these measurable if possible.

<Enter text here>

**Milestones that will indicate progress towards the project outcome** (with dates where possible). You may have provided this information with your application, but you may wish to update / modify it.

<Enter text here>

**Risks to achieving this outcome and how you will address them**

<Enter text here>

**Programme Outcome 2:** By 2011, regional third sector networks are able to demonstrate improvements in their leadership, income diversity, and efficiency (please copy and paste additional tables as appropriate)

**Project Outcome 2** (what is the change you wish to bring about?). You may have provided this information in your application.

<Enter text here>

**Indicators** (what will tell you that the change has happened?) Please make these measurable if possible.

<Enter text here>

**Milestones that will indicate progress towards the project outcome** (with dates where possible). You may have provided this information with your application, but you may wish to update / modify it.

<Enter text here>

**Risks to achieving this outcome and how you will address them**

<Enter text here>

**Part two: Financial forecast**

HM Treasury rules stipulate that Capacitybuilders' funding must be accounted for within the financial year April – March. Please complete the following table estimating how your budget will be spent over the life of the grant. Please estimate the first year's expenditure by quarter.

Expenditure Headings	Year 1		Year 1	Year 2	Total Grant Y1 + Y2
	Q3 Oct-Dec 2009 (c)	Q4 Jan-Mar 2010 (d)	Total (c) + (d)	Total April 2010-March 2011	
Project delivery activity					
Communication & marketing					
Commissioned work					
Staffing & associated costs					
<b>Total Project Specific (a)</b>					
Management Costs					
Office/premises costs					
<b>Total Administration (b)</b>					
<b>Total (a + b)</b>					

**Note:**

The annual profile should not exceed the grant amount as stated in your offer letter. Please only use this forecast to report on Capacitybuilders' funding.

## Appendix B: The Monitoring Report (RNF/M/01)

This is an example of the Monitoring Report that we will send to you for completion at **six-monthly** intervals during the life of your grant. The first report is due in April 2010, covering progress during Year One of your grant.

*A blank template is provided separately, and is available to download from [www.capacitybuilders.org.uk/monitoring](http://www.capacitybuilders.org.uk/monitoring)*

### Part one

<b>Programme</b>	Regional Network Fund
<b>Organisation name</b>	
<b>Project name</b> (if applicable)	
<b>URN</b>	
<b>Contact name</b>	
<b>Position</b>	
<b>Date completed</b>	
<b>Project year (1/2)</b>	
<b>This report covers period</b>	dd/mm/yyyy to dd/mm/yyyy

### Part two

Your **six-monthly** Monitoring Report (RNF/M/01) focuses on the outcomes you set out in your Workplan (RNF/W/01) and asks you to tell us about your progress towards meeting them. If you are not on track, we ask you to tell us what the issues are and what you are doing to tackle them. The approach is intended to be a useful review exercise for you without being unduly administratively onerous.

Please be as honest as possible – if you are not making as much progress as you anticipated, it is helpful to reflect on the reasons as this contributes learning for you and for us about what interventions work and why. The key questions to consider when completing this monitoring exercise are:

- Are we going in the right direction towards achieving the outcomes?
- How do we know (what is the evidence)?
- Are we where we want to be at this point?
- Do we need to do things differently (e.g. more / fewer / different activities)?

Please copy the tables below and complete for **all project outcomes** as appropriate.

<b>Programme Outcome 1</b>	By 2011, regional third sector networks are able to demonstrate influence over regional and national policy affecting the third sector <b>Regional Policy:</b>
<b>Project Outcome 1</b>	<Enter text here>
<b>Indicator(s)</b>	<Enter text here>
Please summarise your progress against this outcome in one of the following three classifications:	
<b>Very good progress:</b> no remedial action is required	Evidence: <Enter text here>
<b>Good progress:</b> some remedial action is required.	Evidence: <Enter text here>  What action are you taking to improve the chances of meeting this outcome (e.g. what needs to be done differently)? <Enter text here>
<b>Only moderate progress:</b> meeting outcome will be difficult / may not be achievable	Evidence: <Enter text here>  What action are you taking to improve the chances of meeting this outcome (e.g. what needs to be done differently)? <Enter text here>
<b>Risk</b> In your Workplan (RNF/W/01), you identified key risks. Are there any new risks to you achieving this outcome? <Enter text here>	
<b>Learning</b> Please tell us about any learning points (e.g. any interventions you have learned work better than others, or general learning that might be useful for other grant holders) <Enter text here>	
Is there any other information you wish to tell us about your progress? <Enter text here>	

<b>Programme Outcome 1</b>	By 2011, regional third sector networks are able to demonstrate influence over regional and national policy affecting the third sector <b><i>Organisations to be influenced:</i></b>
<b>Project Outcome 1</b>	<Enter text here>
<b>Indicator(s)</b>	<Enter text here>
Please summarise your progress against this outcome in one of the following three classifications:	
<b>Very good progress:</b> no remedial action is required	Evidence: <Enter text here>
<b>Good progress:</b> some remedial action is required.	Evidence: <Enter text here>  What action are you taking to improve the chances of meeting this outcome (e.g. what needs to be done differently)? <Enter text here>
<b>Only moderate progress:</b> meeting outcome will be difficult / may not be achievable	Evidence: <Enter text here>  What action are you taking to improve the chances of meeting this outcome (e.g. what needs to be done differently)? <Enter text here>
<b>Risk</b> In your Workplan (RNF/W/01), you identified key risks. Are there any new risks to you achieving this outcome? <Enter text here>	
<b>Learning</b> Please tell us about any learning points (e.g. any interventions you have learned work better than others, or general learning that might be useful for other grant holders) <Enter text here>	
Is there any other information you wish to tell us about your progress? <Enter text here>	

<b>Programme Outcome 2</b>	By 2011, regional third sector networks are able to demonstrate improvements in their leadership, income diversity, and efficiency
<b>Project Outcome 2</b>	<Enter text here>
<b>Indicator(s)</b>	<Enter text here>
Please summarise your progress against this outcome in one of the following three classifications:	
<b>Very good progress:</b> no remedial action is required	Evidence: <Enter text here>
<b>Good progress:</b> some remedial action is required.	Evidence: <Enter text here>  What action are you taking to improve the chances of meeting this outcome (e.g. what needs to be done differently)? <Enter text here>
<b>Only moderate progress:</b> meeting outcome will be difficult / may not be achievable	Evidence: <Enter text here>  What action are you taking to improve the chances of meeting this outcome (e.g. what needs to be done differently)? <Enter text here>
<b>Risk</b> In your Workplan (RNF/W/01), you identified key risks. Are there any new risks to you achieving this outcome? <Enter text here>	
<b>Learning</b> Please tell us about any learning points (e.g. any interventions you have learned work better than others, or general learning that might be useful for other grant holders) <Enter text here>	
Is there any other information you wish to tell us about your progress? <Enter text here>	

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### Appendix C: Expenditure Summary (RNF/E/01) for 2009-10

- On the next page, you will see an extract from an electronic form (RNF/E/01).
- The form is available to download from the Capacitybuilders website ([www.capacitybuilders.org.uk](http://www.capacitybuilders.org.uk)), and you are required to submit a first expenditure summary (on spend to the end of September 2009) in October 2009.
- The form will include guidance on the steps to take to complete the form, and automatic calculations so that figures do not have to be entered more than once.
- Your expenditure summary should be submitted within one month of the end of quarter to which the report relates i.e. **31<sup>st</sup> January, 30<sup>th</sup> April, 31<sup>st</sup> July and 31<sup>st</sup> October** for the duration of the grant
- **The first submission is therefore due by 31<sup>st</sup> October 2009.**



**4. GRANT PAYMENT PROFILE**

Please reprofile each quarter if necessary.

Enter the amount of grant required for each quarter

Apr-Jun 2009	Jul-Sep 2009	Oct-Dec 2009	Jan-Mar 2010	Total Required
£0.00				£0.00
<b>Underspend</b>				£0.00

Total grant received (a)	£0.00
Total grant spent (b)	£0.00
Variance (a-b)	£0.00
Percentage of the grant received which has been spent	0%

Please explain briefly in the box any variances of (+/-) 20% between the amount of grant received to date and the amount spent. Tell us how you intend to get your spend back on track, and by when.

Please state any barriers to achieving delivery and full spend.

**We the undersigned declare that the above information is complete and accurate; that the grant has been spent for the purposes agreed; that items of expenditure will not be claimed from another funder; and that no other funding has become available for this contract.**

**Chief Executive**

Name

Signature

Date

**Chair /Finance Manager**

Name

Signature

Date