



Department of Children, Equality, Disability, Integration and Youth

UBU Your Place Your Space

Annual Renewal of Funding Guidance Note

Purpose

The purpose of this guidance is to provide information to Education and Training Boards (ETBs) and Funded Organisations to support them in meeting the Annual Renewal of Funding requirements for UBU Your Place Your Space. The Annual Renewal of Funding focuses on changes made to the UBU cyclical application and the provision of an annual budget. This approach is possible given the range of engagements through the Performance and Oversight Engagement Framework (POEF), particularly the Planning and Progress Review Meetings (PPRMs), between the ETB and the Funded Organisation that have taken place throughout the year, and where issues and risks are managed as they arise.

Reporting and Renewal context within UBU

The first policy and service delivery cycle for the **UBU Your Place Your Space** scheme July 2020 – Dec 2023, is based on a 3.5-year process of youth service planning, implementation and review. Subsequent policy cycles will have a three-year term. Each policy and service delivery cycle is supplemented with annual reporting and renewal at the end of each calendar year.

“The ETB will at each renewal stage assign the funded organisation’s application a RAG status and use it as a basis for their recommendation to the DCYA for renewal.” (pg. 41)

The UBU Policy and Operating Rules

UBU Your Place Your Space scheme renewals (Section 5.4, P&OR)

“Any Funded Organisation is required to report progress (per Performance and Oversight, see Chapter 9) and apply annually for the rest of the first cycle of the **UBU Your Place Your Space** scheme using the DCYA-approved renewal form. This is required as DCYA funding approval for the policy cycle is approval in principle only due to Governmental budgetary processes.” (pg. 41)

The ETB will recommend to DCEDIY if the Funded Organisation meets the scheme criteria of the UBU Your Place Your Space scheme. If a Funded Organisation meets the criteria their funding will be renewed.

Annual budget planning (Section 7.9, P&OR)

“The Funded Organisation must complete a proposed annual budget as part of the application for funding renewal process for UBU Your Place Your Space funded youth service. This annual budget must be submitted by the Funded Organisation through the relevant ETB. The relevant ETB must assess the annual budget as part of the renewal process. The updated annual budgets for UBU Your Place Your Space youth services are subject to quarterly review by the relevant ETB. This is required to ensure that the spending is in line with the agreed budget submitted as part of the annual plan and to address any under- or over-spend in a timely manner.” (pg. 58)

Application of the RAG system (Section 5.4, P&OR)

“Where an organisation with a Green status lapses into an area of non-compliance, the ETB will indicate to the Funded Organisation that they are at risk of being reassigned to an Amber status as part of the next renewal process. The ETB should work with the Funded Organisation to design an appropriate action plan(s) to ensure compliance is maintained with the relevant criteria before the next funding renewal process.” (pg. 40)

In practice the ETB and the Funded Organisation address issues as part of the ongoing operation of the scheme and in particular at the scheduled PPRMs. This forms part of the ongoing monitoring of the scheme and provides the opportunity for the Funded Organisation to address any issues in a proactive manner prior to each annual renewal of funding process. This practice should reduce the risk of a Funded Organisation being assigned an Amber RAG status.

If a Funded Organisation has held a Green RAG status up to the time of renewal and does not meet all of the Assessment Criteria, the organisation will be assigned an Amber RAG status and will be required to agree an Action Plan with the ETB and come within the full rules of the scheme within six months.

If a Funded Organisation has held an Amber RAG status up to the time of renewal and does not meet all of the Assessment Criteria, the organisation will be assigned a Red RAG status and will exit the scheme within a six month period. This is for organisations that extended their Amber RAG status through the ‘remain amber’ process.

The role of stakeholders

DCEDIY

1. Issue the Annual Renewal of Funding Template and ETB Assessment and Declaration Template along with relevant guidance to ETBs.
2. Upload documents on UBU website.
3. Issue acknowledgements to ETBs on receipt of the Annual Renewal of Funding and ETB Assessment and Declaration documents.
4. Process Annual Renewal of Funding submissions and seek clarification where necessary.
5. Issue decision notifications and letters of allocation to ETBs.

ETBs

1. Issue the Annual Renewal of Funding Template and guidance to Funded Organisations.
2. Issue acknowledgements to Funded Organisations on receipt of Annual Renewal of Funding submissions.
3. Review Renewal of Funding submissions to ensure completeness and accuracy.
4. Complete a RAG Assessment for each Funded Organisation basing the assessment on the Renewal for Funding submission and the POEF, particularly engagements through the PPRMs.
 - a. Identify any issues pertaining to the Eligibility and Assessment criteria, reflecting on engagements through the POEF process, particularly the PPRMs, to assess that information provided by the Funded Organisation is accurate. Seek clarity where necessary.
 - b. Where the Funded Organisation answers 'no' to the Eligibility Criteria they are not eligible for renewal of funding and will exit the scheme.
 - c. Where the Funded Organisation held a Green RAG status up to the time of renewal and does not meet all of the Assessment Criteria the Funded Organisation will be assigned an Amber RAG status and their application for renewal of funding must include an agreed Action Plan.
 - d. Where the Funded Organisation held an Amber RAG status up to the time of renewal and does not meet all of the Assessment Criteria the Funded Organisation will be assigned a Red RAG status and the Funded Organisation will exit scheme. This is for organisations that extended their Amber RAG status through the 'remain amber' process.
 - e. Where the Funded Organisation self-assesses as meeting all of the Assessment Criteria, and the ETB assesses the Annual Renewal of Funding submission and assigns an Amber RAG status, then the ETB informs the Funded Organisation and requests the submission of an Action Plan for agreement. These instances should be limited given the engagements at PPRM throughout the year.
5. Complete the ETB Declaration for each Funded Organisation
 - a. The ETB will refer to the PPRM meeting notes to identify any changes made to the cyclical application. These changes must have been agreed by the ETB.
 - b. The ETB will assess the Funded Organisation's Annual Renewal of Funding submission to ensure that all changes referenced correspond to the changes agreed with the ETB.

- c. Where changes are included in the Annual Renewal of Funding that have not been agreed by the ETB these should be clarified in the first instance with the Funded Organisation.
6. Convene an ETB Coordination Group to assess all Annual Renewal of Funding submissions and make recommendations to the Department.
7. Communicate the outcome of the Department's decision to the Funded Organisation.

Funded Organisations

1. Download the Annual Renewal of Funding Template and guidance.
2. Complete all sections of the Annual Renewal of Funding Template and ensure sign off by the appropriate person (see Renewal for Funding Template for appropriate persons)
3. In the case where the Funded Organisation cannot meet any aspect of the Assessment Criteria then an Action Plan must be completed and agreed with the ETB, and included as part of the Annual Renewal of Funding submission. This has likely been raised and agreed at PPRM. (Appendix 3 of the Annual Renewal of Funding Template)
4. Submit completed Annual Renewal of Funding Template to the appropriate ETB.
5. In the case where the ETB assesses and assigns an Amber RAG status, the ETB will request the Funded Organisation to submit an Action Plan which the ETB must agree. These instances should be limited given the engagements at PPRM throughout the year.

Steps in the Process

1. **13th October 2021** The Department will issue the Annual Renewal of Funding Template, the ETB Assessment and Declaration Template, and appropriate guidance for ETBs and Funded Organisations. The documents will also be uploaded to UBU website
2. ETB issues the Annual Renewal of Funding Template and guidance to Funded Organisation(s) or Funded Organisations download the Annual Renewal of Funding Template and guidance
3. Funded Organisations complete all sections of the Annual Renewal of Funding Template ensuring sign off by the appropriate person (see Renewal for Funding Template for appropriate persons)
4. Where a Funded Organisation cannot meet any aspect of the Assessment Criteria an Action Plan must be agreed with the ETB. This has likely been raised and agreed at PPRM. (Appendix 3 of the Annual Renewal of Funding Template)
5. **5th November 2021** Funded Organisation submits the completed Annual Renewal of Funding Template to the ETB
6. ETB receives and acknowledges receipt of the completed Annual Renewal of Funding Template
7. ETB reviews the submitted Annual Renewal of Funding Template to ensure completeness and accuracy
8. The ETB completes a RAG Assessment for each Funded Organisation basing the assessment on the Renewal for Funding submission and the POEF, particularly engagements through the PPRMs
9. Where the ETB assesses the Annual Renewal of Funding submission and assigns an Amber RAG status, then the ETB informs the Funded Organisation and requests the submission of an Action Plan for agreement, if not already provided

10. ETB completes the Renewal of Funding ETB Assessment and Declaration Template
11. ETB convenes ETB Coordination Group to assess all Annual Renewal of Funding Templates
12. 26th November 2021 ETB submits recommendations to the Department for approval
13. Department issues acknowledgements to ETBs
14. Department processes Annual Renewal of Funding recommendations and seeks further information where required
15. December 2021 The Department will issue decision notifications and letters of allocation to ETBs once all submissions have been completed for all ETBs

Things to consider

1. The Annual Renewal of Funding has been designed to fulfil funding requirements and in particular to manage the administrative burden at all levels of the governance chain.
2. Funded Organisations must be assigned a RAG status to be eligible for renewal funding in 2022.
3. The Department will not issue letters of allocation until all ETB submissions are finalised.
4. The value of engagements through the POEF, and in particular the PPRM, for the Renewal of Funding and other UBU processes, is to ensure that issues which may lead to a change in the RAG status have been identified and proactively managed. In some cases an Amber RAG may still have to be assigned as the issue could not be resolved in advance of the funding renewal, however for Funded Organisations that held a Green RAG status up to the time of renewal will have a period of six months to come within the full rules of the scheme.
5. In some cases, Funded Organisations assigned an Amber RAG status in the original application process were unable, due to Covid-19, to complete Action Plan items and come within the full rules of the scheme by July 2021. Additional time was allocated through a remain amber process for Funded Organisations to come within the full rules of the scheme. The guidance issued as part of the July 2021 Amber Status Review states:

'Where the extension of the amber period has been approved, there are two options for the Funded Organisation to consider:

- 1. They may seek to have their amber RAG status assessed by the ETB prior to the UBU application renewal process, or*
- 2. They may await and have their amber RAG status assessed by the ETB as part of the UBU application renewal process*

It should be noted that both approaches carry risks in relation to the Funded Organisation's ongoing participation in the UBU Your Place Your Space scheme'

6. The 2022 budget column should be based on the Funded Organisation's 2021 allocation. Funded Organisations that received additional base funding through the Resilience and Effectiveness Initiative should add the annual increase to the 2022 budget total, and then distribute in line with

reasons stipulated in the Resilience and Effectiveness application. The 2022 budget does not have to exactly match the 2021 budget, however the budget must be in line with the UBU Policy and Operating Rules.

7. The 2021 budget column is not a report and is included to act as a guide to help the Funded Organisation complete the 2022 budget column, which will also allow for comparison and ease of reference to assist the ETB and Department in its assessment. The costs in this column should be based on the 2021 allocation.
8. The Renewal of Funding declaration must be signed by the CEO/Director/Lead Worker of the Funded Organisation **and** the Chairperson of the Board (or equivalent)
9. If necessary, the appeals process will follow that operated as part of the original UBU application process.