SOCIAL INCLUSION
& COMMUNITY ACTIVATION

PROGRAMME REQUIREMENTS
2018-2022

VERSION 1:1
Acknowledgements

The Department of Rural and Community Development and Pobal wish to thank all those involved in preparing the Programme Requirements for SICAP 2018-2022. We would particularly like to acknowledge the contribution from members and support staff from Local Community Development Committees and Local Authorities, Programme Implementer staff and board members, other Government Departments and stakeholders from the community and voluntary sector.

Their ongoing support in delivering SICAP 2015 – 2017 and contributions at the SICAP consultation sessions have been invaluable in helping us to design and launch a new SICAP 2018 – 2022. We look forward to working with all programme stakeholders to continue to deliver a strong social inclusion programme which strives to reduce poverty and promote social inclusion and equality in Ireland.

If you have any comments on the Programme Requirements or wish to find out more about SICAP, you can visit the programme website or email us at sicap@pobal.ie.

The Social Inclusion and Community Activation Programme (SICAP) 2018-2022 is funded by the Irish Government through the Department of Rural and Community Development and co-funded by the European Social Fund under the Programme for Employability, Inclusion and Learning (PEIL) 2014-2020.

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PROGRAMME REQUIREMENTS
2018-2022
VERSION 1:1
# Contents

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Acronyms</strong></td>
<td>5</td>
</tr>
<tr>
<td><strong>Section 1: Programme Overview</strong></td>
<td>7</td>
</tr>
<tr>
<td>Preface</td>
<td>8</td>
</tr>
<tr>
<td>What are the Programme Requirements?</td>
<td>8</td>
</tr>
<tr>
<td>Revision Schedule</td>
<td>8</td>
</tr>
<tr>
<td>Hierarchy of Documents</td>
<td>8</td>
</tr>
<tr>
<td>Additional Documentation</td>
<td>8</td>
</tr>
<tr>
<td>What is the Social Inclusion and Community Activation Programme?</td>
<td>9</td>
</tr>
<tr>
<td>Programme Details</td>
<td>9</td>
</tr>
<tr>
<td>Local Economic and Community Plans</td>
<td>10</td>
</tr>
<tr>
<td>Social Inclusion</td>
<td>10</td>
</tr>
<tr>
<td>Programme Aim</td>
<td>11</td>
</tr>
<tr>
<td>Programme Goals</td>
<td>11</td>
</tr>
<tr>
<td>Horizontal Themes</td>
<td>11</td>
</tr>
<tr>
<td>Local Flexibility</td>
<td>12</td>
</tr>
<tr>
<td>Operating Structure</td>
<td>13</td>
</tr>
<tr>
<td><strong>Section 2: Programme Goals</strong></td>
<td>15</td>
</tr>
<tr>
<td>Goal 1: Supporting Communities</td>
<td>16</td>
</tr>
<tr>
<td>Goal Summary</td>
<td>16</td>
</tr>
<tr>
<td>Grants</td>
<td>17</td>
</tr>
<tr>
<td>Thematic Areas and Outcomes</td>
<td>17</td>
</tr>
<tr>
<td>Goal 2: Supporting Individuals</td>
<td>21</td>
</tr>
<tr>
<td>Goal Summary</td>
<td>21</td>
</tr>
<tr>
<td>Grants</td>
<td>21</td>
</tr>
<tr>
<td>Thematic Areas and Outcomes</td>
<td>22</td>
</tr>
<tr>
<td>Referrals</td>
<td>25</td>
</tr>
<tr>
<td><strong>Section 3: Target Groups</strong></td>
<td>27</td>
</tr>
<tr>
<td>A Dual Approach</td>
<td>28</td>
</tr>
<tr>
<td>Target Groups</td>
<td>28</td>
</tr>
<tr>
<td>Double or Multiple Disadvantage</td>
<td>31</td>
</tr>
<tr>
<td>The SICAP Multiple Barriers Measure</td>
<td>31</td>
</tr>
<tr>
<td>Provision in the Gaeltacht</td>
<td>32</td>
</tr>
<tr>
<td><strong>Section 4: Programme Beneficiaries</strong></td>
<td>33</td>
</tr>
<tr>
<td>Beneficiary Type 1: Local Community Groups</td>
<td>34</td>
</tr>
<tr>
<td>Beneficiary Type 2: Social Enterprises</td>
<td>35</td>
</tr>
<tr>
<td>Beneficiary Type 3: Individuals</td>
<td>35</td>
</tr>
<tr>
<td>Beneficiary Type 4: Children and Families</td>
<td>37</td>
</tr>
<tr>
<td>Beneficiary Type 5: Non-Caseload Individuals</td>
<td>37</td>
</tr>
<tr>
<td>Beneficiary Type 6: PI Collaborations</td>
<td>38</td>
</tr>
<tr>
<td>General Information</td>
<td>38</td>
</tr>
<tr>
<td><strong>Section 5: Programme Monitoring</strong></td>
<td>39</td>
</tr>
<tr>
<td>The SICAP Monitoring Framework</td>
<td>40</td>
</tr>
<tr>
<td>Annual Monitoring Framework Cycle</td>
<td>40</td>
</tr>
<tr>
<td>Thematic Areas</td>
<td>41</td>
</tr>
<tr>
<td>Outcomes</td>
<td>41</td>
</tr>
<tr>
<td>Key Performance Indicators</td>
<td>41</td>
</tr>
<tr>
<td>What Data in Monitored?</td>
<td>41</td>
</tr>
<tr>
<td>Measuring Impact</td>
<td>41</td>
</tr>
<tr>
<td>Outcome Reporting Tools</td>
<td>42</td>
</tr>
<tr>
<td>Identifying and Sharing Good Practice</td>
<td>43</td>
</tr>
<tr>
<td>Evaluation</td>
<td>43</td>
</tr>
<tr>
<td>SICAP 2018 – 2022 Monitoring Framework</td>
<td>44</td>
</tr>
<tr>
<td><strong>Section 6: IRIS and Data Protection</strong></td>
<td>51</td>
</tr>
<tr>
<td>Explaining IRIS</td>
<td>52</td>
</tr>
<tr>
<td>Data Privacy and GDPR</td>
<td>52</td>
</tr>
<tr>
<td>Designation of Stakeholders</td>
<td>53</td>
</tr>
<tr>
<td>Data Usage and Management</td>
<td>53</td>
</tr>
<tr>
<td>IRIS Access and Security</td>
<td>54</td>
</tr>
<tr>
<td>Data Input and Training</td>
<td>55</td>
</tr>
</tbody>
</table>
## Section 7: Annual Planning and Performance Reviews 57

- Annual Stages 58
- The SICAP Annual Plan 58
- Performance Reviews 61
- The Mid-Year Performance Review 61
- The Annual Performance Review 62
- PI Annual Progress Report 62
- LCDC Annual Report 63
- Pobal SICAP Reports 63
- Remedies 63
- Ongoing Inspections and Audit 63

## Section 8: Financial Requirements 65

- Part I: Internal Financial Procedures 66
- Eligible Costs 66
- Administration Costs 66
- Action Costs 66
- Monitoring Costs 66
- Payment Instalments 67
- Salary and Staff 67
- Apportionment of Costs 68
- Other Requirements 68
- Part II: Grants 71
- Grants to Individuals 71
- Participant Expenses 72
- Grants to Local Community Groups 72
- Grants to Social Enterprises 73
- Grants to Enterprise Start-ups 73
- Public Funding from Other Sources 74

## Section 9: Communication and Publicity Requirements 75

- Publicising SICAP 76
- Acknowledging the Funding Department 76
- National Publicity Materials 76
- Logos 77
- Website 77
- Publications 77
- Prior Approval of Publicity Documentation 77
- Information and Communication File 77

## Section 10: Corporate Governance and Contract Management 79

- Corporate Governance 80
- Contract Management 80
- Quality Assurance and Compliance 80
- SICAP Services 81
- Pobal Training and Capacity Building 82
- Programme Contact Points 82

## Section 11: ESF Requirements 83

- European Social Fund 84
- ESF Claim Verification 84
- ESF National Reporting for SICAP 84
- Capturing ESF Required Data 84
- Follow-up with ESF Participants 84
- Participating in Separate ESF 84
- Co-Funded Operations 85
- Leveraged Funding 85
- Awareness of ESF Funding Support 85
- Logos 85
- Promotional Material 86
- Information and Communication File 86
<table>
<thead>
<tr>
<th>Acronym</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>BTWEA</td>
<td>Back To Work Enterprise Allowance</td>
</tr>
<tr>
<td>C&amp;F</td>
<td>Children &amp; Families</td>
</tr>
<tr>
<td>CRM</td>
<td>Client Relationship Management</td>
</tr>
<tr>
<td>CV</td>
<td>Curriculum Vitae</td>
</tr>
<tr>
<td>DEASP</td>
<td>Department of Employment Affairs and Social Protection</td>
</tr>
<tr>
<td>DPER</td>
<td>Department of Public Expenditure and Reform</td>
</tr>
<tr>
<td>DRCD</td>
<td>Department of Rural and Community Development</td>
</tr>
<tr>
<td>EC</td>
<td>European Commission</td>
</tr>
<tr>
<td>ESF</td>
<td>European Social Fund</td>
</tr>
<tr>
<td>ESIF</td>
<td>European Structural and Investment Funds 2014-2020</td>
</tr>
<tr>
<td>ESRI</td>
<td>The Economic and Social Research Institute</td>
</tr>
<tr>
<td>ETB</td>
<td>Education and Training Board</td>
</tr>
<tr>
<td>EU</td>
<td>European Union</td>
</tr>
<tr>
<td>FTE</td>
<td>Full-time Equivalent</td>
</tr>
<tr>
<td>G1</td>
<td>Goal 1</td>
</tr>
<tr>
<td>G2</td>
<td>Goal 2</td>
</tr>
<tr>
<td>GDPR</td>
<td>General Data Protection Regulation</td>
</tr>
<tr>
<td>HP</td>
<td>Haase and Pratschke - Pobal Deprivation Index</td>
</tr>
<tr>
<td>IRIS</td>
<td>Integrated Reporting and Information System</td>
</tr>
<tr>
<td>KPI</td>
<td>Key Performance Indicator</td>
</tr>
<tr>
<td>LCDC</td>
<td>Local Community Development Committee</td>
</tr>
<tr>
<td>LCG</td>
<td>Local Community Group</td>
</tr>
<tr>
<td>LEADER</td>
<td>Liaison Entre Actions de Développement de l’Économie Rurale</td>
</tr>
<tr>
<td>LECP</td>
<td>Local Economic and Community Plan</td>
</tr>
<tr>
<td>LEO</td>
<td>Local Enterprise Office</td>
</tr>
<tr>
<td>LGAS</td>
<td>Local Government Audit Service</td>
</tr>
<tr>
<td>LLL</td>
<td>Lifelong Learning</td>
</tr>
<tr>
<td>NC</td>
<td>Non-caseload</td>
</tr>
<tr>
<td>NEETs</td>
<td>Not in Employment, Education or Training</td>
</tr>
<tr>
<td>NFQ</td>
<td>National Framework of Qualifications</td>
</tr>
<tr>
<td>ODPC</td>
<td>The Office of the Data Protection Commissioner for Ireland</td>
</tr>
<tr>
<td>PEIL</td>
<td>Programme for Employability, Inclusion and Learning 2014-2020</td>
</tr>
<tr>
<td>PAP</td>
<td>Personal Action Plan</td>
</tr>
<tr>
<td>PI</td>
<td>Programme Implementer</td>
</tr>
<tr>
<td>PPN</td>
<td>Public Participation Network</td>
</tr>
<tr>
<td>PPSN</td>
<td>Personal Public Service Number</td>
</tr>
<tr>
<td>QN</td>
<td>Quantitative</td>
</tr>
<tr>
<td>QL</td>
<td>Qualitative</td>
</tr>
<tr>
<td>SE</td>
<td>Social enterprise</td>
</tr>
<tr>
<td>SI</td>
<td>Strategic Instrument</td>
</tr>
<tr>
<td>SICAP</td>
<td>Social Inclusion and Community Activation Programme</td>
</tr>
<tr>
<td>STEA</td>
<td>Short-Term Enterprise Allowance</td>
</tr>
<tr>
<td>UN</td>
<td>United Nations</td>
</tr>
</tbody>
</table>
SECTION 1:
SICAP Programme Overview
What are the Programme Requirements?
The Social Inclusion and Community Activation Programme (SICAP) Programme Requirements set out the key rules and requirements for delivering SICAP 2018 – 2022. The Programme Requirements are drafted by Pobal on behalf of the Department of Rural and Community Development and set out the programme rules which apply across all SICAP Lots.

Revision Schedule
Programme requirements will change over the course of the programme. In order to manage the frequency of these changes this document will be updated no more than twice annually for the first two years (in June/July and November/December). It will be updated once annually thereafter.

Hierarchy of Documents
The Programme Requirements forms part of the suite of documentation for the delivery of SICAP. The Programme Requirements should be read in conjunction with other programme documentation including the Funding Agreement, all accompanying appendices and schedules, and the tender submission forming a part of the contract. In the case of a dispute or any discrepancies between the Programme Requirements and the Funding Agreement, the Funding Agreement and any addendums issued will take precedence.

Additional Documentation
The Department may issue additional directions, circulars, policies, procedures, protocols and other documentation applicable to the programme during the lifetime of the funding, supported by Pobal.
SECTION 1:
Programme Overview

What is the Social Inclusion and Community Activation Programme?
The Social Inclusion and Community Activation Programme (SICAP) 2018 – 2022 provides funding to tackle poverty and social exclusion at a local level through local engagement and partnerships between disadvantaged individuals, community organisations and public sector agencies. SICAP 2018 – 2022 is the successor programme to SICAP 2015 - 2017.

SICAP is a social inclusion programme which assists both individuals and groups through a two-pronged approach; supporting communities and supporting individuals. The task of Programme Implementers (PIs) is to reflect the broad scope of the programme in their actions and use programme funding to strengthen communities and improve people’s lives. SICAP aims to address high and persistent levels of deprivation through targeted and innovative, locally-led approaches. It targets and supports those who are disadvantaged in Irish society and less likely to use mainstream services.

PIs engage with marginalised communities and service providers using a community development approach to address issues relating to social exclusion and inequality. It enables bottom-up approaches within the framework of a national programme which provides targets, performance indicators and requirements.

Programme Details

Delivery Structure
SICAP is managed locally by 33 Local Community Development Committees (LCDCs) with support from Local Authorities. Programme actions are delivered by PIs across 51 Lots.

Duration
SICAP operates from 1st January 2018 to 31st December 2022. The LCDC reserves the right to extend SICAP for up to 12 months (with a maximum of one such extension) on the same terms and conditions, subject to their legal obligations and subject to approval from the Department of Rural and Community Development (DRCD).

Funding
SICAP is funded by the Department of Rural and Community Development with co-funding from the European Social Fund (ESF) as part of the ESF Programme for Employability, Inclusion and Learning 2014-2020. Continued funding for PIs is subject to a satisfactory annual performance review - more details on this are set out in Section 7. Funding levels are set annually and are subject to change.

European Social Fund
The ESF Programme for Employability, Inclusion and Learning (PEIL) 2014-2020 is co-financing SICAP in the years 2018-2020. PEIL’s priority areas for investment revolve around the activation of the unemployed, social and labour market inclusion, education and youth employment. Under PEIL 2014-2020 Priority 2, the allocation for SICAP is €60m.1 It is important to note that ESF rules will apply to SICAP - please see Section 11 for all information relating to ESF requirements.

Influencing Factors
The programme structure has been set by the Department of Rural and Community Development and has been influenced by a number of factors:

- National government policy and priorities;
- Ireland’s changing social and economic landscape, particularly reduced unemployment levels and a general economic recovery;
- Learning from SICAP 2015 – 2017 and findings from the 2017 national consultation process;
- Findings from a series of evaluations by the Economic and Social Research Institute (ESRI) on particular SICAP components. This included an exploration of area-based training provision, an examination of SICAP goals and governance, and a spatial examination of targeting.2

1 The ESF allocation to SICAP under PEIL 2014-2020 comprises €30m in ESF co-financing, which is matched by national co-financing of €30m. The national exchequer finances the SICAP programme in full annually, including the ESF co-financing.
Local Economic and Community Plans
SICAP actions must underpin what has been identified in the Local Economic and Community Plan (LECP) at county level, reflecting the priorities of the LCDC. LECPs were drafted following a consultation process in each county and are the collective response to locally identified needs. SICAP has a limited budget and PIs should prioritise SICAP work by taking into account the key social inclusion objectives of the LECP. A mid-term review has been built into LECPs with these scheduled to take place in 2018/2019. SICAP actions should be shaped by any updates to the LECP and additional needs identified.

Social Inclusion
Social inclusion is a process which ensures that those at risk of poverty and social exclusion gain the opportunities and resources necessary to participate fully in economic, social, political and cultural life and to enjoy a standard of living that is considered normal in the society in which they live. It ensures that they have greater participation in decision making which affects their lives and access to their fundamental rights. Social inclusion works for a fairer future that benefits everyone. SICAP supports and promotes social inclusion and inclusive development.

Figure 1.1: Symptoms of Exclusion

- Unequal access to resources
- Unequal participation
- Denial of opportunities

Source: UN (2016), “Leaving no one behind”

Figure 1.2: SICAP Core Elements

1 Promote an equality framework
2 Apply community development approaches
3 Develop collaborative approaches

Goal 1: Supporting Communities
Goal 2: Supporting Individuals

“The aim of SICAP is to reduce poverty and promote social inclusion and equality in Ireland through supporting communities and individuals using community development approaches, engagement and collaboration.”

A UN report on the imperativeness of inclusive development presents social inclusion as “the process of improving the terms of participation in society for people who are disadvantaged on the basis of age, sex, disability, race, ethnicity and economic and migration status”. Promoting social inclusion requires both removing barriers to people’s participation, including certain laws, policies and institutions as well as discriminatory attitudes and behaviours, and taking active steps to make such participation easier.

Programme Aim
The aim of SICAP is to reduce poverty and promote social inclusion and equality in Ireland through supporting communities and individuals using community development approaches, engagement and collaboration.

Programme Goals
Goal 1: Supporting Communities
To support communities and target groups to engage with relevant stakeholders in identifying and addressing social exclusion and equality issues, developing the capacity of Local Community Groups, and creating more sustainable communities.

Goal 2: Supporting Individuals
To support disadvantaged individuals to improve the quality of their lives through the provision of lifelong learning and labour market supports.

Horizontal Themes
Horizontal themes are the core principles that cut across all areas of PIs’ work. SICAP is underpinned by three horizontal themes:

1. Promoting an equality framework with a particular focus on gender equality and anti-discrimination practices;

2. Applying community development approaches to achieve the participation of disadvantaged and marginalised communities in the wider local development context;

3. Developing collaborative approaches with stakeholders to improve how mainstream policies and programmes are delivered so that they impact more positively on the socially excluded.

PIs must incorporate the horizontal principles into their SICAP strategic and annual planning processes and in how they engage with individuals and LCGs and other stakeholders.

An Equality Framework
The Equal Status Acts 2000 to 2015 are based on the principle that everyone has an equal right to participate in our society. In delivering SICAP, Programme Implementers should ensure that individuals (or groups of individuals) are treated fairly and equally and no less favourably, specific to their needs. Under the Equal Status Act it is illegal to discriminate on the grounds of gender, marital status, family status, sexual orientation, religion, age, disability, race and membership of the Traveller community. People should not be denied access to services, facilities or amenities, everyone should be seen as being of equal worth and should be treated on merits and not on the basis of a prejudice or stereotype.

Equality work refers to work that can be described as having outcomes which promote a more equal society. SICAP seeks to promote an equality framework with a particular focus on gender equality and anti-discriminatory practices. PIs have to ensure that equality work is carried out with LCGs and individuals, as well as making sure that it is reflected in their own internal practices.

Gender Equality
Gender equality is achieved when women and men enjoy the same rights and opportunities across all sectors of society, including in economic participation and decision-making, and when the different behaviours, aims and needs of women and men are equally valued and favoured. To achieve gender equality, the different needs of men and women must be recognised. Some women may experience double or cumulative disadvantage as a result of being a woman and being a member of a SICAP target group or a disadvantaged community. Increased engagement with women will support the cross-cutting equality horizontal theme to promote an equality framework. PIs must reflect on their human resource processes to tackle unconscious gender bias and to create a workplace where both women and men can advance into leadership positions.

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Community Development

Actions across both goals must be underpinned by community development approaches and principles. Community development is defined as “a developmental activity comprised of both a task and a process. The task is social change to achieve equality, social justice and human rights, and the process is the application of principles of participation, empowerment and collective decision making in a structured and co-ordinated way.” Community development principles are in line with the three stage community development matrix which is further outlined in Section 2.

A community development approach ensures that the capacity of communities and target groups is developed so that they will have the opportunity to input and determine the core needs that SICAP actions should be responding to. A community development approach also increases the participation of those who are the most marginalised by engaging people through pre-development mechanisms such as outreach work. PIs must ensure that their own governance and decision making structures are reflective of community development principles and that SICAP target groups are participating in decisions that determine the work of SICAP locally.

Collaborative Approaches

PIs must develop a collaborative approach in their delivery of SICAP in order to increase the sustainability of the work and grow the potential to mainstream initiatives piloted through SICAP. SICAP focuses on the synergies to be achieved between it and other national, regional and local strategies and plans for social inclusion, activation and community development. It is critical that PIs collaborate with other service providers to ensure ongoing progression for those most marginalised and that LCDCs play their part in enabling and supporting this. Collaborative approaches can reduce overlap and duplication in service provision and thus ensure greater value for money for the Exchequer, and over the longer term can reduce dependency on SICAP funding.

Local Flexibility

PIs and LCDCs understand the needs of the target groups and local communities. This is vital in determining the types of interventions and actions that are needed from SICAP in order to improve people’s lives and strengthen communities. Diverse challenges face local communities across Ireland and SICAP needs to be able to respond accordingly. SICAP offers PIs and LCDCs the flexibility to jointly target supports to particular groups and to respond to issues which have emerged in their delivery areas. SICAP is a national programme that can be tailored locally to best meet the needs of disadvantaged areas and target groups on the ground. However, it is important to stress that the programme is unable to, and is not expected to, provide a response to all the issues and barriers faced by individuals living in our communities.

Operating Structure
A number of organisations are involved in the design, operation and monitoring of SICAP.

The Department of Rural and Community Development
The Department of Rural and Community Development is the lead and funding department in relation to SICAP. The Department channels funding to LCDCs through the Local Authorities. It sets policy priorities, targets, the policy context and is the final arbiter in respect of the programme. The Department is a designated intermediate body under the ESF PEIL 2014-2020 with specific responsibilities in relation to the ESF funding.

Pobal
Pobal acts as the agent of the Department of Rural and Community Development with respect to national management and oversight of the programme, which includes co-funding under the European Social Fund (ESF). Pobal managed the set-up and design of the programme on behalf of the Department. Its functions include monitoring programme data and preparing progress reports for the Department, and it assists with the management and delivery of SICAP. Pobal provides capacity building supports to PIs and LCDCs to assist them in bringing quality standards to the programme. It carries out technical checks as part of performance reviews and the annual planning process. Pobal is not a direct party to the Funding Agreement between the LCDCs and PIs.

Local Community Development Committee
Local Community Development Committees (LCDCs) are the Contracting Authority. There are 33 LCDCs nationally and each manages SICAP at a local level and directs funding to PIs. LCDCs were established by Government under the Local Government Reform Act 2014 to bring about a more coordinated approach to local and community development. LCDCs are the key decision-makers in terms of annual planning, monitoring and oversight. They are responsible for monitoring PIs’ compliance through financial management and performance monitoring, and have responsibility for the bi-annual performance reviews and the annual planning process.

Local Authority
Local Authorities support their respective LCDCs in managing the programme and provide administrative supports. Each Local Authority is a party to a Funding Agreement and, subject to the approval of the LCDC, administers the SICAP bank account and issues payments to the PI. It has a role in relation to reviewing and enforcing the obligations of the PI.

Programme Implementer
PIs deliver SICAP at a local level as per their annual plan. They report to the LCDC on their progress in carrying out these actions, their work with beneficiaries, the targets achieved and ongoing financial activity. They engage with the programme target groups and record and monitor their ongoing performance.
SECTION 2: Programme Goals
SECTION 2: Programme Goals

Goal 1: Supporting Communities
To support communities and target groups to engage with relevant stakeholders in identifying and addressing social exclusion and equality issues, developing the capacity of Local Community Groups, and creating more sustainable communities.

Goal Summary
The primary beneficiaries of Goal 1 are LCGs and social enterprises that have a remit in working with or providing services to SICAP target groups.

Work under Goal 1 is designed to support collective community engagement and the development of sustainable, stronger communities. It aims to empower communities to play a greater role in addressing social inclusion and equality issues and works with communities and target groups using community development, bottom-up approaches. This is done through providing direct supports to local communities and developing the capacity of Local Community Groups, which represent or work within disadvantaged communities and target groups. This is to ensure that they can better engage with other stakeholders, actively improve the lives of people in their communities, and address the social exclusion issues that affect them.

Work under Goal 1 also includes working with LCGs to increase their participation in decision-making processes and structures, and support for community-based social enterprises.

KPI 1
An annual Key Performance Indicator (KPI) target is set for Goal 1. This is KPI 1 which is the total number of LCGs supported. Each PI has been set a Lot level KPI 1 target.

SICAP Supported Local Community Groups
SICAP works with LCGs which operate out of community work principles and processes and are focussed on the needs of SICAP target groups. Supported community groups should be:

- Committed to the achievement of social inclusion and equality;
- Focussed on and inclusive of the target groups;
- Composed of the target group and, as appropriate, those working in solidarity with the target group;
- Engaged in collective analysis and action; and
- Committed to the empowerment of the target group.

What is a Local Community Group?
Local Community Groups do many different things. They can be voluntary groups which work...
in communities for the public benefit. They might participate in local and regional networks or be a local support group which represents a target group. LCGs supported through SICAP can have different structures and arrangements. The focus or aim of a LCG and its objectives are important rather than the membership of that group.

Community groups can be focused on addressing the needs of specific target group(s) and/or the needs of specific geographic areas. They do not need to be a legal entity but should have agreed aims and objectives or be a structure with rules (i.e. be an organised group) and may, for example, be an unincorporated association. The groups must be self-governing and not-for-profit enterprises, and may rely on the support of volunteers to carry out their activities. These general characteristics leave room for groups to take on a structure that best suits their needs.

Grants
Programme Implementers may allocate grants to LCGs of up to €1,500 and €2,500 to social enterprises each year. The purpose of the grant must be in line with the objectives of the programme and clearly linked to agreed outcomes. PIs should have an agreed written procedure setting out the process for reviewing and approving grants to LCGs and social enterprises. See Section 8 Part II of the Programme Requirements for the rules on grants.

Thematic Areas and Outcomes
Goal 1 consists of five thematic areas and 12 outcomes which reflect the key dimensions of a community development approach. The full framework with the associated indicators and data collection methods is set out in Section 5.

Figure 2.1: Goal 1 Thematic Areas and Outcomes

Figure 2.2: Goal 1 Thematic Areas

Thematic Area G1:1: Promote Community Engagement and Stronger Communities

- G1–1:1 Needs of local communities and groups are identified, represented and integrated through local planning and service delivery.
- G1–1:2 Local social inclusion and equality issues are addressed by LCGs.
- G1–1:3 There is increased participation in social, cultural and civic activities among SICAP target groups due to the support of community groups.
- G1–1:4 A strengthened sense of community.

Work carried out under Goal 1 in supporting LCGs should promote stronger community engagement and stronger communities. This will contribute to an increased sense of community within the relevant area or community of interest. It is acknowledged that many factors contribute towards the sense of community, however PIs should demonstrate, where appropriate, where and how they have promoted this thematic area and the associated outcomes. PIs which have identified this as an applicable outcome from their actions will be required to demonstrate (using quantitative and/or qualitative evidence) how their work has contributed to the strengthening of area-based or issue-based communities.
Engaging with Local Community Groups

LCGs must have a social inclusion or equality focus and/or address the needs of a SICAP target group to be eligible for support. There are certain requirements to bear in mind when working with LCGs under Goal 1:

- The primary focus of support for LCGs should be in line with community work principles and the community development matrix (outlined below);
- PIs need to be engaged with LCGs which traditionally have been under-represented in activities relating to social inclusion and equality, lifelong learning and labour market preparation. These are groups representing people who are socially excluded and whose voices are not heard in our society, such as people with disabilities, migrants, Travellers or the long-term unemployed;
- PIs should promote equality for target groups, gender equality, anti-discrimination, human rights and respect for diversity in their work with community groups;
- PIs should involve groups and/or communities as key stakeholders in evaluating the outcomes of any community development initiatives they are engaged with;
- PIs should develop the capacity of LCGs to participate in decision-making processes and structures, such as via Public Participation Networks and LCDCs;
- PIs are required to develop a LCG Support Plan for each registered LCG which outlines their stage of development and level of supports required - see Section 4.

Concentrating on LCGs which include people from the target groups could also lead to more engagement from these target groups in programme activities and as a result they may become more likely to engage in individualised supports under Goal 2. PIs should also build the capacity of local institutions, organisations and agencies to understand and address local communities’ concerns and needs.
**Local Community Group Activities and Supports**

Programme Implementers may work with LCGs to increase their engagement in community development issues, and assist them in linking in with SICAP target groups to bring about greater participation in social, cultural and civic activities. PIs should develop the capacity of LCGs to develop strategic responses based on analysis of the issues and needs identified by local communities themselves. Below are examples of types of activities/supports that could be undertaken with community groups:

- A group of local residents in a local authority housing estate is facilitated to develop an estate management plan;
- A group is assisted in putting together an engagement strategy to raise mental health awareness;
- A group representing a new community is allocated a grant to host a local integration day;
- A parent and toddler group working with those in need is assisted to become more organised and meet more regularly and participate in local and regional networks of other similar groups;
- A local support group which represents one of the target groups needs assistance in becoming more organised and developing their capacity to engage with other relevant stakeholders and service providers.

Programme Implementers can also provide support within local communities to enable them to carry out practical activities and/or fund actions which improve their environment and communities, such as providing set-up and ongoing support for:

- Parent-led initiatives for children and young parents;
- Community-level safety initiatives;
- Community-level activities for older people in need;
- Other community issues such as environmental campaigns, mental health awareness, integration of new communities.

Disadvantaged communities and groups should be helped through SICAP to enhance their participation in local, regional and national decision-making structures. Decision-making structures are local, regional or national decisions-making structures which require input from different sectors with a common goal to address social exclusion and disadvantage. By being able to participate more in decision-making structures, whether a local council or Public Participation Network board, SICAP target groups will be in a real position to affect change in their locality.

**Thematic Area G1:3: Support Participation in Decision-Making Structures**

G1-3:1 SICAP target groups and community groups are represented and actively participate in decision-making structures.

**Thematic Area G1:4: Promote Collaborative Engagement**

G1-4:1 LCGs work with local service providers to develop and implement initiatives addressing social exclusion and inequality.

G1-4:2 Collaboration and co-operation between relevant stakeholders in addressing social exclusion and inequality is increased.

Collaborative engagement should be promoted and LCGs can become part of a dialogue to develop solutions to social exclusion. Strategic collaborative frameworks and networks are defined as meetings between community activists/ community groups/ social enterprises and/ or service providers with a common interest. The purpose of collaboration is to share experiences, develop support mechanisms, identify good practice or develop policy positions and common strategies, and may or may not be formally structured.

A primary role of PIs is to help coordinate the provision of services by LCGs, and within the community more generally, so that they better meet the needs of target groups. Having collaborative networks between LCGs and service providers will result in local initiatives which address social exclusion and inequality for a particular locality or an issue-based group more effectively.
**Thematic Area G1:5: Support Social Enterprises which Contribute to SICAP Outcomes**

| G1-5:1 | Contribute to a social enterprise sector locally and support social enterprises contributing to achieving SICAP outcomes. |
| G1-5:2 | Social enterprises supported by SICAP are stronger and more able to contribute to local economic and community development. |
| G1-5:3 | Social enterprises supported by SICAP provide training, volunteering and employment opportunities for SICAP target groups. |

Goal 1 includes providing supports for social enterprises which contribute to SICAP outcomes. These can be any social enterprises as long as they are being supported to carry out work which is in line with SICAP thematic areas and which will contribute towards the outcomes and clearly benefit SICAP communities. Social enterprises supported under SICAP must provide services to SICAP target groups/disadvantaged communities, or employ/provide training to SICAP target groups.

**What is a Social Enterprise?**

A social enterprise is an enterprise:

- That trades for a social/societal purpose;
- Where at least part of its income is earned from its trading activity;
- Is separate from government; and
- Where the surplus is primarily re-invested in the social objective.

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**Social Enterprise Activities and Supports**

Programme Implementers may work with social enterprises to increase their capacity and assist them in linking with SICAP target groups through services or by providing training, volunteering and employment opportunities. The types of activities that could be undertaken with social enterprises include providing training/supports to:

- Increase the level and/or type of services delivered to SICAP target groups;
- Increase the sustainability of the enterprise and their ability to contribute to the social and economic development of disadvantaged areas;
- Develop or explore developing new social enterprises.

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Goal 2:
Supporting Individuals
To support disadvantaged individuals to improve the quality of their lives through the provision of lifelong learning and labour market supports.

Goal Summary
The primary beneficiaries of Goal 2 are disadvantaged individuals aged 15 years upwards and children and families.

Work under Goal 2 is focused on supporting people who have been identified as in need of one-to-one, intensive support. This can be achieved through lifelong learning, providing labour market supports to improve work readiness, or engaging with employers to ensure better quality jobs. It can also mean working with people in more holistic ways so they can improve their quality of life and wellbeing. Engagement can be carried out on a one-to-one basis or using group-based work and should be person-centred. Broadly speaking, it can be categorised as providing help in three ways:

- Lifelong learning supports;
- Employment supports;
- Personal development supports.

It is at the discretion of the PI to select the most appropriate types of supports and interventions for individuals under this goal. People have very different lives, require different interventions and are at different stages in their lives. The objective of SICAP is to be able to respond to these needs flexibly and appropriately.

KPI 2
An annual Key Performance Indicator (KPI) target has been set for Goal 2. This is KPI 2 which is the total number of individuals (15 years upwards) engaged under SICAP on a one-to-one basis. Each PI has been set a specific Lot-level KPI target.

Deprived Areas Target
There is an additional target for engaging a minimum proportion of KPI 2 individuals residing in disadvantaged areas (as per the Pobal HP Deprivation Index) in order to ensure a focus on people from deprived communities. Lot specific targets have been set on an annual basis and are subject to change over the course of the programme.

Grants
PIs may allocate grants to individuals of up to €500 per annum to cover course fees, including registration and exam costs. Grants must link to an individual's needs as per their Personal Action Plan and an action. See Section 8 Part II of the Programme Requirements for rules on grants.
Thematic Areas and Outcomes

Goal 2 contains seven thematic areas and 17 outcomes which reflect the key dimensions of a community development approach. The full framework with the associated indicators and data collection method is set out in Section 5.

Figure 2.4: Goal 2 Thematic Areas and Outcomes

Thematic Area G2:1: Promote Personal Development and Wellbeing

G2 - 1:1 SICAP clients have improved personal skills, wellbeing and capabilities.

G2 - 1:2 SICAP clients increase their participation in civic life, education and/or employment.

SICAP 2018 - 2022 should provide holistic, person-centred supports which help people in their personal development and wellbeing. This is designed to reflect the fact that individuals may not need employment or lifelong learning supports in the short-term but other types of life supports. This type of engagement will be supported and measured by a Distance Travelled Tool which will measure the progression of individual clients according to certain measurements and ensure that ‘softer’ achievements are recognised. See Section 4 for more on the Distance Travelled Tool.

Engagement needs to be intensive and long-term for some SICAP clients. This could include working collaboratively with other organisations and agencies to address issues such as in the area of mental health, drug addiction, housing needs, general wellbeing and personal capacity and development. The contributing barriers are numerous and complex; the expectation is that the PI is able to identify what these are with the individual and work with them in overcoming them.

PI staff should work closely with individual clients and provide mentoring where required, supported by Personal Action Plans. Personal Action Plans are a critical element of an individual's support plan and they must be sufficiently developed and participative - see Section 4.

Thematic Area G2:2: Provide Lifelong Learning Opportunities

G2 – 2:1 SICAP clients receive information about opportunities for lifelong learning.

G2 - 2:2 SICAP clients participate in lifelong learning.

G2 - 2:3 SICAP clients achieve higher levels of qualifications as a result of participating in lifelong learning.
Goal 2 is about supporting individuals who are experiencing educational disadvantage to engage with lifelong learning opportunities using community development approaches. This includes providing information on the different training options available, encouraging people to take up training and lifelong learning (whether formal or informal), and encouraging people to achieve a higher qualification.

PIs can play a valuable role in providing pre-training and community education supports for those who are not ready to commence a validated course as the first step to progressing in education. Services may include a focus on validated programmes of learning, however it is at the discretion of each PI to put forward the best training option for an individual based on their profile. PIs may deliver training directly where it is not already provided or if not being accessed by target group members. They can refer individuals to another course already being provided, for example to an Education and Training Board or a Community Training Centre, or can co-manage lifelong learning courses with other organisations, with each bringing its own skills and expertise to bear.

**What is Lifelong Learning?**
A lifelong learning opportunity is defined by the European Commission (2001) as “all learning activity undertaken throughout life, with the aim of improving knowledge, skills and competences within a personal, civic, social and/or employment-related perspective”. Lifelong learning covers learning from pre-school to post-retirement. Lifelong learning can be both accredited and unaccredited training.

**What is Community Education?**
Community education is an element of lifelong learning and is a critical access point for individuals who are experiencing disadvantage, and is associated with the provision of basic literacy and numeracy skills. It is also about empowering people to develop confidence, feel included, enhance their skills and thereby engage more effectively with the labour market. Community education facilitates access to lifelong learning provided in people’s own communities and can be a building block in accessing more formal education opportunities or set people on the path to work.

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**Thematic Area G2:3: Provide Preventative Supports for Children and Young People**

**G2 - 3:1 Local communities and statutory stakeholders develop holistic approaches to address early school leaving.**

**G2 - 3:2 Children and their families are supported in education and personal development.**

**G2 - 3:3 Young people at risk of early school leaving remain within the education system.**

PIs may focus on providing supports to prevent early school leaving by encouraging young people to remain within the school system. This thematic area allows PIs to work with and design actions for those who are under 15 as intervening after this can often be too late. PIs can work in pre-school settings with families and children, particularly if there are gaps in other services carrying out this type of work. Under this thematic area PIs could run in-school programmes in primary and secondary schools, operate breakfast clubs, after school youth initiatives and summer camps etc.

This type of activity is designed to prevent early school leaving as well as ease the transition to secondary level or further education or training. Close engagement with the parents and guardians of children may be required through group engagement and this is facilitated by using the beneficiary type – Children and Families. The PI may connect with community and statutory stakeholders to look at holistic, joined-up approaches to reducing early school leaving and supporting children and young people.

Note that people under the age of 15 cannot be registered on the SICAP individual caseload. People aged 15 to 18 can be registered on the individual caseload however only when engaging with a PI outside of school. See Section 4 for more information on this.

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Thematic Area G2:4: Prepare People for Employment and to Remain in Work

- G2 - 4:1 SICAP clients are better prepared to enter the labour market.
- G2 - 4:2 SICAP clients are supported to remain in work through receipt of ongoing in-work supports.
- G2 - 4:3 Local employers are supported to have a more inclusive approach to recruitment.

Employment and Labour Market Supports
SICAP recognises that investment in people is about lowering the barriers that prevent people from taking up work and improving the quality of employment. Evidence continues to suggest that participating in quality employment remains the best route out of poverty. SICAP can provide different types of support under the employment strand of Goal 2 depending on what individual needs are and the local employment context. See graphic 2.6 below indicating the various stages to becoming job ready.

Focus on those Furthest from the Labour Market
With unemployment levels continuing to fall nationally, although with significant regional disparities, and other activation services in place such as Intreo, JobPath and Local Employment Services, PIs should prioritise support for unemployed individuals who are far from the jobs market. SICAP should prioritise the reduction of long-term, inter-generational unemployment, which is often evidenced by jobless households and entrenched joblessness. The emphasis should be on working with people who are least likely to find employment. Clients might be far from the labour market as they do not have the skills, experience or capacity to take up work in the near future. There should also be a strong emphasis on moving disadvantaged youth closer to the labour market.

Working with the ‘Job Ready’
PIs can assist people who are relatively close to the labour market and ‘job ready’. People considered to be job ready require supports such as short-term job-specific training, assistance in preparing for interviews and CVs, and help in identifying job opportunities. The PI may engage with employers and identify suitable job openings.

Engaging with Employers
Employment supports should be informed by an understanding of the needs of the local labour market. PIs should engage with local employers and ensure that workforce training is relevant to local employer needs and that employers use more inclusive hiring practices in their recruitment processes. Employment supports should provide real opportunities to gain work experience such as through work taster programmes, apprenticeships, traineeships and work placements.

Thematic Area G2:5: Promote Better Quality and Sustainable Employment

- G2 - 5:1 SICAP clients, the unemployed and those on low incomes, move into more sustainable and better quality employment.
- G2 - 5:2 Local employers are supported to create better quality and sustainable jobs.

PIs can engage with people who are in employment but where such work is precarious and/or low paid. This may be someone in a part-time job who is seeking more hours, or wants a job with better pay and conditions, or a job which is easier to access – perhaps closer to home or it has a direct public transport option.

This type of engagement with individuals is important in a labour market where unemployment is falling but many new jobs are precarious, ‘gig’ positions which are short-term and offer little job security. PIs may engage

Figure 2.6: Moving to Job Ready

JOB READY

- Employed/underemployed/unemployed people who are motivated and possess qualifications and skills that are in demand
- People who require a few interventions to become job ready
- People who require intensive services to overcome multiple issues affecting employment

Gaps & limited access to services
Reduced access to services
Significant access to services
with these individuals, helping them to identify what type of employment they would like, and providing the required lifelong learning supports and/or referrals to improve their opportunities of progressing in work. These supports should be reinforced with access to education and training options thus making a longer term and more sustainable solution more likely.

PIs can also work with employers to inform the types of jobs they are offering and to explore how they can make these jobs more accessible or attractive to SICAP clients. As unemployment falls, employers can find it more difficult to fill positions and experience higher levels of staff turnover. PIs can engage with employers to help improve their job offers and create jobs which offer a better quality of life. This activity is recorded as Beneficiary Type 6: PI Collaboration, and collaborating with employers.

Thematic Area G2:6: Provide a Pathway to Self-Employment/Social Entrepreneurship

G2 - 6:1 Individuals are supported into self-employment (including social entrepreneurship).

G2 - 6:2 SICAP clients who have progressed into self-employment (including social entrepreneurship) are supported to ensure the sustainability of their businesses.

PIs may identify a need to provide services to assist people to become self-employed or social entrepreneurs. This can be by providing advice on business plans or serving as an access route to the DEASP’s Back to Work Enterprise Allowance (BTWEA) and the Short-Term Enterprise Allowance (STEA). PIs may provide follow-up supports to new businesses, particularly within the first 12 months, to support sustainability. Grants can also be made available for business start-ups as long as the required criteria are met – see Section 8.

Social entrepreneurship is about addressing pressing social challenges and meeting social needs in an innovative way while serving the general interest and common good for the benefit of the community. It targets social impact rather than profit maximisation in an effort to reach the most vulnerable groups and contribute to inclusive and sustainable growth (OECD – EC).3


Thematic Area G2:7: Address Barriers and Gaps in Lifelong Learning and Employment

G2 - 7:1 Gaps in labour market and education provision are identified and addressed through joint planning and service delivery.

G2 - 7:2 More joined-up referral systems are developed to help individuals access the right services.

The PI will be aware of the level and quality of job openings and training provision locally, and where its strengths and weaknesses lie. It may work with other service providers and community stakeholders to improve joint planning and have more joined-up service delivery and referral systems so that people are accessing the best services for them. SICAP is not necessarily about providing direct services or training opportunities but helping people to access other locally available services such as an ETB course, or referring them to a specialised agency which has skills in areas such as combating addiction.

Referrals

A referral protocol was agreed with the Department of Employment Affairs and Social Protection (DEASP) in September 2015 and this protocol applies to SICAP 2018 – 2022. Within the protocol the DEASP recognises SICAP and its contribution to employment and activation under Goal 2. The protocol was prepared in order to ensure greater collaboration between PIs and DEASP staff so that SICAP can complement current activation service provision and add value to this. DEASP case officers will inform Intreo clients of relevant options and services available to them under SICAP, and will contact their local PI informing them if they have referred an individual.

PIs may receive referrals from the DEASP/Intreo and other services such as the Local Employment Service and JobPath etc. The PI must deal with any specific referrals to SICAP by the DEASP/Intreo/Local Employment Services, Education and Training Boards, JobPath providers etc., and co-operate with any referral and reporting protocols agreed by DEASP, DRCD and the LCDC locally.
SECTION 3: Target Groups
SECTION 3: Target Groups

A Dual Approach
Disadvantage is experienced more strongly by particular groups of people in society and in particular geographic communities. SICAP takes a dual approach to targeting disadvantage and social exclusion by allowing PIs the flexibility to target communities in need by taking an area-based approach, and individuals in need by taking an issue-based approach.

**Figure 3.1: A Dual Approach**

<table>
<thead>
<tr>
<th>Area-Based</th>
<th>Issue-Based</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Disadvantaged Children and Families</strong></td>
<td><strong>People living in Disadvantaged Communities</strong></td>
</tr>
<tr>
<td><strong>Disadvantaged Young People (aged 15 – 24)</strong></td>
<td><strong>People with Disabilities</strong></td>
</tr>
<tr>
<td><strong>Disadvantaged Women</strong></td>
<td><strong>Roma</strong></td>
</tr>
<tr>
<td><strong>Emerging Needs Group</strong></td>
<td><strong>Travellers</strong></td>
</tr>
<tr>
<td><strong>Lone Parents</strong></td>
<td><strong>The Disengaged from the Labour Market (Economically Inactive)</strong></td>
</tr>
<tr>
<td><strong>Low Income Workers/ Households</strong></td>
<td><strong>The Unemployed</strong></td>
</tr>
<tr>
<td><strong>New Communities</strong></td>
<td></td>
</tr>
</tbody>
</table>

Target Groups
SICAP supports a range of groups in society which are disadvantaged and marginalised and unable or unlikely to access mainstream supports. Pre-defined target groups have been set for SICAP and these have been selected based on the current socio-economic context, the level of need in society and government priorities. See the forthcoming “SICAP Training Guide: Completing the Individual Beneficiary Registration Form” for more detailed criteria and registration information for each target group.

All beneficiaries of programme supports must belong to one of the 13 SICAP target groups which are:

- Disadvantaged Children and Families
- People living in Disadvantaged Communities
- Disadvantaged Young People (aged 15 – 24)
- People with Disabilities
- Disadvantaged Women
- Roma
- Emerging Needs Group
- Travellers
- Lone Parents
- The Disengaged from the Labour Market (Economically Inactive)
- Low Income Workers/ Households
- The Unemployed
- New Communities

SICAP is aimed at those who need more help in society and who are on the margins of daily life. For SICAP to be an effective social inclusion and community development programme it is critical that resources, supports and interventions are targeted and do not become universal supports for the general population. This dilutes the effectiveness of interventions and increases duplication of supports and services.

PIs are not required to provide services to all target groups; however, if there is a well-evidenced need from a SICAP target group in the locality this should be reflected in the annual plan. Each of the SICAP target groups is explained separately below.

**Disadvantaged Children and Families**
This is any child or family which is socially or economically disadvantaged. This could include children and/or families belonging to any of the SICAP target groups, or who are experiencing other forms of disadvantage. As this target group is relatively broad, PIs must prioritise engagement with those genuinely in need. This target group can be engaged using a family-based approach and where the predominant focus is on the child’s well-being. For example, this could be by working directly with the child or their parents/guardians on early
intervention and family support. Children and young people in school and who are at risk of early school leaving can also be assisted under this target group as part of group (Beneficiary Type 4: Children and Families) engagement.

**Disadvantaged Young People (aged 15 – 24)**
This is young disadvantaged people who fall between the ages of 15 and 24 on entry into the programme. It includes a diversity of youth and encompasses the previous focus under SICAP 2015 - 2017 on young people not in employment, education or training (NEETs) but takes a wider approach. It may include young people who are at risk of early school leaving or youth who are unemployed/under-employed in need of ongoing supports, possibly accredited or unaccredited training to progress to employment, or more formal education options.

**Disadvantaged Women**
Women are frequently disadvantaged by policies and practices that do not recognise their different realities and experiences, such as unequal and lower pay, a greater share of care responsibilities, barriers to advancing into leadership positions, and gender-based violence. These realities have been largely shaped and influenced by cultural and societal norms. While it is important not to categorise women as a minority group, it is essential to recognise the gendered nature of women’s roles in society and to tailor budgets, policies, plans and programmes accordingly. Some women may be experiencing disadvantage, or double or cumulative disadvantage, as a result of being a woman and also being a member of a target group. For example, women are more likely to work in low paid sectors and head the vast majority of one-parent families.

**Emerging Needs Group**
Each LCDC was given the opportunity to select its own target group and this group was named (if one was selected) in the respective Request for Tender. It signals a group which the LCDC wishes to see particular engagement with e.g. substance misusers, the homeless, disadvantaged men. The emerging needs group is not listed in the Programme Requirements as it is different for each LCDC. Each PI must have identified specific actions to assist the emerging needs group as named in its bid. The group is reviewed on an annual basis and is uploaded onto IRIS for each Lot (see Section 6 for more information on IRIS).

**Lone Parents**
This is an individual who is living in a single adult household and raising dependent children and/or young people on their own. A lone parent may be a single parent or someone who is separated, divorced or widowed.

**Low Income Workers/Households**
People or households are considered to be at risk of poverty when their income is less than a particular threshold. There is a significant number of individuals and households in Ireland experiencing hardship as a result of having low household income levels, despite the fact that they are in employment. A key element of working with this target group is to assist people to find better quality, better paid, more secure jobs. Their employment situation may be precarious and low paid, perhaps with zero hour contracts/no work no pay stipulations. This can also apply to the self-employed, including farmers whose livelihood might be threatened. Smallholders and people receiving in-work financial supports from the state (such as the Family Income Supplement, Transitional Payment or Farm Assist) can be assisted in this group.

**New Communities**
The new communities target group includes people who are migrants experiencing disadvantage, refugees and asylum seekers. They could be from other EU Member States or from outside the EU but are resident/living in Ireland. It includes those who are living in direct provision.

**People Living in Disadvantaged Communities**
Programme Implementers are required to adopt an area-based approach to tackle disadvantage and use the Pobal HP Deprivation Index to identify the greatest concentrations of disadvantage in a Lot. The Pobal HP Deprivation Index is based on 2016 Census data and can be accessed on the Pobal Maps site.1

Disadvantaged communities are defined as living in a geographical area that is categorised as:

<table>
<thead>
<tr>
<th>Category</th>
<th>Index Range</th>
</tr>
</thead>
<tbody>
<tr>
<td>Disadvantaged</td>
<td>between -10 and -20: medium yellow</td>
</tr>
<tr>
<td>Very Disadvantaged</td>
<td>between -20 and -30: orange</td>
</tr>
<tr>
<td>Extremely Disadvantaged</td>
<td>&lt;=-30: red</td>
</tr>
</tbody>
</table>

Supports and services should be directed to these areas.

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1 https://maps.pobal.ie/WebApps/DeprivationIndices/index.html
Taking an area-based approach to social exclusion also allows for engagement with people who are marginalised on the basis of a particular issue such as being an ex-prisoner, a drug misuser, homeless or their sexuality, and do not belong to another target group.

**Note** that a target has been set under KPI 2 that a proportion of individual clients must reside in a disadvantaged area in order to ensure a minimum level of engagement in disadvantaged communities. See Section 2 for more on this.

**People with Disabilities**
The understanding of disability is broad and it draws upon a number of recognised national and international definitions. The Disability Act (2005) defines disability as a “substantial restriction in the capacity of the person to carry on a profession, business or occupation in the State or to participate in social or cultural life in the State by reason of an enduring physical, sensory, mental health or intellectual impairment.” SICAP applies a wider definition of disability in which the broader socio-economic complexities relating to disability are acknowledged and where mental health issues are often significant.

**Roma**
Due to the multifaceted nature of the Roma identity there is no common EU definition relating to Roma people. The European Commission and the Council of Europe tend to use “Roma” as an umbrella term to refer to a number of different groups (such as Roma, Sinti, Kale, Gypsies, Romanichels, Boyash, Ashkali, Egyptians, Yenish, Dom and Lom) and also includes Travellers, without denying the specificities and varieties of lifestyles and situations of these groups (Department of Justice and Equality, 2017).²

For the purposes of SICAP, Roma people are part of the international Roma community, which is made up of diverse groups throughout the world. Roma people will face many issues commonly experienced by Travellers but both communities have distinct and separate needs that require collaborative and distinct methodologies.

**Travellers**
The Equal Status Act (2000) defines Travellers as a community of people who are identified both by themselves and others as having a shared history, culture and traditions, including a nomadic way of life on the island of Ireland. Irish Travellers are a people with a separate identity, culture and history, although they are as fully Irish as the majority population. In March 2017, Travellers were officially recognised as an ethnic minority in Ireland. Recent research has found that Travellers stand out as a group that experiences extreme disadvantage in terms of employment, housing and health, and that faces exceptionally strong levels of prejudice (Department of Justice and Equality, 2017).³

**The Disengaged from the Labour Market (Economically Inactive)**
People who are disengaged from the labour market are those who are not classed as unemployed because they are not receiving jobseeker supports. They are not available for work and are not seeking work and are technically classified as ‘economically inactive’. The economically inactive includes a variety of groups in SICAP such as:

- A carer – this someone at home with caring responsibilities, perhaps looking after children or elderly relatives;
- Someone on a disability payment who is unable to work;
- A student who is at risk of early school leaving or

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in receipt of the Back to Education Allowance (or equivalent);
• A retired person who is receiving a low income or experiencing rural/urban isolation;
• Other e.g. someone who has given up looking for work as they think they will never find a job.

As this target group is relatively broad, PIs must prioritise engagement with those who are genuinely in need and most disadvantaged.

The Unemployed
The unemployment rate has been falling in Ireland over the last number of years and there is an expectation that there will be a return to full employment. Nonetheless, many people are still struggling to find work and lack the necessary skills and experience to be able to compete in the jobs market. The unemployed may or may not be on the Live Register depending on their circumstances but PIs can engage with someone who is unemployed regardless of whether they are on the Live Register. PIs should prioritise engagement with the long-term unemployed. Research has repeatedly shown that the longer someone is out of work the less likely they are to find a job and the more their skills and confidence levels deteriorate over time e.g. OECD, 2013.4

Double or Multiple Disadvantage
Programme Implementers should be cognisant of individuals who experience ‘double disadvantage’ i.e. someone who is a member of two target groups, for example, a member of the Roma community who has a disability. SICAP beneficiaries may also experience ‘multiple disadvantage’ across a number of indicators, for example someone has a low level of education, is living in poor quality housing, is distant from the labour market and is experiencing poor health and well-being.

The SICAP Multiple Barriers Measure
LCDCs and PIs will be able to identify individuals within the SICAP caseload who have multiple barriers. The multiple barriers measures is a useful tool to identify which clients are likely to need more interventions and more intensive supports. The greater the number of additional barriers assigned, the more that individual is likely to need assistance and a greater number of interventions.

The data to populate the measure is drawn from IRIS on individuals (KPI 2) who have completed the full registration and is based on six indicators selected from their profile information:

- Disability;
- Ethnic Minority;
- Homelessness;
- Jobless Household;
- Lone Parent;
- Transport Barrier.

The methodology for the multiple barriers measure is based on research from the ESRI and was developed as part of the SICAP evaluation process.

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Provision in the Gaeltacht
The existence of Gaeltacht areas where Irish lives as a community language is an important cornerstone in the building of a bilingual society in Ireland. The Gaeltacht areas are defined in various Statutory Instruments, and The Gaeltacht Act 2012 sets out the statutory basis for a range of developmental and planning measures for the maintenance and development of the language community within the Gaeltacht. Údarás na Gaeltachta is charged with the implementation of the Government’s 20-Year Strategy for the Irish Language 2010-2030 in the Gaeltacht. LCDCs and PIs with Gaeltacht areas under their remit are requested to:

- Recognise the particular community and linguistic dimensions which are crucial for the sustainable development of the Gaeltacht in the preparation, planning and delivery of SICAP;

- Identify the Gaeltacht as a specific language area in the delivery of SICAP and ensure that the programme is structured in such a way as to explicitly support the implementation of the Gaeltacht Act;

- Ensure that SICAP is delivered through Irish and in accord with the Government’s Irish language initiatives in Gaeltacht areas;

- Take due cognisance of the language planning process, particularly in Gaeltacht areas, with regard to the policy measures and the delivery of programmes. The one size fits all approach is not suitable to Gaeltacht areas which have a unique fragile linguistic component;

- Consult Údarás na Gaeltachta (or a community development group funded by them) where beneficial.

Following these guidelines will support the implementation of local language plans and will reinforce the cumulative effect of different funding programmes within the Gaeltacht.
SECTION 4: Programme Beneficiaries
SECTION 4: Programme Beneficiaries

There are six SICAP beneficiary types (see box) and each is outlined below. All SICAP beneficiaries must meet the criteria set out to be eligible for SICAP.

<table>
<thead>
<tr>
<th>Local Community Groups</th>
<th>Children and Families</th>
</tr>
</thead>
<tbody>
<tr>
<td>Social Enterprises</td>
<td>Non-Caseload Individuals</td>
</tr>
<tr>
<td>Individual Beneficiaries</td>
<td>PI Collaborations</td>
</tr>
</tbody>
</table>

Beneficiary Type 1: Local Community Groups

LCGs are defined in Section 2.

Eligibility Criteria

LCGs must have a social inclusion or equality focus and/or address the needs of a SICAP target group to be eligible for support.

Registration Process

A standard registration procedure is in place for LCGs in order to ensure consistency and data comparability. The following requirements must be met to register a LCG on IRIS:

- LCGs are on the caseload under KPI 1 for a particular year only when they have completed the registration process and have received two separate Goal 1 interventions within that year;
- At least one of these interventions must be carried out in person i.e. face-to-face;
- The registration meeting does not constitute a SICAP intervention (see definition of an intervention at the end of this Section);
- Groups should be encouraged to register with the Public Participation Network (PPN) where not already registered;
- A record should be created as soon as a LCG makes contact with the PI and all follow-up engagement should be recorded on IRIS as soon as it occurs.

LCG Support Plan

PIs must develop a LCG Support Plan for each registered LCG to assist them in planning what outcomes they want to achieve and the actions that SICAP will help them progress. The LCG Support Plan is the equivalent to the Personal Action Plan and should be drawn up by a PI staff member with the LCG representative.

The LCG Support Plan must:
1. Be drawn up after the registration meeting (as an intervention);
2. Be reviewed and updated annually;
3. Be informed by the LCG’s own assessment of the group and the key issues affecting them;
4. Have a clear focus on social inclusion, equality and community development.

Each Support Plan must include:
1. Answers to four baseline questions. These questions must be reviewed every 12 months (if the LCG is still engaged with SICAP) and all results recorded on IRIS. These questions relate to:
   - The LCG’s level of involvement in community planning and service delivery;
   - The LCG’s level of involvement in addressing social inclusion and equality issues;
   - The extent of the LCG’s participation in decision-making structures;
   - The extent of the LCG’s collaboration with local service providers.
2. Three actions that the LCG will focus on during the year. These actions should identify what SICAP (and other) resources are required to implement the actions e.g. if a grant is required;
3. Include where the LCG is on the development matrix if this is one of their objectives and, if so, any movement in its stages of development will be recorded on IRIS.

These questions are all on the LCG Support Plan on IRIS. These are the minimum pieces of information to be included and each PI can develop the support plans further to suit its own local needs if required and develop its own templates.
**LCG Networks**
LCGs may also include networks which are comprised of representatives from other LCGs that meet the eligibility criteria above and are in receipt of Goal 1 LCG supports. For example, a network of lone parents’ groups would be counted as a LCG. This does not include cross sectoral structures.

**Beneficiary Type 2: Social Enterprises**
Social enterprises are defined in Section 2.

**Eligibility Criteria**
Social enterprises supported under SICAP must provide services to SICAP target groups/in disadvantaged communities, or employ or provide training to SICAP target groups to be eligible for support.

**Registration Process**
- A registration form must be completed containing the contact information for the organisation and details about the social enterprise e.g. type, length of time in operation, number of employees etc.;
- The PI must outline what SICAP will be doing to help the social enterprise and identify the areas of work.

**Beneficiary Type 3: Individuals**
Individual beneficiaries are people who are registered with SICAP on a one-to-one basis and in receipt of Goal 2 interventions. There are a number of ways for an individual to come into contact with SICAP and to be registered. Individuals can approach a PI directly, a PI may approach an individual through outreach work, or the person could be referred to a PI by another agency or organisation.

**Eligibility Criteria**
Individual beneficiaries must be at least 15 years of age and belong to one of the SICAP target groups.

**Data Consent Form**
A data consent form must be completed by all individual beneficiaries registered with SICAP.

- Individual beneficiaries will be asked to give separate consents to provide personal data, sensitive data, for their data to be disclosed to other service providers for referrals/appointments, and to be contacted for future survey/evaluation purposes;
- A sample consent form is available from the SICAP webpage;
- PIs must satisfy themselves that they are meeting their obligations regarding data protection – see Section 6.

**Registration Process**
A standard registration procedure is in place in order to ensure consistency and data comparability. The following requirements must be met to register an individual on IRIS:

- Individual beneficiaries are on the caseload under KPI 2 for a particular year when they satisfy the eligibility requirements and have received two separate, one-to-one interventions within the year;
- At least one of these interventions must be carried out in person i.e. face-to-face;
- Two is the minimum number of interventions and is not the required or maximum level;
- The registration meeting does not constitute a SICAP intervention;
- Certain information will be requested from each individual which consists of personal and sensitive data;
- Each individual must sign a data consent form to verify that they agree to engage with the programme and authorise the recording/processing of the information requested;
- Beneficiaries must self-certify (sign and date) their registration form to confirm the accuracy of information contained;
- Individuals must be made aware at the registration meeting that their records and consent forms may be viewed as part of external audits for the purpose of verifying records etc.;
- Records should be created as soon as the individual makes contact with the PI and all follow-up engagement should be recorded on IRIS as soon as it occurs.

The “SICAP Training Guide: Completing the Individual Beneficiary Registration Form” gives full guidance on completing the registration process and good practice on data collection.
**Pre-Registration Option**
A pre-registration option on IRIS enables PIs to request a reduced level of information at registration and still record the individual. Individual beneficiaries may not wish to provide all the information sought as part of full registration; the pre-registration option allows for information to be compiled more gradually and to take time to build up a relationship between the client and support worker. For a valid pre-registration an individual must provide the following:

<table>
<thead>
<tr>
<th>Name</th>
<th>Principal economic status</th>
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</thead>
<tbody>
<tr>
<td>Address</td>
<td>How they heard about SICAP</td>
</tr>
<tr>
<td>Gender</td>
<td>Signed data consent form</td>
</tr>
<tr>
<td>Age band</td>
<td></td>
</tr>
</tbody>
</table>

The pre-registration option allows PIs to create an individual record and track interventions and outputs on IRIS, however to count towards KPI 2 a full registration must be carried out.

**Protocol for Registering 15 – 18 Year Olds**
Children and young people under 18 are considered to be minors. If young people (15-18) are receiving SICAP supports on a one-to-one basis they can be registered as individuals if they receive interventions from the PI that are separate and outside of the school environment. Otherwise they should be engaged in group-based activities only through Beneficiary Type 4: Children and Families. See also Section 6 for Data Collection for Minors.

**Personal Action Plans**
Programme Implementers must work with individual beneficiaries to empower them to be able to reflect on their own abilities, aspirations, and progression pathways during their participation in SICAP. This should be done via a Personal Action Plan (PAP) and each individual registered with SICAP must have an individualised PAP. The PAP is a locally managed document and is not uploaded onto IRIS.

The PI support worker will discuss with the client what assistance they would benefit most from and work with them in drawing up a PAP which sets out their goals and objectives for their engagement with SICAP. In time the expectation is that the PAP will draw upon and connect with the Distance Travelled Tool.

The PI support worker can fill out the PAP with the client or the client can complete all or part of it themselves, as long as the support worker is present. The support worker may wish to give the client a copy to take home with them so they have a record of their goals and agreed next steps.

Each PAP must:
- Be drawn up after the registration meeting as an intervention;
- Be updated after each intervention;
- Be informed by the individual’s own assessment of their skills and key competencies;
- Be formally reviewed with the individual every six months.

Each PAP must include the following elements:
- An assessment of client’s education/skills;
- An overview of their employment history;
- An outline of their areas of interest/goals;
- Any barriers they may face in accessing education or employment e.g. English language ability or limited access to transport;
- The agreed next steps.

A sample PAP template has been developed by Pobal which contains these minimum elements. It is up to each PI to choose a format that best suits their needs and client management procedures, as long as the above minimum requirements are met.

**Distance Travelled Tool**
A Distance Travelled Tool will be made available under SICAP to demonstrate personal progression for individuals who receive SICAP supports. This will assist PIs in measuring and demonstrating personal progression by showing the distance travelled by clients from their initial engagement throughout their participation. As a result of receiving SICAP support, it may be possible to measure progression in personal development and the competences of an individual. The Distance Travelled Tool will also ensure that more intensive supports can be directed at an earlier stage to those most in need. The Distance Travelled Tool proposal is being developed by Pobal. The expectation is that it will be piloted with a number of PIs, with a full release in late 2018/early 2019.
**Individual Beneficiary File**

An individual beneficiary file must be kept for each individual registered with SICAP and must include the following documents:

1. Signed data consent form;
2. Signed registration form;
3. Completed Personal Action Plan;
4. A record of the training completion date and details of training (on IRIS – the “course record”) (if applicable);
5. A sign-in sheet for the training course verifying the person’s participation on the course;
6. A copy of the training certificate;
7. Evidence of follow up/progression of beneficiaries within the timeframes required.

Documents can kept in hard copy and/or be scanned and stored locally as digital copies. There must be a proper filing system in place for all records so that an individual record can be easily and readily located and presented for review to auditors. All scanned documents must be good quality and a true copy of the original and clearly show all signatures (where applicable). Individual beneficiary files must contain all the relevant documents in one, separate digital file (where scanned) or kept as one physical file for ease of access and review.

**Lifelong Learning Course Files**

A lifelong learning course file must be kept for each course. This must include evidence that trainers/tutors are suitably qualified to deliver SICAP training programmes i.e. contain copies of trainers’/tutors’ certificates.

**Beneficiary Type 4: Children and Families**

**Definition and Eligibility Criteria**

The children and families beneficiary type includes children and young people (under 18 years of age) who belong to a SICAP target group and who are engaged with SICAP through their school and/or local activities. They can be supported either on their own (as a one-to-one or in a group setting) or as part of a family intervention involving their parents or guardians.

The children and families beneficiary type is similar to non-caseload (see Beneficiary Type 5) in that little information needs to be gathered from the people participating. It is distinct from non-caseload, however, in that this type is specifically for work with children/young people/their families and is focused on Goal 2 work including preventative work in tackling early school leaving, homework and breakfast clubs.

**Data to be Collected**

- No personal details are recorded for these beneficiaries;
- Details regarding the types of activities, the numbers engaged, gender, age bracket, and target group details;
- Supporting documentation held on file to confirm that the activity occurred e.g. an attendance sheet, an agenda, an invoice.

**Beneficiary Type 5: Non-caseload Individuals**

**Definition and Eligibility Criteria**

Non-caseload individuals are beneficiaries who participate in specific Goal 1 community engagement activities (G1-1:1) or Goal 2 information events e.g. attend a lifelong learning information event or a jobs fair. Non-caseload events should be targeted at SICAP target groups but not all attendees need to belong to a target group.

**Data to be Collected**

- Details are recorded for these beneficiaries;
- The PI must record details regarding the types of activities, the numbers engaged, gender and target group details. The numbers reported on IRIS should, where possible, exclude non-SICAP target group attendees;
- Supporting documentation should be on file to confirm that the event occurred e.g. an attendance sheet, an agenda, an invoice.
**Beneficiary Type 6: PI Collaborations**

**Definition and Eligibility Criteria**
PI collaborations are structures that the PI engages with to address social inclusion and disadvantage. This could include work with other entities such as local employers or agencies. It replaces structures and networks under the previous programme. Work carried out with PI collaborations should be linked to SICAP outcomes to address gaps in services, improve the quality of services, and identify new approaches to address barriers to access or participation by SICAP target groups as set out in the monitoring framework (G1 - 4:2.1, G2 – 3:1.1, G2 – 4:3.1, G2 - 5:2.1, G2 - 7:1.1).

**Data to be Collected**
- Details of collaborations, including contact details, level of PI involvement, core focus, target group representation;
- Names of LCGs supported by SICAP or other organisations involved;
- Good practice or innovative actions that should be highlighted.

**General Information**

**Beneficiary Templates**
PIs must collect specific data for all beneficiary types. Templates have been developed to facilitate the collection of beneficiary data and these are available on the SICAP website. These may be updated from time to time to meet programme needs. Records should be created as soon as a beneficiary makes contact with the PI and all follow-up engagement should be recorded on IRIS as soon as it occurs.

**What is an Intervention?**
- An intervention is a meeting with a SICAP beneficiary to discuss/agree actions or provide supports:
  - For LCGs this could be agreeing/reviewing the LCG Support Plan, giving guidance on funding applications or supports on corporate governance requirements etc.;
  - For individuals this could be preparing or updating the PAP, providing guidance on CV preparation, interview techniques, or lifelong learning options etc.;
- The registration meeting does not constitute a SICAP intervention;
- Interventions are only recorded for LCGs, social enterprises and individuals and are recorded on IRIS;
- Interventions can be one-to-one (in person or Skype/phone), group or network meetings, information sessions/workshops.

**Follow-up with Beneficiaries**
The PI is responsible for following up with beneficiaries so that outputs and longer term outcomes for those supported under SICAP are captured. It is good practice to follow-up with LCGs and individual beneficiaries every three months from the date of their last recorded contact to determine if continued interventions are required. IRIS User Guides provide further information on follow-up requirements.
SECTION 5: Programme Monitoring
SECTION 5: Programme Monitoring

The SICAP Monitoring Framework
The purpose of the SICAP monitoring framework is to monitor and demonstrate the extent to which the programme outcomes are being achieved. Indicators have been developed for each outcome to measure this. Some indicators relate directly to beneficiary supports while others relate to broader or more strategic activities. The monitoring framework lists the thematic areas for each goal, the outcomes, the indicators to measure these outcomes, the beneficiary types, and the collection method. The full SICAP monitoring framework can be found at the end of this Section.

The monitoring framework relies on both quantitative and qualitative outcome-based indicators and seeks to measure progress using evolutionary indicators and holistic assessments where possible. The indicators are designed from the client’s perspective and try to ‘humanise’ the numbers and allow for community development work to be more accurately reflected. The LCDC will monitor the PI’s progress in achieving these outcomes by extracting/downloading the relevant reports from IRIS within the context of the mid-year and annual performance reviews. Pobal will report nationally on the programme outcomes using this data as well as additional qualitative information collected via surveys and research.

Annual Monitoring Framework Cycle
Programme Implementers select from the list of SICAP outcomes and set out actions’ outcomes as part of their annual plan – see graphic below. As work is carried out, the PI will record beneficiary registration data and input it into IRIS. Details of ongoing interventions and outputs, as well as follow-up reviews and results, are recorded and input over the course of the year. The PI will also provide a narrative update on action progress with regard to qualitative outcomes and other relevant information. All of this information is linked to the indicators which demonstrate the levels of achievement against the outcomes. LCDCs can monitor this data at any time through the use of IRIS system reports.

Figure 5.1: Annual Monitoring Cycle
Thematic Areas
There are 12 thematic areas in SICAP and PIs are required to identify the relevant thematic areas for actions in the annual plan. The LCDC and PI should work collaboratively to respond to local needs and this may result in different thematic areas being addressed each year to ensure the best use of resources. Not all thematic areas need to be selected and thematic areas do not require a specific action.

Outcomes
Each SICAP thematic area has a series of outcomes with a total of 29 possible outcomes. PIs identify which of these outcomes will be achieved for each action in the annual plan as well as providing details of any additional expected outcomes as appropriate. Outcomes are measured annually and also cumulatively over the lifetime of the programme.

Key Performance Indicators
There are two Key Performance Indicators (KPIs) in SICAP, one per goal. There is also an additional target for the proportion of individuals living in a disadvantaged area.

<table>
<thead>
<tr>
<th>KPI 1</th>
<th>Total number of LCGs supported</th>
</tr>
</thead>
<tbody>
<tr>
<td>KPI 2</td>
<td>Total number of individuals (15 years upwards) engaged under SICAP on a one-to-one basis</td>
</tr>
<tr>
<td></td>
<td>% of KPI 2 living in a disadvantaged area</td>
</tr>
</tbody>
</table>

The LCDC sets annual KPI targets based on an indicative level set by the Department, which the LCDC can adjust by 15% either way.

- PIs must meet their KPI targets as part of the SICAP Funding Agreement (Minimum Contract Requirement);
- PIs set targets for the number of individuals and LCGs they will work with at action level to demonstrate how they will meet the overall KPI targets.

What Data is Monitored?

Beneficiaries
Beneficiary registration data provides information on the profile of beneficiaries who are in receipt of SICAP supports, the level of engagement with the target groups, and the geographic reach of the programme. It also provides a baseline for the measurement of progress or change over time as a result of SICAP interventions.

Interventions
Higher levels of interventions and more intensive engagement is expected in SICAP 2018 – 2022 which has a lower caseload compared to the previous programme (SICAP 2015-2017). This is measured by capturing not only the number of interventions but also the type and the duration of interventions. The LCDC and PI will be able to review the number of interventions and the average time spent with individuals and LCGs and compare these to national averages. This information will also allow Pobal to identify trends across target groups, gender and age bands etc.

Outputs and Results
Outputs such as participation in courses, progression into employment/self-employment, jobs created, referrals to other services, events and collaborative engagement are monitored. Results are collected for particular areas such as course results or if someone is still in employment/self-employment after six/12 months.

Measuring Impact
Social exclusion is multi-dimensional in nature - the data to measure outcomes from SICAP-funded actions comes from a variety of sources and includes both quantitative and qualitative elements. It is widely acknowledged that it is difficult to demonstrate impact, particularly when applying community development approaches. ‘Hard’ outcomes can be more readily demonstrated, for example if someone is assisted to find work or completes a lifelong learning course this outcome and change is clear to see and can be reported as such. Often, however, engaging with people, communities and groups results in ‘soft’ change which is more challenging to establish and to provide supporting evidence. These types of outcomes lend themselves to being demonstrated and evaluated through qualitative research.
Outcome Reporting Tools

A number of outcome reporting tools are used to facilitate the collection and reporting of information to monitor progress in achieving programme outcomes. These tools seek to determine the quantity and scale of the work under SICAP, as well as point towards the quality, intensity and effectiveness of this engagement.

**IRIS**

IRIS facilitates the recording of beneficiary information as well as work carried out with beneficiaries and outputs achieved e.g. progression to employment for an individual or movement along the community development matrix for a LCG. The PI selects the relevant outcome indicator for each intervention and output which allows them and the LCDC to keep track of progress against each outcome as well as the KPIs. IRIS also facilitates the tracking of beneficiary progress and updates after follow-up and review - see Section 6 for more on IRIS. IRIS provides a series of reports summarising key information to support the monitoring work and includes the summary report card – explained below.

**Summary Report Card**

LCDCs will be assisted in monitoring PI performance through a Lot level summary report card which displays key performance information and allows for a centralised review of IRIS data. This is an IRIS system report that can be run at any time by the LCDC. The summary report card includes a range of information for the Lot, with a national comparison where appropriate, including the level of achievement against KPI targets, information on interventions, the cost per LCG/individual, the number and amount of grants allocated etc. More information will be available on the summary report card in an IRIS User Guide.

**LCG and Social Enterprise Survey**

Pobal will design and administer a short annual survey to LCGs and social enterprises which have received SICAP supports. This is designed to collect qualitative information which is not recorded on IRIS. Pobal will report to the LCDCs on results of the survey carried out.

**Distance Travelled Tool**

A new tool is being developed to demonstrate personal progression for individuals who receive SICAP supports. It is designed to collect individual level qualitative information which is not recorded on IRIS. See Section 4 for more on this.
PI Annual Progress Report
PIs submit an annual progress report to the LCDCs in January each year. This gathers more general information on SICAP delivery and the local context. The LCDC must review the progress report to determine if the PI has met the qualitative outcomes specified in the annual plan and has focused on the horizontal principles. Case studies may be submitted and the LCDC can request additional information to meet local objectives and priorities. These reports are reviewed by Pobal and common themes and trends are described in the Pobal SICAP Annual Report. See Section 7 for more details on this.

Qualitative Research
A series of qualitative research projects will be overseen by Pobal and the Department throughout the lifetime of the programme. These will review and analyse themes and outcomes which are not readily measurable through IRIS and which have been identified as areas of interest. They will outline where additional research would provide added value to the programme and social inclusion/community development best practice work more generally.

Economic and Social Research Institute (ESRI)
The ESRI has been contracted to carry out a series of project level evaluations of SICAP, continuing with work carried out on the 2015 – 2017 programme. The research programme is overseen by a steering group and a consultative stakeholder panel also provides an input into the direction of the research programme. The ESRI will continue to support the programme by advising on general programme and statistical matters.

Identifying and Sharing Good Practice
An important component of SICAP is learning what initiatives and projects are working on the ground, and what the outcomes of specific interventions are. Sharing learning is an effective tool in disseminating good practice and generating greater awareness about SICAP. The actions carried out in SICAP to tackle poverty and social exclusion are a rich ‘testing ground’ from which the State and Departments can learn, as well as the community and voluntary sector more generally.

Pobal plays an important role in identifying and sharing good practice in ensuring ongoing programme learning. This may include identifying examples of good practice and sharing these with LCDCs and PIs. It could include showcasing effective and innovative approaches to tackling disadvantage and social exclusion and encouraging other organisations to adopt similar approaches, with the aim of mainstreaming innovation into local and national policy over time.

Evaluation
Evaluation is a critical component of SICAP to improve how SICAP operates and to make it a more effective programme through continual reflection and learning. Evaluations can point towards effective practices as well as highlight areas for improvement. The ESRI is continuing to carry out separate project level evaluations of SICAP – see above. LCDCs play a key role in monitoring and evaluating the effectiveness of SICAP locally and whether it is delivering through bi-annual performance reviews and ongoing engagement with PIs.
<table>
<thead>
<tr>
<th>Thematic Area</th>
<th>Outcomes</th>
<th>Outcome Indicator</th>
<th>Beneficiary Type</th>
<th>Information / data collection tool</th>
<th>Source</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Goal 1</strong></td>
<td></td>
<td></td>
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</tr>
<tr>
<td><strong>G1:1 - Promote community engagement and stronger communities</strong></td>
<td></td>
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</tr>
<tr>
<td>G1–1:1 Needs of local communities and groups are identified, represented and integrated through local planning and service delivery.</td>
<td>G1 - 1:1.1 Level of SICAP engagement with communities and LCGs to support participation in community planning and service delivery.</td>
<td>Non-caseload / LCG</td>
<td>IRIS (QN: Output / LCG Intervention)</td>
<td>PI</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>G1 - 1:1.2 Level of LCG involvement in community planning and service delivery.</td>
<td>LCG</td>
<td>IRIS (QL: LCG Support Plan)</td>
<td>PI</td>
</tr>
<tr>
<td></td>
<td></td>
<td>G1 - 1:1.3 SICAP’s role to support groups to participate in local networks, planning and service delivery affecting their communities.</td>
<td>--</td>
<td>Annual Progress Report (QL)</td>
<td>PI</td>
</tr>
<tr>
<td>G1–1:2 Local social inclusion and equality issues are addressed by LCGs.</td>
<td>G1 - 1:2.1 Level of SICAP engagement with LCGs to support social inclusion and equality issues.</td>
<td>LCG</td>
<td>IRIS (QN: LCG Intervention)</td>
<td>PI</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>G1 - 1:2.2 Level of LCG involvement in addressing social inclusion and equality issues.</td>
<td>LCG</td>
<td>IRIS (QL: LCG Support Plan)</td>
<td>PI</td>
</tr>
<tr>
<td></td>
<td></td>
<td>G1 - 1:2.3 SICAP’s role to address social inclusion and equality issues by LCGs.</td>
<td>--</td>
<td>Annual Progress Report (QL)</td>
<td>PI</td>
</tr>
<tr>
<td>G1–1:3 There is increased participation in social, cultural and civic activities among SICAP target groups due to the support of community groups.</td>
<td>G1 – 1:3.1 Level of increase in activities or participation as a result of SICAP supports, including social, cultural and civic activities supported by SICAP grants to LCGs.</td>
<td>LCG</td>
<td>LCG survey (QL) / IRIS (QN: LCG Output)</td>
<td>Pobal / PI</td>
<td></td>
</tr>
<tr>
<td>G1–1:4 A strengthened sense of community.</td>
<td>G1 – 1:4.1 Level of involvement in the local community.</td>
<td>LCG</td>
<td>LCG Survey / Annual Progress Report (QL)</td>
<td>Pobal / PI</td>
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<td>Thematic Area</td>
<td>Outcomes</td>
<td>Outcome Indicator</td>
<td>Beneficiary Type</td>
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<tr>
<td><strong>G1:2 – Build capacity of LCGs</strong></td>
<td>G1-2:1 LCGs progress along the community development matrix.</td>
<td>G1 – 2:1.1 Progression of LCGs to higher stage of development.</td>
<td>LCG</td>
<td>IRIS (QL: LCG Support Plan)</td>
<td>PI</td>
</tr>
<tr>
<td></td>
<td>G1-2:2 LCGs have a greater capacity to address the social inclusion needs of the communities they serve or represent.</td>
<td>G1 – 2:2.1 Level of SICAP engagement with LCGs to build their capacity.</td>
<td>LCG</td>
<td>IRIS (QN: LCG Intervention)</td>
<td>PI</td>
</tr>
<tr>
<td></td>
<td></td>
<td>G1 – 2:2.2 Extent to which LCG’s capacity to support its target group/members has improved as a result of SICAP supports.</td>
<td>LCG</td>
<td>LCG survey (QL)</td>
<td>Pobal</td>
</tr>
<tr>
<td><strong>G1:3 - Support participation in decision-making structures</strong></td>
<td>G1-3:1 SICAP target groups and community groups are represented and actively participate in decision-making structures.</td>
<td>G1 – 3:1.1 Level of SICAP engagement with LCGs to support active participation in decision-making structures.</td>
<td>LCG</td>
<td>IRIS (QN: LCG Intervention)</td>
<td>PI</td>
</tr>
<tr>
<td></td>
<td></td>
<td>G1 – 3:1.2 Level of LCG participation in decision-making structures.</td>
<td>LCG</td>
<td>IRIS (QL: LCG Support Plan)</td>
<td>PI</td>
</tr>
<tr>
<td></td>
<td></td>
<td>G1 – 3:1.3 Decision-making structures LCGs are involved with as a result of SICAP support.</td>
<td>LCG</td>
<td>LCG survey (QL)</td>
<td>Pobal</td>
</tr>
<tr>
<td><strong>G1:4 - Promote collaborative engagement</strong></td>
<td>G1-4:1 LCGs work with local service providers to develop and implement initiatives addressing social exclusion and inequality.</td>
<td>G1 – 4:1.1 Level of SICAP engagement with LCGs to co-develop and implement initiatives addressing social exclusion and inequality.</td>
<td>LCG</td>
<td>IRIS (QN: LCG Intervention)</td>
<td>PI</td>
</tr>
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<td></td>
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<td>G1 – 4:1.2 Level of LCG collaboration with local service providers to co-develop and implement initiatives addressing social exclusion and inequality.</td>
<td>LCG</td>
<td>IRIS (QL: LCG Support Plan)</td>
<td>PI</td>
</tr>
<tr>
<td></td>
<td></td>
<td>G1 – 4:1.3 Delivery partners with whom LCGs engaged to co-develop/ implement services as a result of SICAP supports.</td>
<td>LCG</td>
<td>LCG survey (QL)</td>
<td>Pobal</td>
</tr>
<tr>
<td></td>
<td>G1-4:2 Collaboration and co-operation between relevant stakeholders in addressing social exclusion and inequality is increased.</td>
<td>G1 – 4:2.1 PI Collaborations to address social exclusion and inequality.</td>
<td>PI Collaboration</td>
<td>IRIS (QN: PI Collaboration Output)</td>
<td>PI</td>
</tr>
<tr>
<td></td>
<td></td>
<td>G1 – 4:2.2 SICAP’s role to increase collaboration and co-operation between relevant stakeholders to address social exclusion and inequality.</td>
<td>--</td>
<td>Annual Progress Report (QL)</td>
<td>PI</td>
</tr>
<tr>
<td>Thematic Area</td>
<td>Outcomes</td>
<td>Outcome Indicator</td>
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</tr>
<tr>
<td><strong>G1:5 - Support social enterprises which contribute to SICAP outcomes</strong></td>
<td>G1-5:1 Contribute to a social enterprise sector locally and support social enterprises contributing to achieving SICAP outcomes.</td>
<td>G1 – 5:1.1 Social enterprises (delivery of services to or employment of SICAP target groups) supported by SICAP.</td>
<td>Social Enterprise</td>
<td>IRIS (QN: SE Intervention)</td>
<td>PI</td>
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<td></td>
<td>G1 – 5:1.2 SICAP’s role to support social enterprises contributing to achieving SICAP outcomes.</td>
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<td>Annual Progress Report (QL)</td>
<td>PI</td>
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<tr>
<td></td>
<td>G1 – 5:2 Social enterprises supported by SICAP are stronger and more able to contribute to local economic and community development.</td>
<td>G1 – 5:2.1 New jobs created by social enterprises supported by SICAP.</td>
<td>Social Enterprise</td>
<td>IRIS (QN: SE Output)</td>
<td>PI</td>
</tr>
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<tr>
<td></td>
<td>G1 – 5:2.2 Social enterprises still in operation after 12 months.</td>
<td>Social Enterprise</td>
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<td>PI</td>
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<tr>
<td></td>
<td>G1 – 5:2.3 Extent to which SICAP supports assisted in improving existing services or in providing additional services.</td>
<td>Social Enterprise</td>
<td>SE survey (QL)</td>
<td>Pobal</td>
<td></td>
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<tr>
<td></td>
<td>G1 – 5:3 Social enterprises supported by SICAP provide training, volunteering and employment opportunities for SICAP target groups.</td>
<td>G1 – 5:3.1 Social Enterprises providing training, volunteering or employment opportunities for SICAP target groups.</td>
<td>Social Enterprise</td>
<td>IRIS (QN: SE)</td>
<td>PI</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td></td>
<td>G1 – 5:3.2 Number of participants (by SICAP target group) in social enterprise training, volunteering or employment opportunities.</td>
<td>Social Enterprise</td>
<td>SE survey (QN)</td>
<td>Pobal</td>
<td></td>
</tr>
<tr>
<td><strong>Goal 2</strong></td>
<td><strong>G2 - 1:1 SICAP clients have improved personal skills, wellbeing and capabilities.</strong></td>
<td><strong>G2 – 1:1.1 Individual (caseload) personal skills, wellbeing and capabilities have improved.</strong></td>
<td>Individual</td>
<td>IRIS (QN Individual Intervention) &amp; Distance travelled tool-late 2018/early 2019 (QL)</td>
<td>PI</td>
</tr>
<tr>
<td><strong>G2:1 - Promoting personal development and wellbeing</strong></td>
<td><strong>G2 – 1:2 SICAP clients increase their participation in civic life, education and/or employment.</strong></td>
<td><strong>G2 – 1:2.1 Individual (caseload) participation in civic life, education and/or employment has increased.</strong></td>
<td>Individual</td>
<td>Distance travelled tool-late 2018/early 2019 (QL)</td>
<td>PI</td>
</tr>
<tr>
<td>Thematic Area</td>
<td>Outcomes</td>
<td>Outcome Indicator</td>
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</tr>
<tr>
<td><strong>G2:2 - Providing lifelong learning opportunities</strong></td>
<td>G2 – 2:1 SICAP clients receive information about opportunities for lifelong learning.</td>
<td>G2 – 2:1.1 Individuals (caseload) in receipt of information about opportunities for lifelong learning.</td>
<td>Individual</td>
<td>IRIS (QN: Individual Intervention)</td>
<td>PI</td>
</tr>
<tr>
<td></td>
<td></td>
<td>G2 – 2:1.2 Participants (non-caseload) in SICAP lifelong learning information events.</td>
<td>Non-caseload</td>
<td>IRIS (QN: NC Output)</td>
<td>PI</td>
</tr>
<tr>
<td></td>
<td>G2 - 2:2 SICAP clients participate in lifelong learning.</td>
<td>G2 – 2:2.1 Individuals (caseload) participating in lifelong learning activity, including Individuals (caseload) who complete a lifelong learning activity.</td>
<td>Individual</td>
<td>IRIS (QN: Individual Output &amp; follow-up)</td>
<td>PI</td>
</tr>
<tr>
<td></td>
<td></td>
<td>G2 – 2:2.2 Participants’ experience of engaging with SICAP LLL activity.</td>
<td>Individual</td>
<td>Research (QL)</td>
<td>Pobal</td>
</tr>
<tr>
<td></td>
<td>G2 - 2:3 SICAP clients achieve higher levels of qualifications as a result of participating in lifelong learning.</td>
<td>G2 – 2:3.1 Individuals (caseload) who have achieved a higher level of qualification(^1).</td>
<td>Individual</td>
<td>IRIS (QN: Individual Output &amp; follow-up)</td>
<td>PI</td>
</tr>
<tr>
<td><strong>G2:3 - Preventative supports for children &amp; young people</strong></td>
<td>G2 - 3:1 Local communities and statutory stakeholders develop holistic approaches to address early school leaving.</td>
<td>G2 – 3:1.1 PI Collaborations to address early school leaving.</td>
<td>PI Collaboration</td>
<td>IRIS (QL: PI Collaboration Output)</td>
<td>PI</td>
</tr>
<tr>
<td></td>
<td></td>
<td>G2 – 3:1.2 SICAP’s role in developing holistic approaches to address early school leaving.</td>
<td>--</td>
<td>Annual Progress Report (QL)</td>
<td>PI</td>
</tr>
<tr>
<td></td>
<td>G2 - 3:2 Children and their families are supported in education and personal development.</td>
<td>G2 – 3:2.1 Children &amp; families supported in education and personal development.</td>
<td>Children &amp; families</td>
<td>IRIS (QN: C&amp;F Output)</td>
<td>PI</td>
</tr>
<tr>
<td></td>
<td>G2 - 3:3 Young people at risk of early school leaving remain within the education system.</td>
<td>G2 – 3:3.1 Young people at risk of early school leaving in receipt of supports to remain within the education system.</td>
<td>Children &amp; families / Individual</td>
<td>IRIS (QN: C&amp;F Output / Individual Intervention)</td>
<td>PI</td>
</tr>
</tbody>
</table>

\(^1\) This is defined as where an individual registers at NFQ Level 5 and exits with Level 6 – receiving the major award.
<table>
<thead>
<tr>
<th>Thematic Area</th>
<th>Outcomes</th>
<th>Outcome Indicator</th>
<th>Beneficiary Type</th>
<th>Information / data collection tool</th>
<th>Source</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>G2:4 - Preparing people for employment and to remain in work</strong></td>
<td>G2 - 4:1 SICAP clients are better prepared to enter the labour market.</td>
<td>G2 – 4:1.1 Individuals (caseload) in receipt of labour market supports.</td>
<td>Individual</td>
<td>IRIS (QN: Individual Intervention)</td>
<td>PI</td>
</tr>
<tr>
<td></td>
<td></td>
<td>G2 – 4:1.2 Participants (non-caseload) in SICAP labour market / enterprise information events.</td>
<td>Non-caseload</td>
<td>IRIS (QN: NC Output)</td>
<td>PI</td>
</tr>
<tr>
<td></td>
<td></td>
<td>G2 – 4:1.3 The extent to which Individuals are prepared for the labour market as a result of the SICAP supports.</td>
<td>Individual</td>
<td>Distance travelled tool – late 2018 / early 2019 Research (QL)</td>
<td>PI / Pobal</td>
</tr>
<tr>
<td><strong>G2 - 4:2 SICAP clients are supported to remain in work through receipt of ongoing in-work supports.</strong></td>
<td>G2 - 4:2.1 Individuals (caseload) in receipt of ongoing in-work supports.</td>
<td>G2 – 4:2.1 Individuals (caseload) in receipt of ongoing in-work supports.</td>
<td>Individual</td>
<td>IRIS (QN: Individual Intervention)</td>
<td>PI</td>
</tr>
<tr>
<td></td>
<td></td>
<td>G2 – 4:2.2 Individuals (caseload) still in employment 6 months after their last SICAP in-work support intervention.</td>
<td>Individual</td>
<td>IRIS (QN: Individual Output)</td>
<td>PI</td>
</tr>
<tr>
<td><strong>G2 - 4:3 Local employers are supported to have a more inclusive approach to recruitment.</strong></td>
<td>G2 – 4:3.1 PI collaborations with local employers to support more inclusive approach to recruitment.</td>
<td>G2 – 4:3.1 PI collaborations with local employers to support more inclusive approach to recruitment.</td>
<td>PI Collaboration</td>
<td>IRIS (QL: PI Collaboration Output)</td>
<td>PI</td>
</tr>
<tr>
<td></td>
<td></td>
<td>G2 – 4:3.2 SICAP’s role to promote a more inclusive approach to recruitment by local employers.</td>
<td>--</td>
<td>Annual Progress Report (QL)</td>
<td>PI</td>
</tr>
<tr>
<td>Thematic Area</td>
<td>Outcomes</td>
<td>Outcome Indicator</td>
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<tr>
<td>G2:5 - Promoting better quality and sustainable employment</td>
<td>G2 - 5:1 SICAP clients, the unemployed and those on low incomes, move into more sustainable and better quality employment.</td>
<td>G2 - 5:1.1 Individual (caseload) in receipt of supports to move into better quality employment.</td>
<td>Individual</td>
<td>IRIS (QN: Individual Intervention)</td>
<td>PI</td>
</tr>
<tr>
<td></td>
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<td>G2 – 5:1.2 Individuals (caseload) who have progressed into employment, including Individuals still in employment after 6 months (from start date).</td>
<td>Individual</td>
<td>IRIS (QN: Individual Output &amp; follow-up)</td>
<td>PI</td>
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<td>G2 – 5:1.3 SICAP’s role to move SICAP clients into more sustainable and better quality employment.</td>
<td>--</td>
<td>Annual Progress Report (QL)</td>
<td>PI</td>
</tr>
<tr>
<td></td>
<td>G2 - 5:2 Local employers are supported to create better quality and sustainable jobs.</td>
<td>G2 – 5:2.1 PI Collaborations with local employers to create better quality, sustainable jobs.</td>
<td>PI Collaboration</td>
<td>IRIS ((QL: PI Collaboration Output)</td>
<td>PI</td>
</tr>
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<td>G2 – 5:2.2 SICAP’s role to support local employers to create better quality, sustainable jobs.</td>
<td>--</td>
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<td>PI</td>
</tr>
<tr>
<td></td>
<td>G2:6 - Providing a pathway to self-employment/social entrepreneurship</td>
<td>G2 - 6:1 Individuals are supported into self-employment (including social entrepreneurship).</td>
<td>Individual</td>
<td>IRIS (QN: Individual Intervention)</td>
<td>PI</td>
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<td></td>
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<td>G2 – 6:1.1 Individuals (caseload) in receipt of self-employment supports.</td>
<td>Individual</td>
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<td>PI</td>
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<td></td>
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<td>G2 – 6:2.1 Individuals who have progressed into self-employment (new startups), including Individuals still trading after 12 months in business (from start date).</td>
<td>Individual</td>
<td>IRIS (QN: Individual Output &amp; follow-up)</td>
<td>PI</td>
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<td></td>
<td></td>
<td>G2 – 6:2.2 Individuals in receipt of follow-up self-employment supports.</td>
<td>Individual</td>
<td>IRIS (QN: Individual Intervention)</td>
<td>PI</td>
</tr>
<tr>
<td></td>
<td></td>
<td>G2 – 6:2.3 New jobs created in business supported by SICAP.</td>
<td>Individual</td>
<td>IRIS (QN: Individual Output)</td>
<td>PI</td>
</tr>
<tr>
<td>Thematic Area</td>
<td>Outcomes</td>
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<td>G2:7 - Addressing barriers and gaps in lifelong learning and employment</td>
<td>G2 - 7:1 Gaps in labour market and education provision are identified and addressed through joint planning and service delivery.</td>
<td>G2 – 7:1.1 PI Collaborations with LLL providers and/or employment services.</td>
<td>PI Collaboration</td>
<td>IRIS (QL: PI Collaboration Output)</td>
<td>PI</td>
</tr>
<tr>
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<td>G2 – 7:1.2 SICAP's role in identifying and addressing gaps in labour market and education provision through joint planning and service delivery.</td>
<td>--</td>
<td>Annual Progress Report (QL)</td>
<td>PI</td>
</tr>
<tr>
<td>G2 - 7:2 More joined-up referral systems are developed to help individuals access the right services.</td>
<td>G2 – 7:2.1 SICAP's role in developing more joined-up referral systems to help individuals access the right services.</td>
<td>--</td>
<td>Annual Progress Report (QL)</td>
<td>PI</td>
<td></td>
</tr>
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<td></td>
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<td>G2 – 7:2.2 Individuals (caseload) referred to other services for LLL activity / labour market supports.</td>
<td>Individual</td>
<td>IRIS (QN: Individual Output)</td>
<td>PI</td>
</tr>
</tbody>
</table>
SECTION 6: IRIS and Data Protection
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IRIS and Data Protection

Explaining IRIS

What is IRIS?
IRIS is the Integrated Reporting and Information System for the planning and monitoring of SICAP. It is a customised online Microsoft Dynamics Customer Relationship Manager (CRM) application. Programme Implementers are required to use IRIS for annual planning and reporting. All programme data is inputted and stored in the IRIS database and PIs, LCDCs, Pobal and the Department of Rural and Community Development (and other entities) have various levels of access – see more on this below. Users access the database over the internet using an internet browser e.g. Internet Explorer or Microsoft Edge.

What does IRIS do?
IRIS provides part of the evidence base for SICAP in tandem with the qualitative tools outlined in Section 5. It is used to demonstrate progression against programme outcomes and monitor the effectiveness of actions funded by SICAP. Reports can be run presenting data on beneficiaries, interventions, outputs and spend etc. LCDC and PI users can extract data for their own analysis as required and Pobal extracts data to meet its own reporting and analysis requirements and presents this to the Department and other stakeholders.

SharePoint Data Storage
The system is also used as a SharePoint data storage site which allows users to upload documents as part of their reporting requirements. The site will also hold generic correspondence to LCDCs and for correspondence between Pobal and the LCDC and the PI.

System Requirements
It is the responsibility of the PI to ensure that the necessary software is installed to ensure optimum utilisation of IRIS. Neither Pobal nor the LCDC is responsible for advising on hardware, software and broadband connectivity.

Data Privacy and GDPR

Data Subject Rights
When relying on individual’s consent as the grounds for lawful processing, data subjects have a number of rights e.g. right to access, erasure, rectification, restriction, objection etc. given by the Data Protection Act of 1988 and 2003 and the GDPR. PIs should accommodate such requests immediately and in line with their codes of practice on data protection.

Data Protection Codes of Practice
As a matter of transparency, data protection codes of practice should be accessible on the PIs’ websites.

Personal Client Privacy
Personal client privacy is of the utmost importance to the successful delivery of SICAP. Information that may pass to the PI as part of SICAP will include personal data and sensitive data, as defined in the Data Protection Acts 1988 and 2003 and the General Data Protection Regulation (GDPR) which will come into force on the 25th May 2018.

GDPR Definitions
The following are key definitions from the GDPR:

‘Personal data’ means any information relating to an identified or identifiable natural person (‘data subject’); an identifiable natural person is one who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person.

‘Processing’ means any operation or set of operations which is performed on personal data or on sets of personal data, whether or not by automated means, such as collection, recording, organisation, structuring, storage, adaptation or alteration, retrieval, consultation, use, disclosure by transmission, dissemination or otherwise making available, alignment or combination, restriction, erasure or destruction;

Data ‘controller’ means the natural or legal person, public authority, agency or other body which, alone or jointly with others, determines the purposes and means of the processing of personal data; where the purposes and means of such processing are determined by Union or Member State law, the controller or the specific criteria for its nomination may be provided for by Union or Member State law;

52
Data ‘processor’ means a natural or legal person, public authority, agency or other body which processes personal data on behalf of the controller;

Where two or more controllers jointly determine the purposes and means of processing, they shall be ‘joint controllers’.

**Designation of Stakeholders**

<table>
<thead>
<tr>
<th>Stakeholder</th>
<th>Designation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Department of Rural and Community Development</td>
<td>Data Controller</td>
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<tr>
<td>Programme Implementer</td>
<td>Data Controller</td>
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<tr>
<td>Local Community Development Committee</td>
<td>Data Processor</td>
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<tr>
<td>Pobal</td>
<td>Data Processor</td>
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</tbody>
</table>

**Data Controller**
The PI is the authorised Data Controller in SICAP and must comply with registration requirements as Data Controller under S.I. No. 657 of 2007, the Data Protection Acts of 1988 and 2003, the GDPR and other relevant statutory provisions. PIs must satisfy themselves as to their responsibilities as Data Controllers. The Department of Rural and Community Development is also an authorised Data Controller in SICAP.

**Data Processor**
LCDCs are classified as Data Processors in SICAP and must comply with registration requirements as Data Processor under S.I. No. 657 of 2007, the Data Protection Acts of 1988 and 2003, the GDPR and other relevant statutory provisions. Pobal is also an authorised Data Processor in SICAP.

**Registering with the Data Protection Commissioner**
The PI (including any entity that provides the services) must satisfy themselves that they are compliant with obligations as set out by the Office of the Data Protection Commissioner for Ireland as Data Controllers (ODPC). There are obligatory requirements on certain categories of Data Controllers (and Data Processors) to register with the Data Protection Commissioner. As stated by the ODPC, if you are required to register but have not it is illegal to process personal data. See further information in the ODPC’s A Guide for Data Controllers.

**Data Usage and Management**

**IRIS User Policy and Compliance Sheet**
An IRIS User Policy and Compliance Sheet was signed by each PI (the licensee) and forms part of the Funding Agreement. This User Policy sets out the full requirements for PIs regarding data protection, access rights and security roles, licensing agreements and user compliance etc. The User Policy applies to all employees who have access to IRIS and its SharePoint document folders in carrying out their work and violation could result in disciplinary and/or legal action against the PI.

**Data Management and Protection Plan**
PIs must maintain a robust end-to-end data protection regime in relation to the discharge of their obligations through the programme. PIs were required to submit a Data Management and Protection Plan in their tender outlining how they will ensure the security and effective management of personal data at all times. It must fully comply with the IRIS User Policy and detail how quantitative and qualitative data collection, collection and the data storage process will be managed. It also outlines how the PI will ensure good quality and accurate data and minimise the occurrence of missing data and ensure timely data entry. PIs must ensure that the usage of IRIS, and other associated programme information, is in accordance with what is set out in their Data Management and Protection Plan for the duration of the programme.

**Data Collection for Minors**
Programme Implementers must have appropriate protocols for managing the registration of minors and use their own judgement, protocols and procedures when engaging with 15 to 18 year olds on a one-to-one basis. Note the below:

- Parental consent is not necessarily required to register a young person aged 15 to 18 with SICAP, but the PI as Data Controller must make a judgement on whether the young person appreciates the implications of consenting to provide information to SICAP;
- This means ensuring that minors have sufficient maturity to understand and make their own decisions about their personal data and know why certain questions are being asked, where the information is being stored, and how it will be used.
IRIS Access and Security

IRIS Licenses
Use of IRIS is restricted to licence holders. IRIS licences have been given by Pobal to PIs and LCDCs – the number of PI licences varies depending on staff numbers, however on average it is five to seven licenses per organisation. Pobal gives each LCDC a minimum of two licenses and additional licenses can be requested. Note the below:

• There is no charge for IRIS licences;
• Pobal is not obliged to grant access to any party other than the consortium lead in the case of a consortium;
• PIs/LCDCs can request additional licenses based on staffing levels and this will be facilitated where possible within the limit of the licenses available;
• Licenses must be assigned to users who actively use IRIS on a regular basis;
• Where it is evident that IRIS is not being utilised by licence holders, Pobal has the right to remove that license. The IRIS User Policy sets out circumstances in which licenses may be removed.

Access Rights to IRIS
The Department of Rural and Community Development is the owner of IRIS and a Data Controller. Pobal designs and maintains the system on its behalf. Note the below regarding access rights:

• Each PI and LCDC only has access to the data relating to its Lot(s). Pobal and the Department have access to information on all Lots;
• Pobal, the Department and LCDC users (with the exception of IRIS system administrators) do not have access to personal data (name, address, contact information) for any individual beneficiaries;
• Pobal system administrators and the contracted third parties (IT providers) have full access to the database including personal information for the purpose of system maintenance and support;
• IRIS system administrators have some processing functions with respect to programme surveys/evaluations, system administration functions, or to solve ICT problems experienced by system users;
• Pobal can extract and analyse IRIS data for statistical purposes and can share anonymised data to third parties for the purposes of programme research and analysis;
• Pobal can extract and share PPS numbers with a third party for the purposes of programme evaluation;
• Pobal and any contracted third party in a support role have a responsibility to keep personal data secure from unauthorised access, disclosure, destruction or accidental loss;
• Under any service framework agreement with a third party, the IT provider will be defined as a Data Processor of the information and be bound by the Data Protection Acts 1988 and 2003 and GDPR 2018.

LCDC Usage
LCDC staff may have access to confidential and sensitive information on IRIS. This information must be treated confidentially. The LCDC must inform Pobal if there are any changes to LCDC users so that licenses can be revoked.

Security Measures
Access to IRIS is password protected. System administrators maintain the list of usernames and passwords for all external users which is held on a Pobal network and is password encrypted. PIs must take appropriate security measures against unauthorised access to or unauthorised alteration, disclosure or destruction of IRIS data and against all other unlawful forms of processing. The PI must take measures to ensure that the privacy, security and the integrity of personal data is fully protected in accordance with all relevant laws.

The PI must promptly notify the LCDC and Pobal if there has been:

• Any accidental or unauthorised access to IRIS;
• Any requests received directly from the data subjects;
• Any request for disclosure of personal data by a law enforcement authority.

IRIS and Consortium Members
It is the responsibility of the PI to ensure that all reporting requirements and standards are met by any consortium members or sub-contracted parties, and in accordance with the below:

• PIs can request limited access to IRIS for a consortium member which will allow for the input of beneficiary data and updates;
• It is the responsibility of the PI to manage the allocation of its allotted licences to its own staff and the staff of consortium members;
• The PI must specify in its annual plan the actions to be implemented by consortium members so that access can be granted within the IRIS database;
• PIs must ensure that their written agreements with any consortium members and sub-contractors reflect the data protection requirements set out.
• The consortium lead is ultimately responsible for ensuring that all data protection requirements are met.
**Data Input and Training**

*Frequency of Inputting*
Each PI is required to appoint a lead person who is responsible for IRIS quality control and to ensure frequent data inputting – this may or may not be the ‘superuser’. IRIS must be utilised on an ongoing basis by PIs to ensure that programme reporting dates are met and to facilitate ongoing monitoring by the LCDC based on live data. It is recommended that IRIS be updated on a daily/weekly basis.

*IRIS Training and Superusers*
Two PI ‘superusers’ will attend ‘train the trainer’ sessions on the IRIS database at the commencement of the SICAP programme and all further training sessions. The ‘superusers’ will be responsible for ensuring that all IRIS users in their PI have sufficient knowledge and understanding of IRIS data input and reporting requirements.

**IRIS and Auto-Address**
All beneficiary addresses are inputted via the auto address functionality on IRIS. Auto address validates the address and maps it to a small area and/or electoral district. This facilitates geographic analysis of the SICAP caseload. The address fields are mandatory on IRIS but there is an alternative option for individuals who are homeless or who do not have an ‘official address’ (Eircode).

**IRIS Records from SICAP 2015 - 2017**
The records for individuals and LCGs on the caseload for 2017 (KPI 1 & KPI 2) have been transferred to the new SICAP IRIS database. Note the below:

- In order for these individuals and groups to be eligible for SICAP 2018-2022, the PI must carry out a review of the registration form and update IRIS accordingly;
- Their records must be reflective of their status at the point of registration for SICAP 2018-2022;
- The Personal Action Plan must be updated to reflect the support goals and needs of the individual;
- A LCG Support Plan should be agreed for LCGs.

“The PI must take measures to ensure that the privacy, security and the integrity of personal data is fully protected in accordance with all relevant laws.”
SECTION 7:
Annual Planning and Performance Reviews
SECTION 7: Annual Planning and Performance Reviews

Figure 7.1: Annual Stages

“The annual planning process provides an important opportunity to link SICAP thematic areas and actions with the LECP priorities.”

Annual Stages
A number of steps are built into each year in order to plan, monitor and review SICAP delivery and performance. These steps require input and collaboration between PIs and LCDCs an on-going basis. See the graphic above setting out the four key stages.

The SICAP Annual Plan
Programme Implementers are required to submit a SICAP annual plan to the LCDC setting out their proposed SICAP plan for the coming year. The annual planning process provides PIs with an important opportunity to reflect on their work and identify emerging trends to be addressed in the locality. The annual plan outlines the proposed actions for the following year and the targets and outcomes that will be achieved as a result, and includes costings. The three horizontal themes must be incorporated into the planning process.

Informing and Preparing the Annual Plan
The annual plan should:

• Be informed by PIs’ understanding of the Lot needs from a social inclusion perspective, including the key issues, challenges and opportunities, and refer to relevant socio-economic data;
• Focus on the needs of SICAP target groups and LCGs, and may be shaped by consultation processes with relevant stakeholders;
• Take into consideration other services and schemes already in place in the Lot and where gaps in provision lie;
• Take into account the views of the LCDC in terms of actions and interventions and any specific communities requiring additional engagement or supports, as long as in line with the Programme Requirements.

The annual planning process provides an important opportunity to link SICAP thematic areas and actions with the LECP priorities. PIs should also refer to their SICAP Strategic Plan (as submitted in the bid) and ensure that the annual plan continues to reinforce these strategic objectives.
**Timeframes and Steps**
The annual planning process commences in October each year (or earlier), and is approved in principle by the LCDC in December, and fully approved in February of the following year - see timeframes below.

| October | Pobal issues planning and review guidelines and the indicative KPI targets and budgets (as informed by the Department) to LCDCs |
| September | LCDCs review the indicative KPI targets and amend (if required) by 15% either way |
| September | LCDCs communicate indicative KPI targets and budgets and submission process to the PI |
| November | The PI submits the annual plan |
| Late November/Mid December | Department announces the annual budget and the KPIs for each Lot once the national budget has been confirmed |
| September | Pobal carries out a technical review of plans and provides feedback to LCDCs |
| September | LCDCs appraise their annual plan(s) and approve these in principle |
| February | Final approval by LCDCs once the annual performance review is completed |
| February | LCDCs submit annual reports to Pobal setting out LCDC learning and findings |

**Setting Actions for the Annual Plan**
The annual plan covers a 12 month period and details the actions to be delivered by PI under both SICAP goals, including targets for service delivery, outcomes and costs. The annual plan must take into account the following points:

- Include a minimum of four actions for each of the two goals (thus a minimum of eight in total) and a maximum of 20 actions;
- Each action must be linked to a thematic area;
- The four actions per goal must be exclusively for that goal and cannot be split across goals in order to ensure sufficient focus on each goal by a certain number of actions;
- However, any additional actions can be split across goals and provide thematic areas and outcomes under both. For example: if an action involves working with individual beneficiaries and is achieving outcomes set out in G2, and is also working with LCGs and is achieving outcomes set out in G1, this action can be split across the goals and action costs must be apportioned accordingly;
- PIs select the relevant outcome(s) and enter a KPI target for each action;
- PIs input the annual plan details directly onto IRIS each year.

Further information in relation to targets and Key Performance Indicators is in Section 5.

**Primary and Secondary Target Groups**
Programme Implementers must identify a primary target group and (if applicable) a secondary target group for each action. The primary target group relates to the people whose needs will be the primary focus of the action. A secondary target group can also be identified if they are working with another target group – this may be where there are multiple target groups in an action. Both target groups may be equally important or the secondary may be less important. For example, an action is working mainly with Travellers but there are also Roma included and both groups are equal.

**The Annual Plan Budget**
PIs submit an annual plan budget which outlines the action (direct) and administration (indirect) costs. Action costs are made up of salary and non-salary costs. Non-salary costs are assigned to specific actions and the salary costs are assigned to the overall goals as appropriate. The annual plan budget must comply with the following rules:

- The annual budget Lot cannot be increased;
- The administration (indirect) costs cannot exceed 25% of the total annual budget;
- All action (direct) costs must be divided across the two goals as non-salary or salary costs, as appropriate;
- Leveraged funding cannot be recorded;
- All administration (indirect) costs must be recorded in the administration section of the budget either as indirect salary costs or in one of the other defined overhead cost headings;
- The salary costs of PI employees and consortium members who are full or part-time funded by SICAP must be included on the Staffing Cost Sheet which is submitted as part of the annual plan – see section below. Direct staffing costs must relate to and be divided across the two goals as appropriate. Indirect staffing costs must be shown in the administration section of the plan;
- Set out the total costs charged to each goal;
- The PI must confirm on IRIS that sub-contracting costs do not exceed 30% of the annual budget.

While leveraged funding cannot be recorded within the annual plan budget, the LCDC and PI may wish to put together a local agreement on whether leveraged funding is included in the goal descriptor. A PI may include any co-funding for a particular action in the action description section on IRIS.
Staffing Resources: PI Staff Member
PIs must update the PI Staff Member section on IRIS annually and ensure this remains up to date throughout the year. Requirements for the staffing resources are as follows:

- The PI must insert the name of the staff member, job role, contact details, name of employer (if consortium member) and confirm that the CV has been uploaded;
- The list of PI Staff Members must be printed off and uploaded as part of the annual plan documentation;
- IRIS records for staff no longer working on SICAP must be deactivated;
- The PI should inform Pobal (by emailing iris@pobal.ie) if any staff members have left so that Pobal can revoke their access to IRIS in line with the terms of the IRIS User Policy.

Staffing Cost Sheet
A staffing cost sheet must be submitted and uploaded onto IRIS. This should detail the roles funded by SICAP, the full-time equivalent (FTE) of each role representing the time spent working on SICAP, and the total salary costs charged to SICAP and allocated as direct or indirect costs. Note that no names are included in the staffing sheet – only the role the individual is funded for under SICAP. Full salary details are not required, only the cost to SICAP which includes gross salary, employer’s PRSI and pension costs.

Internal Sign-off by PI
Before submitting the plan to the LCDC it must be approved by the PI Board of Directors as a good governance mechanism. Any subsequent amendment to the annual plan must be approved by the PI Board before resubmission.

Reviewing the Annual Plan
The LCDC is responsible for reviewing the annual plan and assessing it using specific appraisal criteria. Please note the below criteria:

- PIs will be advised of the specific appraisal criteria in advance by the LCDC, as per guidance issued by Pobal;
- The LCDC will assess the plan to ensure that it and all costings are in line with the Programme Requirements and the LECP;
- The LCDC assessment will confirm that the proposed actions meet the KPI targets and match the Lot budget;
- The LCDC may contact the PI to seek clarification or discuss particular points in the plan during the review process;
- If necessary, the draft plan can be referred back to the PI for further information or clarification before being re-submitted to the LCDC.

Pobal undertakes a technical, high level review of each annual plan to confirm that it complies with the Programme Requirements on behalf of the Department and as a support for LCDCs. Pobal will provide feedback to the LCDC based on the outcome of its review which the LCDC considers.

Outcomes of the Annual Planning Process
There are three outcomes of the annual planning process:

1. Annual plan is approved
   - The approved plan forms part of the Funding Agreement and must be inserted into the relevant Schedule in the Agreement.

2. Approval is deferred and plan is resubmitted
   - Aspects of the proposal are not deemed sufficient to warrant full approval. The plan is returned to the PI for review and re-submission, and is then re-assessed and approved by the LCDC. Payments to the PI are withheld or reduced until this process is complete. The steps as outlined in outcome 1 are then followed.

3. Resubmitted annual plan deemed not sufficient
   - In this case the LCDC makes a recommendation to the Department and assistance is provided by the Department and Pobal on managing this process.

Ongoing Amendments to Annual Plans
If it is identified that changes need to be made to the annual plan once it has been approved, any such changes can be negotiated between the LCDC and PI through dialogue. The LCDC and PI can both propose changes to the annual plan using a Change Control Procedure, as set out in the Funding Agreement. If either party wishes to make a change they must prepare a Change Control Notice which outlines the change requested, the rationale for the change and the effect that the change will have on the services and ensuring it remains cost neutral etc. The notice is then submitted for review to the other party. If the request is approved the annual plan should be updated but if either the PI or the LCDC rejects the request, the change will not take place.

Notwithstanding, LCDCs have scope to work with PIs and suggest changes to programme delivery and annual plans on an ongoing basis using a variety of methods. The LCDC can give written direction to the PI in relation to the delivery of SICAP services and request that the PI complies with these directions as per the Funding Agreement.
**Performance Reviews**
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. See timeframes below. The LCDC can also request interim updates between reporting periods from the PI if required.

<table>
<thead>
<tr>
<th>Timeframes for Performance Reviews</th>
</tr>
</thead>
<tbody>
<tr>
<td>Period</td>
</tr>
<tr>
<td><strong>Mid-Year Review</strong></td>
</tr>
<tr>
<td><strong>Annual Review</strong></td>
</tr>
</tbody>
</table>

**What is Assessed?**
The LCDC reviews performance by assessing financial and non-financial information through the Finance and Monitoring Report – the “Fin & Mon” report. The Fin & Mon report is summary information and includes:

- A cost charged report;
- An outcome indicator report;
- The summary report card;

Non-financial information is based on data from IRIS in relation to:

- The number and type of LCGs supported (KPI 1);
- The number and type of individual beneficiaries supported (KPI 2);
- The outcome indicator report – this is a summary of actuals achieved against the programme indicators;
- The number and type of interventions delivered and outcomes/outputs achieved;
- An update on progress in the form of a narrative for each action;
- The summary report card for both goals. See Section 5 for more details on the summary report card.

**Cost Charged Report**
Financial information is contained within a finance report on IRIS detailing the costs charged to SICAP. Note the following:

- A cost should be reported against each budget heading only where an actual cost has been incurred and paid;
- All costs must be real and verifiable by relevant supporting documentation i.e. original invoices/wages records/travel claims/receipts/bank statements etc.;
- The net of VAT element of the cost should be charged against each budget heading as the total Lot budget allocated is net of VAT. See Section 8 for information on how to report the VAT element of the costs paid out.

**Outcomes from the Mid-Year Performance Review**
Following the review, the LCDC may:

1. Conclude that sufficient progress has been made and they are satisfied with PI performance in delivering SICAP;
2. Conclude that performance has not been satisfactory and there been an unacceptable level of progress, or in any other way is deemed to have fallen short on the annual plan.

**The Mid-Year Performance Review**
The LCDC is responsible for undertaking the mid-year performance review. The review allows the LCDC to assess the progress of PIs 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 is about raising a flag early in the year and identifying any issues well in advance of the end of year performance review and working to address these. For example, if a particular action is not working steps can be taken to rectify this. It should be viewed as a check-in rather than leaving it to the end of the year when it may be too late to take action.

In addition:
- The mid-year reporting provides a mechanism for PIs to report on and charge VAT costs to the programme;
- PIs must ensure that IRIS data is up-to-date to meet reporting requirements and timelines - information entered after submission deadlines will not be considered;
- Pobal undertakes a high level review to ensure compliance with the Programme Requirements on behalf of the Department, and makes a recommendation to the LCDC based on the outcome of this.
In this case the LCDC can request a report from the PI setting out the reasons for performance issues and putting forward actions to remedy these. The LCDC and PI will enter into a process of engagement and the PI will commit to making changes to how it is delivering SICAP. The LCDC may arrange ongoing meetings with the PI and/or request additional updates.

The Annual Performance Review
The LCDC is responsible for undertaking the annual performance review. The annual performance review is an opportunity for the LCDC to measure the level of progress against what was set out in the SICAP annual plan and ensure that PIs have met the KPI targets and adhered to contractual conditions. It is the responsibility of PIs to ensure that the data on IRIS is up-to-date to meet the reporting requirements and timelines of the LCDC. Information entered after that date will not be considered as part of the annual performance review. Pobal undertakes a high level, technical review to ensure compliance with the Programme Requirements on behalf of the Department, and makes a recommendation to the LCDC based on the outcome of this.

PI Annual Progress Report
Programme Implementers are required to submit an annual progress report to the LCDC at the end of each 12 month period. This report is reviewed by Pobal and common themes and trends are reported and described in the Pobal SICAP Annual Report. It allows the PI to present additional and more general information on key learning in the programme, difficulties and barriers encountered locally, and includes case studies to spotlight particular actions and innovative practices. PIs must also set out specific measures they put in place to promote the horizontal themes and reflect on how the principles can be further advanced the following year. Pobal provides a template for this report. The end of year reporting provides a mechanism for PIs to report on and charge VAT costs to the programme. See Section 5 for more on this.

What is Assessed?
Performance is measured in terms of whether the PI has met the Minimum Contract Requirements (KPIs and administrative spend), with both directly linked to financial remedies. The LCDC assesses both financial and non-financial information through the Fin & Mon report and also reviews performance more holistically by taking other deliverables and data into account to determine if performance has been satisfactory.

The LCDC examines the following areas when carrying out its review:

- Meeting the two KPI targets - this criterion is also directly linked to continuing payments (further detail provided in remedies section below);
- Adherence to the SICAP budget requirements whereby the total costs charged to administration are not in excess of 25% of the total Lot budget - this criterion is also directly linked to continuing payments (further detail provided in remedies section below);
- Meeting the target relating to the proportion of KPI 2 individuals who reside in disadvantaged areas;
- Adherence to the total costs charged to each goal as set out in the annual plan, subject to the 10% leeway - unless a variation was otherwise agreed in writing by the LCDC prior to the review process.

The LCDC will also examine other more qualitative aspects, including:

- Delivery against the other SICAP action targets and outcomes;
- Evidence of targeting supports to particular beneficiaries, SICAP target groups, providing supports to the emerging needs target group (if relevant);
- Information on the IRIS summary report card showing performance across a range of areas;
- Results from the Distance Travelled Tool for individual beneficiaries;
- Any other information submitted by the PI in its annual progress report.

As per the Funding Agreement, ultimately a contract can be terminated if the LCDC deems that performance has not been satisfactory in any other respect in addition to not meeting the Minimum Contract Requirements.

Outcomes from the Annual Performance Review
There are two possible outcomes. The LCDC may approve the annual performance review or it may conclude that the PI has not met the Minimum Contract Requirements or that the delivery of SICAP services has not been satisfactory in any other respect. In this case the LCDC can:

1. Request that the PI addresses the performance issues;
2. Withhold or suspend payment of all or part of SICAP funding, and/or require repayment of all or part of the SICAP funding already paid to the PI (see remedies section below);
3. Terminate the contract, working closely with the Department and Pobal on managing this process.
LCDC Annual Report
LCDCs must prepare an annual report which presents an overview of the experiences, challenges and learning over the previous year in overseeing the implementation of SICAP. This report provides an opportunity to outline any supports the LCDC may require to further develop its role in managing SICAP and is used to assist Pobal and the DRCD in understanding what future training and support events are needed. Pobal will issue a template for the report to LCDCs every year once the annual planning and performance review processes have been completed.

Pobal SICAP Reports
Pobal will prepare a brief mid-term SICAP progress report which provides an update on SICAP performance at a national level. Pobal will prepare an annual SICAP progress report (based on information within IRIS and additional data sources) which will be shared with the Department and be made available online.

Remedies
Ongoing receipt of SICAP funding by the PI is directly linked to performance against the Minimum Contract Requirements. These are the targets for the two Key Performance Indicators and that the administration cost reported as spend cannot exceed 25% of the total Lot budget as per Schedule A of the Funding Agreement.

Remedies are applied on a fixed rate basis and are aligned to a set of scales depending on the level of non-achievement/non-compliance. The payments schedule (see Section 8) is designed to facilitate the cash flow requirements of PIs to allow for the payment of regular bills such as salaries and overhead costs, whilst also linking payments to the achievement of the targets and compliance with Schedule A, where it is appropriate to do so.

### Remedies for Non-Achievement of each KPI Target:

<table>
<thead>
<tr>
<th>% of Target not Achieved</th>
<th>Remedy Amount (€)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1% - 3%</td>
<td>€500</td>
</tr>
<tr>
<td>4% - 6%</td>
<td>€1,500</td>
</tr>
<tr>
<td>7% - 9%</td>
<td>€2,500</td>
</tr>
<tr>
<td>10% or greater</td>
<td>€3,500</td>
</tr>
</tbody>
</table>

Note that these remedies apply to each KPI - the targets under each KPI need to be achieved in order to avoid a remedy being applied. Two remedies could be applied if both KPIs are not met.

### Remedies for Non-Compliance with Schedule A (Administration):

<table>
<thead>
<tr>
<th>% over the Administration Spend Threshold</th>
<th>Remedy Amount (€)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1% - 3%</td>
<td>€500</td>
</tr>
<tr>
<td>4% - 6%</td>
<td>€1,500</td>
</tr>
<tr>
<td>7% - 9%</td>
<td>€2,500</td>
</tr>
<tr>
<td>10% or greater</td>
<td>€3,500</td>
</tr>
</tbody>
</table>

### Remedies: A Working Example

<table>
<thead>
<tr>
<th>KPI</th>
<th>Target</th>
<th>Output</th>
<th>% under achieved</th>
<th>Remedy (€)</th>
</tr>
</thead>
<tbody>
<tr>
<td>KPI 1</td>
<td>50</td>
<td>48</td>
<td>4%</td>
<td>€1,500</td>
</tr>
<tr>
<td>KPI 2</td>
<td>800</td>
<td>780</td>
<td>2.5%</td>
<td>€500</td>
</tr>
</tbody>
</table>

### Ongoing Inspections and Audits
In addition to the mid-year and annual performance reviews, other reviews, audits and data checks are required as part of the SICAP process. These are:

- Ongoing audit/inspection/verification of the programme at both LCDC and Department level will be carried out by various parties, in addition to ESF audits;
- Anonymised data can be inspected by the LCDC, the LGAS, the ESF and/or Pobal for the purposes of verifying the fulfilment of contract terms in 2018 – 2022;
- Each PI is required to provide any information or reports requested by the LCDC, Pobal, the Department etc., including financial reports, progress reports, case studies etc., at any time in order to ensure the ongoing effective delivery of the programme;
- Pobal may contact SICAP clients directly, on behalf of the Department or the ESF, in order to ascertain satisfaction with the quality of services being provided.
SECTION 8: Financial Requirements
SECTION 8:
Financial Requirements

Part I: Internal Financial Procedures

Eligible Costs
Two categories of costs are eligible under SICAP. These form the basis of the SICAP budget - Administration (indirect) costs and Action costs under the two SICAP goals. All costs must be real and verifiable by relevant supporting documentation i.e. original invoices, wages records, travel claims, receipts, bank statements etc.

Administration Costs
Administration (indirect) costs are costs that are not directly attributable to the implementation of SICAP and cannot exceed 25% of the total annual budget. These costs are incurred in supporting the implementation of the SICAP annual plan and include the following:

- Administration salary costs;
- Overhead costs;
  - Office and administration costs;
  - Financial and professional fees.

Administration Salary Costs
Administration salary costs relate to the management, implementation and co-ordination of SICAP e.g. the CEO/Manager (whichever is applicable) of the company, the financial controller/administrator, and other administrative support salary costs.

Overhead Costs
Overhead costs support the implementation of SICAP e.g. office and administration costs, financial and professional fees, and the travel and subsistence costs of administration staff are included under this heading. It is not permissible to apportion costs into the goal budgets proportionately on the basis of the numbers of action and administration staff as the costs are not directly attributable to the goal staff and are therefore indirect costs which must be recorded under the administration budget heading.

Outreach Offices
Overhead costs relating to outreach offices are an administration cost unless they are 100% attributable to SICAP and are directly supporting frontline staff i.e. staff funded under the two goals.

Action Costs
Action costs are the costs of eligible activities that directly relate to the implementation of the SICAP annual plan. This includes both salary and non-salary costs. Action costs relating to SICAP interventions must be divided across the two SICAP goals. Further details regarding the apportionment of costs by goal is detailed below.

Monitoring Costs
Monitoring costs which are additional to monitoring carried out on IRIS is not a separate cost category and should be included under the direct action costs category (if it is a non-salary cost):

- If the cost is non-salary related it can be included in the annual plan as a separate action if it contributes to a thematic area. The cost may be allocated across one or both goals as appropriate;
- If the cost is salary related it should be allocated to one or both goal salary cost headings as appropriate.
Payment Instalments
Payments are made by the LCDC to the PI on the basis of 25% instalments per quarter over the lifetime of the contract. The timeframe is outlined below:

<table>
<thead>
<tr>
<th>Instalments per quarter</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Q1: January – March</td>
<td>This payment is split into two sub-payments: An initial two month payment: This is to facilitate PIs’ cash flow in January and February Remaining one month payment: Made once the annual plan has been approved by the LCDC in March</td>
</tr>
<tr>
<td>Q2: April – June</td>
<td>One payment: Made once the annual plan and the annual performance review has been approved by the LCDC on IRIS</td>
</tr>
<tr>
<td>Q3: July – September</td>
<td>This may be one payment or split into two sub-payments if the LCDC so chooses. If split, it should be on the following basis: An initial one month payment: Made if the Q1 and Q2 payment criteria have been met Remaining two month payment: Made once the mid-year ‘FIN &amp; MON’ report has been approved by the LCDC on IRIS</td>
</tr>
<tr>
<td>Q4: October – December</td>
<td>One payment: Made once all of the Q1 – Q3 payment criteria have been met by the PI</td>
</tr>
</tbody>
</table>

Salary and Staff

Salary Costs
The types of actions delivered with SICAP funding are heavily reliant on people-based services. Staffing costs can be differentiated according to direct (actions) and indirect (administration) salary costs. As a general rule, the indirect salary costs relate to staff members who are involved in the management and financial administration of the programme e.g. CEO/ Manager of the company, financial controller and finance/administrative support. Direct salary costs are any staff member that has a direct role in the implementation of SICAP actions e.g. thematic specialists in employment and training, trainers, networkers, and community development workers.

Salary costs that are chargeable to SICAP include the following:
- Gross salary costs;
- Employers’ PRSI;
- Employers’ pension contribution.

A staff member cannot be included as an indirect salary cost and as a direct salary cost (and vice versa) for the same post. However, if an individual has two separate posts each with its own separate job description, each post can be included under indirect salary costs and direct salary costs as appropriate.

There are no salary caps or restrictions on salary amounts however any increases in the amounts charged as salary costs to SICAP from one year to the next will be reviewed by the LCDC as part of the annual planning process. The LCDC may refuse what it deems to be excess increases in salary costs.

Figure 8.1: Staff Time

Recording Staff Time
- Where direct staff salary costs are apportioned across a number of different funding streams including SICAP, the PIs (and any consortium members) must prepare and retain supporting documentation (e.g. timesheets) recording all staff time worked in respect of the various funding steams. In addition, the SICAP job description for the direct staff member should note the percentage of time that staff member is apportioned to SICAP;
- It is not a requirement to provide supporting documentation (e.g. timesheets) to evidence direct staff time spent working on each of the SICAP goals as this is not a payment condition of the contract;
- Due to the nature of administration staff being required to work across multiple funding streams, it is not a requirement to record the staff time in the form of timesheets for administration staff who are part funded by SICAP;
- If an individual has separate posts that are chargeable to SICAP as both direct and indirect salary costs, supporting documentation (through a timesheet) is required to evidence the time
spent working on the direct role being carried out by the staff member;
• The requirements in relation to the recording of staff timesheets will be reviewed and amended as required during the lifetime of the programme.

Staff Apportionment Policy
• A staff apportionment policy detailing the proportion of the administration staff time allocated to all of the different funding streams worked on (including SICAP) is required in order to ensure that accurate and justified salary costs are charged to SICAP on an annual basis for these staff members;
• This apportionment policy should be reviewed four times a year (two of these to tie in with the mid-year and end of year reporting periods) and any changes or confirmation that there is no change to the policy should be signed off by the CEO;

Supporting documentation regarding staff time will be inspected as part of any on-the-spot SICAP audit or verification visit and must be available for review from the commencement of the programme. A contract for the staff member, job description noting SICAP FTE status and/or timesheets where the staff time is more variable, will be specifically required for ESF financial verification – see Section 11;

Staff Training Costs
Programme Implementers may enable the professional development of SICAP staff through the provision and funding of relevant training and upskilling. This should link back to the PI Staff Training and Development Plan which was submitted as part of the tender. Any such staff training must be accounted for under the 25% administration budget.

Staffing Changes
If there are proposed changes to the assigned personnel, all replacement personnel must have equivalent experience and qualifications to the originally nominated staff member. Where it is a senior member of staff (e.g. CEO, managerial staff) the LCDC should be informed and that a replacement has been appointed.

Co-funded Positions
Each organisation is responsible for its own SICAP recruitment practices as long as all staff funding arrangements are clearly evidenced for the duration of the programme.

Apportionment of Costs
Apportionment of costs is the process of sharing an organisation’s expenditure across the individual funding streams/programmes that it implements. It relates to central costs that are applicable to more than one funding stream/programme i.e. salary costs, general overhead costs and on-going running costs. Each PI must have a written apportionment policy in place that documents the basis/rationale for the apportionment of costs across the various funding streams/programmes it manages which includes SICAP.

Goal Apportionment – Action Costs
It is recommended that each goal has a 40% to 60% split of the total action costs. This ensures that the programme provides supports for both community and individual level engagement and takes a balanced approach. Note the following:

• The percentage split of goal costs presented in the annual plan should be adhered to as closely as possible by the PI;
• Where the split of a goal spend varies by more than 10% from what is contained in the annual plan this deviation needs to be presented to the LCDC and approved by them. At this juncture the LCDC and the PI can agree to an alternative split to more appropriately reflect local needs.

Other Requirements

General Principles of Managing SICAP Funding
Programme Implementers should be aware of their responsibilities in the management of SICAP funding when preparing costs reported in the mid-year and end of year financial reports. The general principles are:

• All costs must be paid on foot of supporting documentation i.e. an original invoice/receipt, a payroll record (e.g. payslip), or an expenses claim;
• All payments must be based on real identifiable costs, in particular all internal payments and all payments to related/connected parties. Replacement costs and opportunity costs are not evidence of or justification for real costs;
• There must be a transparent audit trail from supporting documentation and books and records to the costs included in the mid–year and end of year financial reports;
• All notional costs are ineligible i.e. the charging of a rental cost by a PI to SICAP for the use of a room already owned by a PI or where SICAP is already contributing towards the rental costs of the building where this room is located;
• The mid-year and end of year financial reports must be prepared on a cash receipts basis i.e. no accruals or prepayments;
• PIs must not report costs in a prior month or year to when the costs are actually incurred or issued to payees i.e. cannot report January costs as December costs;
• PIs must not report frontloaded/advanced payments to suppliers/grantees which actually relate to work or costs that will take place or be
incurred in the following year, unless agreed to by the LCDC;
• Payments by PIs including bank transfers to internally administered bank accounts must not be reported as costs on the mid-year and end of year financial reports. Only actual costs incurred from internal administered bank accounts can be reported as eligible expenditure;
• Bank interest payments and loan interest payments are not an eligible cost.

Reporting and Claiming VAT Costs
The costs outlined in the SICAP tender were exclusive of VAT. This means that all costs reported in the mid-year and end of year financial reports must be net of VAT. Provision has been made for PIs to claim back VAT costs incurred in the implementation of SICAP through the mid-year and end of year financial reports on IRIS. The following conditions apply in claiming back VAT costs:
• VAT costs for the delivery of SICAP must relate solely to SICAP;
• VAT can be charged to the programme via IRIS against each non-salary action (direct) cost and each of the administration (indirect) cost headings (excluding indirect salaries) on the basis of the actual VAT costs that have been paid out by the PI during the period;
• The VAT rates that are used to calculate the VAT costs must correspond with the appropriate rates set by the Revenue Commissioners;
• In the event of an audit/verification, the PI will be required to provide appropriate supporting documentation, such as invoices, that confirms the VAT amount charged in the reports;
• The eligible VAT costs charged to the programme will be paid by the Department of Rural and Community Development on the basis of a VAT Drawdown Request submitted by the Local Authority/LCDC and will in turn be remitted by the Local Authority/LCDC to the PI.

Variance from the Annual Plan Budget
Programme Implementers are required to monitor expenditure against the cost headings on an ongoing basis to ensure that spend is in line with the agreed budget submitted as part of the annual plan. It may become apparent during the course of the year that the costs reported against the administration or action cost headings are at variance with the agreed SICAP budget for a particular heading. The PI is allowed to spend at variance to their agreed budget if the following requirements are adhered to:
• While the outputs of individual actions may change, the two KPI targets must be achieved within the required timeframe;
• No additional/new actions can be included in the annual plan unless specifically agreed to by the LCDC and IRIS must be updated accordingly;
• The percentage of costs allocated to the two SICAP goals should remain within 10% of the percentages in the annual plan unless otherwise agreed to by the LCDC – see Goal Apportionment - Action Costs section above;
• The total administration (indirect) cost must not exceed 25% of the total Lot budget;
• Any monies remaining unspent at the end of the year will be treated as cash in hand for the following year and this amount is deducted from the amount due for the following year.

Not meeting either of the two KPI targets and/or reporting administration costs in excess of 25% of the total Lot budget may give rise to remedies being applied as outlined in Section 7. Non-compliance with the other requirements outlined above may also give the LCDC recourse to take other action in accordance with the terms of the Funding Agreement, such as non-approval of the end of year performance review.

Consortium Members
A consortium member is an entity which, along with other similar entities, collectively makes up a single entity known as a consortium, one of whom adopts the role of consortium lead. The consortium lead is the consortium member that is responsible for managing the contract with the LCDC and takes on the role as the PI, and should observe the following:
• The PI is responsible for ensuring that all funding paid to consortium members is spent in accordance with the annual plan and is not at variance with the Programme Requirements;
• The PI is responsible for obtaining and reviewing the expenditure of SICAP funding by consortium members to ensure compliance with reporting timeframes and requirements;
• Any unspent SICAP monies paid to consortium members must be returned to the PI within agreed timelines. This must then be returned by the PI to the LCDC if remaining unspent at the end of each year.

Sub-Contracting
The PI may wish to take on additional expertise through sub-contracting. Sub-contracting is permissible for the delivery of specific services or discrete pieces of work which are necessary to deliver SICAP, subject to a maximum of 30% of the Lot budget being paid to sub-contractors on an annual basis. A sub-contractor will not form part of the legal contractual arrangements between the PI and the LCDC. Note the key requirements in sub-contracting:
• SICAP funding to hire educational/training providers, tutors, consultants or other external parties who are delivering a service on behalf of and of direct benefit to the PI falls under the subcontractor heading;
• The exceptions to sub-contracting are any consortium members named in the tendering process, utilities (e.g. light and heat and phone), stationary suppliers, annual audit fees, legal fees etc.;
• PIs must retain appropriate records which demonstrate in the event of an audit that a maximum of 30% of the total SICAP expenditure was incurred by sub-contractors i.e. a listing of the annual sub-contractor costs incurred;
• Costs relating to the delivery of an action by a sub-contractor must be recorded in the annual plan as a non-salary action cost;
• PIs must confirm in IRIS in both the annual plan and the end of year report that sub-contracting costs have not exceeded 30% of its annual budget;
• PIs must ensure that all funding paid to sub-contractors is spent in accordance with the annual plan and is not at variance with the Programme Requirements;
• The PI shall not assign, sub-contract or transfer any part of the services or contract without the Contracting Authority’s prior written consent. However, LCDCs and PIs may agree their own local protocol in relation to how sub-contractors are approved to ensure programme delivery is not impacted unnecessarily;
• The appointment of sub-contractors or additional service providers must be in accordance with Department of Public Expenditure and Reform’s Procurement Guidelines. Sub-contracting may be subject to public procurement rules – see section below on public procurement.

Sub-Contracting Versus Grant Giving
Sub-contracting requires paying a supplier to provide a particular service that will be of direct benefit to the PI i.e. work that is carried out on behalf of the PI. Grant giving implies that the grantee is in need of additional monies to carry out a particular piece of work and the work that it is carrying out is not necessarily of direct benefit to the PI. The onus is on the PI to correctly identify whether it is using a sub-contracting or grant giving model. See Part II for more information on grants.

Public Procurement Procedures
PIs must adhere to public procurement requirements in line with S.I. No. 284/2016 - European Union (Award of Public Authority Contracts) Regulations 2016 and supplier tax compliance requirements. Further information on public procurement is available at www.procurement.ie and the Office of Government Procurement’s Public Procurement Guidelines for Goods and Services.

Insurance
PIs must ensure that they have adequate insurance in place on all of their assets, including leased assets, as well as public liability and Employer’s Liability insurance. The required levels are:
• Employers Liability insurance €12.7 million;
• Public Liability insurance €6.5 million.

The PI is required to:
• Immediately advise the LCDC of any material change to its insured status;
• Produce proof of current premiums paid upon request;
• Produce valid certificates of insurance upon request;
• Ensure that the interest of the LCDC and the Local Authority is noted on each insurance policy (see indemnification).

Indemnification
Programme Implementers must ensure that all the requisite indemnifications are in place. They must indemnify the LCDC and the Local Authority from and against all and any losses, claims, demands, damages or expenses which the LCDC and/or the Local Authority may suffer.

Annual Audited Financial Statements
PIs must ensure that their Annual Audited Financial Statements are prepared in accordance with the relevant clauses in the Funding Agreement and with all relevant Government Circulars in issue or to be issued within the lifetime of this contract, including Department of Public Expenditure and Reform (DPER) Circular 13/2014.
• The Annual Audited Financial Statements must be finalised and approved and submitted to Pobal no later than six months after the PI’s financial year-end. For most companies with a 31st December financial year-end this means that the financial statements must be submitted to Pobal on or before the 30th June each year;
• Following Pobal’s review of the Annual Audited Financial Statements, further information may be required from the PI in order to provide clarification and reassurance to the LCDC and/or Pobal.

Property/Lease Agreements
A formal written lease agreement must be in place for every instance where a PI is renting premises for the implementation of SICAP.

Fixed Assets
The PI must prepare and maintain a SICAP fixed asset register which must include:
“A maximum of 7.5% of the total action costs (this includes direct salary costs) across both goals can be made available in grants.”

- The date of purchase;
- An asset description and cost;
- The source of funding;
- The applicable depreciation rate.

The fixed asset register must be updated regularly and at least annually. The PI must ensure that the fixed asset register is reconciled to the fixed asset details for SICAP funded fixed assets as contained in the Audited Annual Financial Statements.

In the event that a PI is no longer delivering SICAP, the LCDC would get confirmation that the PI will continue to use any assets purchased with SICAP funding for the use of the community, or will gift them to other community and voluntary groups working within their community if they no longer require the assets.

**PI Travel and Subsistence Expenses**

Travel and subsistence paid to PI staff and board members for travel expenses incurred in the course of necessary absence from their base in undertaking SICAP-related duties must not exceed the stipulated rates of the Department of Public Expenditure and Reform. The payment of travel and subsistence must be in complete accordance with the relevant rules and regulations as outlined below:

- All claims for travel and subsistence must be made on an official claim form that records the full details on which the claim is based;
- Claim forms must be signed by the claimant as well as being reviewed and certified by the claimant’s supervisor before the payment is made;
- The CEO’s claim form must be reviewed and certified by the Chairperson or by other board directors in line with the company’s internal procedure;
- All vouched expenditure must be supported by an invoice or a receipt;
- The PI must obtain a signed undertaking from each staff and board member who claims mileage expenses which confirms their car is properly insured and that the PI is not liable for any loss or damage resulting from the use of the person’s car prior to driving on any official business.

**Audit and Verification Visits**

Audit and verification visits of financial and non-financial data reported under SICAP may be carried out at the premises of the PI by:

- The LCDC;
- The Local Government Audit Service;
- The Local Authority;
- Pobal;
- The Department;
- The European Social Fund in Ireland and/or the European Commission (or any nominee of any of them).

A number of clauses in the Funding Agreement detail the various obligations of PIs in relation to such visits and the PI must refer to and comply with all such clauses.

**Part II: Grants**

Programme Implementers may allocate grants to LCGs and individuals, social enterprises and enterprise start-ups as per the criteria outlined below. A maximum of 7.5% of the total action costs (this includes direct salary costs) across both goals can be made available in grants.

**Grants to Individuals**

Grants can be given for individual beneficiaries under Goal 2 for lifelong learning courses. The following rules apply:

- The maximum grant for an individual is €500 per annum;
- One grant per individual per year;
- The training must be linked to the individual’s needs as identified in the Personal Action Plan and with an action;
- The grant can be used to cover registration, course and exam fees;
- The grant must be in the form of either a direct payment to an education or training supplier on foot of supporting documentation i.e. a valid invoice, or a re-imbursement to the individual who has already incurred the cost of the training course;
- Where payments are made to the individuals themselves this must be accompanied by appropriate supporting documentation i.e. receipt from the course provider detailing the costs incurred by the individual;
- The payment of any grants for individuals must be in line with the annual plan and the Programme Requirements.
“The LCDC’s role is to review the overall grant allocations to ensure allocations do not exceed the maximum budget amount or other rules as outlined below. LCDCs do not review or approve individual LCG grants.”

Materials Loan Facility
Pls may also assist individuals by purchasing text books and course materials and loaning them out to individuals. Adopting a shared approach ensures that materials and equipment are available for all to access whilst also allowing the PI to develop a shared resource over the lifetime of the programme. This type of support does not fall within the 7.5% action costs limit for grants. Note the below:

- Any materials purchased and loaned out remain in the ownership of the PI and are given on loan to the individual for a defined period;
- The expenditure must be directly related to an action in the annual plan;
- There must be supporting documentation to verify that a real cost has been incurred.

Participant Expenses
An individual receiving support in SICAP by attending a training course can claim travel and subsistence expenses and childcare costs. Note the following:

- Each PI should have a clear policy in place to ensure appropriate and consistent expense claims from individuals who are participating in training;
- Eligible participant expenses do not fall within the 7.5% action costs limit for grants.

Travel and Subsistence
The following rules must be complied with when claiming travel and subsistence expenses:

- Only participants supported under SICAP are eligible to receive travel and subsistence expenses. Staff from other service providers cannot be supported, for example teachers who have accompanied young people on trips cannot claim travel expenses from SICAP and their expenses should be covered by their employer;
- The daily subsistence rate is recommended to be in the region of €10 to €15 per day. It is expected that the higher daily rate is applied prudently i.e. covering costs for days longer than nine hours;
- For travel costs every effort must be made to use public transport. The mode of transport should be the most economical taking account of time, costs and subsistence;
- Payments for subsistence can only be made on the basis of receipts for actual costs that have been incurred by the participants;
- Reimbursements to participants must be approved at the appropriate level within the PI;
- Proof of expenditure is always required and payments must be supported by appropriate documentation e.g. claim forms, tickets, receipts detailing the costs incurred and the justification for the cost e.g. name of course, facilitator, locations, its specific link with the project;
- These receipts must be maintained as part of the PI’s books and records and be available for inspection.

Childcare Costs
The following rules must be complied with when claiming childcare costs:

- Only childcare costs that are paid to a Tusla notified childcare provider (crèche, childcare centre or childminder if notified to Tusla) are eligible;
- Official invoices or receipts issued by the childcare provider must be provided to the PI by the participant. The invoices and receipts must be dated and the dates correspond with the particular timeframe for courses which were attended by the participant;
- SICAP costs should not constitute double-funding where the child is already participating in a programme such as Early Childhood Care & Education (ECCE) or in a More Affordable Childcare Measure i.e. Training and Employment Childcare (TEC), the Community Childcare Subvention (CCS) and/or Community Childcare Subvention Plus (CCSP) including Universal, Resettlement and Transitional programmes.

Grants to Local Community Groups
Grants can be given to LCGs under Goal 1. Pls should have an agreed process in place for reviewing and approving grants to LCGs. The LCDC’s role is to review the overall grant allocations to ensure allocations do not exceed the maximum budget amount or contravene other rules as outlined below. LCDCs do not review or approve individual LCG grants.
The following rules apply:

- The purpose of the grant must be in line with the objectives of the programme and there must be a clear outcome in line with SICAP objectives;
- The maximum grant for LCGs is €1,500 per annum;
- One grant per LCG per year;
- Grants should not duplicate other sources of local funding by funding the same costs e.g. from the Local Authority, Leader, the Community Facilities Scheme;
- A PI (or an organisation governed by a PI) is not considered to be a LCG for SICAP purposes and cannot allocate itself or the organisation governed by it a grant;
- There must be an agreement between the PI and LCG that supporting documentation will be provided to ensure the grant was spent for the purposes intended e.g. a report of the activity and costs funded by SICAP, and evidence that the expenditure was incurred. This must be signed off by the chair of the LCG;
- A LCG is not required to be a member of the PPN to receive a grant.

**Activity Types for LCG Grants**

Grants can be used to fund the following types of activities:

- The establishment of good governance structures within LCGs;
- The development of a community strategic plan to engage with other funders and stakeholders;
- Small-scale capital items that will improve and enhance the function of the LCG and its work;
- Small-scale capital items that have a higher cost than €1,500 and where there is evidence that match funding is in place;
- Capacity building work with LCGs;
- Community activities that have a clear link to SICAP target groups and SICAP outcomes. These activities must show how they are part of an overall strategy to improve the quality of life for community members;
- Costs of travel and subsistence for LCG members to enable them to participate in regional and national networking and learning opportunities where there is no other source of core funding available to the LCG members;
- Funding to women’s groups, men’s sheds, homework clubs, youth work initiatives, after-school programmes delivered by LCGs etc. are eligible as long as the funding is allocated to a specific activity that focuses on SICAP target groups and is linked to an action in the SICAP annual plan.

Grants cannot be used to fund the following types of activities:

- Travel and subsistence for employees of other service providers that are a member of boards of management of LCGs or have a role in projects led by LCGs;
- Grants to statutory service providers operating breakfast clubs and homework support programmes;
- Funding for on-going running costs incurred by LCGs for example rent, insurance, electricity, phone costs and office maintenance.

**Grants to Social Enterprises**

Grants can be made available under Goal 1 to assist a social enterprise at any stage of its development. The objective is to support social enterprises to establish and expand, employing those who are most marginalised, and so they can provide local services where other enterprises may not be able to.

**Grant Eligibility:**

- The maximum amount per grant to a social enterprises is €2,500;
- Social enterprises can only receive one grant annually;
- The grant must not exceed 80% of the total projected project expenditure as outlined in the grantee’s application;
- Match funding must be in cash or assets whose value can be independently vouched. At least half of the 20% match funding requirement must be paid in cash;
- There must be an agreement between the PI and the social enterprise that evidence will be provided to ensure the grant was spent for the purposes intended e.g. a report of the activity and costs funded by SICAP;
- Grants should only be made available to social enterprises which contain fewer than ten people – “micro-enterprises”, unless exceptional circumstances are presented;
- Grants can be provided to social enterprises operating in any sector of the local economy as long as the risk of displacing existing jobs has been considered and there is no risk of displacement;
- A PI (or an organisation governed by a PI) cannot be allocated a SICAP social enterprise grant without the prior written authorisation of the LCDC.

**Grants to Enterprise Start-ups**

Grants can be made available under Goal 2 to assist an individual to set up a business. Providing direct financial support can make a significant difference to people by giving them the financial assistance they need to put their business ideas into practice.
Grant Eligibility:
The following eligibility criteria apply:

- The maximum amount per grant to an enterprise start-up is €2,500;
- Grants are available on a once-off basis only;
- The grant must not exceed 80% of the total projected project expenditure as outlined in the grantee’s application;
- Match funding must be in cash or assets whose value can be independently vouched. At least half of the 20% match funding requirement must be paid in cash;
- There must be an agreement between the PI and the enterprise start-up that evidence will be provided to ensure the grant was spent for the purposes intended e.g. a report of the activity and costs funded by SICAP;
- Grants can only be made available to assist an enterprise to set up a business i.e. at the start-up phase only;
- Grants should only be made available to enterprise start-ups which contain fewer than ten people – “micro-enterprises”;
- Enterprise start-ups must set out in their business plan the rationale for financial support and provide documentary evidence of the costs e.g. a quotation from at least two suppliers;
- Grants can be provided to enterprise start-ups operating in any sector of the local economy as long as the risk of displacing existing jobs has been considered and there is no risk of displacement.

Eligible Costs for Social Enterprises and Enterprise Start-Ups
The below categories are the eligible costs for social enterprises and enterprise start-ups:

<table>
<thead>
<tr>
<th>Category</th>
<th>Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>Accountancy and related services, including legal advice</td>
<td>Office supplies and stationery</td>
</tr>
<tr>
<td>Advertising and marketing aids</td>
<td>Personal protective clothing and equipment</td>
</tr>
<tr>
<td>Business equipment</td>
<td>Public Liability Insurance costs associated with setting up a business - no other insurance is eligible</td>
</tr>
<tr>
<td>Business mentoring</td>
<td>Short-term training on book-keeping, regulation, rollout of business plan, start-your-own-business and courses of training related to the start-up</td>
</tr>
</tbody>
</table>

Ineligible Costs for Social Enterprise and Enterprise Start-Ups
Grants cannot be made available for the following items:

- Building/premises rental costs;
- Cost of travel;
- Insurance (except public liability);
- Personal clothing and uniforms (except protective clothing);
- Professional development programmes arranged by professional and regulatory bodies;
- Purchase of any type of vehicle;
- Stock-in-trade;
- Utility costs, connection or supply and local authority rates;
- Core costs should normally not be funded and are only eligible in exceptional circumstances in a start-up situation and on a once-off basis;

Public Funding from Other Sources
- PIs should know if the start-up/social enterprise has applied for a grant from another public body or if it is receiving a grant from another public body and what the grant is being used for;
- If already in receipt of public funding, the PI may decide that the SICAP grant is best allocated to another entity in order to reduce duplication of funding;
- PIs may assist clients to prepare funding proposals for other agencies such as Local Enterprise Offices (LEOs), Micro-Finance Ireland, Clann Credo or under LEADER.
SECTION 9: Communication and Publicity Requirements
SECTION 9: Communication and Publicity Requirements

Publicising SICAP
Programme Implementers must publicise SICAP and acknowledge the programme funders in all SICAP information and publicity material.

Publicising the work and brand of SICAP is important to create a greater awareness of the value of the programme amongst a wider audience locally and nationally.

- PIs should think strategically about how SICAP activities can best be communicated to various stakeholders to highlight the value of their work and SICAP achievements;
- PIs and LCDCs should consider holding local events showcasing activities funded by SICAP e.g. host award ceremonies, publish reports and articles, and issue press releases on new SICAP initiatives and opportunities etc.

SICAP Promotional Plan
Each PI should refer to its Promotional Plan as prepared for the procurement process and continue to apply this, and the LCDC should monitor that this is being delivered. This sets out how the PI will raise awareness of SICAP and the various marketing and promotional methods to achieve this such as advertising, social media, community engagement, word of mouth etc.

Acknowledging the Funding Department
Acknowledging the funding Department is important in recognising the contribution of the Department and clear acknowledgement must be given of the financial support of the Department in relation to SICAP. This is required in all aspects of information provision, in all publicity and promotional materials, including websites, and as part of information and dissemination activities.

All publications, information and promotional materials relating to SICAP (e.g. project documentation, posters, leaflets, reports) must contain the following strapline to acknowledge funders, including the ESF:

“The Social Inclusion and Community Activation Programme (SICAP) 2018-2022 is funded by the Irish Government through the Department of Rural and Community Development and co-funded by the European Social Fund under the Programme for Employability, Inclusion and Learning (PEIL) 2014-2020”

National Publicity Materials
Pobal has prepared national programme publicity materials which PIs and LCDCs may find useful in raising programme awareness and all stakeholders are encouraged to make full use of these materials. These include:

- A short video on SICAP (an infographic) explaining who it is for, how it works and how to find out more;
- A SICAP information leaflet which can be printed out with the relevant contact details added. These could be left in reception areas and given to clients who have registered with SICAP;
- SICAP banners to display at events and launches.

Figure 9.1: SICAP Leaflet
"Every press release and article relating to SICAP must provide a clear acknowledgement of the sources of funding..."
SECTION 10: Corporate Governance and Contract Management
SECTION 10:
Corporate Governance and Contract Management

Corporate Governance

Good Corporate Governance
The PI Board of Directors must ensure that the highest standards are sought and maintained in the operation and administration of all public monies awarded to them, including SICAP funding. Detailed guidance on the responsibilities of directors is provided by the Director of Corporate Enforcement at www.odce.ie.

PIs are encouraged to refer to Pobal’s Managing Better Volume 1: Good Governance toolkit which provides good practice guidance on corporate governance in the non-profit sector.

PIs are also encouraged to adopt the Code of Practice for Good Governance of Community, Voluntary and Charitable Organisations in Ireland. Further information on the Code of Practice is available at www.governancecode.ie.

Charities Regulatory Authority
Programme Implementers which are charities must register with the Charities Regulatory Authority. A number of questions have been set by the Charities Regulator to establish whether registration is required for a particular organisation and all must be answered in the affirmative if an organisation is required to register:

- if the organisation has exclusively charitable purposes;
- if it provides a clear public benefit in Ireland or elsewhere;
- if it operates in the Republic of Ireland.

See the Charities Regulatory Authority website for more information and for useful guidance resources.

Public Sector Duty
PIs may be required to comply with the Irish Human Rights and Equality Commission Public Sector Duty. All public bodies in Ireland have a responsibility to promote equality, prevent discrimination and protect the human rights of their employees, customers, service users and everyone affected by their policies and plans. This is a legal obligation in Section 42 of the Irish Human Rights and Equality Act 2014.

Contract Management

Organisation Management Plan
PIs must comply with the Organisation Management Plan which was submitted as part of their tender. This provides an overview of the organisation’s governance structures and sets out the engagement plan between consortium members in the event of a consortium tender. This plan outlines the processes in place to ensure structures are inclusive of local communities, clients and target groups in decision-making on SICAP, for example through representation on boards and sub-groups. It may include Terms of Reference of the Board of Directors and any relevant sub-structures, and outlines how the PI’s organisational structure is inclusive and reflects the key principles of SICAP.

Contract Management Plan
PIs must comply with the Contract Management Plan which they submitted as part of their tender to demonstrate how the organisation will manage the delivery of SICAP services. This includes how they will comply with the Funding Agreement and meet the expectations of the Contracting Authority in contract management areas such as the annual planning process, engaging with the Contracting Authority, agreeing and documenting changes and conflict resolution proposals etc.

Quality Assurance and Compliance

Quality Assurance Systems
PIs may have a third-party certified quality assurance system in place (e.g. ISO 9000 series or other) which covers the services, or it may use an in-house quality assurance system.

Evidence of Equality and Diversity
Documentary evidence of equality and diversity in PI activities must be available for review e.g. company equality and diversity policies, disability access audits on all SICAP offices, examples of equal opportunities in advertising for staff, extracts regarding equality and diversity on the company website etc.
**Garda Vetting and Other Regulatory Certification**

- PIs must satisfy themselves that they are compliant regarding Garda vetting requirements and obligations as outlined in the National Vetting Bureau (Children and Vulnerable Persons) Acts 2012-2016;
- It is the responsibility of the PI to undertake checks on individuals employed by the PI and on contractors, suppliers or third parties appointed by the PI in relation to relevant qualifications, garda vetting and other regulatory certifications required (if any).

**Code of Practice for Employees and Sub-Contractors**

PIs must have a code of practice for employees and any sub-contractors working on their behalf in place which describes the standards of professional conduct and practice required of employees as they go about their daily work. The code of practice forms part of the wider package of legislation, practice standards, and employers’ policies and procedures.

**SICAP employees and sub-contractors must:**

- Protect the rights and promote the interests of SICAP users;
- Strive to establish and maintain the trust and confidence of clients;
- Promote the independence of clients, and vulnerable clients in particular, while protecting them as far as possible from danger or harm;
- Respect the rights of clients while seeking to ensure that their behaviour does not harm themselves or other people;
- Uphold public trust and confidence in the Social Inclusion and Community Activation Programme;
- Be trained to a satisfactory level, be accountable for the quality of their work, and take responsibility for maintaining and improving their knowledge and skills;
- Be responsible for making sure that their conduct does not fall below the standards set out by their employers and that no action or omission on their part harms the wellbeing or trust of the clients of the service.

**Children and Vulnerable People Protection Policies**

PIs must have protection policies and a code of practice in place in relation to working with children and young people under the age of 18 and engaging with vulnerable people.

In addition, appropriate staff and volunteer vetting procedures should be in place for all SICAP staff proposing to work with children and vulnerable clients.

The children and vulnerable people protection policy must be implemented through induction and training of staff and volunteers, and in the case of children ensuring that parents know that there is a policy in place. A policy is only the beginning of a process to develop good practice and regular reviews should take place to ensure the policy is working.

**SICAP Services**

**Operating Hours**

SICAP services must be available at a minimum from 9.00am to 5.00pm Monday to Friday inclusive, excluding public holidays. Some out-of-regular business hours work will be expected given the nature of community work.

**Charging Beneficiaries**

Beneficiaries cannot be charged for receiving supports under SICAP.

**Premises and Facilities**

- PIs must provide suitable premises and facilities for the provision of SICAP services and this should include some outreach services based in the most disadvantaged communities;
- All premises and facilities must provide for the privacy and confidentiality of individuals using SICAP services. They must also allow individuals to access computers, the internet and other facilities to help in their search for education and employment initiatives;
- Meetings with SICAP beneficiaries should be held at locations that are accessible by public transport where possible;
- Where possible, outreach services should be prioritised in areas where public transport is limited;
- Services are to be accessible in accordance with the National Disability Authority’s “Code of Practice on Accessibility of Public Services and Information provided by Public Bodies”;
• PIs must provide services (including documentation) through the Irish language if operating in a Gaeltacht area – see Section 3.

Complaints Procedure
Programme Implementers must ensure that there is a complaints procedure in place which allows SICAP clients to submit complaints and to receive reports on the outcome of the investigation of any such complaints submitted. The complaints procedure must include details of how complaints will be recorded and processed, the timescales for handling complaints, and the means through which clients will be made aware of these processes and their outcomes.

Pobal Training and Capacity Building
Pobal delivers training and capacity building sessions to LCDCs and PIs on SICAP as part of ongoing contract management and service delivery improvement and these are mandatory to attend. Training sessions cover the following areas:

• Explaining the Programme Requirements and the Funding Agreement;
• Providing IRIS support and training;
• Thematic training and dissemination of good practice;
• Other specific training as required emerging from the delivery of SICAP.

Programme Contact Points
Programme Implementers should liaise with the LCDC Chief Officer if they have any programme related queries. In some cases, the local Chief Officer may appoint another member of staff to liaise with the Implementer and this will be communicated to the PI by the Chief Officer. In addition:

• PIs and LCDC with IRIS queries should email these to iris@pobal.ie. This is managed by Pobal’s Client Services unit;
• PIs and LCDCs can email general programme queries to Pobal at sicap@pobal.ie. This is managed by Pobal’s Community Supports and Services Directorate;
• A dedicated Pobal staff member (a Development Coordinator) has been assigned to each LCDC and PI to provide on-going support and address any specific queries. LCDCs and PIs have been told who their Development Coordinator is and have been given their contact details.

Figure 10.1: Points of Contact
SECTION 11:
ESF Requirements
SECTION 11: ESF Requirements

European Social Fund
SICAP 2018-2022 is approved for co-financing under the ESF Programme for Employability, Inclusion and Learning (PEIL)1 2014-2020 for three years of up to €30 million ESF co-financing and €30 million matched national co-financing. SICAP will be supported under PEIL (2014-2020) Priority 2: Promoting social inclusion and combating discrimination in the labour market.

ESF Claim Verification
The process of an ESF claim will be undertaken on a simplified, direct staff costs basis. The ESF will verify claims by reviewing on site the following direct staff documentation:

• Contract of employment;
• SICAP job description, noting the proportion of time allocated to SICAP (if known);
• Timesheet for staff not working 100% of their time on SICAP.

More information will be provided on the ESF claims process in early 2018.

ESF National Reporting for SICAP
ESF national reporting is a discrete pillar of SICAP reporting and is results orientated. From 2018, the new ESF ecohesion IT system will allow a coordinated approach to reporting at national level. The ESF also regularly seeks information on the active implementation of the principles of gender equality and non-discrimination, as well as more narrative information on programme performance. In addition, the ESF regularly requests information for promotional and dissemination purposes.

Capturing ESF Required Data
The Common Provision Regulation and the ESF Regulation for the 2014 - 2020 programming period (respectively Regulation no. 1303/2013 and 1304/2013) lay down the requirements for the monitoring of ESF co-financed operations and reporting by Member States. The ESF Circular 1/2016 sets out national rules for ESF co-funded operations in Ireland. It is intended that LCDCs’ financial declarations will be based on a staff unit cost methodology.

Capturing indicators and results accurately and in full is critical to drawing down the ESF SICAP allocation. PIs should consult the guidance issued by the ESF to familiarise themselves with the results-driven approach being applied. Annex D Practical guidance on data collection and validation offers useful examples of specific cases in graphical format. Detailed guidance will issue to PIs on the collection of the ESF indicators and how these data should be recorded.

Individual ESF Participant: Unique Count
The outcomes for any individual ESF co-funded participant under SICAP 2018 – 2022 can only be counted once. If a SICAP ESF participant who has left a SICAP intervention (and their leaving date and result status has been recorded on IRIS) later returns to receive further SICAP activities, their original record must be changed in IRIS to reflect their new results upon leaving on the second occasion rather than another record being created.

Follow-up with ESF Participants
PIs have to collect and record additional output information on IRIS for all ESF individuals and beneficiary files may also be reviewed. The below information is collected at the following periods:

• At exit date: PIs have four weeks to gather exit date information. How the exit date is defined will vary depending on the individual circumstances and further guidance will be provided on this;
• Six months after exit date: PIs must follow-up with individuals six months after date of exit from SICAP.

Participating in Separate ESF Co-Funded Operations
A participant can take part in activities which are separate ESF co-funded operations. For example, they are involved in activation activities as part of SICAP co-funded under ESF, and are involved in a training activity as part of a separate ESF co-funded

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1 SICAP 2018-2022 is approved for ESF support under Priority 2 of the PEIL 2014-2020 for all age groups for the years 2018-2020 inclusive, whereas SICAP 2015-2017 was approved for ESF support for under 25 year olds only.
programme such as Youthreach. However, a rationale for their participation in more than one ESF co-funded programme must be set out in the Personal Action Plan e.g. that they are also in Youthreach.

Please see [www.esf.ie](http://www.esf.ie) for the full list of ESF PEIL (2014-2020) co-financed measures. Annex D Practical guidance on data collection and validation includes helpful descriptions of individual case examples.

**Leveraged Funding**

Programme Implementers can leverage additional funding from other sources to enhance SICAP actions, but this is not recorded in the annual plan budget or on IRIS. In these cases, PIs must be careful to ensure that no double funding of European Structural and Investment Fund co-financed participants occurs. This is defined in Circular 1/2016, Clause 3.9.

**Awareness of ESF Funding Support**

In accordance with the PEIL Communications Strategy 2014-2020, PIs must ensure that they have specifically informed ESF SICAP beneficiaries that they are receiving financial support with co-funding from the European Social Fund.

The ESF Managing Authority emphasises the importance of publicising the ESF directly to programme participants. At a practical level of knowledge, ESF SICAP participants should have a clear understanding that they are receiving support from the European Social Fund.

PIs, including consortium members and subcontractors, must ensure that they have directly informed ESF SICAP participants that they are receiving support with co-funding from the European Social Fund, and this may be verified as part of on-site visits. PIs must adhere to the ESF PEIL Information and Communication Guidelines 2014-2020.

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**Strapline to Acknowledge Funders**

All publications, information and promotional materials relating to SICAP (e.g. project documentation, posters, leaflets, reports) must contain the following strapline:

> “The Social Inclusion and Community Activation Programme (SICAP) 2018-2022 is funded by the Irish Government through the Department of Rural and Community Development and co-funded by the European Social Fund under the Programme for Employability, Inclusion and Learning (PEIL) 2014-2020”

**Logos**

Programme Implementers must use the following ESIF and ESF logos on all information and communication materials and activities:

- Ireland’s European Structural and Investment Funds (ESIF) – this should be to the left of all other logos. The minimum size should be 58mm x 19mm.
- European Social Fund/EU Emblem - the ESF logo must be no smaller than the biggest of the other logos and should be to the right of ESIF logo. The minimum size is 58mm x 19mm.

EU logos may be downloaded [here](http://example.com). If logos are placed horizontally Ireland’s ESIF logo should be placed on the left, followed by the ESF logo and other logos, as appropriate. If used vertically Ireland’s ESIF logo should be placed on the top, followed by the ESF logo and other logos, as appropriate. Sufficient ‘breathing space’ between logos should be used to enhance the visual appearance of publications and signage. See Section 9 for more on promotional material.

Two documents give the required information on how to use EU logos, as well as other EU publicity requirements:

1. The ESF PEIL Information and Communication Guidelines 2014-2020 - see [here](http://example.com).
2. Information and Communication Guidelines for European Structural & Investment Funds 2014-2020 – see [here](http://example.com).
Promotional Material

EU Posters
Programme Implementers are required to display a poster (minimum size A3) which acknowledges the financial support from the EU – these posters will be given to each LCDC by the ESF. The poster should be placed in a prominent location where it is visible to the general public, for example, the entrance/reception area of a building or in a training room.

Publications
Any publications produced as a result of SICAP must adhere to the publicity requirements regarding the correct use of logos and a written acknowledgement of the funders. Any research and policy-related publications associated with SICAP must include a statement that the views contained in the publication do not necessarily reflect those of the EU, the European Social Fund, the Department, Pobal or the LCDC/Local Authority.

Press Releases and Articles
Every press release and article relating to SICAP must provide a clear acknowledgement of the sources of funding, particularly the contribution and support of the European Social Fund and Ireland’s European Structural and Investment Funds. PIs must liaise with journalists to ensure that the final print copy includes the appropriate acknowledgement - the strapline could be provided to journalists to meet this requirement.

Information and Communication File
Compliance with the information and publicity requirements will also form a part of any verification/audit visits. PIs must keep a hard copy of all publicity materials (e.g. press-cutting, posters, press release, advertisements etc.) and retain these in an information and communication file to demonstrate compliance with the regulations, in particular the requirement that participants have been made aware of the ESF’s support for SICAP.
The Department of Rural and Community Development and Pobal wish to thank all those involved in preparing the Programme Requirements for SICAP 2018-2022. We would particularly like to acknowledge the contribution from members and support staff from Local Community Development Committees and Local Authorities, Programme Implementer staff and board members, other Government Departments and stakeholders from the community and voluntary sector.

Their ongoing support in delivering SICAP 2015 – 2017 and contributions at the SICAP consultation sessions have been invaluable in helping us to design and launch a new SICAP 2018 – 2022. We look forward to working with all programme stakeholders to continue to deliver a strong social inclusion programme which strives to reduce poverty and promote social inclusion and equality in Ireland.

If you have any comments on the Programme Requirements or wish to find out more about SICAP, you can visit the programme website or email us at sicap@pobal.ie.

The Social Inclusion and Community Activation Programme (SICAP) 2018-2022 is funded by the Irish Government through the Department of Rural and Community Development and co-funded by the European Social Fund under the Programme for Employability, Inclusion and Learning (PEIL) 2014-2020.