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UNION  
MODERNISATION FUND:  
INTERIM EVALUATION  
OF FIRST ROUND

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# Foreword

The Department of Trade and Industry aims to create the conditions for business success, and help the UK respond to the challenge of globalisation. As part of that objective we want a dynamic labour market that provides full employment, adaptability and choice, underpinned by decent minimum standards.

We need to do more to encourage diversity in the workplace and give people choices over how they balance their work and family life. We need to further improve skills and training so that everyone has the chance to make the most of their potential. And crucially, we need to ensure that vulnerable workers are not mistreated, but get the rights they are entitled to.

This report provides valuable information on the effectiveness of the First Round of the Union Modernisation Fund. More specifically, the report provides information on the characteristics of applications, and applicants and officials' and supervisory board members' perceptions of the First Round. Findings from the report will inform policy decisions about the approach of any future rounds.

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# Abbreviations and acronyms

ASLEF	Associated Society of Locomotive Engineers and Fireman
ATL	Association of Teachers and Lecturers
BDA	British Dental Association
BFAWU	Bakers, Food and Allied Workers Union
BMA	British Medical Association
BME	Black Minority Ethnic
CATU	Ceramic and Allied Trades Union
CDNA	Community and District Nursing Association
CWU	Communication Workers Union
CYWU	Community and Youth Workers Union
FTO	Full-time officer
GFTU	General Federation of Trade Unions
GMB	General Municipal Boilermakers Union
ICE	Information and Consultation of Employee Regulations
ICT	Information communications technology
KPI	Key performance indicators
NAEIAC	National Association of Educational Inspectors, Advisors and Consultants
NAHT	National Association of Headteachers
NGSU	Nationwide Group Staff Union
NHS	National Health Service
NSEAD	National Society for Education in Art and Design
NUJ	National Union of Journalists
PCS	Public and Commercial Services Union
RMT	National Union of Rail, Maritime and Transport Workers
TGWU	Transport and General Workers Union
TSSA	Transport Salaried Staffs' Association
TUC	Trades Union Congress
UMF	Union Modernisation Fund
UCATT	Union of Construction, Allied Trades and Technicians
URTU	Union Road Transport Union
USDAW	Union of Shop Distributive and Allied Workers
WBBSSU	West Bromwich Building Society Staff Union

# Executive summary

*The DTI Union Modernisation Fund (UMF) provides financial support to trade unions for the development of innovative projects. Thirty-five projects were supported for funding under the First Round of the Fund, out of 49 bids.*

*Levels of awareness of the Fund were high. Though the development of bids was quite resource intensive, applicants were generally very happy with the application process and form. Key stakeholders were satisfied that the assessment process was robust, transparent and in place to support future rounds.*

*Minor issues were raised related to the timing of future rounds, the resource implications of compiling effective bids, the definition of key terms such as 'transformation', the ongoing monitoring and evaluation of projects and the long-term plans for disseminating project outcomes.*

## **Aims and objectives of the evaluation**

The evaluation is split into two stages. The first stage, detailed in this report, aims to assess the effectiveness of the Fund's operation in the First Round, in order to inform policy decisions about the approach of any future rounds. The second stage aims to evaluate the medium-long term impact of financial assistance provided to trade unions in relation to both the specified objectives of individual supported projects and the overall objectives of the Fund. The evaluation involves qualitative (semi-structured interviews with key stakeholders and selected project case studies), quantitative approaches (a survey of all applicants, outcome analysis) and documentary analysis (of project applications and ongoing reports).

## **Purpose and Background of the UMF**

The UMF was established under the auspices of the Employment Relations Act 2004, which inserted into the Trade Union and Labour Relations (Consolidation) Act 1992 an authority for the Secretary of Trade to establish a Fund to facilitate the operational modernisation of independent trade unions and their federations. In total, £5-10 million has been allocated to the Fund, spread over a number of years with the first projects starting in 2006. The Fund aims to support innovative projects that help speed unions' adaptation to changing labour market conditions, and funds projects directed at a number of priority themes. Forty-nine applications were received under the First Round of the Fund, of which 35 were subsequently funded. All applications underwent a rigorous assessment process, initially by DTI officials, then formally via an independent Supervisory Board, which made final decisions for funding for approval of the Minister of State for

Employment Relations. In total £3 million was distributed under the First Round.

### **Characteristics of applications**

Applications for the First Round of the Fund were received from a broad range of unions, in terms of size, industrial sector and membership composition. Applications were received from around one third of all eligible unions in the United Kingdom. Nearly three quarters of larger unions (those with more than 100, 000 members) applied to the Fund.

Applications relating to improving two-way communications, diversity, and the application of modern management methods were the most forthcoming. Applications that had some emphasis on diversity issues or understanding modern business practices and working with employers as partners appeared to have been most successful.

The projects themselves are expected to lead to a great deal of innovation and activity within successful unions. There are also likely to be some highly transferable outputs in terms of the development of toolkits (around ICE, communication methods and equality issues) and new trade unions roles, such as partnership champions and equality and diversity reps.

Unsuccessful applications tended to fall short of the Fund's key criteria for assessment or broader issues of eligibility.

In general, successful applications performed stronger across all aspects of the application form. However, the key points seem to be around the truly transformational potential of projects and their wider benefits (ie the two key objectives of the Fund), as well as a sound and convincing case for project management.

### **Union applications' perceptions of the First Round bidding process**

Applicants were generally very happy with the application process and the application form itself. Levels of awareness of the Fund were high and information and training events conducted by the DTI and TUC were positively received.

There was some criticism of some parts of the application form and the length of time it took to complete. The key areas where more guidance was suggested were the concepts of 'transformational potential' and 'additionality', as well as the 'financial details' of projects.

The development of bids was quite resource intensive and this was particularly a concern for smaller unions, who sometimes felt they were constrained by the amount of resources they could allocate to such bids. In general, successful bids were more likely to draw upon external sources of

advice and guidance of one sort or another. Some smaller unions would simply not have had the resources to submit bids without such external assistance, particularly from consultants.

The timing of the First Round of the Fund over Summer 2005 was identified as an issue by a number of applicants. There is no way of telling how many potential applicants did not submit bids because of this. The timeframe of future rounds of the Fund needs careful consideration.

### **DTI officials and Supervisory Board members' perceptions of the First Round bidding process**

DTI officials and Supervisory Board members were generally happy that the First Round of the Fund had been appropriately and effectively executed. The assessment process appears to have been robust and the DTI and Supervisory Board worked well with and complemented each other.

The process of assessment of applications was considered highly resource intensive, as will be the ongoing management of the Fund.

Some concerns were raised around the process by which applications to the Fund were identified for 'resubmission'.

### **Monitoring and evaluation**

The monitoring and evaluation of projects is seen by the DTI as essential in terms of assessing the overall success of projects, both on their own terms and against the overall objectives of the Fund. All applicants were, therefore, asked to append a monitoring and evaluation strategy with their applications.

Analysis of submitted monitoring and evaluation plans suggested that more attention could be directed to the overall coherence of plans with broader projects milestones, objectives and success criteria and the timelines for this. The overall governance structures of projects also needed to be more embedded in monitoring and evaluation plans.

### **Key conclusions**

The initial evaluation found the operation of the Fund in the first round to be effective and efficient. The procedures for submission of applications were found to be satisfactory and the assessment processes worked well and were well received.

Applications were received from a good spread of the union movement. However, more applications from a wide spread of unions could be encouraged.

The application process is resource intensive. Applicants could be encouraged further to take advantage of external sources of support and guidance, such as the TUC, DTI and consultants.

The timing of the call for applications during the summer months is potentially problematic. The DTI might wish to consider avoiding the summer months in any future call for applications.

The application form could be finessed to improve its general accessibility. Space should be provided for a project summary and clear guidance is needed around 'transformational potential', 'additionality' and 'financial details'. The electronic downloading process could also be more user friendly.

The eligibility criteria for projects need to be clarified and strengthened, to rule out the use of funds for substantial investments in computer hardware and laptops. Similarly, the exceptional circumstances governing funding above the £200k threshold should be articulated more clearly.

The project themes could be explained and justified more robustly in terms of what is meant by modernisation and 'transformational potential'.

A strategy needs to be developed for the short to medium-term dissemination strategy of the Fund and the progress and outcome of projects.

### **About this project**

This evaluation was carried out as part of the Department of Trade and Industry's employment relations research programme. The initial stage of the evaluation involved documentary analysis of all applications and miscellaneous materials submitted by trade unions during the First Round, along with all the correspondence and analytical reports by the DTI team responsible for the UMF. These data were complimented by a telephone survey of all trade union applicants to the Fund and semi-structured interviews with DTI policy officials and UMF Supervisory Board members.

Stage B of the evaluation will be based on analysis of internal project reports and associated documents, and detailed qualitative case studies of ten successful projects.

### **About the authors**

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# 1. Background and introduction

## **Background and purpose of Fund**

This report presents an interim evaluation of the Union Modernisation Fund (UMF), focusing specifically on the First Bidding Round. The UMF was established under the auspices of the Employment Relations Act 2004, which inserted into the Trade Union and Labour Relations (Consolidation) Act 1992 an authority for the Secretary of Trade to establish a Fund to facilitate the operational modernisation of independent trade unions and their federations.

In total £5-10 million is to be distributed via the Fund, spread over a number of years, with the first funded projects starting in 2006. The purpose of the Fund is to support innovative projects to help speed unions' adaptation to changing labour market conditions. It will thus be used to support projects that either explore the potential for, or contribute to, a *transformational* change in the organisational efficiency or effectiveness of a trade union or unions. Through helping unions to explore and test innovative ways of working, and by disseminating the results of projects widely across the union movement, the Fund also aims to provide a *demonstration effect* to the broader trade union movement, enabling unions to realise more fully their potential to improve the world of work for workers and employers alike.

Funding for individual projects will normally be expected to total no more than £200,000, although grants of up to £500,000 will be provided where there is sufficient justificatory evidence. All projects are expected to be match funded and to last a maximum of two years. The first call for applications under the Fund was launched in July 2005. Applications were invited for transformational projects that met one or more of six priority themes.

Theme 1: Improving the understanding of modern business practices by full time officers and lay representatives, to better enable unions to work constructively with employers as partners to improve business performance. Projects were particularly welcomed that equipped full time officers and lay representatives for their role in the implementation of the Information and Consultation of Employees Regulations.

- Theme 2: Improving two-way communication between unions and their members, leading to a potential for greater participation of members in the union.
- Theme 3: Improving the ability of unions to respond to the increasing diversity of the labour market, and to supply services geared to the needs of a diverse membership.
- Theme 4: Applying modern management methods to the running of unions as efficient, outward-looking and flexible organisations.
- Theme 5: Assessing the challenges and opportunities of union restructuring and mergers.
- Theme 6: Developing the professional competence of union officers.

Bids on other themes are acceptable, but are not accorded priority. All bids are rigorously assessed against strict eligibility criteria. Ineligible activity includes direct recruitment in respect of particular employers, activity that supports a union's ability to engage in collective bargaining and trade disputes and expenditure on political objectives. The first two exclusions can, however, be overcome if there is employer consent for such projects.

### **UMF First Round application procedure**

Following an initial consultation and impact assessment exercise (see DTI, 2004, 2005), the promotion of the Union Modernisation Fund started in earnest in January 2005. A DTI team leader had already been appointed as early as July 2004 to oversee the programme. The promotion of the Fund started with an initial awareness raising exercise in January 2005, with meetings between DTI officials, the TUC and the UK's largest trade unions. This was followed by a formal presentation by the Minister for Employment Relations to the TUC's General Council in February 2005. A series of training events then followed, organised by the TUC and DTI. These training events sought to set out the aims and objectives of the Fund and the likely expectations of successful projects, and were all well attended by prospective applicants.

Applications for the Fund were formally invited on 15 July 2005, with a submission date for applications of 3 October 2005. The application form and all supporting guidance notes were available on the DTI Employment Relations website. The application form was structured into four main sections: summary information; project details; project rationale and description and financial information. Applicants were able to locate their project against any number of the six project themes, but had to provide clear detail on the project's rationale and objectives, milestones and outputs, governance structure, transformational potential, additionality, sustainability, risk assessment and wider benefits. All applications had to be accompanied

by a note on each union's broader modernisation strategy and a monitoring and evaluation plan for the project.

During the period prior to submission applicants were free to approach either the DTI or the TUC for advice and guidance on how to complete the application form. DTI officials also held a UMF surgery at the TUC's annual September Conference. The DTI provided written feedback to 19 cases that subsequently led to formal applications. In some cases this feedback was quite detailed, but it typically centred on clarifying the Fund's eligibility criteria, the criteria for assessment and issues related to match funding. In total, 49 applications were submitted for consideration. In total, applications requested £6.1 million from the Fund. Following submission, the DTI issued an open call to all applicants to provide any further information that they considered necessary in relation to their projects. The reason for this was a perceived limitation of the application form in terms of the space available for applicants to provide adequate detail of the content of projects. Eleven unions chose to provide further information.

Once submitted, the applications underwent a rigorous internal assessment process within the DTI. The purpose of this assessment process was to grade applications in readiness for the formal assessment and recommendation of projects by the UMF Supervisory Board. The composition of the UMF Supervisory Board was announced in September 2005 and includes, in addition to Sir Bill Connor as Chair, three further trade union representatives, an employers' representative and two eminent industrial relations academics (see Appendix 1 for full details).

As part of the internal DTI assessment process, batches of applications were scored by two officials, who each graded applications and then met to moderate their scores. Once all the applications had been scored, the full assessment team (five assessors were involved in all) met as a whole and moderated all the applications one further time. The grading system was based on a detailed scorecard derived from the application form, and included aspects such as fit with UMF themes, transformational potential, project additionality, sustainability, value for money and project design and governance (see Appendix 2 for DTI scorecard and scoring procedure). Applications were ranked, in relation to an overall score out of 160, into four categories: A - strong contender for support; B - borderline; C - not recommended for support; C+ - Not recommended for support, but the Board may wish to give the application particular attention.

The Supervisory Board met to assess First Round applications on the 23/24 November 2005. The Board had held one previous meeting in October to set their protocol for working together, to acquaint themselves with the nature of the Fund and to engage in some training exercises around potential bids. The Board recommended that 32 applications be funded under the First Round, with three applications invited to resubmit revised versions of their bids. All three were subsequently revised, resubmitted and approved, after further

scrutiny of the Supervisory Board, for funding. In total, approximately £3 million was allocated to modernisation projects during the First Round.

Their recommendations were then forwarded to the Minister for Employment Relations for final approval. Prior to receiving formal offer letters of funding from the DTI, every successful application had its original project monitoring and evaluation strategy assessed by the external UMF evaluators, who provided short comments on the saliency and adequacy of monitoring and evaluation plans. This information was then discussed by the DTI with project managers and any fine-tuning of the plans agreed. This process was undertaken during January 2006. The details of all approved applications were publicly announced in late March 2006<sup>1</sup>.

### **The evaluation process**

In August 2005 the Department of Trade and Industry commissioned a team of researchers at the Universities of Leeds and Bradford to carry out an independent evaluation of the UMF. The evaluation process is to last until June 2008 and is split into two stages.

**Stage A:** Focuses on the period from the First Round Call for UMF applications to the formal approval of projects. The aim is to assess the effectiveness of the Fund's operation in Round 1 to inform policy decisions about the approach to be adopted in the Second Round.

**Stage B:** Involves evaluating the medium-long term impact of financial assistance provided to trade unions in relation to both the specified objectives of individual supported projects and the overall aims and objectives of the Fund. This includes establishing the nature and extent of benefits accrued, lessons learnt and good practice lessons arising from individual projects, and assessing the wider 'demonstration effect' from individual projects both in their own terms and in terms of the overall effectiveness of the wider impact of the Fund. Stage B will focus, initially at least, on the projects funded in the First Round.

This report presents the findings of the Stage A evaluation process.

### **Research approach**

The Stage A evaluation of the First Round involved the collection and analysis of documentary material and primary data collection. The documents

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<sup>1</sup> Details of all the approved applications can be found on the following DTI website address: <http://www.dti.gov.uk/employment/trade-union-rights/modernisation/page16097.html>

collected and analysed included all applications and miscellaneous materials submitted by trade unions during the First Round, along with all the correspondence and reports produced by the DTI team responsible for the UMF. This included internal DTI summary documents, statements and guidance notes for the Supervisory Board, the detailed scorecards used by DTI officials to initially rank applications and all written feedback given to applicants to the Fund.

The strategy of primary data collection included a survey of all trade union applicants and detailed semi-structured interviews with members of the Supervisory Board and officials of the DTI and TUC. The survey was conducted by telephone during October and November 2005. Its purpose was to explore applicants' views on the process of developing a bid and the application itself: at the time the applications had yet to be evaluated in funding terms. In total 48 of the 49 trade union officials responsible for specific applications agreed to participate in the survey.

Semi-structured, face-to-face, interviews were conducted with four DTI officials with responsibilities relating to the Fund, four Supervisory Board members, including the Chair, an employer representative, a trade union representative and an academic, and a senior policy official from the TUC. The interviews typically lasted between 45-60 minutes. They sought to explore respondents' views and experiences of the whole First Round process, from the initial launch and marketing of the Fund, the advisory support that was offered applicants, the rating and assessment process and the communication protocols established between the various stakeholders.

### **Structure of the report**

The report is structured into five further sections.

Chapter two presents a detailed mapping of applications to the Fund. It details the characteristics of successful and unsuccessful projects and maps the content of and themes covered by successful projects against each of the First Round Priority Themes.

Chapter three presents the findings of a telephone survey of all union applicants to the First Round of the Fund.

Chapter four considers the role of DTI officials engaged with the Fund and the Supervisory Board, and details the findings of semi-structured interviews with DTI officials and Supervisory Board members.

Chapter five looks at the monitoring and evaluation strategies submitted by individual applications. It examines how successful applicants' monitoring and evaluation plans were assessed and refined and notes the key strengths and weaknesses of the monitoring and evaluation process.

Chapter six provides some brief conclusions of the Stage A evaluation. In conclusion the key themes to have emerged during the First Round bidding stage are drawn out and key lessons learnt identified.

## 2. Characteristics of applications

This chapter presents a detailed analysis of the characteristics of applications to the UMF First Round. It starts with a general mapping of applications, in terms of the size of bids, the unions involved and how this relates to the general coverage of UK trade unions. The range of bids received across each of the six general UMF themes is then considered and emerging themes highlighted. Finally, the chapter examines the characteristics of unsuccessful applications and identifies the key ingredients of success.

### **General mapping of applications**

Of the 49 applications to the Fund, 32 were approved for funding and 14 rejected. A further three applications were identified by the Supervisory Board as of merit for funding, but not in their current state. The applicants were therefore asked to resubmit their applications, taking on board the specific advice of the Supervisory Board and DTI officials. All three subsequently revised and resubmitted their applications, and, following further scrutiny by the Supervisory Board, were approved for funding. The characteristics of successful (which include the resubmitted applications) and unsuccessful applications are outlined in Appendix 3.

In total, 39 unions and two union federations applied to the Fund. The total request for funding was £6.1 million. One union, The Transport and General Workers Union, submitted four applications (three of which were successful), and a further five unions made two separate applications (Amicus, BFAWU, Connect, NAHT and NSEAD). The majority of unions applying to the Fund were affiliated to the Trade Union Congress, although 12 unions (submitting 14 applications, half of which were successful) were not.

There was a good spread of successful applications by size of union. Five successful applications were to unions with more than half a million members and six successful applications to unions with members of less than 5,000 members (three of which were based in the finance sector). Eleven successful applicants had memberships of over 50,000 and 19 had memberships lower than this (the two federations were not counted).

There was also a good spread across industrial sectors, with seven successful applications from public sector unions, 14 from the private sector, three from the ex public sector and 8 from general unions or federations. Relative to applications to the Fund as a whole, it is clear that applications from public sector unions were disproportionately unsuccessful (with a success rate of 44

percent, compared to 65 percent for all applications). Typically unsuccessful projects failed to address key criteria of the Fund (as detailed later in the chapter).

More broadly, the applications covered a high proportion of trade union members in Britain. Bids were received from 39 of the 106 *independent* trade unions eligible to apply, representing a little over one third of all independent trade unions<sup>2</sup>. The unions that applied for UMF funding represent 86 per cent of total trade union membership. Thirty trade unions had projects funded, a quarter of unions eligible to apply to the Fund. Unions that received funding represent 51 per cent of total trade union membership.

Unsurprisingly, there were a disproportionate number of applications from larger trade unions to the Fund. Ten of the 14 independent trade unions (71 per cent) with more than 100,000 members eligible to apply to the Fund submitted applications (see Appendix 4). Whilst there was a good representation of applications from those unions with less than 100,000 members, this only accounted for approximately a quarter of those eligible to apply to the Fund. A list of those 'smaller' unions that did not apply to the Fund is listed in Appendix 5.

Requests for funding ranged from just £2,750 to £800,000 (four times the specified limit). The largest grant approved was for £198,324 to the GMB and the smallest of just £4,546 to the Portman Group Staff Association (the smallest union, with a membership of just 741). Nine grants of over £150k were awarded, including two to the TGWU. Typically these awards have been to large unions with over 100,000 members, although both the Royal College of Midwives (with between 20-50k members) and the RMT (between £50-100k) have smaller membership bases. Just one application of between £100-150K was successful, with ten ranging between £50-100k and twelve below £50k.

The four largest applications to the Fund, which were all £200k or over (Amicus, Unison, Association of Teachers and Lecturers and National Association of Head Teachers), were unsuccessful, as was the smallest application of just £2,750. In the large majority of successful cases the amount requested from the Fund was the actual amount approved. However, in four cases (three of which were for amounts of over £150k) the award approved was less than the amount requested. This was typically due to requests for ineligible expenses (such as a general contingency fund or computer hardware), but in one case an application was drafted around three potential projects only one of which was approved by the Supervisory Board for funding.

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<sup>2</sup> These figures are taken from the most recent report of the Certification Officer and are as at 31 March 2005.

## Analysis of applications by project themes

It was common for applicants to locate their projects against a number of priority themes. Indeed, it was not uncommon for applicants to locate their proposals against four or more relevant themes. Just two applicants located their projects against a single priority theme. This seems to be a practice that is typical in such funding streams (see, for example, Terry and Smith 2003 on the DTI Partnership at Work Fund).

As part of the initial scoring of applications by DTI officials, projects were typically re-assigned to a fewer number of themes, in order to pin down more explicitly the precise contribution of projects. As part of this process, projects still typically touched on a number of themes but fewer than those chosen by the applicants themselves. The numerical spread of applications across project themes, as determined by this internal DTI assessment, is depicted in Table 2.1. A description of successful applications by project theme is listed in Appendix 6.

The most common priority theme targeted by projects relates to improving two-way communications with members, whilst the least popular theme for applications relates to assessing the challenges and opportunities of mergers and restructuring. As the DTI's own analysis reveals, there is a high degree of clustering of particular projects. In total, approximately 60 per cent of all applications were based on exploiting ICT in some way. As DTI internal documents note, 'of these a significant majority (about 50 per cent of all applications) contain a significant element aimed at upgrading the union's website or developing a new web-based information management tool, often with links to the membership database'.

### 2.1: Applications by UMF priority theme

	Total	Successful*
<b>Theme 1:</b> Understanding modern business practices and working with employers as partners, including Information and Consultation	12	9
<b>Theme II:</b> Improving two-way communications with members	28	17
<b>Theme III:</b> Diversity	12	10
<b>Theme IV:</b> Applying modern management methods	16	10
<b>Theme V:</b> Assessing the challenges and opportunities of mergers and restructuring	4	2
<b>Theme VI:</b> Developing professional competence	13	9

\* Includes three bids invited for resubmission. The column does not add to 35 (number of successful bids) as projects are located against multiple themes.

*Theme 1: Understanding modern business practices and working with employers as partners, including I&C*

Projects funded against this priority theme are designed to improve understanding amongst full-time union officials and lay activists of the key challenges facing business organisations. By equipping unions with such capabilities it is anticipated that they can work more constructively with employers to improve performance. The priority theme also gave particular attention to equipping unions with the competences for engaging more effectively with the implementation of the Information and Consultation of Employees (ICE) Regulations. As Appendix 6 shows, nine successful projects addressed in some way the aspirations of Theme 1. Generalising across the applications there was a strong emphasis on training seminars and workshops, working to strengthen partnership relations with employers and educating union officers and activists in the understanding, implementation and monitoring of ICE.

Four projects were specifically located in terms of furthering partnership relations with employers (NGSU, Society of Chiropodists and Podiatrists, WBBSSU, Portman Group Staff Association). For example, the Society of Chiropodists and Podiatrists project aims to organise a series of training events (including a focus on the concepts and benefits of partnership working) in order to establish a network of regional partnership champions. It is envisioned that these partnership champions will play a key role in engaging with the NHS Agenda for Change programme. In the case of the NGSU, the project is based around the redesign of the union's website, with a focus on increasing its interactivity. This is seen as important in ensuring that members are informed about and involved in the partnership style relationship that the union is seeking to develop with Nationwide as part of its overall modernisation strategy. This is also seen as important in informing and adding value to NGSU representatives 'in taking forward the new ICE arrangements'.

A focus on engaging with the implementation of ICE regulations is central to five other projects (URTU, TGWU, WBBSSU, General Federation of Trade Unions, Portman Group Staff Association). In the Portman case, this is seen to build on an existing agreement (which includes a statement on partnership modelled on the TUC's six principles) with the employer, with the project focusing on training activists to enhance their capacity to progress the agreement. This includes training representatives to represent staff at formal hearings, 'training on company business strategy, so they [union representatives] can engage in consultation on change' and training to 'define what is required for full partnership working'.

The organisation of training and informational workshops is central to many of the projects working around improving understanding of the implementation of the ICE regulations. In this regard, the Supervisory Board

identified the TGWU project as a project that could potentially provide 'an important demonstration effect to the unions'. The project, focused on preparing opinion formers for ICE, aims to organise a series of training seminars and produce handbooks and guide books that will also be made available outside of the TGWU.

Many of the projects are looking to develop through the use of ICT and web-based resources, and so link very clearly with priority Theme 2. This was the case for at least four of the projects under this theme. In most cases this involves developing more interactive websites in order to facilitate union-member communication, but the project by Equity is quite unique. In this case, the union is looking to create and pilot an on-line talent directory that will allow 'Equity members to market themselves directly to prospective employers'. Given the freelance and contract nature of employment in this sector, this 'web-based marketing tool' has the potential to enhance the visibility and employment opportunities for members, allowing them to represent their interests more creatively and reduce the need for intermediaries (ie. talent agents).

#### *Theme 2: Improving two-way communication*

In total, 17 successful projects met the aspirations of priority Theme 2. This proved to be the most popular theme of the UMF First Round. The key concerns of this theme focus on improving two-way communication between unions and their members in a way that will lead to potentially greater participation of union members. All projects under this theme focus on taking advantage of the potential benefits of new forms of information and communication technologies. In the vast majority of cases this has been envisioned in terms of new web-based union services.

In general, projects under this theme look to achieve three key goals. First, to improve the provision of communication and electronic services to members and, because of this, increase the active participation of members in union affairs. This is typically articulated in terms of improving membership democracy within unions. Second, improvements in electronic forms of communication are seen as a way of freeing up union activists from the more mundane forms of communication they currently undertake (such as paper-based desk drops of union newsletters), allowing them to engage more broadly in representational activities. Third, electronic forms of communication are seen as a way of generating efficiency (and ultimately financial) savings in union administrative processes.

A key concern of many projects under this theme is to increase the 'interactivity' of how unions communicate with their members. Many of the project proposals detail how there is currently an emphasis on paper-based forms of communication, or on advice and guidance through requests to central union headquarters. Similarly, in many cases extant websites are considered to be 'static' sources of information, which do not take full

advantage of the current advances and possibilities of on-line resources. For example, the project by Lloyds TSB Group Union is designed to improve the level of communication with, and consultation, of members through the development of a new internet package. The key aspiration is to 'broaden the range of on-line services which will enhance and add value to the union's membership package'. In practice, this will mean an increase in the number of e-mail communications to members, more dedicated on-line services to members (for example, around legal advice), online balloting and electronic discussion groups and membership surveys. The project also proposed a dedicated area for pensioners.

The Union of Finance Staff is looking to develop similar innovations, including the capacity for members to update their records (and for new members to join) online. A key concern for this union is servicing an increasingly fragmented membership base, many of which work from home. The current emphasis on paper-based communication distributed by local representatives often misses such members, whilst electronic forms of communication offer greater potential for inclusion. For many projects under this theme, electronic communication offers the potential to access and engage the full union membership (no matter where they are based) whilst freeing up local-based activists from the inefficiencies of distributing paper-based forms of communication.

New web resources also allow for a far greater range of information, advice and guidance to be offered to members and a greater opportunity for members to engage in debate around specific and timely issues. Two projects, by Connect and Prospect, focus extensively on building their web resources into broader knowledge management systems that can act as a one-stop-shop for information and advice.

As well as allowing members access to greater reserves of information, increased usage of such websites by members also offers enhanced intelligence to unions about the current interests and needs of their members (as well as more general information about members). Thus, for the Royal College of Midwives, the development of an improved membership database means that 'more information about members allows the union to target services, products and information'. In this particular case, the project is also looking to generate online debates around specific issues of the moment, such as the NHS Agenda for Change programme, and online advice 'surgeries' where they are needed. Many projects also seek to have specific areas for members, activists and union officials, so that information and services can be tailored to different client groups within unions.

The introduction of such electronic forms of communication is assisted in many cases with dedicated training programmes, primarily for union employees or activists. The CWU project, for example, proposes to train 100 key union activists in the effective use of ICT solutions. This project is particularly innovative and considers the use of new communications

technology in broader terms that web-based services. Thus, it aims to pilot new communications methods - which cover tele- and video conferencing, text messaging and improved use of e-mail - in six of the union's regions. Again, a key concern is to improve the efficiency of union operations, as such communications can contribute to a reduction on the reliance of communication by post from central HQ and the amount of 'onerous travel to meetings by activists'. Significantly, the proposal stresses that the project is about more than software and hardware, but 'people developing their skills and confidence and processes'.

In a couple of cases unions identified the purchase of laptop computers as part of their project proposals. The Supervisory Board rejected such equipment (as ineligible hardware) and projects costs were reduced accordingly. One of the key strengths of projects related to the implementation of new ICT solutions is the ability to benchmark in quantitative terms the key outcomes of the project – for example, in terms of the number of members accessing union website and the types of services they use.

### *Theme 3: Improving unions' ability to respond to diversity*

Projects under Theme 3 should be designed to improve the ability of unions to respond to the increasing diversity of the labour market and to supply services geared to the needs of a diverse membership. In total, 10 proposals cut across the aspirations of this priority theme. Many of the projects related to this theme have multiple components and relate to a number of other priority themes. For example, both the BFAWU and TSSA projects also link explicitly with priority Theme 2, in that they're looking to link any emergent strategies around diversity to their systems of on-line communication.

In general, projects that address the priorities of Theme 3 tend to focus on four specific components.

First, there is a strong research dimension to many of the projects. Many projects under this theme note the challenges currently faced by their unions in representing fully the increasingly diverse composition of both their membership and the labour market more generally. This includes an under-representation of women, young people and BME groups. Against this backdrop, background research on membership composition and the attitudes of under-represented and disadvantaged groups to union policy and practices is central to a number of projects (GMB, BFAWU, Wales TUC, BDA, TSSA, CYWU). In the case of the TSSA this involves a survey to 'understand why members become activists and hence why most do not'. In the case of the BFAWU 'Membership Diversity' project there is recognition that 'at present, we do not have a clear and accurate picture of the scale of the diversity of our membership or workplaces'. They propose, therefore, a research project to explore the needs and attitudes of workers for whom English is a foreign language', in order to 'inform the development of a

strategy to service their needs'. The key concern for the BDA is perceived political 'apathy' amongst young members, and so they are interested in 'exploring the relationship between young professionals and their trade union'. In the latter two cases the projects themselves are largely based around the conduct of the research and the production of a research report that will inform future policy: actual implementation of any recommendations is not central to the project.

In other instances, the research component informs the development of a broader union project (eg GMB and Wales TUC). This is most well developed in the large GMB project 'Race and Diversity'. This project is designed to implement the findings of a recent internal union race and equality audit. It builds on this through an initial programme of (quantitative and qualitative) research into the 'access to services, take up of services, level of participation and experience of working for GMB as an ethnic minority'. The research is designed to identify the specific issues and concerns of ethnic minority members, which will lead to the production of a membership development strategy.

Second, awareness training of union officers and activists in diversity issues is central to many projects. Thus, the GMB project proposes training 580 union staff in race and diversity awareness (see also NUJ). It will also lead to the inclusion of a module on race and diversity as part of its broader educational provision. The Wales TUC project also proposes training all affiliated unions' equality representatives and officers. In a number of cases such training informs part of a broader strategy to develop a network of equality representatives or champions.

Third, and relatedly then, there is a focus on developing networks of equality or diversity representatives. For example, the TSSA project aims to put in place at least 26 'representative champions' that will act as a new cadre to advance equality issues throughout the union.

Fourth, a number of projects also aspire to engage more widely with employers around diversity matters, but this is not as centrally articulated as the three main dimensions. Both the NUJ and TGWU (UMF 022) projects based on developing the role of equality representatives suggest that attempts will be made to engage employers on equality matters. In the case of the TGWU this will involve piloting an equality toolkit in partnership with a number of employers in their key sectors. The NUJ proposals are more ambitious. In this case, the union is aiming to sign a number of equality agreements that will 'have been incorporated into collective bargaining agreements and into information and consultation arrangements'.

One of the most ambitious projects of the First Round is the TGWU project to establish a migrant workers support unit. This project will run as an initial pilot to assess the viability of such a unit (if successful the union will roll out such units across relevant regions and sectors). This dedicated support unit

will offer, to both current and prospective members, services such as translation, advice on employment rights and signposting to community support services. It will focus specifically on those sectors most affected by the Gangmasters Licensing ACT 2004 (including agriculture, horticulture, food processing and packaging). Identifying this as an important bid 'dealing with one of the most pressing employment issues of the moment', the Supervisory Board suggested that this initiative has the 'potential to be a flagship project for the Fund, with significant demonstration potential'.

#### *Theme 4: Applying modern management methods to the running of unions*

Theme 4 relates to the extent to which projects focus on the application of modern management methods to the running of unions as efficient, outward looking and flexible organisations. In total, 10 successful projects met the criteria of this Priority Theme. Again, many of the projects listed under this theme are often targeted at the aspirations of other Priority Themes.

Three broad themes emerged in relation to projects funded under this priority area.

The first core element of Theme 4 projects is a focus on the training of union officers and branch officials in general management methods or the utilisation of new technologies and the extent to which such projects can improve the efficient operation of union branches and the delivery of local services to members. For example, the Community project focuses on the training of senior union staff in globalisation and labour market trends, as well as culture change, the setting of organisational strategy and the management of finance and human resources. The project is designed 'to help Community's officers, lay leadership and senior staff to understand how the world of work has changed'. Likewise, the URTU project aims to develop a bespoke training programme designed to generate in depth awareness of the 'long term strategic changes to the sector'. The training includes generic management skills, time management, organising and managing teams and understanding and managing stress.

The second aspect of such projects is an attempt to connect the application of modern management methods through the use of new technological solutions. Thus, the Retained Firefighters Union project has a strong emphasis on increased utilisation of electronic forms of communication and the use of such technology to improve and support the capabilities and operations of local representatives. This involves maximising the information and reference material available to local representatives and supporting representatives through training and development activities, all of which should lead to the provision of improved advocacy for retained firefighters.

The Amicus and RMT projects also aim to use new technologies and web resources to improve the efficiency of branch operations. In the latter case it is planned to develop a new web-based membership information service to

allow the collection of richer membership data and the updating of members' records by union officers and branch secretaries. The improved record keeping system will 'enable the union to identify key grades, gender and ethnic profiles of [our] membership in a detailed fashion that is simply not possible at the present time'. Significantly, the system will also enhance accessibility for branch officials, who have already been provided with laptops, to such information at any time, thereby increasing the degree of flexible working outside of normal working hours (something that is essential in a sector with extensive shift based working). The project will involve a training programme for 230 branch secretaries.

Projects under this theme may also seek to develop systematic and modern management methods influenced by the activities and practices of the private sector. This is most notable in the case of Usdaw. This long-term project (it is the longest of any under the UMF First Round at 30 months) aims to develop and test a best practice management model that emphasises change management priorities in a sustainable fashion. Recognising that off the shelf solutions are not available, the union plans to educate its senior management in best practice management methods tailored to the specific circumstances of trade unions. To do this it will draw on the expertise of the Work Foundation and Saïd Business School at Oxford University. The plan is to deliver a management-training programme to a minimum of 24 of the union's senior central and divisional managers, in order to 'engineer a cultural shift in the management of the union'. The model will include mechanisms and management tools for evaluating the operations performance of the union as a whole, linked to the appraisal of individual staff performance (and performance criteria will be developed to allow this) and new project management systems.

#### *Theme 5: Assessing the challenges and opportunities of restructuring and mergers*

Just two successful projects fell within the remit of Theme 5. The CYWU project was also listed under Theme 3, and involves a research project designed to ascertain the specific needs of its very diverse membership base. The research is considered important for preparing the union for a forthcoming merger with the TGWU, in order to ensure that the diverse needs and interests of its members are not 'lost' once it has become assimilated into a much larger union.

The CATU project focuses on a review of how the union needs to restructure its internal operations to meet its changed labour market environment. Based in a declining industry, ceramics, with a membership reduced from a peak of 50,000 to 10,000, CATU is looking to develop a strategy based more around integrating itself with its local civic society and community. As the proposal notes, 'In order for the union to achieve its position as a significant local player in civil society it needs to restructure its internal systems and structures'. The project will seek expert advice and guidance from

researchers at Keele and Staffordshire University, who will conduct a systematic audit of existing structures and processes as well as research of identifying best practice. The audit will 'be used to inform and advise on changes to be made and systems to be implemented'. It will also be used to design training packages for officers and lay representatives.

#### *Theme 6: Developing the Professional Competence of Union Officers*

In total, nine successful projects fall within the remit of Theme 6, which relates to developing the professional competence of union officers at all levels. In practice, all projects under this theme also tie in with the aspirations of other priority themes, and most have already been detailed above.

Typically, projects connect with Theme 6 to the extent that they aim to develop formal training programmes for senior officials within the union. In some cases the training proposed is highly structured and accredited, and leads to the development of specialist trainers within the union, as for example in the case of the GMB race and diversity project.

One notable project worth detailing is that by the national Trade Union Congress. This project, which also falls under Theme 2, aims to develop and test an online support system for trade union professionals in TUC affiliates, in order to facilitate the targeted provision of advice and information to FTOs and specialists. The new system will allow for a more sophisticated system of onsite discussion groups and bulletin boards and will enable more frequent communication, around key issues of the moment, with union professionals. The focus of the project was inspired by a survey commissioned by the TUC of the informational needs of trade union professionals.

#### **Characteristics of unsuccessful projects**

Appendix 3 lists all the rejected applications under the First Bidding Round of the UMF. In total, 14 applications were rejected, with a rejection rate of 29 percent.

There were three main reasons why projects were rejected.

First, projects comprised a significant hardware element. This was relevant to five of the rejected applications. In most cases this related to the purchase of laptop computers. One particular project, for example, designed to develop and implement an enhanced communication system between the union and union delegates, proposed the purchase of 100 laptops for every union delegate. The Supervisory Board took a strong line on the relevance of the purchase of laptops (and planned expenditure for such equipment was stripped out of a number of successful projects) to the likely transformational impact of projects. The Board expressed concern that such equipment could be perceived as 'toys for the boys'. Two projects also included significant

hardware costs relating to the complete overhaul of existing ICT network systems.

The second reason for rejecting proposals was that the focus of projects fell outside the basic eligibility criteria of the Fund. This applied most notably to the two largest bids submitted to the First Round. In the case of Amicus' bid for the introduction of a new converged computer network, the cost of the project fell well outside of the Fund's stated (exceptional) maximum of £500k. In the case of the Unison application, there were grounds for suggestion that the focus of the project on the creation of an Institute for Health Care would be better placed under the auspices of the Union Learning Fund. These cases suggest two obvious lessons for future rounds of the Fund. First, where projects require funding of more than £200,000 applicants must be aware that they need to demonstrate in a clear and detailed way why such exceptional financial provision should be provided. Second, the relationship between different governmental funding streams needs to be made clear, most notably in relation to the Union Learning Fund.

The third key reason for rejecting bids was that they fell short of the main objectives of the Fund around union transformation, modernisation and the demonstration effect. In other words, such applications came up short in terms of key criteria for assessment of bids. In most cases this was understood in terms of projects having a limited transformation potential. For example, one project was proposing the installation of a videoconferencing system to free up the time that officials would usually spend travelling to meetings. Whilst there were some doubts over the actual need for such a system, the bid was rejected as its transformational nature was considered to be low. In another case, the project was proposing using UMF money to hire a new national official. This was rejected on the grounds that such positions are basic functions of trade unions that should be covered by union funds. It could also be argued that the need to apply to the Fund for such a position casts severe doubt on the sustainability of such a position.

In a couple of other cases the nature of the projects were considered to be too highly sectorally or regionally specific. The Supervisory Board rejected such applications on the grounds that they would have limited demonstration effect to the broader trade union movement.

### **Comparison of successful/unsuccessful projects against DTI scoring**

As explained in the introductory chapter, all bids were initially scored and then ranked by DTI officials prior to scrutiny and final decision of the Supervisory Board. Bids were scored against eight criteria (see Appendix 2 for details): transformational potential; priority themes; additionality; sustainability; value for money; dissemination; project design and project management. In simple terms, it was possible for a bid to receive up to 20 marks for each category, leading to a total possible score of 120.

Table 2.2 compares the mean scores for each criteria for successful and unsuccessful projects. As an indicator of what is needed for an application to the Fund to be successful this is clearly crude. However, it reveals two points. First, that a successful application will present a stronger case in terms of all criteria. Second, that whilst criteria like value for money and additionality are important, the most significant feature of successful applications is that their key contribution in relation to the objectives of the Fund – that is transformational potential and dissemination – is more robust.

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## 2.2 Scoring of successful and unsuccessful projects

Assessment criteria	Successful	Unsuccessful	Difference
Transformational potential	14.81	10	4.81
Priority themes	14.25	10.93	3.32
Additionality	13.44	10.07	3.37
Sustainability	12.41	8.36	4.05
Value for money	11.41	8.43	2.98
Dissemination	14.41	8.43	5.98
Project Design	13.16	8.14	5.02
Project Management	12.28	8.86	3.42

In general, those projects that scored highly (over 90) got funded and those with lower scores (less than 85) did not. This, though, is not the full picture, as the DTI, in addition to the scoring, also provided the Supervisory Board with general comments and advice on the Fund. The Board then used this information as part of a discussion that ranged broader than the specific scoring. As a result of these deliberations, one project with a high score did not get funded, as the Supervisory Board had concerns over its sustainability, whilst two projects that scored relatively poorly were funded. In such cases the transformational potential seems to determine success, as any concerns over value for money and costings can be taken up with applicants and refined.

Overall, the assessment process appears to be robust and transparent and the advice offered by the DTI to the Supervisory Board followed. But two broader points can be made. First, there were some minor issues of consistency with regard to scoring amongst DTI officials – a point discussed later in the report. Second, it is not clear why an equal weighting is given to the scoring of each of the eight criteria.

## Summary

- Applications to the Fund were received from a broad range of unions, in terms of size, industrial sector and membership composition. Applications were received from around a third of all eligible unions in the UK, a very respectable return for the First Round of a new Fund. Nearly three quarters of larger unions (those with more than 100,000 members) applied to the Fund.
- The DTI may wish to consider for future rounds of the Fund how a greater number and spread of applications can be encouraged.
- Applications were submitted across all six priority themes. The way in which the themes were defined meant a degree of overlap across themes for most applications. Applications relating to improving two-way communications, diversity, and the application of modern management methods were the most forthcoming. Applications that had some emphasis on diversity issues or understanding modern business practices and working with employers as partners appeared to have been more successful.
- The projects themselves may well lead to a great deal of innovation and activity within successful unions. There is likely to be a large training effort, in terms of ICT, diversity issues and the application of modern management methods. There are also likely to be some highly transferable outputs in terms of the development of toolkits (around ICE, communication methods and equality issues) and new trade unions roles, such as partnership champions and equality and diversity representatives. The Fund will also be supporting an important targeted research effort within the trade union movement, which will reveal much about the key challenges facing unions in terms of diversity and communication issues and the needs of a diverse membership base.
- Unsuccessful applications tended to fall short of the Fund's key criteria for assessment or broader issues of eligibility.
- In general, successful applications performed stronger across all aspects of the application form. However, the key points seem to be around the truly transformational potential of projects and their wider benefits (ie the two key objectives of the Fund), as well as a sound and convincing case for project management. The DTI may wish to consider given an even greater weighting to these criteria in future rounds of the Fund.

# 3. Applicants' Perceptions of the First Round

This chapter presents the findings from a telephone survey of all union applications to the First Round of the Fund. The chapter starts with an explanation of how the survey was conducted. The findings are then presented in terms of applications' perceptions of how the bid was developed, their experience of the application process, the support received in preparing the bid and general views of the process. The key differences between successful and unsuccessful applications are then considered.

## **Research procedure**

The UMF evaluators approached all applicants to the Fund at the end of October 2005 to request their participation in a questionnaire survey of the First Round bidding process. The questionnaire was developed in partnership with the DTI during October and November 2005. Following approval, the fieldwork commenced on 11 November 2005 and was completed on 24 November 2005. The purpose of the survey was to explore applicants' views on the process of application itself: at the time the applications had yet to be evaluated in funding terms. All interviews were conducted by telephone. Each interview took approximately 15 – 20 minutes to complete.

An email version of the questionnaire was distributed to respondents in advance so that they would be aware of the questions, had time to think about their answers and if necessary locate information that they did not have to hand. In cases where a consultant had a role in completing the application form, contact was made with the responsible union official in the first instance, they completed as much as the questionnaire as they were able to answer and then the consultant was contacted to complete the questionnaire. The response rate for the survey was 98 percent, with just one applicant refusing to participate. The questionnaire was structured into two main sections, the first focused on the development of the bid and the second on the application process itself.

## Developing the bid

Applicants first heard about the UMF from a diverse range of sources. Many respondents indicated that because of the relationship between their unions and the Labour Party, and because their unions were involved in the consultation process through which the UMF was developed, general awareness of the UMF was high. Applicants were asked to remember the first instance in which they heard about the Fund, and the results of this are reported in Table 3.1. Applicants were most likely to have heard about the UMF through some form of TUC communication, with just under a third (31 per cent) reporting that they had first become aware of the UMF from the TUC website. Less than one fifth (18 per cent) first heard about the Fund from the initial DTI press release. However, when questioned further, nearly two thirds of respondents (64 per cent) indicated that they had been aware of the DTI press release that announced the establishment of the fund.

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### 3.1: How did bid co-ordinators first hear about the UMF?

	Percentage	Number
DTI Press Release	18	9
TUC Circular	14	7
TUC Event	14	7
TUC website	31	15
Any Other internet	20	10
Other	20	10

N = 48

Tables 3.2 and 3.3 explore in more detail how the idea behind project applications was first developed within unions, in terms of the level of discussions and those responsible. As Table 3.2 shows, in a large majority (88 per cent) of cases the idea behind the UMF bid was developed at the national level. In most cases projects emanated from unions' national headquarters (Table 3.3). Union general secretaries were responsible for the initial development of three out of ten bids, but bids emerged from a number of different functions at the national level. In just two cases were local level organizers/activists responsible for the original idea behind a bid. In four cases the initial idea came from consultants. In terms of the 'other' categories, ideas were also initially forthcoming from a variety of specific officers within unions or specific departments, such as education, equalities or research.

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**3.2: What level of the union did the original idea come from?**

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	Percentage	Number
National level	88	43
Regional level	4	2
Local / Branch level	2	1
Other	4	1

N = 48

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**3.3: Which person or group had the original idea?**

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	Percentage	Number
Respondent's personal idea	13	6
General Secretary	29	14
Executive Committee	8	4
Membership department	2	1
National level organiser	8	4
Local level organiser/activist	4	2
External consultants	8	4
Other	29	13

N = 48

As Table 3.4 indicates, the majority of projects were already under consideration by the union when the UMF was announced. Only one fifth of projects were designed in response to the UMF. Approximately three quarters of projects that were already under consideration by unions prior to the announcement of the UMF were expanded in size in response to the fund. When these findings are compared against successful and unsuccessful projects, bids designed specifically in relation to the Fund were marginally less successful. For example, where an application submitted related to a project that was already under consideration as part of a union's modernisation plan, its success rate was 80 per cent, but this dropped to 70 per cent for projects designed specifically for the Fund. The projects that failed tended to score very poorly on transformational potential, but those successful projects designed specifically for the Fund received some of the highest scores for additionality.

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**3.4: What was the status of the project when the application was conceived?**

	Percentage	Number
Whole project was under consideration by the union before the application	13	6
The whole project was designed in response to the fund	21	10
The project was under consideration but was expanded in response to the fund	60	29
Other	4	2
Don't know	2	1

N = 48

As noted, a series of informational and training events were organised by the DTI and TUC to assist would be applicants to the Fund. Just over a half of applicants (51 per cent) reported attending such a training event when developing their bid. Of those that attended such an event, 72 per cent attended an event organised by the DTI, with 12 per cent attending a TUC event and 16 per cent attending a joint DTI/TUC event. The overwhelming majority of applicants who attended a training event found it useful, with four out of ten finding it 'useful' and 56 per cent 'very useful'. Half of those who did not attend such events (so around a quarter of all applicants), did not know that they were available.

**The application process**

The application form was available for downloading from the DTI website and contained a detailed set of instructions for completing a bid to the Fund. As the findings in Table 3.5 show, a large majority of applicants (85 per cent) found it easy to access the application pack. Just eight per cent of respondents disagreed with this. Likewise, a large majority either strongly agreed (40 per cent) or agreed (54 per cent) that the application pack contained helpful information about how to apply to the Fund. Just six percent disagreed.

### 3.5: Accessing the application pack (per cent (n))

	Strongly agree	Agree	Neither	Disagree	Strongly disagree	Mean	SD
The application pack was easy to get hold of	75 (36)	10 (5)	6 (3)	6 (3)	2 (1)	4.5	1.01
The application pack contained helpful information about how to apply	40	54	0	6	0	4.27	0.76

N = 48 (for all items)

### 3.6: Ease of use of the UMF application form (per cent (n))

	Strongly agree	Agree	Neither	Disagree	Strongly disagree	Mean	SD
The application form allows all relevant project information to be recorded	19 (9)	25 (12)	29 (14)	23 (11)	4 (2)	3.31	1.15
The application form was difficult to understand	2 (1)	19 (9)	23 (11)	37 (18)	19 (9)	2.48	1.07
The application form took too long to complete	2 (1)	19 (9)	23 (11)	31 (15)	6 (3)	2.87	1.00
The criteria used for assessing the application were clearly set out	27 (13)	50 (24)	13 (6)	8 (4)	0	3.98	0.87
The application form asked the right amount of information for others to make a fair decision about project funding *	6 (3)	55 (26)	19 (9)	13 (6)	2 (1)	3.53	0.89

N = 48 (for all items, except \* N=45)

Applicants were probed on how helpful and easy to use they found the application form, and the findings are reported in Table 3.6. The majority of applicants found the application form easy to understand, although just over a fifth (21 per cent) found it difficult to follow to some extent. A quarter of applicants suggested that the application form did not allow them to record all the relevant information on their project. It should be noted, however, that all applicants were afforded the opportunity by the DTI to provide any additional information about the rationale for their project deemed necessary following the submission of applications.

That said, the majority of applicants indicated that the application form asked the right amount of information for others to make a fair decision about project funding, with just over six out of ten agreeing or strongly agreeing with this statement. Similarly, a significant majority (77 per cent) agreed or strongly agreed that the criteria to be used for assessing the bid were clearly set out.

The time and resources needed to make an application was raised by a number of applicants. Overall, just over a fifth (21 per cent) reported that the application form took too long to complete, although a further 23 per cent were ambivalent about this. The actual amount of time devoted to completing the application form varied significantly between unions, from less than one day to 30 days (see Table 3.7). The mean length of time spent was around eight days. Larger unions, those with over 100, 000 members, spent longer completing the form than smaller unions. The former spent a mean average of 8.8 days (standard deviation 3.68) compared to 8.3 days for the latter (6.87). The median number of days that larger unions spent on completing the application was 10, compared to 5 days for smaller unions.

The broader resource investment that went into preparing the bid also varied significantly between applicants, as the findings in Table 3.8 indicate. In some cases as many as twelve people worked on preparing the application, although the average was about four.

Two further points are worth making with regard to resourcing bids. First, whilst a number of applicants mentioned the time and resources needed to make an application as problematic for their union, they nonetheless felt that this was a reasonable demand for the DTI to make given that public money was involved. Second, a number of the smaller unions mentioned that the resources required to put a bid together severely taxed their limited resources.

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**3.7. Approximate number of days spent completing the form?**

Number of days	Percentage	Number
0.75	2	1
2	6	3
2.5	2	1
3	8	4
4	15	7
5	15	7
6	4	2
7	2	1
8	2	1
10	19	9
12	4	2
12.5	2	1
13	4	2
14	2	1
15	6	3
16	2	1
28	2	1
30	2	1
Mean (standard deviation)	8.23 (6.09)	
Median	6	

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N = 48

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**3.8. How many people worked on each bid?**

Number of people	Percentage	Number
1	10	5
2	8	3
3	23	11
4	21	10
5	15	7
6	13	6
7	2	1
8	2	1
9	2	1
10	2	1
12	2	1
Mean (standard deviation)	4.23 (2.31)	

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N = 48

Finally, respondents were asked to suggest areas where they felt more information and guidance was needed in order to assist the process of completing the application form. Overall, just a quarter of applicants responded that there were no areas where additional guidance was necessary. Applicants identified several areas where, in their view, the guidance notes could have been improved upon. A small proportion again used this as an opportunity to note that they had experienced difficulties with the application form, which they did not consider to be user friendly.

Several respondents also mentioned that they felt there was a lack of clarity in the meaning of some of the questions on the application form. There were, however, three specific areas of the application form that stood out as requiring further guidance, 'additionality' (21 per cent), 'transformational' potential' (23 per cent) and 'financial details' (29 per cent), all of which are key criteria against which applications are assessed. Many respondents found the concepts of 'transformational potential' and 'additionality' particularly difficult to understand and relate to the day-to-day work of trade unions.

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**3.9. Areas where respondents felt that more help or information was needed.**

	Percentage	Number
No additional guidance needed	25	12
The whole form	2	1
Project rationale	10	5
Modernisation strategy	13	6
Project objectives	8	4
Milestones and outputs	15	7
Risk assessment for project	6	3
Project governance	2	1
Transformational potential	23	11
Additionality	21	10
Sustainability	4	2
Wider benefits	13	6
Financial details	29	14
Monitoring and evaluation strategy	10	5
Completing the electronic form	15	7

As some respondents answered that multiple areas were problematic, the percentages do not sum to 100.

### Assistance in preparing the bid

Applicants were able to draw from a number of sources of help in preparing their bids, most notably from the DTI and/or TUC. And the majority of applicants did indeed draw on such assistance. Just under a quarter (23 per cent) of respondents completed the form without any form of help. Where help was solicited the DTI was the most frequently reported point of contact for just under half of applicants (48 per cent), followed by consultants (31 per cent) and the TUC (14 applicants). Five respondents received help from other sources: two from universities (who would be project partners); one from a firm of solicitors (who would be a project partner); and, two from chartered accountants.

As the findings in Table 3.10 indicate, the majority of those that sought assistance from either the DTI or TUC found it helpful. Thus, 88 per cent and 93 per cent of applicants found the help received from the DTI or TUC respectively either useful or very useful. Where applicants had not received help from these sources, they were asked whether they were aware that such assistance was available. Levels of awareness were high, although were higher with regard to the TUC (77 per cent) than the DTI (60 per cent). Respondents that were not aware of TUC help tended to be from unions not affiliated to the TUC.

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#### 3.10: Usefulness of DTI and TUC assistance (per cent (n))

	Very useful	Useful	Neither	Not useful	Not at all useful
How useful was DTI assistance?*	75 (17)	13 (3)	4 (1)	4 (1)	4 (1)
How useful was assistance from the TUC ?#	87 (13)	7 (1)	7 (1)	0	0

\* N=23 # N=15

Where applicants had approached external consultants for assistance, four out of ten reported that the consultant had actually completed the entire application form for them. In a third of cases the consultant assisted in completing part of the application form and in around a quarter of cases the consultant did not help with completing the application form, but provided more general advice. All those that received help from consultants regarded the help received as either useful or very useful. Three respondents, from smaller unions, said that they would not have had the resources to put a bid together without help from a consultant.

One consultant undertook the work as part of an existing business relationship (both union and consultant regarded the consultant as 'part of

the union' although not formally on the pay roll) with the union, for which they received a retainer. Five consultants undertook the work without charging because they would be involved in the delivery of the project if successful. One bidder stated that they paid £4000 to consultants for technical advice. Seven respondents were unwilling to divulge information about monies paid to consultants.

### **General issues**

A significant number of applicants were critical of the timing of the application process. Most bids were put together by small teams of people usually based at union head office, reporting to one or more senior union officials, who in some cases then had to seek approval from union executives. Most people working on bids were doing so in addition to their normal workloads. To progress bids these people had to be able to schedule time to meet and work together. This was difficult to organise over the summer and early autumn. In the early part of the summer, time was often constrained by additional workload caused by unions' own conferences. During the summer itself, holiday scheduling meant that bids could not be progressed if one or more of the key players were away consecutively, while in September, TUC and Labour Party conferences imposed more additional work and took key players away from the office.

Respondents from small unions said that this often resulted in them not having the people around to work on the bid, while respondents from larger unions reported that there were problems with getting decisions taken within bureaucratic/democratic structures if for example key officials were away. The net effect of this was to make it very difficult to progress bids within the timeframe. There was a strong feeling that it would be helpful if deadlines for future rounds of applications were to fall at a different time of year, for example in the spring.

The majority of applicants seemed comfortable with the thematic priorities of the UMF and felt that they tied in well with the modernisation agendas of their own unions.

### **Differences between successful and unsuccessful applications**

On average, successful applicants spent more time preparing their bids than unsuccessful applicants. The mean time taken to prepare a successful bid was 8.4 days, compared to a mean of 4.5 days for an unsuccessful bid. Just 5 out of the 14 unsuccessful applications spent more than 8 days on their application, and 3 of these were larger unions. Unsuccessful applicants (44 per cent) were also less likely to have attended promotional training workshops than successful applicants (54 per cent) and were less likely to have sought assistance when completing the application than successful applicants.

Table 3.11 details the outcome of the bid by whether the applicant sought help in preparing the bid. In general, where the applicant sought help the bid was more likely to be successful, but this was most marked where they had obtained help from a consultant rather than the DTI or TUC.

### 3.11 – Outcome of bid by help received in completing application forms

	Bid funded	Bid not funded	Bid resubmitted
No help sought	64	27	9
Help sought from DTI, TUC or both	75	20	5
Help sought from consultants	100	0	0
All	74	20	6

N = 48

#### Summary

- Applicants were generally very happy with the application process and the application form itself. Levels of awareness of the Fund were high and informational and training events put on by the DTI and TUC were positively received.
- A significant minority, however, were critical of some parts of the application form and the length of time it took to complete. It would be worth the DTI looking closely at the information applicants need to provide with regard to 'transformational potential', 'additionality' and the 'financial details', and providing more detailed guidance as necessary.
- The development of bids was quite resource intensive and this was particularly a concern for smaller unions, who sometimes felt they were constrained by the amount of resources they could allocate to such bids. In general, successful bids were more likely to draw upon external sources of advice and guidance of one sort or another. Some smaller unions would simply not have had the resources to submit bids without such external assistance, particularly from consultants.
- The timing of the First Round of the Fund was identified as an issue by a number of applicants. There is no way of telling how many potential applicants did not submit bids because of this. However, the timeframe of future rounds of the Fund needs careful consideration.

# 4. Officials' and Supervisory Board members' perceptions

## **Introduction**

This chapter presents the findings of interviews with those DTI officials with responsibility for the Fund and members of the Supervisory Board. The interviews with DTI policy officials (four interviews) and Supervisory Board (four interviews) members covered the process from the initial launch of the Fund to approval of bids for funding. This included questions on how applications were assessed and how Supervisory Board members performed their duties. The interviews were around 45-60 minutes long and in the majority of cases were tape-recorded.

## **Key findings**

The general advertisement and promotion of the Fund, as far as respondents were aware, was perceived to have been effective. The link between the DTI and the TUC during the initial awareness raising stage was considered one of the strengths of the First Round. This relationship was considered to be 'open' and 'constructive' and it was suggested that the relationship with the TUC 'helped reach an audience that was nervous about the UMF'. The open surgeries on the UMF at the TUC Annual Congress were considered to be particularly effective in raising the quality and quantity of applications. However, questions were posed around the timing of the call for applications over the summer months, and, whilst the surgeries at the TUC Congress were considered a strength, the close proximity to the deadline date for submissions was also noted.

Fund officials were happy with the number of applications. Forty-nine submissions were regarded as a decent return for the First Round of a new Fund. This was argued to be higher than for the initial rounds of other funds, for example the Partnership Fund. The application process itself was generally regarded as acceptable, with few respondents pointing to major concerns with the design of the application form, with only a couple of minor issues identified.

The first relates to the process of accessing and completing the application form electronically. It was suggested, by a Supervisory Board member, that

it took a little bit of searching to find the application form and to understand the navigation of the complex DTI web site. There were also some instances where the boxes on the application form did not highlight all the text entered by applicants. Secondly, it was recognised relatively early in the submission process that the application form lacked space for applicants to describe clearly what the project was actually about. In response to this, as noted previously, all applicants were invited to provide additional information following the submission of their applications.

Once submitted, as explained, applications underwent a rigorous internal assessment by DTI officials. Both DTI officials and Supervisory Board members perceived this process favourably. In a couple of cases DTI officials had little familiarity with the Fund prior to this process. Thus it was ensured that the process of assessment and moderation involved pairing a more junior and senior colleague. All officials noted the resource intensive nature of the assessment processes. It typically took 2-4 hours to read and assess each application.

The moderation process was also at times prolonged, as officials often took clear divergent lines on applications and how to score against specific criteria. In some cases this came down to a tension between those that focused on the project purely in terms of its content and how it was going to be managed, compared to those that had more in-depth knowledge of the trade union movement and argued for greater flexibility in the scoring process. The latter knowledge was considered to be particularly important.

Whilst the scoring process was considered exhaustive and it was suggested that more time could have been allocated here, it was argued to be a 'generally robust approach to evaluation'. The key problem area in terms of assessment related to difficulty that many applicants had in responding to and understanding the criteria for additionality and sustainability.

Members of the Supervisory Board warmly welcomed the DTI's initial scoring process. The sifting of applications into different categories (ie. A, B and C) was perceived as useful, because it allowed the Board to focus more time on applications on the margins. On the whole, Board members did not perceive there to be too much difference between their own assessment of applications and those of the DTI. According to the Chair of the Supervisory Board, the DTI assessment process was undertaken 'very thoroughly' and 'gave confidence in assessment'. Another member, noting how much time it took to wade through all the paperwork, noted that the 'DTI did some good work to help us in preparing summary papers for each one which helped to point to things to look for as you read through them. I think if we had all had to read them from a kind of completely blank mind if you like, it would have been much more difficult'.

Board members came to their conclusions on the basis of consensus decision-making. Where there were differences of opinion they did not

become entrenched and after discussion decisions were reached by unanimity. Board members also felt well prepared for their task and established early on a clear protocol for how they would work. They were all positive about the initial away day that allowed them to acquaint themselves with the operation of the Fund and the formal assessment meeting in November 2005. The Chair stated that the 'Supervisory Board were a component in a well worked machine'. They were the democratic element of the process that ensured the decisions made had legitimacy.

Board members were particularly careful with regard to any potential conflicts of interests. Thus board members did not participate in deliberations or decisions on unions where there may have been some potential conflict of interest, for example where a board member was a former official of a union that had submitted a bid.

Five main points emerge from the Supervisory Board assessment meeting, in terms of Board members' views of the operation of the First Round.

First, Board members were conscious that the decisions they made and the way that they made them would set benchmarks for future rounds of the Fund, in terms of what successful projects should look like and what was and wasn't acceptable for funding. In this regard, they were particularly keen to differentiate between projects considered genuinely transformational and those that involved a request for new hardware or infrastructure. The most obvious example relates to projects under Theme 2. Projects focused on developing websites were considered transformational when there was a real attempt to enhance the interactivity of such technology, whilst projects that involved the purchase of large numbers of laptops and other ICT hardware were consistently rejected in terms of the fact that the Fund does not support 'toys for the boys'.

The second point relates to the position of the Board itself, as a democratic body organised to ensure checks and balances in the assessment process. It was made clear by the Board Chair that they 'were not influenced by the size of the union or political influence, or the 'prettiness' of the bid'. All applications were assessed solely on their own intrinsic merit, regardless of any expectation on the part of the applicants. It is worth noting in this regard, that a number of Board members and DTI officials commented that in some cases larger unions could nonetheless have assumed to some degree that their size would have some influence in the allocation of funding.

The third point again relates to how some aspects of the application form were defined. There was a concern that the sections of the application form around additionality and sustainability may not have invited well-considered responses. One Board member suggested that the question on additionality should have been articulated in a far more user-friendly and 'down to earth way'. There was general concern about this, but it was equally well recognised that the concept is central to all forms of government funding.

The fourth point relates to the actual nature of applications themselves. Whilst the majority of Supervisory Board and DTI officials felt that the overall quality of applications was high, there were some concerns identified by Board members. One member questioned the truly transformational nature of many of the projects and noted that with a few exceptions, for example the project on migrant labour, projects were not concerned with the 'real challenges' that unions face. The bids were considered to be of good quality, but 'lacked imagination'. In another case, it was argued that there could have been more partnership orientated bids between unions and organisations, and that the DTI themes could identify in some instances how projects would 'contribute to improving the competitiveness of UK PLC'.

The fifth point was the most contentious and relates to the decision by the Supervisory Board to allow three applicants to resubmit their bids. A number of DTI officials expressed their reservations about this. It had not been made clear at the outset that such a decision could be made, and it was felt the reasons for any resubmission would have to be strongly justified. For Supervisory Board members it came down to the intrinsic merit of bids, which in some cases could be clearly transformational with some revision. It is also worth noting in this regard that the accompanying advice provided by DTI officials as part of the initial scoring process did occasionally identify fundable elements within a seemingly weaker overall bid.

It was the Board's view that in such cases applicants should be given guidance about what was needed – for example, focusing on a pilot part of an originally larger bid - rather than being told explicitly what had to be done to obtain the funding. The need for greater clarity with regard to potential resubmissions is an obvious lesson for future rounds of the Fund. The Board also noted that there should be clear feedback to rejected applicants and they should be encouraged to make a future bid to the Fund that was properly prepared.

Following the assessment process, and the formal Ministerial approval of these decisions, DTI officials contacted all applicants to inform them of the decision on their submissions. All applicants, whether successful or not, received written feedback, and a number of successful applicants met with DTI officials for a final finessing of their bid prior to formal approval. DTI officials were generally happy with how this process was conducted. Most applicants appear to have readily accepted the decision and feedback and in only a few cases attempted to renegotiate a decision.

Finally, applicants were asked to identify the perceived strengths and weaknesses of the First Round bidding process and any potential issues for the future. Overall, the views of the First Round process were positive. The number of applications generated was seen as a key plus point as was the process of working with the TUC during the early stages. That said, it was

also noted that, given the number of registered trade unions, far more applications could have been forthcoming.

More broadly, some minor weaknesses were noted with regard to the application form, in terms of the space available when completing the form electronically and also in terms of how some questions, for example around additionality, are phrased. In some cases the financial data submitted were weak and maybe more guidance was needed on this. One Supervisory Board member suggested that it would also be useful if applicants submitted a 100 word abstract with their bids, clearly linking the rationale for the bid with the union's modernisation strategy. The priority themes for Round One were generally regarded as appropriate, although it was suggested that they could be broken down in some cases into more clearly specified sub-themes.

Longer-term, it was noted by a number of Supervisory Board members that the on going monitoring of the Fund will be essential if the lessons learnt are to be logged and the overall success of the Fund evaluated. The way in which the Fund and projects are to be disseminated will also become a key issue as the next stage of the project commences. Many individual applications did not spell out in detail their full demonstration effect, and it may be necessary for the work of various projects to be brought together more broadly in dissemination terms. DTI officials and Supervisory Board members generally saw this as the likely responsibility of the DTI, perhaps working in conjunction with the TUC.

## **Summary**

- In general, then, DTI officials and Supervisory Board members considered the First Round of the Fund to have been appropriately and effectively executed. The assessment process appears to have been robust and the DTI and Supervisory Board worked well with and complemented each other. The final decisions on funding can be regarded with a high degree of confidence.
- Two key points are worth broad consideration. First, the process of assessment of applications is highly resource intensive, as will be the ongoing management of the Fund. Second, the possible resubmission of bids needs to be clarified in relation to future rounds of the Fund. It seems sensible that the Supervisory Board has the flexibility to do this, but in terms of managing the expectations of potential applications the basis for this needs to be clearly explained.

# 5. Monitoring and evaluation

This chapter considers the centrality of ongoing monitoring and evaluation of successful projects. It starts by outlining the overall rationale for developing a robust approach to the monitoring and evaluation of individual projects. It then analyses in more detail the nature of specific monitoring and evaluation strategies submitted by unions. In summary it is suggested that some refinement of this process may be necessary.

## **The process of approving monitoring and evaluation strategies**

A key concern of the DTI is to ensure that all funded projects have adequate internal monitoring and evaluation strategies. Whilst it is emphasised that this should not be seen to be too onerous on the overall management of projects, such monitoring and evaluation is seen as essential in terms of assessing the overall success of projects, both on their own terms and against the overall objectives of the Fund. Well developed monitoring and evaluation strategies can contribute not only to the successful prosecution of projects, but also play a valuable role in terms of ensuring value for money and in the identification of any lessons learnt during the lifecycle of a project. Accordingly, all applicants to the Fund were asked to append their proposed Monitoring and Evaluation Strategy to their application.

Guide notes for applicants on monitoring and evaluation were included under Note 16 of the application pack. The guidance notes stressed the need to include the costs of monitoring and evaluation in total project costs and also outlined what details the final monitoring and evaluation report should cover. The guidance notes stress that as a minimum, monitoring and evaluation strategies should consider:

- 'what the success measures of the proposed project, against its objectives will be;
- details of performance indicators, both 'soft' and 'hard', to be provided to the DTI at appropriate milestones;
- the methodology which will be adopted in assessing the success of the project against its objectives. For example, will qualitative (e.g. face-to-face interviews, focus groups, case studies etc), or quantitative (e.g. statistical analysis, documentary analysis etc), or a mixture of both be used;
- the appropriate systems which will be used to collect robust and pertinent management information; and

- how the results of evaluation will be presented (please note all projects are required to produce a final evaluation report).'

*The monitoring and evaluation strategies did not, however, contribute to the overall assessment of whether projects were to be funded or not.* Instead, where projects were approved, DTI officials sought to agree with the relevant unions a final monitoring and evaluation strategy for the project. This process involved an initial review of all successful projects monitoring and evaluation strategies by the independent UMF evaluators. Any comments or advice given in relation to specific projects were then discussed between DTI officials and union project managers and a final monitoring and evaluation strategy agreed. In many cases this involved a formal meeting between DTI officials and project managers. These meetings focused on broad feedback on the applications and what was needed for final Fund approval, including any outstanding financial or project contact details, as well as the specifics required for monitoring and evaluation. Grant offer letters were not issued until the final monitoring and evaluation strategies were agreed, and the grant letter committed successful unions to implementing such strategies.

### **Analysis of project monitoring and evaluation strategies**

The majority of projects gave some detailed consideration to their monitoring and evaluation strategies. In only a few cases could the strategies presented be considered to be of poor quality. In these cases they were typically very scant or just far too general to be of any practical use. Far more common was for applicants to follow the specific considerations outlined in the DTI application pack guidelines in a rather formulaic manner. In the majority of cases, therefore, applicants had to make some revisions to their monitoring and evaluation strategies prior to receiving an offer letter. In general terms, project monitoring and evaluation strategies suffered from four main weaknesses.

The first related to the degree of coherence between the proposed monitoring and evaluation strategies and the overall milestones and objectives of projects. Whilst most applications detailed some criteria by which they intended to monitor and evaluate projects, and some critical success factors and indicators were outlined in relation to this, it was less common for them to map onto the overall project milestones and objectives in a systematic manner. In the majority of cases this was little more than a problem of disconnection, but in the weaker cases the monitoring and evaluation strategies had stated success criteria that bore little relation to the overall project objectives detailed in the application. For example, omitting the training of union officials as success criteria even though this was a key objective of the project.

The second point, related to the above, was the omission of detailed timelines against the monitoring and evaluation strategies. This was of particular concern in terms of the need to regard monitoring as an ongoing

process, and to link this to clear deadlines for project milestones. In the majority of cases this was again an issue of disconnection between relatively clear timelines for project milestones and objectives, but then no timelines at all for the monitoring and evaluation strategy (hence the need for integration outlined above). In some cases there were timelines given but they were either too vague (and/or not related to firm milestones) or contradicted the timelines set out for overall project progress and milestones.

Good practice applications in this regard had well developed Gantt charts detailing the progress of projects and the specific deadlines of project deliverables, and the monitoring and evaluation strategy was easily mapped on this. This is an important part of project management for it allows an ongoing assessment of how the project is progressing against plan. Where projects are 'off track' any necessary contingencies can then be invoked (sooner rather than later). All projects were asked to detail the potential risks of their projects and the potential contingencies they would employ if faced with such risks, but very few projects related this in any way to their overall plan for project monitoring and evaluation.

The third issue was the general clarity of success criteria and performance indicators and how they were to be measured. Again to some extent this relates to the lack of connection with overall project objectives and milestones. Many projects were asked to provide more detail on their milestones and how specific performance indicators would be achieved by set times. In a number of cases projects were asked to set out far more clearly how performance indicators, whether of a qualitative or quantitative nature, were to be achieved. Similarly, the overall success criteria of projects were often rather vague and needed to be strengthened in way that allowed the overall objectives of the project to be defined as harder, achievable outcomes.

Setting overall targets (for example, where officials are to be trained, stating how many are to be trained) to be achieved and that were defined against some baseline measure would also have strengthened the evaluative approach of many projects. In some cases the success criteria were just far too numerous and ambitious, and this was typical where projects were either overly complex or sought to detail aspirational outcomes that were not part of the project per se. For example, whilst many of the Theme 2 projects around the development of new technologies invited relatively hard targets (such as number of hits on the website or new registered users etc), long lists of potential outcomes were often documented even though they had no relation to the specific project itself. Thus, in a couple of cases targets on website usage were specified even though the projects themselves were more research orientated or just entailed basic scoping exercises.

The fourth theme to come out of the analysis of project monitoring and evaluation strategies was the wider issue of project governance and resourcing. In a number of cases projects were asked to make the lines of

responsibility for project management clearer and more robust. This also applied to the ongoing monitoring and evaluation process itself. It was often not clear who was exactly responsible for the ongoing monitoring of project and how this related to overall project ownership. Similarly, very few projects actually specified dedicated costs for project monitoring and evaluation as part of their overall financial projects.

## Summary

In summary, whilst all projects provided draft monitoring and evaluation strategies as part of their applications, in the majority of cases they required a degree of refinement prior to the formal approval of projects. For the next round of the UMF it may help to clarify what exactly is expected in relation to monitoring and evaluation. It may be possible to draw examples of good practice from the UMF First Round to assist with this. More broadly, the following points could be considered:

- The original DTI guidelines, clear as they were, may have invited applicants to take a 'back-ended view' of project monitoring and evaluation. More guidance should be given on the need to formally link monitoring and evaluation to project objectives and guidelines and the need to accord timelines to this.
- More importantly, it may be useful to encourage applicants to regard monitoring as a vital part of *ongoing* project management and to present this in terms of a critical path analysis. There is a need for an *integrated* view of how monitoring and evaluation fits with overall project management and the benefits of this. Applicants should be invited to consider: what needs monitoring? When? What would this tell them in KPI terms?

# 6. Analysis and conclusions

This report has presented a detailed account of the First Round bidding process of the UMF. The evaluation of the initial operation of the Fund has, in general, shown it to be very effective. A decent number of submissions were elicited and a variety of good quality projects approved. The links between the DTI and Supervisory Board seemed positive, with no members appearing to show any undue concern about processes. The assessment systems appear generally robust and in place for the next stage. In what follows the main themes to have emerged from the evaluation are identified, in terms of what worked and didn't work and the lessons learnt for future rounds of the Fund.

## **Coverage of applications and characteristics of success**

The number of applications was identified as one of the strengths of the First Round. Around a third of all eligible trade unions, representing nearly nine out of ten trade union members, made applications to the Fund, and a quarter of all eligible unions (representing 50 percent of members) had projects funded. There was a high degree of awareness amongst applicants about the Fund and about the initial informational and training workshops convened by the DTI and TUC. Although a quarter of applicants claimed not to have been aware of such sessions.

The high proportion of applications from larger trade unions was to be expected. Whilst there was a good number of submissions from smaller unions (less than 100,00 members), and their chances of success were as favourable as larger unions, there could be more encouragement to smaller unions to apply to the Fund. The TUC could have a role to play here in promoting the Fund and generating enthusiasm for applications – particularly in terms of encouraging joint applications amongst smaller unions. But some thought needs to be given to accessing those smaller unions that are not affiliated to the TUC.

Successful applicants spent more time preparing their bids, were more likely to have attended informational workshops and were more likely to have availed themselves of external sources of advice and guidance, be it from the DTI, TUC or other sources such as consultants. Important issues of resourcing are raised with regard to bid preparation. It is clear that larger unions were able to dedicate more resources to the development of bids than smaller unions. External assistance from the DTI, TUC and, for smaller unions in particular, consultants seems to improve the quality of

applications. Applicants should, therefore, be encouraged to seek such assistance.

The timing of the bidding process was also identified as an important resource concern. Significantly, planning and resourcing can become constrained, and thus disproportionately affect smaller unions, when the timeframe for developing bids clashes with major holiday periods or trade union conferences. This seems to be a lesson worth heeding for any future rounds of the Fund.

Unsuccessful applications tended to be deficient in two key respects. First, they failed to convince against the main objectives of the Fund, in terms of union transformation, modernisation and the demonstration effect. Second, they tended to fall outside the basic eligibility thresholds of the Fund. Both these points are considered in more detail below.

### **The UMF application form and the assessment of projects**

Most applicants were content with the application form itself and found the guidance notes provided by the DTI helpful. The main issue identified specifically in relation to the application form was the lack of space available to detail the content of the proposal. This problem was, however, picked up early in the process by the DTI and all applicants were given the opportunity to provide further information. This does nonetheless suggest that the design of the form may need some minor revision for future rounds. More broadly, the accessibility of the form electronically, and the extent to which material inputted fell outside the parameters of the form, was identified as an issue by a small number of applicants.

The suitability of guidance materials related to 'transformational potential', 'additionality' and 'financial details' was identified as an issue by a minority of applicants. A significant number of applicants were asked to provide additional information related to finances or scored poorly due to submitting limited financial details. More advice could be provided on what is necessary to demonstrate value for money and financial probity.

Concerns around demonstrating project additionality were also raised by DTI officials and members of the Supervisory Board, who felt that the concept could have been explained in a more straightforward way on the application form. The centrality of the concept to all streams of government funding means that projects have to some extent to be assessed against this criterion, but it does seem to generate a degree of confusion. It was clear that many projects were not designed specifically in relation to the Fund. Typically, projects built on existing plans, ideas or commitments or were advanced with financial support sooner than otherwise envisaged. The key point is how the ideas behind projects connect with unions' broader modernisation plans and strategy. Thus, successful projects were likely to score highly on 'transformational potential'. The fact that nearly a quarter of

applicants felt more guidance and information could be provided on what is meant by 'transformational potential' is a gap that needs to be addressed.

In general, then, the application form seems appropriate, although some minor finessing may be considered. This also relates to the assessment and scoring process, since during the First Round the criteria for assessment related directly to different elements of the application form. It is worth considering whether all criteria deserve similar weighting. The assessment process could be simplified; not an insignificant issue given the resource constraint this imposes on the DTI. Applicants should be asked to provide a more explicit statement of how their project connects with the union's broader modernisation strategy and the 'transformational potential' of projects could be given a higher weighting in any assessment. The suggestion by a Supervisory Board member that this could take the form of a short 100 word abstract seems sensible.

Finally, the application form also needs to provide a little more guidance on what is needed with regard to a project's monitoring and evaluation strategy. Whilst this was not identified as a concern by applicants themselves, the majority of submitted monitoring and evaluation plans needed some degree of revision. The key point that needs emphasising is that robust monitoring and evaluation should be seen as ongoing processes through a project's lifespan.

### **Eligibility criteria**

What constitutes an eligible resource for a project needs to be made clear. This applies most obviously to the purchase of new IT equipment, and laptops in particular. Whilst this may have been an understandable error on behalf of certain projects due to the way modernisation is often equated within new technology, it needs to be made clear that technological capacity building has to have a transformational rationale and is most likely to be equated to new processes (and software) than new hardware.

The financial limits of the Fund are clearly stated, but this did not prevent two very large bids to the First Round, both of which failed. In one case the bid crossed with another funding stream, the Union Learning Fund: it is worth spelling out the difference between the two Funds. In the other case the proposal was for funding way in excess of the exceptional maximum of the Fund. The need for projects in excess of 200k to demonstrate 'exceptional' contribution needs to be stressed more forcefully. If a larger number of bids are anticipated in future rounds it would be valuable to rule out ineligible bids at an earlier stage of the assessment process. One way to do this could be through some sort of pre-application submission process.

## **Priority themes and the 'challenge' of transformation**

There was a good spread of applications across the six Priority Themes of the Fund. The funded projects all have the potential to contribute significantly to the process of trade union modernisation and, if completed effectively, could provide an important 'demonstration effect' to the wider trade union movement. However, concern was voiced by some Supervisory Board members over just how transformational many of the projects were. The quality of applications was considered to be high, but there was a concern over the level of 'imagination' of projects.

Around six out of ten of all projects were related to Information Communications Technology (ICT) in some way. The degree of overlap across some of the Priority Themes also invites unions to situate projects against multiple themes. Whilst this was apparent in terms of the ICT component of many projects, there was also a fair amount of overlap between projects specifically related to Theme IV (applying modern management methods) and Theme VI (Developing professional competence). Very few applications were submitted at all under Theme V – assessing the challenges and opportunities of mergers and restructuring. Why this was the case was unclear, but the description of this Theme in future rounds may need some attention.

In this regard, it is important to stress more explicitly the purpose of the Fund in relation to the Priority Themes and perhaps elucidate in a little more detail the specific concerns of each Theme. Most notably the themes need to be explained and justified more robustly in terms of what is meant by modernisation and 'transformational potential'. This will help alleviate any potential (internal) confusion amongst applicants and focus less attention on some Priority Themes over others. For example, the emphasis on new internet processes is to be welcomed but the modernisation agenda relates to a broader need for unions to engage with and prepare for social and economic change. Thus, it may be necessary to illustrate how the modernisation of communication and representative structures may assist in the way unions engage with employers and create space for richer bargaining and negotiation approaches that allow for more enhanced, relevant roles in economic and social terms. Likewise, questions of diversity can be outlined in relation to the changing nature of the labour market and employment.

## **The Supervisory Board and the decision making process**

During the selection criteria the Board were provided with summaries and short reports regarding the applications. These were helpful as far as various Board members were concerned, but the volume of paperwork is an issue. The role of the academic advisors was important in explaining some of the nuances and contexts of the bids, but the timeframe and nature of the materials collated could be discussed. Application forms may need to be a bit

more simple and straightforward as well. Summary sections may need to be developed.

Members of the Supervisory board had a high degree of confidence in the transparency and robustness of the decision making process. Nonetheless, whilst major discrepancies with the applicants were avoided, extra thought should be given to the re-submission procedure for applications. This is important in terms of managing the expectations of applicants. There is a strong logic for a resubmission facility, but the possibility of such a decision should be specified at the outset and the process itself should be fully transparent.

### **Dissemination and benchmarks**

Dissemination is central to the success of the Fund and its perceived demonstration effect. Whilst the TUC is identified as a main vehicle for this, the DTI has a role to play in supporting this. The profile of the Fund may need to be raised, as the figures involved are modest. What is gained from the Fund looks likely to be value for money but it is competing against an array of well-funded initiatives.

One way to do this would be to outline flagship projects and establish good practice reference points. This work can develop as First Round projects start to deliver meaningful outcomes. Nonetheless, an initial document could be produced that highlights examples of the Fund's wide thematic priorities and the nuances of modernisation. Such a publication – perhaps highlighting one project per theme – would be of great benefit.

Not only would such a publication act as reference point of good practice for future applicants, it would show the value of the Fund in broader social and economic terms. The UMF is clearly a politically sensitive Fund. Yet, the modernisation of trade unions is not an end in itself. It has more to do with enhancing the structures of representation at the contemporary workplace and ensuring that the interests of an ever diverse workforce are considered and supported.

The role of the TUC as a vehicle for dissemination has been identified but it may be advisable to involve them more closely as advisors. They have the materials, networks, and resources to do more than advise on applications. They could assist and lead in relation to the development of a body of experts drawn from participating trade unions: this may be considered the basis for creating a network and link between the constituents of applicants.

### **Next steps**

Following completion of the Stage A evaluation of the UMF, the next stage of the evaluation (Stage B) will involve:

- evaluating the extent to which projects supported by the UMF have met or are meeting their objectives stated in the original applications; including the extent to which unanticipated obstacles detracted them from meeting their original objectives;
- establishing the nature and extent of benefits accrued, lessons learnt, and good practice lessons arising from individual projects;
- providing an initial assessment of the wider 'demonstration effect' from individual projects both in their own terms and in terms of the effectiveness of the Fund.

Stage B of the evaluation, which commenced in June 2006, will be based on analysis of internal project reports and associated documents, and detailed qualitative case studies of ten successful projects.

# References

Department of Trade and Industry (2004) *Union Modernisation Fund: Consultation on the draft rules and procedures*. London: Department of Trade and Industry.

Department of Trade and Industry (2005) *Union Modernisation Fund: Governmental response to public consultation on the draft rules and procedures*. London: Department of Trade and Industry.

Terry, M. and Smith, J. (2003) *Evaluation of the Partnership at Work Fund*, Employment Relations Research Series No.17. London: Department of Trade and Industry.

# Appendix 1: The Supervisory Board

Sir Bill Connor (Chair) – ex General Secretary of USDAW

Judith Hackitt – Director-General of the Chemical Industries Association (resigned January 2006)

Professor David Metcalf – Professor of Industrial Relations, London School of Economics and Political Science

Professor William Brown – Master of Darwin College and Montague Burton Professor of Industrial Relations, University of Cambridge

Jeannie Drake – Deputy General Secretary of the Communication Workers Union

Adrian Askew – General Secretary of Connect

Danny Carrigan – was Assistant General Secretary of Amicus from 2002-2005.

# Appendix 2: DTI Internal Assessment Score Card

Each was scored out of 20, allowing for an overall score of 160.

- **Transformational change** – How significant is the Transformational change which the projects contributes to, or explores the potential for? (High, 7-10; Medium, 4-6; Low, 1-3; N/A, 0); To what extent has the applicant clearly identified the intended benefits for its members or prospective members, its employees, its structure or internal operations, or its ability to work in partnership with employers? (High, 7-10; Medium, 4-6; Low, 1-3; N/A, 0) – Total 20.
- **Priority themes** – To what extent does the proposed project address one or more of the priority themes for this bid round? (H, 14-20; M, 7-13; L, 1-6; N/A, 0 – Total 20)
- **Additionality** – To what extent is it clear that the project would not go ahead at all, or would not go ahead on the same timescale or scale, or would be significantly different in nature if UMF funding were not awarded? (H, 14-20; M, 7-13; L, 1-6; N/A, 0 – Total 20)
- **Sustainability** – To what extent has it been demonstrated that project benefits or activity will be sustained and developed after UMF funding has ceased? (H, 14-20; M, 7-13; L, 1-6; N/A, 0 – Total 20)
- **Value for money** – To what extent does the proposed project offer value for money? (H, 14-20; M, 7-13; L, 1-6; N/A, 0 – Total 20)
- **Dissemination** – To what extent is the project capable of providing a demonstration effect to others within the union movement? (H, 14-20; M, 7-13; L, 1-6; N/A, 0 – Total 20)
- **Project design** – How clear is the rationale for the project? (H, 4-5; M, 2-3; L, 1; N/A, 0); How clear and realistic are project objectives? (H, 4-5; M, 2-3; L, 1; N/A, 0); How clearly are project milestones, outputs and activity defined and explained? (H, 4-5; M, 2-3; L, 1; N/A, 0); To what extent does the bid provide a clear assessment of the potential risks of the proposal? (H, 4-5; M, 2-3; L, 1; N/A, 0) – Total 20.

- **Project management** – To what extent does the application demonstrate that the project has been realistically costed? (H, 4-5; M, 2-3; L, 1; N/A, 0); How clear and achievable is the timetable and resource planning for the project, as described in the application? (H, 4-5; M, 2-3; L, 1; N/A, 0); To what extent does the application describe strong project management and governance arrangements, appropriate to the scale and nature of project activity? (H, 4-5; M, 2-3; L, 1; N/A, 0); To what extent are the roles and responsibilities of key participants clearly defined and explained? (H, 4-5; M, 2-3; L, 1; N/A, 0) – Total 20.

# Appendix 3: Summary of UMF applications

## Successful applications

UMF code (UMF/2005)	Union	Amount Approved (banded)	Themes#	Type of union	Size of Union
002*	Retained Firefighters' Union	50-99K	2, 4	Public	<5K
003	Nationwide Group Staff Union	<10k	1, 2	Private	5-20K
004	GMB	>150k	3, 6	General/Federation	500k-1M
005	Communication Workers Union	>150k	2, 4	General/Fed	100-500k
006	Bakers, Food and Allied Workers Union (BFAWU)	10-49K	3	Private	20-50k
007	TUC Wales	>150K	3, 6	General/Fed	500k-1M
008*	Lloyds TSB Group Union	10-49K	2	Private	20-50k
009	National Union of Teachers	50-99K	2, 6	Public	100-500k
010	Society of Chiropractors and Podiatrists	50-99K	1, 2	Public	5-20k
011*	Royal College of Midwives	>150K	2, 6	Public	20-50k
013*	Union of Finance Staff (UFS)	10-49K	2	Private	<5K
014	Ceramic and Allied Trades Union	50-99k	5	Private	5-20K
015	United Road Transport Union (URTU)	50-99K	1, 4, 6	Private	5-20k
016	Equity	10-49K	1	Private	20-50k
017	TGWU	>150K	3	Gen/Fed	500k-1M
020	BFAWU	10-49K	2, 3	Private	20-50k
021	Community and District Nursing Association (CDNA)	10-49K	2, 4	Public	<5k
022	T GWU	>150K	3	Gen/Fed	500k-1M
023	Community	50-99K	2, 3, 6	Private	50-100k
026	TGWU	10-49K	1	Gen/Fed	500k-1M
027*	British Dental Association	10-49K	2, 3	Private	20-50k
028	Transport Salaried Staffs' Association (TSSA)	100-149K	2, 3	Ex Public	20-50k
030	Connect	50-99K	2, 4	Private	5-20k
031	Usdaw	>150k	4, 6	Private	100-500k
032	Prospect	>150k	2, 4	Public	100-500k
033	National Union of Rail, Maritime & Transport Workers (RMT)	>150k	4, 6	Ex Public	50-100k
034	National Union of Journalists	50-99k	2, 3	Private	20-50k
035	Accord, Connect and the Musicians Unions	50-99k	2	Private	50-100
036	TUC	50-99k	2, 6	Gen/Fed	N/A
038	Community and Youth Workers Union	10-49k	3, 5	Public	<5K

039	Amicus	100-149k	2	Private	1M+
041	ASLEF	50-99k	2	Ex Public	5-20K
043*	West Brom Building Society	<10k	1, 2, 4	Private	<5K
044	GFTU	50-99k	1, 6	Gen/Fed	N/A
046*	Portman Group Staff Association	10-49k	1, 6	Private	<5K

\* non TUC affiliated union # as categorised by DTI

### Unsuccessful applications

UMF code (UMF/2005)	Union	Amount requested £	Theme s#	Type of union	Size of Union
001	General Federation of Trade Unions	1-49k	4	Gen/Fed	N/A
012*	National Society for Education in Art and Design (NSEAD)	<10k	2	Public	<5k
018	TGWU	50-99k	4, 6	Gen/Fed	500k-1M
019*	NSEAD	50-99k	6	Public	<5K
024*	Professional Association of Teachers	10-49k	2, 4	Public	20-50k
025*	Royal College of Nursing	100-149k	1, 4, 5	Public	100-500k
029	Unison	201-500k	1, 3, 5	Public	1M+
037	Association of Teachers and Lecturers	150-200k	2	Public	100-500K
040	Amicus	>500k	4	Private	1M+
042	National Association of Educational Inspectors, Advisers and Consultants NAEIAC	10-49k	1	Public	<5K
045*	Association of Licensed Aircraft Engineers	10-49k	2	Private	<5K
047	Professional Footballers Association	150-200k	2, 4	Private	<5k
048*	National Association of Headteachers	150-200k	2, 4	Public	20-50k
049*	National Association of Headteachers	150-200k	1, 2	Public	20-50k

\* non TUC affiliated union # as categorised by DTI

# Appendix 4: Applications from larger unions

**Applications from eligible larger unions as proportion of total unions  
(large trade unions > 100, 000 members)**

Trade union	Members	No of bids	Success rate
Unison	1, 301, 000	1	0
Amicus (incl UNIFI)	1, 072, 238	2	1/2
TGWU	816, 986	4	3/4
GMB	600, 106	1	1
RCN	372, 506	1	0
USDAW	331, 703	1	1
NUT	324, 284	1	1
NASUWT	304, 762	0	-
PCS	295, 063	0	-
CWU	258, 696	1	1
ATL	201, 845	1	1
BMA	125, 566	0	-
UCATT	110, 886	0	-
Prospect	104, 755	1	1

# Appendix 5: Eligible smaller unions that did not apply to the UMF First Round (less than 100,000 members)

Abbey National Group Union  
Alliance and Leicester Group Union  
Ambulance Service Union  
Association of College Management  
Association of Cambridge University Assistants  
Association of Clinical Biochemists  
Association of Educational Psychologists  
Association of Local Authority Chief Executives  
Association of Magisterial Officers  
Association of Principle Fire Officers  
Association of Professional Ambulance Personnel  
Association of Professional Music Therapists  
Association of University Teachers  
Audit Commission Staff Association  
Britannia Staff Union  
British Airline Pilots Association  
British Association of Colliery Management  
British Association of Dental Nurses  
British Association of Journalists  
British Association of Occupational Therapists  
British Dietetic Association  
British Orthoptic Association  
British Union of Social Work Employees  
Broadcasting, Entertainment, Cinematograph and Theatre Union  
Card Setting and Machine Tenders Society  
Chartered Society of Physiotherapy  
Cheshire Building Society Staff Association  
Derbyshire Group Staff Association  
Diageo Staff Association  
Directors Guild of Great Britain  
Engineering Officers Technical Association

Federation of Professional Railway Staff  
FDA  
Fire Brigades Union  
Fire Officers Association  
Gallaher Sales Staff Association  
General Dental Practitioners Association  
General Union of Loom Overlookers  
Guild of Professional Teachers of Dance  
Hospital Consultants and Specialists Association  
Hyde and District Textile (technicians and operatives) Association  
Immigration Service Union  
IPF  
Irish Bank Officials Union  
Lawson Mardon Star Ltd Managerial Staff Association  
Leek United Building Society Staff Association  
NAPO  
National Association of Colliery Overmen and Shot-firers  
National Association of Co-operative Officials  
National Association of NFU Group Secretaries  
National Association of Teachers in Further and Higher Education  
National Federation of Sub-postmasters  
National Union of Domestic Appliances and General Operatives  
National Union of Flint Glass Workers  
National Union of Journalists  
National Union of Marine Aviation and Shipping Transport Officers  
National Union of Mineworkers  
Prison Governors Association  
Prison Officers Association  
Prison Service Union  
Professional Association of Cabin Crew Employees  
Public and Commercial Services Union

# Appendix 6: Summary of successful applications by UMF theme

Code	Theme	Applicant Union	Project title and description
002	2, 4	Retained Firefighters Union	<i>Local representatives empowerment strategy:</i> Project to support the RFU's role in fire service modernisation (particularly the participation of local reps in reformed industrial relations following the Bain review).
003	1, 2	Nationwide Group Staff Union (NGSU)	<i>Using the internet to activate and empower members:</i> Project to upgrade the union's website to facilitate two-way communications. Particular provision for two-way communication to inform and add value to NGSU reps' roles in taking forward the new I&C arrangements recently agreed with the employer.
004	3, 6	GMB - Britain's General Union	<i>Race and Diversity:</i> project to implement the findings of recent internal race equality audit. Project will develop a membership strategy to encourage greater participation of BME members and provide diversity training for all GMB staff.
005	2, 4	Communication Workers Union (CWU)	<i>CWU reaching out:</i> Project to pilot new communications methods in a number of the union's regions, with the aim of identifying the best approaches for roll-out to the whole organisation.
006	3	Bakers, Food and Allied Workers Union	<i>Membership Diversity:</i> Project to research the needs and attitudes of workers for whom English is a foreign language in order to inform the development of a strategy to service their needs. Project will also entail diversity awareness training for staff and activists.
007	3, 6	Wales TUC	<i>Equal at work: Trade union in Wales promoting equality and challenging discrimination:</i> Project to build capacity of TUC affiliates in Wales on equality issues. The initiative will include: research into the needs of disadvantaged workers; awareness raising of new discrimination legislation in 2500 workplaces; training for union equality reps and equality officers; establishment of a network for equality bodies and union officers to share best practice.
008	2	Lloyds TSB Group Union	<i>LTU technology modernisation project:</i> Project to increase and improve the level of communication with, and consultation of, members through the

			development of a new internet package.
009	2, 6	The National Union of Teachers	<i>The online interactive centre for lay union officers and school and college NUT representatives (HEARTH):</i> Project to establish a new section of the union's website for lay reps, providing them with information and resources tailored to their needs, as well as opportunities to exchange information and experience.
010	1, 2	Society of Chiropractors and podiatrists	<i>Shaping the future:</i> The project aims to build the union's capacity to work in partnership with employers by identifying and training regional champions, holding regional training events for members around Agenda for Change and a conference in partnership with employers.
011	2	Royal College of Midwives	<i>Improving the communication between the Royal College of Midwives and its members:</i> Integration of the union's website with an improved membership database to allow the collection and use of richer membership information in targeted communications.
013	2	Union of Finance Staff (UFS)	<i>Interactive database project:</i> Project to introduce a new interactive web-based membership database and communication system for members and reps.
014	5	Ceramic and Allied Trades Union (CATU)	<i>CATU modernisation (2006-8):</i> The project involves a review by the Universities of Keele and Staffs of the union's existing structures and processes, with a view to developing new structures better fitted to the new labour market realities in the union's heartlands in line with its vision of becoming a 'community union'.
015	1, 4, 6	United Road Transport Union (URTU)	<i>Building for success: Supporting the growth and stability of a small and specialist trade union within the road haulage and logistics industry.</i> The first element of this project involves training for shop stewards and FTOs in generic management skills and on the specific challenges facing the logistics sector, focusing on I&C and Working Time. The second element focuses on developing the union's website and providing the union's mobile office with access to central union IT systems.
016	1	Equity	<i>On-line talent directories:</i> Project to create and pilot online talent directories allowing Equity members to market themselves directly to prospective employers. The project is designed to add value to the union membership offer and to enhance the prospects of the majority of Equity members who are excluded from the system of employment through talent agents.
017	3	Transport and General Workers Union	<i>Establishment of the TGWU migrant workers support unit.</i> The Migrant Workers Support Unit will offer services such as translation, advice on employment rights and signposting to community support services. The unit will aim to build links with other support services such as the CAB, Polish Workers Association etc. It will be a pilot project, focusing on sectors and locations most affected by the Gangmasters Licensing Act 2004.
020	2, 3	Bakers, Food and Allied	<i>Membership and communication systems:</i> Research

		Workers Union, BFAWU	project to investigate communication needs of members, particularly those for whom English is not the first language. The project will deliver a specification for a transformation of the union's website, including the provision of parts of the site in other languages.
021	2	Community and District Nursing Association (CDNA)	<i>Developing the virtual union:</i> Project to develop an interactive website with integrated membership administration functions. This will enable targeted communications, two-way consultation and discussion forums as well as online balloting facilities and increase levels of inclusion amongst the union's peripatetic and geographically dispersed membership base.
022	3	Transport and General Workers Union	<i>Developing and supporting workplace union equality representatives:</i> The project will develop a toolkit for workplace union equality reps, to be piloted in partnership with employers in workplaces across a range of sectors, culminating in a public launch seminar and wider dissemination of the toolkit.
023	1, 4, 6	Community	<i>Creating capability: trade unionism in the community:</i> The project involves a programme of training for the union's senior staff in globalisation and labour market trends, as well as modules on cultural change, setting organisational strategy and the management of finances and human resources. The intention is to stimulate the process of building a new inclusive culture and identity, bringing together the constituent parts of the merged union.
026	1	Transport and General Workers Union	<i>Preparing opinion formers for information and consultation:</i> Project to organise a series of training seminars for FTOs and key activists on I&C, and to produce new guidance materials.
027	3	British Dental Association	<i>Young member participation and engagement:</i> <i>Exploring the needs for today and tomorrow:</i> Research to examine young members' (a disproportionate number of whom are women and from ethnic backgrounds) attitudes to the union.
028	2, 3	Transport Salaried Staffs' Association (TSSA)	<i>Increasing diversity: Turning members into reps:</i> Project to encourage greater diversity in the TSSA's activist base. Project will involve research to discover why members become activists and whether diversity factors affect this, development of strategies to recruit more diverse reps, online two-way communication with members and reps and the establishment of a group of representative champions to provide ongoing encouragement to under-represented groups to become more active within the union.
030	2, 4	Connect	<i>Knowledge management system:</i> Creation of an online knowledge management system that will act as a one-stop shop for information and advice, with different levels of access for members, reps and staff.
031	4, 6	Usdaw	<i>Developing the USDAW management model:</i> Project to develop and test a best practice management

			model, adapting pre-existing business models to the specific circumstances of trade unions. The project will draw on the expertise of the Work Foundation and Saïd Business School at Oxford University. The model will include mechanisms and management tools for evaluating the operational performance of the union as a whole, linked to the appraisal of individual staff performance and new project management systems.
032	2, 4	Prospect	<i>Electronic information systems (EIS)</i> : Establishment of electronic document management and distribution systems. This is to be accompanied by a change management programme to develop and train staff in new work processes to increase the efficiency of information management and sharing.
033	4	RMT	<i>Web-based membership system and associated training</i> : Project to develop new web-based membership system that will allow for the collection of richer membership information and improvement in accuracy of records by allowing branch secretaries to update. The project also includes relevant training for branch secretaries.
034	3	National Union of Journalists	<i>Equality for all: NUJ workplace and freelance equality reps projects</i> : Pilot project to establish, organise and train a network of 80 NUJ Equality Representatives. On the back of this, the project aims to establish a number of equality agreements, incorporated into collective bargaining arrangements, with key employers.
035	2	Accord, Connect, Musicians Union	<i>Transforming union democracy using internet systems</i> : The project aims to increase democracy in each union by developing internet systems for elections, ballots and surveys.
036	2, 6	Trades Union Congress	<i>Developing an on-line support system for union professionals</i> : Development and testing of an online support system for union professionals in TUC affiliates, providing targeted advice and information to FTOs and specialists (finance, legal, education officers etc). The system will allow the TUC to target communications and market TUC services to the appropriate people, and to support the sharing of best practice through online discussion forums and consultation.
038	3, 5	Community and Youth Workers Union	<i>Membership diversity project</i> : Research project to build an evidence base of the priorities and expectations of CYWU's diverse membership based ahead of merger with the TGWU.
039	4	Amicus	<i>IT for branches</i> : A pilot project designed to reinvigorate branch activity (building upon the momentum of a recent review of branches) through the provision of IT equipment to branch secretaries to enable them to access up-to-date and relevant information.
041	2	ASLEF	<i>ASLEF membership and communications modernisation project</i> : Project to build upon the recent launch of a new union website through the

			development of specific areas for members, branch secretaries and reps. The union proposed a phase approach to the adoption of the project with the aim to rebuild member confidence in the union following recent events.
043	1, 2, 4	West Bromwich Building Society Staff Union (WBBSSU)	<i>ICE (Integrate, communicate and embrace):</i> Development of a new website to be integrated with the membership database. The site is to be used for improved access to reps, discussion forums, bulletin boards and surveys. The website would also contain an area for all WBBSS staff, whether members or non-members, which will be used for information and consultation, building on the pre-existing agreement concluded with the employer.
044	1, 6	General Federation of Trade Unions	<i>Foundations for success: Supporting the growth and stability of small and specialist trade unions:</i> The project looks to develop new training courses for FTOs of GFTU affiliates in generic management skills, tailored to the trade union context and I&C. In addition, GFTU proposes to develop capacity with affiliated unions to conduct their own training needs analyses and to develop organisational training plans.
046	1, 6	Portman Group Staff Association	<i>Creating full partnership working with Portman Building Society through a highly skilled and efficient employee representative committee:</i> Project to upskill all reps so that they are able to effectively represent staff at formal hearings, reducing over-reliance on the Chair.