

## **Appendix 3: Application and Assessment Process**

# Introduction to the *Health Check Tool*

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## Background and Purpose

This tool has been developed to assist community organisations and Council officers in the task of building strong and effective organisations and communities.

The tool was developed overseas and with additional research has been updated and tested to suit the communities of Aotearoa / New Zealand.

It enables users to 'assess' the performance of an organisation by using a rating that is applied to all the important areas of the group's operation, i.e. governance, financial management, leadership, workers & volunteers, administration and so on.

The scale of ratings ranges from 'at risk' to 'thriving.' The health check can provide valuable input to an organisation's decision making and to areas for focus in order to further develop the organisation. It also helps funders to better understand a group's strengths and areas where development can be supported.

This tool is designed to be self administered and is an opportunity for groups to be open and honest about key aspects of their organisation. It also provides a benchmark for future evaluation. It is useful for members of your governing body and operational staff to work through this together so that a balanced viewpoint is reached in each area.

Should you wish to use this Health Check as an ongoing evaluative tool for your organisation we have additional information available that can support this process.

## How to use the Tool

The Health Check Tool provides a set of indicators that relate to the capacity of your organisation in particular areas of operation, allowing you to indicate where you perceive your organisation currently operates.

For example for the area of 'workers & volunteers' the following indicators align with the assessment scale:

*(Example only, not complete)*

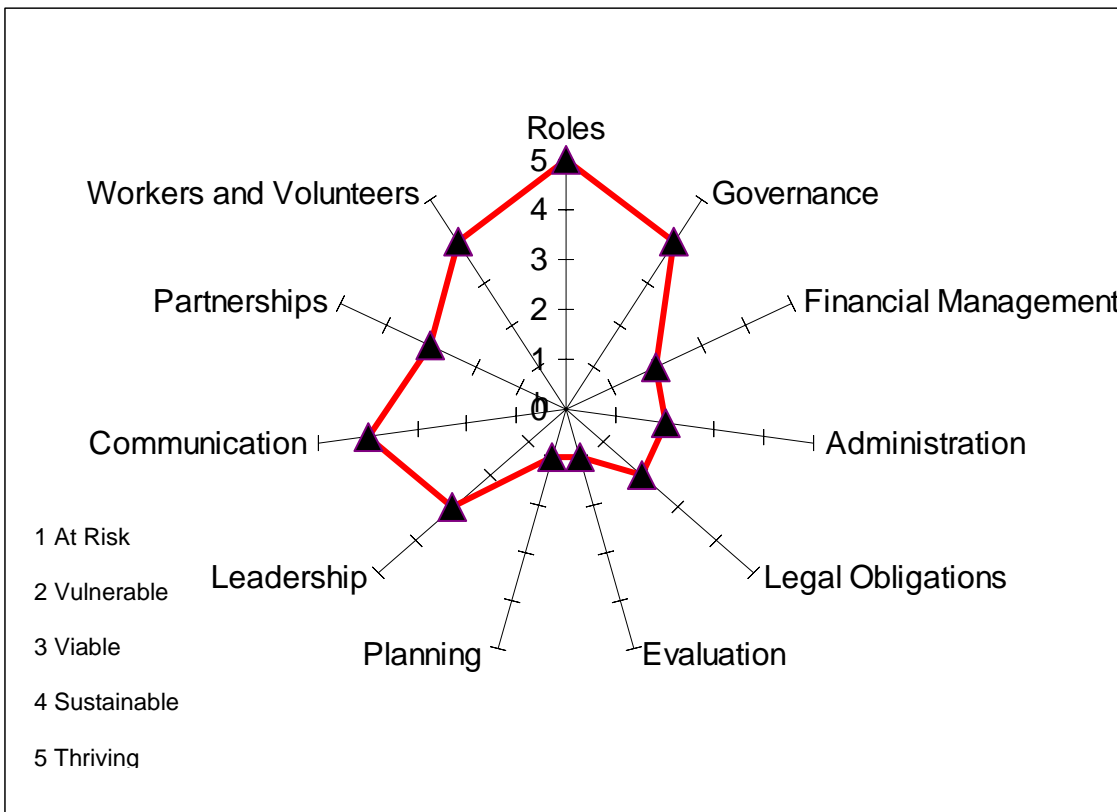
<b>1. at risk</b>	↑	staff not valued
<b>2. vulnerable</b>		treatment of staff inconsistent
<b>3. viable</b>		staff valued, but high expectations for low return
<b>4. sustainable</b>		staff valued, some training & support
<b>5. thriving</b>	↓	staff highly valued, excellent support, rewarding work conditions

Please work through and discuss each area in the tool and agree on the applicable rating. Use the following summary table and spider graph to record these assessments. Once complete please return to us along with any documentation which supports this self-assessment.

Here is an example of how it will look.

## Assessment results and Visual Matrix

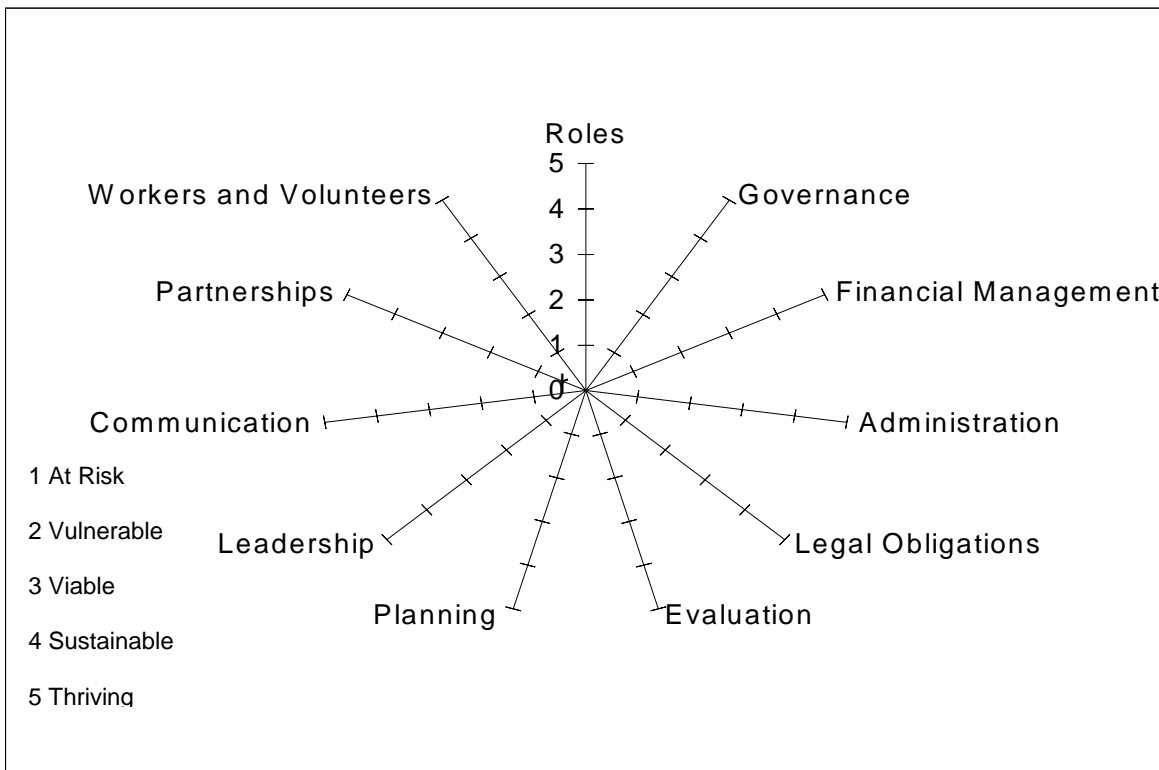
<b>Example</b>	At risk (1)	Vulnerable (2)	Viable (3)	Sustainable (4)	Thriving (5)
Governance/Te Roopu Kaitiaki					√
Roles				√	
Administration		√			
Financial Management		√			
Legal Obligations		√			
Evaluation	√				
Planning	√				
Leadership			√		
Communication				√	
Partnerships			√		
Workers and Volunteers				√	



**Organisation:**

**Contact person:**

	At risk (1)	Vulnerable (2)	Viable (3)	Sustainable/ Successful (4)	Thriving (5)
Governance/Te Roopu Kaitiaki					
Roles					
Administration					
Financial Management					
Legal Obligations					
Evaluation					
Planning					
Leadership					
Communication					
Partnerships					
Workers and Volunteers					



**Please list attached supporting documentation**

Please return to Grants Team, Wellington City Council, PO Box 2199, Wellington

## Health Check Tool – Criteria for Self-assessment

<b><u>HEALTH CHECK</u></b>	<b>At Risk</b>	<b>Vulnerable</b>	<b>Viable</b>	<b>Sustainable/Successful</b>	<b>Thriving</b>
<b>Governance</b>	<ul style="list-style-type: none"> <li>• Purpose not clearly linked to community needs &amp; requests</li> <li>• Hostile Staff / Board relationship</li> <li>• Board interferes with operational decisions</li> </ul>	<ul style="list-style-type: none"> <li>• Not much community input; no clear response to this</li> <li>• Lack of understanding re staff / Board responsibilities for decision making; rubber stamp approvals</li> </ul>	<ul style="list-style-type: none"> <li>• Community input limited to AGM; reactive review of goals</li> <li>• Emergence of staff and board responsibilities, but decision making inconsistent</li> </ul>	<ul style="list-style-type: none"> <li>• Interaction with community at AGM &amp; through networks;</li> <li>• outside prompts lead to goal review</li> <li>• Responsibility for decision making mostly clear; some grey areas remain; medium level of trust between staff &amp; board</li> </ul>	<ul style="list-style-type: none"> <li>• Visionary; pro-active interaction with community;</li> <li>• Regular self evaluation of goals</li> <li>• Clear decision making processes; high level of trust between staff &amp; board; strong trustee contribution</li> </ul>
<b>Roles</b>	<ul style="list-style-type: none"> <li>• Lack of understanding of different roles within the organisation</li> <li>• Conflict exists over role boundaries;</li> </ul>	<ul style="list-style-type: none"> <li>• Some members of the organisation have a basic understanding of roles</li> <li>• No role clarification has taken place</li> </ul>	<ul style="list-style-type: none"> <li>• Main roles are defined, but no clarity on how to manage boundaries.</li> <li>• Roles are not always matched to skills of person</li> </ul>	<ul style="list-style-type: none"> <li>• Clear roles for staff, trustee roles within the board follow tradition &amp; could be better defined.</li> <li>• Induction and skills match for staff but not for board members</li> </ul>	<ul style="list-style-type: none"> <li>• Clear roles throughout the organisation.</li> <li>• Ongoing review of roles and responsibilities.</li> <li>• Induction for staff, trustees and volunteers, skills matched with roles.</li> </ul>
<b>Administration</b>	<ul style="list-style-type: none"> <li>• No clear administration processes in place</li> </ul>	<ul style="list-style-type: none"> <li>• Limited administration processes in place</li> <li>• Ad hoc use of processes, often as a reaction to requirements from outside</li> </ul>	<ul style="list-style-type: none"> <li>• Basic administration processes in place</li> <li>• Processes not well known and not always adhered to</li> </ul>	<ul style="list-style-type: none"> <li>• Administration processes in place and followed</li> <li>• Processes are restricted to those required by law and/or contract agencies</li> </ul>	<ul style="list-style-type: none"> <li>• Administration processes are aimed to get best quality output</li> <li>• Processes are clearly understood and followed</li> <li>• All processes reviewed regularly</li> </ul>

	<b>At Risk</b>	<b>Vulnerable</b>	<b>Viable</b>	<b>Sustainable/Successful</b>	<b>Thriving</b>
<b>Financial Management</b>	<ul style="list-style-type: none"> <li>No clear financial procedures in place</li> <li>Ad hoc spending, not always related to purpose of funds</li> <li>No audited accounts</li> </ul>	<ul style="list-style-type: none"> <li>Ad hoc finance planning; incomplete finance systems in place</li> <li>Most activities financially stressed;</li> <li>Totally grant dependent</li> <li>Audit challenges current practises &amp; requests significant changes</li> </ul>	<ul style="list-style-type: none"> <li>Limited finance planning; basic finance systems;</li> <li>information limited</li> <li>Some activities financially stressed; mostly grant dependent</li> <li>Qualified audit report; some changes required</li> </ul>	<ul style="list-style-type: none"> <li>Finance planning to budgets; extensive finance systems, information mostly accessible</li> <li>Less grant dependent, most activities well resourced</li> <li>Audit requests minor changes</li> </ul>	<ul style="list-style-type: none"> <li>Long &amp; short term finance planning to budgets/cashflows; excellent systems &amp; clear information</li> <li>Aims for financial self sufficiency, all activities well resourced</li> <li>Unqualified auditors report; no changes required</li> </ul>
<b>Meeting Legal Obligations</b>	<ul style="list-style-type: none"> <li>Lack of knowledge of requirements</li> <li>Non compliance evident in some areas</li> <li>Accountability lacking</li> </ul>	<ul style="list-style-type: none"> <li>Limited knowledge of requirements</li> <li>Compliance checks show gaps</li> <li>Accountability inconsistent</li> </ul>	<ul style="list-style-type: none"> <li>Awareness of most requirements, lack of in depth knowledge</li> <li>Mostly compliant, smaller gaps</li> <li>Accountable in most areas</li> </ul>	<ul style="list-style-type: none"> <li>Basic information available on all areas of compliance</li> <li>Compliant to minimum requirements</li> <li>Accountability evident on request</li> </ul>	<ul style="list-style-type: none"> <li>Pro-active integration of legal and contract requirements</li> <li>Exceeds expectations</li> <li>Demonstrates accountability</li> </ul>
<b>Evaluation</b>	<ul style="list-style-type: none"> <li>Hostile towards feedback</li> <li>Re-active action taken</li> <li>Evaluation seen as a threat or not relevant</li> </ul>	<ul style="list-style-type: none"> <li>Value of evaluation not clearly understood</li> <li>Limited action in response to feedback</li> </ul>	<ul style="list-style-type: none"> <li>Evaluation mostly informal and not documented</li> <li>Some quality improvement due to feedback</li> </ul>	<ul style="list-style-type: none"> <li>Formal evaluation as required by outside agencies</li> <li>Feedback implemented as required by outside agencies</li> </ul>	<ul style="list-style-type: none"> <li>Quality service through pro-active evaluation systems</li> <li>All feedback influences decision making &amp; leads to improved quality</li> </ul>
<b>Planning</b>	<ul style="list-style-type: none"> <li>Low level of planning, lack of planning skills</li> </ul>	<ul style="list-style-type: none"> <li>Reactive planning; response to finance pressure and/or negative feedback</li> </ul>	<ul style="list-style-type: none"> <li>Mostly short term planning; decisions not always goal related; some activities outside chosen goals</li> </ul>	<ul style="list-style-type: none"> <li>Short term &amp; some long term planning in place; some progress towards goals measurable</li> </ul>	<ul style="list-style-type: none"> <li>Regular short &amp; long term planning that matches vision and goals; Clear progress towards goals evident</li> </ul>

	<b>At Risk</b>	<b>Vulnerable</b>	<b>Viable</b>	<b>Sustainable/Successful</b>	<b>Thriving</b>
<b>Leadership</b>	<ul style="list-style-type: none"> <li>• Struggle for leadership or absence of leadership</li> <li>• Leadership is fully directive, no consultation, low levels of information</li> </ul>	<ul style="list-style-type: none"> <li>• Leadership fluctuates, lack of leadership skills</li> <li>• Leadership partially informative, low levels of consultation</li> </ul>	<ul style="list-style-type: none"> <li>• Leadership carried by one strong person</li> <li>• Leadership fully informative, building awareness of how &amp; why; leader decides on levels &amp; time of consultation</li> </ul>	<ul style="list-style-type: none"> <li>• Leadership is shared by a few strong people</li> <li>• Leadership is consultative, many opportunities for input provided; input influences some decision making</li> </ul>	<ul style="list-style-type: none"> <li>• Leadership is shared throughout the organisation</li> <li>• Leadership highly participative, pro-actively seeking input and adjusting decision making in response; effective role modelling</li> </ul>
<b>Communication</b>	<ul style="list-style-type: none"> <li>• Low level of communication &amp; skills and high level of distrust internally and externally</li> <li>• IT access limited</li> </ul>	<ul style="list-style-type: none"> <li>• Medium level of communication and skills; fear of conflict; low cultural awareness</li> <li>• IT use limited</li> </ul>	<ul style="list-style-type: none"> <li>• Medium level of trust, formal communication processes in place; limited skills re: conflict/ cultural needs</li> <li>• Medium use of IT</li> </ul>	<ul style="list-style-type: none"> <li>• Formal &amp; informal communication; apprehensive re conflict but ok, increased cultural awareness</li> <li>• Many people use IT</li> </ul>	<ul style="list-style-type: none"> <li>• Pro-active &amp; effective in regards to communication, cultural needs &amp; conflict</li> <li>• IT highly effective</li> </ul>
<b>Partnership</b>	<ul style="list-style-type: none"> <li>• Organisation intensely competitive, totally disinterested in partnerships</li> </ul>	<ul style="list-style-type: none"> <li>• Lack of interest &amp; commitment to partnerships; rarely engages in cooperative action</li> </ul>	<ul style="list-style-type: none"> <li>• Organisation willing to consider partnerships, but easily discouraged</li> </ul>	<ul style="list-style-type: none"> <li>• Organisation responds positively to partnerships, but rarely initiates</li> </ul>	<ul style="list-style-type: none"> <li>• Organisation models a win: win approach and is proactively seeking partnerships &amp; alliances</li> </ul>
<b>Workers &amp; Volunteers</b>	<ul style="list-style-type: none"> <li>• Staff and volunteers not valued</li> <li>• No support systems and training in place</li> <li>• No consultation of workers re decision making and little information about decisions made</li> </ul>	<ul style="list-style-type: none"> <li>• Treatment of staff &amp; volunteers is inconsistent</li> <li>• Limited Training available on request; no clear support systems</li> <li>• Consultation is often informative, i.e. after decisions have been made</li> </ul>	<ul style="list-style-type: none"> <li>• Staff &amp; volunteers valued, but high expectations for low return; staff and volunteer roles blurred</li> <li>• Some training, often decided without staff input; basic support available</li> <li>• Informal consultation on upcoming decisions</li> </ul>	<ul style="list-style-type: none"> <li>• Staff &amp; volunteers valued, achievable expectations and fair return; roles clearly defined</li> <li>• Regular training with input by workers on needs;</li> <li>• Support systems formalised</li> <li>• Opportunities for input in decision making</li> </ul>	<ul style="list-style-type: none"> <li>• Staff &amp; volunteers highly valued, rewarding working conditions; clear roles</li> <li>• Training supports long term career goals of workers; comprehensive review and support systems in place</li> <li>• Workers invited to full participation in organisational development &amp; decision making</li> </ul>

## APPLICATION FOR THREE-YEAR SERVICE CONTRACT 2010-2013

Please complete this form as part of your application for a three-year service contract covering the period **July 2010 to June 2013**.

Please note the following timetable for this application process:

**12 February 2010:** Applications [this form] close by 5pm on this date.

**15 February – 12 March 2010:** Council officer assessment process and draft recommendations developed for Grants Sub-Committee

**29 March 2010:** Recommendations presented to Grants Sub-Committee for consideration. Opportunity for organisations to make a short presentation at this meeting. Should you wish to speak to the Council Grants Sub-Committee you will need to organise this in advance through our Democratic Services team on 04 499 4444.

**March/April 2010:** Recommendations for funding from Grants Sub-Committee presented to Strategy and Policy Committee [NB this is a full council meeting].

**April/May 2010:** Organisations informed in writing of the Council's decision.

**May 2010:** Final contract discussions and contracts confirmed.

Please note that if your organisation is unsuccessful in securing a three-year service contract you may still apply for funding for specific projects through the General Grants pool.

### Notes regarding a Three Year Service Contract:

- Any amounts approved for new three year contracts will be drawn from the existing grants pool, which is not being increased.
- The amount per annum is fixed and there is no process for changing the amount during the contract term.
- Organisations can still apply to the general grant rounds for additional specific projects that sit outside the core activities identified as part of the three-year service contracts
- Organisations are required to report back as specified in the contract.

### Notes regarding this form:

We do not expect you to duplicate information you have already provided as part of the 2010-2013 contract process. The questions are intended to give the grants sub-committee further information, specifically:

1. An overview of what your organisation hopes to achieve over the next three years.
2. How your organisation and its desired outcomes fit within Council's strategic priorities.

Suggestions:

- Type your answers to the questions in the shaded grey areas, or click on check boxes to tick them.
- Feel free to copy and paste from other documents you have, e.g. business plan.

***Please complete this document electronically and return it to [barbara.franklin@wcc.govt.nz](mailto:barbara.franklin@wcc.govt.nz) no later than 5pm on 12 February 2010. If you would like to complete the application manually, please contact the grants team on 801 3595 to arrange for an application to be posted to you.***



## APPLICATION FOR THREE YEAR CONTRACT FUNDING 2010-2013

**Organisation name:**

**Postal Address:**

**Street Address (if different from above):**

**Contact person:**

**Contact Person's Role:**

**Contact phone number:**

**Email address:**

**Alternative Contact Person:**

**Role:**

**Contact phone number:**

**Are you registered for GST? YES  NO  GST number if registered:**

**Bank Account No:**

### Attachments required

Please attach the following documents unless we already have these on file. If we do, please make a note.

- Budget for July 2010 to June 2011
- Financial projections for the next three years
- Three year business plan [if you have one]

### Funding Requested

1. How much are you applying for per annum? \$
2. Which services are you requesting support for?
3. If you have been funded through contract funding before please explain how this differs [or not] from your previous contract.

### Service Delivery

*If you have provided a three year business plan please answer the following questions briefly. If you do not have a business plan, please answer in more detail.*

1. Please describe your vision and key goals for what your organisation will look like in three years:

2. What needs to happen within your organisation to achieve the vision/goals?
3. What key challenges and key opportunities have you identified for the next three years?

### **Strategic Fit**

*Wellington City Council's Long Term Council Community Plan [LTCCP] outlines the Council's strategic direction and priorities for 2009-2019. These priorities have been developed in response to community aspirations [known as 'Community Outcomes'], Council's roles and responsibilities and other factors. This process and the Council's strategic approach are outlined in the LTCCP available on our website or in hard copy.*

<http://www.wellington.govt.nz/plans/annualplan/lccp/vol1.html>

*The Council has seven strategic areas – governance, environment, economic development, cultural well-being, social and recreation, urban development and transportation. Within each of these strategic areas Council aims to achieve specific long-term goals or 'Long-term Council Outcomes' for the city. The Council has recently developed new priorities for the coming three years [2009-2012] aimed at achieving these Long-Term Council Outcomes. You will find the details of each strategic area and their associated Council Outcomes in Part 3 of the LTCCP. The work of your organisation may contribute to more than one strategic area.*

1. Please provide a summary of how the work of your organisation supports one or more of the Council's Long-term Outcomes. You will find these Long-Term Outcomes outlined in the 'strategy tree' within each strategic area of the LTCCP.
2. Please outline how your organisation will contribute to *one or more* of the three year priority areas. These three year priority areas are outlined under 'Our focus for the next three years' within each strategic area of the LTCCP.
3. Please identify the activities that you are requesting funding for which will enable you to achieve the above.

### **Evaluation**

The Council is required to demonstrate to the public how the activities it undertakes or supports contribute to the community outcomes. We require robust information from your organisation on the impact our funding has.

4. Please outline how your organisation will evaluate the impact that the funded activities have on the Council's Long-term Outcomes?

## **Partnership**

Through the Council's engagement with community organisations strong partnership with council and with other organisations has been identified as a priority.

5. Please outline how your organisation will work in partnership with other organisations [including the Council] to undertake the funded activities.

## **Treaty of Waitangi**

Wellington City Council has a commitment to the Treaty of Waitangi and its underlying principles. We recognise that to a greater or lesser degree your organisation will have practices and processes in place that demonstrate a commitment to the Treaty of Waitangi.

6. Please outline how your organisation demonstrates a commitment to the Treaty of Waitangi.