# NGO Capability Building Tool

## Guidelines

19 November 2018

Version 3.0

# Contents

# 1 **NGO Capability Building Tool**

## The development of the NGO Capability Building Tool

The Social Innovation Council has developed the NGO Capability Building Tool (the tool) to support NGOs delivering human services. The tool demonstrates the NSW Government's commitment to building NGO capability and delivering better human services outcomes.

The tool was co-designed by representatives from the Forum of Non-Government Agencies (FONGA) and NSW government agencies.[1]

The tool has been developed and tested over several years. Testing occurred with a broad cross section of NGOs in pilots conducted in November 2015, May 2016 and October 2017. Feedback from approximately 400 NGOs has been incorporated to date.

## Using the tool

Organisations can register now to assess their capability using the following link:
https://www.finance.nsw.gov.au/capability_building_tool

The tool allows organisations delivering human services to self-assess against 10 capabilities related to customer centred service delivery. The tool is voluntary and confidential. Organisations are not required to upload any documentation and results for each participant will not be verified.

Organisation can choose to complete the tool on behalf of their entire organisation or have multiple parts of the organisation complete the capabilities. Each part of the organisation completing the tool will need to fill out their own registration details.

Organisations will be invited to repeat the exercise. The tool will allow organisations to compare their self-assessment to previous results. As the number of users increases, the tool will also allow organisations to compare their results to those of other participants. This will enable organisations to identify capabilities where they have improved over time, and where there is scope to further improve.

## How does the Capability Building Tool benefit NGOs?

Capability building will help services of all sizes adapt, innovate and thrive in an increasingly complex and digital environment.

At the end of the assessment, participants receive an individual scorecard that indicates their organisation's level of attainment against each capability. The tool also provides a single entry point to NSW Government and other resources. Organisations can use their results to demonstrate and continue to improve their organisation's capability.

## How does the Capability Building Tool benefit NSW Government?

The NSW Government spends approximately $2.5 billion (excluding disability services) on contracts with NGOs to deliver essential human services each year. It is paramount that this

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[1]Department of Family and Community Services, NSW Health, Department of Justice, Department of Premier and Cabinet, NSW Treasury, Department of Education, Department of Finance, Services and Innovation, and Office of the Advocate for Children and Young People (ACYP).

funding is delivered to organisations that are committed to continuous improvement and providing the best possible outcomes for their customers.

NSW Government agencies will receive a summary of the aggregated results of the sector to help better target support and training for organisations delivering human services in NSW.

## Resources

The online platform provides a single point of entry linking to free NSW Government and other resources to help build NGO capabilities.[2] The resource list is not exhaustive and will change as new resources become available. A number of generic templates are included in the appendix of these guidelines.

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[2] Resources have been sourced from: Department of Family and Community Services, NSW Health, Department of Justice, Department of Premier and Cabinet, NSW Treasury, Department of Finance, Services and Innovation, Multicultural NSW, NSW Aboriginal Housing Office, Office of the Advocate for Children and Young People (ACYP), NSW Council of Social Service (NCOSS), and Justice Connect

# 2 Online self-assessment platform

The tool is delivered through an online self-assessment platform which is open for participant use year round. It is a simple and confidential tool that makes it easy to self-assess against the 10 capabilities.

## How the online platform assesses capability

The tool captures an organisation's level of attainment based on self-assessment of how customer focused they are against 10 customer centric capabilities.

Each capability has four progressive levels of attainment that each build on the one before:

1. Not Met
2. Emerging
3. Mature
4. Excelling

To progress from Not Met to Emerging, Emerging to Mature, and from Mature to Excelling, the organisation must meet the indicators of the previous level. A description of each level for each capability is outlined in **Section 3**.

The scoring approach for the tool enables NGOs to maximise the value obtained from self-assessment against the individual attributes identified in the 10 customer centric capabilities. When scoring each of the 10 customer centric capabilities, the bar is intentionally set relatively high, so that the tool ensures that organisations are constantly challenged and encouraged to improve their operations.

It is important to remember that each organisation is on its own development journey; not every organisation wants or needs to be 'excelling' at all or any capability. It is acceptable to be rated at any level.

The exercise allows organisations to keep developing and innovating. The tool suggests resources and pathways to work towards the next level.

## How the data is stored and accessed

Australian Survey Research (ASR) has been contracted to host the NGO Capability Building Tool. ASR specialises in capturing both qualitative and quantitative data form survey participants, and runs a hosting service for online surveys using its own secure servers located in Melbourne.

Individual results are confidential and only known to the NGO participant. NSW Government agencies will only receive a snapshot of aggregated results of the sector's maturity against each of the capabilities.

## Alignment with existing accreditation systems

The tool allows organisations of all sizes, including those that are not subject to formal accreditation processes, to assess their capability.

Many existing accreditations rely on organisational management indicators to determine an organisation's capacity to deliver quality services. These accreditation systems are often the primary means of driving continuous improvement. The tool complements and builds on

existing NGO accreditation and certification schemes, while at the same time ensuring that NGOs operate to similar standards regardless of which scheme they are subject to.

During development, seven common accreditation systems have been mapped to the tool.[3]

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[3] Disability Service Standards (DSS), Australian Service Excellence Standards (ASES) Certificate Level, Home Care Common Standards (HCCS), Ageing, Disability and Homecare Standards (ADHC), Australian Council on Healthcare Standards (ACHS), Quality Improvement Council Health and Community Service Standards (QIC), and International Organisation for Standardization AS/NZS ISO9001:2015 (ISO).

A further three accreditation systems have been considered: National Regulator System for Community Housing Standard (NRSCH), NSW Child Safety Standards for Permanent Care, and National Accreditation Scheme (NAS) for Community Legal Centres.

# 3 Description of capabilities and levels

This section outlines the six customer-focused capabilities and the four governance capabilities. The examples provided are not exhaustive as it recognises that NGOs may have other examples that meet the requirements.

The 10 focus capabilities are:

1. services designed around customer experience
2. customer engagement
3. reporting back to the community
4. collaborative work practices and partnerships
5. innovation leading to adaptive change and better customer outcomes
6. equity and cultural proficiency
7. leadership and strategic business planning
8. governance and management
9. continuous improvement
10. data management.

# Capability 1: Services designed around customer experience

This capability covers:

• understanding customer needs

• service design to address customer needs.

It asks you to think about how your organisation recognises customers as stakeholders in planning, developing, delivering and evaluating services.

Note that each of the following levels of attainment builds on the previous one.

| Emerging | Our organisation knows who its customers are and what their service needs are. | |
|---|---|---|
| **Indicators** | Our organisation:<br>• has processes in place for finding out what customers need<br>• seeks feedback from customers or their representatives when planning services<br>• seeks feedback from customers or their representatives when delivering services<br>• seeks feedback from customers or their representatives when evaluating services. | |
| **Examples** | Policies or processes | 🔍 Business planning policy and processes<br>🔍 Feedback management policy<br>🔍 Customer feedback processes |
| | Information | 🔍 Records of discussions with customers and key community groups or people, such as meeting minutes, focus group reports or surveys |
| | Systems or practices | 🔍 Targeting services to address customer needs, including complex needs or hard-to-reach customers<br>🔍 Aligning service delivery with funding and service agreements<br>🔍 Identifying gaps in service delivery |
| | People | 🔍 Customers give feedback |

| Mature | Our organisation seeks and uses input from customers to ensure services meet their needs. |
|---|---|
| **Indicators** | Our organisation: |

- monitors and improves outcomes by understanding customers' needs and what is important to customers
- actively uses customer or user feedback to set performance measures and outcomes
- uses reports about customers' feedback and experience to inform strategic and business planning
- monitors the profile and needs of the community it serves
- applies information from reports about community needs and profiles to inform business planning and development
- responds to changing community needs whenever possible.

| **Examples** | Policies or processes | Q | Strategic plan |
| | | Q | Business plans that address issues from customer feedback, meetings and consultations |
| | Information | Q | Results of customer surveys, forums and other data collection, where priorities are identified, actions taken and directions documented and followed up |
| | | Q | Records of networks or links with other service providers, such as interagency meetings |
| | | Q | Up-to-date community profile |
| | | Q | Reports to the board, management committee or senior managers |
| | Systems or practices | Q | Monitoring the community profile and using it to inform services |

| Excelling | Our organisation draws on customer needs when designing services and internal processes. |
|---|---|

| Indicators | Our organisation: |
|---|---|
| | • develops a strategic or business plan (or equivalent) based on a detailed understanding of customer needs, changing service requirements and growth areas or locations |
| | • uses customer feedback to inform decisions to improve resource allocation, service delivery or sustainability |
| | • consistently meets the needs of customers, target groups/segments and the community it serves |
| | • consistently responds to the changing needs of customers, target groups/segments and the community it serves |
| | • actively recommends service changes to funding bodies on an ongoing basis to achieve better outcomes for customers and the community |
| | • actively invites customers or their representatives to participate in service evaluations |
| | • informs customers or their representatives of the outcomes of service evaluations in a timely way. |

| Examples | Policies or processes | Q | Strategic plan and business plans that demonstrate a deep understanding of the customer base |
|---|---|---|---|
| | Information | Q | Annual reports |
| | | Q | Consultations and meeting minutes showing the organisation engaging with funding bodies |
| | | Q | Contracts or memorandums of understanding with community partners |
| | Systems or practices | Q | Using results from customer surveys, forums and other data collection to design services within funding agreements |
| | | Q | Collaborating with other community providers to meet the needs of identified groups in the community |
| | | Q | Proactively engaging with funding bodies based on information about the community and customer needs |

# Capability 2: Customer engagement

This capability covers:

• the ability of existing and potential customers to access the most appropriate services

• the involvement of customers in decisions that affect them.

It asks you to think about how your organisation communicates with customers and gives customers a voice.

Note that each of the following levels of attainment builds on the previous one.

| | |
|---|---|
| **Emerging** | Our customers can access information about the services our organisation provides. They have a voice in decision-making about their service needs. |
| **Indicators** | Our organisation:<br>• has processes in place to inform current and prospective customers of how to access our services<br>• informs current and prospective customers of how internal assessments work. |

| **Examples** | Policies or processes | Q Access to services policy<br>Q Eligibility and prioritisation of admission policy<br>Q Feedback management policy<br>Q Service assessment and planning policy<br>Q Referrals processes, including for ineligible prospective customers<br>Q Waiting list management processes<br>Q Complaints and appeals processes<br>Q Assessment of customer needs processes |
|---|---|---|
| | Information | Q Customer forums, meetings, files and records |
| | Systems or practices | Q Identifying eligibility criteria, target groups, prioritised needs and the requirements of the funding program<br>Q Informing the community and potential customers of the services, eligibility and access<br>Q Recognising customers from different backgrounds and vulnerable or marginalised groups, including people:<br>• from culturally diverse backgrounds, such as Aboriginal or Torres Strait Islander peoples<br>• with disabilities<br>• in out-of-home care<br>• from gender and sexual minorities (LGBTIQA) |

| Mature | Our organisation communicates with customers about accessing services that meet their needs. Our organisation: |
|---|---|
| | • enables customers to choose services that best suit them |
| | • provides information in a way that helps customers to understand their options, rights and responsibilities. |

| Indicators | Our organisation: |
|---|---|
| | • regularly communicates with customers about its services |
| | • responds promptly and appropriately to inbound communications from customers |
| | • enables customers to access services in line with the customer's assessed needs and funding guidelines |
| | • gives customers the opportunity to discuss the service type, approach and level that best meets their needs |
| | • has processes to make sure its communications will be understood by all its customers, including those with different literacy and language needs. |

| Examples | Policies or processes | Q Business plans relating to customer engagement<br>Q Admission and access policy and processes<br>Q Assessment policy and processes<br>Q Case management policy and processes<br>Q Feedback management policy and processes<br>Q Service delivery policy and processes |
|---|---|---|
| | Information | Q Results of community surveys and other data collection<br>Q Records of networking with other service providers, such as meeting minutes, focus group reports or customer files<br>Q Records of discussions with customers and key community groups or people, such as meeting minutes, focus group reports or surveys<br>Q Records of response times to customers<br>Q Communications with customers that meet different literacy and language needs, such as versions in plain English, braille or other languages (including use of a translator where needed) |
| | Systems or practices | Q Ensuring information about the services is in a form that is easy and accessible for all customers, including children<br>Q Using a variety of channels to engage with customers from different situations and backgrounds<br>Q Giving customers a voice in service planning through forums like youth advisory groups or councils<br>Q Ensuring timely customer interactions, including assessments, intake and services |

| | People | Q Staff have training and knowledge about service access and eligibility in line with funding guidelines |
| | | Q Customers show knowledge of the services available and eligibility requirements to meet funding guidelines |

| **Excelling** | Person-centred approaches that provide quality outcomes are at the heart of our organisation's operations. |
| | Our organisation engages with customers through different channels that cater to diverse needs. |

| **Indicators** | The organisation: |
| | • ensures all customers can access the available services they need |
| | • delivers appropriate services informed by customers' (or their representatives') feedback |
| | • actively plans its service delivery to meet the needs of customers and target groups |
| | • actively reviews and updates its feedback mechanisms to ensure they meet the requirements of customers or stakeholders. |

| **Examples** | Policies or processes | Q Strategic plan and business plans that demonstrate quality improvements with the customer at the centre |
| | | Q Improvement plan that defines how to manage opportunities for customer engagement |
| | Information | Q Annual and other reports |
| | | Q Customer files and records, including needs assessments, meetings, case management, evaluations and service plans |
| | | Q Results of periodic customer surveys |
| | | Q Results of periodic reviews of feedback management processes and the actions taken |
| | Systems or practices | Q Considering the requirements of funding programs and guidelines, including the number and type of services the organisation is funded to provide |
| | | Q Offering customers a range of opportunities to be actively involved and encouraging them to contribute to service decisions |
| | | Q Creating channels for feedback and engagement through social media, websites, surveys, informal group discussions (such as service outreach and pop-up services), or reaching customers through trusted organisations or stakeholders |
| | | Q Actioning, monitoring and evaluating the results of customer feedback |
| | | Q Monitoring the response time to customer feedback |

# Capability 3: Reporting back to the community

This capability covers:

• collecting and analysing information about customer outcomes

• reporting on outcomes

• showing how customer outcomes contribute to community wellbeing.

It asks you to think about how your organisation uses its data to make a positive difference.

Note that each of the following levels of attainment builds on the previous one.

| Emerging | Our organisation helps our customers contribute to the data it collects. |
|---|---|
| **Indicators** | Our organisation regularly: <br> • seeks customer feedback on its services <br> • reviews feedback provided by customers or their representatives to inform continuous quality improvement <br> • records, monitors and analyses customer feedback to identify trends <br> • reports details of customer complaints and its response to them, including any resulting service changes, to its leadership team. |

| **Examples** | Policies or processes | Q Continuous improvement policy <br> Q Feedback management policy <br> Q Quality policy |
|---|---|---|
| | Information | Q Complaints register capturing forms, actions, the timeliness of responses and customer satisfaction <br> Q Reports to customers and other stakeholders <br> Q Reports focused on: <br>   • service results and outcomes for customers, such as the number of children successfully moved away from out-of-home care for more than 12 months <br>   • communicating the impact the organisation is making |
| | Systems or practices | Q Giving customers continuous and easy access to meaningful and culturally relevant information about the policies and processes <br> Q Capturing and managing feedback with timely responses to customers <br> Q Responding to diverse customer groups <br> Q Analysing feedback, including trends, and reporting to customers <br> Q Giving customers and staff information about feedback processes through documents, forums and meetings <br> Q Including feedback management as a meeting agenda item, with trends presented and implications discussed <br> Q Notifying the regulatory authority of any: |

| | |
|---|---|
| | • relevant changes to the way the services operate<br>• serious incidents<br>• complaints that allege a legal breach |
| **Mature** | Our organisation uses customer information to measure, benchmark and improve its internal processes and services.<br><br>Our organisation builds and manages customer relationships to ensure its services meet current and future needs. |
| **Indicators** | The organisation:<br>• has a culture of continuous improvement using customer feedback to plan, deliver and review its services<br>• has a clear approach to collecting information and reporting back to customers, focusing on addressing the customer's needs and expectations<br>• measures key indicators of customer satisfaction against identified customer needs and expectations<br>• actively designs and manages its customer relationships to promote trust and confidence<br>• has clear contact points and processes for reporting to customers. |

| **Examples** | Information | Q Reports to the board, management committee or senior staff on changes in the design and tailoring of processes |
|---|---|---|
| | Systems or practices | Q Showing how complaints data has informed planning and strategies to address issues<br>Q Helping each customer to take part in developing and reviewing complaint handling policies and processes, and reporting outcomes to them and their representatives<br>Q Reviewing customer satisfaction with referrals to other organisations<br>Q Collating staff and customer feedback on their satisfaction<br>Q Analysing trends in feedback to:<br>   • improve customer outcomes, relationship management, policies and processes, and products and services<br>   • report to customers and stakeholders<br>   • drive continuous improvement |
| | People | Q Staff have training and knowledge about feedback and reporting processes that is relevant to their positions<br>Q Staff show understanding and capacity to continuously improve customer outcomes |

| Excelling | Our organisation has effective systems and processes for collecting, handling, storing, analysing and interpreting data. |
| --- | --- |
| | It then uses this information and knowledge gained from data to improve understanding of its customers. |

| Indicators | The organisation: |
| --- | --- |
| | • has clear processes for determining what data can or cannot be collected, consistent with its purpose, strategy, health and safety requirements and customer needs |
| | • has effective communication systems in place to ensure relevant information is accessible to customers |
| | • regularly reviews and updates its communication processes to meet changing customer and business needs |
| | • compares its results with other organisations, where relevant, to improve its customer outcomes. |

| Examples | Policies or processes | Q Strategic plan<br>Q Business plans<br>Q Improvement plan that shows opportunities identified through engagement with other organisations where program results can be compared |
| --- | --- | --- |
| | Information | Q Annual reports<br>Q Records of networking with other service providers, such as meeting minutes, focus group reports or customer files<br>Q Protocols between organisations, including the review of communication processes to ensure effectiveness and efficiency |
| | Systems or practices | Q Demonstrating the use of data to identify opportunities to improve services for better outcomes, in line with the organisation's purpose, strategy and work health and safety processes<br>Q Monitoring the effectiveness of the opportunities in the improvement plan and evaluating results |

# Capability 4: Collaborative work practices and partnerships

This capability covers:

• collaborative work practices

• peer relationships and partnerships between organisations.

It asks you to think about how your organisation works with other organisations to achieve the best outcomes for customers.

Note that each of the following levels of attainment builds on the previous one.

| Emerging | Our organisation works with other service providers to help customers access the services they need. |
|---|---|
| | It has agreed protocols for referring customers between providers. |

| Indicators | Our organisation: |
|---|---|
| | • refers customers to other providers when appropriate, so they can obtain the services they need |
| | • works with other providers to coordinate service delivery and improve outcomes for customers |
| | • meets all the requirements needed to comply with relevant referral and coordination processes specified under state and federal laws |
| | • sources information from relevant community and support organisations to aid customer choice |

| Examples | Policies or processes | Q Referrals policy and processes |
|---|---|---|
| | | Q Customer consent policy and processes, including for referrals and information sharing |
| | | Q Case management and coordination policy and processes |
| | Information | Q Referral forms or other referral information from customer files |
| | | Q Communications with customers that meet different literacy and language needs, such as versions in plain English, braille or other languages (including use of a translator where needed) |
| | | Q Customer perceptions and feedback on the referral process |
| | | Q Brochures and other information about relevant service providers |
| | Systems or practices | Q Establishing effective relationships and actively engaging with the community |
| | | Q Complying with referral and coordination processes under law, where they apply |
| | | Q Ensuring information about the services is: |
| | | • current and comprehensive |

|  |  |  | • in a form that is easy and accessible for all customers |
|---|---|---|---|
|  | People | Q | Staff have training and knowledge in referral processes |
|  |  | Q | Customers have opportunities to be involved in the organisation and contribute to service decisions |
| **Mature** | Our organisation refers customers to the services they need.<br><br>It invests time and resources in strategic partnerships and collaborative work practices. | | |
| **Indicators** | Our organisation:<br>• establishes and maintains links with relevant service providers<br>• ensures its customers can access services from other providers where relevant that address their needs<br>• builds relationships with organisations that share its values and the wider community, to promote its services and connect with prospective customers<br>• collaborates with other organisations when needed to improve customer outcomes<br>• shares appropriate information and clarifies responsibilities with other organisations, to ensure continuity of service delivery to customers. | | |
| **Examples** | Policies or processes | Q | Coordination processes between agencies that ensure customer needs are met, including:<br>• networks, where established<br>• information-sharing (with consent from customers)<br>• regular case conferencing<br>• customer care records showing responsibilities |
|  | Information | Q | Memorandums of understanding and regular communications showing links with community and partner organisations |
|  |  | Q | Other protocols between organisations covering referrals and complementary services |
|  |  | Q | Customer feedback showing their satisfaction that another provider can offer services that meet their needs |
|  | Systems or practices | Q | Monitoring customer feedback to ensure the organisation meets expectations |
|  |  | Q | Supporting customers so they can seamlessly transition between providers through collaboration |
|  | People | Q | Staff have training and knowledge in collaborative work practices |

| | | |
|---|---|---|
| **Excelling** | Our organisation is involved in shaping the sector by responding to reforms in partnership with stakeholders. | |
| | The shared goals of partnerships are agreed, clear, realistic and well-understood by each partner organisation. | |
| | Our organisation shares the outcomes of partnerships with other organisations. | |
| **Indicators** | Our organisation: | |
| | • maintains well-established links with relevant organisations | |
| | • actively promotes continuity of service delivery by sharing relevant information, clarifying responsibilities and collaborating with partner organisations | |
| | • builds relationships with organisations that share its values and the wider community so it can effectively respond to sector reforms. | |
| **Examples** | Policies or processes | **Q** Community engagement policy |
| | Information | **Q** Records of networking with other service providers, such as meeting minutes, focus group reports or customer files |
| | | **Q** Contracts with partnering organisations, covering: |
| | | • information-sharing |
| | | • responsibilities |
| | | • collaborative strategies |
| | | • regular communication |
| | Systems or practices | **Q** Sharing relevant information, clarifying responsibilities and building collaborative strategies with stakeholders |
| | | **Q** Building relationships with organisations who share its values, including through sophisticated partnership models like consortia or joint ventures |
| | | **Q** Engaging with the community to support sector reforms |

# Capability 5: Innovation leading to adaptive change and better customer outcomes

This capability covers:

• nurturing and supporting innovation

• responding to opportunities to improve.

It asks you to think about how your organisation explores new ideas and approaches.

Note that each of the following levels of attainment builds on the previous one.

| | |
|---|---|
| **Emerging** | Our organisation uses ideas, perspectives and inspiration from a mix of sources to enhance its work practices. |
| **Indicators** | Our organisation:<br>• actively compares or benchmarks its results against other organisations to enable continuous improvement<br>• understands the value that staff contribute to its objectives and actively encourages staff to participate in all meetings<br>• fosters a culture which encourages staff to share ideas and explore alternative approaches that lead to better customer outcomes. |

| | | |
|---|---|---|
| **Examples** | Policies or processes | Q Strategic plan<br>Q Business plans<br>Q Improvement plan<br>Q Feedback management policy<br>Q Risk management policy and processes<br>Q Complaints and compliments processes<br>Q Continuous improvement policy and processes<br>Q Risk assessment processes |
| | Information | Q Meeting minutes showing staff participation |
| | Systems or practices | Q Encouraging staff to be innovative and creative<br>Q Enabling staff participation in innovative improvement activities |
| | People | Q Staff have training and knowledge in continuous improvement processes<br>Q Staff contribute to the improvement process, leading to innovative service delivery and better outcomes |

| | | |
|---|---|---|
| **Mature** | Our organisation continually tests and adapts its core services to enhance delivery, and finds new ways to achieve results where traditional methods are not working. | |

| | | |
|---|---|---|
| **Indicators** | Our organisation: | |
| | • uses structured approaches a formal planning approach to promote creativity, adopt innovative ideas, and achieve performance breakthroughs | |
| | • applies creativity and innovation to achieve strategic or operational outcomes | |
| | • strives to increase the efficiency and effectiveness of its processes | |
| | • supports risk-taking within appropriate occupational health and safety or financial governance guidelines. | |

| | | |
|---|---|---|
| **Examples** | Policies or processes | Q  Strategic plan that shows creative and innovative programs being supported and promoted, strategically and operationally |
| | | Q  Business and improvement plans that document innovative ideas so knowledge is captured and shared |
| | Information | Q  Risk assessments and a risk register that show the organisation supports risk-taking within defined parameters |
| | | Q  Improvement process flowcharts, such as for deployment |
| | Systems or practices | Q  Documenting and measuring processes so everyone can contribute to improvement |
| | | Q  Effectively prioritising and converting opportunities into actions to improve customer outcomes |
| | | Q  Identifying and adopting innovative ideas |
| | | Q  Encouraging innovation and flexibility through improvement systems that respond to the organisation's needs |
| | | Q  Trialling, adopting and evaluating innovative ideas |

| | | |
|---|---|---|
| **Excelling** | Our organisation uses structured methods to improve its processes and achieve efficiency and effectiveness for all stakeholders. | |
| | It prepares for change and maintains the agility needed to meet new challenges as they arise. | |
| | It also invests in capacity building for staff to support innovation. | |
| **Indicators** | Our organisation's leadership: | |
| | • fosters continuous improvement in line with a suitable model or operating philosophy | |
| | • strive to incorporate improvement into business planning and resource allocation where appropriate | |
| | • actively recognise and reward staff who come up with innovative ideas or improvement suggestions. | |
| | Our organisation also: | |
| | • maintains its capacity to resource improvement projects through ongoing professional development, giving staff the skills they need | |
| | • invests in resource innovation programs to increase the value of its services to customers | |
| | • adapts and responds quickly to opportunities. | |
| **Examples** | Information | **Q** Records of staff professional development relating to process improvement projects |
| | | **Q** Meeting minutes, reports and plans showing opportunities for innovation and response rates |
| | Systems or practices | **Q** Recognising the need to learn from others and using techniques such as benchmarking, comparison and networking to enable breakthrough improvement |
| | | **Q** Reviewing and evaluating innovation programs |
| | | **Q** Considering systems thinking in improving processes |
| | | **Q** Showing timely responses to change |
| | People | **Q** Staff commonly and consistently use the PDSA Cycle or another relevant improvement method |

# Capability 6: Equity and cultural proficiency

This capability covers:

• recognising the cultural and social diversity of customers and the community

• incorporating diversity into service design and delivery.

It asks you think about your organisation's ability to provide services that engage with, and are effective for, customers from diverse backgrounds.

Note that each of the following levels of attainment builds on the previous one.

| | |
|---|---|
| **Emerging** | Our organisation is inclusive and respects all cultures and communities. It values the diverse skills and experiences of its customers. It is committed equal access and ensuring its staff are culturally proficient. |
| **Indicators** | Our organisation:<br>• recognises the diversity of its customers and understands their needs<br>• recognises, respects and embraces cultural and social diversity<br>• ensures that all customers are assessed in culturally appropriate ways<br>• and its staff actively support and promote freedom of expression<br>• has preventative measures in place to ensure that customers do not face discrimination, exploitation, abuse, harm, neglect or violence<br>• fosters an inclusive and welcoming environment by ensuring customers can access its services and interact with staff in culturally appropriate ways<br>• provides cultural awareness training for all staff. |

| | | |
|---|---|---|
| **Examples** | Policies or processes | Q HR policy and processes<br>Q Staff induction processes<br>Q Assessment processes<br>Q Plans identifying access and equity strategies<br>Q Purpose, vision and values |
| | Systems or practices | Q Regularly reviewing information, policies and processes about access with customers and their representatives to identify and minimise barriers to fair and equal access |
| | People | Q Staff have cultural awareness training and knowledge<br>Q Leaders show a commitment to equal opportunities and act as a model of good practice for staff, customers and the community<br>Q Customers have access to information and support so they can understand and exercise their rights, both human and legal<br>Q Customers receive a service:<br>  • that maximises their choices for social participation and cultural inclusion<br>  • that reflects their right to privacy and ethical treatment |

- in an environment free from discrimination, abuse, neglect and exploitation

| Mature | Our organisation minimises the barriers that can prevent some customers participating fully, and recognises the support networks and socioeconomic factors that affect wellbeing and resilience. |
| --- | --- |
| | It connects with diverse communities and seeks input from all customer groups. |

| Indicators | Our organisation: |
| --- | --- |
| | • seeks to identify and minimise any barriers to full participation for individual customers |
| | • seeks input from diverse customer groups and relevant communities in setting its direction and planning service delivery. |

| Examples | Policies or processes | Q Communication strategies that enable every customer, including those with cognitive or sensory needs and diverse backgrounds, to fully engage in the services |
| --- | --- | --- |
| | | Q Processes that are easy to understand, consistent and transparent so each customer is treated fairly and according to their assessed needs |
| | Information | Q Memorandums of understanding with other service providers |
| | Systems or practices | Q Actively and consistently supporting every customer to engage in the services |
| | | Q Working with relevant community leaders and other organisations to address barriers to services and set directions |
| | People | Q Leaders model behaviour that is aligned with the organisation's values |

| | |
|---|---|
| **Excelling** | Our organisation regularly monitors and assesses the effectiveness of its services for customers from diverse cultural and social backgrounds, and adapts them as needed.<br><br>Its services are responsive to the cultural and social needs of customers. |
| **Indicators** | Our organisation:<br>• monitors systemic or widespread barriers to full participation among current and potential customers<br>• seeks approval under program or funding agreements to amend its services when required to minimise any barriers to participation<br>• consistently supports the empowerment and self-determination of its customers. |

| **Examples** | Policies or processes | Q | Governance framework covering cultural proficiency |
|---|---|---|---|
| | Systems or practices | Q | Fostering equal opportunity, the environment, education and the health and wellbeing of customers and potential customers |
| | | Q | Monitoring barriers that prevent customers and potential customers participating in services, within the program or funding agreements |
| | | Q | Ensuring services are effectively managed with well-established governance arrangements that are regularly reviewed |

# Capability 7: Leadership and strategic business planning

This capability covers:

• leadership

• strategic business planning with a focus on customer-centred service design and business development.

It asks you think about how your organisation's strategic planning aligns with customer-centric service design and business practices.

Note that each of the following levels of attainment builds on the previous one.

| | |
|---|---|
| **Emerging** | Our organisation established and communicate its purpose, vision, values and goals. It understands how to plan for sustainable success, what the core business strategies are and how to align the whole organisation to its purpose. |
| | Our organisation reflects on progress towards strategic goals and adjusts strategy when the external environment changes. |
| **Indicators** | Our organisation: |
| | • has a clearly stated vision, purpose and strategic plan that define outcomes for sustaining success over the longer term |
| | • communicates its purpose, vision, principles, strategies, goals and objectives for achieving organisational success to staff, customers and stakeholders |
| | • communicates the ethics, values, beliefs and behaviours that underpin its strategic direction |
| | • has processes for developing, reviewing and adapting strategy |
| | • has suitable leadership and succession planning arrangements in place. |
| **Examples** | **Policies or processes** <br> Q Strategic plan <br> Q Business plans <br> Q Management commitment policy <br> Q Contingency planning processes <br> Q Staff induction processes <br> Q Purpose, vision, values and goals |
| | **Information** <br> Q Reviews of the strategic plan and business plans <br> Q Staff records, such as induction files |
| | **Systems or practices** <br> Q Periodically reviewing policies and processes <br> Q Developing services to meet customer needs within program guidelines <br> Q Working towards a governance framework |

| | People | Q | Staff receive training, education and knowledge on the values, beliefs, purpose, principles, strategic direction, goals and objectives |
|---|---|---|---|

| **Mature** | Our organisation's culture and management structures promotes leadership and accountability at all levels<br><br>Senior leaders model the desired behaviour. |
|---|---|

| **Indicators** | Our organisation:<br><br>• has effective and visible processes in place for developing leadership skills at all levels<br>• leadership team actively engage with staff and customers to ensure its vision, purpose and values are relevant and well understood by all stakeholders<br>• involves staff at all levels when developing plans to achieve its vision or strategies<br>• assigns individual and team accountabilities for executing and communicating its plans<br>• monitors team and individual performance against organisational strategies and objectives<br>• has a detailed business plan that identifies proposed activities, costs, considerations and risks (and ways to address these) for each key area of focus. |
|---|---|

| **Examples** | Policies or processes | Q | Business plans that reflect the organisation's vision, activities, resources and risk management |
|---|---|---|---|
| | | Q | Governance policy and processes |
| | Systems or practices | Q | Monitoring regulatory compliance and sharing information on new or updated requirements |
| | | Q | Managing information systems |
| | | Q | Communicating the purpose, vision, values and goals to staff and customers |
| | | Q | Maximising opportunities for all stakeholders to be involved in operational planning |
| | | Q | Periodically reviewing the business plans, including KPIs, accountability, monitoring and reporting on achievements |
| | People | Q | Staff help develop the purpose, vision, values and strategies |
| | | Q | Leaders ensure staff and customers understand the purpose, vision and values |
| | | Q | Leaders role model behaviours in line with the values |
| | | Q | Everyone holds themselves and others accountable to the values |

| Excelling | Our organisation uses explicit, quantifiable and meaningful performance measures to define outcomes. |
|---|---|
| | Customers contribute to developing the strategic plan, which includes contingency and predictive planning. |

| Indicators | Our organisation: |
|---|---|
| | • has clear systems and processes in place to turn strategic decisions and objectives into actionable plans or programs to achieve its goals |
| | • actively considers customers' needs and feedback when developing its strategic plans |
| | • measures its performance against its strategic plan, business plans and intended outcomes |
| | • makes improvements and corrections as needed, and periodically reviews what it has learnt |
| | • is agile, seeks to adjust its strategic direction by rapidly responding to external changes, planning for contingencies, managing uncertainty and strategic risks |
| | • actively assesses and seeks to predict the technology, knowledge, skills, resources and competencies it will need to be successful in the future. |

| Examples | Policies or processes | Q Contingency plans<br>Q Business continuity plans |
|---|---|---|
| | Information | Q Annual reports |
| | Systems or practices | Q Transforming strategic decisions into business plans, such as governance arrangements and HR |
| | | Q Researching and analysing markets to ensure services match core capabilities |
| | | Q Assessing the results of planning processes against intended outcomes |
| | | Q Maximising opportunities for customers to be involved in strategic planning |
| | | Q Periodically reviewing the organisation's strategic direction and updating it in response to significant external events |
| | | Q Reviewing business plans to ensure they align with strategic decisions being adopted through programs and other activities |
| | | Q Reviewing business and actions plans to evaluate progress |
| | | Q Capturing the lessons learnt and ensuring these lessons aid continuous improvement |
| | | Q Assessing future needs, such as technology, skills and resources |

# Capability 8: Governance and management

This capability covers:

• effective and efficient governance

• accountability and transparency

• compliance with laws and contracts.

It asks you to think about how your organisation's governance arrangements contribute to better outcomes for customers.

Note that each of the following levels of attainment builds on the previous one.

| | |
|---|---|
| **Emerging** | Our organisation supports behaviours that are consistent with its values and help it to achieve its objectives. |
| | Its governance defines the processes it uses to manage its business. |
| | It complies with all regulatory and legal requirements that apply. |
| **Indicators** | Our organisation: |
| | • has appropriate governance arrangements to manage its operations and ensure all legal obligations are met |
| | • has a management philosophy that ensures its values are communicated and reinforced in all workplace and policy documents |
| | • recognises positive behaviours (e.g. collaboration and teamwork) that demonstrate or promote its values, and seek to recognise and reward these behaviours |
| | • has effective policies, processes, controls, and risk management systems in place to meet its legal, financial and ethical obligations |
| | • actively promotes professional development to support governance processes relating to roles, authority, responsibilities and links with business owners, stakeholders or management. |

| **Examples** | Policies or processes | Q Financial management policy and processes |
|---|---|---|
| | | Q Governance policy and processes |
| | | Q Management commitment policy |
| | | Q Risk management policy and processes |
| | | Q Workforce planning and recruitment strategy for a skilled, engaged and responsive workforce |
| | Information | Q Professional registrations |
| | | Q Records of staff inductions, professional development, performance reviews and management |
| | | Q Records of compliance with contracts and funding agreements |

| | | |
|---|---|---|
| | | 🔍 Records of the board, management committee or senior executives being involved in business decision-making, such as minutes or reports |
| | | 🔍 Operational reports relating to the services, such as budgets |
| | Systems or practices | 🔍 Monitoring regulatory and legal requirements |

| | |
|---|---|
| **Mature** | Our organisation's policies and processes are reflected in its practice. It has governance arrangements, which are regularly reviewed and ensure the services are effectively managed. |
| | It also has a risk management strategy that continually identifies risks and defines strategies to minimise or address them. |

| | |
|---|---|
| **Indicators** | Our organisation: |
| | • understands its responsibilities to stakeholders and has an effective system of leadership, accountability and controls to fulfil those responsibilities |
| | • ensures staff fully understand and adhere to policies and procedures |
| | • ensures staff adhere to good practice by providing regular feedback and reviews |
| | • encourages staff to show leadership within a management system that clearly defines roles, responsibilities and strategies to minimise risk. |

| | | |
|---|---|---|
| **Examples** | Policies or processes | 🔍 Delegation and decision-making policies |
| | | 🔍 Accountability and reporting processes |
| | | 🔍 Planning processes |
| | | 🔍 Financial management and reporting policy and processes |
| | | 🔍 Compliance management processes |
| | | 🔍 Roles and responsibilities |
| | | 🔍 Policies and processes that reflect a current approach to laws, standards, funding requirements and sector policy, and are accessible to all stakeholders |
| | Information | 🔍 Documented governance arrangements |
| | | 🔍 Insurance certificates |
| | | 🔍 Risk management plans or other documents covering risks to customers, staff and the organisation |
| | | 🔍 Documents showing ongoing risk monitoring, including identification, reporting and mitigation strategies |
| | | 🔍 Funding agreements and related program guidelines |
| | | 🔍 Professional standards |
| | | 🔍 Meeting minutes |
| | | 🔍 Audits, reports and plans for the board, management committee or senior executives |

| | Systems or practices | ⚲ Monitoring compliance with laws, funding agreements and policies to continuously improve performance |
| | | ⚲ Performing services in line with contractual obligations |
| | | ⚲ Recruiting, supporting and monitoring senior management positions in line with the organisation's vision and values, and probity requirements |
| | | ⚲ Protecting the integrity of accounting and financial reporting systems |
| | | ⚲ Managing risks and financial and operational controls, including fire safety and insurance |
| | | ⚲ Periodically reviewing and updating policies and processes to ensure they reflect good practice |

| **Excelling** | Our organisation supports community by taking part in activities to build capacity. |
| | It adjusts its professional development priorities based on evaluation outcomes, new opportunities, challenges and service requirements. |

| **Indicators** | Our organisation: |

- demonstrates its commitment to the community and the wider society, for example by sharing information and holding community consultations
- contributes to community wellbeing by fostering positive equal opportunity, environmental, education and health outcomes
- demonstrates a commitment to equal opportunity
- acts as a model of best practice for employers and the community
- is environmentally responsible, for example by recycling and reducing waste
- encourages wellbeing among community stakeholders by seeking to minimise any adverse effects of its services and operations
- regularly reviews its professional development priorities, to ensure it builds skills and capabilities to respond to existing and future service needs.

| **Examples** | Policies or processes | ⚲ Environmental policy, committing to minimise the negative impacts of products, services, systems and processes on the environment |
| | Systems or practices | ⚲ Contributing to equal opportunity, the environment, education and the health and wellbeing of community stakeholders |
| | | ⚲ Making decisions that take into account community interests |
| | | ⚲ Evaluating professional development priorities |

# Capability 9: Continuous improvement

This capability covers continuous improvement.

It asks you to think about how your organisation creates and supports a culture of continuous improvement at all levels.

Note that each of the following levels of attainment builds on the previous one.

| Emerging | Our organisation maps and understands the interdependencies in service delivery processes. It regularly reviews and improves the suitability of its systems and processes to achieve its objectives. |
|---|---|
| Indicators | Our organisation: <br> • holds ongoing discussions with customers and other stakeholders to inform improvements to its services, processes and outcomes <br> • regularly monitors its processes to assess effectiveness and the areas where it can improve <br> • is constantly seeking to optimise its systems and processes <br> • seeks to improve performance by monitoring interim or in-process achievements and final results for all its processes <br> • controls process quality by monitoring variation in performance, checking results, determining causes and making corrections <br> • assesses if any adjustments or changes it has made to its processes have resulted in improved performance. |

| Examples | Policies or processes | Q Continuous improvement policy <br> Q Feedback management policy and processes <br> Q Incident or accident management policy and processes <br> Q Quality policy <br> Q Risk management policy and processes <br> Q Improvement planning processes <br> Q Self-assessment or audit processes |
|---|---|---|
| | Information | Q Meeting minutes and reports, such as those relating to management, customers or focus groups <br> Q Results from self-assessments and audits <br> Q Records of service changes in response to feedback <br> Q Customer feedback covering different situations and backgrounds |
| | Systems or practices | Q Effectively completing self-assessments and identifying opportunities for improvement <br> Q Actively addressing, investigating, resolving and documenting grievances and complaints <br> Q Implementing reactive and corrective actions, and ensuring these contribute to continuous improvement <br> Q Understanding the effect of varying a process on other parts of the same process or another one |

| Mature | Our organisation uses structured methods to improve its processes and achieve efficiency and effectiveness for all stakeholders. |
|---|---|
| | It prepares for change and maintains the agility to meet challenges as they arise. |

| Indicators | Our organisation's leaders: |
|---|---|
| | • drive and encourage continuous improvement |
| | • monitor improvement projects and recognise the achievements of staff delivering improvements. |
| | Our organisation: |
| | • adopts a suitable and consistent improvement method or process to ensure sustainability over the longer term |
| | • incorporates planning for improvement in business plans and improvement projects. |

| Examples | Policies or processes | Q Business plans that cover improvement<br>Q Action plans<br>Q Improvement plan |
|---|---|---|
| | Systems or practices | Q Identifying and adopting innovative ideas<br>Q Effectively prioritising and converting opportunities into actions, to improve customer outcomes<br>Q Encouraging staff to be creative and innovative |
| | People | Q Staff commonly and consistently use the PDSA Cycle or another relevant improvement method<br>Q Staff understand that all processes have variances and work to reduce these |

| | |
|---|---|
| **Excelling** | Our organisation continuously improves its services, based on how they perform against required standards, customer expectations and similar organisations. |
| **Indicators** | Our organisation: <br>• uses measures and monitoring methods to confirm that its services will meet customer expectations <br>• uses both quantitative and qualitative measures for evaluating its products and services to determine their level of excellence <br>• continually compares itself with similar organisations and independent information to understand how it can improve or adapt its performance and outcomes. |

| **Examples** | Information | **Q** Annual and other reports <br> **Q** Contracts with partner services |
|---|---|---|
| | Systems or practices | **Q** Ensuring policies and processes are: <br> • effectively documented <br> • readily available <br> • reviewed and evaluated regularly with staff and customers and their representatives <br> **Q** Ensuring the services operate effectively and contribute to continuous improvement <br> **Q** Monitoring variation in service performance, including determining causes, taking corrective action and evaluating the results to improve customer outcomes <br> **Q** Defining internal and external partnerships <br> **Q** Developing and managing partner relationships in line with performance requirements <br> **Q** Learning from others to increase process effectiveness and efficiency |

# Capability 10: Data management

This capability covers:

• systems for collecting data

• privacy and security of data.

It applies to all forms of information, data and records created and managed by your organisation.

It asks you to think about the effectiveness of your organisation's data management.

Note that each of the following levels of attainment builds on the previous one.

| | |
|---|---|
| **Emerging** | Our organisation has effective information management systems that maintain privacy and confidentiality. |
| **Indicators** | Our organisation:<br>• has processes or policies that define the knowledge requirements for ensuring its ongoing success and sustainability<br>• regularly updates and revises the information it holds<br>• has processes and guidelines to protect the privacy and confidentiality. |
| **Examples** | **Policies or processes**<br>Q Information management policy and processes<br>Q Knowledge management processes<br>Q Privacy and confidentiality policy and processes |
| | **Information**<br>Q Customer packs that include the privacy and confidentiality policy |
| | **Systems or practices**<br>Q Capturing the organisation's knowledge, including:<br>• determining what information it should collect (such as business KPIs)<br>• setting out how it is handled and stored, and how it is analysed and interpreted to create knowledge<br>Q Managing information systems, including elements like common terminology and a clear path to increasing capabilities<br>Q Storing records, such as staff and customer files, covering security, confidentiality, retrieval, archiving and destruction, in line with privacy laws<br>Q Collecting customer feedback on their access to personal information and on confidentiality |
| | **People**<br>Q Staff are trained in the organisation's policies and processes, and there are strategies for informing them about updates or changes<br>Q Customers can access their information and it is kept up to date |

| Mature | Our organisation has an information management system that allows all staff to work effectively and efficiently. |
|---|---|
| **Indicators** | Our organisation:<br>• has policies and guidelines to manage data and information sharing. These policies and guidelines help improve our data<br>• uses its data and information to underpin decision-making<br>• gives all staff access to the technology they need to do their work effectively and efficiently<br>• regularly reviews its information technology needs<br>• keeps its information technology up to date. |

| **Examples** | Systems or practices | Q Capturing data and using a diverse range of existing and potential knowledge sources, both internal and external<br>Q Regularly updating and refining data and information, continually improving the type and quality available<br>Q Maximising the organisation's capability to access and use information for decision-making<br>Q Aligning its data and information to decision-making with:<br>  • a user-friendly repository, ideally linked to the IT system and generally accessible<br>  • a back-up store of current information in case of an emergency or disaster<br>  • strategies that ensure data and knowledge remains secure and confidential<br>Q Ensuring that data is shared among those who can use it to improve performance<br>Q Defining and regularly reviewing data collection needs and methods<br>Q Maintaining advanced information systems and regularly reviewing IT |
|---|---|---|
| | People | Q Staff demonstrate knowledge of information management processes<br>Q Staff have access to the technology they need to complete their work effectively and efficiently |

| | | |
|---|---|---|
| **Excelling** | Our organisation embraces new technologies to adapt, innovate and thrive in complex, challenging and uncertain environments. | |
| **Indicators** | Our organisation: | |
| | <ul><li>continuously improves its data management strategy, informed by data quality, governance, platforms, technical architecture and operations</li><li>maximises its strategic advantage by harnessing the knowledge and expertise its people and systems hold</li><li>regularly investigates and assesses new technology</li><li>makes good use of current technology to adapt, innovate and thrive.</li></ul> | |
| **Examples** | Information | Q Valid, reliable, relevant, timely, secure and sound data<br>Q Decisions based on current information, knowledge and fact |
| | Systems or practices | Q Defining the knowledge needed for success and sustainability<br>Q Capturing and sharing knowledge<br>Q Encouraging staff to access, discuss and build on data, information and knowledge<br>Q Analysing and interpreting data to continually improve and inform short and long-term decision-making<br>Q Using analysis to support the organisation's understanding of the nature and impact of variation on processes, outputs, outcomes and measurement systems<br>Q Using data as the basis for training and innovation<br>Q Ensuring continual learning is a fundamental element of the organisation's culture |

# 4 **Definitions**

| | |
|---|---|
| **business continuity plan** | plan to continue operations if a place of business is affected by different levels of disaster such as:<br>• localised short term disasters<br>• multiple day-long, building-wide problems<br>• permanent loss of a building |
| **cohort** | group of people or things with a shared characteristic |
| **community participation** | process that enables the community to contribute to debate and decision-making about an activity, including:<br>• planning, implementing, managing and evaluating services<br>• identifying issues and ways of addressing them |
| **continuous improvement** | leadership and management method that continually assesses and improves quality |
| **culture** | range of behaviours, ethics and values that are practised and reinforced by a person, group or organisation |
| **cultural awareness** | understanding of the customer's cultural values, beliefs and needs, including gender, age, race, socioeconomic status, religion, sexual orientation, disability and lifestyle |
| **customer** | person or organisation receiving products or services from, or dealing directly with, a supplier, voluntarily or involuntarily, including:<br>• consumers, users, guests, patients, purchasers, members and stakeholders (both internal and external)<br>• those who must take part by law |
| **effectiveness** | ability of a process, product or service to meet the needs of a customer |
| **efficiency** | degree to which the resources needed to achieve an output are used |
| **emergency plan** | plan for dealing with and mitigating the risk of a range of emergencies, such as bomb threats, natural disasters, electricity failure and aggression |

| | |
|---|---|
| **equity** | creation of services that recognise and value difference among customers: |
| | • giving all potential customers access |
| | • allowing quality participation |
| | • delivering successful outcomes for disadvantaged groups |
| **evaluation** | process of judging the effectiveness of a program or service, usually against set goals, objectives and strategies |
| **goals** | desirable end points or achievements used to guide planning, allocate resources, and monitor and evaluate the impact of services |
| **governance structure** | structure with ultimate accountability for the service, such as a board, a management committee or the executive level of a government agency |
| **information** | data processed in a way to give it meaning through analysis or interpretation and presentation |
| **innovation** | development and application of a new product, service or process that adds value and creates opportunities – vital for economic growth and addressing social challenges |
| **knowledge** | state created when relationships shown by information have been tested and refined through experience |
| **knowledge management** | process of planning, organising, analysing and controlling data and information, including both digital and paper-based systems |
| **leadership** | governing body or management of the organisation that significantly influences a service's performance and culture, and positions the organisation to excel |
| **outcome** | result or consequence of a product or service based on its quality, as measured in benefits to customers or stakeholders |
| **risk management** | identification, analysis and reduction of possible risks or adverse events to the organisation and its staff, visitors and customers, including strategies and programs to control or finance related losses |
| **services** | duties, work or activities performed for the organisation by its staff |
| **staff** | member or other person authorised to support the organisation in its operations, including paid staff, volunteers, peer assistants and carers |

| | |
|---|---|
| **stakeholder** | person, group, community or organisation with a legitimate interest, such as target groups, other service providers or funding bodies |
| **values** | understandings and expectations of how staff should behave, on which all business relationships are based, such as trust, support and truth |
| **vision** | description or image of how the organisation wishes to be in the future |

# 5 **Appendix**

## Templates

### Policy

A policy is a framework of principles, usually set by a board or senior governance body, that guides decision-making and activity. It outlines an organisation's intent on a topic.

When developing a policy, you should consider:

- who it applies to and whether there are any exceptions (scope)
- what the policy is trying to achieve (objective)
- what it covers (description).

You should then review it regularly to make sure it remains current and relevant.

We recommend using a template similar to this one, where we have added some example text:

---

**Quality Improvement Policy**

| | |
|---|---|
| **Scope** | The Quality Improvement Policy applies to all staff and contractors at [NGO]. |
| **Objective** | This policy will embed a culture of continual improvement to ensure that we deliver high quality products and services that meet our customers' expectations. |
| **Description** | [NGO] has adopted a framework for quality improvement, which gives us a systematic way to continuously improve our performance … |
| **Responsibilities** | All staff must adhere to this policy.<br>As an employer, [NGO] must ensure we comply with relevant laws. |
| **Policy owner** | Senior Executive Officer |
| **Key dates** | Created: May 2016<br>Review due: May 2018 or as needed |
| **Related documents** | • Strategic Plan<br>• Quality Improvement Guidelines<br>• Improvement Log Process |
| **Definitions** | The following terms apply to this policy: |

| Term | Definition |
|---|---|
| Continuous quality improvement (CQI) | |

---

## Process

A process describes the steps needed to implement a policy and achieve an outcome.

Processes are usually developed and adopted by senior executive officers.

When developing a process, we recommend using a template similar to this one, where we have added some example text:

| | |
|---|---|
| **Improvement Log Process** | |
| **Scope** | The Improvement Log Process applies to all staff and contractors at [NGO]. |
| **Objective** | This process will ensure we capture, prioritise, action and evaluate opportunities for improvement relating to customers, staff and other stakeholders. |
| **Description** | When staff identify an opportunity for improvement, such as through client feedback, they should fill in the Opportunity for Improvement Form and submit it to the Quality Coordinator. <br><br>The Quality Coordinator will: <br>• complete the form by entering the next available OFI number from the register and update the request until it is completed <br>• advise the form originator as action is taken <br>• report each month to the Senior Executive Officer. |
| **Responsibilities** | The Quality Coordinator must: <br>• assess the impact of escalated issues/actions on the Quality System and report these to the Senior Executive Officer <br>• maintain the Improvement Register <br>• acknowledge, action, review and evaluate opportunities for improvement in a timely manner, and ensure follow-up actions are implemented <br>• report on the status of opportunities, including trending and analysis. <br><br>The Senior Executive Officer must encourage continuous quality improvement, supporting budgeted resources. |
| **Process owner** | Quality Coordinator |
| **Key dates** | Created: May 2016 <br>Review due: May 2018 or as needed |
| **Forms and records** | The following forms relate to this process. On completion, they become records: <br><br>| Form | Title | Copy | Location | <br>|---|---|---|---| <br>| QR 01 | Quality Report | Electronic | Quality folder on X drive | |
| **Related documents** | • Strategic Plan <br>• Quality Improvement Policy <br>• Quality Improvement Guidelines |
| **Definitions** | The following terms apply to this process: <br><br>| Term | Definition | <br>|---|---| <br>| Quality report (QR) | | |

## Improvement plan

Your improvement plan should track any issues you identify and your response to them. It should align with your Strategic Plan and Business Plan.

| Improvement number | Issue | Source | Action or investigation needed | Delegated to | Date to be completed | Progress | Outcome or evaluation | Date closed |
|---|---|---|---|---|---|---|---|---|
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |

# One-page strategic plan

Vision

Purpose

Values

**Strategic objectives (see business plan)**

Financial

Workforce

Internal

Customer

Governance

**Measures**

- 100% completed self-assessments
- and so on

Strategy statement

Strengths

Weakness

Opportunities

Threats