



HealthCarePlus

Charitable Education Grants

**Procedures and General Guidelines
for the 2020 Grants Cycle**

Updated 23 June 2020

Contents

- 1. Introduction 3
- 2. About our grants..... 4
- 3. Making a grant application 8
- 4. Selection process and feedback..... 9
- 5. Management of awarded grants 10
- 6. Financial accountability 11
- 7. Promotion and distribution of outputs and outcomes 12
- Appendix A: Process chart for selecting applications or Expressions of Interest within any one category 13

1. Introduction

1.1 Who is HealthCarePlus?

- 1.1.1 HealthCarePlus is the trading name for The Education Benevolent Society Incorporated. We were established in 1963 to enable teachers, education and public sector members, and their families access competitive insurance products to support their families' health and provide financial protection for unforeseen events.
- 1.1.2 In 2018 the Board of Education Benevolent Society Incorporated conducted a fundamental review of the business which resulted in the transfer of the insurance business to a third-party insurer at the end of 2019. This, in turn, resulted in the release of a significant amount of capital, ("the Fund.") The Fund is invested, and the Fund's surpluses (if any) will be available for distribution regularly as Charitable Education Grants.
- 1.1.3 To this end, the Education Benevolent Society Incorporated has become a registered charity to further educational purposes. HealthCarePlus will manage and administer its funds according to the standards prescribed by Charities Services and the Incorporated Societies Act 1908.
- 1.1.4 Grants include support for individual study or professional development, undertaking practice-focussed research, provision and facilitation of professional development and training, and the facilitation of educational conferences.
- 1.1.5 The Charitable Grants Committee (the "Grants Committee") consists of a maximum of 7 members, being 1 member appointed by each of HealthCarePlus's 6 Unions Owners, plus the Chair of HealthCarePlus's Board.
- 1.1.6 All decisions on the award of grants are made by the Grants Committee and ratified by the HealthCarePlus Board. Other than the HealthCarePlus Board Chair being a member, the Grants Committee is independent of the Board.

1.2 HealthCarePlus's vision for our grants

- 1.2.1 HealthCarePlus's vision is for the grants to provide for the advancement of education, including health and wellbeing. HealthCarePlus takes a broad view of education and will consider funding any activity that contributes to the growth of knowledge, the development of resources or supports enhanced capability.
- 1.2.2 Prior to the launch of each funding cycle, the HealthCarePlus Board and the Grants Committee will identify and publish relevant and contemporary themes and topics to encourage applications for projects

and set any areas of preference for that cycle. The Grants Committee encourages applicants to consider projects and activities that address these topics, as preference will be given to applications focused on these issues.

- 1.2.3 In each case the Grants Committee will seek to recommend funding activities that have significant potential to contribute to better long-term health and well-being outcomes for New Zealanders.

1.3 Who can apply?

- 1.3.1. HealthCare Plus was established in 1963 by the Education Unions and the Public Service Association (PSA). Members of the New Zealand public and New Zealand based organisations are eligible and encouraged to apply for HealthCarePlus's Education Grants who are either,

- 1.3.1.1. Members of the New Zealand Public that are either New Zealand citizens or permanent residents, including but not limited to Members of the Union Owners and or HealthCarePlus, or

- 1.3.1.2. Body corporates (including incorporated societies) or

- 1.3.1.3. Unincorporated bodies.

- 1.3.2 Part of the philosophy of this fund is to foster a process that assists in developing application writing skills in individuals who have no or limited experience of applying for funding or managing funded projects. We actively encourage inexperienced applicants to seek external support (from e.g. colleagues or their Unions) in developing their applications and if needed, identify and budget for a mentor to assist you with your project.

2. About our grants

2.1 What are our funding priorities?

- 2.1.1. HealthCarePlus's objective is to distribute charitable grants for the advancement of education including health and wellbeing by funding HealthCarePlus approved projects that have the potential to contribute to better long-term outcomes for New Zealanders.

- 2.2.2. Topics may include any educational project or professional development activity focussed on education and workforce health and well-being. They may include, but are not limited to the following areas:

- 2.2.2.1 Any work improving learning or education of children or adults

- 2.2.2.2 Teaching/supporting disadvantaged students

- 2.2.2.3 Teaching/ supporting gifted students

- 2.2.2.4 Pay Equity

- 2.2.2.5 Workplace discrimination of minority groups

- 2.2.2.6 Work-life balance
- 2.2.2.7 Wellness of groups / communities
- 2.2.2.8 Negotiation and conflict resolution
- 2.2.2.9 Workplace stress
- 2.2.2.10 Educational / workplace leadership
- 2.2.2.11 Transition to retirement
- 2.2.2.12 Financial literacy
- 2.2.2.13 COVID 19 and or another current and topical issue

2.2.3. In each funding cycle, the HealthCarePlus Board in conjunction with the Grants Committee will identify priority themes for funding. High quality applications in those areas will receive priority over other high-quality applications.

For the 2020 funding cycle the priority themes are:

- The Future of our Work
- Wellbeing
- Equity
- Specific Topics

All applications need to demonstrate how the outcomes could address and contribute towards increased knowledge and understanding of topical issues which could include:

Priority Theme

1. The Future of our Work

Topics could include

- Work life balance
- Workload
- COVID 19 and impact on work
- Life-long Learning

2. Wellbeing

Topics could include

- Enabling members/employees to thrive
- Focus on stress and burnout
- Creating better mental wellbeing outcomes

3. Equity

Topics could include

- Te Tiriti
- Worker voice
- Democracy

- Gender equality
- Pay equity

4. Special Topics

Topics could include

- The value of early childhood education
- Work or industry experience for educators e.g. an art teacher has a placement working in an advertising agency.
- Retraining for second career or chance

2.2.4. In each funding cycle we will look to make grants for activities that have the potential to have the biggest impact on the advancement of education including health and wellbeing. Accordingly, we will look to fund professional development activities and projects where the applicant has a clear vision of how they will use their learnings to maximum effect.

2.2 What types of activities will we fund?

2.2.1. Educational grants to support further study including where financial hardship can be demonstrated,

2.2.2. Professional development, study or training,

2.2.3. Practice-focussed research or implementation projects, (*i.e.* projects designed to have an impact on, for example, educational practice in a specified context that has an impact on health and wellbeing of a workforce).

2.2.4. Facilitation of educational conferences.

2.3 How much will we fund?

NOTE: All amounts are in New Zealand dollars (NZD) and inclusive of GST (if any). There are three categories of grant available, namely:

- 2.3.1. **Category 1: Individual Grants** – the Grants Committee will consider applications from individuals for amounts from \$5,000 up to a maximum of \$20,000 for one year. These grants are designed to provide individuals with support for:
- (a) further study towards recognised qualifications in cases of financial hardship, or
 - (b) professional development activities in New Zealand or overseas, or
 - (c) small projects.

- 2.3.2. **Category 2: Group Grants** – the Grants Committee will consider applications from groups of individuals or eligible New Zealand based organisations for amounts from \$10,000 up to a maximum of \$50,000 for one year. These grants are designed to support larger team-based projects or to support conferences.
- 2.3.3. **Category 3: Special Grants** – for applications that do not meet the above criteria, *e.g.* they may be for greater amounts and/or cover multiple years. Normally these will be multi-year research or implementation projects.

2.4 What type of expenses can the grants be used for?

The grants can be used for actual and reasonable costs including:

- 2.4.1. Course fees and a contribution to associated expenses (including, where an appropriate case can be made, travel and accommodation) at a HealthCarePlus approved education institution.
- 2.4.2. Costs associated with professional development or training.
- 2.4.3. Research and associated costs including salaries/wages.
- 2.4.4. Costs associated with the facilitation of organising and running conferences, seminars and educational events. Note this may include, as appropriate, supporting the participation of overseas expert speakers (either in person or on-line).
- 2.4.5. Costs may be incurred both in New Zealand and or internationally however all reimbursements will be in New Zealand dollars and the amount payable will be determined at the date of the application being approved. Any change in exchange rate is the responsibility of the applicant.

2.5 Restrictions on grant applications

- 2.5.1. Individuals may only make a single grant application on their own behalf in any one cycle. Making an individual application does not, however, preclude that individual being part of a group application.
- 2.5.2. While the Union Owners are eligible to apply for grants, in order to comply with the Incorporated Society's Act 1908, they must be able to demonstrate that if a grant is awarded they will not receive any direct pecuniary gain (as defined by the Incorporated Societies Act 1908). This means that any proposed activities must be other than business as usual and explicitly for educational purposes.
- 2.5.3. For the avoidance of doubt, the following activities will not be supported as they that do not meet our Charitable Education Purpose
- Training as Union Advocates

- Bargaining Training for Union Reps
- Support for any political party's activities or events.

2.5.4 Applications will only be received between the published Opening and Closing dates. The Grants Committee reserves the right to amend the closing date/s either for all grants or for a category/ies of grant.

2.6 Promotion of the grants process

2.6.1 At the start of each funding cycle an advertisement to promote the grants will be placed in the local newspapers in Auckland, Wellington and Christchurch.

2.6.2 The Unions Owners will be encouraged to promote the grants via their internal communications to their Members with the cost of such advertising being the responsibility of the Union.

2.6.3 HealthCarePlus will promote the grants via HealthCarePlus's newsletters, website and social media.

3. Making a grant application

3.1 Applications including any supporting documentation must be lodged via HealthCarePlus's grants portal [here](#).

3.2 Each category of grant has a separate online application form to complete and an information pack providing guidance on how to complete each form is attached. No application will be accepted after the given closing date (refer 2.5.4)

3.3 Category 1a., 1b. and 1c. applications (Individual Grants) will be evaluated in a single process.

3.4 Category 2 and 3 applications (Group or Special Grants) will be evaluated in a two-step process. The application form for these grants is essentially an Expression of Interest and outline of the grant to be applied for. Short-listed applicants will then be invited to complete a full application. This process is designed to save potential applicants time. It is expected that in any given cycle the short-listed applicants will have at least a fifty percent chance of being successful.

3.5 All applicants are strongly encouraged to seek external support in developing their applications and have a draft reviewed before final submission (if applicants are members of the Union Owners, support will be available from those Unions).

3.6 To be considered, all initial applications for Category 1 and Full Applications for Categories 2 and 3 must include a detailed budget of the costs that are expected to be incurred inclusive of GST (if any).

3.7 All applications must complete all sections of the appropriate form and address all of the published eligibility criteria. Applications that do not meet the published eligibility criteria may be automatically rejected during the application process.

The applicant may have the option of resubmitting an application that meets the published eligibility criteria providing the deadline for submission is met.

4. Selection process and feedback

4.1 Once applications close, all applications that have been successfully lodged via the portal and meet the published eligibility criteria set out in the information packs for each grant (eligible applications) will be evaluated by the Grants Committee against the published evaluation criteria.

4.2 The Grants Committee process for making decisions is normally a two-step process for each category:

4.2.1 Eligible applications (or Expressions of Interest) are independently evaluated by at least two Grants Committee members against the published evaluation criteria and given an overall evaluation score. A member of the Grants Committee may contact the applicant/s to clarify aspects of the application or to request further information. The applications are then placed in one of three Bands according to their score:

Band 1 - Priority consideration for funding

Band 2 - Consider for funding

Band 3 - Not supported for funding at this time.

4.2.2 Final decisions are then made through a collective discussion of the relative merits of firstly those in the highest band and then in the second band (if sufficient funds remain in that category). This discussion will take into account the requirements of proportionality of the awards of grants to the Union Owners and their Members as set out in the Constitution (s10.2.3).

4.2.3 During this process, all Grants Committee Members will have due regard to managing any conflicts of interest. Resolving significant discrepancies in evaluation scores and seeking where-ever possible to reach final decisions by consensus are important components of ensuring decisions are fair and impartial.

Appendix A sets out the process in detail.

4.3 Note that this two-step process applies to both the Expression of Interest and invited Full Application stages of Category 2 and 3 funding.

4.4 The Grants Committee reserves the right to invite applicants to submit a revised application and or to meet with the Grants Committee, or part thereof, as part of the evaluation process.

- 4.5 Where two or more of the applications received are substantially the same in quality and criteria, the Grants Committee may apply preference to applications received from the Union Owners, Members of the Union Owners, or Members of HealthCarePlus.
- 4.6 In any one funding cycle, the Grants Committee reserves the right to transfer funding from one category to another if some categories have insufficient applications of high enough quality and there are applications in other categories of sufficient merit. This may mean that funding may not be allocated across all categories in all funding cycles.
- 4.7 All applicants will be advised in writing once decisions of the Grants Committee have been ratified by the HealthCarePlus Board.
- 4.8 All unsuccessful applicants will be provided with feedback on their applications with a view to supporting the development of any applications for future cycles.
- 4.9 The Grants Committee reserves the right to only fund part of any proposal and/or require any specific conditions to be met as a requirement of awarding the grant.
- 4.10 The HealthCarePlus Board reserves the right to amend the total funds available for funding in any one funding cycle.
- 4.11 All Grants Committee decisions are final. No further correspondence will be entered into.

5. Management of awarded grants

- 5.1 Once a grant is awarded a formal Grant Agreement will be provided to the grantee, outlining agreed milestones and budget, a payment schedule, reporting and dissemination requirements.
- 5.2 If a formal agreement cannot be signed off by both the grantee and HealthCarePlus within 30 days of the grant being approved, then the offer of the grant will be withdrawn.
- 5.3 Once a grant award is agreed, the priority for HealthCarePlus is to enable grantees to complete the work agreed. Grantees are required to advise HealthCarePlus as soon as possible if there are any changes in circumstances which may affect the progress of the agreed activity.
- 5.4 Payments will be made according to an agreed payment schedule against agreed milestones. Failure to meet agreed milestones will result in payments being withheld and the project placed under review.

- 5.5 All agreed budgets will have an additional 10% contingency allowance allocated to the grant. This contingency allowance will only be made available in exceptional circumstances and via a special application to the Grants Committee and will be subject to approval by the HealthCarePlus Board.
- 5.6 Reviews will be conducted as delegated by the Grants Committee and are designed to assist the grantee to achieve the agreed milestones of the project. Appropriate support measures may be recommended or required.
- 5.7 If following a review, it becomes clear that the planned outputs and outcomes of an award cannot be achieved, then HealthCarePlus reserves the right to cancel the grant.
- 5.8 All grantees will be required to complete an end of grant report. The type of report required will depend on the nature of the grant and will be negotiated with HealthCarePlus. For successful grants, the emphasis will be on maximising the impact of any outputs and recording learnings for both the grantee and the Grants Committee.
- 5.9 For grants that extend over more than one funding year, an interim report will be required to be submitted during the 4th quarter of the contract year. The provision of the next year's grant will be dependent on the Grants Committee's assessment of this report.
- 5.10 The HealthCare Plus Board reserves the right to cancel any grant where, on the recommendation of the Grants Committee and after due investigation, HealthCarePlus Board believes that the grantee has:
 - 5.10.1 Deliberately provided misleading or incorrect information, or
 - 5.10.2 Plagiarised any output or document, or
 - 5.10.3 Is found to be using the grant in ways that do not meet the purpose as stated in the funding agreement, or
 - 5.10.4 Plans to use or is using the grant for any use that does not meet the requirements of a Charitable Education purpose under the Charities Act, or
 - 5.10.5. As an organisation, plans to or is using the grant for pecuniary gain and thereby could place the Society in contravention of the Incorporated Society Act 1908.
- 5.11 Upon cancellation of a grant, any money paid to the grantee must be reimbursed in full to HealthCarePlus within 30 days of cancellation.

6. Financial accountability

6.1 Payments and Invoices

- 6.1.1 All grants payments are GST inclusive (if any).
- 6.1.2 Grantees must keep electronic copies of all invoices or receipts for their project and supply such copies when requested by HealthCarePlus.

- 6.1.3 Grantees must respond within 14 days to all reasonable requests for other financial information or reports.
- 6.1.4 All grantees must return to HealthCarePlus any money not spent.
- 6.1.5 All payments will be in New Zealand Dollars (NZD)

7. Promotion and distribution of outputs and outcomes

- 7.1. Publication of outputs:** As HealthCarePlus is a charitable entity, any results from the grants e.g. research papers from HealthCarePlus's charitable education grants must be made publicly available. HealthCarePlus therefore reserves the right to distribute the finding and results from the projects as required under the legislation.
- 7.2 Acknowledgement of HealthCarePlus and the ability to promote and use in promotional activity:** Any recipient of a grant must
 - 7.2.1.** Acknowledge HealthCarePlus in any public dissemination of their outputs, and the wording of such acknowledgment to be pre-approved by HealthCarePlus such approval not to be unreasonably withheld.
 - 7.2.2.** Agree that HealthCarePlus can use the results (and any photographs, interviews etc regarding the grantee) for promotional activities including but not limited to events, internal communications and social media. Such promotional activities will be notified to and approved by the grantee, such approval not to be unreasonably withheld.
- 7.3 Ownership of intellectual property:** Unless otherwise agreed between the parties, any results that have any commercial value will be owned by the grantee, and the grantee licenses HealthCarePlus with a non-exclusive, royalty-free, worldwide, perpetual license to use the results for its own purposes.

Appendix A: Process chart for selecting applications or Expressions of Interest within any one category

Action	Comment
Expressions of Interest Submissions close 24 th July 2020 at 5:00pm (Categories 2 and 3)	
Full Applications received and acknowledged after eligibility checking.	Opportunity to query details of application if required.
Applications allocated to Grants Committee members for an initial and independent evaluation.	A minimum of two Committee Members should evaluate each application, more if logistically possible.
On receipt, Grants Committee members check there are no other conflicts of interest with applications they are asked to review.	If there are any conflicts of interest, Committee Members advise the Chair of the Grants Committee and the conflict must be managed or removed.
Evaluations are completed and scores are lodged in the portal along with comments for feedback	Applicants may be contacted by a Committee member with a request for more information or clarification.
Decisions are made as to whether to invite to proceed to Stage 2 for Categories 2 and 3.	Applicants are advised of the outcome and where successful asked to submit a full application. This may include recommendations on items to be addressed in the Full Applications.
Full Applications close 11 September 2020 at 5:00pm (all categories)	
Full Applications received and acknowledged after eligibility checking.	Opportunity to query details of application if required.
Applications allocated to Grants Committee members for an initial and independent evaluation.	A minimum of two Committee Members should evaluate each application, more if logistically possible.
On receipt, Grants Committee members check there are no other conflicts of interest with applications they are asked to review.	If there are any conflicts of interest, Committee Members advise the Chair of the Grants Committee and the conflict must be managed or removed.
Evaluations are completed and scores are lodged in the portal along with comments for feedback.	Applicants may be contacted by a Committee member with a request for more information or clarification.
Secretariat collates and reviews scores and advises the Grants Committee Chair where there are any significant variations in scoring.	Secretariat also collates feed-back comments for each application.
Grants Committee Chair asks evaluators of applications where there are variations in scoring to discuss and reach a consensus.	Where consensus is not achieved, application sent out for further evaluation (other Committee Member(s) or independent reviewer).
Mean evaluation scores for each application are calculated and applications placed in bands, e.g.:	Applications may naturally cluster by average scores and self-sort to bands.

Band 1 priority consideration for funding, Band 2 consideration for funding, Band 3 not supported for funding at this time	
Grants Committee meeting convened and conflicts of interest formally minuted.	The Grants Committee Chair and Committee Members need to ensure that all discussions are impartial, reaching decision by consensus wherever possible.
Grants Committee discusses priority applications for funding in each Category and make funding decisions for If funding available allows, discussion then moves on to applications in Band 2.	Grants Committee must take into account requirements for proportionality of grants as required by the Constitution (s10.2.3.). Whilst having regard to proportionality, quality will determine final outcomes.
Grants Committee agrees feedback to be provided to all applicants.	
Grants Committee has general discussion on process / overall quality of applications, etc.	
Minutes / prepared report for the HealthCarePlus Board's ratification are circulated to Committee Members for confirmation.	This needs to be done as soon as possible after the Grants Committee meeting.
HealthCarePlus Board ratifies Grants Committee decisions	
Secretariat sends out advice including agreed feedback to both successful and unsuccessful applicants. NOTE HealthCarePlus will not be advising outcomes to applicants until the entire assessment process is complete.	