

CAPACITY WORK PLAN GUIDANCE

Please download and complete the [Capacity Work Plan Spreadsheet](#) to outline the capacity building activities your organization plans to complete through the Clean Water Capacity Workforce Development Block Grant. The Capacity Work Plan will be the main document that outlines the scope of work you wish to achieve. Please follow the directions below to help understand how to complete the Capacity Work Plan document.

Step 1: Determine the Capacity Objective (Column B) and the Capacity Activities (Column A) you will complete

The first step is determining the capacity activities that your organization will complete with this funding. The goal of this program is to fund capacity activities that contribute to at least one of the following three broad objectives categories:

Objective Number	Objectives	Example Activities (not a complete list)
1	The Department of Environmental Conservation (DEC) Clean Water Initiative Program (CWIP) seeks to fund activities that help clean water workforce organizations catalyze community engagement, relationship building, and enhanced representation. This may include activities that increase the organization's presence in the community or grow the community's awareness or knowledge of the organization, activities that grow community commitment and interest in the organization's clean water efforts, activities that inspire the clean water efforts of others, activities that help an organization sustain relationships over time, and activities that diversify and build audience inclusion or that increase a community's representation within organizational decision-making.	->Develop and implement a strategic and responsive communications plan ->Hire a communications professional or a "community liaison" to reach new audiences ->Implement education campaigns or materials development (including websites, mobile apps, recorded webinar series, guidebooks, fact sheets, and resource libraries on content such as water quality conservation benefits and practices, research trials, regulatory requirements, grant opportunities, innovative practices and initiatives) ->Host or perform outreach at in-person or virtual workshops, events, and trainings ->Design and deliver enhanced volunteer recruitment and training to grow the size and skillset of an organization's volunteer network. This might include volunteer recruitment efforts and tools, training opportunities, more volunteer days, or hiring a volunteer coordinator. ->Foster stronger personal relationships with landowners through one-on-one technical assistance ->Support board stipends to incentivize participation on boards from community members who would not otherwise be able to join, with an aim of making the board more representative of the community the organization serves. ->Invest in customer management database tools to better track and record prior landowner conversations and relationships.

2	CWIP seeks to fund activities that help clean water workforce organizations transition administrative, financial, and fundraising roles and processes towards sustainable and streamlined solutions. This may include activities that shift administrative, financial and fundraising responsibilities away from programmatic staff, activities that increase an organization's administrative, financial and fundraising competencies, or activities that help organizations streamline administrative, financial and fundraising work.	->Hire or contract with development or financial management/bookkeeping professionals who are knowledgeable in nonprofit and governmental budgeting, fundraising, and accounting. ->Hire or contract with human resource or administrative professionals. ->Contract with a legal or human resource expert to vet personnel and other policies ->Attend external trainings for staff, volunteers, or board members in topics including payroll planning, project and organizational budgeting and nonprofit and governmental accounting, and calculating/negotiating indirect and billable rates. ->Perform a financial audit ->Document Standard Operating Procedures for certain administrative or financial processes ->Update sales platforms or accounting software ->Support programmatic personnel expenses during gaps in project work to provide longer term stability in personnel planning
3	CWIP seeks to fund activities that support professional development and a workforce pipeline for careers in clean water project management. This may include activities that focus on recruitment and on-boarding of a diverse “next generation” workforce, activities that support professional development and training in clean water project topics, and activities that strengthen peer-peer and co learning networks.	->Attend trainings in a range of clean water project topics for staff to grow skills or knowledge in clean water project implementation. ->Support personnel hours for new programmatic staff unable to charge time to existing project-based grants or while shadowing seasoned staff on tag-along or mentorship days. ->Develop formal onboarding procedures and training materials, or human resource systems that encourage professional development growth plans. ->Develop Clean Water Project Management Standard Operating Procedures or best practices and considerations to train new staff in. ->Perform staff recruitment in new and diverse venues. ->Host a collaborative project demonstration day for peers

Please see pages 18-20 of the [Clean Water Workforce Capacity Development Initiative Summary Document](#) to see full definitions of the above goals.

You will write a brief narrative in the Capacity Work Plan Spreadsheet about each capacity activity your organization plans to achieve. The examples of activities above are non-exhaustive and serve as a starting point for determining the activities that are allowed under this grant. Other activities may be eligible as long as they fit into one the three objectives above and you can determine output/performance measures and capacity goals for the activity.

Step 2: Determine the Output/Performance Type (Column C) and Output/Performance Measures (Column D) for each capacity activity for your organization

Each capacity activity must result in one or more outputs/performance measures. See the full list of outputs and the resulting performance measure below. If the capacity activity does not result in one of the output/performance measures, it is not eligible. You will have to propose the output/performance measure and also the value that is associated with that measure. Please note that you can have more than one output/performance measure for each activity. If this is the case, please select dropdowns for all the applicable outputs/performance measures in the work plan. The selected output/performance measure in your work plan for each activity will become the performance measure for evaluating the work under the grant.

Output/Performance Measure Type	Output/Performance Measure Details
Number of improved systems, processes, or plans	This should measure or count improvements to internal operations. Examples might include development of a communications, strategic or fundraising plan, establishment of Standard Operating Procedures (SOPs) for financial processing, or staff onboarding, or software automations or updated communications platforms.
Number of pieces of equipment or technology acquired	This can also include software acquisitions such as new customer management database tools to better track and record prior landowner conversations and relationships, or accounting or bookkeeping software.
Number of materials developed and dispersed	This is counting the volume of outreach or education performed. "Materials" developed might include training videos, mobile applications, guidebooks, fact sheets, flyers, brochures, newsletters, or social media posts.
Number of partner full time equivalent (FTE) employee increase	This is looking at personnel capacity in the organization. Hiring new staff may increase the total available FTE to the organization or, using capacity funds to generally support staff time may create new flexibility or availability in staff hours that might amount to some portion of an FTE.
Number of full time equivalent (FTE) recently hired staff maintained	This is looking at maintaining staff that have recently been hired and require support to maintain their position long term.

Number of new services/qualifications accessible to organization	This is used as an alternative to counting FTEs should the capacity activities involve contracting but not hiring certain professional services.
Number of hours of trainings/workshops attended by staff	This is counting training received by staff. It can cover a range of subjects or even hours for new-staff undergoing on-boarding or shadowing or being mentored by more seasoned staff.
Number of staff with new qualifications	This is looking at the results of any training received by staff or as a result of new hiring efforts. It assumes this might result in increased or more dynamic services to be offered by the organization.
Number of community members directly assisted	This is counting the volume of outreach or education performed. It should be used mainly for one-on-one technical assistance work.
Number of community events, workshops, or meetings organized/attended by staff	This is counting the volume of outreach or education performed. It might include events where staff tabled or provided other outreach or education either in-person or virtually, or volunteer recruitment efforts and training days.
Number of new audiences reached	New audiences may be reached in many ways and can include both as passive recipients of organizational outreach and/or more active engagement or participation from new audiences. For example, it may be a helpful measure for new volunteers recruited, new board members recruited, or new communities participating in or attending outreach events.

Step 3: Determine the Capacity Goal (Column E) that will be increased by the capacity activity

Below is a full list of capacity goals. The goal of the funding is to increase how true each capacity goal will be as a result of the proposed capacity activity. For each of the capacity activities that you list in the Capacity Work Plan Spreadsheet, you must indicate one or more capacity goals that will become more true for your organization as a result of this work. Each capacity goal has an ID number that will help you insert this capacity goal into your spreadsheet without typing out the entire capacity goal text.

Capacity Goal ID	Capacity Category	Capacity Goals
1.01	Technical	Our organization has sufficient staff, intern, and/or volunteer resources to implement key organizational and programmatic functions
1.02	Technical	Our staff, interns, and/or volunteers are sufficiently trained to implement key organizational and programmatic functions
1.03	Technical	Our staff, interns, and/or volunteers have the right mix of necessary skills and knowledge to implement key organizational and programmatic functions
1.04	Technical	Our staff, interns, and/or volunteers are diverse and representative of audiences served
1.05	Technical	Our organization has access to well-functioning technology, materials, tools, equipment, and facilities necessary to complete our work.
2.01	Financial	Our financial operations are responsibly managed, reflect sound accounting principles, and allow for transparent accountability through regular auditing and reporting.
2.02	Financial	Our financial operations are managed and/or overseen by a financial professional or highly qualified or experienced financial specialist.
2.03	Financial	Our staff, interns, and/or volunteers are sufficiently trained to perform assigned financial duties.
2.04	Financial	Our organization has a healthy balance sheet, diverse and stable funding sources, a clear fund development plan aligned with our mission, long-term goals, and strategic direction and our organization is not overly leveraged.
2.05	Financial	Our fundraising and development efforts are managed and/or overseen by a development professional or highly qualified or experienced development specialist.
2.06	Financial	Our staff, interns, and/or volunteers are sufficiently trained to perform assigned fundraising or development duties.
2.07	Financial	Our organization has sufficient staff, intern, and/or volunteer resources to implement key financial, fundraising, or development functions
3.01	Process/Management	Our organization enjoys strong human resources management practices and can efficiently and effectively identify, recruit, and train skilled and diverse staff, interns, and volunteers.
3.02	Process/Management	Our organization enjoys strong human resources management practices and can support competitive personnel compensation and benefits that retain skilled staff, interns, and volunteers.

3.03	Process/Management	Our organization is sufficiently buoyed against the impacts of staff turnover through the use of tools, technologies, and/or practices that support sharing and retention of institutional knowledge, skills, and relationships.
3.04	Process/Management	Our organization has a collection of documented systems, policies, and standard operating procedures that allow for effective and efficient use of organizational resources.
3.05	Process/Management	Our organization has a collection of vetted and documented systems, policies, and standard operating procedures that keep us in compliance with applicable state or federal laws, regulations, and grant/contract terms and conditions.
3.06	Process/Management	Our organization has sufficient staff, intern, and/or volunteer resources to implement key process/management functions
3.07	Process/Management	Our staff, interns, and/or volunteers are sufficiently trained to perform assigned process/management duties.
3.08	Process/Management	Our organization has sufficient insurance, appropriate tax status, procurement policies, and a sufficient Negotiated Indirect Rate Agreement to be able to access and cost-effectively implement DEC clean water grants.
3.09	Process/Management	Our organization has defined diversity, equity, inclusion, and environmental justice goals for our internal operations and/or service delivery practices.
3.10	Process/Management	Our organization has a clear plan and available resources to integrate diversity, equity, inclusion, and environmental justice goals into our internal operations and/or service delivery practices.
4.01	Network/Leadership	Our organization enjoys strong relationships with other clean water workforce entities and professionals
4.02	Network/Leadership	Our organization enjoys strong relationships with community members and landowners.
4.03	Network/Leadership	Our community/ies rely on our organization to provide clean water services and we are seen as a local clean water expert.
4.04	Network/Leadership	Our organization has high visibility and is a known and trusted name.
4.05	Network/Leadership	Board leadership is representative of beneficiary communities and responsive to changing community needs.
4.06	Network/Leadership	Board leadership is engaged and effectively oversees and supports the organization's policies, programs, and operations.
5.01	Strategic/Adaptive	Our organization has a strong and clear vision, mission, and identity
5.02	Strategic/Adaptive	Our organization has an active strategic plan and an ability to plan adaptively by monitoring, assessing, and responding to internal/external changes

5.03

Strategic/Adaptive

Our organization performs inclusive planning processes to ensure services remain relevant and vital to benefiting communities.

Step 4: Identify the Impact Type of your Capacity Activity (Column F)

Each capacity activity must lead to one of the following 3 impacts types:

1. Our organization is able to perform more clean water work
2. Our organization is able to perform more complex clean water work
3. Our organization is more effective at propelling the clean water efforts of others

The last step of the Capacity Work Plan Excel spreadsheet will be to indicate which one of these impacts will be achieved by each activity.

The Capacity Work Plan spreadsheet is set up for 3 capacity activities but feel free to add columns to provide space for more activities.

For each activity you must complete the following rows in the spreadsheet:

- 1. Activities Narrative (Column A)***
- 2. Capacity Objective (Column B)***
- 2. Output/Performance Measure Type (Column C)***
- 3. Output/Performance Measure Value (Column D)***
- 4. Capacity Goal (Column E)***
- 5. Impact Type (Column F)***