



**Australian Government**

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**Department of Health and Ageing**

**Commonwealth HACCC Program  
Guidelines**

**1 July 2012 – 30 June 2015**



## Preface

The Australian Government Department of Health and Ageing (the department) has a suite of documents (the Program Guidelines) which provide the framework for the implementation and administration of funding processes under the Commonwealth HACC Program (the program). The Program Guidelines provide the key starting point for potential applicants considering whether to participate in the program and form the basis for the business relationship between the department and any funding recipient.

The key components of the Program Guidelines are:

**Section one: The program** which provides an overview of the Commonwealth HACC Program and the activities that may be funded under the program.

**Section two: Making an application for funding under the program** includes information on the different types of funding processes that may be run under the program and how to apply.

**Section three: General information for applicants** provides information on the terms and conditions applying to applicants, including late applications, checks that the department will undertake on applicants and complaints processes.

**Section four: Selection criteria** which sets out in detail the full set of eligibility and assessment criteria for any funding process under the program.

**Section five: Selection procedures** details how an application will be assessed, including against value for money, how applications will be ranked, and the process for advising of outcomes.

**Attachments** which detail each activity, including relevant eligibility criteria, and the assessment criteria that may be waived for each activity.

The Program Guidelines should be read in conjunction with the **application kit** (including **application form**) for the relevant funding process.

The department reserves the right to amend this document and the Commonwealth HACC Program Manual from time to time by whatever means it may determine in its absolute discretion and will provide reasonable notice of these amendments.

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# **Section one: The program**

## 1.1 Purpose

These Program Guidelines provide an overview of the arrangements for the allocation of funding for the Commonwealth HACC Program from 1 July 2012 to 30 June 2015. These Program Guidelines set out the range of funding processes that the department may use to select applicants to deliver the service types, service system development activities and other activities that make up the Commonwealth HACC Program.

These Program Guidelines replace the current Home and Community Care Aged Program Grant Guidelines, which guided the funding processes for the transition of the Home and Community Care (HACC) Program during the 2011-12 financial year.

These Program Guidelines do not apply to Home and Community Care (HACC) services in Western Australia or Victoria, or for basic maintenance, support and care services for younger clients (people aged under 65 years and Aboriginal and Torres Strait Islander people aged under 50 years) previously provided under the joint HACC program.

## 1.2 The Commonwealth HACC Program

### 1.2.1 Context

As part of the National Health Reforms, the Council of Australian Governments (COAG) agreed that from 1 July 2012 the Australian Government would take on full funding and program responsibility for the basic community care maintenance and support services for older people that were previously delivered through the HACC program. This applies to people aged 65 years and over and Aboriginal and Torres Strait Islander people aged 50 years and over in all states and territories, except Victoria and Western Australia.

The Commonwealth HACC Program forms a key part of the community aged care system. The Australian Government recognises the need for fundamental reform of the aged care system in order to ensure that it continues to provide high quality care and can respond to future challenges. As part of the *Living Longer Living Better* aged care reforms announced on 20 April 2012, the Australian Government is expanding and improving the support and home care options available for older people who want to stay in their own homes. Over the next five years the Australian Government will integrate services under the Commonwealth HACC Program with other Commonwealth programs to create and grow a new Home Support program. Information on the comprehensive reform package can be found on the *Living Longer Living Better* [aged care reforms website](http://www.agedcareaustralia.gov.au) at [www.agedcareaustralia.gov.au](http://www.agedcareaustralia.gov.au).

The principles of equity, equality of access, efficiency and quality of service delivery will guide the allocation of funds under the Commonwealth HACC Program. The aim is to allocate funding in a way that ensures:

- the target population has equitable access to a broad range of basic maintenance, support and care services
- people with special needs who are eligible are able to access appropriate services

- the services deliver the required outputs within the agreed budget ensuring value for money
- funding is directed to funding recipients that have demonstrated their commitment to providing quality community care or other relevant services.

## 1.2.2 Objective and scope of the Commonwealth HACC Program

The Commonwealth HACC Program assists:

- frail older people with functional limitations as a result of moderate, severe or profound disabilities
- the unpaid carers of these frail older people.

Older in this context is defined as being 65 years and over or 50 years and over for Aboriginal and Torres Strait Islander people.

The overall objective of the Commonwealth HACC Program is to enhance the independence of frail older people and to avoid or delay their premature admission to long term residential care through the provision of basic maintenance, support and care services. These are defined as those services essential to a person's wellbeing, for example, personal care and community nursing.

The Commonwealth HACC Program aims to:

- provide a comprehensive, coordinated and integrated range of basic maintenance, support and care services for frail older people and their carers
- support these people to be more independent at home and in the community, thereby enhancing their quality of life and/or preventing or delaying their inappropriate admission to long term residential care
- provide flexible, timely services that respond to the needs of consumers.

The Commonwealth HACC Program operates within a regional framework to respond to the needs of clients and help achieve equitable access to Commonwealth HACC services. The Commonwealth HACC Program encourages flexible service delivery and local responsiveness to meet the needs of individuals and regions.

There are several groups with cultural or other special needs that find it more difficult than most to access services. The special needs groups for the program are:

- people from culturally and linguistically diverse backgrounds
- Aboriginal and Torres Strait Islander people
- people with dementia
- financially disadvantaged people
- people living in remote or isolated areas.

## 1.2.3 The Commonwealth HACC Program Manual

The Commonwealth HACC Program Manual (the Program Manual) supports service providers to deliver the Commonwealth HACC Program. The Program Manual is additional to these Program Guidelines and sets out the operational requirements for providing basic

maintenance, support and care services. It also forms part of the Aged Care Funding Agreement for the Commonwealth HACC Program. Copies of the Commonwealth HACC Program Manual are available from the '[Commonwealth HACC Program](#)' page of the department's website at [www.health.gov.au/hacc](http://www.health.gov.au/hacc).

## 1.2.4 Funding

Approximately \$3.8 billion<sup>1</sup> over 3 years from 1 July 2012 will be provided by the Australian Government for the program in base funding. Growth funding for the Commonwealth HACC Program is announced each year as part of the Australian Government's budget process.

In addition to growth funding, the department may allocate base funding not allocated in previous years, base funding that has been relinquished by an existing funding recipient and one-off non-recurrent funds. The Australian Government may also direct additional or supplementary funding to the Commonwealth HACC Program.

Priorities for the allocation of Commonwealth HACC Program funding will be based on an evidence based planning approach and will take into account issues and evidence about the effectiveness, efficiency and appropriateness of activities, as well as emerging ageing and aged care challenges. The priorities will be published in the application kit for each funding process.

All sources of funding will be allocated in accordance with these Program Guidelines. Information about timing of funding processes will be made available through various communication mechanisms. These are outlined in section 2.4.

## 1.2.5 Relevant legislation

The Commonwealth HACC Program draws its administrative authority from Commonwealth Grant Guidelines<sup>2</sup> that are issued by the Minister for Finance and Deregulation under Regulation 7A of the *Financial Management and Accountability Regulations 1997* and Schedule 2 to the *Financial Framework Legislation Amendment Bill (No. 3) 2012*.

Staff involved in grants administration are accountable for complying with the Commonwealth Grant Guidelines, *Financial Management and Accountability Act 1997* and *Financial Management and Accountability Regulations 1997* and other policies and legislation that interact with grants administration.

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<sup>1</sup> Funding figures subject to change.

<sup>2</sup> The Commonwealth Grant Guidelines establish the grants policy and reporting framework for all departments and agencies subject to the *Financial Management and Accountability Act 1997* and are available from time to time from the [Department of Finance and Deregulation's website](http://www.finance.gov.au/) at <http://www.finance.gov.au/>

## 1.3 Responsibilities and accountabilities under the program

This section summarises the responsibilities and accountabilities for all parties involved in the Commonwealth HACC Program. Other roles and responsibilities of the parties are outlined in the Aged Care Funding Agreement or other contractual arrangement.

### 1.3.1 Minister

The Minister for Mental Health and Ageing will be responsible for setting priorities for the Commonwealth HACC Program, including in urgent and unforeseen circumstances making changes to the scope of activities and eligibility criteria for applicants. The Minister may approve the commencement of each funding process.

The Minister will be informed of the success or otherwise of all applicants and may release the outcomes of the funding process.

### 1.3.2 Department of Health and Ageing

The department will be responsible for the development and dissemination of all application kits for the Commonwealth HACC Program and for ensuring that such documentation is in accordance with the Commonwealth HACC Program's objectives and priorities and these Program Guidelines. The department will be responsible for ensuring the appropriate announcement and advertisement of funding processes, responding to queries in relation to any funding process, and for resolving any uncertainties that may arise in relation to application requirements.

The department will be responsible for undertaking all selection procedures relating to funding processes, including convening assessment panels. The department is responsible for ensuring that applicants are notified of the outcomes of any funding process.

The department will also be responsible for all management and monitoring requirements of successful applicants for the Commonwealth HACC Program such as:

- developing contractual arrangements for funding recipients to enter into
- monitoring the performance of activities to ensure the conditions of the contractual arrangements are met
- assessing performance and financial reports and undertaking follow up activity as necessary
- processing funding payments in a timely, transparent, effective, efficient and accountable manner.

To manage the Commonwealth HACC Program, the department will:

- develop policy, guidelines and procedures for administering the Commonwealth HACC Program

- identify and provide advice on emerging strategic issues and barriers to access to services including through participation in meetings/forums as required
- provide a strategic direction for the Commonwealth HACC Program in consultation with the Minister for Mental Health and Ageing and relevant stakeholders
- establish and foster formal and informal communication mechanisms with funding recipients and facilitate knowledge sharing and partnership opportunities with the sector.

### 1.3.3 Applicants

Applicants seeking funding under the Commonwealth HACC Program are responsible for the development of their application. As part of any funding process, applicants must ensure all information they provide in an application is accurate.

Applicants must be prepared to meet the costs associated with the development and lodgment of their application.

#### *1.3.3.1 Consortia and subcontracting*

The department will not enter into contractual arrangements under the Commonwealth HACC Program with a consortium. Where two or more entities seek funding as a consortium, a member entity or a newly created entity must be appointed as the lead member<sup>3</sup>. The lead member must be identified as the applicant and submit the application. The application must identify all members of the consortium and include a business partnership agreement, signed by the proposed consortium members, describing:

- their agreement to enter into a consortium arrangement
- the nature of the legal relationship between parties
- how the arrangements between the members will be managed
- that the proposal will be overseen by the lead member.

Members of the consortium who are not the lead entity will be required to be treated as subcontractors for the purposes of the Commonwealth HACC Program. The lead member is responsible to the department for the provision and quality of all services that they subcontract, including to other members of the consortium.

Subcontracted services may be used to assist in the delivery of a collaborative service system. All funding recipients must comply with the terms and conditions under the relevant contractual arrangement, whether consortium members or subcontractors.

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<sup>3</sup> The lead member is the legal entity that, if successful, enters into a contractual arrangement with the Commonwealth and which is authorised to negotiate and act on behalf of, and to bind each member of the consortium. The lead agency must comply with the terms and conditions in relation to subcontracting under the contractual arrangement in respect of the other members/agencies.



### 1.3.4 Funding recipients

The successful applicant, that is the funding recipient, is responsible for:

- ensuring they meet the specifications of the contractual arrangement
- ensuring the activities are managed in a cost effective and efficient manner
- maintaining contact with the department and advising of any emerging issues that may impact on the success of the proposal
- identifying and documenting risks and appropriate control strategies
- reporting on performance and expenditure in accordance with the contractual obligations
- participating in quality and evaluation activities as necessary.

## 1.4 Risk management

The department is committed to a comprehensive and systematic approach to the effective management of potential opportunities and adverse effects. Any contractual arrangement may be managed according to its level of risk to the Commonwealth. As such, applicants and funding recipients may be subject to a risk management assessment prior to the negotiation of any contractual arrangement and periodically thereafter.

## 1.5 Performance framework, data collection, research and evaluation

### 1.5.1 Reporting requirements and monitoring requirements

Funding recipients will be required to operate within an accountability framework to allow the department to collect information about what is being achieved for each activity. This will ensure that the department is confident that:

- quality services are delivered
- program standards and policies are met
- service provision meets the identified needs of clients
- funding is used according to the purposes specified in the contractual arrangement.

The department's program management meets these accountability objectives through the following key reporting processes:

- financial reporting
- service output reporting
- progress reporting
- quality reporting.

The reporting processes will be detailed in contractual arrangements with additional guidance in the Program Manual.

## 1.5.2 Evaluation

The department may undertake evaluations relating to the Commonwealth HACC Program, when required, to determine how the funded activities contributed to the objectives of the program. Funding recipients may be required to provide information to assist in this evaluation for a period of time after funding has been provided.

## 1.6 Program components, activities and assets

Commonwealth HACC Program funding is to be used to provide, or support the provision of, basic maintenance, support and care services as outlined in the Program Manual for clients aged 65 years and over and Aboriginal and Torres Strait Islander clients aged 50 years and over. The uses of Commonwealth HACC Program funding are further described in the attachments to these Program Guidelines.

Availability of funding for the purchase of assets that support the delivery of the activity will be articulated in the application kit. Funding for capital infrastructure is discussed below in section 1.6.4 and in the relevant attachment.

Further information on each activity can be found in the Program Manual, in the relevant attachment for the activity and in the application kit.

### 1.6.1 Service delivery activities

Basic maintenance, support and care services that are delivered through the Commonwealth HACC Program are categorised into 19 service types. The service types are also categorised into seven service groups, as follows:

#### *Service Group One*

- Domestic Assistance
- Personal Care
- Social support
- Respite care
- Other meal services

#### *Service Group Two*

- Assessment
- Client care coordination
- Case management
- Counselling/support, information and advocacy (client)
- Counselling/support, information and advocacy (carer)

#### *Service Group Three*

- Nursing care
- Allied health care

#### *Service Group Four*

- Centre based day care

#### *Service Group Five*

- Home maintenance
- Home modification
- Goods and equipment
- Formal linen service

#### *Service Group Six*

- Meals

#### *Service Group Seven*

- Transport

Detailed information on these service types and service groups can also be found in the Program Manual. Copies of the Program Manual are available from the '[Commonwealth HACC Program](#)' page of the department's website at [www.health.gov.au/hacc](http://www.health.gov.au/hacc).

## 1.6.2 Service system development activities

Commonwealth HACC Program funding is also used for activities that support the development of the broader Commonwealth HACC service system. These activities fall into the following three broad categories:

- *Sector support and development* where the aim of the activity is to build the capacity of the sector to meet the needs of clients, for example, workforce initiatives, development workers and volunteer and peak body activities (not including core funding). Peak bodies may be eligible to apply for core funding to support their aims and mission through the Health Service Capacity Development Fund. More information on the [Health Service Capacity Development Fund](#) is available at the department's website at <http://www.health.gov.au/internet/main/publishing.nsf/Content/budget2011-flexfund-capacity15.htm>.
- *Building an evidence base* where the aim of the activity is to build an understanding of the population that benefit from community care and evaluating the outcomes and effectiveness of service delivery models, for example, research and evaluation to inform what works to assist people to remain independent and in the community for longer
- *Service interventions* where the aim of the activity is to develop service delivery models to incorporate best practice and innovation, for example, initiatives targeting special needs groups and service delivery models that incorporate a wellness focus.

## 1.6.3 Service provider support and development activities

There are four broad categories of service provider support and development activities:

- *Establishment costs* are activities that support the establishment of a new service<sup>4</sup>
- *Systems and operational support* covers activities that support the applicant to address required and necessary systems and operational changes

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<sup>4</sup> For the purposes of the Commonwealth HACC Program '**new service**' is defined as:

- any proposal from an entity that is not a funding recipient (i.e., not already funded under the Commonwealth HACC Program)
- a proposal from an existing funding recipient (i.e., one that is already funded under the Commonwealth HACC Program) to deliver:
  - a new service group or a new service type (i.e., a basic maintenance, support and care service that the applicant is not funded to deliver)
  - basic maintenance, support and care services to a new HACC region (i.e., one in which the applicant does not yet deliver services).

- *Capacity building* includes activities that increase and extend the capacity of the applicant in its role as a funding recipient
- *Assets* which covers replaceable assets such as motor vehicles, and other equipment such as medical or specialised equipment.

## 1.6.4 Capital activities

In exceptional circumstances, the department will consider proposals for Commonwealth HACC funding to be used for capital infrastructure. Capital activities include the following:

- *New land and buildings* for delivery of Commonwealth HACC Program service types
- *Refurbishments* of land or building used for the delivery of Commonwealth HACC Program service types. Refurbishments may be major, that is, worth \$100,000 or more (GST inclusive) or minor, that is, worth less than \$100,000 (GST inclusive).

### 1.6.4.1 Capital activities that are not eligible for funding under the program

Funding through the Commonwealth HACC Program will not be available for capital works relating to:

- accommodation facilities such as independent living apartments, retirement villages or residential aged care facilities; or
- projects undertaken by or on behalf of state or territory governments.

## 1.7 Glossary

Term	Definition
Activity	An activity represents an element of the Commonwealth HACC Program and is an area under which funding may be sought. Each activity is defined in the relevant attachment for that activity.
Aged Care Funding Agreement	The funding agreement for the Commonwealth HACC Program, which consists of: <ul style="list-style-type: none"> <li>• the Terms and Conditions for aged care funding March 2012 (the Terms and Conditions)</li> <li>• the Program Schedule</li> <li>• the Commonwealth HACC Program Manual (the Program Manual)</li> <li>• other documents incorporated by reference (such as the Community Care Common Standards Guidelines, the Commonwealth HACC Complaints Guidelines for Service Providers and the Commonwealth HACC Program Police Certificate Guidelines).</li> </ul>

<b>Term</b>	<b>Definition</b>
Applicant	Any entity, for example a legal entity, an organisation or an existing funding recipient, that applies for funding under the Commonwealth HACC Program.
Application	An application is the submission of a completed application form and provision of any other requested information as stated in the application kit.
Application Form	The approved format for submission of an application.
Application Kit	Any invitation by the department to apply for funding under the Commonwealth HACC Program, this can refer to a funding (grant) or procurement process and to any of the processes outlined in section 2. The documentation that makes up the approach to market includes these Program Guidelines including the relevant attachment for the process, the application form, the contractual arrangement, and other supporting program documentation as required.
Asset	<ol style="list-style-type: none"> <li>a. a single item of tangible or intangible property which is identified in the Program Schedule as an asset</li> <li>b. a single item of tangible or intangible property which falls within a class of assets and the Program Schedule provides that any assets in that class of assets is an asset</li> <li>c. an asset which was acquired under a previous agreement</li> <li>d. a single item of tangible or intangible property purchased or leased, or which is intended to be purchased or leased, either wholly or in part with the use of the funding, with a value at the time of acquisition of \$10,000 or more, inclusive of GST.</li> </ol>
Attachment	Any attachment to these Program Guidelines.
Capital Infrastructure or Capital Works	<p>Funding for land and buildings that can either be:</p> <ul style="list-style-type: none"> <li>• <i>New land and buildings</i> for delivery of Commonwealth HACC Program service types</li> <li>• <i>Refurbishments</i> of land or building used for the delivery of Commonwealth HACC Program service types. Refurbishments may be major, that is, worth \$100,000 or more (GST inclusive) or minor, that is, worth less than \$100,000 (GST inclusive).</li> </ul>
Contractual Arrangement	A contractual arrangement in respect of funding provided under the Commonwealth HACC Program. A reference to a contractual arrangement includes the Aged Care Funding Agreement but may also refer to other contracts and funding agreements used by the department, including those contracts used for procurement processes.
Core funding for peak bodies	Core funding for peak bodies is funding that contributes to the aims and mission of the entity rather than for time limited or specific activities. This includes general administration, staffing, travel and reporting costs. The Commonwealth HACC Program does not provide core funding for peak bodies.
Department	The Commonwealth as represented by and acting through the Department of Health and Ageing.

<b>Term</b>	<b>Definition</b>
Funding Approver	<p>The officer or individual identified as the decision maker in the documentation for any funding process under the program. The term Delegate may also be used to refer to a funding approver.</p> <p>Under the <i>Financial Management and Accountability Regulations 1997</i>, Regulation 3 defines approver as a Minister, a Chief Executive or a person authorised to approve proposals to spend public money.</p>
Funding Agreement	A contractual arrangement in respect of funding provided under the Commonwealth HACC Program. A reference to a funding agreement includes the Aged Care Funding Agreement but may also refer to other standard funding agreements or contracts used by the department.
Funding Process	A process carried out by the department to grant funding to successful applicants for the purpose of the delivery of activities under the Commonwealth HACC Program. Includes all of the processes outlined in these Program Guidelines.
Funding Recipient	Any entity that has been successful in a grant process under the Commonwealth HACC Program. May also be referred to as a service provider.
Other Equipment	A single item of tangible or intangible property with a value at the time of acquisition of \$10,000 or more, inclusive of GST and is not a motor vehicle; office equipment; or kitchen equipment (for service groups four or six). Depreciation cannot be claimed. This could include medical or specialised equipment required to deliver the service type, for example a hoist for a service providing centre-based day care. Other equipment does not include equipment for the express use of individuals for example provision of motorised wheelchairs.
Program	The Commonwealth HACC Program, which has been in operation since 1 July 2012.
Program Guidelines	The Commonwealth HACC Program Guidelines, comprising all sections, attachments and annexures to this document. Also referred to as ‘these guidelines’.
Program Manual	The Commonwealth HACC Program Manual which forms part of the Aged Care Funding Agreement.
Program Schedule/s	The schedule to the Terms and Conditions. Forms part of the Aged Care Funding Agreement.
Proposal	The proposal for funding set out in the application.
Replaceable Asset	A single item of tangible or intangible property with a value at the time of acquisition of \$10,000 or more, inclusive of GST and is a motor vehicle; office equipment; or kitchen equipment (for service groups four and six), on which depreciation can be claimed.
Service	A funded proposal that is being delivered under an executed contractual arrangement for the Commonwealth HACC Program.

<b>Term</b>	<b>Definition</b>
Terms and Conditions	The standard terms and conditions for funding provided under the Commonwealth HACC Program. Forms part of the Aged Care Funding Agreement.

## **Section two: Making an application for funding under the program**



## 2.1 Types of selection process

The Commonwealth HACC Program funds a diverse range of service types and other activities. Due to the size and complexity of the program, access to funding from the Commonwealth HACC Program will be available through a variety of means and at various times throughout the year. The department proposes to undertake a mix of the following processes to achieve the objectives and priorities for the Commonwealth HACC Program.

### 2.1.1 Determining the appropriate selection process

The department may take the following into consideration when determining the appropriate selection process for Commonwealth HACC funding:

- Proportionality – where the process should be commensurate with the scale, nature, complexity and risks involved in the activity.
- Outcomes orientation – where the process will give maximum achievement of the intended outcomes from the available funding.
- Achieving value with public money – consideration of the costs, benefits, options and risks that each process will bring.
- Collaboration and partnership – where there is a shared set of understanding and expectations between the department and potential applicants so that the objectives of the Commonwealth HACC Program are met.

## 2.2 Funding processes

All funding (grant) processes will be undertaken in accordance with the requirements of the Commonwealth Grant Guidelines<sup>5</sup> and will be for purposes that are consistent with the objectives and priorities of the Commonwealth HACC Program.

Applicants wishing to seek Commonwealth HACC funding through a funding process may need to demonstrate the following:

- appropriateness of the proposal to the objectives of the activity
- potential for the proposal to meet the objectives of the activity
- the need for the proposal to be carried out
- the governance, expertise and capacity of the applicant, including the applicant's financial, risk and audit/fraud strategic plans, and evidence of sound governance
- the applicant's track record in delivering quality Commonwealth HACC services
- the applicant's viable and sustainable financial model
- value for money
- the broad assessment requirements outlined in the relevant attachment

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<sup>5</sup> The Commonwealth Grant Guidelines establish the grants policy and reporting framework for all departments and agencies subject to the *Financial Management and Accountability Act 1997* and are available from time to time from the [Department of Finance and Deregulation's website](http://www.finance.gov.au/) at <http://www.finance.gov.au/>

- other assessment criteria specifically relating to the activity being funded.

### 2.2.1 Open competitive grant rounds

Open competitive funding processes will be conducted to enable new entities to access Commonwealth HACC Program funding. The open competitive rounds will open and close to applications on nominated dates, with eligible applications being assessed against the assessment criteria set down for the activity in the application kit and then prioritised against competing, eligible applications for the available funding.

### 2.2.2 Targeted grant rounds

Funding will also be made available through targeted or restricted funding processes. The department may approach a particular, potential applicant or applicants and invite them to submit a proposal for funding. Targeted grant rounds may be open to existing funding recipients as well as other entities. The targeted entities will be selected based on the specialised requirements of the activity under consideration. Targeted funding may include support for those services providing community aged care to people in the special needs groups.

### 2.2.3 Direct grant allocation processes

A direct allocation process is a non-competitive process. The department may directly approach an existing funding recipient to expand their current service delivery activities or deliver a new activity. In these cases, the department may assess the funding recipient's current performance and capacity to deliver an expanded service, or capability to deliver a new service.

### 2.2.4 Expressions of Interest (EOI) processes

The department may call for EOIs to test the market to ascertain the extent of potential applicants. An EOI will be advertised as the first in a two stage process. The second stage involves applicants selected through the EOI process applying in either a targeted or direct process.

## 2.3 Procurements

Funds appropriated for the purpose of the Commonwealth HACC Program may also be used for the procurement of work directly related to the purpose of the program, for example some service system development activities such as some research projects. Such procurements will be undertaken in accordance with the requirements of the Commonwealth Procurement Rules<sup>6</sup> and will be for purposes that are consistent with the objectives and priorities of the

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<sup>6</sup> The Commonwealth Procurement Rules took effect from 1 July 2012 and are available from time to time from the [Department of Finance and Deregulation's website](http://www.finance.gov.au/procurement/) at <http://www.finance.gov.au/procurement/>

Commonwealth HACC Program. Procurement processes will be conducted independently of any funding process.

## 2.4 How to apply

### 2.4.1 Advertisement of a funding process

The department may advertise any funding process:

- in major national newspapers and other selected newspapers
- on the [department's website](http://www.health.gov.au) at [www.health.gov.au](http://www.health.gov.au).
- on the [Aged Care Provider Portal](http://www.ebiz.agedcare.gov.au) at [www.ebiz.agedcare.gov.au](http://www.ebiz.agedcare.gov.au).
- on the [Government grants website](http://www.grantslink.gov.au) at [www.grantslink.gov.au](http://www.grantslink.gov.au).

Any advertisement will inform potential applicants of where to obtain the application kit for the relevant process.

Potential applicants will be provided with reasonable prior notice of any open funding process. Where possible a minimum of one month's notice will be given prior to the start of an open, competitive process.

### 2.4.2 Application kit

The application kit for any funding process may include:

- these Program Guidelines
- the relevant Attachment for the process
- the approved application form
- the Aged Care Funding Agreement or other required contractual arrangement
- other supporting program documentation as required, including the Commonwealth HACC Complaints Guidelines for Service Providers.

A full application kit will be provided with each open and targeted funding process.

### 2.4.3 Application form

The approved application form for the relevant funding process will detail, at a minimum, the following:

- how the initiative meets the Commonwealth HACC Program objectives and priorities
- priorities
- eligibility criteria (e.g., who can access the funding process, what activities are eligible for funding)
- whether there are any threshold criteria
- assessment criteria as applicable to the selection process
- funding available
- timeline for the funding process
- closing date and time

- application requirements, including required attachments and supporting documentation, word counts
- how multiple applications will be handled
- procedures for submitting an application, including the number of copies required
- contact officer/s for applicants
- membership of any assessment panel/s
- other information relevant to the funding process

Unless the department agrees otherwise, any application must be made on the approved application form, which may include an online-based form. Useful information on completing an application is provided in section 3.

#### 2.4.4 Contact officer/s

Contact officer/s will be specified in the relevant application kit for that funding process.

All enquiries relating to a funding process should be directed in writing to the contact officer/s addressed to the relevant postal and/or email address specified in the application kit.

General enquiries relating to the Commonwealth HACC Program should be directed to:

The HACC Service Provider Helpdesk on 1800 057 616 between 8am and 6pm AEDT, Monday to Friday

or email the [HACC Reform mailbox](mailto:HACC.Reform@health.gov.au) at HACC.Reform@health.gov.au,

or to the following address:

HACC Branch  
Ageing and Aged Care Division  
Department of Health and Ageing  
MDP 507, GPO Box 9848  
CANBERRA ACT 2601

## 2.5 Unsolicited applications

In exceptional circumstances, provision will be made under the Commonwealth HACC Program for one-off, unsolicited proposals, and emergency payments, provided that they meet the aims, objectives and priorities of the program.

Refer to the relevant attachment on unsolicited applications for further information.

## 2.6 Relinquishment or cessation of a service

If a funding recipient chooses to relinquish a service or a service is ceased for any reason, the department may undertake any of the processes set out in sections 2.2 and 2.3 to ensure the service is continued.

The department will select the most appropriate process based on the size and magnitude of the service and the urgency of need for the service to be continued. The department may commence such a process before the service is fully relinquished or fully ceased in order to ensure continuity of care to clients, carers and other stakeholders.

## **Section three: General information for applicants**

## 3.1 Responsibilities of applicants

It is the responsibility of the applicant to ensure that their application is complete and accurate. Giving false or misleading information to the department is a serious offence, applicants or their partners who do so may be prosecuted under section 137.1 of the *Criminal Code Act 1995*.

### 3.1.1 What needs to be included?

You must submit your application in accordance with the submission details and methods set out in these Program Guidelines and in the application kit, including that the application form is complete and is submitted correctly with all relevant attachments and supporting documentation.

The application kit will advise on which criteria are compulsory and how many copies of the form and any attachments will be required to be provided to the department.

Where an application form is provided for completion by applicants, the department may not assess applications that are not in the required format or do not address all of the relevant criteria and contain all required attachments and supporting documentation outlined in the application kit.

### 3.1.2 What should not be included?

Any attachments or supporting documentation included with the application form which are not specifically requested in the application kit may not be considered as part of the assessment of that application.

If you do provide attachments or supporting documentation which were not specifically requested in the application kit you must provide reasons for the inclusion of those documents in your application, in particular addressing why the documents are essential to the proposal.

### 3.1.3 What happens if you provide more than the specified number of words?

The application form may specify a word limit for each question. Text beyond the word limits may not be considered as a part of the assessment of that application. Applicants should endeavor to stay within the specified word limits (if any are specified).

### 3.1.4 What happens if you notice an error or if something changes?

Applicants are responsible for ensuring their applications are accurate.



You may not alter the substance of your applications following submission, except if an error is discovered in the application. If an error is discovered, you should contact the contact officer/s immediately in writing.

In addition, you should notify the department of any change that will significantly affect your capacity to implement your proposal, for example financial capacity or costs of the proposal. Notification should be made as soon as any change in your capacity to implement your proposal becomes evident. This must be made in writing to the contact officer/s.

The department may seek information from you to clarify any aspect of your application, but it is not required to do so.

### 3.1.5 What happens if you submit multiple applications?

Restrictions on multiple applications will be set out in the application kit.

### 3.1.6 How should the application be submitted?

Applications must be submitted in accordance with the process specified in the application kit for that funding process. This may include submission by hand delivery or courier to a specified tender box and/or online submission.

Applications must be submitted by the closing date and time. Further information on late applications is provided in section 3.1.8.

The department reserves the right to reject incomplete or faxed applications.

### 3.1.7 What is the closing date and time?

The application kit will advise the closing date and time.

The application must be received by the department by the closing date and time to be considered.

### 3.1.8 What happens to late applications?

It is the responsibility of the applicant to ensure that a submission is dispatched in sufficient time for it to be received by the department by the closing date and time.

The department has no obligation to accept a late application, that is, an application received by the department after the closing date and time.

If the department considers that it would be fair to accept a late application, the department will take into account the degree of lateness, whether the cause of the lateness was beyond the applicant's control and such other facts as it considers relevant. The department may also

ask the applicant to provide evidence to support its claims regarding the reasons for late submittal.

If the applicant anticipates that their application will be late they should attempt to notify the department's contact officer prior to the closing date and time and advise of the circumstances for the lateness.

Any decision by the department to accept or not accept a late application will be final.

### 3.1.9 Retain a copy of your application

Make sure you keep a copy of your application and any attachments and supporting documentation, either electronically or in hard copy, for your own records.

## 3.2 Conflicts of interest

### 3.2.1 The applicant and conflicts of interest

A conflict of interest can arise when an applicant's integrity, objectivity or fairness in performing the proposal is at risk due to a pecuniary interest of a person or organisation associated with the applicant or a conflicting business arrangement.

A conflict of interest may exist, for example, if the applicant or any of its personnel:

- has a relationship (whether professional, commercial or personal) with a party who is able to influence the application funding process, such as a department staff member
- has a relationship with, or interest in, an organisation from which they will receive personal gain as a result of the granting of funding under the Commonwealth HACC Program.

Each applicant will be required to declare as part of any funding process, existing conflicts of interest or that to the best of their knowledge there is no conflict of interest, including in relation to the examples above, that would impact on or prevent the applicant from proceeding with the proposal or any contractual arrangement it may enter into with the department.

Applicants must detail any actual, apparent, or potential conflict of interest in their application and specify how any actual or perceived conflict of interest will be addressed and monitored to ensure it does not compromise the outcomes desired for the relevant funding process.

The department reserves the right to assess the potential impact of the conflict or potential conflict and what plans, if any, are proposed to address the conflict of interest in relation to the application for funding.

The department may reject an application if the department is not satisfied that there are arrangements in place to appropriately address/manage an actual, apparent, or potential conflict of interest.

At any time, where an applicant identifies that an actual, apparent, or potential conflict of interest exists or might arise in relation to an application for funding under the Commonwealth HACC Program, the applicant must inform the department in writing immediately.

### 3.2.2 The department and conflicts of interest

The department also has mechanisms in place for identifying and managing potential or actual conflicts of interest such as requiring members of the assessment panel/s to declare any conflicts of interest prior to undertaking the assessment of applications.

## 3.3 Checks of applicants

In assessing an application, the department:

- will consider the information provided in the application
- will consider the application in light of the requirements of:
  - these Program Guidelines
  - the Aged Care Funding Agreement or other relevant contractual arrangement
  - any other relevant guidelines
- may request that financial information be independently analysed
- reserves the right to use relevant information available to the department, including, but not limited to:
  - the department's databases
  - other Australian Government agencies, such as the Australian Taxation Office and Australian Securities and Investments Commission
  - state or territory agencies
  - law enforcement agencies
  - credit reference agencies
  - courts or tribunals
  - organisations able to undertake independent financial analysis and credit/debt investigations
  - any other appropriate organisation or person reasonably required as part of these checks.

Information obtained from checks on applicants described in this section may be taken into account during the assessment of applications or in making the final decision to offer funding.

As a part of the funding process the department may undertake further checks of applicants. The department may also conduct checks for non-disclosure of any relevant information.

In addition, any debts that the applicant has accrued to the department or other Australian Government agencies may be taken into account when making a decision to offer funding.

### 3.3.1 Financial viability assessments

Applications may be subject to independent financial viability assessments.

The department may not fund applicants that are assessed as high-risk in terms of financial viability.

Information required from applicants for any financial viability assessment may be gathered via the information requested in the application form or if the applicant has already been funded by the department, may be gathered from information the department already holds.

The department will notify applicants if additional information is required to perform a financial viability assessment and will provide the applicant with a reasonable time in which to provide the required information.

## 3.4 Terms and conditions applying to applications

### 3.4.1 Liability issues

The department is not liable to the applicant in relation to the funding process, including without limitation, when the department:

- varies or terminates all or any part of the funding process or any negotiations with the applicant
- decides not to acquire any or all of the services sought through the funding process
- varies the funding process
- exercises or fails to exercise any of its other rights under, or in relation to these Program Guidelines.

### 3.4.2 The department's rights

The department reserves the right to amend these Program Guidelines by whatever means it may determine in its absolute discretion and will provide reasonable notice of these amendments on either

- the [department's website](http://www.health.gov.au) at [www.health.gov.au](http://www.health.gov.au)
- the [Aged Care Provider Portal](http://www.ebiz.agedcare.gov.au) at [www.ebiz.agedcare.gov.au](http://www.ebiz.agedcare.gov.au)

depending on the nature of the funding process.

The department may accept any or none of the applications under any funding process.

### 3.4.3 Disclaimer

The department and its officers, employees, agents and advisors:

- are not, and will not be, responsible or liable for the accuracy or completeness of any information in or provided in connection with these Program Guidelines
- make no express or implied representation or warranty that any statement as to future matters will prove correct
- disclaim any and all liability arising from any information provided to the applicant, including, without limitation, errors in, or omissions contained in, that information
- except so far as liability under any statute cannot be excluded, accept no responsibility arising in any way from errors or omissions contained in any information in this document and the application forms and application kits
- accept no liability for any loss or damage suffered by any person as a result of that person, or any other person, placing reliance on the contents of these documents, or any other information provided by the department.

### 3.4.4 Fraud

The department is committed to the Commonwealth Fraud Control Policy and Guidelines. Applicants and departmental staff should report all suspected fraud to the department's [Audit and Fraud Control Branch](#) at [fraud@health.gov.au](mailto:fraud@health.gov.au).

### 3.4.5 Personal information and disclosure of information in application

Any personal information an applicant provides is protected under the *Privacy Act 1988*. It can only be disclosed to someone else if the applicant has been given reasonable notice of the disclosure; where disclosure is authorised or required by law or is reasonably necessary for the enforcement of the criminal law; if it will prevent or lessen a serious and imminent threat to a person's life or health; or if the applicant has consented to the disclosure.

In addition, applicants should note that, if they are successful, some details of their proposal (including an outline of the proposal, their name and the amount of funding awarded) will be posted on the department's website as part of the department's legislated reporting obligations and may be provided to Senators and Members of the Parliament of Australia.

### 3.4.6 Freedom of information

All documents in the possession of the department including those in relation to the Commonwealth HACC Program are subject to the *Freedom of Information Act 1982* (FOI Act).

The FOI Act creates a general right of access to documents in the possession of the department and this right of access is limited only by the exceptions and exemptions

necessary for the protection of essential public interests and private and business affairs of persons in respect of whom the information relates.

Decisions regarding requests for access under the FOI Act will be made by an authorised decision-maker in accordance with the requirements of the FOI Act.

If you would like further information about making an FOI request, you can contact the [FOI Unit](#) on (02) 6289 1666 during normal working hours (AEST). Alternatively, you can send an email to [foi@health.gov.au](mailto:foi@health.gov.au).

For more information on making a request for access to documents in the possession of the department under the FOI Act, go to the [‘Freedom of Information’](#) page on the department's website at [www.health.gov.au](http://www.health.gov.au).

## 3.5 Contractual, financial and other arrangements

### 3.5.1 Contractual arrangements

The contractual arrangement will contain the entire agreement between the parties. There is no binding agreement on any parties until the contractual arrangement is agreed to and signed by the relevant departmental delegate and the applicant's authorised representative. Funding will only be provided in accordance with an executed contractual arrangement.

The contractual arrangement will form the legal agreement between the department and the funding recipient over the funding period. In managing funding provided, the funding recipient must comply with all the requirements of the contractual arrangement.

The department uses standard contractual arrangements. The terms and conditions of the contractual arrangements cannot be changed.

Copies of the Aged Care Funding Agreement or other relevant contractual arrangement may be included with these Program Guidelines in the application kit.

#### *3.5.1.1 Funding recipients' obligations under contractual arrangements*

Funding recipients are responsible for ensuring that:

- the terms and conditions of the contractual arrangement are met
- funding is used and managed in accordance with the contractual arrangement
- the delivery of the proposal is effective, efficient, and appropriately targeted
- highest standards of duty of care are applied
- the proposal is delivered in line with, and complies with the requirements as set out within all state and territory and Commonwealth legislation and regulations.

Funding recipients should also be aware of any case based law that may apply or affect the delivery of their proposal.

Where the contractual arrangements are not met by the funding recipient, the department may at its discretion take action, including under the contractual arrangements, in regards to the non-compliance.

### 3.5.2 Insurance

All applicants should ensure that they have in place, or if successful are able to obtain, sufficient insurance to cover their obligations in relation to the proposal to be delivered. This requirement is set out in the standard contractual arrangements.

### 3.5.3 Privacy and confidentiality

Each applicant will be required to declare as part of their application, their ability to comply with the proposed contractual arrangement to be entered into with the department.

The specific clauses governing the privacy and confidentiality provisions of any funding process under the Commonwealth HACC Program will be contained in the contractual arrangement that may form part of any application kit available to potential applicants.

### 3.5.4 Goods and services tax (GST)

Unless specified otherwise in the application form, all proposals should be submitted exclusive of GST.

GST and invoicing arrangements for payment of funding will be dealt with in the contractual arrangement between the department and the funding recipient.

## 3.6 Probity

The Australian Government is committed to ensuring that the process for providing funding under the Commonwealth HACC Program is transparent and in accordance with these Program Guidelines. Each application kit will contain detailed guidance on the specific requirements for that funding process and will be consistent with these Program Guidelines.

The department reserves the right to amend this document and the Commonwealth HACC Program Manual from time to time by whatever means it may determine in its absolute discretion and will provide reasonable notice of these amendments.

## 3.7 Complaints

### 3.7.1 Applicant

#### *3.7.1.1 Departmental processes available*

The department's Procurement and Funding Complaints Handling Policy applies to complaints that arise in relation to a procurement or funding process. It covers events that occur between the time the request documentation is released publicly and the date of formal execution of the contractual arrangement, regardless of when the actual complaint is made. The department requires that all complaints relating to a grant or procurement process must be lodged in writing. Further details of the policy are available on the ['About Us'](#) page on the department's internet site [www.health.gov.au](http://www.health.gov.au).

Should an applicant wish to make a complaint about a procurement or funding process, it should be made in writing to the department to the [HACC Reform Mailbox](#) at [HACC.Reform@health.gov.au](mailto:HACC.Reform@health.gov.au) or to the following address:

HACC Branch  
Ageing and Aged Care Division  
Department of Health and Ageing  
MDP 507, GPO Box 9848  
CANBERRA ACT 2601

#### *3.7.1.2 Other processes available*

Any applicant may complain to the Commonwealth Ombudsman about any administrative action taken by the department in relation to the Commonwealth HACC Program. Contact details are as follows:

Commonwealth Ombudsman  
GPO Box 442  
CANBERRA ACT 2601

or at the website for the [Commonwealth Ombudsman](#) at [www.ombudsman.gov.au](http://www.ombudsman.gov.au).

or by telephone on 1300 362 072.

The Ombudsman is an independent statutory officer who has extensive powers to investigate and report on official actions. No charge is made for the Ombudsman's investigations. The Ombudsman will generally not investigate a matter that is being dealt with by a court or tribunal and may decline to investigate if he/she considers that a matter should be taken up with a court or tribunal, or for a variety of other reasons.



### 3.7.2 Funding recipients and clients

It is a requirement of the contractual arrangement to have a transparent and accessible complaints handling policy. This policy should acknowledge the complainant's right to complain directly to you, as the funding recipient, outline the process for both dealing with the complaint and provide options for escalation both by you and to the department if necessary. Ensure that you provide information about your complaints handling policy and processes in all correspondence to guarantee it is readily available to the public.

In addition, funding recipients may be required to comply with the Commonwealth HACC Complaints Guidelines for Service Providers. Applicants should review the requirements of these guidelines, which may form part of the application kit.

## **Section four: Selection criteria**

## 4.1 Introduction to the selection criteria

The selection criteria for the Commonwealth HACC Program are composed of:

- eligibility criteria; and
- assessment criteria.

All applications will be assessed against the eligibility criteria, however only compliant applications will be assessed against the assessment criteria.

A compliant application is one that:

- has been submitted correctly and is not late
- complies with the Program Guidelines and the application kit
- includes a complete application form, and information and supporting documentation with the application form, to enable a fully informed assessment to be made.

A late application will not be considered as compliant unless the late application has been accepted by the department. Further information on late applications is provided in section 3.1.8.

### 4.1.1 Threshold criteria

Applicants must satisfy any identified threshold criteria before their application will be considered against the assessment criteria.

Assessment criteria or sub-criteria may be used as threshold criteria for any funding process. If any of the assessment criteria or sub-criteria are to be used as threshold criteria this will be clearly set out in the application kit.

## 4.2 Eligibility criteria

### 4.2.1 Eligible applicants

Eligibility of applicants will depend on the type of funding process and this will be identified in the application kit. The department may specify, for example, that only existing service providers (i.e., funding recipients - entities that are currently funded under the Commonwealth HACC Program) are eligible to apply for certain activities or funding processes.

In all processes, for legal and accountability reasons, all applicants must be an incorporated entity to be eligible for funding. Incorporated entities include:

- incorporated associations (incorporated under state or territory legislation, commonly have 'Association' or 'Incorporated' or 'Inc' in their legal name)
- incorporated cooperatives (also incorporated under state or territory legislation, commonly have 'Cooperative' in their legal name)

- companies (incorporated under the *Corporations Act 2001* – may be not-for-profit or for-profit proprietary company (limited by shares or by guarantee) or public companies)
- aboriginal corporations (incorporated under the *Aboriginal and Torres Strait Islander Act 2006* and administered by the Office of the Registrar of Aboriginal and Torres Strait Islander Corporations; *Aboriginal Councils and Associations Act 1976*)
- organisations established through a specific piece of Commonwealth or state or territory legislation (many public benevolent institutions, churches, universities, unions etc)
- trustees on behalf of a trust
- Australian local governments
- Australian state or territory governments.

However, where there is no suitable alternative, the department may also consider:

- an individual or - jointly and separately – individuals
- partnerships
- unincorporated entities,

and the department will specify whether these entities will be eligible for funding in the relevant application kit.

The department will not enter into contractual arrangements under the Commonwealth HACC Program with a consortium. Refer to section 1.3.3 for further information.

Australian state or territory governments are not eligible for funding for capital activities under the Commonwealth HACC Program.

#### 4.2.2. Other relevant eligibility considerations

Applications may be considered ineligible if:

- the proposal does not fit within the description of the activity set out in the relevant attachment or the priorities for the activity or the objectives of the Commonwealth HACC Program
- the proposal has already commenced
- the proposal has been or could be funded through another program or one of the department's flexible funds
- the application does not meet the requirements set out in these guidelines.

Other relevant eligibility criteria may depend on the type of funding process and will be identified in the application kit. Examples of these criteria are set out in the attachments.

### 4.3 Assessment criteria

This section details the full set of assessment criteria that may be used for funding processes under the Commonwealth HACC Program. Each assessment criterion is broken down into sub-criteria, as set out in Table 1 below.

Unless specified otherwise in the application kit, applicants will be assessed against every sub-criterion. Applicants that address every point listed under the sub-criterion will score more highly than applicants that miss one point.

**Table 1. Summary list of all assessment criteria and sub-criteria**

<b>Summary of criteria</b>
<b>Criterion 1. Appropriateness of the proposal to the objectives of the activity under the Commonwealth HACC Program</b>
1.1 Proposal is clearly defined and described, and is evidence-informed
1.2 Community affected by the proposal is addressed
1.3 Outcomes for proposal are clearly described and the proposal includes ongoing assessment of those outcomes
<b>Criterion 2. Potential for the proposal to meet the objectives of the activity under the Commonwealth HACC Program</b>
2.1 Proposal is suitably planned and scoped
2.2 If new service, implementation is addressed
2.3 Links with community addressed
<b>Criterion 3. The need for the proposal to be carried out</b>
3.1 Demonstrates and provides evidence of need
3.2 Demonstrates how proposal will address the need
<b>Criterion 4. Governance, expertise and capacity of the applicant to meet the objectives of the activity under the Commonwealth HACC Program</b>
4.1 Demonstrates management expertise, skill, qualifications and experience
4.2 Demonstrates staff skill levels, qualifications and experience
4.3 Demonstrates capability to meet specific program requirements (e.g., complaints and quality)
4.4 Demonstrates capability to meet general obligations under the contractual arrangement (e.g., reporting and financial management)
<b>Criterion 5. The applicant's proven track record in meeting the objectives of the activity under the Commonwealth HACC Program and/or other relevant programs</b>
5.1 Department assessed and rated
<b>Criterion 6. A viable and sustainable financial model for the delivery of the activity that meets the objectives of the activity under the Commonwealth HACC Program</b>
6.1 How the applicant will ensure its long-term financial and organisational viability
6.2 Independent financial viability assessment

#### 4.3.1 In specified circumstances, assessment criteria may be waived

Depending on the activity and type of funding process, a reduced set of assessment criteria may be set by the appropriate departmental delegate exercising their ability to waive certain criteria.

The waivers that can be made in respect of each activity are limited and are set out in detail in the attachments. The final set of assessment criteria will be identified in the application kit.

## CRITERION ONE

### Appropriateness of the proposal to the objectives of the activity under the Commonwealth HACC Program

#### *Sub-criterion 1.1 – Proposal is clearly defined and described, and is evidence-informed*

The applicant's proposal is clearly defined and described, and is evidence-informed and outcomes focused, setting out:

- a clear and adequate description of the proposal
- a clear and adequate description of the purpose of the proposal
- evidence for the proposal
- if the proposal is an extension of an existing contractual arrangement, how the extension will extend or add to the existing contractual arrangement.

#### *Sub-criterion 1.2 – Community affected by the proposal is addressed*

The applicant's proposal clearly identifies the community that the proposal will affect (e.g., a Commonwealth HACC region, target group, special needs group<sup>7</sup> or a particular geographic location), addressing:

- a description of the community that is the focus of the proposal
- how the proposal will affect that community
- the estimated number of clients (e.g., older people and their carers, other service providers) that the proposal will affect in that community.

#### *Sub-criterion 1.3 – The proposal is outcomes-focused, outcomes for the proposal are clearly described and the proposal includes ongoing assessment of those outcomes*

The applicant's proposal clearly defines the outcomes that the applicant is seeking to achieve with the proposal, addressing:

- a description of the proposed outcomes
  - how the proposal will establish, maintain or extend the range of similar services available in the identified community
  - the consequent diversity of choice for current and future clients and carers
- how the outcomes are linked to the achievement of the objectives of the Commonwealth HACC Program
- how the applicant will provide ongoing assessment to ensure it meets the outcomes (e.g., through key performance indicators and reporting).

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<sup>7</sup> The special needs groups are listed in section 1 of these Program Guidelines.

## CRITERION TWO

### Potential for the proposal to meet the objectives of the activity under the Commonwealth HACC Program

*If required, the applicant provides an activity work plan for the proposal, in the format specified.*

This activity work plan may be used to assess the following sub-criteria.

#### *Sub-criterion 2.1 – Proposal is suitably planned and scoped, and is supported by relevant infrastructure*

The applicant demonstrates that the proposal has been suitably planned and scoped to achieve the objectives of the activity under the Commonwealth HACC Program, addressing:

- how the proposal will be undertaken
- how key resources, including infrastructure and other resources in the location, will support the delivery of the proposal to the identified community
- key milestones and likely timeframes for the outcomes identified under sub-criterion 1.3.

#### *Sub-criterion 2.2 – If a new service, implementation is addressed*

If the applicant is seeking funding to establish a new service<sup>8</sup>, the applicant provides specific detail in the proposal on how the new service will be established in the identified community, including:

- details of the plan for implementation of the proposal; and
- details of any establishment costs<sup>9</sup> for the proposal.

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<sup>8</sup> For the purposes of the Commonwealth HACC Program ‘**new service**’ is defined as:

- any proposal from an entity that is not a funding recipient (i.e., not already funded under the Commonwealth HACC Program)
- a proposal from an existing funding recipient (i.e., one that is already funded under the Commonwealth HACC Program) to deliver:
  - a new service group or a new service type (i.e., a basic maintenance, support and care service that the applicant is not funded to deliver)
  - basic maintenance, support and care services to a new HACC region (i.e., one in which the applicant does not yet deliver services).

<sup>9</sup> Establishment costs must be addressed separately in the application form. The application kit will provide further guidance on this matter.



### *Sub-criterion 2.3 – Links with community addressed*

The applicant's proposal demonstrates its links with the identified community, including:

- describing the applicant's links with the community (e.g., established relationships with stakeholders, such as other HACC service providers, relevant organisations, clients and carers)
- providing an assessment of existing services and resources within the community (e.g., details of any existing Commonwealth HACC services, and other health and aged care services, including those provided by the applicant)
- setting out how the proposal will complement, add to and work with existing services and resources within that community
- providing evidence of the applicant's ability to engage and form relationships with stakeholders
- setting out how the applicant will collaborate with the community.

## CRITERION THREE

The need for the proposal to be carried out

### *Sub-criterion 3.1 – Demonstrates and provides evidence of need*

The applicant's proposal:

- describes the need for the proposal, including the urgency for the need, the magnitude of the need and the basis for the need
- demonstrates the need for the proposal to be carried out
- provides evidence for the need.

### *Sub-criterion 3.2 – Demonstrates how proposal will address the need*

The applicant's proposal demonstrates how the proposal will address that need in the identified community, addressing:

- the applicant's awareness of the specific needs of that community
- strategies the applicant has to respond to the emerging needs in the identified community (e.g., flexible service provision).

## CRITERION FOUR

Governance, expertise and capacity of the applicant to meet the objectives of the activity under the Commonwealth HACC Program

### *Sub-criterion 4.1 – Demonstrates management expertise, skill, qualifications and experience of the entity*

The applicant demonstrates the relevant expertise, skill, qualifications and experience of its executive, directors and those that are or will be involved in the management of Commonwealth HACC funded activities, including:

- describing the relevant expertise, skill, qualifications and experience, including broad community, aged care and health professional representation, as well as business management, aged care and other relevant expertise; and strong, experienced leadership
- demonstrating how the relevant expertise, skill, qualifications and experience contributes to:
  - the effective and efficient delivery of the proposal
  - continuous improvement and evaluation of the day-to-day management and quality of the entity
- demonstrating that there are education and staff development programs in place to ensure management and staff have appropriate and current knowledge and skills to perform their roles effectively.

### *Sub-criterion 4.2 – Demonstrates staff skill levels, qualifications and experience in the entity*

The applicant demonstrates the minimum skill levels, qualifications and experience of all staff that would deliver and co-ordinate the proposal (e.g., as relevant, service manager/s, care coordinator/s and care workers—currently involved or expected to be involved in the day to day operations), including:

- describing the identified skills, qualifications and experience
- demonstrating how the identified skills, qualifications and experience will contribute to the effective and efficient delivery of the proposal.

#### *Sub-criterion 4.3 – Demonstrates capability to meet specific Commonwealth HACC Program requirements (e.g., complaints and quality)*

The applicant demonstrates how it will deliver the proposal in accordance with the requirements of the program, including:

- describing the practical steps it has, or will put in place to ensure that the entity meets the requirements of the:
  - Community Care Common Standards and the Community Care Common Standards Guidelines
  - Commonwealth HACC Program Police Certificate Guidelines
  - Commonwealth HACC Complaints Guidelines for Service Providers
- describing the mechanisms it has, or will put in place to ensure continuous improvement in relation to the Community Care Common Standards and in regards to responding to matters raised in relation to the Aged Care Complaints Scheme.

#### *Sub-criterion 4.4 – Demonstrates capability to meet general obligations under the contractual arrangements (e.g., reporting and financial management)*

The applicant demonstrates how it will meet its general obligations under the contractual arrangements for the Commonwealth HACC Program (e.g., in relation to the management of funding and records and the provision of reports), including:

- describing the practical steps it has, or will put in place to ensure that the entity meets its obligations
- describing the mechanisms it has, or will put in place to ensure it continues to meet the obligations
- demonstrating that there are governance arrangements in place that will support the successful delivery of the proposal
- describing its strategy, skill and experience in managing Commonwealth funding or other grants provided under relevant and similar programs to the Commonwealth HACC Program
- describing its credible record of governance in the effective delivery of similar or other Commonwealth funded activities or in respect of other grants provided under relevant and similar programs to the Commonwealth HACC Program
- setting out details of any issues experienced that impacted on its capacity to undertake a previous proposal and what strategies were used to address them.

## CRITERION FIVE

The applicant's proven track record in meeting the objectives of the activity under the Commonwealth HACC Program and/or other relevant programs

*Sub-criterion 5.1 – Departmental assessment of the applicant's proven track record in meeting the objectives of the activity under the Commonwealth HACC Program and/or other relevant programs.*

The department will use available information to rate the applicant's past conduct in the delivery of a proposal under the program or, where relevant, under other community care or aged care programs. The rating will take into account available information on compliance with responsibilities under existing contractual arrangements or other responsibilities, including compliance in relation to the following:

- reporting (e.g., financial accountability reporting, minimum data set reporting, output variation reporting, and other reports and plans)
- quality review processes
- complaints records
- police checks
- notification of incidents
- appropriate use of funding
- under-performance and other performance or other relevant information.

**Table 2. Rating scale for Criterion 5**

Rating	Definition
H(5)	No compliance action for the last three years, with consideration to the factors set out below.
MH (4)	Current or history of minimal non-compliance with responsibilities in the last three years, with consideration to the factors set out below.
M (3)	Current or history of major non-compliance with responsibilities in the last three years, with consideration to the factors set out below.
ML (2)	Current or history of significant and substantial non-compliance with responsibilities in the last three years, with consideration to the factors set out below.
L (1)	Current or history of significant and substantial non-compliance with responsibilities where a notice or notices relating to non-compliance, default/breach, variation, suspension or termination have been issued within the last three years, with consideration to the factors set out below.
Not assessable	Unable to assess new applicants that have not been funded under the Commonwealth HACC Program or other community care or aged care program. Weightings will be

<b>Rating</b>	<b>Definition</b>
(0)	adjusted so as not to disadvantage new applicants, see section 5.5.2.2.

Factors that may affect the rating:

- nature of the non-compliance
- timing/recency of non-compliance
- frequency of non-compliance
- response to non-compliance
- ongoing compliance since resolution of non-compliance (no further non-compliance – may warrant a higher rating or ongoing non-compliance, even if minor, may warrant a lesser rating)
- percentage or number of the applicant’s funded activities that are affected by compliance issues
- positive contribution to industry
- commendation or merit award
- a combination of any of the above issues.

## CRITERION SIX

A viable and sustainable financial model for the delivery of the activity that meets the objectives of the activity under the Commonwealth HACC Program

### *Sub-criterion 6.1 – How the applicant will ensure its long-term financial and organisational viability*

The applicant provides the following:

- an income and expense budget for the proposal, for the financial year/s for which funding is sought and including the funding sought in the application (and, if relevant, other contributions and fees)
- an income and expense budget for the whole entity, for the financial year/s for which funding is sought and including the funding sought in the application (and, if relevant, other contributions and fees)
- the entity's most recent audited financial statements (with previous year for comparison)
- a current financial statement (income and expenditure, balance sheet, and statement of equity - this statement does not need to be audited).

The applicant demonstrates the on-going viability of the entity, including:

- describing how the entity will ensure its long-term financial and organisational viability, by outlining:
  - any strategic/organisational plans in place to ensure viability, including financial, risk and audit/fraud strategic plans
  - policy on fees
  - financial capacity
  - financial performance
  - financial governance arrangements and how these will contribute to:
    - long-term financial and organisational viability
    - the success of the proposal.

### *Sub-criterion 6.2 – Independent financial viability assessment*

An independent financial assessor may assess the information provided in and with the application and provide the department with advice in assessing the proposal against this criterion, which would be focused on determining whether the entity is generally fit to do business with the department.



## OVERARCHING CRITERION - VALUE FOR MONEY

Value for money - efficient and effective use of the funding that is consistent with the objectives of the Commonwealth HACC Program

Value for money is not a consideration regarding money alone. In considering the extent to which the application represents value for money, the department will have regard to the following:

- the relative merit of each application
- the overall objective/s to be achieved in providing the funding;
- the relative cost of the proposal, or of elements of the proposal
- the extent to which the applicant has demonstrated a lack of capacity to fund the proposal taking into consideration all possible sources of finance, including debt finance
- the geographic location of the proposal
- the extent to which the evidence in the application demonstrates that the proposal will be located in a community with one or more of the following features:
  - the community is identified as a priority community by the department
  - the community has poor access to Commonwealth HACC and other aged care services
  - the community has poor health infrastructure and/or coordination
  - the community has high levels of the target population or of a special needs group
  - the community has high population growth in the target population or has anticipated high population growth in the target population.

Proposals which demonstrate two or more of these features will score more highly than proposals which demonstrate one of these features.

## **Section five: Selection procedures**

## 5.1 The application process

This section explains how applications are managed for any funding processes for the Commonwealth HACC Program.

You must prepare your applications in accordance with this document (including the relevant attachments) and the application kit. All information requested in these Program Guidelines and in the application kit must be provided to enable your application to be fully considered.

Your application is not an agreement or contract. Meeting the selection criteria does not guarantee funding. Funding is limited and applications will be assessed and prioritised according to the extent to which they meet the selection criteria, including value for money. Only applications meeting the selection criteria to a high degree are likely to be considered for funding.

## 5.2 The assessment process

Following the closing date and time for a funding process, the department will conduct an initial screening of all applications received.

To enable a comprehensive and accurate assessment of applications against the selection criteria, applicants must provide the requested information in the required format as stated in these Program Guidelines and the application kit.

All applicants, including current funding recipients, will need to respond fully to the selection criteria in the application kit and provide the information required in the format and to the extent specified.

The department will assess applications for funding primarily on the basis of the information provided in the application.

The department may also use information about an applicant as set out in section 3.3 and criterion 5.

Any decisions that the department may make regarding the parameters and methodology for assessment of applications will be final.

## 5.2.1 Stages in the assessment process

These stages are generally followed for each funding process:

**Stage 1** - Receipt and registration of applications

**Stage 2** - Initial screening for compliance and assessment of applications against the eligibility criteria

**Stage 3** - Assessment of eligible, compliant applications against the assessment criteria, including financial viability assessment and if, relevant, threshold criteria

**Stage 4** - Value for money assessment

**Stage 5** - Ranking and approval of applicant/s

**Stage 6** - Advice to applicant/s

## 5.2.2 Departmental staff undertaking stages 1 through 6

### 5.2.2.1 *Assessment panel/s*

An assessment panel/s may be established by the department and would consist of officers from the department and may include external advisors as appropriate. Further detail on the membership of any assessment panel will be included in the application kit for the relevant funding process.

The assessment panel will assess the application against the selection criteria. The minimum selection criteria will be listed in the application kit. The assessment panel will consider the applicant's response to each assessment sub-criterion against a 6-point (0 to 5) scale (see Table 5 and also Table 2 for Criterion 5).

The assessment panel will assess applications primarily on the information provided in the application, but may also use information about an applicant as set out in section 3.3 and criterion 5.

The assessment panel will provide the funding approver with the results of the assessment process.

### 5.2.2.2 *Funding approver*

The final decision about the approval of funding will be made by the funding approver.

The funding approver will consider whether the proposal will make an efficient, effective, ethical and economical use of Australian Government resources, as required by Commonwealth legislation, and whether any specific requirements will need to be imposed as a condition of funding.

Funding approval is at the discretion of the funding approver. Any decisions that the funding approver may make regarding the approval of funding in respect of a funding process will be final.

## **5.3 Stage 1 – RECEIPT**

### **Receipt and registration of applications**

In the first stage, the department will receipt and register all applications. If set out in the application form, the department will issue a receipt notice to any applicant that has requested one.

## **5.4 Stage 2 – COMPLIANCE and ELIGIBILITY**

### **Initial screening for compliance and assessment of applications against the eligibility criteria**

In this stage, the department will conduct an initial screening of applications to ensure each application is compliant. A compliant application is one that:

- has been submitted correctly and is not late
- complies with the Program Guidelines and the application kit
- includes a complete application form, and information and supporting documentation with the application form, to enable a fully informed assessment to be made.

A late application will not be considered as compliant unless the late application is accepted by the department. Further information on late applications is provided in section 3.1.8.

The department will also assess applications against the eligibility criteria for the funding process in this stage.

#### **5.4.1 What happens if an application is non-compliant?**

The department will only assess non-compliant applications against the assessment criteria if the non-compliance is a direct result of mishandling by the department. In all other circumstances, in the interests of fairness, the department reserves the right not to assess any non-compliant applications.

In considering whether it would be fair to assess any non-compliant applications, the department will take into account the extent of the non-compliance, whether the non-compliance was beyond the applicant's control and such other facts as it considers relevant. The department may also ask the applicant to provide evidence and information to support its application, including its claims regarding the reasons for non-compliance.

The department will take the reasons and any evidence provided into consideration when deciding whether or not to assess any non-compliant applications.

The department has no obligation to assess any non-compliant applications. The department may reject any non-compliant applications. Any decision by the department to assess or not assess and reject any non-compliant applications will be final.

#### *5.4.1.1 Notification for non-compliant applications*

The department will notify any applicant of a non-compliant application that will not proceed to assessment once this stage has been completed.

### 5.4.2 What happens if an application is ineligible?

An ineligible application is one that does not meet all of the specified eligibility criteria for the process. The department has no obligation to assess any ineligible applications. The department may reject any ineligible applications.

Any decision by the department to assess or not assess any ineligible applications will be final.

#### *5.4.2.1 Notification for ineligible applications*

The department will notify any applicant of an ineligible application at the end of the funding process.

## **5.5 Stage 3 – ASSESSMENT**

### **Assessment of eligible, compliant applications against the assessment criteria, including financial viability assessment**

The assessment panel will only assess eligible, compliant applications against the assessment criteria for the funding process in Stage 3.

At its discretion, in this stage, the department may also seek an independent financial viability assessment on each application and/or each applicant.

#### 5.5.1 Scoring and weighting assessment criteria

The assessment criteria and sub-criteria will be weighted as set out in Table 3.

**Table 3. Assessment criteria summary and weighting**

<b>Criterion</b>	<b>Description</b>	<b>Weight</b>	<b>Score</b>
<b>1</b>	<b>Appropriateness of the proposal to the objectives of the activity under the Commonwealth HACC Program</b>	<b>15%</b>	<b>15</b>
1.1	Proposal is clearly defined and described, and is evidence-informed		5
1.2	Community affected by the proposal is addressed		5
1.3	Outcomes for proposal are clearly described and the proposal includes ongoing assessment of those outcomes		5
<b>2</b>	<b>Potential for the proposal to meet the objectives of the activity under the Commonwealth HACC Program</b>	<b>10%</b>	<b>10</b>
2.1	Proposal is suitably planned and scoped		4
2.2	If new service, implementation is addressed		3
2.3	Links with community addressed		3
<b>3</b>	<b>The need for the proposal to be carried out</b>	<b>20%</b>	<b>20</b>
3.1	Demonstrates and provides evidence of the need		10
3.2	Demonstrates how proposal will address the need		10
<b>4</b>	<b>Governance, expertise and capacity of the applicant to meet the objectives of the activity under the Commonwealth HACC Program</b>	<b>10%</b>	<b>10</b>
4.1	Demonstrates management expertise, skill, qualifications and experience		2
4.2	Demonstrates staff skill levels, qualifications and experience		2
4.3	Demonstrates capability to meet specific program requirements (e.g., complaints and quality)		3
4.4	Demonstrates capability to meet general obligations under the contractual arrangement (e.g., reporting and financial management)		3
<b>5</b>	<b>The applicant's proven track record in meeting the objectives of the activity under the Commonwealth HACC Program and/or other relevant programs</b>	<b>20%</b>	<b>20</b>
5.1	Departmental assessment and rating of track record		20
<b>6</b>	<b>A viable and sustainable financial model for the delivery of the activity that meets the objectives of the activity under the Commonwealth HACC Program</b>	<b>25%</b>	<b>25</b>
6.1	How the applicant will ensure its long-term financial and organisational viability		5
6.2	Independent financial viability assessment		20
<b>TOTAL ASSESSMENT</b>		<b>100%</b>	<b>100</b>

The weightings for each criterion are summarised in Table 4.

**Table 4. Assessment criteria brief summary of weighting**

<b>Criterion</b>	<b>Weighting</b>
1 – Appropriate	15%
2 – Potential	10%
3 – Need	20%
4 – Experience	10%
5 – Track record	20%
6 – Financial viability	25%
<b>Total</b>	<b>100%</b>

#### *5.5.1.1 Basis for weighting*

##### *Appropriateness and Potential*

Criterion 1 and Criterion 2 both assess the proposal against the objectives of the program and whether or not the outcomes of the proposal align with and will successfully further those objectives. Criterion 1 addresses what the proposal is for and Criterion 2 addresses how it will be achieved. As such, added together, these represent 25% of the total score.

##### *Need*

It is not always possible for the department to establish all areas of need under the Commonwealth HACC Program (e.g., locations of need or services of need). As such, it is critical that the applicant demonstrates and provides evidence for the need and that this need is addressed by the proposal. This is critical in achieving an outcome that is value for money and this criterion has, therefore, been weighted more highly.

##### *Experience and Track Record*

Criterion 4 and Criterion 5 both assess the applicant’s capability to deliver the proposal in line with program requirements, based on both the applicant’s past experience and track record. Added together these represent 30% of the total score. In both criteria, the capability to meet Commonwealth HACC Program requirements and actual past record in meeting program requirements are weighted more highly as the applicant’s understanding of and ability to comply with program requirements is seen as critical to the successful delivery of the proposal.

##### *Financial viability*

Criterion 6 is seen as important because the department must satisfy itself that the applicant is a viable entity with which to enter into contractual arrangements. This financial viability assessment forms part of the risk assessment for funding processes under the Commonwealth HACC Program.



As a part of the risk assessment for funding processes, the independent financial viability assessment sub-criterion 6.2 is critical in achieving an outcome that is value for money and has, therefore, been weighted more highly.

## 5.5.2 Six-point scoring scale for the criteria

The following six-point scale will be employed for the assessment of each sub-criterion, excluding Criterion 5 for which a separate 6-point scale will be used (this scale is set out in Table 2).

Proposals that address every point listed under the sub-criterion will score more highly than proposals that miss one point, and so on.

**Table 5. Rating scale for all criteria and sub-criteria (excluding Criterion 5 – refer to Table 2)**

Score	Descriptor	Requirement/Functionality
5	Excellent	Demonstrates exceptional and excellent claims against the criterion. A highly capable proposal, which significantly exceeds expectations with supporting information that is complete and comprehensive and confirms the claims.
4	Very Good	Demonstrates very good claims against the criterion. Meets all expectations to a high standard with comprehensive supporting information.
3	Good	Demonstrates good claims against the criterion. Meets all expectations with convincing supporting information.
2	Satisfactory	Demonstrates adequate claims against the criterion. Mostly meets expectations but may be lacking in detail and/or supporting information. The department may need to suggest work-arounds to ensure an effective proposal is delivered.
1	Marginal or Poor	Demonstrates poor claims against the criterion. Does not meet expectations and has deficient supporting information. Significant level of risk associated with the proposal.
0	Totally unsatisfactory	Fails to address or meet any part of the criterion.

### 5.5.2.1 Weighting each sub-criterion

The weighting for each sub-criterion is set out in Table 3, with justification for each rating provided in the paragraphs following that table.

Weightings will not be included on the forms used during Stage 3 and will only be applied at the end of assessment. This follows standard processes employed within the department and ensures the integrity and probity of the funding processes.

Weightings for each sub-criterion are calculated as follows<sup>10</sup>:

Weighted Score = (Raw or Unweighted score divided by 5) x Weighting

For example, if the applicant had a raw score of 4 (score is based on Table 5) for sub-criterion 4.1, which has a weighting of 2 (according to Table 3) and a maximum score of 5 (according to Table 5), the calculation would be:

$$\begin{aligned}\text{Weighted score} &= (4/5) \times 2 \\ &= 0.8 \times 2 \\ &= 1.6\end{aligned}$$

Once the weightings have been calculated, all weighted scores are then added together to give a sub-total for each criterion and a total for the application. The applications can then be compared and contrasted by weighted score prior to the application of the overarching criterion (value for money).

#### *5.5.2.2 What to do when a criterion or sub-criterion is not assessed*

It is noted that not all sub-criteria will be assessed for all funding processes, activities or applicants. The specific criteria that will be assessed for each funding process will be set out in the application kit.

If a particular criterion or sub-criterion is not required to be assessed for the funding process or activity or applicant, the element/s must be removed from the denominator for the total score and the assessment panel must re-calculate the total percentage score out of 100 per cent. For example, if 'Track Record' cannot be assessed as the applicant does not have a record with the department, then calculate the score as per the following example:

The applicant cannot be scored against 20 points (20%) of the assessment criteria.

The applicant has scored a total of 59 (59%) for all other criteria.

$$\text{New denominator} = 100 - 20 = 80$$

$$\begin{aligned}\text{New percentage score} &= \text{total score divided by the new denominator} \\ &= 59/80 \times 100 \\ &= 0.7375 \times 100 \\ &= 73.75\%\end{aligned}$$

In this way, the applicant is not disadvantaged in its total % score due to the fact that it cannot be assessed against this criterion.

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<sup>10</sup> Note that it is divided by 5 as 5 is the maximum score that can be awarded for any sub-criterion – refer to Table 5.

## 5.6 Stage 4 – VALUE FOR MONEY

### Assessment of value for money

In the value for money assessment, applications will be scored based on a consideration of the outcomes proposed for the amount of funding sought. It is noted that although applicants may satisfy the assessment criteria to a high level the proposal may still not represent value for money. Value for money is not a consideration regarding money alone. In considering the extent to which the application represents value for money, the department will have regard to the following:

**Table 6. Scoring the value for money overarching criterion**

Consideration	Notes	Scoring
The relative merit of each application.	This is an assessment of whether the applicant scored highly against the assessment criteria.	If the score is seen to be high, score a 1 for this consideration.
The overall objective/s to be achieved in providing the funding.	This is an assessment of the desirability and preferability of the outcomes the proposal will achieve.	If desirable and/or preferable, score a 1.  If the overall assessment score is low, but the outcomes are desirable and/or preferable, still score a 1. Then note the risks and propose treatments (such as imposing specific or additional conditions) so that the applicant will achieve the outcomes proposed.
The relative cost of the proposal, or of elements of the proposal.	This is a typical assessment of value for money, conducted by weighing up the outcome versus the total expenditure required to achieve it. It may also look at the appropriateness of the funding amount sought.	There are three methods proposed: <ol style="list-style-type: none"> <li>1. Where the value for money is to be based on “Better Return on Investment”, the total cost of each proposal is divided by the total weighted scores of the assessment criteria and a score of 1 is given to the ones with the <u>lower</u> price per unit of quality.</li> <li>2. Where the application is for a service type, the unit price for the service type is compared to other available data on unit price to determine whether it is an appropriate unit price (not too high, not too low). If it is appropriate, score a 1.</li> <li>3. Where the proposal is similar to other proposals funded under the program, the cost will be compared with those similar proposals.</li> </ol>

Consideration	Notes	Scoring
The extent to which the applicant has demonstrated a lack of capacity to fund the proposal taking into consideration all possible sources of finance, including debt finance.	This is an assessment of whether the applicant could fund more of the proposal through other sources.	If lack of capacity to fund has been demonstrated, score a 1.  If a lower amount of funding could be recommended, still score a 1 and make the comment that a lower amount would be recommended (stating the size of funding recommended and why).
The geographic location of the proposal.	This would be employed where geographic locations of need are known to the department or have been specified in the application kit.	If the geographic location is one specified or otherwise known as an area of need, score a 1.
The community that will benefit from the proposal.	The extent to which the evidence in the application demonstrates that the proposal will be located in a community with one or more of the following features: <ul style="list-style-type: none"> <li>• the community is identified as a priority by the department</li> <li>• the community has poor access to Commonwealth HACC and other aged care services</li> <li>• the community has poor health infrastructure and/or coordination</li> <li>• the community has high levels of the target population or of a special needs group</li> <li>• the community has high population growth in the target population or has anticipated high population growth in the target population.</li> </ul>	For each of the categories that apply, score a 1. This means that the score for this consideration could be higher than 1 (to a maximum of 5).
<b>TOTAL</b>	<b>Sum all scores.</b>	<b>The score will be no greater than 10.</b>

Proposals which demonstrate two or more of these features will score more highly than proposals which demonstrate one of these features, and so on.

## 5.7 Stage 5 – RANK AND APPROVE

### Ranking and approving applicant/s

Ranking is based on the scores against value for money and the assessment criteria, and is also based on the availability of funding.

Once the scores against the value for money criterion have been established, applications can be listed in order of score against the overarching criterion and then against the assessment criteria, highest first, and so on.

#### 5.7.1 Ranking by the department and advice provided to the funding approver

The department will go down the list from highest to lowest and assign a ranking.

Applications are ranked at one of three levels:

1. Suitable and recommended
2. Suitable but not recommended
3. Not suitable, not recommended

Those with higher value for money scores will be more likely to be ranked as ‘suitable and recommended’.

Applications will be ranked as ‘suitable but not recommended’ where the scores are close to, but lower than, those that are ranked as ‘suitable and recommended’ and cannot be recommended due to the amount of funding available.

The department will also provide advice on whether additional conditions should be imposed on the applicant as a result of value for money considerations.

#### 5.7.2 Funding approver will determine successful and unsuccessful applicants

The funding approver will be advised of how applicants have been ranked. The funding approver will consider whether the proposals will make an efficient, effective, ethical and economical use of Australian Government resources, as required by Australian Government (Commonwealth) legislation. At his/her absolute discretion, the funding approver will determine which applicants are successful and will be funded.

The funding approver may approve applicants ranked as ‘suitable but not recommended’ and ‘not suitable, not recommended’ for funding. This must be undertaken in accordance with the Commonwealth Grant Guidelines<sup>11</sup>.

The decision relating to successful applicants will be finalised when the funding approver indicates their acceptance of the final list of successful applicants, noting whether specific or additional conditions are to be imposed on the applicant as a result of value for money considerations. The funding approver may also impose specific or additional conditions in approving any application for funding.

In this stage, the funding approver will also approve the list of applicants that are unsuccessful, as well as ineligible applicants. Non-compliant applications will be addressed in Stage 2.

The department may retain a list of applicants ranked as ‘suitable but not recommended’ and fund these applicants at a later date.

## 5.8 Stage 6 – ADVISE

### Advice to applicant/s

The department will advise all applicants in writing of the outcome of the funding process, including whether or not their application was successful, unsuccessful or ineligible.

#### 5.8.1 Successful applicants

Successful applicants funded under the Commonwealth HACC Program will be required to enter into contractual arrangements with the Commonwealth (represented by the department). See section 3.5 and the application kit for more details.

There may be specific or additional conditions attached to the funding approval required as a result of the funding process or imposed by the funding approver. These will be identified in the offer of funding or during any negotiations on contractual arrangements.

Advice to successful applicants may contain details of any negotiation process for the contractual arrangements.

Copies of the Terms and Conditions may be made available in the application kit. Standard Program Schedules to the Terms and Conditions may also be provided as part of the application kit.

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<sup>11</sup> The Commonwealth Grant Guidelines establish the grants policy and reporting framework for all departments and agencies subject to the *Financial Management and Accountability Act 1997* and are available from time to time from the [Department of Finance and Deregulation’s website](http://www.finance.gov.au/) at <http://www.finance.gov.au/>

In accordance with the Commonwealth Grant Guidelines<sup>12</sup>, approved applicants and their proposals will also be listed on the department's website (refer to section 3.4.5 for further information).

The department may advise Senators and Members of the Parliament of Australia of any successful applications, including providing those members with details of the proposal.

### 5.8.2 Unsuccessful and ineligible applicants

The department will notify all unsuccessful and ineligible applicants and may provide reasons for the application not being successful or eligible in the funding process.

### 5.8.3 Opportunity for feedback

The department reserves the right to not offer individualised feedback for each application in a funding process and may offer general feedback on any funding process.

Any opportunity for individualised feedback will be set out in the advice to the applicant on the outcome of the funding process. Individualised feedback may only be provided in written form.

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<sup>12</sup> The Commonwealth Grant Guidelines establish the grants policy and reporting framework for all departments and agencies subject to the *Financial Management and Accountability Act 1997* and are available from time to time from the [Department of Finance and Deregulation's website](http://www.finance.gov.au/) at <http://www.finance.gov.au/>

# **Attachment A: Service delivery activities**

The department reserves the right to amend this document and the Commonwealth HACC Program Manual from time to time by whatever means it may determine in its absolute discretion and will provide reasonable notice of these amendments.



### A.1 What will be funded?

Commonwealth HACC Program funding is to be used to provide basic maintenance, support and care services as outlined in the Program Manual for clients aged 65 years and over and Aboriginal and Torres Strait Islander clients aged 50 years and over.

Under the Commonwealth HACC Program, basic maintenance, support and care services are referred to as ‘service delivery activities’ and are defined in section A.1.1.

#### A.1.1 Defining basic maintenance, support and care services (service delivery activities)

##### *Service Group One*

###### *Domestic assistance*

Domestic assistance helps clients with domestic tasks, including:

- cleaning
- dishwashing
- clothes washing and ironing
- unaccompanied shopping.

###### *Personal care*

Personal care provides assistance with daily self-care tasks in order to help a client maintain appropriate standards of hygiene and grooming, including:

- eating
- bathing
- toileting
- dressing
- grooming
- getting in and out of bed
- moving about the house.

Personal care is normally provided in the home. In some cases, care may be provided in a centre, for example, where a client may be homeless or living in a temporary shelter.

Service providers are responsible for ensuring that workers have appropriate training to carry out personal care, for example, a Certificate III in Aged/Community Care or equivalent is desirable.

###### *Social support*

Social support assists a client to participate in community life through meeting their need for social contact and accompaniment. Activities include:

- visiting services
- telephone based monitoring services
- assisting the person with shopping and other related activities.

## Attachment A – Service delivery activities

### *Respite care*

Respite care is the assistance that a carer receives as a result of supervision and assistance provided to the client. The carer may or may not be present during the delivery of the service.

### *Other meal services*

Other meal services refer to assistance with preparing and cooking a meal in a client's home, and includes providing advice on nutrition, storage and food preparation. The primary focus of this service is assistance with food preparation. It does not cover the delivery of a meal prepared elsewhere.

All paid staff and volunteers involved in the preparation and handling of food should be provided with information regarding safe food handling as it relates to their activities. Service providers are required to comply with state and territory based references and guidelines relevant to safe food handling practices.

## *Service Group Two*

### *Assessment*

The assessment service type refers to assessment and re-assessment activities that are directly attributable to individual clients. It includes assessment activities associated with:

- client intake procedures and the determination of eligibility for service provision
- determination of the client's capacity to undertake activities of daily living to inform the assessment of need for assistance
- assessment of level of need for assistance and most appropriate service response.

### *Client care coordination*

The client care coordination service type involves coordination activities provided to clients who need support from more than one Commonwealth HACC service type and need assistance to facilitate access to these services. This assistance to access services is often short term, and is unlikely to be provided to every client on every occasion of service.

Client care coordination involves the following activities:

- implementing the care plan
- liaison within, or with another service provider that provides care to the same client
- support to ensure that the client has access to the range of services required
- monitoring and reviewing the care plan or service plan.

### *Case management*

Case management includes active assistance received by a client from a service provider formally identified and specifically funded to coordinate the planning and delivery of a suite of services to the individual client. Case management differs from client care coordination as the service is targeted to clients with more complex needs. It may be short term or ongoing. A client receiving case management will be receiving multiple services, typically from more than one service provider.

## Attachment A – Service delivery activities

### *Counselling/support, information and advocacy (client)*

Counselling/support, information and advocacy provides clients with assistance to understand and manage situations, behaviours and relationships associated with their need for care. This service type includes interventions such as advocacy, providing advice, information and training.

### *Counselling/support, information and advocacy (carer)*

Counselling/support, information and advocacy provides carers with assistance to understand and manage situations, behaviours and relationships associated with care needs of the person that they are caring for. This service type includes interventions such as advocacy, providing advice, information and training.

## **Service Group Three**

### *Nursing care*

Nursing care is the clinical care provided by a registered or enrolled nurse. This care is directed to treatment and monitoring of medically diagnosed clinical conditions. The care can include recording client observations. Nursing care can be delivered in the client's home, or in a clinic or other location. Nursing care must be provided by a Registered Nurse or an Enrolled Nurse.

### *Allied health care*

Allied health care is the clinical care provided by professional allied health care services. It includes specialist services such as:

- podiatry
- occupational therapy
- physiotherapy
- social work
- speech pathology
- nutritional advice, for example, from a dietician or nutritionist.

Allied health care may be delivered in a client's home, to an individual at a day centre, or in a group environment.

Allied health care must be provided by appropriately qualified professionals. Service providers must ensure that the practitioners they use comply with relevant Commonwealth, state and territory legislation. Allied health assistants may be used in the implementation and monitoring of allied health programs, however, they must be guided and supervised by allied health professionals, who are ultimately accountable for client care.

## **Service Group Four**

### *Centre-based day care*

Centre-based day care provides an opportunity for clients to attend and participate in social interactions which are conducted in, or from, centre based settings. These activities are designed to develop, maintain and support social interaction and independent living.

## Attachment A – Service delivery activities

### Service Group Five

#### *Home modifications*

Home modifications provide structural changes to a client's home so that they can continue to live and move safely about the house. Modifications can include:

- grab and shower rails
- appropriate tap sets
- hand rails
- ramps and other mobility aids
- installation of emergency alarms and other safety aids
- other minor renovations.

Home modifications must be conducted by a licensed tradesperson.

#### *Goods and equipment*

Goods and equipment are provided to assist a client to cope with a functional limitation and maintain their independence. Items include those that assist with mobility, communication, reading, personal care or health care. These can be provided through loan or purchase.

#### *Home maintenance*

Home maintenance is assistance to keep a client's home in a safe and habitable condition. This involves the repair and maintenance of a client's home or yard. Repairs are generally minor repairs such as changing light bulbs and replacing tap washers. More major repairs can include carpentry, painting and roof repairs. Garden maintenance includes lawn mowing and the removal of rubbish.

#### *Formal linen service*

Formal linen service is the provision and laundering of linen. This is usually done by a separate laundry facility.

### Service Group Six

#### *Meals*

The meals service type refers to meals prepared and delivered to the client either at home or at a centre.

All paid staff and volunteers involved in the preparation and handling of food should be provided with information regarding safe food handling as it relates to their activities. Service providers are required to comply with state and territory based references and guidelines relevant to safe food handling practices.

## Attachment A – Service delivery activities

### Service Group Seven

#### *Transport*

Assistance with transport can be provided either directly or indirectly. Direct transport services are those where the ride in the vehicle is provided by a worker or a volunteer. Indirect transport services include rides provided through vouchers or subsidies. Drivers of transport services must hold an appropriate license.

## A.2 What will not be funded?

Applicants that seek funding for service delivery activities that the department determines fall outside of the basic maintenance, support and care services set out in section A.1.1 (taken from the Program Manual) will be considered ineligible. In addition, the department may determine that an application is ineligible on the basis of the conditions set out below.

Capital activities will not be funded under any funding process for service delivery activities. Capital activities are covered under a separate attachment to these Program Guidelines.

### A.2.1 The department may identify priorities

Any funding process for service delivery activities under the Commonwealth HACC Program may not cover all basic maintenance, support and care services.

The department may, at its absolute discretion, identify which basic maintenance, support and care services have been prioritised for a particular funding process. This identification of priorities will be set out in the application kit and may include identifying particular locations, special needs groups or communities. Any such identification of priorities for a funding process will be based on an evidenced based planning approach and will take into account issues and evidence about the effectiveness, efficiency and appropriateness of activities, as well as emerging ageing and aged care challenges.

### A.2.2 You may only seek funding for identified priorities

An applicant may only seek funding for the identified priorities.

If you seek funding for basic maintenance, support and care services that have not been identified as priority, and/or seek funding for a location, special needs group or community that has not been identified as priority your application may be deemed ineligible.

### A.2.3 High unit prices may not be funded

The department may, at its absolute discretion, determine that the amount of funding you have sought per output of basic maintenance, support and care services is unreasonably high and offer you a lower unit price<sup>13</sup>. This may also apply if you seek additional funding to

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<sup>13</sup> Unit price is the average price of delivering one output of the basic maintenance, support and care service.

## **Attachment A – Service delivery activities**

provide additional basic maintenance, support and care services that are already being delivered by you as a funding recipient, and the unit price increases from previous funding (including from that set out in the existing Program Schedule).

### **A.2.4 Proposals that have already commenced may not be funded**

The department may not fund proposals that have already commenced. Funding may not be approved in respect of activities that have been contracted, commenced or completed prior to the formal execution of contractual arrangements.

You should not seek reimbursement for expenses or liabilities already incurred.

### **A.2.5 Proposals that have been funded under another program will not be funded**

The department will not fund proposals that have already been funded under another program or under one of the department's flexible funds. The department will not fund proposals that fall under the responsibility of another program or one of the department's flexible funds.

Applicants may seek additional funding for proposals that have received funding through another program.

## **A.3 Who can apply for the funding?**

### **A.3.1 Eligible applicants**

Eligibility of applicants will depend on the type of funding process and this will be identified in the application kit. Refer to section 4.2 for further information.

The department will not enter into contractual arrangements under the Commonwealth HACC Program with a consortium. Refer to section 1.3.3 for further information.

## **A.4 How much funding is available?**

The amount of funding available for any funding process for service delivery activities will be set out in the application kit.

Funding may be recurrent (across a set number of years) or one-off (strictly time-limited). The timing for funding will be set out in the application kit. An application kit may also set out limits on the amount of funding that may be sought in any single application or by any applicant. Funding will be payable subject to the terms and conditions set out in any contractual arrangement between the department and the successful applicant.

## A.5 What is the timeframe?

The timeframe for submission of applications for any funding process for service delivery activities, as well as the closing date and time, will be set out in the application kit.

## A.6 What is the type of funding process?

The type of funding process (e.g., direct, targeted or EOI) will be set out in the application kit.

## A.7 Which assessment criteria or sub-criteria will apply?

Section 4 of these Program Guidelines sets out the full suite of assessment criteria that may be used for any funding process under the Commonwealth HACC Program.

### A.7.1 Threshold criteria

Assessment criteria or sub-criteria may be used as threshold criteria for any funding process. If any of the assessment criteria or sub-criteria will be used as threshold criteria this will be clearly set out in the application kit.

### A.7.2 The funding approver may waive assessment criteria

The funding approver may, in respect of any funding process for service delivery activities, waive one or more of the sub-criteria from the full suite of assessment criteria. The sub-criteria that may be waived in respect of service delivery activities are as follows:

**Table A.1 Sub-criteria that may be waived for service delivery activities**

Sub-criterion	Description	Basis for waiver
2.2	If new service, implementation is addressed.	This is only relevant where new services are able to be established using the funding and may not be appropriate for applicants that are existing funding recipients.
2.3	Links with community addressed.	Applicants that are existing funding recipients may not be required to demonstrate their links to the community affected by the proposal. In some cases, the department may still use available information on the applicant's track record in the community. Note that some funding processes may only be open to existing funding recipients.

## Attachment A – Service delivery activities

Sub-criterion	Description	Basis for waiver
3.1	Demonstrates and provides evidence of need.	Applicants may not be required to demonstrate need where the department has identified particular priority activities, and/or priority locations, special needs groups or communities.
3.2	Demonstrates how the proposal will address the need.	Applicants may not be required to demonstrate how the proposal will address need where the department has identified particular priority activities, and/or priority locations, special needs groups or communities.
4.1	Demonstrates management expertise, skill, qualifications and experience.	Applicants that are existing funding recipients under the Commonwealth HACC Program may not be required to demonstrate their experience. In some cases, the department may still assess the applicant's track record under the program or other, similar programs. Note that some funding processes may only be open to existing funding recipients.
4.2	Demonstrates staff skill levels, qualifications and experience.	Applicants that are existing funding recipients under the Commonwealth HACC Program may not be required to demonstrate their experience. In some cases, the department may still assess the applicant's track record under the program or other, similar programs. Note that some funding processes may only be open to existing funding recipients.
4.3	Demonstrates capability to meet specific program requirements (e.g., complaints and quality).	Applicants that are existing funding recipients under the Commonwealth HACC Program may not be required to demonstrate their capability in delivering activities under the program. In some cases, the department may still assess the applicant's track record under the program or other, similar programs. Note that some funding processes may only be open to existing funding recipients. This may also not be appropriate for new applicants that are not existing funding recipients or for some funding processes.
4.4	Demonstrates capability to meet general obligations under the contractual arrangement (e.g., reporting and financial management).	Applicants that are existing funding recipients under the Commonwealth HACC Program may not be required to demonstrate their capability. In those cases, the department would still assess the applicant's track record. Note that some funding processes may only be open to existing funding recipients.
6.2	Independent financial viability assessment.	This may not be required where the entity has had a recent financial viability assessment for a funding process run within the department or through general program management processes employed in the department. It may also not be appropriate for some funding processes.



## Attachment A – Service delivery activities

### A.7.3 Waivers must be agreed to before the application kit is published

The final set of assessment criteria will be reflected in the application kit, including on the application form.

The funding approver must consider the reasons for any waiver/s and agree to any waiver/s before the application kit is published and publicly released. The funding approver cannot waive further assessment criteria after the application kit has been publicly released<sup>14</sup>.

## A.8 Other general requirements

Refer to section 3 of these Program Guidelines and the application kit for further information relating to other general requirements and for your responsibilities as an applicant.

### A.8.1 Other relevant eligibility considerations

Other relevant eligibility criteria may depend on the type of funding process and will be clearly identified in the application kit.

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<sup>14</sup> Note the department's rights set out on the first page of this attachment.

# **Attachment B: Service system development activities**

The department reserves the right to amend this document and the Commonwealth HACC Program Manual from time to time by whatever means it may determine in its absolute discretion and will provide reasonable notice of these amendments.

### B.1 What will be funded?

Commonwealth HACC Program funding is to be used to support the service system in delivering basic maintenance, support and care services as outlined in the Commonwealth HACC Program Manual for clients aged 65 years and over and Aboriginal and Torres Strait Islander clients aged 50 years and over.

Under the Commonwealth HACC Program, activities that support the service system are referred to as ‘service system development activities’ and are defined in section B.1.1.

#### B.1.1 Defining service system development activities

There are three broad categories of service system development activities, these are defined below, and some examples are provided.

##### *Building an evidence base*

Activities in this category build an understanding of the population that benefit from community care, and evaluate the outcomes and effectiveness of service delivery models. Activities include:

- Research about the target population, for example, studies on ageing, dementia and special needs groups. Examples of how this is funded include applied research grants and specific evaluation projects.
- Research and evaluation to inform what works successfully to assist people to remain independent and remain in the community longer.

##### *Service interventions*

Activities in this category develop service delivery models that incorporate best practice and innovation. Activities include:

- advisory services targeting specific clients, for example, multicultural advisory services
- initiatives targeting special needs groups
- new service delivery models, for example, models that incorporate a wellness focus.

##### *Sector support and development*

Activities in this category build the capacity of the community aged care service sector to meet the needs of the clients; incorporate the outcomes of the evaluations; and develop best practice. Activities include:

- workforce initiatives, including training and incentives
- providing specific workers in HACC regions that facilitate collaboration and support between Commonwealth HACC funding recipients

## Attachment B – Service system development activities

- volunteer and peak body support.

### B.2 What will not be funded?

Applicants that seek funding for service system development activities that the department determines fall outside of the scope of the service system development activities set out in section B.1.1 will be considered ineligible. In addition, the department may determine that an application is ineligible on the basis of the conditions set out below.

Capital activities will not be funded under any funding process for service system development activities. Capital activities are covered under a separate attachment to these Program Guidelines.

#### B.2.1 The department may identify priorities

Any funding process for service system development activities under the Commonwealth HACC Program may not cover all categories or sub-categories or examples of service system development activities.

The department may, at its absolute discretion, identify which service system development activities have been prioritised for a particular funding process. This identification of priorities will be set out in the application kit and may include identifying particular locations, special needs groups or communities. Any such identification of priorities for a funding process will be based on an evidenced based planning approach and will take into account issues and evidence about the effectiveness, efficiency and appropriateness of activities, as well as emerging ageing and aged care challenges.

#### B.2.2 You may only seek funding for identified priorities

An applicant may only seek funding for the identified priorities.

If you seek funding for service system development activities that have not been identified as priority, and/or seek funding for a location, special needs group or community that has not been identified as priority your application may be deemed ineligible.

#### B.2.3 High costs may not be funded

The department may, at its absolute discretion, determine that the amount of funding you have sought for service system development activities is unreasonably high and offer you a lower amount of funding. This may also apply if you seek additional funding to provide additional service system development activities that are already being funded and delivered by you, and the cost increases from previous funding (including from that set out in the existing Program Schedule).

## Attachment B – Service system development activities

### B.2.4 Proposals that have already commenced may not be funded

The department may not fund proposals that have already commenced. Funding may not be approved in respect of activities that have been contracted, commenced or completed prior to the formal execution of contractual arrangements.

You should not seek reimbursement for expenses or liabilities already incurred.

### B.2.5 Proposals that have been funded or should be funded under another program will not be funded

The department will not fund proposals that have already been funded under another program or under one of the department's flexible funds. The department will not fund proposals that fall under the responsibility of another program or one of the department's flexible funds.

Applicants may seek additional funding for proposals that have received funding through another program.

#### *B.2.5.1 Proposals for peak bodies may not be funded*

Peak bodies may be eligible to apply for core funding to support their aims and mission through the separate Health Service Capacity Development Fund. More information on the [Health Service Capacity Development Fund](http://www.health.gov.au/internet/main/publishing.nsf/Content/budget2011-flexfund-capacity15.htm) is available at the department's website at <http://www.health.gov.au/internet/main/publishing.nsf/Content/budget2011-flexfund-capacity15.htm>.

## B.3 Who can apply for the funding?

### B.3.1 Eligible applicants

Eligibility of applicants will depend on the type of funding process and this will be identified in the application kit. Refer to section 4.2 for further information.

The department will not enter into contractual arrangements under the Commonwealth HACC Program with a consortium. Refer to section 1.3.3 for further information.

## B.4 How much funding is available?

The amount of funding available for any funding process for service system development activities will be set out in the application kit.

## Attachment B – Service system development activities

Funding may be recurrent (across a set number of years) or one-off (strictly time-limited). The timing for funding will be set out in the application kit. An application kit may also set out limits on the amount of funding that may be sought in any single application or by any applicant. Funding will be payable subject to the terms and conditions set out in any contractual arrangement between the department and the successful applicant.

### B.5 What is the timeframe?

The timeframe for submission of applications for any funding process for service system development activities, as well as the closing date and time, will be set out in the application kit.

### B.6 What is the type of funding process?

The type of funding process (e.g., direct, targeted or EOI) will be set out in the application kit.

### B.7 Which assessment criteria or sub-criteria will apply?

Section 4 of these Program Guidelines sets out the full suite of assessment criteria that may be used for any funding process under the Commonwealth HACC Program.

#### B.7.1 Threshold criteria

Assessment criteria or sub-criteria may be used as threshold criteria for any funding process. If any of the assessment criteria or sub-criteria will be used as threshold criteria this will be clearly set out in the application kit.

#### B.7.2 The funding approver may waive assessment criteria

The funding approver may, in respect of any funding process for service system development activities, waive one or more of the sub-criteria from the full suite of assessment criteria. The sub-criteria that may be waived in respect of service system development activities are as follows:

**Table B.1 Sub-criteria that may be waived for service system development activities**

Sub-criterion	Description	Basis for waiver
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## Attachment B – Service system development activities

Sub-criterion	Description	Basis for waiver
2.2	If new service, implementation is addressed.	This is only relevant where new services are able to be established using the funding and may not be appropriate for applicants that are existing funding recipients.
2.3	Links with community addressed.	Applicants that are existing funding recipients may not be required to demonstrate their links to the community affected by the proposal. In some cases, the department may still use available information on the applicant's track record in the community. Note that some funding processes may only be open to existing funding recipients.
3.1	Demonstrates and provides evidence of need.	Applicants may not be required to demonstrate need where the department has identified particular priority activities, and/or priority locations, special needs groups or communities.
3.2	Demonstrates how the proposal will address the need.	Applicants may not be required to demonstrate how the proposal will address need where the department has identified particular priority activities, and/or priority locations, special needs groups or communities.
4.1	Demonstrates management expertise, skill, qualifications and experience.	Applicants that are existing funding recipients under the Commonwealth HACC Program may not be required to demonstrate their experience. In some cases, the department may still assess the applicant's track record under the program or other, similar programs. Note that some funding processes may only be open to existing funding recipients.
4.2	Demonstrates staff skill levels, qualifications and experience.	Applicants that are existing funding recipients under the Commonwealth HACC Program may not be required to demonstrate their experience. In some cases, the department may still assess the applicant's track record under the program or other, similar programs. Note that some funding processes may only be open to existing funding recipients.
4.3	Demonstrates capability to meet specific program requirements (e.g., complaints and quality).	Applicants that are existing funding recipients under the Commonwealth HACC Program may not be required to demonstrate their capability in delivering activities under the program. In some cases, the department may still assess the applicant's track record under the program or other, similar programs. Note that some funding processes may only be open to existing funding recipients. This may also not be appropriate for new applicants that are not existing funding recipients or for some funding processes.
4.4	Demonstrates capability to meet general obligations under the contractual arrangement (e.g., reporting and financial management).	Applicants that are existing funding recipients under the Commonwealth HACC Program may not be required to demonstrate their capability. In those cases, the department would still assess the applicant's track record. Note that some funding processes may only be open to existing funding recipients.

## Attachment B – Service system development activities

Sub-criterion	Description	Basis for waiver
6.2	Independent financial viability assessment.	This may not be required where the entity has had a recent financial viability assessment for a funding process run within the department or through general program management processes employed in the department. It may also not be appropriate for some funding processes.

### B.7.3 Waivers must be agreed to before the application kit is published

The final set of assessment criteria will be reflected in the application kit, including on the application form.

The funding approver must consider the reasons for any waiver/s and agree to any waiver/s before the application kit is published and publicly released. The funding approver cannot waive further assessment criteria after the application kit has been publicly released<sup>15</sup>.

## B.8 Other general requirements

Refer to section 3 of these Program Guidelines and the application kit for further information relating to other general requirements and for your responsibilities as an applicant.

### B.8.1 Other relevant eligibility considerations

Other relevant eligibility criteria may depend on the type of funding process and will be clearly identified in the application kit.

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<sup>15</sup> Note the department's rights set out on the first page of this attachment.



# **Attachment C – Service provider support and development activities**

The department reserves the right to amend this document and the Commonwealth HACC Program Manual from time to time by whatever means it may determine in its absolute discretion and will provide reasonable notice of these amendments.

## C.1 What will be funded?

Commonwealth HACC Program funding is to be used to support service providers (i.e., funding recipients) in delivering basic maintenance, support and care services and service system development activities as outlined in the Commonwealth HACC Program Manual for clients aged 65 years and over and Aboriginal and Torres Strait Islander clients aged 50 years and over.

Service provider support and development activities are defined in section C.1.1.

### C.1.1 Defining service provider support and development activities

There are four broad categories of service provider support and development activities, some examples are provided for each category below.

#### *Establishment costs*

Activities under this category support the establishment of a new service<sup>16</sup> delivering basic maintenance, support and care services and/or service system development activities under the Commonwealth HACC Program and may include, but are not limited to:

- assistance with initial running costs
- pre-opening administration assistance for creation of new administration systems
- rent of premises prior to the commencement of the contractual arrangement
- staff recruitment
- marketing and promotion of the new service.

#### *Systems and operational support*

This category covers activities that support the applicant to address required and necessary systems and operational changes to meet obligations under the Commonwealth HACC Program, including reporting and risk management, and to meet policy requirements for the program and for the aged care sector.

Activities under this category may include, but are not limited to:

- adapting systems and operations

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<sup>16</sup> For the purposes of the Commonwealth HACC Program ‘new service’ is defined as:

- any proposal from an entity that is not a funding recipient (i.e., not already funded under the Commonwealth HACC Program)
- a proposal from an existing funding recipient (i.e., one that is already funded under the Commonwealth HACC Program) to deliver:
  - a new service group or a new service type (i.e., a basic maintenance, support and care service that the applicant is not funded to deliver)
  - basic maintenance, support and care services to a new HACC region (i.e., one in which the applicant does not yet deliver services).

## Attachment C – Service provider support and development activities

- upgrading or refurbishing IT and accounting systems
- acquiring additional staffing or other personnel requirements associated with the delivery of funded activities under the Commonwealth HACC Program
- updating or acquiring additional resources other than assets (as defined below) associated with the delivery of funded activities under the Commonwealth HACC Program.

### Capacity building

This category addresses activities that increase and extend the capacity of the applicant in its role as a funding recipient, including in meeting its obligations under the contractual arrangements for the Commonwealth HACC Program. Activities may include, but are not limited to:

- appropriate and relevant training<sup>17</sup> for staff
- provision of development and learning opportunities for the applicant's staff, particularly for those staff that are service managers, care coordinators and care workers.

### Assets

Overall, this category covers assets other than capital activities. There are two sub-categories of assets.

#### *Replaceable Assets*

A replaceable asset includes motor vehicles, office equipment, or kitchen equipment (for service groups four and six) that is used to deliver a specific Commonwealth HACC Program funded activity. The item has a value at the time of acquisition of \$10,000 or more, inclusive of GST.

#### *Other Equipment*

Other equipment is a single item with a value at the time of acquisition of \$10,000 or more, inclusive of GST and is NOT a motor vehicle; office equipment; or kitchen equipment (for service groups four or six) used to deliver a specific Commonwealth HACC Program funded activity. This could include medical or specialised equipment required to deliver the service type, for example a hoist for a service providing centre-based day care. Other equipment does not include equipment for the express use of individuals for example provision of motorised wheelchairs.

## C.2 What will not be funded?

Applicants that seek funding for service provider support and development activities that the department determines fall outside of the scope of service provider support and development

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<sup>17</sup> It would be expected that professional training would be funded under service system development activities.

## **Attachment C – Service provider support and development activities**

activities set out in section C.1.1 will be considered ineligible. In addition, the department may determine that an application is ineligible on the basis of the conditions set out below. Capital activities will not be funded under any funding process for service provider support and development activities. Capital activities are covered under a separate attachment to these Program Guidelines.

### **C.2.1 The department may identify priorities**

Any funding process for service provider support and development activities under the Commonwealth HACC Program may not cover all categories or sub-categories or examples of service provider support and development activities.

The department may, at its absolute discretion, identify which service provider support and development activities have been prioritised for a particular funding process. This identification of priorities will be set out in the application kit and may include identifying particular locations, special needs groups or communities. Any such identification of priorities for a funding process will be based on an evidenced based planning approach and will take into account issues and evidence about the effectiveness, efficiency and appropriateness of activities, as well as emerging ageing and aged care challenges.

### **C.2.2 You may only seek funding for identified priorities**

An applicant may only seek funding for the identified priorities.

If you seek funding for service provider support and development activities that have not been identified as priority, and/or seek funding for a location, special needs group or community that has not been identified as priority your application may be deemed ineligible.

### **C.2.3 High costs may not be funded**

The department may, at its absolute discretion, determine that the amount of funding you have sought for service provider support and development activities is unreasonably high and offer you a lower amount of funding. This may also apply if you seek additional funding to provide additional service provider support and development activities that are already being funded and delivered by you, and the cost increases from previous funding (including from that set out in the existing Program Schedule).

### **C.2.4 Proposals that have already commenced may not be funded**

The department may not fund proposals that have already commenced. Funding may not be approved in respect of activities that have been contracted, commenced or completed prior to the formal execution of contractual arrangements.

You should not seek reimbursement for expenses or liabilities already incurred.

## **Attachment C – Service provider support and development activities**

### **C.2.5 Proposals that have been funded under another program will not be funded**

The department will not fund proposals that have already been funded under another program or under one of the department's flexible funds. The department will not fund proposals that fall under the responsibility of another program or one of the department's flexible funds.

Applicants may seek additional funding for proposals that have received funding through another program.

## **C.3 Who can apply for the funding?**

### **C.3.1 Eligible applicants**

Eligibility of applicants will depend on the type of funding process and this will be identified in the application kit. Refer to section 4.2 for further information.

The department will not enter into contractual arrangements under the Commonwealth HACC Program with a consortium. Refer to section 1.3.3 for further information.

## **C.4 How much funding is available?**

The amount of funding available for any funding process for service provider support and development activities will be set out in the application kit.

Funding may be recurrent (across a set number of years) or one-off (strictly time-limited). The timing for funding will be set out in the application kit. An application kit may also set out limits on the amount of funding that may be sought in any single application or by any applicant. Funding will be payable subject to the terms and conditions set out in any contractual arrangement between the department and the successful applicant.

## **C.5 What is the timeframe?**

The timeframe for submission of applications for any funding process for service provider support and development activities, as well as the closing date and time, will be set out in the application kit.

## **C.6 What is the type of funding process?**

The type of funding process (e.g., direct, targeted or EOI) will be set out in the application kit.

## **C.7 Which assessment criteria or sub-criteria will apply?**

Section 4 of these Program Guidelines sets out the full suite of assessment criteria that may be used for any funding process under the Commonwealth HACC Program.

### **C.7.1 Threshold criteria**

Assessment criteria or sub-criteria may be used as threshold criteria for any funding process. If any of the assessment criteria or sub-criteria will be used as threshold criteria this will be clearly set out in the application kit.

### **C.7.2 The funding approver may waive assessment criteria**

The funding approver may, in respect of any funding process for service provider support and development activities, waive one or more of the sub-criteria from the full suite of assessment criteria. The sub-criteria that may be waived in respect of service provider support and development activities are as follows:

**Table C.1 Sub-criteria that may be waived for service provider support and development activities**

<b>Sub-criterion</b>	<b>Description</b>	<b>Basis for waiver</b>
<b>1.2</b>	Community affected by the proposal is addressed.	Applicants that are existing funding recipients may not be required to demonstrate their understanding of the community to be affected by the proposal. In some cases, the department may still use available information on the applicant's track record in the community. Note that some funding processes may only be open to existing funding recipients.
<b>2.1</b>	Proposal is suitably planned and scoped.	Where it is determined that the scope of the activities does not require a detailed plan for implementation with milestones and timeframes, this may not be required; mandatory sub-criterion 1.3 would still require the applicant to address the outcomes for the proposal.
<b>2.2</b>	If new service, implementation is addressed.	This is only relevant where new services are able to be established using the funding and may not be appropriate for applicants that are existing funding recipients.

## Attachment C – Service provider support and development activities

Sub-criterion	Description	Basis for waiver
2.3	Links with community addressed.	Applicants that are existing funding recipients may not be required to demonstrate their links to the community affected by the proposal. In some cases, the department may still use available information on the applicant's track record in the community. Note that some funding processes may only be open to existing funding recipients.
3.1	Demonstrates and provides evidence of need.	Applicants may not be required to demonstrate need where the department has identified particular priority activities, and/or priority locations, special needs groups or communities.
3.2	Demonstrates how the proposal will address the need.	Applicants may not be required to demonstrate how the proposal will address need where the department has identified particular priority activities, and/or priority locations, special needs groups or communities.
4.1	Demonstrates management expertise, skill, qualifications and experience.	Applicants that are existing funding recipients under the Commonwealth HACC Program may not be required to demonstrate their experience. In some cases, the department may still assess the applicant's track record under the program or other, similar programs. Note that some funding processes may only be open to existing funding recipients.
4.2	Demonstrates staff skill levels, qualifications and experience.	Applicants that are existing funding recipients under the Commonwealth HACC Program may not be required to demonstrate their experience. In some cases, the department may still assess the applicant's track record under the program or other, similar programs. Note that some funding processes may only be open to existing funding recipients.
4.3	Demonstrates capability to meet specific program requirements (e.g., complaints and quality).	Applicants that are existing funding recipients under the Commonwealth HACC Program may not be required to demonstrate their capability in delivering activities under the program. In some cases, the department may still assess the applicant's track record under the program or other, similar programs. Note that some funding processes may only be open to existing funding recipients. This may also not be appropriate for new applicants that are not existing funding recipients or for some funding processes.
4.4	Demonstrates capability to meet general obligations under the contractual arrangement (e.g., reporting and financial management).	Applicants that are existing funding recipients under the Commonwealth HACC Program may not be required to demonstrate their capability in delivering activities under the program. In some cases, the department may still assess the applicant's track record under the program or other, similar programs. Note that some funding processes may only be open to existing funding recipients. This may also not be appropriate for new applicants that are not existing funding recipients or for some funding processes.

## Attachment C – Service provider support and development activities

Sub-criterion	Description	Basis for waiver
6.2	Independent financial viability assessment.	This may not be required where the entity has had a recent financial viability assessment for a funding process run within the department or through general program management processes employed in the department. It may also not be appropriate for some funding processes.

### C.7.3 Waivers must be agreed to before the application kit is published

The final set of assessment criteria will be reflected in the application kit, including on the application form.

The funding approver must consider the reasons for any waiver/s and agree to any waiver/s before the application kit is published and publicly released. The funding approver cannot waive further assessment criteria after the application kit has been publicly released<sup>18</sup>.

## C.8 Other general requirements

Refer to section 3 of these Program Guidelines and the application kit for further information relating to other general requirements and for your responsibilities as an applicant.

### C.8.1 Other relevant eligibility considerations

Other relevant eligibility criteria may depend on the type of funding process and will be clearly identified in the application kit.

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<sup>18</sup> Note the department's rights set out on the first page of this attachment.



# **Attachment D – Capital activities**

The department reserves the right to amend this document and the Commonwealth HACC Program Manual from time to time by whatever means it may determine in its absolute discretion and will provide reasonable notice of these amendments.

### D.1 What will be funded?

Commonwealth HACC Program funding is to be used to support the service system in delivering basic maintenance, support and care services as outlined in the Commonwealth HACC Program Manual for clients aged 65 years and over and Aboriginal and Torres Strait Islander clients aged 50 years and over.

Under the Commonwealth HACC Program, capital works that support the service system are referred to as 'capital activities' and are defined in section D.1.1.

#### D.1.1 Defining capital activities

In exceptional circumstances, the department will consider proposals for Commonwealth HACC funding to be used for capital works, for either:

- ***New land and buildings*** for delivery of Commonwealth HACC Program basic maintenance, support and care services (i.e., service delivery activities - the service types).
- ***Refurbishments*** of land or building used for the delivery of Commonwealth HACC Program service types. Refurbishments may be major, that is, worth \$100,000 or more (GST inclusive) or minor, that is, worth less than \$100,000 (GST inclusive).

##### *D.1.1.1 Costs eligible for funding for capital activities*

Costs eligible for a capital activity funding through the Commonwealth HACC Program include:

- The cost of acquiring land on which are, or are to be built, premises to provide the services.
- The cost of acquiring, erecting, altering, extending or refurbishing premises needed for providing the services.
- The cost of acquiring furniture, fittings or equipment for the above premises.
- The cost of altering or installing furniture, fittings or equipment in premises for the above premises.

### D.2 What will not be funded?

Applicants that seek funding for capital activities that the department determines fall outside of the scope of the capital activities set out in section D.1.1 will be considered ineligible. In addition, the department may determine that an application is ineligible on the basis of the conditions set out below.

Capital works funding is not available to assist with the costs associated with:

## Attachment D - Capital activities

- Routine administration of the service, whether or not the costs are related to the proposed works.
- Acquiring and operating vehicles.
- Rent, insurance and state/territory and local government statutory charges (for example rates).

Capital infrastructure that is out of scope of the definition of capital activities includes infrastructure relating to:

- accommodation facilities such as independent living apartments, retirement villages or residential aged care facilities
- capital infrastructure projects undertaken by or on behalf of state or territory governments.

### D.2.1 The department may identify priorities

Any funding process for capital activities under the Commonwealth HACC Program may not cover all categories or sub-categories or examples of capital activities.

The department may, at its absolute discretion, identify which capital activities have been prioritised for a particular funding process. This identification of priorities will be set out in the application kit and may include identifying particular locations, special needs groups or communities. Any such identification of priorities for a funding process will be based on an evidenced based planning approach and will take into account issues and evidence about the effectiveness, efficiency and appropriateness of activities, as well as emerging ageing and aged care challenges.

### D.2.2 You may only seek funding for identified priorities

An applicant may only seek funding for the identified priorities.

If you seek funding for capital activities that have not been identified as priority, and/or seek funding for a location, special needs group or community that has not been identified as priority your application may be deemed ineligible.

### D.2.3 High costs may not be funded

The department may, at its absolute discretion, determine that the amount of funding you have sought for capital activities is unreasonably high and offer you a lower amount of funding. This may also apply if you seek additional funding to provide additional capital activities that are already being funded and delivered by you, and the cost increases from previous funding (including from that set out in the existing Program Schedule).

### D.2.4 Proposals that have already commenced will not be funded

## Attachment D - Capital activities

The department will not fund proposals that have already commenced. Funding will not be approved in respect of capital activities that have been contracted, commenced or completed prior to the formal execution of contractual arrangements.

You should not seek reimbursement for expenses or liabilities already incurred.

### D.2.5 Proposals that have been funded under another program will not be funded

The department will not fund proposals that have already been funded under another program or under one of the department's flexible funds. The department will not fund proposals that fall under the responsibility of another program or one of the department's flexible funds.

Applicants may seek additional funding for proposals that have received funding through another program.

## D.3 Who can apply for the funding?

### D.3.1 Eligible applicants

Eligibility of applicants will depend on the type of funding process and this will be identified in the application kit. Refer to section 4.2 for further information.

The department will not enter into contractual arrangements under the Commonwealth HACC Program with a consortium. Refer to section 1.3.3 for further information.

Australian state or territory governments are not eligible for funding for capital activities under the Commonwealth HACC Program.

## D.4 How much funding is available?

The amount of funding available for any funding process for capital activities will be set out in the application kit.

Funding will be payable subject to the terms and conditions set out in any contractual arrangement between the department and the successful applicant. The timing for funding will be set out in the application kit.

## D.5 What is the timeframe?

The timeframe for submission of applications for any funding process for capital activities, as well as the closing date and time, will be set out in the application kit.

## D.6 What is the type of funding process?

The type of funding process (e.g., direct, targeted or EOI) will be set out in the application kit.

## D.7 Which assessment criteria or sub-criteria will apply?

Section 4 of these Program Guidelines sets out the full suite of assessment criteria that may be used for any funding process under the Commonwealth HACC Program.

### D.7.1 Threshold criteria

Assessment criteria or sub-criteria may be used as threshold criteria for any funding process. If any of the assessment criteria or sub-criteria will be used as threshold criteria this will be clearly set out in the application kit.

### D.7.2 The funding approver may waive assessment criteria

The funding approver may, in respect of any funding process for capital activities, waive one or more of the sub-criteria from the full suite of assessment criteria. The sub-criteria that may be waived in respect of capital activities are as follows:

**Table D.1 Sub-criteria that may be waived for capital activities**

Sub-criterion	Description	Basis for waiver
2.2	If new service, implementation is addressed.	This is only relevant where new services are able to be established using the funding and may not be appropriate for applicants that are existing funding recipients.
2.3	Links with community addressed.	Applicants that are existing funding recipients may not be required to demonstrate their links to the community affected by the proposal. In some cases, the department may still use available information on the applicant's track record in the community. Note that some funding processes may only be open to existing funding recipients.
4.1	Demonstrates management expertise, skill, qualifications and experience.	Applicants that are existing funding recipients under the Commonwealth HACC Program may not be required to demonstrate their experience. In some cases, the department may still assess the applicant's track record under the program or other, similar programs. Note that some funding processes may only be open to existing funding recipients.

## Attachment D - Capital activities

Sub-criterion	Description	Basis for waiver
4.2	Demonstrates staff skill levels, qualifications and experience.	Applicants that are existing funding recipients under the Commonwealth HACC Program may not be required to demonstrate their experience. In some cases, the department may still assess the applicant's track record under the program or other, similar programs. Note that some funding processes may only be open to existing funding recipients.
4.3	Demonstrates capability to meet specific program requirements (e.g., complaints and quality).	Applicants that are existing funding recipients under the Commonwealth HACC Program may not be required to demonstrate their capability in delivering activities under the program. In some cases, the department may still assess the applicant's track record under the program or other, similar programs. Note that some funding processes may only be open to existing funding recipients. This may also not be appropriate for new applicants that are not existing funding recipients or for some funding processes.
4.4	Demonstrates capability to meet general obligations under the contractual arrangement (e.g., reporting and financial management).	Applicants that are existing funding recipients under the Commonwealth HACC Program may not be required to demonstrate their capability. In those cases, the department would still assess the applicant's track record. Note that some funding processes may only be open to existing funding recipients.
6.2	Independent financial viability assessment.	This may not be required where the entity has had a recent financial viability assessment for a funding process run within the department or through general program management processes employed in the department. It may also not be appropriate for some funding processes.

### D.7.3 Waivers must be agreed to before the application kit is published

The final set of assessment criteria will be reflected in the application kit, including on the application form.

The funding approver must consider the reasons for any waiver/s and agree to any waiver/s before the application kit is published and publicly released. The funding approver cannot waive further assessment criteria after the application kit has been publicly released<sup>19</sup>.

### D.7.4 Broad assessment requirements for capital activities

Proposals must be in scope for funding for capital activities and applicants must demonstrate that they have a lack of capacity to fund the proposed capital works taking into consideration all possible sources of finance, including debt finance.

<sup>19</sup> Note the department's rights set out on the first page of this attachment.

## Attachment D - Capital activities

Proposals will also be considered where the capital activity is urgently needed to meet Australian Government, state or local government fire, safety, health or workplace health and safety standards, or because of fire, flood, earthquake or any other unforeseen circumstances.

Priority of consideration and funding will be given where there is a risk that without the capital activity the service type will not be available to the Commonwealth HACC target population in that community.

Allocation of Commonwealth HACC Program funding to capital activities will also consider the proposal against the planning principles for the program:

- Equity – where the target population in that region has equitable access to a broad range of basic care services.
- Equality of Access - ensuring that eligible people with special needs are able to access appropriate services.
- Efficiency – ensuring value for money, delivery of contracted hours within budget.
- Quality - ensuring that growth funding is directed to entities that have demonstrated their commitment to providing quality services including through review against the Community Care Common Standards.

The impact of allocating funding to the proposal for a capital activity may limit funding available to other proposal in the region which could compromise the planning principles. These impacts will also be considered.

### D.8 Other general requirements

Refer to section 3 of these Program Guidelines and the application kit for further information relating to other general requirements and for your responsibilities as an applicant.

#### D.8.1 Other relevant requirements

Successful applicants should be aware that, subject to certain thresholds, the National Code of Practice for the Construction Industry (the Code), the associated Australian Government Implementation Guidelines for the National Code of Practice for the Construction Industry (the Guidelines) and the Australian Government Building and Construction OHS Scheme (the Scheme) will apply to the capital activity and will be reflected in the contractual arrangement. Please contact the Office of the Federal Safety Commissioner for further information on the Scheme. The [Code and Guidelines](#) can be obtained at [www.deewr.gov.au](http://www.deewr.gov.au) or by calling 1300 731 293.

#### D.8.2 Other relevant eligibility considerations

Other relevant eligibility criteria may depend on the type of funding process and will be clearly identified in the application kit.

# **Attachment E – Unsolicited proposals**

The department reserves the right to amend this document and the Commonwealth HACC Program Manual from time to time by whatever means it may determine in its absolute discretion and will provide reasonable notice of these amendments.



### E.1 What will be funded?

Commonwealth HACC Program funding is to be used to support service providers (i.e., funding recipients) in delivering basic maintenance, support and care services and service system development activities as outlined in the Commonwealth HACC Program Manual for clients aged 65 years and over and Aboriginal and Torres Strait Islander clients aged 50 years and over.

#### E.1.1 Which unsolicited proposals may be accepted?

An unsolicited proposal is one that is received by the department outside of any funding process for the Commonwealth HACC Program. Unsolicited proposals are only able to be submitted for eligible activities under the Commonwealth HACC Program as set out in the attachments to these Program Guidelines.

The department has no obligation to accept an unsolicited proposal.

However, if the department considers that it would be appropriate to accept an unsolicited proposal, the department will notify the applicant in writing enclosing an application kit (and an application form). The notification will set out any conditions the department may set on the acceptance of the unsolicited proposal. For the proposal to be assessed by the department the applicant must return the completed application form in accordance with the application kit and these Program Guidelines, with evidence to support its claims regarding the reasons for its unsolicited proposal, by the closing date and time set out in the notice and/or the application kit. If the application is received after the closing date and time, it will be considered late (refer to section 3.1.8 for further information).

The department may assess unsolicited proposals in accordance with these guidelines and the attachment for the activity under which the proposal falls. For example, if the proposal is to build a new facility from which basic maintenance, support and care services would be delivered, the proposal may be assessed in accordance with the capital activities attachment.

The department will not provide an immediate response to an unsolicited proposal or to the submitted application for an unsolicited proposal.

Any decisions by the department to accept or not accept an unsolicited proposal or to assess or not assess an unsolicited proposal or to fund or not fund an unsolicited proposal will be final.

### E.2 What will not be funded?

Applicants that seek funding for any activities that the department determines fall outside of the scope of the activities set out in the attachments to these Program Guidelines will be considered ineligible. In addition, the department may not accept an unsolicited proposal on the basis of the conditions set out below.

## Attachment E – Unsolicited proposals

### E.2.1 Proposals for activities that have existing or upcoming or recently completed funding processes may not be accepted

If a funding process for the activity covered by the proposal is currently running or will run in the near future, the department may not accept the proposal and may instead advise the applicant to submit the proposal through that process.

The department may not accept a proposal when an appropriate funding process for that proposal has been recently completed.

### E.2.2 Proposals that do not meet the priorities for an activity may not be accepted

If a proposal does not align with the priorities set for an activity in the most recent funding process for the activity, then it may not be accepted by the department.

### E.2.3 High costs may not be funded

The department may, at its absolute discretion, determine that the amount of funding you have sought is unreasonably high and offer you a lower amount of funding. This may also apply if you seek additional funding to provide activities that are already being funded and delivered by you, and the cost increases from previous funding (including from that set out in the existing Program Schedule).

### E.2.4 Proposals that have already commenced may not be funded

The department may not fund proposals that have already commenced. Funding may not be approved in respect of activities that have been contracted, commenced or completed prior to the formal execution of contractual arrangements.

You should not seek reimbursement for expenses or liabilities already incurred.

### E.2.5 Proposals that have been funded under another program will not be funded

The department will not fund proposals that have already been funded under another program or under one of the department's flexible funds.

Applicants may seek additional funding for proposals that have received funding through another program.

### E.3 Who can apply for the funding?

#### E.3.1 Eligible applicants

Eligibility of applicants will depend on the type of funding process and this will be identified in the application kit. Refer to section 4.2 for further information.

The department will not enter into contractual arrangements under the Commonwealth HACC Program with a consortium. Refer to section 1.3.3 for further information.

Australian State or Territory Governments are not eligible for funding for capital activities under the Commonwealth HACC Program.

### E.4 How much funding is available?

Funding may be recurrent (across a set number of years) or one-off (strictly time-limited). Funding will be payable subject to the terms and conditions set out in any contractual arrangement between the department and the successful applicant. The timing for funding will be set out in the application kit.

### E.5 What is the timeframe?

The timeframe for submission of applications for any funding process, as well as the closing date and time, will be set out in the application kit.

### E.6 Which assessment criteria or sub-criteria will apply?

Section 4 of these Program Guidelines sets out the full suite of assessment criteria that may be used for any funding process under the Commonwealth HACC Program.

#### E.6.1 Threshold criteria

Assessment criteria or sub-criteria may be used as threshold criteria for any funding process. If any of the assessment criteria or sub-criteria will be used as threshold criteria this will be clearly set out in the application kit.

#### E.6.2 The funding approver may waive assessment criteria

## Attachment E – Unsolicited proposals

The funding approver may, in respect of any funding process, waive one or more of the sub-criteria from the full suite of assessment criteria. The sub-criteria that may be waived in respect of unsolicited proposals are as follows:

**Table E.1 Sub-criteria that may be waived for unsolicited proposals**

Sub-criterion	Description	Basis for waiver
1.2	Community affected by the proposal is addressed.	Applicants that are existing funding recipients may not be required to demonstrate their understanding of the community to be affected by the proposal. In some cases, the department may still use available information on the applicant's track record in the community. Note that some funding processes may only be open to existing funding recipients.
2.1	Proposal is suitably planned and scoped.	Where it is determined that the scope of the activities does not require a detailed plan for implementation with milestones and timeframes, this may not be required; mandatory sub-criterion 1.3 would still require the applicant to address the outcomes for the proposal.
2.2	If new service, implementation is addressed.	This is only relevant where new services are able to be established using the funding and may not be appropriate for applicants that are existing funding recipients.
2.3	Links with community addressed.	Applicants that are existing funding recipients may not be required to demonstrate their links to the community affected by the proposal. In some cases, the department may still use available information on the applicant's track record in the community. Note that some funding processes may only be open to existing funding recipients.
3.1	Demonstrates and provides evidence of need.	Applicants may not be required to demonstrate need where the department has identified particular priority activities, and/or priority locations, special needs groups or communities.
3.2	Demonstrates how the proposal will address the need.	Applicants may not be required to demonstrate how the proposal will address need where the department has identified particular priority activities, and/or priority locations, special needs groups or communities.
4.1	Demonstrates management expertise, skill, qualifications and experience.	Applicants that are existing funding recipients under the Commonwealth HACC Program may not be required to demonstrate their experience. In some cases, the department may still assess the applicant's track record under the program or other, similar programs. Note that some funding processes may only be open to existing funding recipients.

## Attachment E – Unsolicited proposals

Sub-criterion	Description	Basis for waiver
4.2	Demonstrates staff skill levels, qualifications and experience.	Applicants that are existing funding recipients under the Commonwealth HACC Program may not be required to demonstrate their experience. In some cases, the department may still assess the applicant's track record under the program or other, similar programs. Note that some funding processes may only be open to existing funding recipients.
4.3	Demonstrates capability to meet specific program requirements (e.g., complaints and quality).	Applicants that are existing funding recipients under the Commonwealth HACC Program may not be required to demonstrate their capability in delivering activities under the program. In some cases, the department may still assess the applicant's track record under the program or other, similar programs. Note that some funding processes may only be open to existing funding recipients. This may also not be appropriate for new applicants that are not existing funding recipients or for some funding processes.
4.4	Demonstrates capability to meet general obligations under the contractual arrangement (e.g., reporting and financial management).	Applicants that are existing funding recipients under the Commonwealth HACC Program may not be required to demonstrate their capability in delivering activities under the program. In some cases, the department may still assess the applicant's track record under the program or other, similar programs. Note that some funding processes may only be open to existing funding recipients. This may also not be appropriate for new applicants that are not existing funding recipients or for some funding processes.
6.2	Independent financial viability assessment.	This may not be required where the entity has had a recent financial viability assessment for a funding process run within the department or through general program management processes employed in the department. It may also not be appropriate for some funding processes.

### E.6.3 Waivers must be agreed to before the application kit is published

The final set of assessment criteria will be reflected in the application kit, including on the application form.

The funding approver must consider the reasons for any waiver/s and agree to any waiver/s before the application kit is released to the applicant. The funding approver cannot waive further assessment criteria after the application kit has been released to the applicant<sup>20</sup>.

<sup>20</sup> Note the department's rights set out on the first page of this attachment.

### E.7 Other general requirements

Refer to section 3 of these Program Guidelines and the application kit for further information relating to other general requirements and for your responsibilities as an applicant.

## **Attachment E – Unsolicited proposals**

### **E.7.1 Other relevant eligibility considerations**

Other relevant eligibility criteria may depend on the type of funding process and will be clearly identified in the application kit.