

Boosting the Local Care Workforce Program

Sector Transition and Employer Support (STES) Initiative Transition Assistance Funding

Transition Assistance Funding Opportunity Guidelines

March 2019



Contents

1.	Background on the Boosting the Local Care Workforce Program	2
2.	Transition Assistance Funding Objectives and Purpose	2
2.1	Funding amount	2
2.2	How much Transition Assistance Funding can I apply for?	3
2.3	What are eligible activities?	3
2.4	Who is eligible to apply for Transition Assistance Funding?	4
3.	How does the application process work?	5
3.1	Applying for Transition Assistance Funding	6
3.2	How do I apply?	7
3.3	When do applications open and close?	7
3.4	How will my application be assessed?	7
3.5	Priority areas for this round	8
3.6	Approval	8
3.7	If your application is successful	8
3.8	If your application is unsuccessful	8
3.9	What happens during the direct contact session?	9
3.10	Transition Assistance Funding Agreement	9
3.11	How will Transition Assistance Funding be paid	9
3.12	Variations to the Transition Assistance Funding Agreement	10
3.13	Tax obligations	10
4.	Other things you should know	10
4.1	Conflict of interest	10
4.2	Use of your information	10
4.3	Confidential and personal information	11
4.4	Freedom of Information	11
4.5	Information and storage	12
4.6	Publishing of successful applicants	12
4.7	Probity	12
4.8	Fraudulent applications	12
4.9	Terms and Conditions	12
4.10	Feedback and complaints	13

Purpose of these guidelines

These guidelines relate to the Boosting the Local Care Workforce Program Transition Assistance Funding opportunity.

For further assistance please check the [program website](#) or contact the Community Grants Hub at support@communitygrants.gov.au.

1. Background on the Boosting the Local Care Workforce Program

Ernst & Young (EY) is delivering the Boosting the Local Care Workforce Program Transition Assistance Funding to support organisations in the disability and aged care sectors in their transition to the National Disability Insurance Scheme (NDIS).

Announced in the 2017-18 Budget, the \$33 million program comprises three initiatives: the Regional Coordinator (RC) initiative; Specialist Coordinator (SC) initiative; and the Sector Transition and Employer Support (STES) initiative. This funding opportunity relates to the Transition Assistance Funding, under the STES initiative.

2. Transition Assistance Funding Objectives and Purpose

Under this Transition Assistance Funding opportunity, eligible disability service providers will be able to apply for funding of up to \$20,000 (GST exclusive) to purchase tailored professional services, including business advice.

The Transition Assistance Funding aims to assist organisations to:

1. attract, retain and optimise their workforce
2. improve awareness of the opportunities and ability to enter/expand and collaborate in the disability sector
3. develop skills and capabilities required to effectively operate in a consumer-driven disability market.

Applicants must complete the [Readiness Assessment](#) before commencing the application form. You will be provided with a unique identifier after completing the Readiness Assessment and will be required to include this in the application form.

This Transition Assistance Funding opportunity is for organisations that are NDIS registered, or those intending to seek NDIS registration in the next 18 months. If you are not NDIS registered or intending to seek NDIS registration in the next 18 months, you will be unable to complete an application for funding. See Section 2.4 for more information. If you are unsure, please contact the Community Grants Hub at support@communitygrants.gov.au.

2.1 Funding amount

A maximum funding pool of up to \$5,600,000 (GST exclusive) is available for this current round.

2.2 How much Transition Assistance Funding can I apply for?

Eligible applicants can apply for Transition Assistance Funding between \$5,000 and \$20,000 (GST exclusive). It should be noted that:

1. Only one application per organisation can be submitted in this round. It is suggested that you coordinate this application within your organisation. If an application has been submitted in error, please use the Contact Us form on the [program website](#).
2. Transition Assistance Funding can only be used for eligible activities that have not received funding from the Commonwealth or State or Territory Governments.
3. Funding can be used on more than one eligible activity (see Section 2.3 below for more information).
4. The minimum funding amount is \$5,000 (GST exclusive) as it is expected that this is the minimum amount required to purchase eligible activities and meet the intended outcomes of the program. If less than \$5,000 is required this will be agreed during direct contact sessions if your application is successful.

2.3 What are eligible activities?

The Transition Assistance Funding can only be used for eligible activities. Guides to purchasing services, a list of Professional Business Consultants and a list of eligible activity types will be made available on the program website. Transition Assistance Funding can be used to purchase multiple eligible activities.

Eligible activities are broad in nature and will vary between organisations. Eligible activities need to meet all of the following requirements. They:

1. link to an area of need identified in the recommendations of an organisation's Readiness Plan. By using the Readiness Plan as a guide for service packages, the program is ensuring that the funding is being used to address identified needs within the organisation which will benefit their transition to the NDIS
2. may assist to establish new or grow existing capability in the organisation as set out in the program's objectives
3. involve advice from service providers external to the organisation or by those who are currently not employed by the organisation
4. are not an ineligible activity (refer to the template Transition Assistance Funding Agreement).

For further information on the above, please refer to the template Transition Assistance Funding Agreement.

2.4 Who is eligible to apply for Transition Assistance Funding?

You are eligible to apply for Transition Assistance Funding if you have an ABN (or can access an ABN through an auspicing arrangement) and are one of the entities described in Column 1 of the table below:

Column 1	Column 2
<p>You are an eligible legal entity type if you are one of the following:</p> <ul style="list-style-type: none"> • Indigenous Corporation • Company¹ • Co-operative • Incorporated Association • Sole Trader • Partnership² • Trustee on behalf of a Trust³ • Unincorporated association⁴ 	<p>You are not an eligible legal entity type if you are one of the following:</p> <ul style="list-style-type: none"> • Corporate Commonwealth Entity • Non-corporate Commonwealth Entity • Non-corporate Commonwealth Statutory Authority • Commonwealth Company • Corporate State or Territory Entity • Non-corporate State or Territory Entity • Non-corporate State or Territory Statutory Authority • Local Government⁵ • Person without an ABN⁶ • International Entity • Statutory Entity • Regional Co-ordinator in the Program • Specialist Co-ordinator in the Program

Information on the different types of businesses is available [here](#).

For organisations applying under an auspicing arrangement, you will need to complete the Auspice Authorisation Form as well. Auspice Authorisation Forms will need to be sent to support@communitygrants.gov.au.

You do not need to be an NDIS registered entity to be eligible for Transition Assistance Funding. However, if you are not NDIS registered and do not intend to seek NDIS registration in the next 18 months, you will be unable to complete an application for funding.

The following organisations are strongly encouraged to apply:

- those currently NDIS registered
- those in the process of seeking NDIS registration

¹ Company is a company incorporated under the Corporations Act 2001 (Cth)

² Partnership – the individual partners will enter in to the agreement with the agency. A Partnership Agreement or a list of all individual partners of the Partnership may be requested.

³ Trusts are not legal entities in their own right – to be eligible, the Trustee needs to be an eligible legal entity type for the Trust can apply by providing the signed Trust Deed and any subsequent variations with the Application Form

⁴ Unincorporated associations will only be eligible if there is either:

- A legal entity type with the capacity to enter into a legally binding agreement on behalf of the unincorporated association (such as through an auspicing arrangement).
- An individual (including a company) representing the unincorporated association, who is legally responsible and liable for the agreement.

⁵ Includes New South Wales local governments created as Body Politics.

⁶ A person is a natural person, an individual, a human being. A person does not include a sole trader with an ABN.

- those likely to seek NDIS registration in the next 18 months if you are one or more of the following type of organisation:
 - Aboriginal Medical Services (AMS) or Aboriginal Community Controlled Health Organisation (ACCHO)
 - Aged Care provider
 - Disability (non NDIS) service provider
 - Health and other service organisation (defined as one of the following)
 - Hospital services and rehabilitation activities service provider
 - Mental health and crisis intervention service provider
 - Housing and homelessness service provider
 - Self-help and personal social welfare service provider
 - Provides services to people from culturally and linguistically diverse backgrounds
 - Participant advocacy provider
 - subcontracting to an NDIS registered organisation.

3. How does the application process work?

There are eight steps from application to reporting on the delivery of Transition Assistance Funding by recipients.

1. Applicant completes the Readiness Assessment and generates a Readiness Plan

Applicants must complete the [Readiness Assessment](#) to generate a Readiness Plan.



2. Applicant completes the Transition Assistance Funding Application

The applicant will need to complete all questions in the application form, including providing the unique identifier provided at the end of your Readiness Assessment.



3. Application is assessed by Transition Assistance Funding Team

The Transition Assistance Funding Team (EY) will assess the application against the eligibility criteria and program priority areas for the round. EY will have the final decision to approve Transition Assistance Funding recipients.



4. Successful applicant is notified

The Transition Assistance Funding Team (EY) will email the applicant to advise them of the outcome of the application. Unsuccessful applicants may not be notified until Transition Assistance Funding Agreements have been executed with successful applicants.



5. Direct contact sessions are held

Direct Contact Sessions are held between the Transition Assistance Funding Team and the successful applicant to discuss their Readiness Plan and the eligibility of the activities they are intending to conduct.



6. Transition Assistance Funding Agreement is established

The Transition Assistance Funding Team (EY) will enter into a Transition Assistance Funding Agreement with the successful applicant.



7. Transition Assistance Funding is paid

Transition Assistance Funding is paid to the successful applicant so that eligible activities can be carried out as prescribed in their respective Transition Assistance Funding Agreement.



8. Transition Assistance Funding Reporting

The recipient submits the surveys and reports in accordance with their Transition Assistance Funding Agreement.

3.1 Applying for Transition Assistance Funding

When applying for Transition Assistance Funding, you will be asked to complete **both**:

1. A '**Readiness Assessment**', which is a self-assessment of your organisation's existing systems, processes and overall readiness to either become a National Disability Insurance Scheme (NDIS) registered provider or sustain or expand services as a registered provider. The responses in the Readiness Assessment generate a '**Readiness Plan**' that will highlight actions that your organisation may wish to consider taking, to support your organisation to be equipped for NDIS reform.

The Readiness Assessment can be completed more than once. The version nominated in the application form will be taken to be the correct version. The assessment can be accessed on the [program website](#).

If you need assistance to complete your Readiness Assessment please use the contact us form on the [program website](#). Requests for assistance must be made by 18 April 2019.

2. An **Application Form**, which asks key questions about your organisation.

If you need assistance to complete the application form please contact the Community Grants Hub on 1800 020 283 or support@communitygrants.gov.au.

3.2 How do I apply?

A [Readiness Assessment and Readiness Plan](#) must be completed before completing an application.

After this has been completed you can complete the online Transition Assistance Funding Application form.

If an application is not successful in this round, it will automatically be considered if there are subsequent rounds. Unless an applicant withdraws their application, unsuccessful applications will be automatically submitted into a subsequent round by the Transition Assistance Funding Team and these applicants will not need to resubmit the application themselves.

If an applicant decides to withdraw an application, they may do so in writing via the contact us form on the [program website](#).

3.3 When do applications open and close?

Transition Assistance Funding applications for this round will be open as per timelines below.

Round	Applications open	Applications close	Successful applicants notified
1	23 March 2019	26 April 2019 11:00pm AEST	From 28 June 2019

The Transition Assistance Funding Team will not accept late applications unless the applicant can demonstrate that exceptional circumstances beyond their control resulted in an inability to meet the deadline.

Examples of exceptional circumstances could include, but are not limited to:

- Hub infrastructure failure
- natural disasters
- power outages.

The Transition Assistance Funding Team will make the final determination about whether to accept a late application after the round has closed. The decision will be made after considering the exceptional circumstances provided by the applicant.

3.4 How will my application be assessed?

The Transition Assistance Funding Team will assess your application based on:

- your eligibility (see section 2.4)
- consideration of the priority areas for the program (see section 3.5)
- consideration of geographical distribution amongst States and Territories

- consideration of the geographical areas and types of services currently being delivered and planned for delivery
- consideration of whether your organisation has previously received grants or assistance designed to assist the applicant to transition to the NDIS, including from State and Territory Governments
- whether your application will achieve value with relevant money
- the available funding for this round.

3.5 Priority areas for this round

Priority areas for this round include Aboriginal and/or Torres Strait Islander service providers, providers delivering to remote locations and/or other areas where there are NDIS service gaps.

3.6 Approval

Following Assessment (see Section 3.4), the Transition Assistance Funding Team (EY) will decide which Transition Assistance Funding applications are successful.

Your application may not be successful if:

- you do not complete the application process (see section 3)
- you do not meet the specified eligibility criteria (see section 2.4)
- your proposed activity is not an Eligible Activity (see section 2.3)
- your application does not meet one of the priority areas for this round (see section 3.5)
- if the maximum available funding for this round is reached (see section 2.1)
- you do not meet other requirements of the application process such as participating in direct contact or agreeing to meet the conditions of the Transition Assistance Funding (see section 3)
- you are the subject of legal action or are convicted of fraud (see section 4.8).

If you have questions about your application, you can contact the Community Grants Hub on 1800 020 283 or support@communitygrants.gov.au. Please allow 7 days for responses to your submitted question. Questions must be lodged by 18 April 2019 to ensure responses are provided before the application close date.

3.7 If your application is successful

You will be notified of the outcome of your application within one month from 28 June 2019. If you wish to withdraw your application, you can do so before all Transition Assistance Funding Agreements have been fully executed through the contact us form on the [program website](#).

3.8 If your application is unsuccessful

If an application is not successful in this round, it will automatically be considered if there are subsequent rounds. Unless an applicant withdraws their application, unsuccessful applications will be automatically submitted into a subsequent round by the Transition Assistance Funding Team and these applicants will not need to resubmit the application themselves.

3.9 What happens during the direct contact session?

If you are successful, you will be asked to select a time for a direct contact session in your notification email from EY. These sessions will be conducted over the telephone, and you will be requested to nominate an attendee from your organisation. It is suggested that only one attendee attend the direct contact session, however, you can request for additional attendees to attend. If you will require translation services or other support to be organised, you can request this by contacting the Transition Assistance Funding Team.

The attendee must have an understanding of the organisation's Readiness Plan, the priorities of the organisation, and have the authority on behalf of the organisation to agree the activities the organisation wishes to undertake with the Transition Assistance Funding Team.

The output of the direct contact session will be a tailored Transition Assistance Funding Agreement that confirms the activities and reporting requirements for the funding.

Participation in a direct contact session and returning a signed agreement are prerequisites for Transition Assistance Funding payment to be made.

3.10 Transition Assistance Funding Agreement

The Transition Assistance Funding Agreement is the legally binding agreement between EY and the recipient. It outlines the dollar value of the Transition Assistance Funding, the terms and conditions, the reporting obligations and the consequences if organisations fail to comply with the agreement. Recipients who do not spend their allocated funding and/or spend the funding on ineligible activities, may be asked to repay the Transition Assistance Funding.

The Transition Assistance Funding Team will work with recipients wherever possible to ensure they are able to meet their reporting obligations. Reporting requirements are detailed in the Transition Assistance Funding Agreement.

A sample Transition Assistance Funding Agreement is available on the [Community Grants Hub website](#).

Once the Transition Assistance Funding Agreement has been finalised, recipients will be notified via email (allow at least 5 working days from the direct contact session).

The Transition Assistance Funding Agreement must be signed by an authorised officer with authority to legally bind the applicant, within 30 days of the direct contact session.

You should not make any financial commitments until a Transition Assistance Funding Agreement has been executed and you have received the funds.

3.11 How will Transition Assistance Funding be paid

Applicants will be asked to nominate their bank account details in the application form. Once a Transition Assistance Funding Agreement has been signed and returned, Transition Assistance Funding will be paid within 14 working days as a lump sum payment.

3.12 Variations to the Transition Assistance Funding Agreement

During the course of the Transition Assistance Funding Agreement, recipients may wish to vary their Transition Assistance Funding Agreement. Variations must be approved in writing by the Transition Assistance Funding Team and will only be considered where the variation is consistent with the rules outlined in these guidelines.

Recipients must contact the Transition Assistance Funding Team (details will be provided at a later date) to discuss any variations to an agreement.

3.13 Tax obligations

Transition Assistance Funding may be subject to Goods and Services Tax (GST) depending on the GST registration status of the recipient.

4. Other things you should know

4.1 Conflict of interest

A conflict of interest may arise when a person has a:

- professional, commercial or personal relationship with a party who is able to influence the application selection process
- relationship with, or interest in, an organisation which is likely to interfere with or restrict the recipient from carrying out the proposed activities fairly and independently
- relationship with, or interest in, an organisation from which they will receive personal gain because the organisation receives funding under the program.

As part of your application, you will be asked to declare any perceived or existing conflicts of interests or that, to the best of your knowledge, there is no conflict of interest.

If you later identify that there is an actual, apparent, or potential conflict of interest or that one might arise in relation to a Transition Assistance Funding Application, you must inform the Transition Assistance Funding Team in writing immediately. Failure to do so may see your Transition Assistance Funding Agreement terminated and require you to repay the Transition Assistance Funding.

All Transition Assistance Funding assessment staff members are employees of EY and are subject to the EY independence policies. You can raise concerns to EY directly through the EY controlled email address, or anonymously via the independently run [EY Ethics Point](#) website.

4.2 Use of your information

Unless the information provided to the program is confidential or personal information (as defined in Section 4.3) the program may disclose the information to any person for any purpose directly related to the activities and functions of the Australian Government, including but not limited to the purpose of:

- announcing the awarding of Transition Assistance Funding (where applicable)

- improving the effective administration, monitoring and evaluation of this or other Commonwealth programs
- conducting research, either for commercial or academic (non-commercial) purposes, within the program or a Commonwealth Department or agency.

4.3 Confidential and personal information

The program will treat your information as ‘confidential information’ if the information is clearly identified as confidential and the information has the necessary quality of confidence (that is, it must be significant information which is private and not already in the public domain).

Information that is, or becomes public knowledge (other than by breach of any confidentiality obligation) will not be considered to be confidential information.

EY is bound by the Australian Privacy Principles (APPs) outlined in Schedule 1 of the *Privacy Act 1988 (Cth)*. The APPs regulate how the Department of Social Services may collect, use, disclose and store personal information.

‘Personal information’ under the *Privacy Act 1988* means information or an opinion (whether true or false) about a natural person who is reasonably identifiable.

EY will not be taken to have breached any obligation to keep information provided by you confidential to the extent that the information is:

- disclosed by EY to the Commonwealth’s advisers, officers, employees, contractors or subcontractors in order to conduct the funding round or to prepare and manage any resultant agreement
- disclosed by EY to the professional business consultants on the list to enable engagement to occur with recipients
- disclosed to EY’s internal management personnel, solely to enable effective management or auditing of the funding round
- disclosed by the Commonwealth to the responsible Minister or their staff
- disclosed by the Commonwealth in response to a request by a House or a Committee of the Parliament of the Commonwealth of Australia
- shared by EY internally, or with an Australian Government department or agency, for the purposes of administering the BLCW program or other Australian Government policies related to the NDIS
- authorised or required by law to be disclosed
- disclosed for annual reporting purposes.

Please read our Privacy Policy on the [EY’s website](#) for more information on:

- what constitutes personal information
- how we collect, use, store and disclose your personal information
- how you can access and correct your personal information.

4.4 Freedom of Information

All documents in the possession of the Australian Government, including those about the program, are subject to the *Freedom of Information Act 1982* (FOI Act).

The purpose of the FOI Act is to give members of the public rights of access to information held by the Australian Government and its entities. Under the FOI Act, members of the public can seek access to documents held by the Australian Government. This right of access is limited only by the exceptions and exemptions necessary to protect essential public interests and private and business affairs of persons in respect of whom the information relates.

All Freedom of Information requests must be referred to the Freedom of Information Coordinator in writing.

By mail: Freedom of Information Coordinator
 The Department of Social Services
 Government and Executive Services Branch
 GPO Box 9820
 Canberra ACT 2601

By email: foi@dss.gov.au

4.5 Information and storage

Any information obtained will be stored and held in accordance with the Archives Act 1983.

4.6 Publishing of successful applicants

Successful applicants may be publicly announced by the program and details of the announcement may include:

- name of your business
- amount of Transition Assistance Funding awarded (where applicable).

Details of successful applicants will also be published on the program website.

4.7 Probity

The program will work to ensure that the Transition Assistance Funding process is as fair as possible; according to the published guidelines; incorporates appropriate safeguards against fraud, unlawful activities and other inappropriate conduct; and is consistent with the *Commonwealth Grants Rules and Guidelines*.

4.8 Fraudulent applications

The program reserves the right to rescind an offer of Transition Assistance Funding if the application is found to be fraudulent.

4.9 Terms and conditions

The terms and conditions contained in the Transition Assistance Funding Agreement are non-negotiable. It is expected that the Terms and Conditions contained in the Transition Assistance Funding Agreement will be the same for all recipients.

4.10 Feedback and complaints

Any questions that you have about Transition Assistance Funding decisions for the program should be sent through the Contact Us form on the [BLCW program website](#).

Any complaints about the Transition Assistance Funding or Transition Assistance Funding Agreement should first be directed to EY.

You can lodge complaints with EY through the Contact Us form on the [BLCW Program website](#).

In the event that the issue is not resolved, you should proceed with the Department of Social Services [Complaints Procedures](#).

You can lodge complaints with the Department of Social Services through the [complaints form](#) on the Department's website or through the following channels:

Telephone: 1800 634 035

Mail: DSS Complaints
PO Box 9820
Canberra Business Centre ACT 2610

If you are at any time dissatisfied with the handling of a complaint by the Department of Social Services or the Community Grants Hub, they can contact the Commonwealth Ombudsman by:

Mail: Commonwealth Ombudsman
GPO Box 442
Canberra ACT 2601

Phone: (Toll free) 1300 362 072

Email: ombudsman@ombudsman.gov.au

Website: www.ombudsman.gov.au

You can also lodge a complaint about the Department of Social Services or the Community Grants Hub using the complaints form on the [complaints page](#) of the Commonwealth Ombudsman website.