



Delivered by the
National Disability
Insurance Agency

***Community Inclusion and Capacity Development (CICD)
Program Guidelines***

***Implementing
Information, Linkages and Capacity Building (ILC)***

2016-17 to 2019-20

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1. Program Overview - Community Inclusion and Capacity Development

1.1. Background

The National Disability Insurance Scheme (NDIS) is the new way of providing support to people with disability in Australia. The goal of the NDIS is to increase the social and economic participation of Australians with disability. The National Disability Insurance Agency (NDIA) is a corporate Commonwealth entity whose role is to implement the NDIS.

The NDIS has two parts:

1. Individual NDIS plans for people whose permanent disability has a significant impact on their ability to take part in everyday activities; and
2. Information, Linkages and Capacity Building (ILC).

Both parts work together to support people with disability. It is important not to see ILC as something separate to the rest of the NDIS but an integral part of it. Success in ILC will make an important contribution to the success and sustainability of the NDIS. Ensuring people are connected into their communities, using the same services and participating in the same activities as everyone else will mean that, over time, people will rely less on specialist disability support. ILC also has an important role to play in supporting people with disability who do not have an NDIS plan. By providing appropriate support in the community, it will help make sure people only move into the scheme when necessary.

The Community Inclusion and Capacity Development (CICD) Program was established as part of the NDIS funding commitment by the Commonwealth in the 2013-14 Portfolio Budget Statement as the Program by which the ILC component of the NDIS was to be funded.

During the NDIS trial period, a number of activities were funded through the CICD fund. These projects were designed to promote the economic and/or social participation of people with disability, to raise awareness of disability issues within community or to meet identified needs within the NDIS trial site.

The scope and purpose of ILC has subsequently been agreed by Governments and described in the ILC Policy. The Information, Linkages and Capacity Building Commissioning Framework, November 2016 (*ILC Commissioning Framework*) has built on the ILC Policy to articulate the goals and outcomes expected for ILC. The CICD Program Guidelines have been updated to reflect the requirements of the ILC Policy and the *ILC Commissioning Framework* and should be read alongside both of those documents. The NDIA is committed to working closely with the Australian Government and the states and territories to ensure the successful implementation of ILC and the NDIS.

1.2. Scope of the CICD Program Guidelines

The CICD Program Guidelines are only applicable to the following four Activity Areas described in the ILC Policy and *ILC Commissioning Framework*:

- Information, linkages and referrals
- Capacity building for mainstream services
- Community awareness and capacity building
- Individual capacity building.

The remaining ILC stream included in the ILC Policy is Local Area Coordination (LAC). This is not in scope for the CICD Program Guidelines nor in scope for CICD Program Activities (outlined below). LAC is funded through the NDIS Partners in Community Program and with NDIA resources. The Partners in Community Program has its own program guidelines and application process. Any reference in this document or the *ILC Commissioning Framework* referring to ILC funding therefore excludes LAC. Where there is an inconsistency between

the ILC Policy, the *ILC Commissioning Framework* and the CICD Program Guidelines, the CICD Program Guidelines will prevail.

The NDIA will progressively introduce ILC in states and territories across Australia (except Western Australia). Each state and territory will transition into full ILC at a time that aligns to their broader transition to the NDIS. Prioritisation of funding within the CICD Program Guidelines will however change over time and across jurisdictions reflecting negotiations with jurisdictions and locally based need and opportunities as they arise. The NDIA therefore reserves the right to update the *ILC Commissioning Framework* and the CICD Program Guidelines as required. Any such updates will be made available via the NDIA's website.

The Commonwealth and Western Australian Governments have signed a Bilateral Agreement covering the implementation of the NDIS in Western Australia, which provides for Western Australia to fund ILC in that State. Organisations that are successful in receiving a grant under the CICD Program will not be funded for activities in Western Australia.

1.3. Objective

The objective of the CICD Program is to build innovative ways to increase the independence, social and community participation of people with a disability.

2. CICD Program Activities

The CICD Program Activities consist of two activities:

- ILC Jurisdictional Based Grants (Program Activity One); and
- ILC National Readiness Grants (Program Activity Two).
(collectively referred to as the 'CICD Program Activities').

The CICD Program Activities recognise the transition from a state-based system to a national approach for ILC.

2.1. Program Activity One – ILC Jurisdictional Based Grants

The objective of Program Activity One is to facilitate the staged jurisdictional roll out of ILC. This will include open commissioning of ILC activities in jurisdictions as well as the provision of grants to state and territory governments to facilitate transition to ILC between 2016-17 and 2019-20.

2.1.1 Aim

The aim of Program Activity One - ILC Jurisdictional Based Grants is to fund activities that deliver clear benefits for people with disability their families and carers in one of the following four areas of the ILC Policy:

- **Information, linkages and referrals** – activities that provide people with disability and their families and carers with access to up-to-date, relevant and quality information and/or make sure they are linked into services and supports in the community that meet their needs.
- **Capacity building for mainstream services** – activities that increase mainstream services knowledge and skills to meet the needs of people with disability.
- **Community awareness and capacity building** – activities that will help community activities and programs understand the needs of people with disability and have the skills and knowledge they need to be more inclusive.
- **Individual capacity building** – activities that help people with disability to have the knowledge, skills and confidence they need to set and achieve their goals. People who do not have an NDIS plan will be prioritised in this area.

2.1.2 Process

Organisations may be invited to apply for funding through a range of selection processes. At the beginning of each funding round, the Application Pack outlined in Section 3.2 will be made available for Applicants who will need to familiarise themselves with those requirements.

Funding periods for Grant Agreements will be variable reflecting the grant purpose, degree of risk, and priorities for funding.

Funds may be allocated to state and territory governments under Program Activity One as part of the respective ILC transition arrangements to enhance their support for community and/or individual projects that are consistent with the ILC Policy and *ILC Commissioning Framework* and which deliver the aims in their jurisdiction during transition.

2.2. Program Activity Two – ILC National Readiness Grants

The objective of Program Activity Two is to support projects aligned to the ILC Policy and *ILC Commissioning Framework* that will build readiness of organisations and the community to operate within a nationally consistent approach to ILC.

2.2.1 Aim

Projects funded under Program Activity Two will be consistent with the ILC Policy and will do one or more of the following:

- reduce duplication of effort and/or demonstrate effectiveness and efficiency and enhanced outcomes for people with disability when designed, funded and operated within a national framework or with national consistency or with nationally provided infrastructure;
- enhance organisational capability, including at the national level, to deliver ILC including through outcomes-based performance measurement; and
- inform development of models of good practice, including at the national level, to deliver ILC outcomes.

2.2.2 Process

At the NDIA's discretion, eligible Applicants, as set out in Section 2.3, may be invited to apply for grants that support community or organisational readiness to ensure the goals and objectives of the ILC Policy and *ILC Commissioning Framework* are achieved. This will include projects to support the transition from state based models of delivery and funding to the national approach to ILC.

Funding periods for Grant Agreements will be variable reflecting the grant purpose, degree of risk, and priorities for funding.

2.3. Applicant Eligibility

The CICD Program provides funding to Applicants to assist them to increase social and community participation for people with disability.

The NDIA may invite the following entity types to apply for a grant through the CICD Program:

- a) Incorporated Associations (incorporated under state/territory legislation, commonly have 'Association' or 'Incorporated' or 'Inc.' in their legal name)
- b) Incorporated Cooperatives (also incorporated under state/territory legislation, commonly have 'Cooperative' in their legal name)
- c) Companies (incorporated under the Corporations Act 2001 – may be a proprietary company (limited by shares) or public companies (limited by shares or by guarantee)
- d) Aboriginal Corporations (incorporated under the Corporations (Aboriginal and Torres Strait Islander) Act 2006)

- e) Organisations established through a specific Commonwealth or state/territory legislation (e.g. public benevolent institutions, churches, universities etc.).
- f) Partnerships and consortia (one organisation will have to nominate as the lead entity)
- g) Trustees on behalf of a Trust
- h) State and Territory Governments and their agencies
- i) Local Governments

Organisations will **not** have to be a registered provider of supports with the NDIA to apply for an ILC grant. These applicant eligibility provisions apply to both Program Activity One and Program Activity Two.

2.3.1 Organisations registered as providers of support with the NDIA

Registered providers of support can apply for a grant under the CICD Program Guidelines. The NDIA recognises that in a small number of cases, conflicts of interest could potentially emerge. The circumstances in which Applicants will be accepted under the CICD Program Guidelines, and the eligibility criteria for Applicants, will be outlined in the Application Pack for each funding round. Organisations intending to apply for funding under the CICD Program Guidelines should refer to the Conflict of Interest section (section 3.9) in this document.

2.3.2 Local Area Coordination and/or Early Childhood Early Intervention

Partners

Organisations partnering with the NDIA to provide Local Area Coordination (LAC) and/or Early Childhood Early Intervention (ECEI) services through the NDIS Partners in the Community Program are eligible to apply for funding for activities that do not duplicate activities that would be expected to be achievable through their Partner role. Organisations intending to apply for funding under these Program Guidelines should refer to the Conflict of Interest section (Section 3.9) in these Program Guidelines.

2.4. Target group

Funded CICD Program Activities must be able to demonstrate benefit for people with disability including, where relevant, how this impacts families and carers.

2.5. Funding for the CICD Program Activities

The CICD Program will provide approximately \$351 million funding over four years*, as per the Portfolio Budget Statement below:

Financial Year	Amount (\$'000)
2016-17	\$33,284
2017-18	\$73,514
2018-19	\$113,539
2019-20	\$131,130

* National Disability Insurance Agency Budget Statements 2016-17

The amount of CICD Program funding available for the implementation of Activity One: ILC Jurisdictional Based Grants in each jurisdiction during the transition period will be specified in the Application Pack for each funding round which will be released at the commencement of each funding round.

Funding for individual grants will be determined by activity, scope, reach and purpose and in accordance with these CICD Program Guidelines.

2.6. Eligible and ineligible activities for CICD funding

The following outlines the eligible and ineligible activities and expenditure under the CICD Program. The NDIA reserves the right to alter this list as required and Applicants should adhere to the information contained in the CICD Program Guidelines and the Application Pack that pertains to the relevant funding round.

2.6.1 Eligible activities

Eligible activities are those activities that:

- meet the needs of people with disability, including through individual capacity building activities and assist them to move towards greater independence, self determination and community inclusion.
- assist people with disability who do, or do not, have an NDIS plan.
- assist families and carers provided that they deliver an outcome for the person with disability they support.
- fit one of the four Activity Streams described in the ILC Policy.
- fit one or more of the five Focus Areas in the *ILC Commissioning Framework*.
- deliver one or more of the ILC outcomes in the *ILC Commissioning Framework*.
- consist of activities building individual or community readiness in transition to the NDIS.
- demonstrate, or provide evidence of, how activities reflect a contemporary, positive and progressive approach to inclusion.
- provide a new direction or enhancement of an existing activity where clear outcomes or benefits for people with disability and/or the community can be demonstrated.
- provide national solutions to support people with disability, which also meet local needs.
- demonstrate, or provide evidence of, how activities contribute to one or more of the ILC outcomes and have the potential to be introduced in multiple sites.
- contribute to the readiness of organisations to successfully transition to ILC, meet the needs of people with disability and ensure ILC outcomes are achieved.
- inform understanding of good practice and need analysis to ensure ILC outcomes are achieved.

2.6.2 Ineligible Activities

Ineligible activities are those activities:

- that are eligible to be available to an individual through their NDIS plan.
- where funding is more appropriately provided by other mechanisms or support services such as “reasonable adjustment” under the *Disability Discrimination Act 1992* (Cth), including access to premises, access to the activities of clubs and associations, and provision of goods and services.
- that are considered by the NDIA as being eligible for funding support through a more appropriate source (such as the Sector Development Fund or the National Disability Advocacy Program).
- for which other Commonwealth, state, territory or local government bodies have responsibility.
- that duplicate the role of NDIS Partners in the Community (Local Area Coordination and/or Early Childhood Early Intervention).
- that are peak body activities, such as policy advice, advocacy or operational costs.
- that provide individual or systemic advocacy.
- that are delivered within Western Australia.

2.7. Eligible and ineligible expenditure for CICD funding

Applicants should detail the proposed budget for their proposed activities, following the guidance in the Application Pack and ensuring only eligible expenditure detailed below is included.

2.7.1 Eligible expenditure

The following will be funded under the CICD Program:

- Staff salaries and on-costs which can be directly attributed to the provision of the activity in the identified service area or other areas.
- Training for paid and unpaid staff including committee and board members, that is relevant, appropriate and in line with the stated purpose of the activity.
- Operating and administration expenses directly related to delivery of the services, such as:
 - telephones;
 - rent and outgoings;
 - computer / IT / website / software;
 - insurance, utilities and postage;
 - stationery and printing;
 - accounting and auditing;
 - travel / accommodation costs; and
 - assets as defined in the Grant Agreement that can be reasonably required in order to meet agreement deliverables and are valued at less than \$10,000.
- A proportion of grant funding may be used for monitoring and evaluation purposes.

2.7.2 Ineligible expenditure

Activities such as those outlined below will not be funded under the CICD Program:

- purchase of land;
- overseas travel;
- any items specifically excluded as identified in these Program Guidelines suite of documents;
- assets valued at more than \$10,000, unless otherwise agreed in writing by the NDIA;
- reimbursement of expenses incurred by the organisation prior to funds being approved;
- core operational funding;
- any purpose unrelated to the CICD Program;
- activities that are delivered within Western Australia; and
- in the case of grants provided to jurisdictions, administration costs related to the grant.

3. Application Process

3.1. Overview of the application process

All grant processes will be undertaken in accordance with the requirements of the Commonwealth Grant Rules and Guidelines and these CICD Program Guidelines. The opening and closing dates for each funding round will be included in the Application Pack.

3.2. Program Guidelines

The Program Guidelines detail the rules for administration of the grant funding that has been allocated to the NDIA under the CICD Program. Each funding round will allow for investment in activities that build a robust, coherent, connected capability within the relevant geographic

area, or priority area of activity. The Program Guidelines detail overarching selection criteria that will remain constant during the transition period.

Each funding round will have specific selection criteria and a separate application form.

The following documentation will be available at the opening of each funding round:

- the CICD Program Guidelines; and
- an Application Pack – a suite of documents with information specific to each funding round, including an Application Form and Funding Round Summary.

3.3. Choice of selection process

The CICD Program will utilise a range and combination of selection processes to select successful Applicants. These may include:

- Open, competitive processes involving a two stage process in which:
 - the first stage is comprised of an expression of interest with a shortlist of applications assessed as suitable being developed and short-listed organisations proceeding to the next stage; and
 - the second stage is comprised of short-listed organisations submitting a more detailed application.
- open, competitive one stage processes;
- restricted processes, where a small number of Applicants based on specialised requirements are invited to submit an application; and
- closed selection by invitation (direct process).

Activity proposals will be accepted at set periods determined by the NDIA, with eligible applications being assessed against the nominated selection criteria.

Applications will be assessed on their merit against the nominated selection criteria and are likely to undergo a comparative assessment and ranking against other applications (depending on the nature of the selection process used).

Before the NDIA identifies a particular selection process, the principle of ‘proportionality’ will be used to assess the scale, nature, funding amount, complexity and ongoing requirements of the grant, against the risks involved in the exercise for the beneficiaries and the Commonwealth. These considerations will also assist the NDIA to determine which approach will be most likely to elicit strong, viable responses from any eligible Applicants.

The NDIA may partner with a third party provider (e.g. the Community Grants Hub (supported by the Australian Government Department of Social Services)) to implement grant processes under the CICD Program.

The NDIA is not under any obligation to fund every application that meets the CICD Program objectives and selection criteria. During a competitive selection process, applications that are found to be suitable will be subject to a comparative assessment. Regardless of the selection process adopted, if the NDIA considers that the applications received through a funding round are unlikely to:

- (i) meet the NDIA and CICD Program objectives; or
- (ii) deliver a satisfactory result for the community

all or part of the funding round may be withdrawn or readvertised at the NDIA’s discretion; or the NDIA may decide to conduct a new and/or different selection process for that funding round. For all funding rounds or opportunities, the NDIA delegate will ultimately determine whether an application will receive funding and/or whether the allocated budget for the funding round is fully expended.

3.4. Advertisement of grant funding

The NDIA may elect to advertise funding opportunities or rounds:

- in major national newspapers and other selected newspapers;
- on the NDIS website;
- via relevant third party providers (e.g. the Community Grants Hub website); and/or
- any other mechanism as determined by the NDIA.

Any advertisement will inform potential Applicants of how to obtain the Application Pack for the relevant funding round. Specific funding round details and processes will be provided via any, or a combination of, the mechanisms identified above.

3.5. Selection Criteria

Under the CICD Program, the following selection criteria have been identified. These selection criteria may be applicable across both of the CICD Program Activities. Depending on the Activity and type of funding process, a reduced set of selection criteria may be set by the relevant delegate exercising their ability to waive certain criteria. All potential Applicants should carefully review the information for each funding round:

Criterion 1: Demonstrated alignment with CICD Activity objectives and evidence of need

Responses **should** demonstrate:

- the extent to which the Applicant addresses the identified Activity objectives outlined in the CICD Program Guidelines;
- consistency with one of the four Activity Streams in the ILC Policy;
- evidence of need/s; and
- how the proposed activity will effectively address the need/s; and
- that the implementation of the activity(ies) will contribute to one or more of the five identified outcomes for ILC described in the *ILC Commissioning Framework* where people with disability:
 - are connected and have the information they need to make decisions and choices
 - have the skills and confidence to participate and contribute to the community and protect their rights
 - use and benefit from the same mainstream services as everyone else
 - participate in and benefit from the same community activities as everyone else
 - actively contribute to leading, shaping and influencing their community.

For **Activity One: ILC Jurisdictional Grants** applications, this will include demonstrating that the proposal is consistent with:

- one of the four Activity Areas described in the ILC Policy:
 - Information, linkages and referrals
 - Capacity building for mainstream services
 - Community awareness and capacity building
 - Individual capacity building (priority given to people who do not have an NDIS plan)
(excluding Local Area Coordination activities) and
- **one or more** of the five Focus Areas described in the *ILC Commissioning Framework*:
 - Specialist or expert delivery
 - Cohort-focussed delivery
 - Multi-regional delivery
 - Remote/rural delivery

- Delivery by people with disability, for people with disability (including delivery in each of the preceding areas)

Criterion 2: Demonstrated methodology to achieve outcomes for people with disability to live an ordinary life and/or for community to facilitate opportunities for inclusion

Responses **should** demonstrate:

- that the implementation of the activity(ies) within the proposal and the methodology will develop capability and independence within the target group and may reduce the need for formal supports over time;
- that the implementation of the activity(ies) and the methodology will facilitate opportunities for people with disabilities to live an ordinary life;
- that the proposed methodology and/or activity(ies) involves people with disability including roles at a governance, staff or volunteer level;
- that the proposed methodology and/or activity(ies) involves relevant partners and stakeholders; and
- how the applicant intends to measure progress towards the ILC outcomes.

Criterion 3: Demonstrated organisational capacity and capability

Responses **should** demonstrate:

- an appropriate project management approach including the development and implementation of effective governance structures, and project, human resource and budget management arrangements. This should include mechanisms for monitoring of activities commensurate with scale.
- the organisational structure including appropriate governance, resource allocation and availability of key staff to effectively develop, deliver, manage and monitor the activity(ies).
- the experience of key staff in managing activity(ies) that have produced high quality and sustainable outcomes for people with disabilities within budget and on time.
- the organisation's history of successful delivery of the proposed activity or other relevant experience and expertise.

Criterion 4: Innovation

Responses **should** demonstrate:

- innovation in the design and delivery and/or involvement of people with disability in the proposed activity
- how the proposed activity builds on proven approaches and reflects a contemporary, positive and progressive approach to inclusion.

Criterion 5: Sustainability

Responses **should** demonstrate:

- how the proposal will ensure impact, knowledge, skills and processes will be embedded at an individual, organisational and/or community level and retained to be utilised over time and how this may reduce demand for formal individualised funded supports over time.
- consideration of how the Activity will contribute to outcomes for people with disability and/or community beyond the life of the grant.
- how any risks associated with the proposed Activity will be mitigated.

3.6. Value for money

An overarching consideration to be made once each application has been evaluated against the selection criteria, is the extent to which the application represents value for money. In terms of value for money, Applicants should demonstrate value for money by:

- considering, when developing their proposals, how best to deliver the activities to target groups or individuals. This may involve using existing processes and technologies or professional standards, or it may involve innovation and performance improvement by the Applicant;
- having in place an effective risk management approach that will minimise potential waste of grant money;
- having processes in place for ongoing monitoring and management of the project/task/services funded by the grant, as appropriate. This may involve the effective use of organisational processes, procedures and systems to produce the required reporting information; and
- considering both the financial and non-financial costs and benefits of each activity proposal throughout the whole grant cycle.

3.7. Preparing an Application

Applications must be submitted on the approved Application Form and include all required attachments as specified in the advertisement for individual funding rounds.

All Applicants should be aware of the following:

- where an advertisement for an individual funding round specifies a two-stage process (e.g. EOI and full application), the NDIA will decide which Applicants proceed to the second stage ;
- Applicants must respond to all the selection criteria in the Application Form to the extent specified and in the format specified and provide any associated documents required in the Application Pack for the relevant funding round, to enable their application to be fully considered;
- a favourable evaluation of the application against the selection criteria does not guarantee funding. Funding is limited and, where relevant, applications will be assessed and prioritised according to the extent to which they meet the selection criteria, represent value for money and meet the overall objectives of the Program;
- only applications assessed as meeting the selection criteria to a high degree are likely to be considered for funding; and
- if seeking \$100,000 or more (GST exclusive), Applicants should include a copy of their organisation's most recently audited financial statements (or accepted alternative documentation, if audited financial statements are not available. Please refer to the Application Pack for details).

3.8. How to Submit an Application

Applications must be submitted according to the instructions in the advertisement for individual CICD Program funding rounds. An application that is lodged other than in accordance with the advertisement and Application Pack and the instructions for the respective funding round may be deemed a Late Application and may not proceed to assessment.

The NDIA will not be liable for any loss, damage, costs or expenses incurred by the Applicant or any other person if, for any reason an application or any other material or communication relevant to a specific funding round:

- is not received on time;
- is corrupted or altered or otherwise is not received as sent;
- cannot be read or decrypted; or
- has its security or integrity compromised.

An application will not be considered lodged until it is received in full.

Please note that the NDIA will accept no responsibility for late applications. In order to avoid potential disappointment, it is suggested that Applicants leave sufficient time between the submission of completed applications and the deadline for lodgement, so that any technical issues with the submission may be addressed and corrected where possible. The correct and timely lodgement of applications is the sole responsibility of the Applicant.

Applicants should retain a copy of their application and any supporting papers, either electronically or in hard copy, for their own records.

3.9. Conflicts of Interest

Applicants will be required to declare as part of their Application, actual, potential or perceived conflicts of interest or that to the best of their knowledge there is no conflict of interest that would impact on or prevent the Applicant from proceeding with the Activity or any Grant Agreement it may enter into with the Agency.

3.10. Improper Assistance

It is considered improper for an Applicant to prepare an Application with the assistance of an NDIA employee, Commonwealth official, employee or contractor (including the members of the Board of the NDIA), or with improperly obtained information.

Any Applications which the NDIA considers were developed with improper assistance by a current or former Commonwealth official, employee or contractor (including the members of the Board of the NDIA) will be excluded from further consideration.

Improper assistance may include (but is not limited to) using information or assistance obtained:

- a) in circumstances that are contrary to the communications requirements set out in these Program Guidelines;
- b) in circumstances that constitute a breach of the *Crimes Act 1914 (Cth)*, the *National Disability Insurance Scheme Act 2013*, the *Public Service Act 1999 (Cth)*, the *Public Service Regulations 1999 (Cth)* or the *Parliamentary Service Act 1999 (Cth)*; or
- c) in breach of an obligation of confidentiality or fidelity.

The NDIA reserves the right from time to time to organise for an independent body to be available to assist organisations to engage with the CICD Program. Where applicable, details of this support will be made available separately.

3.11. Applicant obligations

By submitting an Application, the Applicant acknowledges that the NDIA makes no representations or warranties that any information communicated or provided to the Applicant during the Application process, is or will be accurate, current or complete.

By submitting an Application, the Applicant will be deemed to have:

- a) examined the Application Pack and any other documents referenced or referred to in the Application Pack, and any other information made available in writing by the NDIA to Applicants for the purposes of submitting an Application;
- b) examined all other information which is obtainable by the making of reasonable and timely inquiries and relevant to the risks, contingencies and other circumstances having an effect on its Application;
- c) satisfied itself as to the terms and conditions of the relevant Grant Agreement and its ability to comply with those terms and conditions; and
- d) satisfied itself as to the correctness and completeness of its Application, including its budget which is deemed to cover the cost of all matters necessary for the due and

proper performance and delivery of the funded activity in accordance with the Grant Agreement.

It is the responsibility of the Applicant to obtain all information necessary or convenient for the preparation of its Application.

Without limiting any other provision of the Application Pack no payment will be made to the Applicant or any other entity for any costs, expenses, losses or damages incurred or suffered by the Applicant or any other entity arising out of or in connection with:

- a) preparing an Application;
- b) the Application process (including any industry briefing, information sessions, debrief or any discussions, negotiations or enquiries or any work undertaken by the Applicant after submission of its Application);
- c) participation in the relevant funding round; or
- d) any failure to comply with the Application Pack.

The Applicant must not, and must ensure that its officers, employees, subcontractors, agents and advisers do not, in relation to the preparation, lodgement or assessment of Applications:

- a) make any false, misleading or deceptive claim or statement;
- b) use information obtained unlawfully or in breach of an obligation of confidentiality to the NDIA, or the Commonwealth in preparing its Application;
- c) receive improper assistance from any existing or former NDIA or Commonwealth official, employee, or contractor (including the members of the Board of the NDIA);
- d) engage in collusive conduct, anti-competitive conduct, unlawful, unethical or other similar conduct with any other Applicant or other person;
- e) attempt to improperly influence an NDIA or Commonwealth official, employee, or contractor (including the members of the Board of the NDIA), or violate any applicable laws regarding the offering of inducements; or
- f) approach any NDIA or Commonwealth official, employee, or contractor (including the members of the Board of the NDIA) in relation to the Applicant other than in the manner set out in the CICD Program Guidelines.

If any of these provisions are breached the NDIA may exclude the Application from consideration.

3.12. Checks of Applicants and other enquiries

As a part of the selection process further checks of Applicants, or the Applicant's nominated personnel (if any) may be made with respect to the Application. The NDIA may also conduct checks for non-disclosure of any relevant information.

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

The NDIA reserves the right to use information from:

- the NDIA 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; or
- any other appropriate organisation or person reasonably required as part of these checks,

and take this information into account during the assessment of Applications or in making the final decision with respect to the Application.

NDIA may seek further information or evidence of claims from Applicants, or make any other enquiries it deems necessary to verify those claims, during the assessment of applications.

Questions and Answers

3.13. Questions and Answers during the Application period

The NDIA will only respond to requests for information that seek clarification of issues to allow Applicants to better understand the requirements of the Application Form and CICD Program Guidelines. The process and timeframe for submitting and responding to questions will be outlined in the Funding Round Summary.

To ensure fairness of process, any clarification provided to an individual applicant will be shared with other Applicants.

The NDIA reserves the right to not answer questions that are asked.

3.14. Questions and Answers after the Application period

Questions relating to the CICD Program, the application process or the status or progress of an Application will not be answered during the assessment period.

4. Assessment Process

Following the receipt of Applications, generally, an assessment of each Application will be undertaken in accordance with the CICD Program Guidelines.

4.1. Stages in the assessment process

Subject to any other process outlined in the Application Pack for the relevant funding round, the assessment process can be summarised into four stages:

Stage 1 – Initial screening for compliance and eligibility

Stage 2 – Assessment of Application(s)

Stage 3 – Ranking and selection of preferred Applicant(s), if applicable; and

Stage 4 – Offer / Execution of Grant Agreement.

4.2. Process for advising outcomes

Applicants will be advised in writing of the outcome at the conclusion of the assessment process with respect to their Application. Information on the Grant Agreements entered into will be published on the [NDIA website](#)

4.3. Opportunity for feedback

Generic feedback may be offered on the strengths and weaknesses of applications under the CICD Program. Feedback on individual applications will not be provided.

5. Grant Agreement

The Applicant's responsibilities with respect to the appropriate use of funding will be set out in the terms and conditions of the Grant Agreement, a draft of which will be included in the Application Pack. Applicants should familiarise themselves with the terms in the Grant Agreement. These are standard to all Grant Agreements and will only be varied in exceptional circumstances.

The Grant Agreement, when signed, will contain the entire agreement between the parties. There is no binding agreement on any party until the Grant Agreement is agreed to and signed by the NDIA delegate and the Applicant's authorised representative.

The Grant Agreement is the contract between the NDIA and the Grant Recipient in relation to the funding period. The Grant Recipient must comply with all the requirements of the Grant Agreement.

5.1. Risk Management

All NDIA Grant Agreements are managed according to their level of risk. As part of the assessment process, Applicants will be subject to a risk assessment prior to the offer of any Grant Agreements. Applicants may also be required to participate in a Financial Viability Assessment during the assessment process of an application. A periodic monitoring process is undertaken during the term of a Grant Agreement which monitors service delivery and is used to provide evidence for ongoing risk assessments.

5.2. Activity performance and reporting

6.2.1 Performance indicators

The Grant Agreement for each Activity funded through the CICD Program will include performance indicators and outcomes measures that are both specific to the funded activities and that can be traced to one or more of the CICD Program's own performance indicators. Grant Recipients will be required to report both on outputs and outcomes. Key performance indicators for each will be included in Grant Agreements. This will contribute to the NDIA's ability to track the impact of individual activities funded through the CICD Program as well as the impact of the CICD Program overall.

If a decision is made to fund an Application, performance indicators will be developed in accordance with the ILC Outcomes Framework with the minimum reporting requirements to comprise of two components:

- a description of what is being measured (e.g. activities, performance or outcomes); and
- targets describing the level of performance of that indicator (e.g., how many, how often, or how well something is being done).

Project specific reporting will be defined on an individual project basis. Information needed to evaluate service delivery/project performance, will be required to be reported via the NDIA approved mechanisms outlined in the Grant Agreement with the NDIA. Full details of reporting requirements will be listed in the Grant Agreement for each Grant Recipient.

6.2.2 Activity reporting

If an application is approved for funding, the Grant Agreement will specify the type and frequency of reports the Grant Recipient will be required to submit. The reporting requirements will fall into two categories; activity reporting and financial reporting.

Activity reports: detail progress of the grant activities. The form and content of activity reporting will vary according to the type of activity being funded. The frequency and type of reporting required will also be determined by the size of the grant amount and its risk rating. The detail of reporting requirements for each Grant Recipient may include:

- monitoring and reporting of process outcomes. This may include identification of enablers and barriers to successful implementation of the activity as well as Grant Recipient's reflections on the process of embedding an outcomes orientation in their business.
- monitoring and reporting of activity outcomes. This may include measures of outputs (how much is being done), quality (how well is it being done) and the difference made

(what was the change for the beneficiaries of the activity) in accordance with key performance indicators in the Grant Agreement.

Financial reports: cover a range of financial requirements and obligations which must be met by the Grant Recipient, some of which are common to each agreement and others which will be negotiated as specific deliverables or discrete reporting elements unique to particular grants depending on the size and complexity of the grant. These requirements may include:

- Financial acquittal reports reflecting accurate records and accounts for expenditure of all grant funds;
- Activity Audits. Usually reserved for high-risk, high-value grant activities, or where deemed necessary by the NDIA (the Grant Agreement template allows for external audits at the NDIA's discretion); and
- Milestone or periodic reports. The number and type of these reports will be specified on an individual grant basis in the Grant Agreement.

Information Technology

CICD Program Grant Recipients may be required to have systems in place to allow them to meet their data collection and reporting obligations outlined in their Grant Agreement.

Performance information (e.g. client characteristics and service delivery information) may be required to be collected by service providers at the client level and entered directly into the NDIA client data capture system, its predecessor or via an NDIA approved alternative mechanism. Where the collection of client level data is not appropriate for instance due to the activity involving a large group, aggregate reporting will be permitted.

Information must be provided in accordance with the Data Exchange Protocols available at https://dex.dss.gov.au/policy-guidance/dex_data_exchange_protocols/

Unless otherwise agreed with the NDIA this reporting platform will:

- be a web based portal; and
- allow submission of data through external approved third party applications; and
- support submission of data through other approved methods.

Performance information required to be collected by Grant Recipients may include (but is not limited to):

- individual identity characteristics
- individual demographic characteristics
- activity information; and
- client outcomes.

6. CICD Program Evaluation

The NDIA monitors and evaluates program performance to ensure activities and Grant Recipients deliver outcomes for people with disability and have a focus on NDIA objectives through effective and efficient use of funds and resources. Grant Recipients who receive CICD Program funding will be required to participate in, and cooperate with, any evaluation activities the NDIA may establish. This requirement will be outlined in respective Grant Agreements and participation in an evaluation process will be at the Grant Recipient's expense.

The CICD Program is expected to contribute to the overall goal of the NDIS to increase the social and economic participation of people with disability. The NDIA expresses this goal as increasing the opportunities for people with disability to live an ordinary life. Measuring the impact of CICD Program activities, at both the individual and community level, will be important to demonstrating the contribution of the CICD Program to closing the gap in life outcomes for people with disability compared to those without disability and in reducing the

need for formal supports over time. In particular it will be important to measure how equitably and successfully the Program supports people with disability who do not have an NDIS plan. Both of these things are expected to have an impact on the long term sustainability of the scheme. The NDIA will therefore look to measure the overall contribution of the Program to the sustainability of the NDIS over time.

The NDIA will track progress in achievement of outcomes both at an individual activity level but also at the program level to monitor the impact of the CICD Program overall, including the effectiveness of the collaborative effort with other key programs such as the NDIS Partners in the Community Program (Local Area Coordination and/or Early Childhood Early Intervention).

7. General

7.1. Roles and Responsibilities

NDIA

The NDIA has responsibility for the day to day oversight of the CICD Program.

The NDIA will:

- identify suitable Applicants to deliver the activities required as per the CICD Program Guidelines;
- meet all those terms and conditions applicable to the NDIA for any Grant Agreement established between the NDIA and the Grant Recipient;
- administer the CICD Program in a professional and effective manner, and in accordance with applicable legislation (e.g. the National Disability Insurance Scheme Act 2013, Public Governance Performance Accountability Act 2013, Commonwealth Grant Rules and Guidelines);
- work with Grant Recipients to ensure the CICD Program is implemented to agreed standards and within the approved budget and timeframe;
- in approving activities for funding, ensure that relevant outcomes expressed within the CICD Program Guidelines are achieved;
- work to ensure that the outcomes contained within the CICD Program Guidelines are being met and evaluate the organisation's performance against the Activity outcomes; and
- publish information on the successful grants on the NDIA.

Grant Recipient's responsibilities and accountabilities

In entering into a Grant Agreement with the NDIA, the Grant Recipient must comply with all requirements outlined in these in the CICD Program Guidelines, the Application Form and the Grant Agreement.

Grant Recipients are responsible for ensuring that:

- the terms and conditions of the Grant Agreement are met;
- the project or service is effective, efficient, and appropriately targeted;
- the highest ethical standards and duty of care are applied;
- services comply with the requirements as set out within all applicable State, Territory and Commonwealth legislation and regulations;
- Indigenous Australians have equal and equitable access to services;
- they work collaboratively to deliver the CICD Program;
- they do not give false or misleading information to NDIA (as this is a serious offence);

- they do not do any act or engage in any practice in relation to Protected Information that is a breach of, or an offence under the National Disability Insurance Scheme Act 2013 (Cth); and
- they contribute to the overall development and improvement of the CICD Program, such as through sharing best practice, or cooperating in any evaluation activities as directed.
- Personal Information

Any personal information an Applicant provides as part of its Application is protected under the *Privacy Act 1988* (Cth). It can only be disclosed to someone else in the circumstances permitted in the *Privacy Act 1988* (Cth).

If you have questions or concerns about how your personal information is handled you can contact the Privacy Officer at NDIA at privacy@ndis.gov.au, the Privacy Commissioner on 1300 363 992 (local call cost, but calls from mobile and pay phones may incur higher charges) or the Australian Government Privacy Officer by emailing: privacy@privacy.gov.au.

7.2. Freedom of Information

All documents in the possession of the NDIA are subject to the *Freedom of Information Act 1982* (Cth) (**FOI Act**).

The FOI Act creates a general right of access to documents in the possession of the NDIA 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.

7.3. Complaints

Applicants can lodge a complaint using the complaints form on the NDIA [website](#).

If an Applicant or Grant Recipient is at any time dissatisfied with the NDIA's handling of a complaint, they can contact the Commonwealth Ombudsman at the ombudsman's [website](#) or by phone: 1300 362 072.

7.4. Working with vulnerable persons

It is a matter of law that organisations and individuals who are involved in the administering of any Activity, must if they will be working or have contact with vulnerable persons, comply with the relevant legislative working with vulnerable person check requirements of the jurisdiction in which they will be working.

8. Glossary

Grant Agreement means any agreement formed between the Agency and a Grant Recipient as a result of a grant application process.

Grant Recipient means an entity with whom the Agency enters into a Grant Agreement to undertake the CICD Program Activities.

Applicant means an entity that submits an Application in response to these Guidelines and the applicable Application Pack.

Application Pack means the material made available by the Agency for Applicants to help ensure they understand the requirements for submitting a completed Application by the

closing date. The Application Pack consists of Application Form and draft Grant Agreement. Other information may also be included on a program-by-program basis.

Application means the application for funding submitted by an Applicant on a prescribed Application Form and by the closing date.

Application Form means the Application Form made available to Applicants to submit an Application for funding.