Dementia and Aged Care Services
Research and Innovation Funding Round

Grant opportunity 1 - Support for existing and emerging challenges in dementia

Opening date: 7 November 2016

Closing date and time: Tuesday, 20 December 2016 – 17:00 Australian Eastern Daylight Time

Commonwealth Policy entity: Australian Government Department of Health

Enquires: If you have any questions, please contact:
aged_care_grant@health.gov.au
Questions should be sent no later than 13 December 2016

Release of grant opportunity: 7 November 2016

Type of grant opportunity: Open competitive

To apply under this grant opportunity, please go to:
Dementia and Aged Care Services Research and Innovation Funding Round: Support for existing and emerging challenges in dementia grant opportunity

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1. About the grant process

1.1 About this document
This document provides information to applicants seeking to apply for funding through the Support for existing and emerging challenges in dementia grant opportunity being offered as part of the DACS Research and Innovation Funding Round. The document outlines the following information:

- the grant application and assessment processes
- critical dates for the DACS Research and Innovation Funding Round
- the types of activities being funded through this grant opportunity and the outcomes that are sought, and
- the types of information that will be sought from applicants and how this information will be used to assess the application.

Applicants are advised to read these grant guidelines, the DACS Fund Program Guidelines (April 2016) and the application form carefully before developing their applications.
### 1.2 DACS Research and Innovation Funding Round process overview

<table>
<thead>
<tr>
<th>Step</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>The DACS is designed to achieve Australian Government objectives</strong></td>
<td>This grant opportunity is part of the above Grant Program which contributes to the Department of Health’s Outcome 6 (Improved wellbeing for older Australians through targeted support, access to quality care and related information services).</td>
</tr>
<tr>
<td><strong>The grant opportunity opens on 7 November 2016</strong></td>
<td>The guidelines for this grant opportunity are published and advertised on the <a href="https://www.health.gov.au">Department of Health’s website</a>.</td>
</tr>
<tr>
<td><strong>Grant applications submitted</strong></td>
<td>Applicants complete and submit grant applications by the closing date, 20 December 2016.</td>
</tr>
<tr>
<td><strong>Grants application(s) assessed</strong></td>
<td>Applications are first checked to make sure that the eligibility criteria are met. Then responses to the assessment criteria are evaluated. This includes an overall consideration of value for money. Selection processes that are competitive will also include a comparison of applications against each other to determine the most meritorious. For those grant applicants that do not meet the eligibility requirements, applicants will be notified that they have been disqualified from further assessment.</td>
</tr>
<tr>
<td><strong>Grant recommendation(s) are made</strong></td>
<td>Recommendation and advice are given to the decision maker on the merits of each application.</td>
</tr>
<tr>
<td><strong>Approval of grant(s)</strong></td>
<td>The decision maker makes a decision about the grant(s).</td>
</tr>
<tr>
<td><strong>Notification of outcomes is expected in May 2017</strong></td>
<td>Applicant(s) are notified of the outcome(s). Unsuccessful applicant(s) may not be notified until grant agreement(s) with successful applicant(s) are in place.</td>
</tr>
<tr>
<td><strong>Entering into a grant agreement</strong></td>
<td>Grant agreements are negotiated and signed. The type of grant agreement is based on the nature of the grant and proportional to the risks involved.</td>
</tr>
<tr>
<td><strong>Delivery of grant</strong></td>
<td>The grantee undertakes the grant activity as set out in the grant agreement. The Department of Health manages the grant, including working with the grantee, making payments and monitoring performance.</td>
</tr>
<tr>
<td><strong>Evaluation of the grant</strong></td>
<td>The specific grant activity and grant opportunity as a whole are evaluated. It is based on ongoing information collected from the grantee and information collected by the Department of Health.</td>
</tr>
</tbody>
</table>
1.3 Aim of the grant program

The DACS Fund aims to support older people who are suffering frailty or disability. The DACS Fund is designed to better support activities that respond to existing and emerging challenges including dementia care, better support services targeting people from diverse social and cultural backgrounds, and support special measures for Aboriginal and Torres Strait Islander people. The Fund can also be used to support activities that assist the Commonwealth in informing itself about aged care.

The DACS Fund Program Guidelines (April 2016) are available on the Department of Health’s website.

2. The DACS Research and Innovation Funding Round

The Department of Health is holding an open, competitive funding round under the DACS Fund to provide funding up until 30 June 2019 to support innovative projects that address key priorities.

Funding for the DACS Research and Innovation Funding Round will be made available through six grant opportunities that reflect the priorities of the round. These are:

1. support for existing and emerging challenges in dementia
2. better support for services targeting people from diverse backgrounds
3. developments that support innovation in aged care
4. support for activities focussing on Aboriginal and Torres Strait Islander people
5. capital support for activities focussing on Aboriginal and Torres Strait Islander people, and
6. seed funding for adaptive technology projects to enable consumers to stay in their own home.

Activities funded under DACS will be administered in accordance with the Commonwealth Grants Rules and Guidelines (CGRGs), which can be found on the Department of Finance’s website.

Table 1 – DACS Research and Innovation Funding Round structure

<table>
<thead>
<tr>
<th>Program</th>
<th>Funding Round</th>
<th>Grant Opportunity(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dementia and Aged Care Services (DACS) Fund</td>
<td>DACS Research and Innovation Funding Round</td>
<td>Support for existing and emerging challenges in dementia.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Better support for services targeting people from diverse backgrounds.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Developments that support innovation in aged care.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Support for activities focussing on Aboriginal and Torres Strait Islander people.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Capital support for activities focussing on Aboriginal and Torres Strait Islander people.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Seed funding for adaptive technology projects to enable consumers to stay in their own home.</td>
</tr>
</tbody>
</table>
2.1 About this grant opportunity

This grant opportunity: Support for existing and emerging challenges in dementia is one of six separate grant opportunities available through the DACS Research and Innovation Funding Round.

The DACS Research and Innovation Funding Round will provide funding for activities designed to strengthen the capacity of the health and aged care sectors to provide services for older people with dementia, including those people experiencing severe behavioural and psychological symptoms of dementia.

2.1.1 Key area of focus for funding

The Department of Health has identified the following key area of focus for this grant opportunity:

- trials to evaluate practical models of improving the care and support of people with dementia in home, community, residential, and acute care settings.

To be eligible for funding through this grant opportunity the project described in your application must address this key area of focus.

2.2 Outcomes of this grant opportunity

A successful project should aim to achieve the following:

- conduct a trial of an innovative model aimed at improving the care and support received by people with dementia, and
- evaluate the trial of the innovative model and communicate the findings of the evaluation with the community to inform others about the learnings obtained through this project.

The Department of Health monitors and evaluates program performance to ensure activities and grant recipients have a focus on outcomes for beneficiaries through effective and efficient use of funds and resources. Additional information on the DACS Research and Innovation Funding Round performance indicators and project evaluation is provided in Section 12 of these grant guidelines.

Department of Health performance indicators focus on three key questions:

- are we achieving what we expected?
- how well is it being done?
- how much is being done?

Performance indicators based on these questions may be included in the grant agreement for the grant recipients.

3. Grant amount

$34 million has been allocated to fund projects selected under the DACS Research and Innovation Funding Round. This funding provides support for projects commencing in the 2016/17 financial year and concluding before 30 June 2019.

Applicants are eligible to apply for up to $3 million per project through this grant opportunity. The department reserves the right to negotiate the amount of funding offered to successful applicants.
4. Grant eligibility criteria
If your application does not satisfy all of the eligibility criteria, as set out in Section 4 of these grant guidelines, it will not be considered for funding.

4.1 Who is eligible to apply for a grant?
Only not-for-profit organisations that match one of the entity types specified below are eligible to apply for this grant opportunity:

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 by guarantee) or a public company)
d. Aboriginal Corporations (incorporated under the Corporations (Aboriginal and Torres Strait Islander) Act 2006)
e. Organisations established through a specific piece of Commonwealth or state/territory legislation (public benevolent institutions, churches, universities, unions etc.)
f. Partnerships
g. Trustees on behalf of a Trust.

4.2 Application eligibility criteria
1. The application form is completed in English.
2. The Declaration is signed by an authorised representative of the organisation and the Acknowledgement is completed.
3. The applicant is an eligible legal entity as specified in Section 4.1 of this grant opportunity.
4. The project addresses the key area of focus for this grant opportunity (see Section 2.1.1).
5. The project addresses one or more of the following priorities from the National Framework for Action on Dementia 2015-19:
   o 2.0 The need for timely diagnosis
   o 3.1 Needs and preferences of people with dementia and their carers
   o 3.2 Support for carers
   o 4.1 Living at home
   o 5.3 Whole of hospital approach, and/or
   o 6.3 High quality service provision during end of life care.

5. Eligible grant activities

5.1 What the grant money can be used for
The grant can be used for the following activities:

- employees, contractors and consultants performing tasks required to successfully complete the project
- performing research and/or consultation required to trial the project model to address the key area of focus
- domestic travel to support this research or consultation
- obtaining audited financial statements as required
- developing training aids, if required
- performing project evaluation, and
- producing and distributing publications to disseminate the findings of the project evaluation.
5.2 **What the grant money cannot be used for**
Grants are not provided for:

- purchasing land
- ongoing delivery of services
- undertaking major construction/capital works
- covering retrospective costs
- preparing a grant application or related documentation
- performing clinical trials
- overseas travel, and
- performing activities for which other Commonwealth, State, Territory or Local Government bodies have primary responsibility.

6. **The grant assessment process**
The department will initially assess applications against the eligibility criteria as set out in Section 4 of these grant guidelines. Only eligible applications will proceed to the next stage.

Eligible applications will then be assessed against the criteria set out below and against other applications. Each application will be considered on its merits, based on how well it meets the criteria, including readiness, capacity to deliver, how it compares to other applications and whether it provides value for money.

6.1 **The assessment criteria**
The applicant will need to address all of the following assessment criteria in the application. All assessment criteria are of equal weighting. The application form displays the character limits.

**Assessment Criterion 1: PROJECT DESCRIPTION**
*Response is limited to 6,000 characters (character limit includes spaces).*

Provide details of the project for which funding is sought. Responses to this criterion should include the following:

- a description of the project
- demonstrate how the proposed project will address the key area of focus (see Section 2.1.1), and
- what engagement has been and will be undertaken with consumers, the aged care or health sector to inform the design, planning and conduct of the project.

The applicant’s response should also include completion of the following attachments:

- an Indicative Project Budget ([template](#))
- a Project Plan (incorporating project timelines and project implementation processes), and
- a Risk Management Plan.
Dementia and Aged Care Services Research and Innovation Funding Round: Support for existing and emerging challenges in dementia grant opportunity

Assessment Criterion 2: NEED AND BENEFIT

*Response is limited to 6,000 characters (character limit includes spaces).*

Demonstrate the need for the proposed project and the benefits it will deliver to achieve the desired outcomes of this grant opportunity. The response to assessment criterion 2 should include demonstration of the following:

- why the proposed project is needed, including evidence of specific resource or knowledge gaps and describe how this project differs from, or builds upon, existing activities or resources being delivered to address the same problem
- the long term benefits the proposed project will deliver, and
- if successful, how this approach could be adopted more widely.

Assessment Criterion 3: ORGANISATIONAL CAPACITY AND EXPERIENCE

*Response is limited to 6,000 characters (character limit includes spaces).*

The response to assessment criterion 3 should demonstrate the following:

- any experience the applicant organisation has with the activity or problem outlined in the application
- the applicant organisation’s experience managing similar funded projects
- the applicant organisation’s experience working with the consumers, carers and/or service providers whose participation is required to trial and evaluate the proposed approach
- the project governance structure, including the applicant’s approach to management, decision-making and communication
- organisational and staff capacity, including the experience, skills and qualifications of management and project personnel and the time they will commit to the project, and
- if this project is being delivered by a consortium, the demonstrated experience the applicant organisation has in working and communicating with the other participating organisation/s to achieve the project objectives.

Assessment Criterion 4: PROJECT EVALUATION

*Response is limited to 6,000 characters (character limit includes spaces).*

The response to assessment criterion 4 should outline the applicant’s plan for data collection and evaluation to assess the impact of the project on existing and emerging challenges in dementia. It should also demonstrate the applicant organisation’s capacity to conduct this evaluation. The applicant’s response should include the following:

- describe the methodology for evaluating the outcomes of the project, including the data that will be collected and the type of analysis that will be undertaken
- identify the participants in the evaluation process, the recruitment strategy, and what steps have been taken to ensure their participation
- how many people will be enrolled to trial the model, and
- what is the applicant’s communication strategy to share the findings from the project.

Should the applicant organisation plan to seek assistance to collect data and evaluate project performance, provide detail and include any costs in the indicative budget.
7. Assessment of grant applications

7.1 Who will assess applications?

An Assessment Committee will assess each application on its merit. The Assessment Committee may consist of officers from the department and/or relevant experts. External advisors may, on request from the department, provide input to inform the assessment process.

The Assessment Committee will undertake assessment of applications and will consider the Applicant’s response to each assessment criterion specified in Section 6.1 of this grant opportunity, using the scoring system outlined in Table 2 below. Applications will be ranked according to merit, suitability, readiness, capacity to deliver and value for money.

The Assessment Committee may also consider information about the applicant that is available through the normal course of the department’s business.

If the assessment process identifies unintentional errors of form in an application, the applicant may be contacted to correct or clarify the errors, but applicants will not be permitted to make any material alterations or additions.

The assessment will be used to identify those applicants with the capability to best meet the policy priorities of the Program. In order to achieve this objective, the department may offer a grant agreement to other applicants who have been shortlisted, at the sole discretion of the decision maker (see glossary).

Applicants should also note that, where the assessment process does not identify a preferred applicant, the department reserves the right to approach and/or broker an arrangement between one or more funding applicants and/or other interested parties.

7.2 Assessment scoring

<table>
<thead>
<tr>
<th>Rating (for individual assessment criterion)</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Excellent – response to this criterion, including all sub-criteria, exceeds expectations. Evidence is available and confirms consistent superior performance against this criterion.</td>
<td>5</td>
</tr>
<tr>
<td>Very good quality – response to this criterion addresses all or most sub-criteria to a higher than average standard. Evidence is available and confirms good performance against this criterion.</td>
<td>4</td>
</tr>
<tr>
<td>Good quality – response against this criterion meets all or most sub-criteria to an acceptable level. Evidence is available and provides support for claims against this criterion.</td>
<td>3</td>
</tr>
<tr>
<td>Satisfactory – response against this criterion demonstrates a satisfactory understanding of the criterion and associated issues. Evidence is available and provides some support for claims against this criterion.</td>
<td>2</td>
</tr>
<tr>
<td>Poor or marginal quality – poor claims against this criterion, but may meet some sub-criteria. Evidence available may be lacking detail and/or not directly relevant to the criterion.</td>
<td>1</td>
</tr>
<tr>
<td>Does not meet criterion – response to this criterion fails to address or meet any part of the criterion.</td>
<td>0</td>
</tr>
</tbody>
</table>
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7.3 Who will approve grants?
Following assessment, the assessment committee will make recommendations to the First Assistant Secretary (FAS), Ageing and Aged Care Services Division. The FAS, Ageing and Aged Care Services Division will make the final decision to approve a grant.

The FAS, Ageing and Aged Care Services Division’s decision is final in all matters, including:

- the approval of the grant
- the grant funding amount to be awarded, and
- the terms and conditions of the grant.

The FAS, Ageing and Aged Care Services Division must not approve funding if they reasonably consider the program funding available across financial years will not accommodate the funding offer, and/or the application does not represent value for money.

The department will not review decisions.

8. The grant application process

8.1 Overview of application process
You must read the DACS Fund Program Guidelines (April 2016), these grant guidelines, the application form, and the draft Department of Health’s Standard Funding Agreement before you submit an application.

You are responsible for ensuring that your application is complete and accurate. Giving false or misleading information will exclude your application from further consideration.

You must address all of the assessment criteria and all eligibility criteria to be considered for a grant. Please complete each section of the application form and ensure you provide requested information.

Please keep a copy of your application and any supporting papers.

If successful, you must complete the grant activity by 30 June 2019.

Receipt of your grant applications will automatically be acknowledged.
8.2 Application process timing

Table 3 – Expected timing for this grant opportunity

<table>
<thead>
<tr>
<th>Activity</th>
<th>Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>Application period – Open</td>
<td>7/11/2016</td>
</tr>
<tr>
<td></td>
<td>(6 weeks)</td>
</tr>
<tr>
<td>Application period – Close</td>
<td>20/12/2016 – 17:00</td>
</tr>
<tr>
<td></td>
<td>Australian Eastern Daylight Time</td>
</tr>
<tr>
<td>Assessment of applications</td>
<td>21/12/2016 – 6/3/2017</td>
</tr>
<tr>
<td></td>
<td>(12 weeks)</td>
</tr>
<tr>
<td>Approval of outcomes of selection process</td>
<td>7/3/2017 – 11/4/2017</td>
</tr>
<tr>
<td></td>
<td>(5 weeks)</td>
</tr>
<tr>
<td>Negotiations and Award of grant agreements</td>
<td>12/4/2017 – 1/5/2017</td>
</tr>
<tr>
<td></td>
<td>(1-3 weeks)</td>
</tr>
<tr>
<td>Notification to unsuccessful applicants</td>
<td>8/5/2017 - 22/5/2017</td>
</tr>
<tr>
<td></td>
<td>(2 weeks)</td>
</tr>
<tr>
<td>Activity commences</td>
<td>On execution</td>
</tr>
<tr>
<td>End date</td>
<td>30/6/2019</td>
</tr>
</tbody>
</table>

8.3 Completing the grant application

You must submit your grant application on the application form, which is available on the Department of Health’s [website](#).

This application form is interactive and should be submitted electronically unless otherwise agreed with the department. For assistance with any technical difficulties please contact aged_care_grant@health.gov.au.

You must make sure that your application is complete and accurate and submitted in accordance with these grant guidelines.

You cannot change your application after the closing date and time.

You should contact aged_care_grant@health.gov.au immediately if you find an error in an application after it has been submitted. The department may then ask you for additional information, as long as it does not change the substance of your application. The department does not have to accept any additional information, nor requests from applicants to change applications after the closing time.

8.4 Attachments to the application

The following documents must be included with your application:

- An Indicative Project Budget ([template](#)). The Budget should include the following information:
  - a detailed budget for the proposed project, itemising all associated costs in Australian dollars (GST exclusive), and
  - justification for budget costs should be provided in the applicant’s response to the assessment criteria.
- A Project Plan (incorporating key dates and milestones for the project, including implementation processes, data collection, evaluation and dissemination of findings), and
A Risk Management Plan. The risk management plan should include the following information:
  - details of risks that may impact on the Applicant’s ability to achieve the project objectives and timelines, and
  - for each risk identified, details should be provided on the likelihood, the potential consequences of the identified risk, and what steps have been taken, or will be taken, to manage the risk.

Your supporting documentation should be attached to the application form. **Attachments not requested will not be considered during assessment of applications.**

Note: required templates can be found on the department’s [Tenders and Grants webpage](https://health.gov.au/).

### 8.5 Grant applications from consortia

Some organisations may apply as a consortium to deliver grant activities. If you are submitting a joint grant application or submitting on behalf of a consortium, a member organisation or a newly created organisation must be appointed as the ‘lead organisation’. Only the lead organisation will enter into a grant agreement with the Commonwealth, and will be responsible for the grant. The lead organisation must complete the application form and identify all other members of the proposed consortium in the application. If the application proceeds to assessment, during the assessment process a letter of support will be sought from each organisation involved in the project.

Each letter of support should include:

- an overview of how the consortium members will work together to support the successful completion of the grant activity
- an outline of the relevant experience and/or expertise of the consortium members
- the roles/responsibilities of the consortium members, and the resources they will contribute (if any)
- details of a nominated management level contact officer, and
- details of the lead organisation.

### 8.6 Questions during the application process

If you have any questions during the application period please contact [aged_care_grant@health.gov.au](mailto:aged_care_grant@health.gov.au). A response will be provided to you within five working days.

Requests for clarification may form the basis of a response that will be posted on the department’s [Tenders and Grants webpage](https://health.gov.au/) in the Questions and Answers (Q&A) section for the Program. The source of any questions will be de-identified.

### 8.7 Further grant opportunities

If there are not enough suitable applications to meet the program’s objectives, the Department of Health may approach selected providers with demonstrated capacity to develop a proposal which is in line with the intent of this opportunity.

### 9. Notification of application outcomes

You will be advised of the outcomes of your application in writing, following a decision by the FAS, **Ageing and Aged Care Services Division**. Advice to successful applicants will contain details of any specific conditions attached to the grant.
If you are unsuccessful, the Department of Health will notify you in writing. You can submit a new application for the same project (or a similar project) in any future funding rounds. You should include new or further information to address any weaknesses identified in your previous application.

9.1 Feedback
Following the completion of the grants process, generic feedback on applications will be made available on the Department of Health’s webpage.

10. Successful grant applications

10.1 Grant agreement
If the application is successful, the applicant will be required to enter into a legally binding grant agreement with the Commonwealth represented by the Department of Health. The department may use the Department of Health’s Standard Funding Agreement. The standard terms and conditions for the grant agreement will apply and cannot be changed. Any additional conditions attached to the grant will be identified in the grant offer or during the grant agreement negotiations.

The applicant will be required to meet certain milestones and deliverables under each activity that will be set out in the grant agreement.

The department will negotiate with successful applicants with the aim of having grant agreements signed and returned to the department to enable timely commencement of activities under the grant opportunity. If there are unreasonable delays in negotiating a grant agreement, the grant offer may be withdrawn and the grant may be awarded to a different applicant.

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, the Program may be subject to a risk management assessment prior to the negotiation of any contractual arrangement and periodically thereafter.

Where a grant recipient fails to meet the obligations of the grant agreement, the department may cease grant funding after attempting to rectify the issue with the grant recipient. Further details will be provided in the successful applicant’s grant agreement with the department.

Financial commitments in expectation of receiving the grant should not be entered into until a grant agreement has been signed by the Commonwealth.

11. Announcement of grants
If successful, your grant will be listed on the Department of Health’s website 14 days after the date of effect\(^1\) as required by section 5.3 of the CGRGs.

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\(^1\) See glossary
12. Delivery of grant activities

12.1 Applicant’s responsibilities

If successful, the applicant must carry out the grant activities in accordance with these grant guidelines and the grant agreement, which includes the standard terms and conditions, any supplementary conditions and the schedule. The schedule to the grant agreement will outline the specific grant requirements.

The applicant will be responsible for:

- ensuring that the terms and conditions of the grant agreement are met and that the activity is managed in an efficient and effective manner
- ensuring the effective and efficient use of grant funds
- employing and managing staff required to deliver the activity
- maintaining contact with the department and advising of any emerging issues that may impact on the success of the activity
- identifying, documenting and managing risks and putting in place appropriate mitigation strategies
- meeting milestones and other timeframes specified in the grant agreement
- complying with record keeping, reporting and acquittal requirements in accordance with the grant agreement
- participating in activity evaluation as required for the period specified in the grant agreement, and
- ensuring that activity outputs and outcomes are in accordance with the grant agreement.

12.2 Performance monitoring

The Department of Health monitors and evaluates program performance to ensure activities and grant recipients have a focus on outcomes for beneficiaries through effective and efficient use of funds and resources.

Grant recipient performance will be measured against benchmarking of other organisations funded for this program and compare a grant recipient’s service delivery performance against national benchmarks. Benchmarking will take into consideration the delivery of similar services, scale of funding, service location and other relevant characteristics.

Information needed to evaluate project performance, must be reported via the Department of Health’s approved mechanisms outlined in the grant agreement with the Department of Health.

Full details of reporting requirements will be listed in the grant agreement for each grant recipient.

12.3 Successful applicant’s reporting requirements

The timing of progress reports will be negotiated and form part of the final grant agreement.

Reports may include:

- quarterly or six-monthly progress reports
- annual progress reports
- end of agreement and financial acquittal reports, and
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- activity evaluation report.
The progress reports will address the requirements set out in the work plan and project budget, and will be assessed accordingly by the department.

Progress reports should assess overall activity effectiveness and measure the performance of each activity against the agreed performance indicators.

Progress reports should also include the following:

- any potential project issues that could impact on timelines and quality of deliverables,
- approaches or strategies for resolving any identified issues
- variance between proposed budget and actual expenditure (subject to approval specified in the grant agreement)
- acquittals of funding and expenditure, and
- recommendations for improving the performance of the activity against the performance indicators.

Funding recipients will also be required to provide ad hoc advice to the department when requested in relation to the funded activity.

The successful applicant will be required to take out and maintain, for the period specified in the grant agreement, all types and amounts of insurance necessary to cover the obligations of the organisation in relation to the activity.

12.4 The Department of Health’s responsibilities

The department will:

- meet the terms and conditions of the grant agreement established with each grant recipient
- administer the operation of the grant in a timely manner, and
- evaluate the grant recipient’s performance against the grant outcomes.

12.5 Grant payments and taxation implications

Payments will be made in accordance with the grant agreement. Payment of GST will depend on your entity type.

Before any payments are made, the applicant will be required to provide:

- a tax invoice for the amount of the payment (the Australian Government’s default invoice process is Recipient Created Tax Invoices)
- evidence of meeting the associated milestone in the grant agreement, and
- any other conditions of payment (e.g. evidence of purchase of equipment, satisfactory progress report, approvals, other documentation).

If successful, the applicant should consider seeking guidance from a tax advisor or the Australian Taxation Office at www.ato.gov.au about the implications of receiving a grant, prior to entering into a grant agreement.

12.6 Evaluation

The department will conduct an evaluation of each grant opportunity under the DACS Research and Innovation Fund to determine whether the outcomes and objectives have been achieved. The grant agreement requires the applicant to provide information to assist in this evaluation.
12.7 Acknowledgement
All publications related to grants under the Program should acknowledge the Commonwealth as follows:

“Funded by the Australian Government Dementia and Aged Care Services Fund”.

13. Probity
The Australian Government is committed to ensuring that the grants process is fair, in accordance with the published guidelines, incorporates appropriate safeguards against fraud, unlawful activities and other inappropriate conduct, and is consistent with the CGRGs.

Note: These guidelines may be varied from time-to-time by the Department of Health as needed. Amended guidelines will be published on the department’s website.

13.1 Complaints process
The Department of Health’s complaints procedures apply to complaints that arise in relation to grant programs. All complaints relating to a grant process must be lodged in writing. More information is published on the department’s website.

Any enquiries relating to grant decisions for this Program should be directed to aged_care_grant@health.gov.au.

If the applicant is dissatisfied with the way in which the Department of Health has handled a complaint, the applicant may wish to contact the Commonwealth Ombudsman. The Ombudsman will usually decline to investigate a complaint unless the matter has first been raised directly with the department.

The Commonwealth Ombudsman can be contacted on: Phone (Toll free): 1300 362 072
Email: ombudsman@ombudsman.gov.au
Website: www.ombudsman.gov.au

13.2 Conflict of interest
A conflict of interest, or perceived conflict of interest, may exist if the department’s staff, any member of an advisory panel or expert committee, and/or the applicant or any of the applicant’s personnel:

- has a relationship (whether professional, commercial or personal) with a party who is able to influence the application assessment process, such as an Australian Government officer
- has a relationship with, or interest in, an organisation, which is likely to interfere with or restrict the applicants from carrying out the proposed activities fairly and independently, or
- has a relationship with, or interest in, an organisation from which they will receive personal gain as a result of the organisation receiving funding under this Program.

The applicant will be required to declare, as part of the application, any perceived or existing conflicts of interests or that, to the best of their knowledge, there is no conflict of interest.

Where the applicant subsequently identifies that an actual, apparent, or potential conflict of interest exists or might arise in relation to a grant application, the applicant must inform the department in
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writing immediately. The chair of the Assessment Committee will be made aware of any conflicts of
interest and will address them in compliance with Australian Government policies and procedures.
Conflicts of interest for Australian Government staff will be handled in compliance with the
Australian Public Service Commission policies and procedures.

13.3 Privacy: confidentiality and protection of personal information
Any personal information the applicant provides is protected under the Privacy Act 1988. It can only
be disclosed to someone else if the applicant is 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.

The Australian Government may also use and disclose information relating to applicants and
recipients under this Program in any other Australian Government business or function, including
providing information to the Australian Taxation Office for compliance purposes.

13.4 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.

Information on the department’s FOI handling processes including ‘Where to apply?’, can be found
in Section 4.6 of the DACS Fund Program Guidelines (April 2016).
### Glossary

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
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<tbody>
<tr>
<td>application period</td>
<td>the period during which applicants are eligible to submit applications for funding through this grant opportunity.</td>
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<tr>
<td>assessment committee</td>
<td>the panels of assessment staff formed to assess applications for funding.</td>
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<td>assessment criteria</td>
<td>are the specified principles or standards, against which applications will be judged. These criteria are also used to assess the merits of the proposals and, in the case of a competitive granting activity, to determine applicant rankings.</td>
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<tr>
<td>consortium</td>
<td>a consortium is two or more businesses who are working together to combine their capabilities when developing and delivering a grant activity. The consortia’s lead entity will complete the application form and enter into a grant agreement on behalf of all the consortia partners.</td>
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<td>date of effect</td>
<td>as specified in section 5.3 of the CGRGs.</td>
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<td>decision maker</td>
<td>First Assistant Secretary, Ageing and Aged Care Services Division.</td>
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<td>eligibility criteria</td>
<td>the mandatory criteria which must be met for a grant application to qualify for a grant.</td>
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<td>Commonwealth entity</td>
<td>Consistent with <em>Public Governance, Performance and Accountability Act 2013</em>.</td>
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<td>grant activity</td>
<td>is the project /tasks /services that the grantee is required to undertake with the grant money.</td>
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<td>grant agreement</td>
<td>sets out the relations between the parties to the agreement, and specifies the details of the grant.</td>
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<td>grant opportunity</td>
<td>a notice published on the department’s website advertising the availability of a Department of Health – Commonwealth grant.</td>
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<td>grant program</td>
<td>a program that administers grant funding for a defined purpose.</td>
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<td>grantee</td>
<td>an individual/organisation that has been awarded a grant.</td>
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<td>selection criteria</td>
<td>comprise eligibility criteria and assessment criteria.</td>
</tr>
<tr>
<td>selection process</td>
<td>the method used to select potential grantees. This process may involve comparative assessment of applications or the assessment of applications against the eligibility criteria and/or the assessment criteria.</td>
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