

Community Child Care Fund
- Restricted non-competitive grant opportunity (for specified services)
Guidelines

Opening date:	Tuesday 31 October 2017
Closing date and time:	2:00 pm Friday 8 December 2017
Commonwealth policy entity:	Department of Education and Training
Co-Sponsoring Entities	N/A
Date guidelines released:	August 2017
Type of grant opportunity:	Restricted non-competitive

Contents

1 CCCF: Restricted Non-Competitive Grant Opportunity Processes	5
1.1 About the CCCF grant program	6
1.1.1 Legislative authority	6
1.1.2 Program Funding	6
1.2 About the CCCF Restricted Non-Competitive Grant Opportunity	7
1.3 CCCF Restricted Non-Competitive Grant Opportunity objectives	7
1.4 CCCF Restricted Non-Competitive Grant Opportunity outcomes	7
2 Grant amount	8
2.1 Role of PricewaterhouseCoopers Transition Reports and Financial and Operational Analysis Tool	8
3 Grant eligibility criteria	8
3.1 Who is eligible to apply for a grant?	8
4 Eligible grant activities	9
4.1 What can the grant money be used for?	9
4.2 What the grant money cannot be used for	10
5 The grant selection process	10
6 The assessment criteria	11
6.1 Additional information	11
7 The grant application process	12
7.1 Overview of the application process	12
7.2 Application process timing	12
7.3 Late applications	13
7.4 Completing the grant application	13
7.5 Attachments to the application	14
7.6 Applications from consortia	14
7.7 Questions during the application process	15
7.8 Further grant opportunities	15
8 Assessment of grant applications	16
8.1 Assessment process	16
8.2 Who will assess applications?	16
8.3 Funding determination	17
8.4 Value for money	17

8.5	Financial viability	18
8.6	Additional checks	18
8.7	Who will approve grants?	18
9	Notification of application outcomes	19
9.1	Feedback on your application	19
10	Successful grant applications	19
10.1	The grant agreement	19
10.2	How the grant will be paid	19
10.3	Monitoring and performance reporting	20
10.4	Financial reporting	20
10.5	Risk management	20
11	Announcement of grants	21
12	Delivery of grant activities	21
12.1	Your responsibilities	21
12.2	The department's responsibilities	21
12.3	Grant payments and GST	21
12.4	Evaluation	22
12.5	Acknowledgement	22
12.6	The department's rights	22
13	Proбity	22
13.1	Complaints process	23
13.2	Conflict of interest	23
13.3	Privacy: confidentiality and protection of personal information	24
13.4	Freedom of information	25
13.5	Fraud	26
13.6	Other specialist requirements	26
13.7	Liability issues	26
13.8	Multicultural access and equity policy	26
14	Consultation	27
15	Glossary	28

Introduction

This document provides guidelines for the Community Child Care Fund (CCCF) restricted non-competitive grant opportunity. This grant opportunity is open to specified services.

You must read this document before filling out an application.

1 CCCF: Restricted Non-Competitive Grant Opportunity Processes

The CCCF is designed to achieve Australian Government objectives

This grant opportunity is part of the above grant program which contributes to the Department of Education and Training's (the department) Outcome 1: Improved early learning, schooling, student educational outcomes and transitions to and from school through access to quality child care, support, parent engagement, quality teaching and learning environments. The department works with stakeholders to plan and design the grant program and guidelines according to the *Commonwealth Grants Rules and Guidelines*.



The grant opportunity opens

We publish the grant guidelines and advertise on GrantConnect <https://www.grants.gov.au/>. Links to GrantConnect can be found on the department's website. The department will also communicate directly with eligible services.



You complete and submit a grant application



We assess all grant applications

We assess the applications against the eligibility criteria and notify you if you are not eligible. We then assess your application against the assessment criteria including an overall consideration of value for money.



We make grant recommendations

We provide advice to the decision maker on the merits of each application.



Grant decisions are made



We notify you of the outcome

We advise you of the outcome of your application.



We enter into a grant agreement or a letter of agreement

We will enter into a grant agreement or letter of agreement with successful applicants. The type of grant agreement is based on the nature of the grant and proportional to the risks involved.



Delivery of grant

You undertake the grant activity as set out in your grant agreement or letter of agreement. We manage the grant by working with you, monitoring your progress and making payments.



Evaluation of the grant opportunity

We evaluate the specific grant activity and the CCCF as a whole. We base this on information you provide to us and that we collect from various sources.

1.1 About the CCCF grant program

The CCCF was announced as part of the *Jobs for Families* Child Care Package which is designed to make the child care system more affordable, more accessible, more flexible and targeted to those who need it most.

The CCCF is part of the Australian Government's Child Care Safety Net, which contributes to giving the most vulnerable children a strong start in life, while supporting parents into work.

Grants provided under the CCCF are intended to supplement fee income received from families, including Child Care Subsidy and Additional Child Care Subsidy payments.

The objective of the CCCF is to support child care services to address barriers to child care participation, particularly targeting disadvantaged and vulnerable families and communities.

The expected outcomes of the CCCF are to:

- improve early childhood development outcomes for vulnerable and disadvantaged children
- increase workforce participation by vulnerable and disadvantaged families.

The CCCF includes four key grant opportunities:

- Open competitive (for approved child care services)
- Restricted non-competitive (for specified services)
- Connected Beginnings (commenced July 2016)
- Special circumstances (see section 7.8).

The CCCF is an ongoing program.

The CCCF will be undertaken according to the *Commonwealth Grants Rules and Guidelines (CGRGs)* <http://www.finance.gov.au/sites/default/files/commonwealth-grants-rules-and-guidelines-July2014.pdf>

1.1.1 Legislative authority

The legislative authority for the CCCF is contained in item 110 in Schedule 1AB to the *Financial Framework (Supplementary Powers) Amendment (2015 Measures No. 9) Regulation 2015*, made under the *Financial Framework (Supplementary Powers) Act 1997*.

1.1.2 Program Funding

The Australian Government provides administered funding through the *Jobs for Families* Child Care Package under the *Appropriations Act (No. 1)*.

The CCCF has approved funding of around \$124 million per year over the Forward Estimates commencing from 1 July 2018, subject to annual appropriation.

The Minister for Education and Training has overall policy responsibility for the CCCF.

1.2 About the CCCF Restricted Non-Competitive Grant Opportunity

These guidelines contain information for the CCCF restricted non-competitive grant opportunity. This opportunity is available to specified services only (see Section 3.1), in particular eligible Budget Based Funded (BBF) services.

This grant opportunity will be managed by the Department of Education and Training (the department).

This document sets out:

- the purpose of the grant opportunity
- the eligibility and assessment criteria
- how grant applications will be managed and assessed
- how grant activities and projects are monitored and evaluated
- the roles, responsibilities and expectations in relation to the applicants, grant recipients and the department and the grant opportunity.

1.3 CCCF Restricted Non-Competitive Grant Opportunity objectives

The CCCF restricted non-competitive grant opportunity is intended to:

- ensure continuity of child care services during and beyond any period of transition
- support eligible child care services to build capacity and operate sustainably under the new child care system
- support services to increase participation by Indigenous children.

Funding available under this grant opportunity will provide a third income stream for eligible services, to supplement fee income, including Child Care Subsidy and Additional Child Care Subsidy payments.

1.4 CCCF Restricted Non-Competitive Grant Opportunity outcomes

The expected outcomes of the CCCF restricted non-competitive grant opportunity are:

- continuity of locally-driven child care service delivery, appropriate for the particular community
- increased capacity of services to operate sustainably under the new child care system
- child care services are able to address (or have increased capacity to address) community level barriers to child care participation
- increased number of children from vulnerable or disadvantaged families and communities accessing child care
- increased collaboration between relevant services, in particular to meet the needs of vulnerable or disadvantaged families or communities

- increased participation in early childhood education and care by Indigenous children.

2 Grant amount

Up to \$62.5 million per annum has been made available by the Australian Government from July 2018 for allocation under the CCCF restricted non-competitive grant opportunity.

There is no minimum or maximum amount that can be applied for under this grant opportunity, however the value of money awarded under this grant opportunity cannot exceed the total funding available. Grant amounts will be determined on a case by case basis (refer section 8.3). The grant applicant should demonstrate that the funding being applied for under this grant opportunity is appropriate to support the effective transition to, and sustainability of, the child care service under the new child care system.

2.1 Role of PricewaterhouseCoopers Transition Reports and Financial and Operational Analysis Tool

In line with the Australian Government's commitment to support BBF services to transition to the new child care system, PricewaterhouseCoopers Consultancy (Australia) Pty Limited (PwC) were engaged by the department to prepare individual Transition Reports and Financial and Operational Analysis Tools for BBF services. Funding available under this grant opportunity will be informed by the Transition Reports and the Financial and Operational Analysis Tools, taking into account the individual circumstances of the service, as well as other income streams such as fee income, including the Child Care Subsidy and the Additional Child Care Subsidy (refer section 8.3).

Some services declined to work with PwC and where an eligible service does not have a PwC Transition Report or a Financial and Operational Analysis Tool, they should contact the department at CCCFRestricted@education.gov.au to make arrangements regarding alternative evidence or information that may be used to support the grant application.

3 Grant eligibility criteria

3.1 Who is eligible to apply for a grant?

To be eligible to apply for a grant under this grant opportunity, you must be the operator of a child care service that is on the list of eligible services specified by the department, available on the [department's website](#).

A lead organisation may apply on behalf of a consortium of organisations (refer Section 7.6). The lead organisation, as well as consortium members, must be a provider of a specified service, identified by the department as being eligible to apply under this grant opportunity.

We cannot consider your application if it does not satisfy all the eligibility criteria.

Note: Providers looking to expand their service to increase participation by Indigenous children are eligible to apply for this funding under this CCCF restricted non-competitive grant opportunity as part of a single streamlined application process.

4 Eligible grant activities

4.1 What can the grant money be used for?

You can apply for funding under this grant opportunity for the following types of activities:

- improving service viability and sustainability:
 - meeting standard service operating costs during transition to a more sustainable business model
 - implementing changes to business practices and introducing innovative solutions to improve the sustainability and viability of a child care service
 - helping with costs of providing child care in an unviable market where the service is providing the most effective model of care for the community
 - developing and implementing an action plan to support transition to a more sustainable business model
 - supplementing fee income, where there may be additional challenges and costs affecting the service's operation, such as remoteness, low child attendance, and family or community circumstances that directly impact income or operating costs
- addressing community level barriers to child care participation:
 - linking child care services with relevant local organisations to work together to address community level barriers to child care participation and ultimately deliver increased child care utilisation
 - providing support to vulnerable and disadvantaged families to facilitate their participation in child care
 - building relationships with vulnerable and disadvantaged families with children who currently don't use child care
 - providing transport assistance that is clearly linked to broader child care engagement activities for isolated families and those with transport difficulties to access child care
- capital works necessary for the service to operate sustainably under the new child care system:
 - extending or modifying buildings (capital works) required to support service delivery under the new child care system, including to support a move to a different service delivery model or to address workplace safety requirements:
 - capital works projects may be subject to a capital contribution towards the total cost of the project-in-kind contributions will be considered
 - any building built, extended or modified using grant money must be used for the intended purpose for an agreed period (called the designated use period). The designated use period will be agreed between the department and the applicant, and will reflect the level of government funding
- other activities to increase Indigenous children's participation in early education and child care including activities that have been identified by the department as eligible activities for that service.

4.2 What the grant money cannot be used for

The following are examples of activities grant money cannot be used to pay for (this list is not exhaustive):

- activities that are not directly related to service transition or sustainability, unless identified by the department as eligible activities for that service, for the purposes of CCCF
- purchasing land
- proposals where capital works have commenced and/or been fully committed to at the time of application
- activities that are already fully funded by another government program
- activities that have already occurred or to re-produce resources that have previously been developed
- activities not directly related to the delivery of child care or that have not been identified by the department as eligible activities for that service, for the purposes of CCCF.

5 The grant selection process

First we will assess your application against the eligibility criteria. Only eligible applications will move to the next stage. Eligible applications will be considered through a restricted non-competitive process.

We will then assess your application against the criteria set out below. Your application will be considered on its merits and the amount and term of funding will be determined on a case by case basis depending on the activity being funded, the circumstances of the applicant, and the department's program priorities. Consideration will also be based on:

- how well it meets the criteria
- whether it provides value for money.

6 The assessment criteria

You will need to address the following assessment criteria in your application. The application form includes word limits.

Assessment Criteria		
1	<p>What is your plan for your service to achieve greater viability and/or sustainability under the new child care system?</p> <p>Your description may include any/all of the following:</p> <ul style="list-style-type: none">• Factors that impact on your service's viability and/or sustainability.• How the plan will be delivered.• How the activities in the plan will enable your service to become sustainable over time.• How your service will ensure continuity of child care during the period of transition.• How your organisation intends to manage the grant funding including any previous experience.• How you will increase access and participation of children from vulnerable or disadvantaged families or communities.	Guidance: Address this assessment criterion in 500 words or less
2	<p>Describe how you will measure your success in this plan.</p> <p>Include:</p> <ul style="list-style-type: none">• How improvements to viability and/or sustainability will be measured, including estimated timeframes for improvements.• How the funds requested to support your plan represents value for money in the long term, including whether the plan will result in your service achieving greater sustainability under the new child care system.	Guidance: Address this assessment criterion in 500 words or less

6.1 Additional information

The department may ask services to provide additional information or evidence as part of the application or assessment process. Additional evidence can be provided as attachments and will not be included in the word count.

Examples of information or evidence that may be requested include:

- letters of support

- evidence related to consortium arrangements (where applicable)
- copies of relevant financial information.

7 The grant application process

7.1 Overview of the application process

You must read these grant guidelines, the application form and the draft Grant Agreement Terms and Conditions available on the [department's website](#) before you submit an application. You should also read any Questions and Answers related to the grant opportunity available on the [department's website](#).

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

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

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

We will acknowledge that we have received your grant application within three working days of it being submitted.

7.2 Application process timing

Submit your application/s to the department by the closing date below.

The expected commencement date for the granting activities is 2 July 2018 and the expected completion date will be negotiated with each funding recipient as specified in individual agreements.

Table 1: Expected timing for this grant opportunity

Activity	Timeframe
Application period	Six weeks
Assessment of applications	Commencing on round closure
Approval of outcomes of selection process	Following finalisation of assessments
Notification of grant outcomes	By end April 2018
Negotiations and award of grant agreements	By end April 2018
Activity commences	July 2018
End date	Subject to individual agreements

7.3 Late applications

If an application is late or the department is requested to approve a lodgement after the closing date, the department may determine that there were exceptional circumstances beyond the applicant's control that meant they could not meet the deadline. Examples of exceptional circumstances could include, but may not be limited to:

- departmental infrastructure failures
- natural disasters
- power outages affecting the ability of the applicant to submit their application by the deadline
- death or disability of key personnel.

7.4 Completing the grant application

You must apply for funding by completing the application form, which can be accessed at the department's website.

You must complete each section of the application form, including addressing all assessment criteria, as well as providing any requested information. Please keep a copy of your application and any supporting papers. For help with any difficulties in accessing, completing or submitting your application, please email CCCFRestricted@education.gov.au.

Where funding is sought for more than one eligible service, the applicant is required to address the eligibility and assessment criteria for each service through separate application forms.

Where funding is sought for an eligible service that operates from more than one location, such as a mobile child care service, or operates more than one child care service type within the service, such as a Multifunctional Aboriginal Children's Service, only one grant application submission is required.

Hard copy application forms are available in exceptional circumstances. Please contact us if you require a hard copy form, noting that all applications including any requested information must be received by the closing date.

Completed applications should be emailed to CCCFRestricted@education.gov.au.

If you are unable to complete or lodge your application electronically, your hard copy application must be sent by registered mail to

Department of Education and Training

GPO Box 9880

Canberra ACT 2601

The department will acknowledge receipt of your grant application within three working days.

You must make sure that your application is complete and accurate and submitted in accordance with these guidelines and application form. Giving false or misleading information may exclude your application from further consideration.

You should contact the department immediately by email at CCCFRestricted@education.gov.au 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.

7.5 Attachments to the application

The following documents must be included with your application:

- A completed PwC Financial and Operational Analysis Tool for your service
- Business Plan, if available.

Your supporting documentation should be attached with the application form. There will be instructions in the application form to help you. Only attach the documents you have been asked to include.

Note: Do not attach your PwC individual Transition Report as the department already has a copy.

7.6 Applications from consortia

Some organisations may apply as a consortium to deliver grant activities. A consortium is two or more businesses who are working together to combine their capabilities when developing and delivering a grant activity.

If you are submitting a grant application on behalf of a consortium, a member organisation must be appointed as the 'lead organisation'. The lead organisation, as well as consortium members, must be a provider of a specified service, identified by the department as being eligible to apply under this grant opportunity.

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. The lead organisation will act on behalf of all members of the consortium, and enter into grant agreements which are binding to them.

The application must include a letter of support from each organisation involved in the grant. Each letter of support should include:

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

7.7 Questions during the application process

If you have any questions during the application period, please contact the department through the following methods:

Email: CCCFRestricted@education.gov.au

Phone: 1800 552 488

Mailing address:

Department of Education and Training

GPO Box 9880

Canberra ACT 2601

The department will respond to emailed questions within five working days.

Answers to questions will be posted on the [department's website](#).

People with hearing or speech disability can use the National Relay Service to access the department's phone numbers. Call 1300 555 727 (speak and listen) or go to the National Relay Service website for other options.

The department may choose to provide nominated grant applicants with an opportunity for an interview to supplement the written application process. Should you wish to discuss this process please contact the department.

7.8 Further grant opportunities

The department reserves the right to offer grants to organisations on an ad hoc basis, where special circumstances have been identified, such as:

- where a service's continuity or viability is affected by a natural disaster or another unexpected factor outside the control of the service
- one-off activities or projects as identified by the department, consistent within the broad objectives of the CCCF restricted non-competitive grant opportunity.

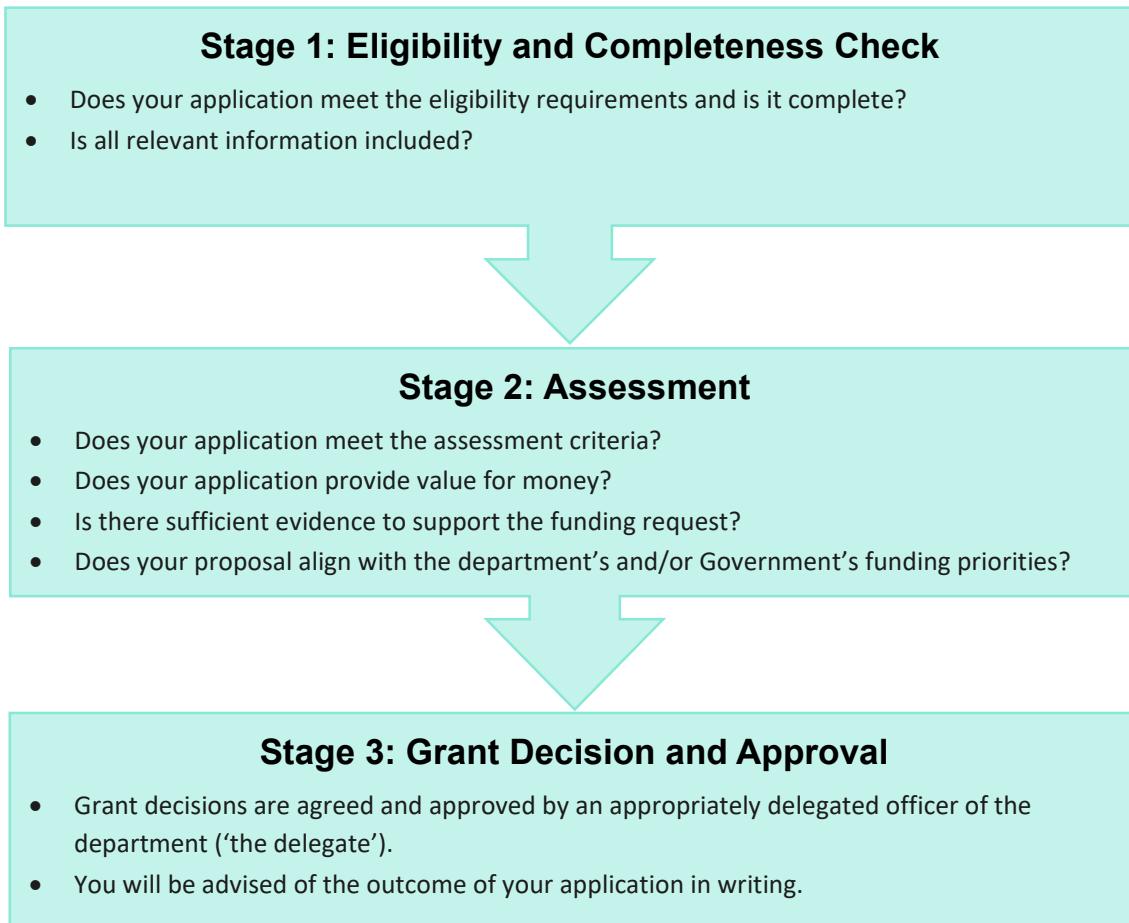
Such funding would be provided at the sole discretion of the department and would not be on an ongoing basis.

Any grants awarded under ad hoc or special circumstances arrangements as described, will be subject to a separate set of grant opportunity guidelines that will be published on GrantConnect at <https://www.grants.gov.au/> and the [department's website](#).

8 Assessment of grant applications

8.1 Assessment process

Applications will be assessed through a three-stage process (see below).



8.2 Who will assess applications?

Applications will be assessed by an assessment team, comprising departmental officers. They will be bound by the Australian Public Service Code of Conduct and Secretary's Instructions. The assessment team led by the Chair of the assessment team will assess the strengths of each eligible application against the assessment criteria, relative to the proposal's size, complexity and funding amount requested.

The department may seek information about you or your application from any other source, including from within the Commonwealth, even if the sources are not referees nominated by you.

The assessment team may also consider information about you or your application that is available to the department through the normal course of business, including your history of compliance with child care laws and regulations (if applicable).

If the assessment process identifies unintentional errors in your application, you may be contacted to correct or clarify the information.

Following assessment of the application and financial viability of the grant applicant (if applicable), the assessment team will make recommendations to the delegate on the suitability of proposals for funding, including the level of funding recommended for each successful application. The Branch Manager of the department's Community Child Care Program Branch is the Minister's delegate, and the authorised decision-maker in relation to funding under the CCCF.

The department reserves the right to negotiate elements of the application, including proposals and budgets, prior to entering into a grant agreement.

8.3 Funding determination

The amount and term of funding provided to applicants will be determined on a case by case basis, depending on the activity being funded, the circumstances of the applicant, and the department's program priorities.

In determining CCCF operational funding for this grant opportunity, the assessment team will be informed by a number of factors including, but not limited to:

- completed application form, in particular responses to the assessment criteria
- PwC individual Transition Reports (which the department already has)
- PwC Financial and Operational Analysis Tool
- past service data collected by the department, including acquittal and attendance data
- other information about service operations may also be considered, such as:
 - service type
 - remoteness of the service
 - child care numbers
 - operating hours.

The department may seek additional information from the applicant, relevant to the funding determination, during the application or assessment process.

8.4 Value for money

In assessing the extent to which the application represents value for money, the department will have regard to the following:

- the expected results within the amount of funding requested
- the geographic location of the proposal
- the applicant's relevant experience and performance history
- the extent to which the proposed activity will support the service to operate sustainably under the new child care system, as identified in the service's Transition Report and PwC Financial and Operational Analysis Tool
- any contribution project partners will make, if applicable.

Grant applicants must contribute to achieving value with public money by:

- considering how to deliver the proposed activities in the most cost effective way possible
- having in place an effective risk management approach that will minimise risk and ensure that the funding is achieving the outcomes, objectives and performance indicators
- ongoing monitoring and management of the funding as appropriate. This may involve the effective use of organisational processes, procedures and systems to produce the required reporting information, adjusting activities to ensure they are meeting the objectives and performance indicators
- participating in evaluation of funding outcomes upon request.

8.5 Financial viability

Grant applicants may be subject to a financial viability assessment in accordance with the department's Financial Viability Policy. These assessments form part of the risk mitigation strategy. They can include:

- verification that entities have a legal existence
- verification of the correct legal names of entities for contracting purposes
- verifying relevant persons in those entities to establish that contract signatories are correct
- establishing whether relevant persons have any adverse business history (e.g. current or past bankruptcy)
- possible identification of conflict of interest issues
- assessment of the financial health of an entity.

8.6 Additional checks

The department may perform security, probity and financial investigations as it determines necessary in relation to an application. Organisations will be required to supply financial and other information for this process if requested.

You should note that as part of the assessment process the department reserves the right to use information gained as part of its normal course of business in determining performance against the eligibility and assessment criteria.

8.7 Who will approve grants?

The assessment team will make recommendations to the Branch Manager of the department's Community Child Care Program Branch (the decision maker), who is authorised, on behalf of the Minister, to make decisions in relation to the administration of the CCCF. The grant decisions are final in all matters, including:

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

The decision maker 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.

In making grant decisions, the decision maker may also take into account other considerations such as making sure families will have equitable access to services and that grants are allocated fairly across geographical areas and across a diverse range of service types.

There is no appeal mechanism for decisions to approve or not approve a grant.

9 Notification of application outcomes

You will be advised of the outcomes of your application in writing, following a decision by the decision maker. You will also be advised about any specific conditions attached to the grant.

9.1 Feedback on your application

Feedback on your application can be provided on request by contacting the department by email at CCCFRestricted@education.gov.au.

10 Successful grant applications

10.1 The grant agreement

Successful applicants must enter into a legally binding grant agreement with the Commonwealth represented by the department. The department will use a *Commonwealth [Simple or Standard] Grant Agreement*. Standard terms and conditions for the grant agreement will apply and cannot be changed (available on the [department's website](#)). A schedule may be used to outline the specific grant requirements. Any additional conditions attached to the grant will be identified in the grant offer or during the grant agreement negotiations.

You must spend the grant as specified in the grant agreement.

The grant period will be agreed between the department and the grant recipient. The maximum grant period is five years.

For amounts of less than \$10,000, grants may be provided via a formal exchange of letters (letter of agreement).

You should not make financial commitments until a grant agreement has been executed by the Commonwealth.

10.2 How the grant will be paid

The grant agreement will state the:

- maximum grant amount to be paid.

Payments will be made according to schedules agreed between grant recipients and the department, as recorded in the grant agreement. Payment schedules will reflect the nature of the proposal, and generally be linked to the achievement of pre-agreed activity milestones

and key performance indicators. Release of each payment will depend on your organisation meeting all requirements as specified in the grant agreement.

You must accurately report on the grant activities and the expenditure of the grant, as required in the grant agreement (or letter of agreement). The grant must be spent and acquitted by the grant agreement end date unless otherwise agreed with the department.

The department may vary or extend grant agreements in some circumstances where permissible under the terms and conditions of the agreement, and where agreed by both parties.

You may start your activity from the date that the department notifies you that your application is eligible and complete. If you choose to start your activity before you enter into a grant agreement with the Commonwealth, you do so at your own risk.

10.3 Monitoring and performance reporting

Successful recipients will be required to submit reports to the department concerning the funding, in the format and by the due dates detailed in the grant agreement. Recipients will need to collect data that measures how the activity contributes to the CCCF outcomes and objectives. Recipients must agree, if requested by the department, to collect data and maintain records to assist with performance monitoring or evaluation.

The department will work with organisations to minimise the volume of reporting requirements whilst maintaining transparency and accountability requirements.

10.4 Financial reporting

The CCCF is managed to ensure the efficient, effective and ethical use of public monies. Funding must only be used for the purposes for which it is provided. Recipients are required to provide financial statements/reports in accordance with the grant agreement, including:

- a final financial acquittal
- financial declaration or an independently audited financial statement as required by the department.

Full details of what recipients must submit to acquit the funding will be specified in the grant agreement.

10.5 Risk management

The department is committed to a comprehensive and systematic approach to effectively manage potential risk. Grant recipients are expected to do the same in the course of their normal operations.

Risks may include:

- non-compliance with legal, contractual and program requirements
- financial or misuse of funds
- risks associated with loss of service delivery
- reduced outcomes due to poor quality of service delivery.

The department's risk management practices and decisions are in accordance with its Risk Management Policy. The Risk Management Policy provides that risks must be identified, monitored, treated and, if necessary, additional treatments applied to reduce the risk level.

Grant recipients will be assessed in accordance with the Risk Management Policy prior to the negotiation of grant agreements, which are managed according to their level of risk. Services may be required to undergo a risk management assessment.

A periodic monitoring process is undertaken during the term of an agreement which monitors service delivery and is used to provide evidence for ongoing risk assessments.

11 Announcement of grants

Successful grants will be listed on the GrantConnect website 14 days after the date of effect¹ as required by Section 5.3 of the CGRGs.

12 Delivery of grant activities

12.1 Your responsibilities

You will be responsible for:

- meeting the terms and conditions of the grant agreement and managing the activity efficiently and effectively
- meeting milestones and other timeframes specified in the grant agreement
- complying with record keeping, reporting and acquittal requirements as set out in the grant agreement
- participating in grant program evaluation as specified in the grant agreement.

12.2 The department's responsibilities

The department will:

- meet the terms and conditions set out in the grant agreement
- provide timely administration of the grant
- evaluate the grant recipient's performance against progress on milestones as set out in the grant agreement schedule.

12.3 Grant payments and GST

Payments will be made as set out in the grant agreement or letter of agreement. A grant may include provision for any applicable Goods and Services Tax (GST), provided it is specified as part of the application process.

¹ See glossary

Before any payments are made, you must provide:

- a tax invoice for the amount of the payment (the Australian Government's default invoice process is Recipient Created Tax Invoices)
- evidence that you have achieved the associated milestone, and/or
- any other conditions of payment (e.g. evidence of purchase of equipment, satisfactory progress report, approvals, and any other documentation).

You are advised to carefully consider any possible taxation obligations and requirements of any grant received through the CCCF program, prior to submitting an application.

If you receive a grant, you should consider speaking to a tax advisor about the effect of receiving a grant before you enter into a grant agreement. You can also visit the Australian Taxation Office website at www.ato.gov.au for more information.

12.4 Evaluation

The department will evaluate the CCCF to measure whether, and to what extent, the outcomes and objectives have been achieved. Where possible, the department will use information you have already provided as part of your regular reporting. In some cases, you may be invited or required (as part of agreement negotiations) to participate in case studies of innovation and/or best practice or in additional review and/or evaluation activities.

12.5 Acknowledgement

All publications related to grants under the program must acknowledge the Commonwealth as follows:

'This activity received grant funding from the Australian Government.'

12.6 The department's rights

The department reserves the right to amend the program guidelines and other relevant documents by whatever means it may determine, at its absolute discretion, and will provide reasonable notice of these amendments. Amended guidelines will be published on the GrantConnect website at <https://www.grants.gov.au/>.

Through the grant agreements, the department will maintain a right to use the grants provided to offset a debt against a provider in respect of the Child Care Subsidy (as per Minister's rules made under section 3(1) – the definition of a *child care service payment* – of the A New Tax System (Family Assistance) (Administration) Act 1999).

13 Prouity

The Australian Government will make sure that the program process is fair, according to 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 changed from time-to-time by the department. When this happens the revised guidelines will be published on the GrantConnect website at <https://www.grants.gov.au/>.

13.1 Complaints process

If you are not satisfied with the way an application has been handled by the department, you can lodge a complaint by completing the feedback and enquiry form available on the department's website. The complaint will be reviewed by one or more independent areas of the department.

For complaints that relate to policy aspects of this grant opportunity, you can lodge a complaint by completing the feedback and enquiry form available on the department's website. The complaint will be reviewed by one or more independent areas of the department.

If you do not agree with the way the department has handled your complaint, you may complain to the Commonwealth Ombudsman. The Ombudsman will not usually look into 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

Any conflicts of interest could affect the performance of the grant. There may be a conflict of interest, or perceived conflict of interest, if relevant departmental staff, any member of a committee or advisor and/or you or any of your personnel:

- has a professional, commercial or personal relationship with a party who is able to influence the application selection process, such as an Australian Government officer
- has a relationship with 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 because the organisation receives funding under the program.

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

If you later identify that there is an actual, apparent, or potential conflict of interest or that one might arise in relation to a grant application, you must inform the department in writing immediately. Committee members and other officials including the decision maker must also declare any conflicts of interest.

The department also has mechanisms in place for identifying and managing potential or actual conflicts of interest involving its own staff, such as requiring assessment officers to sign conflict of interest declarations prior to undertaking the assessment of applications.

The delegate will be made aware of any conflicts of interest and will handle them in compliance with Australian Government policies and procedures.

Conflicts of interest for Australian Government staff will be handled as set out in the Australian Public Service Code of Conduct (Section 13(7)) of the *Public Service Act 1999*. We publish our conflict of interest policy available on the department's website.

13.3 Privacy: confidentiality and protection of personal information

We treat your personal information according to the 13 Australian Privacy Principles and the *Privacy Act 1988*. This includes letting you know:

- what personal information we collect
- why we collect your personal information
- who we give your personal information to.

You are required, as part of your application, to declare your ability to comply with the *Privacy Act 1988*, including the Australian Privacy Principles and impose the same privacy obligations on any subcontractors you engage to assist with the activity. You must ask for the Australian Government's consent in writing before disclosing confidential information.

Your personal information can only be disclosed to someone else if you are 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 you have consented to the disclosure.

The Australian Government may also use and disclose information about grant applicants and grant recipients under the program in any other Australian Government business or function. This includes giving information to the Australian Taxation Office for compliance purposes.

We may reveal confidential information to:

- the committee and other Commonwealth employees and contractors to help us manage the program effectively
- employees and contractors of our department so we can research, assess, monitor and analyse our programs and activities
- employees and contractors of other Commonwealth agencies for any purposes, including government administration, research or service delivery
- other Commonwealth, state, territory or local government agencies in program reports and consultations
- the Auditor-General, Ombudsman or Privacy Commissioner
- the responsible Minister or Parliamentary Secretary
- a House or a Committee of the Australian Parliament.

We may share the information you give us with other Commonwealth agencies for any purposes including government administration, research or service delivery and according to Australian laws, including the:

- *Public Service Act 1999*
- *Public Service Regulations 1999*
- *Public Governance, Performance and Accountability Act*
- *Privacy Act 1988*
- *Crimes Act 1914*
- *Criminal Code Act 1995*

We will treat the information you give us as sensitive and therefore confidential if it meets all of the four conditions below:

1. you clearly identify the information as confidential and explain why we should treat it as confidential
2. the information is commercially sensitive
3. revealing the information would cause unreasonable harm to you or someone else
4. you provide the information with an understanding that it will stay confidential.

The grant agreement will include any specific requirements about special categories of information collected, created or held under the grant agreement.

Further information can be found at education.gov.au/privacy, or by writing to:

Privacy Contact Officer
 People, Communication and Legal Group
 Department of Education and Training
 GPO Box 9880
 Canberra ACT 2601
privacy@education.gov.au

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 (FOI Act)*.

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

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

By mail: FOI Team Leader
 Legal and Investigations Group
 C50MA10
 GPO Box 9880
 CANBERRA ACT 2601

By email: FOI@education.gov.au

For more information please visit the department's website:
<https://www.education.gov.au/freedom-information>.

13.5 Fraud

The department is committed to preventing fraud in all aspects of its business. The department's fraud reporting procedures can be found at <http://www.education.gov.au/how-report-fraud>

13.6 Other specialist requirements

You must comply with all relevant Commonwealth and state/territory legislation and regulations.

13.7 Liability issues

The department is not liable in relation to the application and/or assessment process, including without limitation, if the department:

- varies or terminates all or any part of the application and/or assessment process or any negotiations with the applicant
- decides not to fund any or all of the activities sought by applicants through the assessment process
- exercises or fails to exercise any of its other rights under, or in relation to, the program guidelines.

13.8 Multicultural access and equity policy

Australia's *Multicultural Access and Equity Policy* is about ensuring that Australian Government programs and services meet the needs of all Australians, regardless of their cultural and linguistic backgrounds. The policy centres on six commitments essential to the effective delivery of government programs and services in a multicultural society: leadership; engagement; performance; capability; responsiveness; and openness. Australian Government departments and agencies are required to apply the commitments to all relevant activities, including those conducted on behalf of government by contractors and service delivery partners. This includes ensuring that cultural and linguistic diversity is not a barrier for families accessing child care services to which they are entitled.

Grant applicants should consider whether grant activities may require the use of professional translating or interpreting services so they can communicate with non-English speakers. If translating and interpreting services are required, applicants may include these costs in their grant proposal.

14 Consultation

The department conducted public consultations for the draft CCCF program guidelines from 17 May to 13 June 2017. Approved providers of child care services, BBF services, and other key stakeholders were contacted by email and informed that the draft guidelines had been published, and how to provide feedback. Written feedback was received via a survey hosted on the DSS website (Engage Platform) and through direct email to the department via a dedicated mailbox. Face to face information sessions were also held in all capital cities and some regional locations, as well as various webinar presentations.

Feedback received as part of the consultation process has been used to inform the final program guidelines.

15 Glossary

assessment criteria	The specified principles or standards, against which applications will be judged. These criteria are also used to assess the merits of the proposal.
assessment team	A team of departmental officers, including executive officers, who will be responsible for assessing applications under this grant opportunity, and making funding recommendations to the decision maker. This team will have appropriate skills and experience.
Budget Based Funded (BBF) service	Service that is currently funded through the BBF program.
capital works	Works to build, extend, modify or renovate facilities.
Child Care Benefit	Government subsidy that helps with costs for approved and registered care such as long, family or occasional day care, outside school hours care, vacation care, pre-school and kindergarten.
child care provider	Legal entity that runs the child care business. One child care provider can operate more than one child care service in several locations.
Child Care Rebate	Government subsidy that covers 50 per cent of out of pocket child care expenses for approved child care, up to an annual limit per child, in addition to any other child care assistance.
child care service	The physical location where children are cared for and where proposals under the CCCF would be executed.
Child Care Subsidy	Income and activity tested Australian Government child care subsidy that will replace Child Care Benefit and Child Care Rebate from July 2018.
commencement date	The expected start date for the grant activity.
Commonwealth entity	A Department of State, or a Parliamentary Department, or a listed entity or a body corporate established by a law of the Commonwealth. See subsections 10(1) and (2) of the Public Governance, Performance and Accountability (PGPA) Act.
Commonwealth Grants Rules and Guidelines	The <i>Commonwealth Grants Rules and Guidelines</i> (CGRGs) establish the Commonwealth Government's grants policy framework. They contain the key legislative and policy requirements, and explain the better practice principles of grants administration.

community level barriers	Reasons that may prevent families from using available child care, for example their socio-economic background and family resources.
completion date	The expected date that the grant activity must be completed and the grant spent by.
consortium	A consortium is two or more businesses who are working together to combine their capabilities when developing and delivering a grant activity.
date of effect	This will depend on the particular grant. It can be the date in which a grant agreement is signed or a specified starting date. Where there is no grant agreement, entities must publish information on individual grants as soon as practical. (CGRGs)
decision maker	The person who makes a decision to award a grant.
delegate	An officer of the department with authority delegated by the Minister for Education and Training.
department	The Australian Government Department of Education and Training
designated use period	Agreed minimum period of time that a capital asset funded under the CCCF must be used for child care.
eligibility criteria	The principles, standards or rules that a grant applicant must meet to qualify for consideration of a grant. Eligibility criteria may apply in addition to assessment criteria. (CGRGs)
grant	A grant is an arrangement for the provision of financial assistance by the Commonwealth or on behalf of the Commonwealth: a) under which relevant money or other Consolidated Revenue Fund (CRF) money, is to be paid to a recipient other than the Commonwealth; and b) which is intended to assist the recipient achieve its goals; and c) which is intended to help address one or more of the Australian Government's policy objectives; and d) under which the recipient may be required to act in accordance with specified terms or conditions. (CGRGs)
grant activity	Is the project /tasks /services that the grantee is required to undertake with the grant funding. It is described in the grant agreement. (Proposed definition in the grants taxonomy)
grant agreement	Grant agreement means the contract template used by Australian Government entities to set out the mutual obligations relating to the provision of the grant. The Australian Government is standardising and streamlining grant agreements between the Commonwealth and grant recipients to allow grant recipients to engage more easily and efficiently with the Commonwealth. (CGRGs)

grant opportunity	A notice published on GrantConnect advertising the availability of Commonwealth grants.
grant program	May be advertised within the 'Forecast Opportunity' (FO) section of GrantConnect to provide a consolidated view of associated grant opportunities and provide strategic context for specific grant opportunities
grantee	An individual/organisation that has been awarded a grant. (Proposed definition in the grants taxonomy)
in-kind	The provision of goods, commodities, or services instead of money
mobile service	Services that travel to isolated communities to deliver child care services where centre-based child care is not readily available.
PBS program	Described within the entity's Portfolio Budget Statement, PBS programs each link to a single outcome and provide transparency for grant decisions. These high level PBS programs often comprise a number of lower level, more publicly recognised programs, some of which will be grant programs. A PBS program may have more than one grant program associated with it, and each of these may have one or more grant opportunities.
PwC Financial and Operational Analysis Tool	A tool for services to forecast CCCF, CCS and ACCS and out of pocket fee income and expenditure.
selection process	The method used to select potential grantees. For the grant opportunity covered by these guidelines, this process involves the assessment of applications against the eligibility criteria and the assessment criteria. (CGRGs)
specified services	Services as specified by the department as eligible to apply under this grant opportunity.
sustainability	The ability to maintain viability in the long-term.
Transition Report	A report that outlines specific activities to be undertaken by the service to enable them to transition to and operate within the new child care system.
value for money	This is generally based on whether the intended outcomes will justify the expenditure, including that resources are deployed in an efficient, effective, economical and ethical way.
viability	The ability of a business to survive, measured by its financial performance and position.