



**Australian Government**  
**Department of Employment**

# **GRANT GUIDELINES**

**for**

# **ParentsNext**

Commonwealth of Australia 2016

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## GENERAL INFORMATION AND INDICATIVE TIMELINE

<b>Title of Document</b>	<b>Grant Guidelines for ParentsNext</b>
6 January 2016	Release of the Grant Guidelines on 360Pro.
From 11 January 2016	ParentsNext information sessions and webinars.
29 January 2016	Last day for requests to the Department of Employment for further information regarding ParentsNext. There will be no obligation on the Department to answer questions received after this deadline (see Contact Details section).
5.00 pm (Canberra time), 3 February 2016	Closing date and time for Applications for funding under the Grant Guidelines.
March 2016	Announcements of outcomes of the Grant Guidelines for ParentsNext process.
4 April 2016	Start of ParentsNext.

## CONTACT DETAILS

The [Employment Services Purchasing Hotline](mailto:espurchasing@employment.gov.au) (espurchasing@employment.gov.au) (the Hotline) is the primary means of contact during the purchasing period.

Questions and requests for clarification about these Grant Guidelines can be directed to:

- phone—1300 733 514 (Monday to Friday, 9.00 am to 5.00 pm Canberra time, excluding ACT and national public holidays)
- email—[the Hotline](mailto:espurchasing@employment.gov.au) (espurchasing@employment.gov.au).

All requests for information must be submitted to [the Hotline](mailto:espurchasing@employment.gov.au) prior to 5.00 pm (Canberra time) 29 January 2015. There will be no obligation on the Department to answer questions received after this time.

The Department may publish responses to questions or requests for clarification on these Grant Guidelines on the [Employment Services Procurement Information website](http://employment.gov.au/employment-services-procurement-information) (employment.gov.au/employment-services-procurement-information) for the benefit of all potential Applicants without identifying the source of the question or clarification. Please monitor the Employment Services Procurement Information website for updated information.

The Hotline cannot provide interpretation of these Grant Guidelines or advise an Applicant on how to respond to the requirements set out in these Grant Guidelines, or provide information that is not contained in these Grant Guidelines, unless that information is publicly available.

Registration for the information sessions or webinars supporting these Grant Guidelines can be completed using the [Information Sessions Online Booking Form](http://www.ivvy.com/event/PNGG/) (http://www.ivvy.com/event/PNGG/).

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# CHAPTER 1 ABOUT THESE GRANT GUIDELINES

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## 1.1 Purpose of the Grant Guidelines

The Department of Employment (the Department) is seeking Applications for funding under the ParentsNext programme. Applications are sought from profit and not-for-profit organisations with experience and demonstrated success working with parents of young children in their local communities. For eligibility requirements and exclusions, refer to Chapter 4 of these Grant Guidelines.

## 1.2 Scope and purpose

This document outlines the requirements for organisations seeking to apply for grant funding to deliver activities under the ParentsNext programme ('Applicants'). This includes the process for submitting Applications, timelines and conditions of funding.

This document should be considered together with other information about ParentsNext available on the [Employment Services Procurement Information](http://employment.gov.au/employment-services-procurement-information) website (employment.gov.au/employment-services-procurement-information).

Any additional information is provided for background purposes only and potential Applicants must complete their Application based on the requirements outlined in these Grant Guidelines.

In this document, unless a contrary intention occurs, all capitalised terms have the meaning given to them in the list of definitions in Appendix A, Glossary. In the event of any inconsistency, the definitions in Appendix E, Draft Funding Agreement take precedence over the terms defined in this Glossary.

Some requirements specified in this document will be supported by the Legislative Instrument. If, for any reason, the Legislative Instrument does not have effect or ceases to have effect, there may be changes to these requirements. If there is a change to these requirements during the Grant Guidelines Application period, the Department will issue an Addendum through 360Pro which outlines the changes. If there are changes to these requirements after the Grant Guidelines Application period, the Department will issue a written notice to successful Applicants which outlines the changes. The key requirements that would be subject to change include those specified at the following sections:

- 2.5 Eligible parents
- 2.8 Activities
- 2.13 Participant compliance framework.

## 1.3 Information sessions and webinars

The Department will hold information sessions in some state capitals and hold two webinars. Details of these sessions are available on the Employment Services Procurement Information website or by calling [the Hotline](tel:1300733514) on 1300 733 514. An information session presentation will be available on the Employment Services Procurement Information website.

Register interest to attend an information session or webinar [online](http://www.ivvy.com/event/PNGG/) (www.ivvy.com/event/PNGG/).

# CHAPTER 2 ABOUT PARENTSNEXT

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## 2.1 Introduction

The Australian Government is committed to ensuring that parents receive the assistance they need to prepare for employment by the time their children reach school age. For many people, in particular, many women, becoming a parent can involve more time spent caring for children and less time in the paid workforce. People can gain valuable new skills and social networks through the parenting experience but there is also a risk of losing work-specific skills and confidence to enter paid employment. The risk of long-term welfare dependency can increase as a result, particularly for parents already in receipt of government income support. The Helping Young Parents and Supporting Jobless Families trials were established in 2012 to test compulsory participation for Parenting Payment recipients. Trials demonstrated positive outcomes for parents through regular contact with the Department of Human Services and participation in activities.

In the 2015-16 Federal Budget the Government provided funding to establish projects that build on the strengths of the trials and reach a larger target group. From April 2016, ParentsNext projects will operate in 10 Local Government Areas to help parents of young children to plan and prepare for employment. The programme forms part of the Australian Government's Growing Jobs and Small Business Package. ParentsNext is administered by the Department.

The objectives of ParentsNext are to:

- target early intervention assistance to parents at risk of long-term welfare dependency
- help parents identify their education and employment related goals and participate in activities that help them achieve their goals
- connect parents to local services that can help them address their barriers to employment.

The Department is now seeking proposals for projects that may be funded under ParentsNext from organisations committed to improving the employment prospects and economic security of Australian families. Projects will commence on 4 April 2016 in designated Local Government Areas.

## 2.2 Scope

The Department invites project proposals that will help parents to plan and prepare for employment in ways that draw on resources in local communities and are tailored to current and anticipated employment opportunities in the specified Local Government Areas. Project proposals should highlight new, possibly unique, approaches to engaging parents with young children in thinking about their employment related goals, which may include educational attainment, and actively planning for future employment.

In particular, project proposals should outline approaches to:

- building rapport and maintaining regular contact with parents of young children
- developing a Participation Plan with each parent that identifies the parent's education and employment goals
- planning activities and services that will help parents progress towards their goals

- assisting parents to meet their participation requirements, where applicable
- actively involving Participants in Project governance to give Participants a say on how the project is delivered, including but not limited to the types of activities that the Project offers to help Participants prepare for employment.

Without seeking to limit ideas, project proposals may outline approaches to:

- encouraging parents to contemplate paid employment, now or in the future, and to plan accordingly
- helping parents to increase their educational qualifications, update skills or gain recognition of prior skills; achievement of Year 12 or a Certificate III qualification will be a priority for parents identified as Early School Leavers
- helping parents to successfully combine planning and preparation for employment with their parenting responsibilities, for example, through time management, parenting skills and the use of child care
- advising parents on how to become work-ready and commence job search
- addressing vocational and non-vocational barriers that may limit a parent's capacity to participate in paid employment, such as deficits in language, literacy and numeracy
- promoting the ParentsNext Project in the local community and encourage voluntary participation
- successfully engaging with parents referred by the Department of Human Services who have participation requirements
- connecting parents with community networks and organisations including: pre-schools and primary schools; training providers, employment services and other service providers; child care centres and community-based parent support groups; and the Department of Human Services.

## 2.3 Locations

ParentsNext projects will operate in 10 Local Government Areas that will be specified by the Legislative Instrument. These areas have been selected for reasons relating to social and economic disadvantage including: high unemployment, high proportions of the population in receipt of income support payments (including long-term welfare dependency), increasing numbers of unemployment beneficiaries, and relatively low educational attainment.

The Local Government Areas are:

- Bankstown (New South Wales)
- Wyong (New South Wales)
- Shellharbour (New South Wales)
- Greater Shepparton (Victoria)
- Hume (Victoria)
- Logan (Queensland)
- Rockhampton (Queensland)
- Playford (South Australia)
- Kwinana (Western Australia)
- Burnie (Tasmania).

## 2.4 Funding

Up to 31 projects will be funded under the ParentsNext programme. The number of funded projects varies by Local Government Area according to expected numbers of Participants and other factors (Table 2.1).

Referrals of Participants in a Local Government Area will be distributed in roughly equal number across the Projects that operate in the Local Government Area. For example, in a Local Government Area with three Projects and an estimated 2700 Participants per year, each Project will receive approximately 900 Participants annually. Should the Department invoke provisions for gap filling (see section 5.3) the number of projects and Participants per project may vary.

**Table 2.1 Number of funded Projects by Local Government Area**

Local Government Area (LGA)	Number of funded projects	Estimated number of participants per full financial year
Bankstown, NSW	4	3700
Wyong, NSW	3	2700
Shellharbour, NSW	2	1100
Greater Shepparton, Vic.	2	1200
Hume, Vic.	4	3600
Logan, Qld.	7	6200
Rockhampton, Qld.	3	1500
Playford, SA	4	2900
Kwinana, WA	1	600
Burnie, Tas.	1	400
<b>Total</b>	<b>31</b>	<b>23,900</b>

The Department will grant funding to Funding Recipients for the period 4 April 2016 to 30 June 2018 with the option of extension exercisable at the Department's discretion and subject to available funding and the Funding Recipient's satisfactory performance.

The initial payment of funding will be made on the day that the Funding Agreement is signed. This will be followed by six-monthly instalments of funding, paid in advance. Funding instalment amounts are shown in Table 2.2. These amounts are not necessarily indicative of funding available under any extension beyond June 2018.

Funding Recipients will need to satisfy all requirements under the Funding Agreement, including specified Project milestone reporting requirements for each period before receiving the next funding instalment. Project milestone reporting requirements are outlined in section 2.14. Funding Recipients will need to submit a tax invoice to the Department to claim each payment of funding.

All payment amounts are GST inclusive.

Funding Recipients will be required to open a separate bank account to hold all funding and to manage and report on that funding appropriately and as required by the Department.

Funding must be expended in accordance with the Funding Agreement and only for the purposes of the Project. This includes but is not limited to, using the Funding to pay for:

- staff time to conduct appointments and maintain regular contact with Participants
- staff time to conduct Job Seeker Classification Instruments and work readiness assessments on Participants (as part of scheduled appointments)
- delivering or brokering activities to help Participants prepare for employment
- any travel expenses associated with maintaining regular contact with a Participant where the Participant is unable to attend the Funding Recipient’s offices for an appointment that, under the ParentsNext guidelines, is required to be conducted face-to-face (for example, an appointment at an alternative more proximate venue or financial assistance to enable the Participant to travel to the offices)
- subject to prior approval by the Department on a case-by-case basis, additional training of project staff in use of Work Star™ not covered by the Department’s provision of pre-requisite introductory training
- capital items or assets totalling not in excess of \$5000 each financial year (30 June to 1 July).

**Table 2.2 ParentsNext Project payment milestones**

<b>Milestone</b>	<b>Payment amount (per project)</b>	<b>Payment date</b>
Signed Funding Agreement	\$77,200	March 2016 (approx.)
Provision of Project activity report 1 to the Department’s satisfaction	\$240,200	July 2016
Provision of Project activity report 2 to the Department’s satisfaction	\$240,100	January 2017
Provision of Project activity report 3 to the Department’s satisfaction	\$366,700	July 2017
Provision of Project activity report 4 to the Department’s satisfaction	\$366,700	January 2018
Project Final Report	Nil	Not applicable

## 2.5 Eligible parents

Eligibility categories are subject to the Legislative Instrument being in effect. Any changes to requirements flowing from this not being so will be notified by the Department.

ParentsNext will target two parent groups: a compulsory group who are subject to participation requirements, subject to the Legislative Instrument being in effect; and a voluntary group.

### **Compulsory Participants—eligibility criteria**

Eligibility for Compulsory Participants is determined by the Department of Human Services.

Parents in the 10 Local Government Areas will be compulsorily required to participate in ParentsNext if they meet the following criteria specified by the Legislative Instrument:

- resides in one of the 10 specified Local Government Areas
- has been in receipt of Parenting Payment (Partnered or Single) for at least six months continuously
- has a youngest child aged between six months and under six years
- has not received Pensioner Education Supplement (PES) in the previous three months
- has no reported earnings from employment in the previous six months.

AND meets at least ONE of the following high risk/high priority criteria:

- is an Early School Leaver, OR
- has a youngest child aged five years, OR
- is eligible for ParentsNext based on a Job Seeker Classification Instrument (JSCI) assessment.

Parents who are participating in the Helping Young Parents trials on 31 March 2016 will be automatically transitioned to ParentsNext as Compulsory Participants.

### **Voluntary Participants—eligibility criteria**

Volunteers are eligible to commence in ParentsNext only during the period 4 April 2016 to 31 March 2018. Voluntary Participants include non-allowee (not on income support) parents and parents in receipt of income support who are not compulsorily required to participate.

#### *Non-allowee Volunteers*

Non-allowee parents may volunteer for ParentsNext if they meet all of the following criteria:

- no paid employment in the last six months
- have a child aged five years or under
- reside in one of the 10 Local Government Areas.

#### *Income Support Recipient Volunteers*

Income support recipients may volunteer for ParentsNext if they meet all the following criteria:

- on income support but not a Compulsory Participant
- no paid employment in the last six months
- have a child aged five years or under
- reside in one of the 10 Local Government Areas.

## 2.6 Sources of referral

The Department of Human Services will refer all Compulsory Participants. The Department of Human Services can also refer Voluntary Participants in receipt of income support payments.

It is expected that the Participant will have an initial appointment with the Funding Recipient within five working days of the Funding Recipient receiving the referral.

Funding Recipients can also directly register Voluntary Participants. The Funding Recipient will check that a volunteer meets the ParentsNext eligibility criteria before registering them in the Project.

All referrals and direct registrations are made using the Department's IT system. Funding Recipients must accept all referrals from the Department of Human Services and all direct registrations providing the volunteer meets the eligibility criteria.

Funding Recipients must ensure that sufficient appointments are available in the online diary system for the Department of Human Services to refer Participants.

## 2.7 Regular contact with Participants

Funding Recipients must meet regularly with each Participant to check on progress and update their Participation Plan. This is to be achieved through an initial face-to-face appointment followed by, at a minimum, six-monthly appointments which can be face-to-face or by other means as agreed by Participant and their Funding Recipient. Applicants must factor these contacts into their project proposals.

The purpose of the initial appointment is to:

- outline the objectives of ParentsNext
- explain what the Project will deliver
- conduct a JSCI assessment (if no JSCI assessment has been recorded in the system within the last six months)
- discuss with the Participant their long-term and short-term employment related goals and identify a pathway to achieve the goals, taking into consideration individual and family circumstances
- negotiate a Participation Plan with the Participant, including a compulsory activity for Compulsory Participants. A Participation Plan must be signed by the Participant within four weeks of the initial appointment
- identify suitable, available activities and services in the local area and refer if appropriate
- where applicable, explain the obligations of Compulsory Participants under the social security law and the consequences of not meeting these obligations.

At subsequent six-monthly appointments the Funding Recipient will assist the Participant to review their goals and update the Participation Plan, taking into account any change in circumstances. Appointments are an opportunity to identify services or activities that will help the Participant to progress towards their goals. For Compulsory Participants, the Funding Recipient will confirm that the Participant is actively engaged in their compulsory activity and check whether a new compulsory activity is needed.

**Table 2.3 Example of (minimum) contact timing**

May 2016	November 2016 6 months after initial appointment	December 2016	May 2017 12 months after initial appointment	November 2017 18 months after initial appointment
Initial appointment	Scheduled six-monthly contact  Participant did not attend	Re-engagement process including six-monthly contact	Scheduled six-monthly contact	Scheduled six-monthly contact

Note: Re-engagement is detailed in section 2.13.

The Funding Recipient must ensure that Participants remain connected to the Project until they are exited from the programme. The Funding Recipient will be required to transfer a Participant who relocates within the 10 Local Government Areas to another Funding Recipient (within the same Local Government Area or another of the specified Local Government Areas, as applicable), receive transfers of Participants from other Funding Recipients, and exit Participants, in accordance with the terms of the Funding Agreement, including the ParentsNext guidelines.

The Department of Human Services will notify the Funding Recipient, via the Department’s IT system, if a Compulsory Participant becomes ineligible and needs to be exited from the ParentsNext Project. Funding Recipients can exit a Compulsory Participant who demonstrates that they are in stable employment, as defined in the ParentsNext guidelines. Voluntary Participants can exit at any time on request. A Voluntary Participant who misses two scheduled appointments in a row must be exited.

Funding Recipients will transfer and exit Participants using the Department’s IT system.

## 2.8 Activities

Funding Recipients will arrange, broker or deliver activities that help Participants to plan and prepare for employment. Funding Recipients will work with each Participant to select suitable activities to include in their Participation Plan.

Activities will include Project-specific activities described in the Application which must be included in the Project Delivery Plan (see section 2.11). ParentsNext Participants may also be referred to other employment programmes such as jobactive, using the Department’s IT system. ParentsNext Participants are not eligible for Work for the Dole.

The Funding Recipient and each Compulsory Participant will agree on at least one activity to be the Participant’s compulsory activity for the purpose of meeting their participation requirements under ParentsNext. The Funding Recipient will monitor a Compulsory Participant’s participation in their compulsory activity. If a Compulsory Participant fails to satisfactorily attend their compulsory activity the Funding Recipient will submit a ParentsNext Compliance Report to the Department of Human Services. The Department of Human Services may suspend the Compulsory Participant’s Parenting Payment until the Participant satisfactorily attends their compulsory activity.

The Funding Recipient must maintain scheduled contacts (at least six-monthly) with Participants while the Participants undertake these activities.

## 2.9 Work readiness assessments

The Department will randomly select a number of Participants in each Project to whom work readiness assessment will be performed at the Participant's six monthly appointments, including initial appointments, held on or after 1 July 2016. The Funding Agreement will specify the agreed minimum number of Participants for work-readiness assessments. Work-readiness assessments will be conducted by Funding Recipients and must be conducted face-to-face.

The Department will supply an instrument called Work Star™ to assist Funding Recipients with these assessments which can be done online or on paper forms (for further information please refer to [www.outcomesstar.org.uk](http://www.outcomesstar.org.uk)). Work Star™ frames the conversation with the Participant around their employment related goals and personal circumstances and is readily incorporated into service planning and delivery settings. On average Work Star™ takes around one hour to administer.

Information collected using Work Star™ will provide valuable information about the ParentsNext target group, inform case studies, and contribute to programme monitoring and evaluation. Individual scores from Work Star™ and associated de-identified participant-level data plus Work Star™ generated summary reports are part of the mandatory reporting requirements that must be submitted to the Department every six months.

Pre-requisite introductory training and licences for Work Star™ will be arranged by the Department.

Applicants who wish to use a proprietary or other third party instrument for measuring work readiness instead of Work Star™ should specify the preferred instrument in their proposal. Approval from the Department will be given on a case-by-case basis.

The Department will not use Work Star™ scores (or scores from other agreed work readiness instrument) to assess Project performance.

## 2.10 ParentsNext Project Guarantee

The ParentsNext Project Guarantee outlines a set of minimum standards that the Funding Recipient will adhere to in the delivery of the Project. Each Participant must be provided with a copy of the ParentsNext Project Guarantee.

The ParentsNext Project Guarantee requires Funding Recipients to deliver assistance in a manner sensitive to the Participant's culture, circumstances and background, and tailored to the needs of Participants and the local community.

Funding Recipients must make the ParentsNext Project Guarantee publicly available to all Participants and prominently display it in the Funding Recipient's offices and make them available as a leaflet for Participants to take with them.

The Department will consult with Funding Recipients on the format and content of the ParentsNext Project Guarantee.

## 2.11 Project Delivery Plan

Each Funding Recipient will have a Project Delivery Plan that outlines the Funding Recipient's strategies and approaches to providing the Project activities in a format that is able to be understood by Participants.

### **Purpose of the Project Delivery Plan**

The purpose of the Project Delivery Plan is to provide information to Participants so they are informed of the type of activities that will be offered to them and the Funding Recipient's commitments in relation to the provision of these activities in line with the scope of the Project as set out in section 2.2 of these Grant Guidelines.

The Project Delivery Plan will capture the specific commitments and undertakings Funding Recipients make and be the mechanism through which Funding Recipients are able to showcase to Participants the assistance that they can expect to receive from their ParentsNext Project provider (the Funding Recipient). In particular, the Project Delivery Plan is intended to reflect the new and possibly unique approaches to engaging parents with young children that are proposed by Applicants.

### **Requirements of an Applicant in developing a Project Delivery Plan**

Successful Applicants will be required to submit a Project Delivery Plan that reflects their Application within one week of being notified of the success of their Application by the Department. It is a requirement for Funding Recipients to have a Project Delivery Plan for each Local Government Area in which they operate a ParentsNext Project.

### **Negotiation of the Project Delivery Plan with the Department**

The Project Delivery Plan must reflect the Applicant's specific commitments as outlined in its Application. The Department will work with Funding Recipients to finalise the Project Delivery Plan. The final Project Delivery Plan must be agreed to by the Department within a short period of time with a view to being finalised by April 2016. The Department reserves the right to retract offers of funding if the Project Delivery Plan does not match the Project described in Applicant's Project proposal or if the Applicant is late in providing the Project Delivery Plan.

The Project Delivery Plan, once agreed, will be a schedule to the Funding Agreement and be subject to the Funding Agreement.

Any cost associated with a Project Delivery Plan must be met by the Funding Recipient.

### **Core elements of a Project Delivery Plan**

All elements in the Project Delivery Plan should be clear and measurable. Funding Recipients must include specific commitments made in their response to the Grant Guidelines for ParentsNext Selection criteria.

The Project Delivery Plan must outline:

- how the Project would assist parents to plan and prepare for employment in order to achieve the ParentsNext objectives of targeting early intervention assistance to parents at risk of long-term welfare dependency; working with Participants to identify their education and employment related goals and participate in activities that help them achieve their goals; and

actively involving Participants in Project governance to give Participants a say on how the Project is delivered.

In particular, the Project Delivery Plan must address the specific commitments made in relation to:

- developing individually tailored Participation Plans and strategies to ensure that Compulsory Participants meet their participation requirements
- approaches to encouraging and monitoring Participants' attendance at appointments and engagement in the activities on their Participation Plan
- the Participant outcomes that the Project aims to deliver
- how the Project will cater to the needs of specific groups of parents: Indigenous Australians, people from culturally and linguistically diverse backgrounds; and people with disability
- how the Project will be marketed to the local community, including strategies for bringing volunteers into ParentsNext
- the accessibility of the Project for Participants, for example, access to public transport and nearby services, such as child care, provision for physical comfort and privacy at appointments and arrangements for Participants who are unable to attend in person
- how the Funding Recipient will work with other organisations in the Local Government Area to deliver services to address the employment-related issues commonly faced by parents with young children
- how the Funding Recipient will deliver or facilitate education and employment related assistance that factors in the likely employment opportunities in the Local Government Area.

### **Monitoring of the Project Delivery Plan**

Funding Recipients need to be able to demonstrate how they have delivered on the commitments as outlined in their Project Delivery Plan. The Department reserves the right to apply sanctions to Funding Recipients that do not deliver the Project outlined in their Project Delivery Plan.

### **Changes to a Project Delivery Plan following the start of the ParentsNext Funding Agreement**

The Department recognises that with a 27 month funding period, labour markets and servicing strategies may vary throughout the period and adjustments may be necessary. Nevertheless, requests for variation of the Project Delivery Plan would need to be considered by the Department in the context of whether the proposed change materially alters the Project or commitments offered in the Project Delivery Plan. Applicants should not propose a Project or offer commitments where they believe there is a risk of them wanting to rescind elements of the undertakings and commitments in their Application within a short time.

### **Format and style of a Funding Recipient's Project Delivery Plan**

While the format and style of the Project Delivery Plan is left to the Applicant's discretion, Applicants are reminded that the Project Delivery Plan must complement the ParentsNext Project Guarantee. The final Project Delivery Plan is required to be part of a Funding Recipient's Connections for Quality page on the jobactive powered by JobSearch website and therefore, Funding Recipients will need to ensure that the documents meet accessibility guidelines.

A copy of the relevant ParentsNext Project Guarantee and Project Delivery Plan must be provided to all Participants at their initial appointment and must be prominently displayed in each Funding Recipient's office.

## **2.12 Compliance with the ParentsNext Project Guarantee and Project Delivery Plan**

The Government is committed to ensuring the delivery of high-quality employment services and activities for Participants. The undertakings and commitments an Applicant makes in response to the selection criteria in these Grant Guidelines form part of their Funding Agreement requirements and are a key component of the performance framework to ensure Participants are receiving quality services. The Department will monitor Funding Recipients' performance against these undertakings and commitments on an ongoing basis. This will involve the Department making an assessment of whether Funding Recipients are meeting the standards outlined in the ParentsNext Project Guarantee, and their Project Delivery Plan and Application.

The Department reserves the right to apply sanctions to Funding Recipients that do not deliver the activities and services outlined in these documents. Funding Recipients need to be able to demonstrate how they have delivered on these commitments.

## **2.13 Participant compliance framework**

Participation requirements and compliance measures for Compulsory Participants are subject to the Legislative Instrument being in effect. Any changes to requirements flowing from this not being so will be notified by the Department.

Compulsory Participants are required to satisfactorily participate in ParentsNext. Failure to do so can have implications for a Compulsory Participant's ongoing receipt of Parenting Payment. Funding Recipients will monitor the compliance of Compulsory Participants and liaise with the Department of Human Services to manage their compliance, according to the ParentsNext guidelines.

A Funding Recipient may be required to take compliance action if a Compulsory Participant fails to:

- attend scheduled appointments with the Funding Recipient, or
- enter into or update a Participation Plan, or
- actively participate in their compulsory activity.

If a Compulsory Participant fails to comply with any of these requirements without a reasonable excuse the Funding Recipient will submit a ParentsNext Compliance Report to the Department of Human Services via the Department's IT system. Investigation of a ParentsNext Compliance Report by the Department of Human Services can result in suspension of the Participant's Parenting Payment until they re-engage satisfactorily.

It is the responsibility of the Department of Human Services to apply suspensions to a Participant's Parenting Payment after assessing the ParentsNext Compliance Report from the Participant's Funding Recipient (where a Participant's Parenting Payment remains suspended for a total of 13 weeks, the Department of Human Service may cancel the payment).

The Department’s IT system will provide functionality for the Participant compliance framework and interfaces to the Department of Human Services IT system for this purpose. Further information on the Participant compliance framework will be made available to Funding Recipients in ParentsNext guidelines.

## 2.14 Project reporting

This section outlines the reporting requirements on Funding Recipients.

Funding Recipients will be connected to the Department’s IT system and will be able to generate a number of reports using the system. In addition, Funding Recipients will be required to collect data for the purpose of reporting on the activities being delivered and demonstrating compliance with the Funding Agreement.

Project reporting will demonstrate how the Funding Recipient:

- is meeting the objectives of the ParentsNext programme
- has complied with the requirements of the Funding Agreement
- uses monitoring to support continuous improvement.

Funding Recipients will be required to provide the material specified at section 2.14.1 to the Department as part of project activity reports.

In addition, Funding Recipients will be required to provide audited financial statements, as specified at section 2.14.3, to account to the Department for the funding.

**Table 2.4 ParentsNext Project milestone reports**

Project milestone report	Due date	Reporting reference period
Project activity report 1	July 2016	4 April 2016 to 30 June 2016
Project activity report 2	January 2017	July to December 2016
Project activity report 3	July 2017	January to June 2017
Project activity report 4	January 2018	July to December 2017
Project final report	April 2018	4 April 2016 to 31 March 2018

### 2.14.1 Project activity reports

Each project activity report will be comprehensive and will include some or all of the following:

- a) A summary of progress in implementing the specific approaches and strategies contained in the Project Delivery Plan for engaging with parents to prepare them for future employment and attracting Voluntary Participants, including a measure of the success of these approaches and strategies.
- b) A list of activities that Participants are undertaking and how the activities are benefiting Participants.
- c) Linkages between the Project and other services and resources (for example, community groups) in or outside the Local Government Area and how these linkages are benefiting Participants.

- d) Case studies that demonstrate Participants' progress towards achieving their education and employment goals. Case studies should reflect the range of circumstances and progress of Participants, both positive and less positive. Case studies are not required for project activity report 1, due in July 2016. From December 2016, case studies must include some cases with work readiness assessment data.
- e) Feedback from Participants on how well the Project is helping them to plan and prepare for employment, including feedback on the types of activities arranged and the value to Participants of six monthly contacts.
- f) A summary of what is working well, any notable challenges in the reference period and how the Project will build on success and address challenges.
- g) From December 2016, Participant-level work readiness assessment data, as specified in section 2.9, in the Department-supplied template; a summary report of work readiness assessment results and commentary on using the work readiness assessment instrument for goal setting and planning.

The Department will supply templates for project activity reports and work readiness assessment data sets which the Funding Recipients must use unless they have the prior written approval of the Department.

The Department will use project activity reports submitted by the Funding Recipient to monitor Project performance. In addition, the Department will examine Project activity using key performance indicators that the Department derives from administrative data. The Department's assessment of the Funding Recipient's performance will include consideration of:

- i. the proportion of Participants who attended their scheduled appointments
- ii. the proportion of Participants with a signed Participation Plan
- iii. the proportion of Participants with an updated Participation Plan
- iv. the proportion of Compulsory Participants referred to at least one compulsory activity
- v. the proportion of Participants referred to activities
- vi. numbers of Compulsory Participants and Voluntary Participants in the Project.

Project activity reports and the above six indicators, among other things, will inform the Department's decisions to extend Funding Agreements beyond 30 June 2018.

### 2.14.2 Project final report

The Funding Recipient must submit a Project final report in April 2018 which reports on Project activity for the period 4 April 2016 to 31 March 2018. The final report will collate and analyse the material in project activity reports 1 to 4 and cover each topic outlined at a) to g) in section 2.14.1 above, at the overall Project level. In addition, the Project final report should address all aspects of the Project reflected in the Project Delivery Plan.

The final report must also contain:

- the number of Participants with education-related goals on their Participation Plan and the number who made full or partial progress towards achieving their education goals
- the number of Participants who attained a Year 12 or Certificate III qualification during their time in the Project, if any

- the number of Participants with employment related goals (other than education-specific goals) and the number who made full or partial progress towards achieving their employment goals
- the number of Participants who commenced job search and the number who commenced paid employment during their time in the Project, if any
- a description of goals other than specific education or employment related goals included in Participation Plans and the types of activities undertaken to help Participants progress towards these goals
- the number of Participants who exited the Project and their reasons for exiting
- a brief discussion of the Funding Recipient's experience in managing the compliance of Compulsory Participants.

The final report should also include any suggestions for how future policy and programmes might assist parents with young children to plan and prepare for employment, based on the Funding Recipient's experience in delivering the Project.

A complete work readiness assessment data set (Participant-level data) must be submitted with the Project final report.

### **2.14.3 Audited financial statements**

Within 20 business days (or other period specified in the Funding Agreement) of the end of each financial year in the funding period, the Funding Recipient must provide the Department with an audited detailed statement of income and expenditure in respect of the funding which must include a definitive statement as to whether the financial accounts are true and fair and a statement of the balance of the funding account and an audited statement that the funding was expended for the Project and in accordance with the Funding Agreement.

### **2.14.4 Evaluation**

The Department will conduct an evaluation to determine the effectiveness of ParentsNext at helping parents to plan and prepare for employment.

The Department will work in partnership with Funding Recipients to capture relevant qualitative and quantitative data for the evaluation.

# CHAPTER 3 SELECTION CRITERIA AND REQUIRED INFORMATION

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This chapter sets out the selection criteria against which the Department will assess Applications for funding granted under the ParentsNext programme, as well as other information that Applicants are required to include in their Applications.

As part of their Application, Applicants are required to declare any other funding they are currently receiving, or expect to receive during the funding period, including from Commonwealth, State or Local Governments, and philanthropic sources.

## 3.1 Sites and locations

Applicants may apply for funding in one or more of the 10 designated Local Government Areas. Applicants may submit one Application only (one project proposal) for each Local Government Area for which they are applying for funding.

Applicants must propose at least one site from which they will deliver ParentsNext in each Local Government Area in which they are applying to deliver a project. Each nominated site must be identified as one of the following types:

- a permanent Full-Time Site, which, as a minimum, would operate Monday to Friday from 9.00 am to 5.00 pm daily
- a permanent Part-Time Site, at which there is a regular weekly presence with hours of operation less than a Full-Time site
- an Outreach Site, at which there is not a permanent presence, for example, operating on a monthly, seasonal or 'as needs arise' basis at a local library, town hall or other venue.

## 3.2 Responding to selection criteria

Applicants are required to respond to the selection criteria and provide all other information required by these Grant Guidelines by completing the following forms provided in the Application pack available through 360Pro (more information about the Application pack is at Appendix D):

- Part A — ParentsNext — Applicant Declaration.
- Part B — ParentsNext — Applicant Information.
- Part C — ParentsNext — Site Details.
- Part D — ParentsNext — Criterion 1 — Organisation Level Response.
- Part E — ParentsNext — Criteria 2 & 3 — Project Level Response.
- Financial and Credentials Information Form, and any requested documents.
- Subcontractors Credentials Information Form (if applicable) and any requested documents.

Note: The selection criteria character limit includes spaces and formatting. The Department reserves the right to not consider any text in an Application that is in excess of the character limits.

**Table 3.1 Guide for Applicants to complete the selection criteria**

Applicants must complete	
Criterion 1	Once at the organisation level
Criterion 2	Once for each Project for which they are applying
Criterion 3	Once for each Project for which they are applying

### 3.3 Selection criteria

#### Criterion 1

##### ***Sound organisational governance and capability***

**Weighting: 10 per cent**

**Character limit: 10,000**

**Guidance:** in preparing a response to this criterion, Applicants should outline:

1. The organisation’s structure, governance, risk management and reporting framework.
2. The qualifications and experience of staff who will deliver the proposed project(s).
3. The roles of staff who will be involved in the proposed project(s).

#### Criterion 2

##### ***Project offer and demonstrated capacity to deliver the Project***

**Weighting: 50 per cent**

**Character limit: 20,000**

**Guidance:** This criterion requires the Applicant to define **how** their organisation will meet the ParentsNext programme objectives. A separate Application in response to this criterion must be provided for each proposed Project. An Applicant may propose one Project only per Local Government Area.

The Applicant should describe how the Project would assist parents to plan and prepare for employment in order to achieve the ParentsNext objectives of:

- targeting early intervention assistance to parents at risk of long-term welfare dependency
- working with Participants to identify their education and employment related goals and participate in activities that help them achieve their goals
- actively involving Participants in Project governance to give Participants a say on how the project is delivered.

In addition, the Applicant should address:

- developing individually tailored Participation Plans for all Participants and strategies to ensure that Compulsory Participants meet their participation requirements
- approaches to encouraging and monitoring Participants' attendance at appointments and engagement in the activities on their Participation Plan
- the Participant outcomes that the Project aims to deliver
- how the Project will cater to the needs of specific groups of parents: Indigenous Australians, people from culturally and linguistically diverse backgrounds; and people with disability
- how the Project will be marketed to the local community, including strategies for bringing volunteers into ParentsNext
- the accessibility of the Project for Participants, for example, access to public transport and nearby services, such as child care, provision for physical comfort and privacy at appointments and arrangements for Participants who are unable to attend in person
- how the Funding Recipient will deliver or facilitate education and employment related assistance that factors in the likely employment opportunities in the Local Government Area.

### **Criterion 3**

***Knowledge of and achievements in working with parents of young children and the capacity to leverage community partnerships and resources to help parents plan and prepare for employment***

**Weighting: 40 per cent**

**Character limit: 15,000**

**Guidance:** In preparing an Application to this criterion Applicants should consider that, to successfully deliver a ParentsNext Project, the Applicant must have (or be able to establish) strong and effective connections with other organisations in the local community. A separate response to this criterion must be provided for each proposed Project. An Applicant may propose one Project only per Local Government Area.

The Applicant should outline its knowledge and achievements in:

- issues commonly faced by local parents of young children and early school leavers in the Local Government Area and working with other organisations to deliver services to address these issues
- working with other local organisations to deliver proposed services, which organisations and what value those organisations would provide
- delivering other services locally that may support or complement those proposed for the ParentsNext Project.

#### **3.3.1 Referees**

Throughout the Application assessment process Departmental staff can seek to confirm the claims made by Applicants in their responses to the selection criteria. This will include ensuring that Applicants have strong local connections and a presence in the Local Government Areas in which they are applying to deliver ParentsNext projects.

The Department may contact any person or organisation even if that person or organisation has not been nominated by an Applicant as a referee to confirm claims made in an Application. For example, if an Applicant has provided related activities to another organisation but does not nominate them as a referee, the Department reserves the right to contact that organisation.

Applicants must provide names and contact details of two referees who are able to verify the Applicant's claims. This includes claims made in response to selection criteria, particularly in relation to the services the Applicant has previously provided for parents and how they relate to the proposed project.

**Current employees of the Department cannot be a referee for an Applicant.**

## CHAPTER 4 ELIGIBILITY TO APPLY

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This chapter outlines the types of organisations eligible to apply to deliver ParentsNext Projects.

Applicants must have a current and valid Australian Business Number (ABN) and ensure they have completed all the information required by the Department as specified in these Grant Guidelines. Where an Application is being submitted by a Group Applicant (discussed below), each member of the Group Applicant must have a current and valid ABN.

### 4.1 Individual Applicants

Applicants may apply for funding under these Grant Guidelines in their individual capacity as sole traders, companies, incorporated associations and trusts provided that all the requirements to submit an Application are met and the Applicant has the legal capacity to enter into a Funding Agreement with the Department.

### 4.2 Group Applicants

A group of legal entities can respond as a Consortium, Joint Venture, Partnership or some other form of alliance in order to conduct a ParentsNext Project (a 'Group Applicant').

In their response a Group Applicant must specify the business structure and arrangement under which it proposes to conduct a ParentsNext Project (for example, Consortium, Joint Venture).

If lodging an Application as a Group Applicant, each member of the group must be a legal entity and the Group Applicant must lodge the Application on behalf of all members.

Unless the Department agrees in writing to any changes to the members of a group, the membership of the Group Applicant must remain as specified in its Application throughout:

- the period from the Department's receipt of the Application
- assessment and entering into a Funding Agreement
- the Funding Agreement period.

Any proposed changes to the membership of a Group Applicant must be requested of the Department in a letter signed by the authorised representative(s) of the Group Applicant.

If the Department decides to deal with a Group Applicant of changed composition, the Department may, at its sole discretion, impose any conditions it considers necessary or appropriate in the circumstances.

Where a Group Applicant is successful in the ParentsNext funding application process, each of the legal entities that form the Group Applicant will be jointly and severally liable for:

- the performance of all of the obligations under the Funding Agreement
- all losses caused by any subcontractor engaged for the purpose of the Funding Agreement.

## 4.3 Possible types of Group Applicants

The following information is provided as guidance only. Applicants should seek independent professional advice if they have any questions about types of Group Applicants.

### 4.3.1 Consortium

A group of individual legal entities may lodge an Application collectively as a Consortium.

Where the Group Applicant responds as a Consortium, the Consortium must appoint a lead member entity to act as agent for the other member entities. The lead member entity must be authorised to negotiate, act on behalf of and contractually bind each member of the Consortium. Each member of the Consortium must confirm the authority of the lead member entity to the Department in writing as part of their Application.

### 4.3.2 Other alliances

If there are other alliance arrangements between corporate entities or individuals that have not been contemplated by the Department, provided the arrangements meet the above Group Applicant requirements, the Department will be open to conducting ParentsNext through those arrangements.

An alliance of individual legal entities will need to provide details and evidence of the alliance's actual or proposed legal arrangements, as an attachment to the *Financial and Credentials Information Form* if requested by the Department.

As with a Consortium, the alliance must appoint a lead member entity to act as agent for the other member entities. The lead member must be authorised to negotiate, act on behalf of and contractually bind each member of the alliance. Each member of the alliance must confirm the authority of the lead member entity to the Department in writing.

## 4.4 Subcontracting arrangements

Applicants must indicate if they intend to subcontract all or part of their performance of the activities provided under ParentsNext programme. As specified in the Draft Funding Agreement, organisations can only enter into a subcontract part or all of their activities with the written permission of the Department.

Applicants will remain responsible for the provision and quality of all activities within the Funding Agreement that they subcontract. As set out in the Draft Funding Agreement, Applicants must impose relevant obligations of the Funding Agreement on subcontractors in the subcontract. Applicants must also ensure any subcontractor complies with the requirements set out in any Funding Agreement it enters into with the Government.

If an Applicant wishes to engage a subcontractor to conduct part of their proposed activities under the ParentsNext Project, the *Subcontractors Credentials Information Form* must be completed and submitted as part of their Application.

Unless the Department agrees in writing to any changes to nominated subcontractor(s), they must remain as specified in the Application throughout:

- the period from the Department's receipt of the Application
- assessment and entering into a Funding Agreement
- the Funding Agreement period.

#### **4.5 Foreign companies**

The Department will only accept an Application from a foreign company if it is registered under Part 5B.2 of the *Corporations Act 2001* (Cth).

#### **4.6 Organisations excluded from applying**

Australian Government departments, agencies, employees or agents are excluded from applying for funding under these Grant Guidelines.

# CHAPTER 5 THE DEPARTMENT'S ASSESSMENT PROCESS

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This chapter outlines the Department's assessment process for Applications submitted under these Grants Guidelines.

## 5.1 Public Governance, Performance and Accountability Act 2013

The ParentsNext funding application process is governed by the Commonwealth Grants Rules and Guidelines issued by the Minister for Finance under section 105C of the *Public Governance, Performance and Accountability Act 2013* (PGPA Act).

The Department's arrangements for ParentsNext are consistent with the established key principles under the Commonwealth Grants Rules and Guidelines. These are:

- robust planning and design
- collaboration and partnership
- proportionality
- an outcomes orientation
- achieving value with relevant money
- governance and accountability
- Probity and transparency.

## 5.2 Probity

The Department will ensure this ParentsNext funding application process is fair and transparent, is subject to appropriate scrutiny, and all requirements published by the Department, including these Grant Guidelines, are followed.

The Department has appointed Maddocks Lawyers as the external Probity Adviser. The role of the Probity Adviser is to advise on the probity and integrity of the process. The role includes developing an overarching Probity Plan that can be applied to the process and providing advice on probity issues, conducting appropriate probity training and advising on relevant security arrangements.

The Probity Adviser will observe and monitor, but will play no role in, the assessment process.

The Department has a complaints handling process in place for this funding programme. Persons with any concern about the probity or integrity of the ParentsNext funding application process can raise their concerns with the Department's internal legal adviser, [Luke de Jong](mailto:luke.dejong@employment.gov.au) (luke.dejong@employment.gov.au). Where appropriate, complaints will be referred to the external Probity Adviser.

Any questions about the process or activities covered by the funding application process, should in the first instance, be lodged through the Hotline (see Contact Details section).

## 5.3 Assessment process

The assessment of the Applications will be conducted by Departmental staff with the appropriate expertise, training and regional knowledge.

The Department reserves the right to conduct some or all of the following stages at the same time or in a different order to that stated. The Department may take into account information gathered at one stage during its conduct of another stage. Nothing stated in relation to the stages set out below limits any other right the Department has as set out elsewhere in this document.

### Stage 1—Receipt of Applications

Each Application will be downloaded from 360Pro<sup>1</sup> after the closing date and time, and will be checked to ensure that:

- the Application has been submitted before the closing date and time
- the Application includes all information required, as listed in the Application Checklist at Appendix F of the Grant Guidelines, including responses against the selection criteria (Part D and Part E Application forms), *Financial and Credentials Information Form* and *Subcontractors Credential Information Form* (if applicable).

### Stage 2—Eligibility

Applications will be assessed against Chapter 4 ‘Eligibility to Apply’. Failure to meet these requirements may result in exclusion from further consideration in the assessment process.

Note: Incomplete Applications or Applications that are clearly inadequate may be excluded from consideration at any time during the assessment process. Alternatively, the Department may consider such Applications and seek clarification from the Applicant or any third party.

### Stage 3A—Assessment of Applications against the selection criteria

All eligible Applications will be assessed against the selection criteria.

In assessing the Applications the Department may consider all information contained in an Application and any other relevant information.

Where an Applicant has provided services or activities under a contract for services or funding agreement with the Commonwealth similar to the activities to be conducted under the proposed ParentsNext project, the Applicant’s past performance may be taken into consideration during the assessment phase.

Applicants should not rely on the Department using its own sources of information, and should provide comprehensive performance information; including referee contact details (see section 3.3.1 for further details).

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<sup>1</sup> See 360Pro Applicants’ Quick Reference Guide for more information

### **Stage 3B—Financial Viability Assessment**

To determine the financial viability of Applicants, the Department will consider the information provided by Applicants in their *Financial and Credentials Information Form* as well as any other information provided or available to the Department in relation to the financial viability of the Applicant and the credentials of key personnel.

### **Stage 4 – Preliminary Allocation of Projects**

The Department will undertake a comparative assessment of the Applications taking into account the characteristics of the Local Government Area, coverage, diversity, meeting the needs of the parent group, and any risk exposure for the Government.

The Department will then undertake a preliminary allocation of projects on the principle of giving preference to higher ranked Applicants, but reserves the right to allocate funding to a lower ranked Applicant over a higher ranked Applicant where this represents better value for money and ensures the best assistance for parents.

### **Stage 5—Recommendations**

A review committee of senior Departmental managers will oversee the assessment process and recommend projects considered to offer promising and innovative approaches to achieving positive outcomes for the parent cohort to the Delegate. In making recommendations, the review committee will consider any other relevant matters that will ensure the objectives of the ParentsNext programme can be achieved.

### **Stage 6—Final decisions**

The Deputy Secretary for the Department or their delegate will consider the recommendations and make the final decisions. Applicants will then be advised by email of the outcome of their Application.

### **Number of Projects**

Applicants can submit one Project proposal only (one Application) for any one of the specified Local Government Areas. Applicants may submit Project proposals for more than one of the specified Local Government Areas up to a maximum of 10 Applications, that is, a maximum of one Project proposal (Application) for each of the specified Local Government Areas.

### **Gap filling**

Should the Application process fail to produce a suitable Funding Recipient in a particular Local Government Area, the Department, in its absolute discretion, having regard to value for relevant money, may consider a number of options to obtain additional project coverage, including offering business to other Applicants, successful or otherwise.

Applicants may be asked to provide additional gap filling projects to the Department from time to time, as and when agreed with the Department.

#### **5.3.1 Contacting Applicants**

At any stage of the assessment process, the Department may ask Applicants (including any member of a Group Applicant) or nominated subcontractors any questions or may seek clarification of certain

matters. This contact will be on a confidential and without prejudice basis and does not mean the Department will be offering Funding Agreements to the particular organisations/individuals.

## 5.4 Financial viability and other checks

The Department may perform security, probity and financial investigations as it determines necessary in relation to any Applicant, its employees, officers, partners, associates, subcontractors or related entities. The Department may exclude an Application from further consideration if the Applicant does not provide, at its cost, all reasonable assistance to the Department in this regard.

### 5.4.1 Financial viability

The objective of the financial viability process is to assess, on the basis of information provided with an Application and information ascertained through the Department's own enquiries:

- whether the Applicant may be considered financially viable to provide the proposed activities under ParentsNext project(s) specified in the Application (the financials check)
- whether there are any circumstances that may adversely affect the Applicant's ability (and its nominated subcontractor's ability where it has proposed subcontracting arrangements) to meet its contractual obligations to conduct the proposed activities under the ParentsNext project(s) for at least the relevant Funding Agreement period (the credentials check)
- whether the Department considers there is any risk exposure for the Commonwealth.

The Department may take these matters into account as part of the decision process.

This process is used solely to minimise risk to the Commonwealth.

The onus of proof is on an Applicant to satisfy the Department of its financial viability to undertake the proposed activities specified in its Application. If an Applicant does not provide all information requested by the Department, or if the Applicant is otherwise unable to demonstrate its financial viability, the Department may not be able to make an assessment or the assessment may be adversely affected. In these circumstances, the Department may, at its sole discretion, exclude an Application from further consideration at any stage of the assessment process.

The Department may also require the provision of a *Deed of Financial Undertaking or Performance Guarantee* as a condition of offer before entering into the Funding Agreement or impose additional Funding Agreement conditions, such as more frequent provision of financial statements, may be required by the Department as a result of the financial viability assessment.

To enable the Department to assess an Applicant's financial viability, each Applicant, and in the case of a Group Applicant, each member of that Group Applicant, should supply the information requested in its Application. Each Applicant must submit a completed *Financial and Credentials Information Form* and provide the most relevant information to prove its financial viability.

### 5.4.2 Financial viability information

Applicants should provide financial statements that:

- are current and include the statements for the last complete financial year
- are for the entity as a whole, not for individual services

- are prepared in accordance with the *Australian Equivalents to International Financial Reporting Standards*
- include all notes to the statement(s)
- are presented in Australian dollars.

The Department prefers financial statements to be prepared on an accrual basis and to be audited.

The Department expects audited financial statements from Applicants that are incorporated under the Corporations Act 2001 (Cth) and are required to provide audited financial statements because they are:

- disclosing entities as defined under s111AC of the *Corporations Act 2001* (Cth)
- public companies
- large proprietary companies, if two of the following apply:
  - the consolidated gross operating revenue for the financial year of the company and the entities it controls, if any, is \$25 million or more
  - the value of the consolidated gross assets at the end of the financial year of the company and the entities it controls, if any, is \$12.5 million or more
  - the company and the entity it controls, if any, have 50 or more employees at the end of the financial year
  - associations incorporated under the state or territory associations incorporation laws, which specify that financial statements must be audited.

If an Applicant does not fall into these categories, or audited financial statements are not available, the Applicant should provide unaudited financial statements.

If the financial statements are audited, Applicants must provide the auditor's report and any management letters from the auditor.

To assist the Department in assessing financial viability, Applicants should observe the following:

- if the financial statements provided by the Applicant are in a different name, or the accounting period has changed, a satisfactory explanation should be provided
- if the Applicant has recently merged with another organisation, the terms of the merger and ownership of assets and responsibility for liabilities should be provided
- if assets are recorded in the balance sheet that are not owned by the Applicant, for example, assets owned by the Commonwealth, the extent of that ownership and the value should be recorded in the notes to the accounts.

If the Applicant has access to additional funds, documentary evidence should be included that substantiates:

- a bank loan
- a line of credit
- access to financial support
- a guarantee.

If a guarantee is not from a bank, the guarantor should provide evidence of the capacity of the guarantor to honour the guarantee. This may take the form of financial statements.

### 5.4.3 Credentials check

Further relevant information Applicants should provide includes:

- descriptions of any recent changes of substance in the Applicant's financial position not reflected in the most recent financial statements
- details of any significant events, matters or circumstances that have arisen since the end of the last financial year that may significantly affect the Applicant's ability to conduct the proposed activities under ParentsNext
- a summary of any court actions, charges, liens or encumbrances affecting any assets of the Applicant
- the Applicant's ultimate holding entity, if any, their respective related corporations and their respective Directors, and any shares in the Applicant, its ultimate holding entity and their respective related corporations
- any other factors the Applicant wishes to describe to support its demonstration of financial capacity.

For the purpose of conducting financial viability assessments, the Department may contact Applicants to seek clarification of information received or obtained, or may conduct its own enquiries.

#### Existing organisations

Existing organisations are defined as those in operation for at least 12 months. In assessing these organisations, the Department will examine existing financial records.

Where the existing financial capability of an Applicant requires supplementation to operate a ParentsNext Project, the Applicant should also supply information of the kind identified for new organisations.

#### New organisations

New organisations are defined as those in operation for less than 12 months. These organisations should provide independent supporting evidence of their financial capacity and start-up capital.

If a number of organisations group together to form a new legal entity, the newly incorporated entity will need to provide evidence from its constituent members of their commitment to its continuing financial viability. This may take the form of articles of association, Constitutions or guarantees. If the guarantor(s) is other than a bank or lending institution, the guarantor(s) should provide evidence of capacity to honour the guarantee. This may take the form of financial statements.

#### Ultimate holding entity

If an Applicant has an ultimate holding entity, the Applicant should provide a copy of any guarantee or cross deed of indemnity from the ultimate holding entity, and financial statements and a completed financial summary table for the ultimate holding entity.

## Trusts

If an Applicant is associated with a trust and is applying as trustee for that trust, the Applicant should provide a copy of the trust deed and details of the relationships between the trust and any related organisations.

Other documents that may help the Department in assessing financial viability of trusts include:

- financial statements for the trust and related organisations
- an explanation of loans and borrowings between the trust and its related organisations and trusts.

If substantial monies from a trust are distributed, the Department may also require the provision of a *Deed of Financial Undertaking or Performance Guarantee* as a condition of offer before entering into the Funding Agreement or as a requirement in the final Funding Agreement. In this instance, an Applicant may also need to provide financial statements from the guarantor(s) unless a bank guarantee is provided.

If an Applicant is associated with a family trust, the Applicant should specify family trust assets and how those assets may be used to support the trust.

## Group Applicants

If applying as a Group Applicant, each member of the group, including the lead member if applicable, must complete a separate *Financial and Credentials Information Form* and should provide supporting documentation relevant to their individual organisations.

Copies of deeds regulating the group, including deeds of cross-guarantee, deeds of partnership, Constitutions, shareholders' agreements and the like, should also be provided.

## Subcontractors

If Applicants wish to engage a subcontractor to perform part of the project, each subcontractor must complete a separate *Subcontractors Credentials Information Form* and should provide supporting documentation relevant to their organisation.

The subcontractor must authorise the Department to undertake certain checks that involve the disclosing of personal information to other agencies and organisations, including the Applicant.

## 5.5 Debriefing

Following the final announcement of the funding application process, all Applicants that are **not** successful can request a verbal debriefing. The debriefing request must be made within one month of the final announcement.

Applicants will not be provided with information concerning other Applicants, except for publicly available information.

Debriefs may be conducted via telephone. All costs incurred by the Applicant in relation to a debriefing will be at the Applicant's expense.

## CHAPTER 6 LEGAL AND OTHER MATTERS

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This chapter provides information on legal and privacy matters.

Each Applicant should ensure that it has complied with all relevant laws and with Government policy in preparing and lodging its Application and taking part in the ParentsNext application process.

### 6.1 Privacy

In administering ParentsNext, the Department is bound by the provisions of the *Privacy Act 1988* (Cth) (the Privacy Act) including the Australian Privacy Principles contained in Schedule 1 of the Privacy Act. The Privacy Act regulates the handling of personal information (including sensitive information) of individuals by government agencies and certain private sector organisations, including the collection, storage, use and disclosure of that information.

The Australian Privacy Principles in the Privacy Act that apply to the Department will also apply to successful Applicants who enter into a Funding Agreement with the Department. Applicants will be required under the Funding Agreement to ensure that they and their agents comply with the Australian Privacy Principles. Successful Applicants will also be required to impose the same privacy obligations on any subcontractors it engages to perform all or any part of the ParentsNext project(s).

### 6.2 Discrimination

ParentsNext will be administered in a way that supports the principle of non-discrimination.

Under the *National Disability Strategy 2010-2020*, barriers which prevent people with disabilities having access to services must be removed.

ParentsNext organisations may also be subject to the provisions of the following Acts, which are designed to prevent discriminatory practices:

- *Racial Discrimination Act 1975*
- *Sex Discrimination Act 1984*
- *Australian Human Rights Commission Act 1986*
- *Disability Discrimination Act 1992*.

### 6.3 Working with children and other vulnerable groups

ParentsNext organisations will be required to arrange and pay for all checks in regards to all persons, including their employees, subcontractors and participants, who will participate in each project and interact with children and other vulnerable groups as set out in the Draft Funding Agreement.

As relevant to the location of each project, ParentsNext organisations will be required to comply with any other conditions in relation to the person's participation in the service, as specified in the following Acts:

- *Child Protection (Working with Children) Act 2012 (NSW)*
- *Working with Children (Risk Management and Screening) Act 2000 (Qld)*
- *Working with Children (Criminal Record Checking) Act 2004 (WA)*
- *Working with Children Act 2005 (Vic)*
- *Children's Protection Act 1993 (SA)*

- *Working with Vulnerable People (Background Checking) Act 2011 (ACT)*
- *Care and Protection of Children Act 2007 (NT)*
- *Registration to Work with Vulnerable People Act 2013 (TAS)*
- any other legislation that provides for the checking and clearance of people that work with children.

## 6.4 Freedom of information

Applicants should be aware that all documents created or held by the Department, its funding recipients, contractors and subcontractors that conduct activities or provide services to the public or third parties on behalf of the Department are subject to the *Freedom of Information Act 1982* (FOI Act). Unless there is an exemption under the FOI Act to restrict disclosure of a document, it may be made available if requested under the FOI Act.

## 6.5 Fraud

ParentsNext organisations and their personnel, subcontractors and agents must not engage in fraudulent activity in relation to their Funding Agreement.

ParentsNext organisations will be required to notify the Department of any suspected fraud as soon as they become aware of the suspected fraudulent activity.

ParentsNext organisations must take all reasonable steps to prevent fraud upon the Commonwealth in relation to the projects.

ParentsNext organisations should be aware that the *Criminal Code Act 1995* (Cth) provides that offences involving fraudulent conduct against the Commonwealth are punishable by penalties including imprisonment.

The Department will monitor compliance matters such as fraud, wrongdoing, discrimination and other potential breaches of the Funding Agreement and raise any concerns with ParentsNext organisations in a timely manner. This is supported by ongoing review, contract management and regular and discrete Project Assurance Activities.

## 6.6 Other matters

### 6.6.1 Professional advice and future matters

In applying for the ParentsNext funding, potential Applicants should obtain their own legal, business and other professional advice on, and in relation to the funding application process and its requirements.

### 6.6.2 Confidential information

Each Applicant must identify what information provided in their Application (and any attachments) it considers confidential. Where an Applicant has identified information as confidential, the Department will, subject to that information being of an inherently confidential nature, and subject to the following, treat that information confidentially.

The Department will not be taken to have breached any obligation to keep information provided by Applicants confidential to the extent that the information:

- is disclosed by the Department to the Commonwealth’s advisers, officers, employees, contractors or subcontractors in order to conduct the ParentsNext funding application process or to prepare and manage any resultant Funding Agreement
- is disclosed to the Department’s internal management personnel, solely to enable effective management or auditing of the ParentsNext funding application process
- is disclosed by the Commonwealth to the responsible Minister or his/her staff
- is disclosed by the Commonwealth in response to a request by a House or a Committee of the Parliament of the Commonwealth of Australia
- is shared by the Department within the Department’s organisation, or with another Australian Government department or agency, where this serves the Australian Government’s legitimate interests
- is authorised or required by law to be disclosed
- is disclosed for annual reporting purposes
- is in the public domain otherwise than due to a breach of the relevant obligations of confidentiality.

The Department will only keep information contained in, or obtained or generated in performing, any Funding Agreement entered into with the successful Applicant confidential in accordance with the terms of the Funding Agreement.

If a Funding Agreement is entered into, the Department is also subject to legislative and policy requirements that oblige it to disclose certain information in, or in relation to, the Funding Agreement, including publishing, on the Department’s website, information on individual grants no later than 14 working days after the Funding Agreement for the grant takes effect.<sup>2</sup>

### 6.6.3 Conflict of interest

Where an Applicant considers that a conflict of interest exists or might arise in relation to the Applicant conducting the activities under the Funding Agreement, the Applicant must identify the actual or potential conflict of interest and disclose this to the Department. A conflict of interest may exist, for example, if the Applicant, or any of its personnel, has a relationship (whether professional, commercial or personal), with a person who is able to influence the funding application and assessment process such as a Departmental employee. Each Applicant will be required to declare in the *Part A – ParentsNext – Applicant Declaration* form that to the best of its knowledge, there is no conflict of interest that would prevent the Applicant from proceeding with the Application or any Funding Agreement it may enter into with the Government.

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<sup>2</sup> As required under rule 5.3 of Part 1 (Mandatory Requirements) of the *Commonwealth Grants Rules and Guidelines*.

If at any time during the ParentsNext funding application process or prior to entering into a Funding Agreement with the Government, an Applicant considers that an actual or potential conflict of interest arises or may arise for them, that Applicant must immediately notify the Department in writing.

If a conflict of interest, whether actual, potential, or perceived, is identified, either by an Applicant or by any other means, the Department may at its discretion take any action it considers appropriate to manage the conflict of interest, which may include excluding the relevant Application from further consideration.

#### 6.6.4 Improper influence

Applicants and their officers, employees, agents or advisers:

- must not, and must not attempt to, improperly influence any employee of the Government in connection with the assessment of Applications under this ParentsNext funding application process
- must not have violated, and must not violate, any applicable laws or Government state or territory policies regarding the offering of inducements, so far as those laws or policies may be relevant to the preparation of the Application.

#### 6.6.5 Improper assistance

In preparing their Application for funding under ParentsNext, Applicants must not use information or assistance obtained from a current or former officer or employee of the Commonwealth:

- in circumstances that are contrary to the Communication Protocol, available at Appendix C or on the [Employment Services Procurement Information website](http://employment.gov.au/employment-services-procurement-information) (employment.gov.au/employment-services-procurement-information)
- in circumstances that constitute a breach of the *Crimes Act 1914* (Cth), the *Public Service Act 1999* (Cth), the *Public Service Regulations 1999* (Cth)
- in breach of an obligation of confidentiality or fidelity.

### 6.7 The Department's rights and liabilities

The Department will not be responsible in any circumstance for any costs or expenses incurred by any Applicant or any other party arising from an Applicant's participation in the ParentsNext funding application process. Neither the Department nor its officers, employees or advisers will be liable, in relation to the Department's conduct under or in relation to the ParentsNext funding application process, to any Applicant or anyone else on the basis of any legal or equitable rights, however based, as a consequence of any matter or thing relating, or incidental, to the participation of an Applicant or anyone else in the ParentsNext funding application process. Applicants that submit an Application are not guaranteed to be awarded a Funding Agreement.

No contractual or other legal relationship will arise between the Commonwealth and any Applicants, nominated subcontractor or anyone else until a Funding Agreement is executed by the Commonwealth and the Funding Recipient.

The Department may, at its sole discretion and at any stage of the ParentsNext funding application process, including during or after the assessment process:

- vary the ParentsNext funding application process, including the timing and processes referred to in the Grant Guidelines
- vary the content of the Grant Guidelines, or any documents relating to the ParentsNext funding application process including the Draft Funding Agreement
- forward any additional information or clarification of the meaning of the content of the Grant Guidelines on a non-attributable basis
- shortlist Applicants, including Applicants that have nominated subcontractors
- obtain clarification or additional information from Applicants, nominated subcontractors or anyone else and use any such information for the assessment of the Application
- negotiate with one or more Applicants, including with or without short listing, or discontinue negotiations
- contact nominated subcontractors directly and seek further information from them in relation to any matters, including their capacity to conduct the ParentsNext project(s) on behalf of potential Applicants who have nominated them
- impose conditions on Applicants that have nominated subcontractors that the Department considers necessary or appropriate
- reassess any Application in whole, or in part, at any stage where the Department considers that an Applicant or nominated subcontractor may not be able to conduct the proposed project(s)
- vary the assessment process to conduct a further assessment phase
- require an Applicant to provide details of a substitute subcontractor for any nominated subcontractor
- remove any Application from consideration where, in the opinion of the Department, the ParentsNext funding application process allows for the exclusion of an Application
- terminate, suspend or abandon the ParentsNext funding application process if it considers that no Applications offers value for relevant money in accordance with the terms and conditions of this funding application process, or the Department otherwise determines that it is in the public interest to terminate or abandon the funding application process.

If an Applicant is placed under external administration, becomes insolvent, or otherwise loses the capacity to enter into a Funding Agreement with the Commonwealth, the Department may, at its discretion, exclude the Application from further consideration.

The Department:

- is not obliged to fund any proposed project(s) from the Applicant
- does not guarantee or represent that any proposed project(s) will be funded
- may at any time fund proposed project(s) in any way and from any person, and on such terms and conditions as the Department thinks fit.

Applicants should be aware that the Department will assess Funding Recipients' performance and compliance with the Funding Agreement and where appropriate, may exercise its rights under the Funding Agreement, such as recovering funds or terminating the Funding Agreement. Applicants

should fully inform themselves of the Department rights to take remedial action under the Funding Agreement.

### **6.7.1 Ownership of all submitted Applications**

All Applications submitted to the Department become the property of the Department once lodged. Subject to the provisions above regarding confidential information, the Department may deal with those Applications as it sees fit.

### **6.7.2 Offers to remain open**

Any Application submitted to the Department under these Grant Guidelines for ParentsNext will remain open for a period of 12 months after the closing date and time, or until receipt by the Applicant of notification from the Department that its Application was unsuccessful, whichever is the later.

### **6.7.3 Material changes**

Following lodgement of an Application, an Applicant must notify the Department in writing if there occurs at any time during the assessment process:

- an event that has the effect of materially altering either the composition or control of the Applicant or the business of the Applicant from that stated in its Application, or
- any material change to the compliance status of the Applicant against these Grant Guidelines, or
- any material change to the proposed basis on which the Applicant proposes to provide the project(s) or have access to the necessary and appropriate skills, resources, nominated key personnel, nominated subcontractors / Consortium members / partners or corporate, legal or financial backing to provide the project(s).

If the Department receives notice of a material change, the Department may at its discretion allow for the change to be taken into account as part of its assessment of the Application or may exclude the Application from further assessment. The Applicant must provide all necessary information to the Department in response to any request made under this section.

# CHAPTER 7 HOW TO LODGE AN APPLICATION

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This chapter provides Applicants with information they will need to successfully lodge their Application for ParentsNext.

## 7.1 Conditions of lodgement

### 7.1.1 Responsibility of Applicants

Applicants are responsible for ensuring they have:

- read the entire Grant Guidelines
- read any additional information the Department may provide on its websites and any addenda issued, and ensure they understand any other circumstances that may have an effect on their Application
- made their own independent assessment and investigations, and, if necessary, obtained their own legal, business or other professional advice on the Application process
- submitted their Application through 360Pro<sup>3</sup> by the closing date and time
- submitted a complete, accurate Application which provides sufficient information
- kept a copy of their Application and any attachments for their own records.

Applicants must not make false or misleading statements in their Application, and must answer all questions honestly and completely. Giving false or misleading information is a serious offence.

### 7.1.2 Application lodgement

Applications must be lodged electronically. Applications submitted by any other means, (including by hand, courier, post, facsimile or email) will not be accepted.

Potential Applicants must:

- prepare a legible Application, in English on the forms provided with the pack downloaded from 360Pro
- ensure all references to currency are expressed in Australian dollars and all references to measurements are in Australian legal units of measure
- take all steps to ensure that their Application is free from anything that might reasonably affect useability, or the Department's computing environment

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<sup>3</sup> See 360Pro Applicants' Quick Reference Guide for more information

- ensure their Application complies with all file type, format, naming conventions, size limitations or other requirements
- ensure their Application is lodged through 360Pro.

**Applicants must allow sufficient time to complete the lodgement of their Application and resolve any lodgement-related issues prior to the closing date and time.**

## 7.2 Closing date and time

Applicants must lodge their completed Application through the 360Pro before the closing date and time 5.00 pm, 3 February 2016 (Canberra time). Applications received after the closing date and time will not be accepted unless the delay is due solely to the mishandling by the Department.

Any attempt to lodge an Application after the closing date and time will not be permitted.

**IMPORTANT: Applicants should aim to lodge their Application early, to allow time to resolve any technical or other issues.**

Where an Applicant commences electronic lodgement of an Application before the closing date and time but lodgement finishes after the closing date and time, the Application as a whole will be deemed to be a late Application even if parts of the Application were successfully lodged prior to the closing date and time. Any conditions or advice set out on the 360Pro website, or otherwise provided by 360Pro, that suggest a position to the contrary do not apply.

An email receipt from 360Pro indicating the successful lodgement of your Application at a time after the closing date and time only means that the electronic file has been received by 360Pro. The Application will still be a late Application if lodgement was not completed prior to the closing date and time.

## 7.3 360Pro

360Pro is the tool the Department is using for the submission of Application.

Potential Applicants should read the 360Pro Applicants' Quick Reference Guide that has been downloaded as part of the documents that make up the Grant Application pack.

360Pro allows potential Applicants to download the relevant documentation relating to the ParentsNext funding application process and upload their Application.

If the Department amends this document, including its terms, requirements or the process referred to in these Grant Guidelines prior to the closing date and time, the Department will issue advice to potential Applicants via 360Pro. Addenda will only be available on the 360Pro website, so only potential Applicants that have registered with 360Pro for these Grant Guidelines will be provided with details of any alteration, correction or notice in relation to these Grant Guidelines.

### 7.3.1 Proof of lodgement of Application

When Applications have been lodged, an official receipt is emailed. Applicants should save and print this receipt as proof of lodgement. Failure to receive a receipt means lodgement of the Application has not completed successfully.

### **7.3.2 Changing or withdrawing Applications**

Prior to the Application closing date and time Applicants can re-open their submitted Applications to make any changes. In order to be considered for funding, Applicants must resubmit their changed Application. Note that when opening or re-opening an Application it will no longer be considered as submitted. You must click on the Submit button again to resubmit the amended Application.

Only Applications with a status of 'submitted' will be considered by the Department.

Applicants can withdraw from the process by re-opening their Applications and not resubmitting them.

### **7.3.3 Unintentional errors of form**

If the Department considers, in its sole discretion, that there are unintentional errors contained in an Application, the Department may request the Applicant to correct or clarify the error, but will not permit any material alteration or addition to the Application. Unintentional errors of form might include, for example, situations where the Department considers the Applicant has made a typographical error.

### **7.3.4 Attachments**

The Department will not accept any attachments submitted with an Application with the exception of those documents specifically requested by the Department.

## APPENDIX A GLOSSARY

Please refer also to the definition clause in the Draft Funding Agreement. In the event of any inconsistency, the definitions in the Draft Funding Agreement take precedence over terms defined in this glossary.

360Pro	The electronic website and mailbox system used for viewing the funding application process documentation and the submission of Applications.
Applicant	Any organisation that is eligible to submit an Application for funding under these Grant Guidelines. This term also captures, where the context admits, 'Group Applicants'.
Application	An application for funding under these Grant Guidelines.
Commonwealth	The Commonwealth of Australia and includes officers, delegates, employees and agents of the Commonwealth of Australia.
Compulsory Participant	Subject to the Legislative Instrument being in effect, means a Participant who meets the eligibility criteria specified for Compulsory Participants (see section 2.5) and is in a class of persons specified under the Legislative Instrument.
Consortium	Means a group of two or more entities, however constituted, other than a Partnership, which have entered into an arrangement for the purposes of submitting an Application, and which may have appointed a lead member of the group with authority to act on behalf of all members of the group.
Culturally and Linguistically Diverse (CALD)	Refers to persons who speak a language other than English and/or persons from culturally and linguistically diverse backgrounds.
Department	Means the Department of Employment and includes any department, agency or authority of the Commonwealth which is, from time to time, responsible for administering the Funding Agreement.
Department's IT system	The Department's IT computer system accessible by Funding Recipients, delivered as web-browser applications optimised for Internet Explorer 11, and through which information is exchanged between the Funding Recipient, subcontractors, DHS and the Department in relation to ParentsNext projects.

Draft Funding Agreement	The draft version of the Funding Agreement that will be published on the <a href="http://employment.gov.au/employment-services-procurement-information">Employment Services Procurement Information</a> website (employment.gov.au/employment-services-procurement-information) by mid January 2016.
Early School Leaver	A person who is aged less than 22 years who has not completed the final year of secondary school, or an equivalent level of education, and who is not undertaking full time study (an equivalent level of education includes a Certificate III qualification but does not include a Certificate II qualification).
Employment Services Procurement Information website	www.employment.gov.au/employment-services-procurement-information
Employment Services Purchasing Hotline (the Hotline)	The Hotline is the primary means of contact during the funding application process and can be contacted on 1300 733 514 (Monday to Friday, 9.00 am to 5.00 pm Canberra time, excluding ACT and national public holidays) or via espurchasing@employment.gov.au.
Freedom of Information (FOI)	The right of Australians to information in the possession of the Government, as provided under the <i>Freedom of Information Act 1982</i> (Cth), limited only by exemption provisions as set out in the legislation.
Funding Recipient	Any entity contracted by the Commonwealth to provide Projects under the ParentsNext Funding Agreement.
Grant Guidelines	Means these grant guidelines for ParentsNext.
Group Applicant	A group of two or more entities however constituted which have applied for funding under these Grant Guidelines and includes a Consortium, Joint Venture, Partnership or any other form of alliance.
Job Seeker Classification Instrument	The tool used by the Department of Human Services and Funding Recipients to measure a job seeker's relative level of disadvantage based on the expected difficulty in finding the job seeker employment because of the job seeker's personal circumstances and labour market skills.
jobactive	The current Australian Government programme of that name that provides employment services to job seekers to help them obtain employment.
jobactive Provider	An entity contracted by the Commonwealth to deliver services under the <i>jobactive Deed 2015-2020</i> .

Joint Venture	A business enterprise in which two or more legal entities enter into a temporary Partnership through the use of a joint venture agreement for the purpose of conducting ParentsNext.
Legislative Instrument	The <i>Social Security (Parenting Payment participation requirement – classes of persons) Specification 2016 (No. 1)</i> , a legislative instrument made under subsection 500(2) of the <i>Social Security Act 1991</i> that specifies a class of persons may be subject to participation requirements under section 500A of that Act, as in effect from time to time.
Local Government Area	Subject to the Legislative Instrument being in effect, the Local Government Area specified by the Legislative Instrument.
Parenting Payment	Has the same meaning given to it in the decapitalised form in the <i>Social Security Act 1991 (Cth)</i> .
Parents Compliance Report	A report created by a Funding Recipient and submitted to the Department of Human Services to notify that Department of a Participant's failure to attend an appointment, sign a Participation Plan, or attend a compulsory activity.
Participant	A Compulsory Participant and a Voluntary Participant.
Participation Plan	A plan for each Participant that contains the details of: <ul style="list-style-type: none"> <li>(a) the Participant's employment and education goals</li> <li>(b) any vocational and non-vocational activities that are specifically tailored to address the Participant's individual needs, and that are designed to help them overcome any vocational and non-vocational barriers to work</li> <li>(c) any additional activities that the Participant has volunteered to participate in</li> <li>(d) subject to the Legislative Instrument being in effect, for Compulsory Participants, includes a Parenting Payment Employment Pathway Plan under the <i>Social Security Act 1991</i></li> </ul> and is in a form approved by the Department and specifies all information required by any Guidelines.
Partnership	An agreement entered into by two or more legal entities in which each agrees to provide a part of the capital and/or labour for a business enterprise, and by which each shares a defined proportion of profits and losses.

Pensioner Education Supplement	Has the same meaning given to it in the decapitalised form in the <i>Social Security Act 1991</i> (Cth).
Probity	Refers to procedural integrity of the grants award process, underpinned by the quality of, and adherence to, published process documentation, the evaluation processes used to ensure that there is objective and consistent evaluation at each phase, by appropriately qualified and trained evaluators, and decision-making in accordance with all legal requirements.
Project	The activity or activities that are funded under a ParentsNext Funding Agreement.
Project Assurance Activities	Activities that may be conducted at any time, to assist the Department in determining whether the Funding Recipient is meeting its obligations under the Funding Agreement.
Transition to Work Provider	Any entity contracted by the Commonwealth to provide Transition to Work services under the Transition to Work Deed.
Voluntary Participant	Means a person who meets the eligibility criteria for a Voluntary Participant (see section 2.5).
Work for the Dole	Means the Commonwealth programme of that name designed to help job seekers gain the skills, experience and confidence that they need to move to work as soon as possible, while at the same time, making a positive contribution to their local community.

# APPENDIX B ACCESS TO THE DEPARTMENT'S IT SYSTEM

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## Introduction

Funding Recipients are required to have access to, and use, the Department's IT Systems, which include a number of internet-based websites and transactional systems.

## Security, privacy and confidentiality

Funding Recipients must ensure and secure the confidentiality, integrity and availability of the Department's IT Systems and the information within them.

The Australian Privacy Principles described in the *Privacy Act 1988* (Cth) that apply to the Department will also apply to Funding Recipients and their IT software and service providers under the terms of the Funding Agreement. Funding Recipients must, therefore, ensure that they and their agents safeguard Participants' personal information and sensitive information, as defined under the *Privacy Act 1988* (Cth), that is accessible through the Department's IT Systems. The Department requires Funding Recipients to install a secure operating system on all personal computers that have access to the Department's IT Systems. The security controls in the operating system must safeguard the data that is stored on the personal computer's disk drive from being read by unauthorised personnel. The operating system must also prevent unauthorised personnel from accessing software on the personal computer that would facilitate access to personal information and sensitive information.

Funding Recipients must seek the prior approval of the Department before sending or hosting outside Australia any personal or sensitive information relating to employment programmes. This includes the use of overseas cloud-based data solutions.

## Operating systems

The Department will deliver all IT systems to Funding Recipients as web-browser responses, or via web-sites. Funding Recipients may therefore use whatever operating system best meets their organisational needs. The Department's web-browser responses will be optimised for Internet Explorer 11, but compatibility testing will also be done with the latest versions of Firefox, Chrome and Safari.

## Use of third-party IT systems

A third-party IT system is a system supplied to a Funding Recipient, or one built or configured in-house by a Funding Recipient, to be an adjunct to the IT systems provided by the Department. Funding Recipients must advise the Department of the use of any third-party IT systems that hold or manage personal information or sensitive information. At any time, the Department may require access to these systems and the data they contain to ensure adherence to the Department's policies and the requirements under the Funding Agreement and the law. Funding Recipients must not give access to electronic records, or any derivative thereof, to a third-party IT Provider who has not signed an agreement with the Department (in a form specified by the Department), and may only grant such access in accordance with the terms of the said agreement, the Department's Security Policies and any Guidelines. The relevant agreement will require third-party IT Providers to give the

Department access to their IT systems, to comply with the Department's IT security policies, to protect personal and sensitive information, to report all breaches of security, and to comply with certain record keeping requirements.

Funding Recipients electing to use third-party IT systems must ensure that those systems present, manage, record and display information consistent with that provided by the Department's systems. For example, a question and response presented in the Department's system must be worded the same in any third-party IT systems. The third-party IT system must not default answers to questions or input fields where the Department's IT system has no default setting.

The interfacing of third-party IT systems with the Department's IT Systems must not negatively impact performance of the Department's IT Systems for users and will be subject to such terms and conditions as the Department deems appropriate. The Department may, for any reason, suspend the access of a third-party IT system to the Department's IT Systems.

Departmental IT systems may be upgraded during the Funding Agreement period in response to identified systems issues, to make technical enhancements, and to implement new policy and programme requirements. While the Department will use its best endeavours not to impact the functioning of third-party IT systems there is a risk that connectivity or functionality may be adversely affected.

Funding Recipients must seek the approval of the Department before using any third-party IT system that sends or hosts any personal or sensitive information relating to employment programmes outside Australia.

### **IT contact**

The Funding Recipient must:

- nominate personnel to receive technical advice from the Department on the Department's IT Systems, and to provide advice to the Department of technical issues arising from accessing the Department's IT Systems (the IT Contact)
- advise the Department when the IT Contact changes.

### **Printing**

The Department's IT Systems are designed to minimise the information that Funding Recipients need to print. Funding Recipients need to have access to a printer that is locally connected to their personal computer or accessible via their office local area network.

It is the responsibility of the Funding Recipients to supply equipment capable of printing from the Department's IT Systems. The choice of equipment is up to each Funding Recipient.

### **Access to the internet**

To obtain full access to the internet, Funding Recipients will need an Internet Service Provider. Internet access is separate from access to the Department's IT Systems.

### **Accreditation programme**

The Department recognises the importance of protecting personal and sensitive information of people that is held on its systems. It extends this protection through a security accreditation programme for organisations delivering employment services that includes elements of physical,

technical and information security. The source of the requirements can be found at the Information Security Manual (published by the Australian Signals Directorate) and the Protective Security Policy framework published by the Department of Attorney Generals. These requirements are published in the form of a *Statement of Applicability*.

## APPENDIX C COMMUNICATION PROTOCOL

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This communication protocol has been established to support ParentsNext.

The purpose of this protocol is to establish procedures to minimise the risk of any improper practice occurring that could influence the Probity of the funding application and assessment process.

These procedures also make provision for addressing any allegation of such impropriety.

Those who may be in positions that the public could perceive as having the power to influence the operation of the funding process have been identified as, including:

- employees of the Department
- Ministers, Parliamentary Secretaries and their staff
- Parliamentarians, whether Commonwealth, state or territory
- existing jobactive Providers, Transition to Work Providers and industry groups
- anyone else directly or indirectly involved in the Application process acting for the Department or with access to information about the Department's activities that is not generally known (that is, those with 'inside' information).

The following procedures have been adopted to minimise the risk of any inappropriate influence on the funding application process and must be adhered to.

### Contact with Portfolio Minister

During the funding application and assessment process, the Portfolio Minister will continue to interact with relevant stakeholders for business-as-usual, meetings, conferences and social activities.

However, during these interactions, the only information, if any, that can be provided about the funding application process will be limited to information that is already available in the public arena. Applicants and potential Applicants must not seek to elicit or obtain from the Portfolio Minister, or the Minister's staff, any information concerning the funding application process that is not already available in the public arena.

The funding application process will be conducted by the Department with all decisions made by the Department in accordance with the approved delegation.

### Contact with the Department

During the funding application process, the Department will continue to interact with relevant stakeholders as a part of its ongoing business (on a business-as-usual basis), including continuing any regular discussions with a range of interest groups and industry representative bodies.

At these business-as-usual interactions, any discussions relating to the funding application process, however, will not be permitted. The following principles will apply:

- all Applicants will only use the process set out in the Grant Guidelines to contact the Department for the purpose of querying or clarifying any aspect of the funding application process
- the Department will not consider unsolicited references or submissions on behalf of Applicants outside those provided for in the funding application process

- Applicants or other persons with an interest in the funding application process must not enter into discussions with or otherwise engage in any activity with the Department, persons directly or indirectly involved in the funding application process acting for the Department, and other persons who have been identified as being in positions of potential influence over the operation of the funding application process. Further, the Department will not enter into discussions or otherwise engage in any activity with Applicants, or such other persons with an interest in the funding application process, where this could be perceived as influencing the operation of the funding application process
- views on an individual Applicant or Applicants must not be expressed to the Department in a way that could be perceived as an attempt to influence the Department to favour, or disfavour, any Applicant
- details of any approaches by or on behalf of an individual Applicant or Applicants will be fully documented
- communications or conduct suspected of involving a breach of this communication protocol or of the funding application process, including any suspected illegality will be investigated and may be taken into account during the assessment process.

### Information

Except as provided in funding documentation published by the Government:

- no Applicant will be provided with information about the funding application process (including any policy matters relevant to or affecting the process)
- no Applicant will receive information about the decision-making processes.

Further, the following principles will guide the Department in communicating with Applicants:

- no Applicant will receive any information in advance of it being made available generally to Applicants
- no Applicant will receive more information than is publicly available
- data relating to an individual Applicant will only be made available to the Applicant to which the data relates, except when the data is used for the purposes of the grant or Funding Agreement management and associated activities such as auditing
- where, in the opinion of the Department, information provided to one Applicant should be made available to all Applicants, that information will be distributed on the [Employment Services Procurement Information](http://www.employment.gov.au/employment-services-procurement-information) website (www.employment.gov.au/employment-services-procurement-information) on a non-attributable basis.

### Further Information on funding application process arrangements

The Employment Services Purchasing Hotline (the Hotline) is the primary means of contact during the funding process, and can be contacted on 1300 733 514 (Monday to Friday, 9.00 am to 5.00 pm Canberra time, excluding ACT and national public holidays) or via [Employment Services Purchasing Hotline](mailto:espurchasing@employment.gov.au) (espurchasing@employment.gov.au).

In order to ensure the Probity of the funding application process, the Hotline cannot provide interpretation or advice on how to respond in their Application, or provide information that is not contained in these Grant Guidelines, unless that information is otherwise publicly available. Applicants should note that, during a call to the Hotline, they may be asked to put their question in writing and send it to the above email address.

The website, Hotline and email address are the primary mechanisms for communications relating to funding application process matters. All persons are required to refer or direct any funding application-related enquiries to the Hotline, website or email address.

# APPENDIX D 360PRO AND SYSTEM REQUIREMENTS

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## 360Pro and System Requirements - Frequently asked questions

### ***What is 360Pro?***

360Pro is the tool the Department is using for the release of Grant Guidelines for ParentsNext. Potential Applicants should download all documents contained in 360Pro including the forms that Applicants must complete. 360Pro is also the tool that Applicants are required to use in submitting their completed Applications.

### ***Where do I find 360Pro?***

360Pro is located on the following [website](http://www.tinyurl.com/360Pro-employment) (www.tinyurl.com/360Pro-employment).

### ***Are there instructions on how to use 360Pro?***

The *360Pro Applicants' Quick Reference Guide* contains instructions on:

- how to register for 360Pro, download the Grant Guidelines documents
- how to complete and submit an Application.

The Guide is located together with the Application forms on the 'Job Info' tab in 360Pro. It can also be found at [Employment Services Procurement Information](http://employment.gov.au/employment-services-procurement-information) website (employment.gov.au/employment-services-procurement-information).

### ***I can't find the Application forms. Where are they?***

The Application forms are located on the 'Job Info' tab in 360Pro, together with the Grant Guidelines and the *360Pro Applicants' Quick Reference Guide*. You must download the Application forms and save them on your local or network drive using the recommended file naming convention discussed in this document. Once completed, you will then upload these forms in the corresponding tabs in 360Pro. The Application forms include the following:

- *Part A – ParentsNext – Applicant Declaration (PDF form)*
- *Part B – ParentsNext – Applicant Information (PDF form)*
- *Part C – ParentsNext – Site Details (PDF form)*
- *Part D – ParentsNext – Criterion 1 – Organisation Level (PDF form)*
- *Part E – ParentsNext – Criteria 2 & 3 – Project Level (PDF form)*
- *Financial and Credentials Information Form (Excel form)*
- *Subcontractors Credentials Information Form*

### ***How do I complete the Application forms?***

Applications must be submitted using the forms supplied on the 'Job Info' tab of 360Pro. Read each form carefully and complete all relevant questions. The onus is on the Applicant to ensure that information submitted is correct.

These forms should be completed and submitted in their original format as the information you have provided in these forms will be electronically extracted.

**Please do not submit scanned copies of the Application forms.**

**Part A – ParentsNext – Applicant Declaration (PDF form)**, requires the person signing the Application on behalf of the Applicant or Group Applicant, to read, understand and agree to the statements in the Applicant Declaration. This section requires the Applicant to enter text to provide information and select from a drop down menu a response for an electronic signature.

**Part B – ParentsNext – Applicant Information (PDF form)**, asks for details of the Applicant including the Applicant’s contact and bank details.

**Part C – ParentsNext – Site Details (PDF form)**, asks for details of the sites at which the Applicant proposes to deliver the ParentsNext project.

**Part D – ParentsNext – Criterion 1 – Organisation Level (PDF form)**, the Applicant is required to address Selection Criterion 1 at the Organisation level using this form. The responses must be within the character limits indicated in the form.

**Part E – ParentsNext – Criteria 2 & 3 – Project Level (PDF form)**, the Applicant is required to address Selection Criteria 2 and 3 at the project (Local Government Area) level using this form.

Applicants may elect to submit for assessment one Application for each designated Local Government Area in which the Applicant proposes to operate a ParentsNext project. A separate Part C and E file for each project proposal should be saved using the recommended file naming convention and uploaded in 360Pro. The responses must be within the character limits indicated in the form.

**Financial and Credentials Information Form (Excel form)**, the purpose of this form is to obtain information to assess, in the opinion of the Department, your entity’s credentials and financial viability. Please refer to Page 1 of the *Financial and Credentials Information Form* for more information and the instructions on how to complete the form.

**Subcontractors Credentials Information Form (Excel form)**, the purpose of this form is to obtain information to assess, in the opinion of the Department, the proposed subcontractor’s credentials. Please refer to Page 1 of the *Subcontractors Credentials Information Form* for more information and the instructions on how to complete the form.

This form should only be submitted if the Applicant is proposing to use subcontractors in delivering the ParentsNext project(s), if successful in being awarded a Funding Agreement.

### ***How do I know if there are addenda issued and how do I access them?***

If any addenda are issued, you will receive notification through the email address you have registered in 360Pro. The Addenda can be found at the ‘Job Info’ page of 360Pro. If an addendum is issued after you have submitted your Application you will still receive a notification via email.

### ***How do I submit my Application?***

Once you have completed and reviewed each of the forms in the Application package, you are now ready to upload the forms in the appropriate tab in 360Pro. Please note that in 360Pro the names of the tabs correspond to the names of the forms.

- Go to the tab called ‘Part A – ParentsNext – Applicant Declaration’.
- Click Browse and navigate to your completed Part A – ParentsNext – Applicant Declaration form.
- Click Open once you’ve highlighted the document you wish to upload.
- Click Upload File to upload the file.
- Click Next to go to the next tab.
- Repeat these steps until you have uploaded all required forms and other documents.

Once you have uploaded all forms and have provided information in ‘Your Info’ tab, you will then get a flashing message at the top of your screen in 360Pro which says ‘Your job is now ready for submission. Click the “Submit” button to submit your Application.

### ***Can I change my Application once it has been submitted?***

You can re-open your Application and make changes as many times as you like prior to the closing date and time. Note that when re-opening an Application it will no longer be considered as submitted. You must click on the Submit button again to re-submit the amended Application.

Please ensure that the traffic light on the left-hand side of the screen in 360Pro has turned green and the status is changed to ‘Submitted’.

### ***What system specifications should my computer have?***

We recommend that at a minimum your computer should have the following.

- Adobe Reader XI on Windows
- 1.3GHz or faster processor
- Microsoft® Windows® XP with Service Pack 3 for 32 bit or Service Pack 2 for 64 bit; Windows Server® 2003 R2 (32 bit and 64 bit); Windows Server 2008 or 2008 R2 (32 bit and 64 bit); Windows 7 (32 bit and 64 bit); Windows 8 or 8.1 (32 bit and 64 bit)
- 256MB of RAM (512MB recommended)
- 320MB of available hard-disk space
- 1024x768 screen resolution
- Internet Explorer 7, 8, 9, 10 or 11; Firefox Extended Support Release; Chrome

If you do not have one of these operating systems or do not have access to a supported operating system, contact your organisation’s IT support staff.

### ***Should I have my completed forms and other documents checked for viruses before submitting?***

Yes. In submitting a response electronically, the Applicant warrants that it has taken reasonable steps to ensure that the Application is free from computer viruses or other disabling features that may affect computing environments. Applications found to contain viruses or other disabling features may be excluded from the process.

### ***What are the permitted file types if I have to attach other documents in support of my Application?***

The Department will not accept any attachments submitted to 360Pro with the exception of those documents specifically requested by the Department. Refer to Section 7.3.4 of the Grant Guidelines.

Any permissible attachments should be in one of the following file formats and uploaded to the relevant questions in 360Pro mailbox:

- Adobe Acrobat files (.pdf).
- Text files (.txt).
- Common Language (.gif, .jpg).
- MS Word compatible files (.doc, .rtf, .docx).
- MS Excel compatible Spread sheets (.xls, .xlsx).

No hyperlinked or other material may be incorporated by reference.

### ***Is there any file naming convention that I have to follow?***

Yes. When saving forms the following file naming conventions should be adopted. We recommend that you include the name of your organisation in the file name:

- Part A – XYZ Pty Ltd
- Part B – XYZ Pty Ltd
- Part C – XYZ Pty Ltd – Site Details
- Part D – XYZ Pty Ltd – Criterion 1
- Part E – XYZ Pty Ltd – Criteria 2 & 3
- Financial and Credentials Information – XYZ Pty Ltd
- Subcontractors Credentials Information – Subcontractor1 Pty Ltd
- Subcontractors Credentials Information – Subcontractor2 Pty Ltd

These forms must be completed and submitted in their original format, not scanned or hardcopies.

When saving Financial and Subcontractor files (*Financial and Credentials Information Form* and *Subcontractors Credentials Information Form*) they should remain as MS Excel files. Files requested in either of those forms should state to which section the attachment relates, for example: *section 3.1.pdf, section 3.2.pdf*.

Ensure that the files you submit do not contain forward slash, back slash, semicolon, comma, asterisk, question mark, quotation marks, angle brackets or vertical bar (\ / : , \* ? “ < > |) characters in the filenames.

### ***Who can I contact if I require further information relating to the Grant Guidelines for the ParentsNext funding application process?***

Requests for further information regarding the Grant Guidelines for ParentsNext process should be directed to the Employment Services Purchasing Hotline:

Telephone: 1300 733 514

Email: [Employment Services Purchasing Hotline](mailto:espurchasing@employment.gov.au) (espurchasing@employment.gov.au)

The Hotline operates from 9.00 am to 5.00 pm, Monday to Friday, Canberra time, (except for ACT and national public holidays).

## APPENDIX E DRAFT FUNDING AGREEMENT

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The Draft Funding Agreement will be available on the [Employment Services Procurement Information](http://employment.gov.au/employment-services-procurement-information) website (employment.gov.au/employment-services-procurement-information) by mid-January 2016.

## APPENDIX F APPLICATION CHECKLIST

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Before you submit your Application, make sure you have:

- Downloaded and read the Grant Guidelines for ParentsNext documentation and any addenda from the [360Pro website](http://www.tinyurl.com/360Pro-employment) (www.tinyurl.com/360Pro-employment).
- Read any additional information available to you (Questions and Answers, Draft Funding Agreement, etc.).
- Completed and attached the Application forms to the corresponding tabs in 360Pro.

These forms should be completed and submitted in their original format as the information you have provided in these forms will be electronically extracted.

**Please do not submit scanned copies of the Application forms.**

- Part A – ParentsNext – Applicant Declaration
- Part B – ParentsNext – Applicant Information
- Part C – ParentsNext – Site Details – Project Level
- Part D – ParentsNext – Criterion 1 – Organisation Level
- Part E – ParentsNext – Criteria 2 & 3 – Project Level
- Financial and Credentials Information Form and any requested documents
- Subcontractors Credentials Information Form (if applicable) and any requested documents.

Note – as stated in section 7.3.3 of the Grant Guidelines, the Department will not accept any attachments submitted with an Application with the exception of those documents specifically requested by the Department.

- Reviewed your Application prior to submission.
- Lodged your Application to 360Pro allowing sufficient time before the closing date and time.

Once your Application is lodged, save the email that is sent to your registered email address.