



# Allocation Principles 1997

as amended

made under subsection 96-1 (1) of the

*Aged Care Act 1997*

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**Contents**

<b>Part 1</b>	<b>Preliminary</b>	
4.1	Citation [see Note 1]	6
4.2	Commencement	6
<b>Part 2</b>	<b>Interpretation</b>	
4.3	Definitions	7
4.4	Meaning of <i>person with financial hardship</i>	8
<b>Part 2A</b>	<b>People with special needs</b>	
4.4A	Purpose of Part 2A (Act s 11-3)	9
4.4B	Veterans	9
<b>Part 3</b>	<b>Planning the allocation of places</b>	
<b>Division 1</b>	<b>Distributing available places among regions</b>	
4.5	Purpose of Division (Act, s 12-4)	10
4.6	Requirement	10
<b>Division 2</b>	<b>Determining proportion of care: other kinds of people</b>	
4.7	Purpose of Division (Act, s 12-5)	10
4.8	Specification	10
<b>Division 3</b>	<b>Criteria for determining proportion of care</b>	
4.9	Purpose of Division (Act, s 12-5)	11
4.10	The criteria	11
<b>Part 4</b>	<b>Aged Care Planning Advisory Committees</b>	
<b>Division 1</b>	<b>General</b>	
4.11	Purpose of Part (Act, s 12-7)	12
<b>Division 2</b>	<b>Function of committees</b>	
4.12	Function	12
4.13	Performance of function	12
<b>Division 3</b>	<b>Powers</b>	
4.14	Powers	12
<b>Division 4</b>	<b>Giving advice to Secretary</b>	
4.15	Advice about distribution of places among regions	12
4.16	Advice about making of certain determinations	13
<b>Division 5</b>	<b>Membership of committees</b>	
4.17	Members	13
4.17A	Deputy chairperson to act as chairperson	13

	Page	
4.18	Qualifications for appointment	14
4.19	Term of appointment	15
4.20	Resignation	15
4.21	Termination of appointment	15
4.22	Leave of absence	16
<b>Division 6</b>	<b>Other committee matters</b>	
4.23	Administration	16
4.24	Impartiality of committee	16
4.25	Improper use of committee information	16
4.26	Meetings	17
4.27	Presiding member and quorum	17
4.29	Disclosure of interests	17
4.30	Voting	18
4.31	Resolutions without meeting	18
4.32	Proceedings	18
4.33	Reports and recommendations	18
4.34	Subcommittees and working groups	19
<b>Part 5</b>	<b>The allocation process</b>	
<b>Division 1</b>	<b>Assessment of applications</b>	
4.35	Purpose of Division (Act, s 14-2)	20
4.36	Need for aged care services or need for restructure	20
4.37	Assessment of benefit to current and future care recipients	20
4.38	Diversity of choice for care recipients	21
4.39	Continuity of care	21
4.40	Secretary may also consider other matters	21
<b>Division 2</b>	<b>Conditions of allocation — generally</b>	
4.42	Purpose of Division (Act, s 14-6)	21
4.43	Conditions — generally	21
<b>Division 3</b>	<b>Conditions of allocation — community care places</b>	
4.44	Purpose of Division (Act, s 14-6)	22
4.45	Conditions — community care places	22
<b>Division 4</b>	<b>Conditions of allocation — proportion of care for respite care recipients</b>	
4.46	Purpose of Division (Act, s 14-6)	23
4.47	The matters	23
<b>Part 6</b>	<b>When allocations take effect</b>	
<b>Division 1</b>	<b>When allocations take effect</b>	
4.48	Purpose of Division (Act, s 15-1)	24
4.49	The matters	24
<b>Division 2</b>	<b>Granting extensions</b>	
4.50	Purpose of Division (Act, s 15-7)	25

		Page
	4.51 Requirements	25
<b>Division 3</b>	<b>Periods of extension</b>	
	4.52 Purpose of Division (Act, s 15-7)	25
	4.53 Decreasing extension period	25
	4.54 Increasing extension period	26
<b>Part 7</b>	<b>Transfer of places other than provisionally allocated places</b>	
<b>Division 1A</b>	<b>Application of this Part</b>	
	4.55A Application of this Part	27
<b>Division 1</b>	<b>When applications must be made</b>	
	4.55 Purpose of Division (Act, s 16-2)	27
	4.56 Deciding whether to determine different application period — transferee is approved provider	27
	4.57 Determining different application period	28
<b>Division 2</b>	<b>Information to be included in an application: community care</b>	
	4.58 Purpose of Division (Act, s 16-2)	28
	4.59 Additional information to be submitted with application	28
<b>Division 3</b>	<b>Information to be included in an application: other care</b>	
	4.60 Purpose of Division (Act, s 16-2)	30
	4.61 Additional information to be submitted with application	30
<b>Division 4</b>	<b>Consideration of whether transfer justified</b>	
	4.62 Purpose of Division (Act, s 16-4)	32
	4.63 Additional matters	32
<b>Division 5</b>	<b>Information to be given to transferee</b>	
	4.64 Purpose of Division (Act, s 16-9)	33
	4.65 Information to be given to transferee	33
	4.66 When information is to be given	34
<b>Division 6</b>	<b>Records to be given to transferee</b>	
	4.66A Purpose of Division (Act, s 16-10)	34
	4.66B Records to be given	34
<b>Part 7A</b>	<b>Transfer of provisionally allocated places</b>	
<b>Division 1</b>	<b>When applications must be made</b>	
	4.66C Purpose of Division (Act, s 16-14)	36
	4.66D Deciding whether to determine different application period — transferee is approved provider	36
	4.66E Determining different application period	36
<b>Division 2</b>	<b>Information to be included in application</b>	
	4.66F Purpose of Division (Act, s 16-14)	37

		Page
	4.66G Additional information to be submitted with application	37
<b>Division 3</b>	<b>Consideration of whether transfer justified</b>	
	4.66H Purpose of Division (Act, s 16-16)	38
	4.66I Additional matters	38
<b>Division 4</b>	<b>Information to be given to transferee</b>	
	4.4.66J Purpose of Division (Act, s 16-21)	40
	4.66K Information to be given to transferee	40
	4.66L When information is to be given	40
<b>Part 8</b>	<b>Variation of conditions for places</b>	
<b>Division 1</b>	<b>Information for variation applications</b>	
	4.67 Purpose of Division (Act, s 17-2)	41
	4.68 The information	41
<b>Division 2</b>	<b>Consideration of applications</b>	
	4.69 Purpose of Division (Act, s 17-4)	42
	4.70 Additional matters to be considered	42
<b>Part 9</b>	<b>Allocations ceasing to have effect</b>	
<b>Division 1</b>	<b>Relinquishing places</b>	
	4.71 Purpose of Division (Act, s 18-2)	44
	4.72 The matters — residential care places	44
	4.73 The matters — community care places	45
<b>Division 2</b>	<b>Relinquishing places: whether care needs appropriately met</b>	
	4.74 Purpose of Division (Act, s 18-3)	46
	4.75 The matters — residential care places	46
	4.76 The matters — community care places	47
<b>Division 3</b>	<b>Revocation of unused allocations of places</b>	
	4.77 Purpose of Division (Act, s 18-5)	47
	4.78 The matters	47
<b>Notes</b>		49

**Section 4.1**

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**Note: Part 2.2 of the *Aged Care Act 1997***

Part 2.2 of the *Aged Care Act 1997* is about the allocation of places through which aged care is provided. An approved provider can receive subsidy under Chapter 3 of the Act only for providing aged care in respect of which a place has been allocated.

Places are distributed between regions, after which applications for allocation are made and the places allocated. An explanation of the allocation process can be found in section 11-4 of the Act.

The Allocation Principles deals with a number of aspects of the allocation process.

**Part 1 Preliminary****4.1 Citation** [see Note 1]

These Principles may be cited as the *Allocation Principles 1997*.

**4.2 Commencement**

These Principles commence on 1 October 1997.

## Part 2 Interpretation

### 4.3 Definitions

In these Principles:

**Accreditation Standards** means the Accreditation Standards in Schedule 2 of the *Quality of Care Principles 1997*.

**Act** means the *Aged Care Act 1997*.

**chairperson**, for a committee, means chairperson of the committee.

**committee** means an Aged Care Planning Advisory Committee established under subsection 12-7 (1) of the Act.

**government officer** means an officer or employee of the Commonwealth, a State or a local government authority.

**key personnel** has the same meaning as in section 8-3A of the Act.

**person with financial hardship** has the meaning given by section 4.4.

**planning objectives** means the objectives of the aged care planning process mentioned in section 12-2 of the Act.

**representative**, of a care recipient, has the same meaning as in section 19.3A of the *Records Principles 1997*.

**State** includes a Territory.

**veteran** means a person who is:

- (a) a veteran of the Australian Defence Force or of an allied defence force;  
or
- (b) a spouse, widow or widower of a person mentioned in paragraph (a).

*Note* The planning objectives relate to providing an open and clear planning process, identifying community needs, and allocating places in a way that best meets the identified needs of the community.

#### Note: Definitions

A number of expressions used in these principles are defined in the *Aged Care Act 1997* (see Dictionary in Schedule 1), including:

- accommodation bond
- balance
- aged care
- approved provider
- care
- certified
- place
- provisional allocation
- provisional allocation period
- relinquish
- residential care
- respite care.

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**Section 4.4**

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**4.4 Meaning of *person with financial hardship***

- (1) A person is a *person with financial hardship* if:
  - (a) the person:
    - (i) has paid an ongoing fee for the first provision of community care from an approved provider under the Act; or
    - (ii) has paid an ongoing fee for the first provision of community aged care services from a provider under the *Aged or Disabled Persons Care Act 1954*; or
    - (iii) has received care of the kind mentioned in subparagraph (i) or (ii) without paying a fee; and
  - (b) meets the criteria in subsection (2) or (3).
- (2) The person did not own a home in the 2 years before the reference time, and at the reference time:
  - (a) was in receipt of the maximum basic rate of pension or benefit under Part 2.2, 2.3, 2.4 or 2.15 of the *Social Security Act 1991*; or
  - (b) both:
    - (i) was in receipt of the rate of pension payable under Part III of the *Veterans' Entitlements Act 1986*; and
    - (ii) had additional income (within the meaning of section 8 of the *Social Security Act 1991*) not more than the ordinary free limit allowed to a person in receipt of the maximum basic rate of pension or benefit under Part 2.2, 2.3, 2.4 or 2.15 of the *Social Security Act 1991*.
- (3) The person does not meet the criteria in subsection (2), but a provider, or approved provider, has notified the Department that the person may be in financial hardship, taking into account the person's income (within the meaning of section 8 of the *Social Security Act 1991*) and assets.
- (4) The *reference time* for the person is the time when the person:
  - (a) paid the fee mentioned in subparagraph (1) (a) (i) or (ii); or
  - (b) first received the care mentioned in subparagraph (1) (a) (iii).



## **Part 2A                      People with special needs**

### **4.4A      Purpose of Part 2A (Act s 11-3)**

The purpose of this Part is to specify kinds of people who are people with special needs.

### **4.4B      Veterans**

People who are veterans are specified.

**Section 4.5**

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## **Part 3 Planning the allocation of places**

### **Division 1 Distributing available places among regions**

#### **4.5 Purpose of Division (Act, s 12-4)**

The purpose of this Division is to specify a requirement with which the Secretary must comply in distributing for a financial year, for each type of subsidy, the places available for allocation in a State among the regions within the State.

*Note* Regions are determined under section 12-6 of the Act.

#### **4.6 Requirement**

If the Secretary has asked an Aged Care Planning Advisory Committee for advice about the distribution of the places, the Secretary must have regard to the advice in distributing the places.

### **Division 2 Determining proportion of care: other kinds of people**

#### **4.7 Purpose of Division (Act, s 12-5)**

The purpose of this Division is to specify a kind of people for whom, for each type of subsidy, the Secretary may determine for the places available for allocation the proportion of care that must be provided.

#### **4.8 Specification**

People with financial hardship are specified.

## **Division 3                      Criteria for determining proportion of care**

### **4.9                      Purpose of Division (Act, s 12-5)**

The purpose of this Division is to specify the criteria the Secretary must consider in determining the proportion of care that must be provided to 1 or more of the groups of people mentioned in subsection 12-5 (1) of the Act.

### **4.10                      The criteria**

The Secretary must consider the following criteria:

- (a) the need for places in each region for people who are in those groups;
- (b) the current service provision levels, including provisional allocations for people who are in the groups;
- (c) the existing provision of extra service status places in each region;
- (d) the need to distribute places equitably in each region, and in each State, as far as practicable.

**Section 4.11**

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## **Part 4 Aged Care Planning Advisory Committees**

### **Division 1 General**

#### **4.11 Purpose of Part (Act, s 12-7)**

This Part specifies, for Aged Care Planning Advisory Committees:

- (a) the committees' functions; and
- (b) the committees' membership; and
- (c) other matters relevant to the committees' operations.

### **Division 2 Function of committees**

#### **4.12 Function**

A committee's function is to advise the Secretary on the distribution of places among regions for different types of subsidy and proportions of care.

#### **4.13 Performance of function**

In performing its function, a committee must act with as little formality and as quickly as the requirements of these Principles, and a proper consideration of the issues before the committee, allow.

### **Division 3 Powers**

#### **4.14 Powers**

A committee may do anything necessary or convenient to be done for, or in connection with, performing its function.

### **Division 4 Giving advice to Secretary**

#### **4.15 Advice about distribution of places among regions**

- (1) If the Secretary requests advice from a committee about the distribution of places among the regions within a State, the committee must assess, and report to the Secretary on, the extent and priority of need among the regions.

- (2) In advising the Secretary, the committee must take the following matters into account:
  - (a) the planning objectives;
  - (b) the findings of any relevant working party it establishes to investigate the needs of particular regions or groups of people;
  - (c) demographic and other statistical data on the balance of care in each region;
  - (d) relevant information obtained by the committee from local and regional sources.

#### **4.16 Advice about making of certain determinations**

- (1) This section applies if the Secretary requests advice from a committee about the making of determinations under section 12-5 of the Act.

*Note* Under section 12-5 of the Act, the Secretary may, for each type of subsidy, determine for the places available for allocation the proportion of care that must be provided to stated groups of people: see Part 3 of these Principles.

- (2) The committee must do the following things, and provide advice to the Secretary about them:
  - (a) identify community needs, including the needs of particular groups nominated by the committee;
  - (b) rank the identified needs in priority order;
  - (c) consider the types of care that should be provided in particular regions;
  - (d) consider the most appropriate proportion of places for the different groups of people mentioned in subsection 12-5 (1) of the Act.
- (3) In advising the Secretary, the committee must take into account Government policy and the planning objectives.

### **Division 5 Membership of committees**

#### **4.17 Members**

- (1) A committee consists of a chairperson, a deputy chairperson and at least 6, and not more than 9, other members.
- (2) At least 2 members of a committee must be government officers.
- (3) At least 6 members of a committee (the *non-government members*) must not be government officers.
- (4) The members of a committee are to be appointed by the Secretary.

#### **4.17A Deputy chairperson to act as chairperson**

- (1) The deputy chairperson of a committee is to act as chairperson during any period when:
  - (a) the office of chairperson is vacant (whether or not an appointment has been made to that office before); or

### Section 4.18

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- (b) the chairperson is absent from Australia or is, for any reason, unable to perform the duties of that office.
- (2) While the deputy chairperson acts as chairperson, the deputy chairperson has all the powers and duties of the chairperson.
- (3) Anything done by or in relation to a person purporting to act as chairperson under subsection (1) is not invalid merely because:
  - (a) there was a defect or irregularity in connection with the person's appointment as deputy chairperson; or
  - (b) the person's appointment as deputy chairperson had ceased to have effect; or
  - (c) the occasion for the person to act as chairperson had not arisen or had ceased.

#### 4.18 Qualifications for appointment

- (1) In choosing a person for appointment as a member of a committee, the Secretary must have regard to the person's:
  - (a) personal knowledge of, and experience in, the delivery of aged care; and
  - (b) ability to contribute to the planning of aged care and give effective advice to the Secretary.
- (2) A person must not be chosen for appointment as a member of a committee solely on the basis of the person's capacity to represent a particular body or group.
- (2A) A government officer may be chosen for appointment as a member of a committee only if he or she:
  - (a) is nominated by the government, or local government authority, of which he or she is an officer or employee; and
  - (b) has experience in the administration or delivery of aged care services by:
    - (i) that government or authority; or
    - (ii) if the government officer is an officer or employee of a State or a local government authority — another State or local government authority.
- (2B) For appointment as a chairperson or deputy chairperson of a committee, a person may be chosen only if he or she also has leadership experience that is relevant to the committee's function mentioned in section 4.12.
- (2C) The Secretary must ensure, as far as practicable, that members of a committee who are government officers, between them, have knowledge of, or experience in, each of the following:
  - (a) aged care policy;
  - (b) aged care funding programs;
  - (c) aged care planning processes;

- (d) the delivery of aged care services to people from culturally or linguistically diverse backgrounds;
  - (e) the delivery of aged care services to people from Aboriginal and Torres Strait Islander communities;
  - (f) the delivery of aged care services to people living in rural and remote areas;
  - (g) the delivery of aged care services to veterans.
- (3) The Secretary must ensure, as far as practicable, that the non-government members of a committee, between them, have knowledge of, or experience in, each of the following:
- (a) the operations of aged care providers;
  - (b) aged care services from the perspective of consumers of the service;
  - (c) the delivery of aged care services to people from culturally or linguistically diverse backgrounds;
  - (d) the delivery of aged care services to people from Aboriginal and Torres Strait Islander communities;
  - (e) the delivery of aged care services to people living in rural and remote areas;
  - (f) the delivery of aged care services to veterans.

#### **4.19 Term of appointment**

- (1) The Secretary must not appoint a person as a member of a committee for a term of more than 2 years.
- (2) However, a member is eligible for reappointment.

#### **4.20 Resignation**

A member may resign by signed notice of resignation given to the Secretary.

#### **4.21 Termination of appointment**

The Secretary may terminate the appointment of a member if the member:

- (a) engages in misconduct; or
- (b) becomes incapable of performing the duties of a member because of physical or mental incapacity; or
- (c) becomes bankrupt, applies to take the benefit of a law for the relief of bankrupt or insolvent debtors, compounds with his or her creditors, or makes an assignment of his or her remuneration for their benefit; or
- (d) is convicted of an offence punishable by imprisonment for 1 year or longer; or
- (e) is absent without leave from 2 consecutive meetings of the committee; or
- (f) contravenes section 4.25 or 4.29.

*Note* Section 4.25 deals with improper use of committee information, and section 4.29 deals with disclosure of interests.

## Section 4.22

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### 4.22 Leave of absence

- (1) The Secretary may grant leave of absence to the chairperson of a committee.
- (2) The chairperson of a committee may grant leave of absence to another member.

## Division 6 Other committee matters

### 4.23 Administration

- (1) The chairperson of a committee is responsible for the committee's general administration.
- (2) The chairperson is, for example, responsible for:
  - (a) calling meetings of the committee; and
  - (b) ensuring that meetings allow sufficient time for members to develop planning strategies, develop recommendations, and review the outcome of previous recommendations; and
  - (c) ensuring that working parties and subcommittees of the committee have clear terms of reference and have a schedule for finishing their tasks and reporting back to the committee.
- (3) The Secretary must arrange for assistance (for example, secretarial services) to be given to a committee to enable it to carry out its function effectively and efficiently.

### 4.24 Impartiality of committee

- (1) A member of a committee is not subject to the direction of anyone else in relation to anything done in his or her capacity as a member.
- (2) A person invited to attend a meeting of a committee to advise or inform it about anything is not subject to the direction of anyone else in relation to the advice or information provided to the committee.

### 4.25 Improper use of committee information

- (1) This section applies to:
  - (a) a person who is or has been:
    - (i) a member of a committee; or
    - (ii) invited to attend a committee meeting to advise or inform it about anything; and
  - (b) information acquired by the person because the person is a person to whom this section applies, including:
    - (i) information identifying a care recipient, approved provider or aged care service; or
    - (ii) information in a document given to the committee; or
    - (iii) information about the committee's deliberations; or



- (iv) advice or other information given, or a recommendation made, by the committee.
- (2) The person must not use the information for personal or corporate gain, or disclose or communicate it to any of the following people:
  - (a) an approved provider;
  - (b) a person wishing to become an approved provider;
  - (c) one of the key personnel of an approved provider;
  - (d) a person who would be 1 of the key personnel of a person wishing to become an approved provider if the person were an approved provider.

#### **4.26 Meetings**

- (1) The chairperson of a committee must ensure that the committee meets at least twice each year.
- (2) The chairperson may, at any time, by written notice to the other members, call a meeting at the time and place stated in the notice.
- (3) The Secretary may, by written notice to the members, direct that a meeting be held at the time and place stated in the notice.
- (4) If, at any time, a majority of the members of a committee asks, by written notice given to the chairperson, that the chairperson call a meeting, the chairperson must, as soon as practicable, call a meeting.
- (5) Subject to these Principles, the procedure of a meeting is to be decided by the committee.
- (6) The chairperson may invite a person, other than an applicant for the allocation of places, to attend a committee meeting to advise or inform the committee about anything.

#### **4.27 Presiding member and quorum**

- (1) The chairperson of a committee must preside at each meeting of the committee.
- (2) At a meeting of a committee, a majority of members that includes the chairperson forms a quorum.

*Note* The chairperson includes the deputy chairperson acting as chairperson: see subsection 4.17A (2).

#### **4.29 Disclosure of interests**

- (1) This section applies to a member of a committee, or a person invited to attend a meeting of a committee to inform or advise it about anything, if:
  - (a) the person has a direct or indirect financial interest in an issue being considered, or about to be considered, by the committee; and
  - (b) the interest could conflict with the proper performance of the person's duties in relation to the issue.

### **Section 4.30**

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- (2) As soon as practicable after the relevant facts come to the person's knowledge, the person must disclose the nature of the interest to a meeting.
- (3) The disclosure must be recorded in the committee's minutes and, unless the committee otherwise decides, the person must not:
  - (a) be present when the committee considers the issue; or
  - (b) take part in a decision of the committee on the issue.
- (4) A member who also has a direct or indirect financial interest in the issue must not:
  - (a) be present when the committee is considering its decision under subsection (3); or
  - (b) take part in making the decision.

### **4.30 Voting**

- (1) A question arising at a meeting of a committee must be decided by a majority of the votes of the members present and voting.
- (2) In voting to make a recommendation to the Secretary:
  - (a) each member of the committee present at the meeting has a deliberative vote; and
  - (b) the presiding member also has a casting vote.
- (3) If the committee votes to make a recommendation, the chairperson must send the recommendation to the Secretary and to the Department's office in the relevant State as soon as practicable.

### **4.31 Resolutions without meeting**

If:

- (a) a majority of the members of a committee agree, in writing, to a proposed resolution; and
- (b) notice of the proposed resolution was given under procedures approved by the committee;

the resolution is a valid resolution of the committee, even though it was not passed at a meeting.

### **4.32 Proceedings**

A committee must keep a record of its proceedings.

### **4.33 Reports and recommendations**

A report of a committee and, any recommendations that the committee is directed to make, must:

- (a) be in writing; and
- (b) if the members did not agree about an issue — state the differing points of view of the members.

**4.34 Subcommittees and working groups**

- (1) A committee may establish working parties or subcommittees to investigate:
  - (a) the needs of particular regions or groups of people; or
  - (b) particular issues of concern to it.
- (2) A working party may include people who are not members of the committee.
- (3) The following sections apply to a working party or subcommittee (and its members) in the same way as they apply to a committee (and its members):
  - section 4.24 (Impartiality of committee)
  - section 4.25 (Improper use of committee information)
  - section 4.29 (Disclosure of interests).

**Section 4.35**

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## **Part 5                    The allocation process**

### **Division 1                Assessment of applications**

#### **4.35                    Purpose of Division (Act, s 14-2)**

This Division sets out additional matters that the Secretary must consider, in relation to each application for the allocation of places for community care subsidy and residential care subsidy, in deciding which allocation of places would best meet the needs of the aged care community in a region.

#### **4.36                    Need for aged care services or need for restructure**

The Secretary must consider whether the application:

- (a) is for places distributed in a region under section 12-4 of the Act; or
- (b) demonstrates a need to restructure the aged care services, or group of services, to which the application relates, so that:
  - (i) the long-term viability of the service or services will be improved; or
  - (ii) continuity of care in the region will be improved where this is otherwise at risk.

#### **4.37                    Assessment of benefit to current and future care recipients**

The Secretary must consider the extent to which current and future care recipients in the region will benefit if the application is approved.

*Examples*

Examples of matters that the Secretary may take into account for this section include:

- (a) whether the location of the service is in a priority or high need area; and
- (b) whether the type of service meets the greatest needs of the community; and
- (c) whether the allocation of places to which the application relates would offer the Commonwealth or care recipients value for money; and
- (d) whether the service would offer high quality service; and
- (e) if the application relates to residential care — whether the service would offer high quality accommodation; and
- (f) if the application relates to community care — whether approval of the application would improve the region's ability to meet care recipients' preferences for:
  - (i) the kinds of services offered (including respite care, nursing care, personal care and transport services); and
  - (ii) the hours during which care is offered; and
  - (iii) the days on which care is offered; and
- (g) whether the service includes innovations which would enhance service delivery or otherwise help the service to achieve improved levels of care.

#### **4.38 Diversity of choice for care recipients**

The Secretary must consider whether, if the application is approved, the allocation will increase diversity of choice for current and future care recipients, and their carers and families, having regard to the different kinds of services offered in the region.

*Example*

Diversity of choice for different kinds of services might be promoted, for instance, in relation to:

- service in a particular location
- service for care recipients who are financially or socially disadvantaged
- service for care recipients affected by dementia
- service for care recipients belonging to an ethnic community
- service for care recipients belonging to an indigenous community
- ageing in place service
- service to meet the needs of couples.

#### **4.39 Continuity of care**

The Secretary must consider whether, if the application is approved, the service to which the application relates would be more likely to be able to offer continuity of care to current and future care recipients.

*Example*

For this section, the Secretary may take into account whether the service has demonstrated its long-term financial and organisational viability.

The Secretary may also take into account whether the application is in respect of places in a region which, at the time of consideration, has a low proportion of services certified under Part 2.6 of the Act.

#### **4.40 Secretary may also consider other matters**

The Secretary may also consider any other relevant matters.

### **Division 2                    Conditions of allocation — generally**

#### **4.42 Purpose of Division (Act, s 14-6)**

This Division sets out conditions that the Secretary must determine for allocations of places to a person generally.

#### **4.43 Conditions — generally**

- (1) The Secretary must determine conditions to the following effect:
  - (a) that a care recipient cannot be discharged and readmitted:
    - (i) to attract the accommodation supplement or the concessional resident supplement; or
    - (ii) to enable a service to charge the care recipient an accommodation bond;

**Section 4.44**

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- (b) that an aged care service will be recognised as a new service only if the service relocates to:
  - (i) a facility built for the service's relocation; or
  - (ii) a location that has no part of its catchment area in common with the catchment area of the location from which it moves;
- (c) that Part III of Determination No. ADPCA 10F 3/1995 made under the *Aged or Disabled Persons Care Act 1954*, as in force on 30 September 1997, applies to a care recipient who was a resident of an approved hostel under that Act on that date.

*Examples of circumstances in which a service will not be recognised as a new service:*

- 1. A change of approved provider for the service
  - 2. A change in the number of places allocated to the service
  - 3. A temporary relocation of the service
  - 4. An amalgamation of co-located services.
- (2) However, the Secretary may determine other relevant conditions.

### **Division 3                    Conditions of allocation — community care places**

**4.44            Purpose of Division (Act, s 14-6)**

This Division sets out conditions that the Secretary must determine for allocations of places to a person in respect of community care.

**4.45            Conditions — community care places**

- (1) The Secretary must determine conditions to the following effect:
  - (a) that the person must enter into an agreement with the Secretary, for the Commonwealth, containing provisions for the management of the places;
  - (b) that the person must comply with the agreement;
  - (c) that the person must average the proportion of care (if any) mentioned in the agreement over the first financial year starting after the allocation is made, and over later years.
- (2) If the agreement, or the notification of the allocation, states a class of people to whom the person must provide community care, the Secretary must also determine a condition to the effect that the person will give those people priority of access to the community care.
- (3) However, the Secretary may also determine other relevant conditions.

## **Division 4                      Conditions of allocation — proportion of care for respite care recipients**

### **4.46            Purpose of Division (Act, s 14-6)**

This Division specifies matters to which the Secretary must have regard in determining conditions, for allocation of places, dealing with the proportion of care to be provided to recipients of respite care.

### **4.47            The matters**

- (1) The Secretary must have regard to the following matters before determining the conditions:
  - (a) the demand in the region concerned for respite care;
  - (b) the demand in the region for permanent care;
  - (c) the needs of carers and care recipients;
  - (d) equity in the respite care provided in different regions.
- (2) However, the Secretary may also have regard to any other matter relevant to the effective provision of respite care.

**Section 4.48**

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## **Part 6                      When allocations take effect**

### **Division 1                When allocations take effect**

#### **4.48            Purpose of Division (Act, s 15-1)**

This Division sets out matters to which the Secretary must have regard in deciding whether to determine that a person is in a position to provide care, in respect of places allocated to the person, for which subsidy under Chapter 3 may be paid.

#### **4.49            The matters**

- (1) If the allocation is of places in respect of community care, the Secretary must have regard to whether the person has entered into an agreement with the Secretary, for the Commonwealth, containing provisions for the management of the places.

*Note* The agreement is mentioned in paragraph 4.45 (1) (a).

- (2) If the allocation is of places in respect of residential care, the Secretary must have regard to:
- (a) whether the person has received, from authorities in the State or Territory where the aged care service is located, authorisation that the service's premises can be occupied; and
  - (b) whether the person has applied for accreditation of the service, and paid all application fees; and
  - (c) whether the person has registered with the scheme manager, or an approved sponsoring organisation, as part of the prudential requirements of the *User Rights Principles 1997*; and
  - (d) whether the person has made arrangements for the efficient management and operation of the service; and
  - (e) the results of any inspection of the premises by officers of the Department.
- (3) However, the Secretary may also have regard to any other relevant matter.



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## **Division 2                    Granting extensions**

### **4.50            Purpose of Division (Act, s 15-7)**

This Division specifies requirements that must be met for an extension of the provisional allocation period.

### **4.51            Requirements**

- (1) The Secretary must be satisfied that granting the extension meets the following requirements for residential care places:
  - (a) that, at the end of the extended period, there will still be a need for the provision of residential care by the approved provider in accordance with the allocation;
  - (b) that granting the extension is necessary because no other provider is ready and able to satisfy the need.
- (2) If premises are being built to accommodate the places, the Secretary must also be satisfied that at least 1 of the following results is likely to happen by granting the extension:
  - (a) work on the premises will be substantially finished before the end of the extended period;
  - (b) reasonable progress towards the construction of the premises will be made by the end of the extended period;
  - (c) a substantial amount will be spent by the approved provider, in connection with work on the premises, to meet the conditions to which the allocation was subject;
  - (d) if work on the premises has been delayed by circumstances beyond the approved provider's control — work on the premises will proceed satisfactorily within a reasonable period.

## **Division 3                    Periods of extension**

### **4.52            Purpose of Division (Act, s 15-7)**

This Division specifies the criteria for increasing or decreasing the period of extension of the provisional allocation period for residential care places.

### **4.53            Decreasing extension period**

For decreasing the extension period for residential care places, the Secretary must be satisfied that:

- (a) the applicant has substantially completed construction of the relevant premises; or
- (b) there is another reason that makes decreasing the period appropriate.

**Section 4.54**

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**4.54      Increasing extension period**

For increasing the extension period for residential care places, the Secretary must be satisfied that the applicant needs an extension of more than 12 months for 1 or more of the following reasons:

- (a) the need to start or continue construction of the relevant premises at a time that is related to the maturity of invested funds;
- (b) the need to comply with a condition of the provisional allocation that was not imposed as part of the original allocation;
- (c) a substantial change in the factors associated with the provisional allocation, or a likely change in the factors;
- (d) a change to the business relationship between parties involved in the construction of the relevant premises;
- (e) a natural disaster.

## **Part 7                      Transfer of places other than provisionally allocated places**

### **Division 1A              Application of this Part**

#### **4.55A    Application of this Part**

This Part applies to places other than provisionally allocated places.

### **Division 1                      When applications must be made**

#### **4.55      Purpose of Division (Act, s 16-2)**

This Division sets out the matters that the Secretary must consider in:

- (a) deciding whether to determine another period before a proposed transfer day within which an application to transfer an allocated place from one person to another must be made; and
- (b) determining another period.

#### **4.56      Deciding whether to determine different application period — transferee is approved provider**

- (1) The Secretary must consider the following matters in deciding whether to determine another application period:
  - (a) the reasons why the different period has been requested;
  - (b) for a relocation of residential care places — whether the applicant's proposal to relocate care recipients, and the proposed timetable for the relocation, are adequate;
  - (c) whether the services that have been provided by the applicant's aged care service will continue to operate until all care recipients have been transferred;
  - (d) any conditions relevant to the places proposed to be transferred;
  - (e) any concerns about the application expressed by care recipients in the applicant's aged care service;
  - (f) if there are 2 or more transferees — whether any of the proposed transfer days would have an unacceptable effect on the provision of care to care recipients who are proposed to remain with the aged care service;
  - (g) any concerns about the application expressed by care recipients who receive care through the applicant's aged care service.
- (2) However, the Secretary may also consider any other relevant matter.

**Section 4.57**

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**4.57 Determining different application period**

- (1) If the Secretary has decided to determine another application period, the Secretary must consider the following matters in determining the other application period:
  - (a) any conditions relevant to the places that are proposed to be transferred;
  - (b) any concerns about the application expressed by care recipients who receive care through the applicant's aged care service;
  - (c) whether the period:
    - (i) is too short or long to allow for an efficient transition; or
    - (ii) would have an unacceptable effect on the provision of care to care recipients who are proposed to remain with the aged care service; or
    - (iii) will be adequate to allow for the normal processing of the transfer;
  - (d) whether the services that have been provided by the aged care service will continue to operate until all care recipients have been transferred.
- (2) However, the Secretary may also consider any other relevant matters.

**Division 2 Information to be included in an application:  
community care**

**4.58 Purpose of Division (Act, s 16-2)**

This Division specifies additional information to be included in an application for the transfer of places in respect of community care.

**4.59 Additional information to be submitted with application**

- (1) The application must include the following additional information, given by the approved provider applying to transfer the places:
  - (a) if the provider claims to have notified the affected care recipients about the proposed transfer:
    - (i) when they were notified; and
    - (ii) whether the notification was in writing;
  - (b) if the provider claims to have met the affected care recipients to discuss the proposed transfer:
    - (i) when the meeting was held; and
    - (ii) whether there is written evidence of the issues discussed at the meeting; and
    - (iii) whether any concerns about the proposed transfer were expressed to the provider by care recipients and, if so, the measures the

**Section 4.59**

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- provider and proposed transferee propose to take to deal with the concerns;
- (c) whether relatives or legal guardians of the care recipients, legal guardians or other appropriate people connected with the care recipients, have been notified about the proposed transfer;
  - (d) the measures that the provider proposes to take, while transferring the places, to maintain services for the care recipients;
  - (e) the guarantees that the provider proposes to give that the care recipients will not be disadvantaged because of the proposed transfer.
- (2) The application must also include the following information, given by the proposed transferee:
- (a) how the transferee proposes to undertake the responsibilities of an approved provider under Parts 4.1 and 4.2 of the Act;
  - (b) details of the financial viability of the transferee's aged care service, including a detailed business plan showing operational revenue and expenditure;
  - (c) details of other aged care services through which the transferee provides residential care services;
  - (d) details of other aged care services through which the transferee provides community care services, including the target area for the community care services;
  - (e) how the transferee proposes to:
    - (i) protect the rights of individual care recipients; and
    - (ii) ensure the quality of care for care recipients; and
    - (iii) maintain the independence of care recipients; and
    - (iv) ensure that each care recipient is given a planned, coordinated package of care services designed to meet the recipient's needs; and
    - (v) provide ongoing assessment and review of care needs; and
    - (vi) support the social functioning of care recipients; and
  - (f) a timetable for implementing the provision of care before, during and after the transfer, including details of any suspension or reduction of care;
  - (g) details of the transferee's case management arrangements;
  - (h) how the transferee will ensure continuing consumer consultation and involvement in the provision of care;
  - (i) if the transfer will extend the transferee's existing service structure — how the transferee will integrate existing and new services;
  - (j) details of relationships between the transferee's aged care service and community organisations in the region concerned.
- (3) The last audited company statements of the proposed transferee's aged care services (if any) must be provided with the application.

**Section 4.60**

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**Division 3 Information to be included in an application:  
other care**

**4.60 Purpose of Division (Act, s 16-2)**

This Division specifies additional information to be included in an application for the transfer of places in respect of care, other than community care.

**4.61 Additional information to be submitted with application**

- (1) The application must include the following additional information, given by the approved provider applying to transfer the places:
  - (a) if the provider claims to have notified the affected care recipients about the proposed transfer:
    - (i) when they were notified; and
    - (ii) whether the notification was in writing;
  - (b) if the provider claims to have met the affected care recipients to discuss the proposed transfer:
    - (i) when the meeting was held; and
    - (ii) whether there is written evidence of the issues discussed at the meeting; and
    - (iii) whether any concerns about the proposed transfer were expressed to the provider by care recipients, and, if so, the measures the provider and proposed transferee propose to take to deal with the concerns;
  - (c) whether relatives or legal guardians of the care recipients, or other appropriate people connected with the care recipients, have been notified about the proposed transfer;
  - (d) for care recipients who have indicated that they do not want to move to the aged care service to which the places are proposed to be transferred — the measures that the provider proposes to take to help the care recipients find suitable alternative care and accommodation of their choice;
  - (e) the measures that the provider proposes to take, while transferring the places, to maintain services for the care recipients;
  - (f) for a relocation of places — the way in which the provider proposes to help the care recipients move (with their personal possessions);
  - (g) the guarantees that the provider proposes to give that the care recipients will not be disadvantaged because of the proposed transfer;
  - (h) the measures that the provider proposes to take to settle the accounts of the care recipients, and refund their accommodation bond balances, before the time mentioned in subsection 57-21 (3) of the Act.
- (2) The application must also include the following information, given by the proposed transferee:

**Section 4.61**

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- (a) how the transferee proposes to undertake the responsibilities of an approved provider under Parts 4.1 and 4.2 of the Act;
- (b) what the transferee proposes to do to ensure the service is financially viable;
- (c) details of other aged care services through which the transferee provides residential care services;
- (d) details of other aged care services through which the transferee provides community care services, including the target area for the community care services;
- (e) how the transferee proposes to:
  - (i) protect the rights of individual care recipients; and
  - (ii) ensure the quality of care for care recipients; and
  - (iii) maintain the independence of care recipients; and
  - (iv) provide continuing assessment services and evaluation programs for care recipients; and
  - (v) support the social functioning of care recipients, including maintaining contact with family, friends and the community; and
  - (vi) provide accommodation and care that meet the needs of individual care recipients; and
  - (vii) provide accommodation and care for care recipients with special needs; and
  - (viii) provide a non-institutional environment in which care recipients will be encouraged to keep personal possessions; and
  - (ix) provide varying levels of care relevant to the needs of individual care recipients; and
  - (x) decide criteria for admission to the proposed aged care service (for example, whether the transferee would only admit people from a particular area);
- (f) if the transferee proposes to construct or develop premises to accommodate the transferred places:
  - (i) a description of the project; and
  - (ii) an estimate of the total cost and the means by which the transferee proposes to meet that cost; and
  - (iii) a detailed description of the site, including size, suitability, topography and any heritage issues; and
  - (iv) the ownership arrangements of the proposed site; and
  - (v) how the land around the site is being used; and
  - (vi) whether there are any proposals before an authority in the State concerned about the use of the site (for example, proposals to rezone the site); and
  - (vii) the characteristics of the neighbourhood of the site, including location of shops, and the availability of public transport and community services; and
  - (viii) a detailed timetable for calling tenders, planning and construction and development of the service, the factors likely to affect the

**Section 4.62**

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- achievement of the timetable, and an indication of the transferee's ability to meet the timetable; and
- (ix) how the transferee intends to comply with any existing conditions of allocation and any conditions that are varied as part of the application to transfer the places.
- (3) The last audited company statements of the proposed transferee's aged care services (if any) must be provided with the application.

**Division 4                      Consideration of whether transfer justified**

**4.62            Purpose of Division (Act, s 16-4)**

This Division sets out additional matters that the Secretary must consider in deciding whether the transfer of a place is justified in the circumstances.

**4.63            Additional matters**

- (1) The Secretary must consider the effect of the proposed transfer on the current and future care recipients in:
- (a) the region from which the places will be transferred if the application is approved; and
- (b) the region to which the places will be transferred if the application is approved.
- (2) In considering the effect of the proposed transfer on the current and future care recipients, the Secretary must take into account:
- (a) the extent to which the provision of aged care in the region to which the places are transferred will benefit as a result of the transfer; and
- (b) the extent to which the provision of aged care in the region from which the places are transferred will be adversely affected as a result of the transfer; and
- (c) whether the transfer would increase or lessen the diversity of choice available to care recipients in the regions, having regard to the different kinds of services available in the region; and
- (d) whether the transfer will increase the likelihood of care recipients receiving continuity of care in a region; and
- (e) any concerns about the transfer expressed by care recipients who are provided care through the applicant's aged care service; and
- (f) any issue raised by the transferor or transferee in the application to transfer places; and
- (g) if, after the transfer, the places would relate to the same aged care service:
- (i) the suitability of the premises being used by the transferor, and proposed to be used by the transferee, to provide care through the aged care service, in particular whether the premises would meet



the Accreditation Standards or the criteria for certification under the Act; and

- (ii) for a transferee who owns the premises being used by the transferor, and proposed to be used by the transferee, to provide care through the aged care service and the premises would not meet the Accreditation Standards or the criteria for certification under the Act — the failure of the transferee to have improved the premises.

- (3) However, the Secretary may consider any other relevant matter.

*Example for paragraphs (2) (a) and (b)*

The Secretary may consider whether the transfer would affect the provision, in the regions, of aged care services that meet particular needs, including the provision of respite care services, services for those affected by dementia, ageing in place services and services for couples with differing care needs.

The Secretary may also consider the effect of the transfer on the quality of services provided in the regions and, in the case of community care places, whether there will be an effect on the hours of care available, and the days on which it will be provided.

*Example for paragraph (2) (c)*

In considering choice, kinds of services available in the region may include ‘extra service’ services, ageing in place services, service for those affected by dementia, or services for care recipients belonging to ethnic or indigenous communities.

*Example for paragraph (2) (d)*

The Secretary may take into account whether the service has demonstrated its long-term financial and organisational viability.

The Secretary may also take into account whether the application is in respect of places in a region which, at the time of consideration, has a low proportion of certified services.

## **Division 5                      Information to be given to transferee**

### **4.64                      Purpose of Division (Act, s 16-9)**

This Division specifies information that may be given to the transferee and a time for giving the information.

### **4.65                      Information to be given to transferee**

The Secretary may give the transferee information about the following matters:

- (a) the types of subsidies paid under Chapter 3 of the Act to the transferor for the aged care service in which places being transferred are included;
- (b) the likely future adjustments to the payments;
- (c) for residential care places — the amount of respite care (if any) to be provided by the transferor’s aged care service;
- (d) if the aged care service in which the places being transferred are included is a residential care service:
  - (i) matters relating to the certification of the aged care service; and

### Section 4.66

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- (ii) matters relating to whether the aged care service meets its accreditation requirement;
  - (e) matters relating to the residential care grants or community care grants (if any) made in respect of that aged care service;
  - (f) matters relating to any grants under the *Aged or Disabled Persons Care Act 1954*, or Part VAB of the *National Health Act 1953*, that have been made in respect of that aged care service;
  - (g) compliance by the transferor with the transferor's responsibilities under Chapter 4 of the Act in relation to that aged care service, including any action that has been taken or is proposed to be taken, under Part 4.4, in respect to that aged care service;
  - (h) for care recipients who are receiving residential care from the transferor's aged care service:
    - (i) their current classification levels of care (if applicable);
    - (ii) their classification histories;
    - (iii) their financial status;
  - (i) the conditions to which the places being transferred are subject;
  - (j) any other matters about the transferor's aged care service of which the Secretary considers the transferee should be informed.
- (2) However, the Secretary may not give the transferee information that would, or would be likely to, disclose the identity of any care recipient.

#### 4.66 When information is to be given

- (1) The Secretary should give the information to the transferee at least 28 days before the transfer day.

*Note* The transfer day is the day when the transfer of an allocated place from one person to another takes effect. The day is set under section 16-7 of the Act.

- (2) However, if the transferor asks the Secretary, in writing, to give the information to the transferee within 28 days after making the request, the Secretary should comply with the request.

## Division 6 Records to be given to transferee

### 4.66A Purpose of Division (Act, s 16-10)

This Division specifies the records to be given by the transferor to the transferee if a transfer is completed.

### 4.66B Records to be given

- (1) The transferor must give to the transferee the records of the name and contact details of each representative of a care recipient who is receiving care in respect of a place being transferred.

- (2) The records may be given in written or electronic form.

**Section 4.66C**

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## **Part 7A                      Transfer of provisionally allocated places**

### **Division 1                  When applications must be made**

#### **4.66C    Purpose of Division (Act, s 16-14)**

This Division sets out the matters that the Secretary must consider in:

- (a) deciding whether to determine another period before a proposed transfer day within which an application to transfer a provisionally allocated place from one person to another must be made; and
- (b) determining another period.

#### **4.66D    Deciding whether to determine different application period — transferee is approved provider**

- (1) The Secretary must consider the following matters in deciding whether to determine another application period:
  - (a) the reasons why the different period has been requested;
  - (b) any conditions relevant to the places that are proposed to be transferred.
- (2) However, the Secretary may also consider any other relevant matter.

#### **4.66E    Determining different application period**

- (1) If the Secretary has decided to determine another application period, the Secretary must consider the following matters in determining the other application period:
  - (a) any conditions relevant to the places that are proposed to be transferred;
  - (b) whether the period:
    - (i) is too short or long to allow for an efficient transition; or
    - (ii) will be adequate to allow for the normal processing of the transfer.
- (2) However, the Secretary may also consider any other relevant matters.

## **Division 2                      Information to be included in application**

### **4.66F    Purpose of Division (Act, s 16-14)**

This Division specifies additional information to be included in an application for the transfer of provisionally allocated places.

### **4.66G    Additional information to be submitted with application**

- (1) The application by an approved provider applying to transfer provisionally allocated places must include the following additional information:
  - (a) why the approved provider:
    - (i) has not been able to apply to the Secretary to have the provisional allocations take effect under section 15-1 of the Act; and
    - (ii) seeks to have the provisional allocations transferred;
  - (b) the exceptional circumstances that the transferor considers will justify the transfer in meeting the needs of the aged care community in the region for which the places were provisionally allocated.
- (2) The application must also include the following information, given by the proposed transferee:
  - (a) how the transferee proposes to undertake the responsibilities of an approved provider under Parts 4.1 and 4.2 of the Act;
  - (b) what the transferee proposes to do to ensure the service is financially viable;
  - (c) details of other aged care services through which the transferee provides residential care services;
  - (d) details of other aged care services through which the transferee provides community care services, including the target area for the community care services;
  - (e) how the transferee proposes:
    - (i) to protect the rights of individual care recipients; and
    - (ii) to ensure the quality of care for care recipients; and
    - (iii) to maintain the independence of care recipients; and
    - (iv) to provide continuing assessment services and evaluation programs for care recipients; and
    - (v) to support the social functioning of care recipients, including maintaining contact with family, friends and the community; and
    - (vi) to provide accommodation and care that meet the needs of individual care recipients; and
    - (vii) to provide accommodation and care for care recipients with special needs; and
    - (viii) to provide a non-institutional environment in which care recipients will be encouraged to keep personal possessions; and

**Section 4.66H**

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- (ix) to provide varying levels of care relevant to the needs of individual care recipients; and
- (x) to decide criteria for admission to the proposed aged care service (for example, whether the transferee would admit people only from a particular area);
- (f) if the transferee proposes to complete construction or development of premises where the places are located:
  - (i) a description of the project; and
  - (ii) an estimate of the total cost and the means by which the transferee proposes to meet that cost; and
  - (iii) a detailed timetable for the project, the factors likely to affect the achievement of the timetable, and an indication of the transferee's ability to meet the timetable; and
  - (iv) the ownership arrangements of the proposed site and premises; and
  - (v) how the land around the site is being used; and
  - (vi) whether there are any proposals before an authority in the State or Territory concerned about the use of the site; and
  - (vii) how the transferee intends to ensure that the places become operational in a timely manner; and
  - (viii) how the transferee intends to comply with any existing conditions of allocation and any conditions that are varied as part of the application to transfer the places.
- (3) The last audited company statements of the proposed transferee's aged care services (if any) must be provided with the application.

**Division 3                      Consideration of whether transfer justified**

**4.66H    Purpose of Division (Act, s 16-16)**

This Division sets out additional matters that the Secretary must consider in deciding whether the transfer of a place is justified in the circumstances.

**4.66I    Additional matters**

- (1) The Secretary must consider the following:
  - (a) the effect of the proposed transfer on the need for the provision of residential care by the transferee in the region, and whether the residential care needs of the region have changed since the original allocation of the provisional allocations;
  - (b) how far the service development has progressed;
  - (c) the capacity of the transferee to complete the service so that the transferee will be able to apply to the Secretary to have the provisional allocations take effect under section 15-1 of the Act;

- (d) the extent to which the care needs of the region are better met by the transfer of the provisional allocations to the transferee than by not allowing the transfer.
- (2) In considering the effect of the proposed transfer on future care recipients, the Secretary must take into account:
- (a) whether the transfer would increase or lessen the diversity of choice available to care recipients in the region, having regard to the different kinds of services available in the region; and
  - (b) whether the transfer will increase the likelihood of care recipients receiving continuity of care in a region; and
  - (c) any issue raised by the transferor or transferee in the application to transfer places; and
  - (d) if, after the transfer, the places would relate to the same aged care service:
    - (i) the suitability of the premises being used by the transferor, and proposed to be used by the transferee, to provide care through the aged care service, in particular whether the premises would meet the Accreditation Standards or the criteria for certification under the Act; and
    - (ii) for a transferee who owns the premises being used by the transferor, and proposed to be used by the transferee, to provide care through the aged care service and the premises would not meet the Accreditation Standards or the criteria for certification under the Act — the failure of the transferee to have improved the premises.

*Example for paragraph (2) (a)*

In considering choice, kinds of services available in the region may include the following:

- (a) 'extra service' services;
- (b) ageing in place services;
- (c) service for those affected by dementia;
- (d) services for care recipients belonging to ethnic or indigenous communities.

*Example for paragraph (2) (b)*

The Secretary may take into account whether the service has demonstrated its long-term financial and organisational viability.

The Secretary may also take into account whether the application is for places in a region that, at the time of consideration, has a low proportion of certified services.

*Note* The Secretary must not approve the transfer if the location for which the place is provisionally allocated will change as a result of the transfer (see paragraph 16-13 (2) (e) of the Act).

- (3) However, the Secretary may consider any other relevant matter.

**Section 4.4.66J**

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## **Division 4                      Information to be given to transferee**

### **4.4.66J Purpose of Division (Act, s 16-21)**

This Division specifies information that may be given to the transferee and a time for giving the information.

### **4.66K Information to be given to transferee**

The Secretary may give the transferee information about the following matters:

- (a) the amount of respite care (if any) to be provided by the transferor's aged care service;
- (b) matters relating to the certification of the aged care service;
- (c) matters relating to whether the aged care service meets its accreditation requirement;
- (d) matters relating to the residential care grants (if any) made for the aged care service;
- (e) matters relating to any grants under the *Aged or Disabled Persons Care Act 1954*, or Part VAB of the *National Health Act 1953*, that have been made for that aged care service;
- (f) compliance by the transferor with the transferor's responsibilities under Chapter 4 of the Act in relation to the aged care service, including any action that has been taken or is proposed to be taken, under Part 4.4 of the Act, for that aged care service;
- (g) the conditions to which the places being transferred are subject;
- (h) any other matters about the transferor's aged care service of which the Secretary considers the transferee should be informed.

### **4.66L When information is to be given**

- (1) The Secretary should give the information to the transferee at least 28 days before the transfer day.

*Note* The transfer day is the day when the transfer of an allocated place from one person to another takes effect. The day is set under section 16-7 of the Act.

- (2) However, if the transferor asks the Secretary, in writing, to give the information to the transferee within 28 days after making the request, the Secretary should comply with the request.



## **Part 8                      Variation of conditions for places**

### **Division 1                Information for variation applications**

#### **4.67      Purpose of Division (Act, s 17-2)**

This Division specifies the information to be included in an application for the variation of the conditions of an allocation of places.

#### **4.68      The information**

- (1) The following information must be included in the application:
  - (a) the applicant's name;
  - (b) the aged care service to which the allocation relates, and:
    - (i) for community care places — its business address; and
    - (ii) for other places — its location;
  - (c) the number of places to which the variation relates, and the conditions to which they are subject under Division 14 of the Act;
  - (d) whether any of the places is:
    - (i) an adjusted subsidy place; or
    - (ii) a place included in a residential care service, or a distinct part of a residential care service, that has extra service status; or
    - (iii) a community care place;
  - (e) if the places are residential care places and, after the variation, care provided for the places would be provided at a different location:
    - (i) the address of the new location; and
    - (ii) the proposals for ensuring that care needs are appropriately met for care recipients who are being provided with care in respect of the places;
  - (f) the conditions of the allocation to be varied and the proposed variation;
  - (g) the date of the proposed variation day;
  - (h) if the application is made less than 60 days before the proposed variation day:
    - (i) the date of the determination made under section 15-1 of the Act in relation to the allocation of the places to the applicant; and
    - (ii) the reason why the application has been made less than 60 days before the proposed variation day;
  - (i) the applicant's assessment of the effect of the proposed variation on care recipients.

### Section 4.69

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*Note* Under subsection 15-1 (1) of the Act, an allocation of places to an approved provider takes effect when the Secretary determines that the approved provider is in a position to provide care, in respect of those places, for which subsidy under Chapter 3 of the Act may be paid.

- (2) If the application is an application to change the location of the allocation, and the applicant proposes to construct or develop premises to accommodate the relocated care places at the new location, the following information must also be included in the application:
  - (a) a description of the project; and
  - (b) an estimate of the total cost; and
  - (c) a detailed description of the site, including size, suitability, topography and any heritage issues; and
  - (d) the ownership arrangements of the proposed site; and
  - (e) how the land around the site is being used; and
  - (f) whether there are any proposals before an authority in the State concerned about the use of the site (for example, proposals to rezone the site); and
  - (g) the characteristics of the neighbourhood of the site, including location of shops, and the availability of public transport and community services; and
  - (h) a detailed timetable for calling tenders, planning and construction, and an indication of the applicant's ability to meet the timetable.

## Division 2 Consideration of applications

### 4.69 Purpose of Division (Act, s 17-4)

This Division sets out additional matters that the Secretary must consider in deciding whether the variation of the conditions of an allocation is justified in the circumstances.

### 4.70 Additional matters to be considered

- (1) The Secretary must consider the effect of a proposed change of location on current and future care recipients in:
  - (a) the region from which the places will be transferred if the application is approved; and
  - (b) the region to which the places will be transferred if the application is approved.
- (2) In considering the effect of the proposed variation, the Secretary must take into account:
  - (aa) the extent to which, after the variation, current and future recipients in the region in which the service operates will have access to respite care; and

- (a) the extent to which, after the variation, current and future care recipients in the region in which the service operates will benefit; and
  - (b) whether the variation would increase or lessen the diversity of choice available to current and future care recipients in the region, having regard to the different kinds of services available in the region; and
  - (c) whether the variation will increase the likelihood of current and future care recipients receiving continuity of care in the local area within the region.
- (3) However, the Secretary may also consider any other relevant matter.

*Example for paragraph (2) (a)*

The Secretary may consider whether the variation would affect the provision of aged care services that meet particular needs, including the provision of respite care services, services for those affected by dementia, ageing in place services and services for couples with differing care needs.

The Secretary may also consider the effect of the variation on the quality of services provided in the regions and, in the case of community care places, whether there will be an effect on the hours of care available, and the days on which it will be provided.

*Example for paragraph (2) (b)*

In considering choice, kinds of services available in the region may include 'extra service' services, ageing in place services, service for those affected by dementia, or services for care recipients belonging to ethnic or indigenous communities.

*Example for paragraph (2) (c)*

The Secretary may take into account whether the service has demonstrated its long-term financial and organisational viability.

The Secretary may also take into account whether the application is in respect of places in a region which, at the time of consideration, has a low proportion of certified services.

**Section 4.71**

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## **Part 9 Allocations ceasing to have effect**

### **Division 1 Relinquishing places**

#### **4.71 Purpose of Division (Act, s 18-2)**

This Division specifies the matters that must be dealt with in the proposals of an approved provider for ensuring that care needs are appropriately met for those care recipients (if any) who are being provided with care in respect of residential or community care places to be relinquished by the provider.

*Note* The proposals are required to be included in the notice of relinquishment given to the Secretary.

#### **4.72 The matters — residential care places**

The proposals must deal with the following matters for residential care places:

- (a) if the provider claims to have notified the affected care recipients about the relinquishing of the places:
  - (i) when they were notified; and
  - (ii) whether the notification was in writing;
- (b) if the provider claims to have met the affected care recipients to discuss the relinquishing of the places:
  - (i) when the meeting was held; and
  - (ii) whether there is written evidence of the issues discussed at the meeting; and
  - (iii) whether any concerns about the relinquishing of the places were expressed to the provider by care recipients and, if so, the measures the provider proposes to take to deal with the concerns;
- (c) whether relatives or legal guardians of the care recipients, or other appropriate people connected with the care recipients, have been notified about the relinquishing of the places;
- (d) whether the provider has helped the care recipients find suitable alternative care and accommodation of their choice;
- (e) for care recipients who are not able to choose premises:
  - (i) the measures (if any) that the provider has taken to find suitable care for them at other premises; and
  - (ii) if the provider has taken measures — whether the provider considered all aspects of the accommodation and services that the recipients currently have, and the location of the provider's premises, before taking the measures;

- (f) the measures that the provider proposes to take, while relinquishing the places:
  - (i) to maintain services for the care recipients; and
  - (ii) to provide care services to the care recipients who will stay at the provider's premises;
- (g) the way (if any) in which the provider proposes to help care recipients move (with their personal possessions);
- (h) the guarantees that the provider gives that the care recipients will not be disadvantaged, or discriminated against, before they move to new premises;
- (i) for care recipients who will be disadvantaged before they move — whether the approved provider is prepared to offer help to the care recipients that is additional to the current standard of care and other services (for example, giving the care recipient an audited statement of accounts);
- (j) the measures that the provider proposes to take to settle the accounts of the care recipients, and refund their accommodation bond balances, before the time mentioned in subsection 57-21 (3) of the Act.

#### **4.73 The matters — community care places**

The proposals must deal with the following matters for community care places:

- (a) if the provider claims to have notified the affected care recipients about the relinquishing of the places:
  - (i) when they were notified; and
  - (ii) whether the notification was in writing;
- (b) if the provider claims to have met the affected care recipients to discuss the relinquishing of the places:
  - (i) when the meeting was held; and
  - (ii) whether there is written evidence of the issues discussed at the meeting; and
  - (iii) whether any concerns about the relinquishing of the places were expressed to the provider by care recipients and, if so, the measures the provider proposes to take to deal with the concerns;
- (c) whether relatives or legal guardians of the care recipients, or other appropriate people connected with the care recipients, have been notified about the relinquishing of the places;
- (d) whether the provider has helped the care recipients find suitable alternative care;
- (e) the measures that the provider proposes to take, while relinquishing the places, to maintain services for the care recipients;
- (f) the way (if any) in which the provider proposes to help care recipients make alternative care arrangements.

**Section 4.74**

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**Division 2 Relinquishing places: whether care needs appropriately met**

**4.74 Purpose of Division (Act, s 18-3)**

This Division specifies the matters that the Secretary must take into account in deciding whether any proposals, for ensuring that care needs are appropriately met for care recipients who are being provided with residential or community care in respect of places being relinquished, are satisfactory.

**4.75 The matters — residential care places**

- (1) The Secretary must take the following matters into account for residential care places:
  - (a) whether the care recipients have been given sufficient notice, by letters, meetings or otherwise, about the relinquishing of the places and relocating;
  - (b) whether:
    - (i) relatives or legal guardians of the care recipients, or other appropriate people connected with the care recipients, have been notified about the relinquishing of the places and relocating; and
    - (ii) notification may reasonably be expected;
  - (c) whether the approved provider is helping the care recipients find other accommodation and care;
  - (d) whether the approved provider is maintaining the same standard of care and other services for the care recipients before the relocation date;
  - (e) whether the approved provider is offering help to the care recipients that is additional to the current standard of care and other services;
  - (f) whether the approved provider has indicated that financial arrangements for the care recipients may be finalised before the time mentioned in subsection 57-21 (3) of the Act;
  - (g) whether the approved provider has made more extensive proposals than may be warranted that could help the care recipients to relocate;
  - (h) whether the interests of care recipients in their accommodation and care will be protected;
  - (i) whether the care recipients will be unduly disadvantaged financially after relocation;
  - (j) whether the needs and expectations of the care recipients will be satisfied or improved after relocation.
- (2) However, the Secretary may also take other relevant matters into account.

#### **4.76 The matters — community care places**

- (1) The Secretary must take the following matters into account for community care places:
  - (a) whether the care recipients have been given sufficient notice, by letters, meetings or otherwise, about the relinquishing of the places;
  - (b) whether:
    - (i) the relatives or legal guardians of the care recipients, or other appropriate people connected with the care recipients, have been notified about the relinquishing of places; and
    - (ii) notification may reasonably be expected;
  - (c) whether the approved provider is helping the care recipients find another provider;
  - (d) whether the approved provider is maintaining the same standard of care and other services for the care recipients before the proposed relinquishment date;
  - (e) whether the approved provider is offering help to the care recipients that is additional to the current standard of care and other services.
- (2) However, the Secretary may also take any other relevant matter into account.

### **Division 3 Revocation of unused allocations of places**

#### **4.77 Purpose of Division (Act, s 18-5)**

This Division specifies the matters that the Secretary must consider in deciding whether to revoke the allocation of a place.

#### **4.78 The matters**

- (1) The Secretary must consider the following matters:
  - (a) whether the decision not to use the place is temporary, and whether the provider intends to use the place in the near future;
  - (b) why the place has not been used;
  - (c) whether the place can only be operated by the approved provider because of the specialised nature of the provider's service and the place's subsidy type;
  - (d) whether revoking the allocation would have detrimental effects on the community that the place is intended to service;
  - (e) whether revoking the place would unduly affect the provider's economic viability;
  - (f) whether allocating the place to another provider would better serve the interests of the community;

**Section 4.78**

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- (g) whether revoking the place and reallocating it is warranted;
  - (h) whether any conditions of allocation under Division 14 of the Act could be varied to better serve the interests of the community;
  - (i) demographic factors, including temporary movements in population, that may affect the place's viability.
- (2) However, the Secretary may also take any other relevant matter into account.



## Table of Instruments

**Notes to the *Allocation Principles 1997*****Note 1**

The *Allocation Principles 1997* (in force under subsection 96-1 (1) of the *Aged Care Act 1997*) as shown in this compilation are amended as indicated in the Tables below.

**Table of Instruments**

<b>Title</b>	<b>Date of notification in Gazette or FRLI registration</b>	<b>Date of commencement</b>	<b>Application, saving or transitional provisions</b>
<i>Allocation Principles 1997</i>	29 Sept 1997 (see <i>Gazette</i> 1997, No. S380)	1 Oct 1997	
<i>Allocation Principles Amendment (No. 1) 1997</i>	14 Jan 1998 (see <i>Gazette</i> 1998, No. GN2)	1 Oct 1997	—
<i>Allocation Amendment Principles (No. 1) 1998</i>	2 July 1998 (see <i>Gazette</i> 1998, No. S330)	2 July 1998	—
<i>Allocation Amendment Principles 1999 (No. 1)</i>	7 Apr 1999 (see <i>Gazette</i> 1999, No. S149)	7 Apr 1999	—
<i>Allocation Amendment Principles 1999 (No. 2)</i>	11 May 1999 (see <i>Gazette</i> 1999, No. S193)	11 May 1999	—
<i>Allocation Amendment Principles 2001 (No. 1)</i>	19 Feb 2001 (see <i>Gazette</i> 2001, No. S60)	19 Feb 2001	—
<i>Allocation Amendment Principles 2001 (No. 2)</i>	29 May 2001 (see <i>Gazette</i> 2001, No. S190)	29 May 2001	—
<i>Allocation Amendment Principles 2003 (No. 1)</i>	12 Mar 2003 (see <i>Gazette</i> 2003, No. GN10)	12 Mar 2003	—
<i>Allocation Amendment Principles 2005 (No. 1)</i>	23 Dec 2005 (see F2005L04229)	1 Jan 2006	—
<i>Allocation Amendment Principles 2008 (No. 1)</i>	19 Mar 2008 (see F2008L00895)	20 Mar 2008	—
<i>Allocation Amendment Principles 2008 (No. 2)</i>	19 Dec 2008 (see F2008L04691)	1 Jan 2009 (see s. 2)	—

**Table of Amendments****Table of Amendments**

ad. = added or inserted   am. = amended   rep. = repealed   rs. = repealed and substituted

<b>Provision affected</b>	<b>How affected</b>
Note before Part 1 .....	am. No. 2, 2008
<b>Part 2</b>	
S. 4.3 .....	am. No. 1, 1998; No. 1, 2001; No. 1, 2003; No. 2, 2008
Second note to s. 4.3 .....	rs. No. 1, 1998
<b>Part 2A</b>	
Part 2A .....	ad. No. 2, 2001
S. 4.4A .....	ad. No. 2, 2001
S. 4.4B .....	ad. No. 2, 2001 rs. No. 1, 2003
<b>Part 4</b>	
<b>Division 5</b>	
S. 4.17 .....	rs. No. 1, 2003
S. 4.17A .....	ad. No. 1, 2003
S. 4.18 .....	am. No. 1, 2003
<b>Division 6</b>	
S. 4.27 .....	rs. No. 1, 2003
S. 4.28 .....	rep. No. 1, 2003
<b>Part 5</b>	
<b>Division 1</b>	
Div. 1 of Part 5 .....	rs. No. 1, 1999
S. 4.35 .....	rs. No. 1, 1999
S. 4.36 .....	rs. No. 1, 1999
S. 4.37 .....	rs. No. 1, 1999
S. 4.38 .....	rs. Nos. 1 and 2, 1999
S. 4.39 .....	rs. No. 1, 1999
S. 4.40 .....	rs. No. 1, 1999
S. 4.41 .....	am. No. 1, 1997 rep. No. 1, 1999
<b>Division 2</b>	
S. 4.42 .....	am. No. 2, 2008
S. 4.43 .....	am. No. 1, 2008
<b>Division 3</b>	
S. 4.44 .....	am. No. 2, 2008
S. 4.45 .....	am. No. 2, 2008
<b>Part 6</b>	
<b>Division 1</b>	
S. 4.48 .....	am. No. 2, 2008
S. 4.49 .....	am. No. 2, 2008
<b>Part 7</b>	
Heading to Part 7 .....	rs. No. 2, 2008
<b>Division 1A</b>	
Heading to Div 1A .....	rs. No. 2, 2008 of Part 7
S. 4.55A .....	ad. No. 2, 2008

**Table of Amendments****Division 2**

S. 4.58 ..... am. No. 2, 2008

Heading to s. 4.59..... rs. No. 2, 2008

**Division 3**

S. 4.60 ..... am. No. 2, 2008

Heading to s. 4.61..... rs. No. 2, 2008

S. 4.61 ..... am. No. 2, 2008

**Division 4**

S. 4.63 ..... am. No. 1, 1998

rs. No. 1, 1999

am. No. 2, 1999

**Division 6**

Div. 6 of Part 7 ..... ad. No. 1, 2001

S. 4.66A..... ad. No. 1, 2001

S. 4.66B..... ad. No. 1, 2001

**Part 7A**

Part 7A..... ad. No. 2, 2008

**Division 1**

S. 4.66C..... ad. No. 2, 2008

S. 4.66D..... ad. No. 2, 2008

S. 4.66E..... ad. No. 2, 2008

**Division 2**

S. 4.66F..... ad. No. 2, 2008

S. 4.66G..... ad. No. 2, 2008

**Division 3**

S. 4.66H..... ad. No. 2, 2008

S. 4.66I..... ad. No. 2, 2008

**Division 4**

S. 4.66J..... ad. No. 2, 2008

S. 4.66K..... ad. No. 2, 2008

S. 4.66L..... ad. No. 2, 2008

**Part 8****Division 2**

Div. 2 of Part 8 ..... rs. No. 1, 1999

S. 4.69 ..... rs. No. 1, 1999

S. 4.70 ..... rs. No. 1, 1999

am. No. 2, 1999; No. 1, 2005