

**Commonwealth of Australia**  
***Higher Education Support Act 2003***  
**OTHER GRANTS GUIDELINES (EDUCATION) 2010**

I, JULIA GILLARD, Minister for Education, make these Other Grants Guidelines (Education) 2008 under section 238-10 of the *Higher Education Support Act 2003*.

Dated                      XX February                      2010.

signed

---

JULIA GILLARD  
Minister for Education

## **1 CITATION**

These Guidelines may be cited as the Other Grants Guidelines (Education) 2010.

## **2 AUTHORITY**

These Guidelines are made under section 238-10 of the *Higher Education Support Act 2003* for the purposes of Part 2-3 of the Act.

## **3 DATE OF EFFECT**

These Guidelines take effect on the day after the day on which they are registered on the Federal Register of Legislative Instruments.

## **4 REVOCATION**

The Other Grants Guidelines (Education) 2008, dated 11 November 2008 and all subsequent amendments are revoked.

## **5 TRANSITIONAL ARRANGEMENTS**

(1) The revocation of the Other Grants Guidelines (Education) 2008, dated 11 November 2008, does not affect the validity of a payment or decision made under those guidelines.

(2) A decision made under those guidelines is taken to continue to have effect as if it were made under these Guidelines.

## CHAPTER i INTRODUCTION

### i.i Purpose

The purpose of these Guidelines is to provide for Other Grants under Part 2-3 of the *Higher Education Support Act 2003* (the Act).

### i.ii Interpretation

Unless the contrary intention appears, the terms within the Other Grants Guidelines (Education) 2008 have the same meaning as in the Act.

The following terms are defined specifically for these Guidelines:

|                       |   |
|-----------------------|---|
| <i>the Act</i>        | means the <i>Higher Education Support Act 2003</i>  |
| <i>AMC institute</i>  | has the same meaning as in the <i>Maritime Legislation Amendment Act 2007</i>   |
| Australian resident   | means students with a permanent home address in Australia who are an Australian citizen, a New Zealand citizen or a student with an Australian permanent visa.  |
| <i>the Department</i> | means the Australian Government Department of Education, Employment and Workplace Relations   |
| <i>provider</i>       | is a Higher Education Provider as listed in Table A of the Act  |
| <i>HESDC</i>          | Higher Education Student Data Collection  |
| <i>ISP</i>            | Indigenous Support Program  |
| <i>Participation</i>  | In respect of the programs in Chapter 1, participation means total Australian resident undergraduate student enrolments. The indicator used to measure participation is the number of total Australian resident undergraduate students. |

|                   |   |
|-------------------|---|
| <i>Retention</i>  | <p>In respect of the programs in Chapter 1, the indicator used to measure retention is the Apparent Retention Ratio (ARR). The Apparent Retention Ratio is the ratio between the retention rate for a particular sub-group of Australian resident undergraduate students and retention rate of all other Australian resident undergraduates. Retention rate means the number of Australian resident undergraduate students who re-enrol at a higher education provider in a given year, as a proportion of all Australian resident undergraduate students enrolled in the previous year, less those who completed their course. It does not count as retained those who deferred study or transferred successfully to another institution. The Retention indicator in subparagraphs 1.90.5 refers to the ARR for Australian resident undergraduates from low socio-economic backgrounds to the ARR for undergraduates from medium to high socio-economic backgrounds.</p> |
| <i>Completion</i> | <p>In respect of the programs in Chapter 1, the indicator used to measure completion is the completion ratio (CR). The completion ratio is the ratio between the completion rate for a particular sub-group of Australian resident undergraduate students and completion rate of all other Australian resident undergraduates. The completion rate means the number of Australian resident undergraduate students who complete their course of study at a higher education provider in a given year, as a proportion of all Australian resident undergraduate students enrolled in the previous year. The Completion indicator in subparagraphs 1.90.5 refers to the ratio of the CR for Australian resident undergraduate students from low socio-economic backgrounds to the CR for undergraduates from medium to high socio-economic backgrounds.</p>  |
| <i>Success</i>    | <p>In respect of the programs in Chapter 1, the indicator used to measure success is the the student success ratio (SSR). The student success ratio is the ratio between the student success rate for a particular sub-group of Australian resident undergraduate students and the student success rate of all other Australian resident undergraduates. The student success rate means the proportion of units passed within a year compared with the total units enrolled. The Success indicator in subparagraphs 1.90.5 refers to the ratio of the SSR for Australian resident undergraduate students from low socio-economic backgrounds to the SSR for Australian resident undergraduates from medium to high socio-economic backgrounds.</p>  |

*Undergraduate* In respect of the programs in Chapter 1, undergraduate students are those higher education students who undertake undergraduate courses which include Bachelor, Associate Degree, Advanced Diploma, Diploma and Associate Diploma courses.

### **i.iii Freedom of Information**

The *Freedom of Information Act 1982* (FOI Act) extends as far as possible the right of the Australian community to access information in the possession of the Government of the Commonwealth subject to certain exceptions and exemptions necessary for the protection of the essential public interests and the private and business affairs of those of whom the information is collected.

All documents held or created by the Department with regard to the Other Grants Guidelines (Education) 2008 are subject to the FOI Act. Unless a document falls under an exemption provision, it will be made available to the general public if requested under the FOI Act.

All Freedom of Information (FOI) requests are to be referred immediately to the FOI Coordinator in the Administrative Law Branch, Legal, Investigations and Procurement Group (LIPG), in National Office of the Department. Decisions regarding requests for access will be made by the authorised officer in accordance with the requirements of the FOI Act.

It is very important that FOI requests are forwarded immediately on receipt by the Department, as there are strict statutory timelines that apply to FOI requests.

A good overview of the Department's FOI policy can be found at:  
<http://www.deewr.gov.au/deewr/About/FreedomofInformation.htm>.

## **CHAPTER 1 GRANTS TO PROMOTE EQUALITY OF OPPORTUNITY IN HIGHER EDUCATION**

### **INTRODUCTION**

#### **1.1 Purpose**

1.1.1 The purpose of this chapter is to specify programs in accordance with subsection 41-15(1) of the Act for the purpose of promoting equality of opportunity in higher education in accordance with item 1 of the table in subsection 41-10(1) of the Act, and to specify matters listed in subsection 41-15(2) of the Act.

#### **1.5 Description of programs under this chapter**

1.5.1 Programs in this chapter aim to assist with overcoming barriers to *access and participation* by Australian resident undergraduate students from low socio-economic status (SES) backgrounds in higher education. Such students include, but are not limited to, low SES Indigenous students, low SES students with a disability, and low SES students from a non-English speaking background.

#### **1.10 Eligible providers**

1.10.1 In accordance with section 41-10 of the Act, higher education providers listed in Table A of the Act are eligible to receive grants under the equity programs specified in this chapter subject to any extra conditions of eligibility specified under this chapter.

### **INDIGENOUS SUPPORT PROGRAM**

*There are no changes to the Indigenous support Program*

### **HIGHER EDUCATION PARTICIPATION AND PARTNERSHIPS PROGRAM**

#### **1.40 Program objectives**

1.40.1 The Higher Education Participation and Partnerships Program (HEPPP) provides funding to eligible higher education providers to undertake activities and implement strategies that assist in improving access for Australian resident undergraduate students from low SES backgrounds and that promote equality of opportunity in higher education.

The HEPPP aims to assist eligible providers in meeting the ambition that 20 per cent of Australian resident undergraduate students are from low SES backgrounds by 2020.

In particular, the HEPPP aims to encourage Australian resident undergraduate students from low SES backgrounds to access and participate in higher education and to improve their retention and completion at eligible providers.

1.40.5 The Program has two components:

(a) Component A – the “Participation Component,” and

(b) Component B – the “Partnership Component.”

1.40.10 Funds are to be expended on initiatives which target current and prospective Australian resident undergraduate students from low SES backgrounds on the priorities set out for specific components of the Program in paragraphs 1.55 and 1.70 of these Guidelines as appropriate. Higher education providers should tailor their programs to address the specific disadvantage, as appropriate to the demographics of their low SES student population and applicants.

1.40.15 Funds are not to be spent on infrastructure, which includes all buildings, fixtures, roads, pathways and modifications thereof, and generic facilities and services and transportation assets that are integral to the provision of education for all students.

#### **1.45 Total Program funds**

1.45.1 The total amount of funds available for allocation under the HEPPP in any particular year is referred to as the “**Allocation**”.

1.45.5 The Allocation will, in the years specified below, be:

**2010:** \$56,396,818

**2011:** \$111,515,652

**2012:** \$168,420,623

**2013:** \$168,582,634

Note: these allocation amounts are subject to indexation adjustment using the method of indexation set out in Division 198 Part 5-6 of the *Higher Education Support Act 2003* as in force. Funding is also subject to Parliamentary approval and may be varied accordingly.

#### **1.50 Distribution of Program funds**

1.50.1 In each calendar **year**, the Allocation will be available for:

- (a) meeting existing funding commitments consistent with program objectives outlined in these Guidelines, including those made under the previous Higher Education Equity Support Program;
  - (b) grants in response to proposals invited by the Minister;
  - (c) distribution to eligible providers under the formula at paragraph 1.55 of these Guidelines for Component A (the Participation Component) and
  - (d) distribution to eligible providers under the formula and terms and conditions set out in paragraphs 1.70 of these Guidelines; the "Partnership Component".
- 1.50.10 Grants will be made only in response to proposals that are consistent with the objectives of the HEPPP.
- 1.50.15 Grants may be made in respect of a project or in respect of a year.
- 1.50.20 The total funds available for the Participation and Partnership Components in any year shall be as specified in this paragraph, less any payments made under paragraph 1.50.1 (a) or (b) for the specified year:
- |              |                              |                           |
|--------------|------------------------------|---------------------------|
| <b>2010:</b> | Participation: \$42,297,613  | Partnership: \$14,099,204 |
| <b>2011:</b> | Participation: \$83,636,739  | Partnership: \$27,878,913 |
| <b>2012:</b> | Participation: \$126,315,468 | Partnership: \$42,105,156 |
| <b>2013:</b> | Participation: \$126,436,975 | Partnership: \$42,145,658 |
- 1.50.25 Grants under paragraph 1.50.1(b) will be subject to the Minister's approval (under section 41-20 of the Act), and the Minister's determination in writing of:
- (a) the amount of the grant (under section 41-30 of the Act); and
  - (b) any conditions on which the grant is made (under subparagraph 41-25 (b)(i) of the Act), in addition to the condition specified in subparagraph 41-25(b)(ii) of the Act.
- 1.50.30 Grants made under the HEPPP are in respect of a calendar year.
- 1.55 Component A - Participation Objectives**
- 1.55.1 The objective of the Participation Component of the HEPPP is to increase the participation of current and prospective Australian resident undergraduate students from low SES backgrounds in higher education leading towards a recognised qualification of Bachelor or above.

1.55.5 Under this Component, eligible providers receive funds based on their respective share of the relative measure of Australian resident undergraduate students from low SES backgrounds. This includes, but is not limited to, low SES students who are Indigenous, from regional and remote areas, students with a disability and non-English speaking backgrounds (NESB).

1.55.6 For this component, the relative measure of Australian resident undergraduate students from low SES backgrounds at a higher education provider is derived using the following formula:

1.55.7 Relative measure of undergraduates from Low SES backgrounds =  $(2 \times A + B) / 3$

Where:

**A** is the total number of Australian resident undergraduate students from low SES backgrounds enrolled at an eligible higher education provider who have home addresses in the lowest quartile of the SEIFA Education and Occupation Index based on the measurement of low SES

**B** is the total number of recipients of recipients of the following payments: Dependant Youth Allowance (full-time students); ABSTUDY (Living Allowance) as a dependent; Pensioner Education Supplement; ABSTUDY Pensioner Education Supplement; and ABSTUDY Away from base assistance.

1.55.10 The funds are designed to provide:

- (a) an incentive for providers to expand their enrolments of Australian resident undergraduate students from low SES backgrounds, and
- (b) the support needed to improve the completion and retention of such students.

## **1.60 Formula for distribution of Component A - Participation Funds**

1.60.1 In any year the amount of funds specified for Participation funding that year in paragraph 1.50.20, less any payments made under paragraph 1.50.1 (a) or (b) for that year, shall be available for distribution to eligible providers using the following formula:

$$\text{Funding} = (A / B) \times C$$

- Where:
- A** is the relative measure of Australian resident undergraduate students from low SES backgrounds enrolled at an eligible higher education provider
  - B** is the total of the relative measures of Australian resident undergraduate students from low SES backgrounds enrolled over all eligible providers.
  - C** is the Participation funding in that year remaining after grants are made under paragraph 1.50.1 (a) and 1.50.1 (b) of these Guidelines.

## **1.65 Eligibility to receive Participation Funds**

1.65 *A provider must be an eligible Table A provider under the Higher Education Support Act 2003.*

1.65.1 Activities that a *provider* may undertake, can include, but is not limited the following:

- (a) develop and implement appropriate support services and programs for Australian resident undergraduate students from low SES backgrounds enrolled within their institution, including but not limited to:
  - (i) inclusive entry processes;
  - (ii) transition programs to support cultural issues of assimilation and for regional and remote Australian resident undergraduate low SES students;
  - (iii) academic preparation;
  - (iv) mentoring and peer support;
  - (v) education programs for parents of students who are first in family to access higher education;
  - (vi) tutoring and continued academic support; and
  - (vii) monitoring of student progress.
- (b) develop and implement partnership activities for the purpose of encouraging the aspirations of people from low SES backgrounds to access higher education;
- (c) administer application and selection processes for Commonwealth Scholarships in accordance with the Commonwealth Scholarship Guidelines;

- (d) continue to offer institutional equity scholarships.

## **1.70 Component B – Partnership Objectives**

1.70.1 The objectives of Component B - Partnership are to increase the aspirations of low SES people to access and participate in higher education through effective outreach and related activities with schools, VET providers, community groups and other stakeholders. Partnership activities for such people are intended to:

- (a) assist in understanding and consideration of university as a viable option for them to undertake;
- (b) assist achievement at school or via an alternative pathway in order to be capable of being considered by a *provider* for admission; and
- (c) encourage a increase in proportion of low SES students who apply for attendance at a *provider*.

Partnership activities for the *provider* are intended to:

- (a) concentrate resources to most effectively raise aspirations to higher education among students experiencing educational disadvantage therefore widening and deepening the effective equity footprint to school communities where aspirations to enter higher education are lowest and where articulation to universities is poorest; and
- (b) supporting collaboration between providers to ensure that there is a coordinated approach to identifying and engaging with appropriate schools and communities; and to ensure that those schools and communities most in need are the ones that benefit from involvement in relevant programs.

## **1.75 Method for distributing Component B - Partnership Funds 2010**

1.75.1 The amount of funds specified for Partnership Component funding for a year in paragraph 1.50.20, less any payments made under paragraph 1.50.1 (a) or (b) for that year, shall be available for distribution to eligible providers on the following basis:

- (a) For the year 2010: Funds available shall be divided in equal shares between eligible providers based on the following formula:

$$\text{Funding} = (A / B) = C$$

- Where:
- A** is the total funds available
  - B** is the number of eligible providers
  - C** is the share allocated to each eligible provider

- (b) For the year 2011 *providers* will receive a base amount allocated in 2010 with the remainder of funds available to be distributed on the basis set out in paragraph 1.80.
- (c) For the year 2012 eligible *providers* will receive a base amount of \$250,000 with the remainder of funds available to be distributed on the basis set out in paragraph 1.80.
- (d) For the year 2013 eligible *providers* will receive a base amount allocated in 2012 with the remainder of funds available to be distributed on the basis set out in paragraph 1.70.5

**1.80 Method for distributing Component B - Partnership Funds 2011 – 2013**

- 1.80.1 From 2011 Partnership Component funds not already distributed in accordance with paragraph 1.75.1 shall be available to be distributed through individual grants to *providers* in response to proposals invited by the Department. Proposals may be invited by the Department prior to 2011.
- 1.80.5 Grants will be made only in response to proposals that are consistent with the aims of the program as set out in subparagraph 1.40.1 and 1.40.5 of these Guidelines and address the Partnership Component's priorities as set out in paragraph 1.70.1.
- 1.80.10 Grants may be made in respect of a project or in respect of a year.
- 1.80.15 Grants will be subject to the Minister's approval (under section 41-20 of the Act), and the Minister's determination in writing of:
  - (a) the amount of the grant (under paragraph 41-30(b) of the Act); and
  - (b) any conditions on which the grant is made (under subparagraph 41-25(b)(i) of the Act), in addition to the condition specified in subparagraph 41-25(b)(ii) of the Act.
- 1.80.20 Proposals must be submitted to the Department on the specified application form.
- 1.80.25 *Providers* that have met the eligibility requirements set out in paragraph 1.65 shall be eligible to apply for Grants under this paragraph.
- 1.80.30 Additional information on Proposals under this paragraph:
  - (a) There is no requirement that the Department must approve all proposals which meet the requirements of paragraph 1.70.5;
  - (b) Proposals may be approved in whole or in part, at the discretion of the Department;

- (c) The Department shall endeavour to approve those proposals which it considers are overall most suited to fulfilling the goals of the HEPPP;
- (d) The Department may attach such conditions, benchmarks and reporting requirements to approved proposals as it thinks appropriate to best fulfilling the goals of the HEPPP.

1.85 **Eligibility to receive Partnership funding**

1.85.1 *Providers* will need to conduct partnership activities that address the following principles:

- (a) **Collaboration.** *Providers* are expected to collaborate with other key stakeholders including at the local, regional and state/territory levels. This includes working together and partnerships at the level of program design and implementation (school staff, community groups, other universities etc) and in terms of engaging student communities through programs, rather than targeting individuals.
- (b) **Early intervention.** Early intervention means a program and /or activities that commence prior to Year 9 in order to maximise the impact of increasing aspirations.
- (c) **Continuing Engagement.** As students progress through school they are continuously engaged and supported by providers with appropriate and relevant activities.
- (d) **Awareness.** *Providers* are to ensure that students' awareness and confidence of how to access higher education are managed in a positive manner.
- (e) **Evidence based.** *Providers* will be required as part of their partnership programs to develop mechanisms that measure and track outcomes based on evidence.
- (f) **Integrated and multi-layered.** The activities should meet the needs of the different student groups and are complementary to other programs and activities which are being conducted.

## **1.90 Eligibility to receive distribution of Component B - Partnership Funds**

- 1.90.1 To be eligible to receive pre determined shares of Partnership Component funds in any one year under paragraph 1.70 *providers* must provide a report to the satisfaction of the Department that they will undertake in that calendar year activities which are consistent with the aims of the HEPPP as set out in subparagraph 1.40.1 and 1.40.5 of these Guidelines and the priorities of the Partnership Component. *Providers* must also have been assessed as eligible to receive a distribution of Participation Component funds under paragraph 1.70. The *providers'* report for the purpose of this paragraph shall be the same as the report for the purposes of paragraph 1.90 for eligibility for the Participation Component but can be assessed separately for eligibility for funding under each Component.
- 1.90.5 *Providers* applying for Grants under paragraph 1.75.1 should meet the same eligibility criteria as for paragraph 1.85 to be eligible to apply for and receive a Grant. However any Proposal under that section will be assessed in accordance with these Guidelines and eligibility to apply and receive funds does not guarantee approval of the Proposal.

## **1.95 Reporting**

- 1.95.1 *Providers* are to report to the Department by 31 October 2010 on outcomes achieved in that calendar year on Component A and Component B. The report will be in a format to be specified by the Department.
- 1.95.1 For Component A, *providers* will be required to report on activities undertaken and engagement and support strategies including alternative pathways to university for students.
- 1.95.5 The Department will include the progression of targeted low SES students by year in terms of participation, retention, completion and success rates from commencing at university as part of assessing outcomes.
- 1.95.10 For Component B, *providers* will be required to report on:
- (a) How many and what schools are subject to partnership activities;
  - (b) How many secondary school students by year are participating in partnership activities;
  - (c) What is the equity distribution of the students (i.e. low SES metropolitan, low SES regional and remote, and low SES Indigenous)
  - (d) The progression of secondary school students as they advance from their commencing partnership activities to Year 12.
  - (e) How many secondary school students are admitted to university who have been participating in partnership activities.

(f) Other matters that may be required as part of any grant.

1.95.15 As a condition of funding, the Department may require a report estimating the expenditure of HEPPP funds against the criteria in paragraph 1.65.