

Australia-India Cyber and Critical Technology Partnership (AICCTP) – Grants Round 4

Opening date:	25 March 2024
Closing date and time:	17:00 Australian Eastern Standard Time (AEST) (UTC +10:00)/ 12:30 India Standard Time (IST) on 24 May 2024
Commonwealth policy entity:	Department of Foreign Affairs and Trade (DFAT)
Administering entity	Department of Foreign Affairs and Trade
Enquiries:	If you have any questions, contact DFAT’s Cyber Affairs and Critical Technology Branch at aicctp@dfat.gov.au Questions should be sent no later than 17:00 AEDT (UTC +10:00)/ 12:30 India Standard Time (IST) on 19 April 2024.
Date guidelines released:	25 March 2024
Type of grant opportunity:	Open competitive

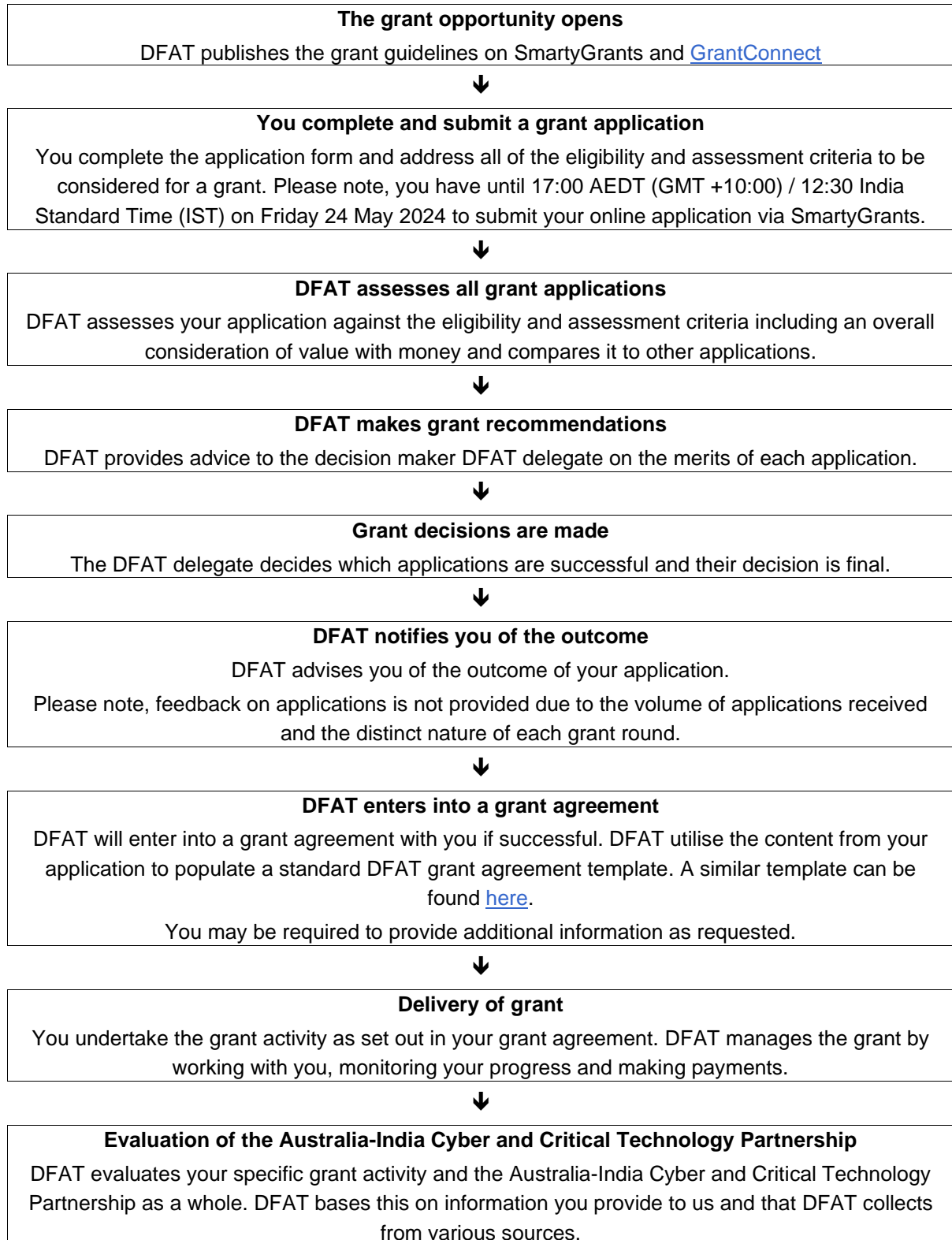
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1. Australia-India Cyber and Critical Technology Partnership – Grants Process

DFAT has worked with stakeholders to plan and design the program according to the [Commonwealth Grants Rules and Guidelines \(CGRGs\)](#). The process map below provides a brief outline of the process.



1 Introduction

These guidelines contain information about the Australia-India Cyber and Critical Technology Partnership's Grant Round 4 opportunity.

You must read these guidelines before filling out an application.

This document sets out:

- the purpose of the grant program/grant opportunity
- the eligibility and assessment criteria
- how grant applications are considered and selected
- how grantees are notified and receive grant payments
- how grantees will be monitored and evaluated
- responsibilities and expectations in relation to the opportunity.

2. About the grant program

The Australia-India Cyber and Critical Technology Partnership (AICCTP) provides funding to support Australia-India collaborations that will help shape a global technology environment that meets Australia and India's shared vision of an open, inclusive, stable and prosperous Indo-Pacific, where the rules-based international order is upheld.

The AICCTP was established in 2020, with the first grant round opening in the same year. There have been three previous AICCTP grant rounds. Further details on previous successful grant projects can be found [online](#).

The AICCTP complements the *Australia-India Framework Arrangement on Cyber and Cyber-Enabled Critical Technology Cooperation*, agreed under the Australia-India Comprehensive Strategic Partnership announced on 4 June 2020.

The AICCTP contributes to the Australian Government's commitment to work with the global community to ensure greater security and prosperity for everyone underpinned by the safe and fair development and use of critical technologies.

DFAT administers the program according to the [Commonwealth Grants Rules and Guidelines \(CGRGs\)](#)¹.

The objectives of the AICCTP are to:

- shape international discourse on cyber and critical technologies, particularly through strengthening understanding of ethical frameworks and supporting research and development of technical standards for emerging and critical technologies;
- deepen institutional linkages between Australian and Indian researchers, businesses, and government on cyber and critical technology issues; and
- support countries in the Indo-Pacific region to improve their cyber resilience or foster best practices in critical technology development.

The intended outcomes of the program are:

- improve ethical standards and frameworks for cyber and critical technology;
- strengthen Australia-India relationships.

¹ <https://www.finance.gov.au/sites/default/files/commonwealth-grants-rules-and-guidelines.pdf>

2.1 About the AICCTP'S 2023-24 (Round 4) grant opportunity

The AICCTP's 2023-24 grant opportunity (Round 4) of \$1.6 million (total value) will consider proposals for collaboration on cyber and critical technology, which will help shape a global technology environment that meets our shared vision of an open, inclusive, stable and prosperous Indo-Pacific, where the rules-based international order is upheld.

To achieve desired outcomes, the AICCTP will support a collaborative model, which sees Australian and Indian stakeholders combine knowledge and resources to advance and protect our collective interests in cyberspace and critical technology. Proposals can involve multistakeholder and cross-disciplinary partnership, which utilise Indian and Australian expertise. Proposals may engage institutions in other countries throughout the Indo-Pacific or be designed to be scalable and replicable in India and elsewhere in the Indo-Pacific.

The focus areas of the AICCTP's 2023-24 (Round 4) grant opportunity are:

1. Initiatives that develop standards and ethical frameworks to address risks to international peace and stability arising from critical technology design, development and use.
2. Activities that promote diversity and inclusivity in the design, development and implementation of critical technology standards and ethical frameworks.
3. Activities that examine best practice in translating critical technology ethical frameworks and principles into policies and practical action.
4. Initiatives that explore how critical technology standards, ethical frameworks and principles can facilitate bilateral and regional trade (including digital trade) and economic opportunities in critical technologies.

Emerging and critical technologies include (but are not limited to): advanced manufacturing and materials technologies (including semiconductors); artificial intelligence technologies; advanced information and communications technologies (such as 5G & 6G); quantum technologies; blockchain; autonomous systems, robotics, positioning, timing and sensing; biotechnologies, such as synthetic biology; clean energy generation and storage technologies, and digital public goods (such as digital identity and digital payments systems).

2.2 Context: Ethical frameworks and technical standards for emerging and critical technologies

The next generation of technological developments merges new discoveries in physical, digital, and biological systems. India and Australia have a key role to play in contributing to the global development of technologies. These technologies have the potential to dramatically impact economic competitiveness, national security, international peace and stability, and social cohesion.

Strengthening understanding and enhancing ethical frameworks for emerging and critical technologies will be central to ensuring these technologies are designed, developed, and used in a manner that advances Australia and India's shared interests. Ethical frameworks must be grounded in existing international law, including international human rights law.

Standards create trust and consistency, foster innovation and drive economic growth. There is opportunity to create more transparent approaches to technical standards setting and to promote stronger coordination between standards development organisations to reduce duplication and overlap.

3. Grant amount and grant period

3.1 Grants available

The Australian Government has announced a total of \$1.6 million for AICCTP Grant Round 4.

- The minimum grant amount is \$150,000
- The maximum grant amount is \$250,000

Prospective grantees cannot use funding from other Commonwealth, state, territory, or local government sources to fund expenditure for this program.

DFAT reserves the right to offer less funding than that requested by the applicant.

The grant amount is designated per proposal, and not per partnering institution. Funding is not apportioned to particular geographic regions in Australia and India.

3.2 Grants period

Grant projects can take place up to a maximum of two years from 1 July 2024. Grant funds will be allocated over the 2024-25 financial year.

4. Eligibility criteria

You can apply for grants under any Commonwealth program, but if your applications for the same project are successful, you must choose either a grant under the AICCTP or the other Commonwealth grant.

DFAT cannot consider your application if you do not satisfy all the eligibility criteria.

4.1 Who is eligible to apply for a grant?

To be eligible the lead partner must be a research institution:

- located in Australia and have a partner institution that is in India for the purposes of the activity; or
- be in India and have a partner institution that is located in Australia for the purposes of the activity.

and be one of the following entity types:

- a company incorporated in Australia or India;
- a company incorporated by guarantee;
- an incorporated trustee on behalf of a trust;
- an incorporated association;
- a partnership;
- a joint (consortia) application with a lead organisation;
- a think tank or research organisation;
- an Indian or Australian sub-national government body.

The National Redress Scheme for Institutional Child Sexual Abuse Grant Connected Policy makes non-government institutions named in applications to the Scheme, or in the Royal Commission into Institutional Responses to Child Sexual Abuse, that do not join the Scheme ineligible for future

Australian Government grant funding. The National Redress Scheme Grant Connected Policy came into effect on 1 January 2021.

The Department of Social Services is the responsible entity for questions and advice regarding this policy (www.dss.gov.au).

You are **not** eligible to apply if you are an organisation, included on the National Redress Scheme's website on the list of 'Institutions that have not joined or signified their intent to join the Scheme' (www.nationalredress.gov.au).

Joint (consortia) applications involving more than one organisation are acceptable (see section 6.2). Multistakeholder involvement (including from businesses, non-government organisations, and/or government bodies) is encouraged where appropriate. There can be multiple partners from either India, or Australia or other Indo-Pacific countries, provided the lead applicant is the main driver of the project and eligible to apply, and there is at least one Australian and one Indian partner. Applications involving partners based in third countries in the Indo-Pacific are encouraged.

There is not a specific condition on the amount of funding that should be shared with respective partners, however, in many cases, grants that provide a token amount of funding or involvement to their respective partner would be viewed as weaker applications compared to projects that have more fulsome and balanced contributions between partners.

There can also be multiple applications from the one organisation.

Grant recipients of previous rounds of AICCTP grants are eligible to apply for Round 4.

5. What the grant money can be used for

5.1 Eligible grant activities

To be eligible your project must:

- support the objectives of the AICCTP
- be designed around the area of focus for the AICCTP's 2024 grant opportunity; and
- include eligible activities and eligible expenditure.

Eligible activities must relate directly to the project and could include:

- joint research projects
- industry specific user guides, advisories, standards etc
- traditional research outputs of books, chapters, journal articles and conference publications
- technical training, conferences, workshops, seminars, and events
- mentoring and support in developing critical technology governance frameworks
- new research-related information sharing and communication initiatives
- exchanges and secondments of personnel between Australia and India
- collaboration mechanisms across industries or levels of government
- other critical technology-related best practices and innovative solutions.

DFAT may also approve other activities.

5.2 Eligible expenditure

You can only spend the grant on eligible expenditure you have incurred on eligible grant activities, as set out in the grant application, and confirmed in the agreement. Expenditure must be reasonable and proportional to the grant size and in line with the project outcome.

Eligible expenditure items are:

1. **Personnel** - Eligible labour expenditure for the grant covers the direct labour costs of employees you directly employ on the core elements of the project. Partners will be asked to provide the name, designation, responsibility, and number of hours given to the project of staff whose salary/consultancy fees are covered from project funds. DFAT will ask for these supporting documents at the time of due diligence. Partners will be asked to submit copies of payment receipts in their mid-term and/or end of year report.
2. **Direct costs of the eligible grant activities.**
3. **Travel** – Estimated costs for domestic and/or international economy class airfares and modest accommodation and per diems that are essential for delivery of the project. Please consider carefully to what extent travel is likely to be feasible during the proposed timeframe of your project.
4. **Equipment** – DFAT will only fund ‘small equipment’ or software specific to the project proposal. ‘Small equipment’ is defined as equipment under a total of \$10,000 that is used collaboratively and, where possible, is Australian made. Computing equipment or software should be specialised and required for the completion of the project. DFAT will not fund general equipment or software that would be normally provided by institutions, such as standard computers or the Microsoft software suite.
5. **Monitoring, evaluation, and learning (MEL)** – As a key component of the program, costs associated with MEL processes and activities to inform program reporting and learning should be identified separately within the indicative budget outline.
6. **Administrative support** – Indian partners must comply with relevant Foreign Contribution (Regulation) Amendment Rules, including regarding the cap on spend on administrative expenses. In line with the *Foreign Contribution (Regulation) Amendment Act, 2020*, no Indian lead partner receiving funds directly from DFAT should transfer funds to the secondary/local partners or stakeholders of the project.
7. **Event related costs** – including, for example, catering, venue and equipment hire.

5.3 What the grant money cannot be used for

You cannot use the grant for the following activities:

1. any activities, equipment or supplies that are already being supported through other sources (including support from the Australian Government)
2. indirect costs of the project, including:
 - institutional overheads and administrative charges
 - membership of professional organisations and groups
 - non-project-related staff training and development costs
 - staff recruitment processes and relocation costs
 - debt financing

- capital expenditure for the purchase of assets such as office furniture and equipment, motor vehicles, computers, printers or photocopiers and the construction, renovation or extension of facilities such as buildings and laboratories
- costs such as rental and utilities.

6. The assessment criteria

You must address the following assessment criteria in the application. DFAT will assess your application based on the weighting given to each criterion. Your application should clearly demonstrate how your proposal will meet Australian Government priorities and AICCTP objectives articulated at section 2. 'About the Program'. Your application should be well structured, well written and clearly explain what the project is and what it will achieve. The amount of detail and supporting evidence you provide in your application should be relative to the size, complexity and grant amount requested. Taking into account the overall application including eligibility, criterion responses, comparison with other applications and value with relevant money, assessors will assess each application on its merits and rate applications as either not suitable, suitable or highly suitable. A rating as suitable or highly suitable does not equate to being awarded a grant. It is a competitive process often with the number of suitable and highly suitable proposals outnumbering the funding available for the round, meaning inevitably there will be strong proposals that miss out.

Criterion 1 – 60%

Explain how your project will advance cooperation in cyber and critical technology issues between India and Australia and help shape a global technology environment that meets Australia and India's shared vision of an open, inclusive, stable and prosperous Indo-Pacific, where the rules-based international order is upheld. (60 points)

You should demonstrate this by identifying:

- 1.1. the specific problem or issue your project aims to address, why it needs to be addressed, and how your project will address it, including the rationale for your approach
- 1.2. the expected outcomes and benefits of your project and how they would contribute to the objectives of the AICCTP, including:
 - a. how your project will shape the international discourse on cyber and critical technologies, particularly through the improved ethical frameworks, technical standards and research and development for emerging and critical technologies
 - b. how your project will deepen institutional linkages between Australian and Indian researchers, businesses, and government on cyber and critical technology issues, including any multi-stakeholder and cross-disciplinary partnerships if applicable; and
 - c. how your project will support India and potentially other countries in the Indo-Pacific to improve their cyber technology resilience or foster best practices in the development or governance of critical technology.
- 1.3. how your project aligns with key policy documents or frameworks such as Australia's 2023-2030 Australian Cyber Security Strategy, Australia's Foreign Policy White Paper 2017, the Australia's Critical Technologies Statement and List of Critical Technologies in the National Interest, and the Australia-India Comprehensive Strategic Partnership.
- 1.4. how your project supports efforts to mainstream Gender Equality, Disability and Social Inclusion (GEDSI) in the implementation of grant activities.

Criterion 2 – 40%

Explain your and your partner/s' capacity, capability, and resources to deliver the project and how you will successfully collaborate to deliver the project.

You should demonstrate this by identifying:

- 2.1 your access to personnel with the right skills and experience, including management and technical staff, and to any infrastructure, capital equipment, technology and intellectual property required for the project;
- 2.2 that you have a sound project plan to manage and monitor the project;
- 2.3 how the grant activity is achievable in the context of travel, social distancing and gathering restrictions that may be in relevant locations, and how people will participate and engage in the grant activity in a potentially restrictive environment; and
- 2.4 if any part of the project requires the participation of stakeholders in a third country, your experience, expertise and relationships in the third country.

7. How to apply

Before applying, you must read and understand the AICCTP Grant Round 4 guidelines and the application form available at SmartyGrants and GrantConnect. Any alterations and addenda² to the guidelines will be published on GrantConnect and by registering on this website, you will be automatically notified on any changes. GrantConnect is the authoritative source for grants information.

To apply you must:

1. complete the online application form on DFAT's online grant application system SmartyGrants <https://DCG.smartygrants.com.au/AICCTPRound4> and provide all the information requested
2. address eligibility criteria and assessment criteria
3. include all necessary attachments (see 7.1 below); and
4. submit your application/s no later than 24 May 2024 (no extensions will be granted) by:
 - 17:00 Australian Eastern Standard Time (AEDT) (UTC +10:00) / 12:30 India Standard Time (IST) (UTC +05:30)

You cannot change your application after the closing date and time. If DFAT finds an error or information that is missing, DFAT may ask for clarification or additional information from you that will not change the nature of your application. However, DFAT can refuse to accept any additional information from you that would change your submission after the application closing time.

You should keep a copy of your application and any supporting documents.

7.1 Attachments to the application

DFAT requires the following documents with your application:

1. an indicative budget;
2. a basic project management plan including timeline and project milestones;
3. a basic risk management plan, including risk mitigation strategies;

² Alterations and addenda include but are not limited to: corrections to currently published documents, changes to close times for applications, Questions and Answers (Q&A) documents and Frequently Asked Questions (FAQ) documents

4. if applicable (for Indian partners), your *Foreign Contribution (Regulation) Act (FCRA)* certificate
 - a. Please note an FCRA application under consideration does not preclude an Indian organisation from applying for AICCTP Grant Round 4. However, if the grant application is successful then the organisation will need to fulfill FCRA requirements at the point in time when the grant agreement is executed. Applicant organisations need to be compliant with local laws, including FCRA regulations;
5. audited financial statement (1) of your organisation (to demonstrate your overall financial viability and FCRA compliance). and
6. for joint applications, a letter of support from partner organisations (see 7.2 below).

7.2 Joint (consortia) applications

Organisations may join to form a group of organisations for the purposes of delivering a grant activity or project. In this circumstance, you must appoint a 'lead organisation'. Only the lead organisation can submit the application form and enter into a grant agreement with the Commonwealth. The application must identify all other members of the proposed group and include a letter of support from each of the partners.

Each letter of support must include:

1. details of the partner organisation;
2. an overview of how the partner organisation will work with the lead organisation and any other partner organisations in the group to successfully complete the grant activity or project;
3. an outline of the relevant experience and/or expertise the partner organisation will bring to the group;
4. the roles/responsibilities of the partner organisation and the resources they will contribute (if any); and
5. details of a nominated management level contact officer.

You must have a formal arrangement in place with all parties prior to execution of the grant agreement.

7.3 Timing of grant opportunity processes

You must submit an application between the published opening and closing dates. We cannot accept late applications.

If you are successful, we expect you will be able to commence your grant activity after August 2024.

Table 1: Expected timing for this grant opportunity:

Activity	Timeframe
Applications open	25 March 2024
Applications close	17:00 AEST (UTC +10:00) 12:30 IST (UTC +05:30) on 24 May 2024.
Assessment of applications	June 2024
Approval of outcomes of selection process	July 2024
Negotiations and award of grant agreements	July 2024 onwards
Notification to unsuccessful applicants	July/ August 2024
Expected commencement date of grant activity	After August 2024

7.4 Questions during the application process

If you have any questions during the application period, contact aicctp@dfat.gov.au. Questions should be sent no later than 17:00 AEST (UTC +10:00)/ 12:30 IST on 19 April 2024. DFAT will publish relevant responses to the questions received on the GrantConnect website.

8. The grant selection process

8.1 Assessment of grant applications

DFAT first reviews your application against the eligibility criteria.

If eligible, DFAT will then assess your application against the assessment criteria (see Section 6) and against other applications. DFAT considers your application on its merits, based on:

1. how well it meets the criteria
2. how it compares to other applications
3. whether it provides value with relevant money.

When assessing the extent to which the application represents value with money, DFAT will have regard to:

- the overall objective/s to be achieved in providing the grant;
- the relative value of the grant sought;
- the extent to which the evidence in the application demonstrates that it will contribute to meeting the outcomes/objectives; and
- how the application will serve to leverage productive partnerships between stakeholders.

8.2 Who will assess applications?

DFAT will convene an assessment committee comprised of government officials with relevant subject matter expertise who will assess each application on its merit and compare it to other eligible applications before recommending a decision to the DFAT delegate on which grant applications should be awarded a grant. The assessment committee may seek additional information about your organisation or your application. The assessment committee may seek additional information from other parties to help assess or verify the quality or fidelity of applications (e.g. this may include reference checks in relation to performance against past projects). The

assessment committee may ask external experts to inform the assessment process. Any expert, who is not a Commonwealth Official, will be required to perform their duties in accordance with the Commonwealth Grant Rules and Guidelines.

8.3 Who will approve grants?

The assessment committee, chaired by the Program delegate (Assistant Secretary, Cyber Affairs and Critical Technology Branch) will decide on which applications to approve for a grant. The Program Delegate will consider the recommendations of the assessment committee and the availability of grant funds for the purposes of the grant program.

The Program delegate's decision is final in all matters, including:

1. the approval of the grant;
2. the grant funding amount to be awarded; and
3. the terms and conditions of the grant.

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

9. Notification of application outcomes

DFAT will advise you of the outcome of your application in writing. If you are successful, DFAT will advise you of any specific conditions attached to the grant.

9.1 Feedback on your application

Feedback on applications is not provided due to the large volume of applications received and the distinct nature of each grant round. Please be mindful of this in making the decision and taking the time to apply to the round.

10. Successful grant applications

10.1 The grant agreement

You must enter into a legally binding grant agreement with the Commonwealth.

You must have a formal arrangement in place with all parties prior to execution of the grant agreement.

Simple Grant Agreement and/or Standard Grant Agreement

DFAT will use a standard grant agreement.

You will have 30 calendar days from the date of a written offer to execute this grant agreement with the Commonwealth ('execute' means both you and the Commonwealth have signed the agreement). During this time, we will work with you to finalise details.

The offer may lapse if both parties do not sign the grant agreement within this time. Under certain circumstances, we may extend this period. We base the approval of your grant on the information you provide in your application.

DFAT must execute a grant agreement with you before any payments can be made. Your grant agreement may have specific conditions determined by the assessment process or other considerations made by the Program delegate (Assistant Secretary, Cyber Affairs and Critical Technology Branch). DFAT will identify these in the agreement.

The Commonwealth may recover grant funds if there is a breach of the grant agreement.

10.2 Specific legislation, policies and industry standards

You must comply with all relevant laws and regulations in undertaking your project. This includes any relevant requirements of the *Foreign Contribution (Regulation) Act, 2010*. DFAT cannot provide advice on your FCRA obligations or the operation of the FCRA.

You must also comply with the specific legislation/policies/industry standards in the grant agreement. It is a condition of the grant funding that you meet these requirements.

10.3 How DFAT pays the grant

DFAT will make payments according to an agreed schedule set out in the grant agreement. Payments are subject to satisfactory progress on the grant activity or project. Payments will be paid to the lead organisation in the partnership in either AUD for the Australian lead or INR for the Indian lead.

10.4 Grants Payments and GST

Payments will be GST inclusive as applicable.

Grants are assessable income for taxation purposes, unless exempted by taxation law. DFAT recommends you seek independent professional advice on your taxation obligations or seek assistance from the [Australian Taxation Office](#).³ DFAT does not provide advice on your taxation circumstances.

11. Announcement of grants

If successful, your grant will be listed on the GrantConnect website within 21 calendar days after the date of effect as required by Section 5.3 of the [Commonwealth Grants Rules and Guidelines](#).

12. How DFAT monitors your grant activity

12.1 Keeping DFAT informed

You must let DFAT know if anything is likely to affect your grant activity or project. DFAT needs to know of any key changes to your organisation or its business activities, particularly if they affect your ability to complete your grant, carry on business and pay debts due. If you become aware of a breach of terms and conditions under the grant agreement, you must contact DFAT immediately.

12.2 Reporting

Successful applicants will be engaged under a grant agreement with DFAT that will detail agreed implementation, project deliverables, accountability, funding, reporting and acquittal requirements. DFAT may request applicants amend parts of their proposals, such as project plans or risk management approaches, during this process. If an acquittal report and subsequent communication between DFAT and the grant recipient shows the project will not be meeting its agreed outcomes, DFAT may request the return of grant funding and/or decide to moderate or cancel any further payments.

To help promote your project and outcomes under the AICCTP, DFAT may seek your participation in public diplomacy events (such as roundtables, cocktail receptions, meetings etc.) and request

³ <https://www.ato.gov.au/>

departmental or other Commonwealth agency participation in your workshops, conferences, and project events.

12.3 Audited financial acquittal report

DFAT may ask you to provide an independently audited financial acquittal report. A financial acquittal report will verify that you spent the grant in accordance with the grant agreement.

12.4 Grant agreement variations

DFAT recognise that unexpected events may affect your progress. In these circumstances, you can request a variation to your grant agreement. You can request a variation in writing via email to AICCTP@dfat.gov.au.

You should not assume that a variation request will be successful. DFAT will consider your request based on provisions in the grant agreement and the likely impact on achieving outcomes.

12.5 Compliance visits

DFAT may visit you during or at the completion of your grant activity to review your compliance with the grant agreement. DFAT will provide you with reasonable notice of any compliance visit.

12.6 Record keeping

DFAT may also inspect the records you are required to keep under the grant agreement.

12.7 Evaluation

DFAT will evaluate the grant program to measure how well the outcomes and objectives have been achieved. DFAT may use information from your application and reports for this purpose. DFAT may also interview you or ask you for more information to help understand how the grant impacted you and to evaluate how effective the program was in achieving its outcomes.

12.8 Acknowledgement

A grant agreement for successful applications will specify requirements for acknowledgements on all materials related to grants under the program.

13. Probity

The Australian Government will ensure that the grant opportunity process is fair, according to the published guidelines, incorporates appropriate safeguards against fraud, unlawful activities and other inappropriate conduct and is consistent with the CGRGs. These guidelines may be changed from time-to-time. When this happens, the revised guidelines will be published on GrantConnect.

13.1 Enquiries and feedback

The complaints procedures available at [DFAT's website](#) apply to complaints about AICCTP grants. All complaints about a grant process must be lodged in writing.

If you are at any time dissatisfied with DFAT's handling of a complaint, you can contact the Commonwealth Ombudsman. The Ombudsman will not usually investigate a complaint unless the matter has first been raised directly with DFAT.

The Commonwealth Ombudsman can be contacted on:

Phone (Toll free): 1300 362 072

Email: ombudsman@ombudsman.gov.au

Website: <https://www.ombudsman.gov.au/>

13.2 Conflicts of interest

Any conflict of interest could affect the performance of the grant opportunity or program. There may be a [conflict of interest](#), or perceived conflict of interest, if a member of DFAT (including a member of the assessment committee) or a party applying for the grant:

1. has a professional, commercial, or personal relationship with a party who can influence the application selection process, such as an Australian Government officer;
2. has a relationship with or interest in, an organisation, which is likely to interfere with or restrict the applicants from carrying out the proposed activities fairly and independently; or
3. has a relationship with, or interest in, an organisation from which they will receive personal gain because the organisation receives a grant under the grant program/ grant opportunity.

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

If you later identify an actual, apparent, or perceived conflict of interest, you must inform DFAT in writing immediately.

Conflicts of interest for Australian Government staff will be handled as set out in the Australian [Public Service Code of Conduct \(Section 13\(7\)\)](#) of the [Public Service Act 1999](#). Committee members and other officials including the decision maker must also declare any conflicts of interest.

Further information on our conflict of interest policy is available at on the DFAT website in the [Conduct and Ethics Manual](#).

13.3 Privacy

DFAT treats your personal information according to the [Privacy Act 1988](#) and the [Australian Privacy Principles](#). This includes letting you know:

1. what personal information DFAT collects;
2. why DFAT collects your personal information; and
3. to whom DFAT gives your personal information.

Your personal information can only be disclosed to someone else for the primary purpose for which it was collected, unless an exemption applies.

The Australian Government may also use and disclose information about grant applicants and grant recipients under this grant opportunity in any other Australian Government business or function. This includes disclosing grant information on GrantConnect as required for reporting purposes and giving information to the Australian Taxation Office for compliance purposes.

DFAT may share the information you provide with other Commonwealth entities for purposes including government administration, research, or service delivery, according to Australian laws.

DFAT may share the information you provide with the Indian Government in order to ensure grant projects meet the objectives of both the Indian and Australian governments.

As part of your application, you declare your ability to comply with the *Privacy Act 1988* and the Australian Privacy Principles and impose the same privacy obligations on officers, employees, agents, and subcontractors that you engage to assist with the activity, in respect of personal information you collect, use, store, or disclose in connection with the activity. Accordingly, you must not do anything, which if done by DFAT would breach an Australian Privacy Principle as defined in the Act.

13.4 Confidential Information

Other than information available in the public domain, you agree not to disclose to any person, other than DFAT, any confidential information relating to the grant application and/or agreement, without DFAT's written approval. The obligation will not be breached where you are required by law, Parliament, or a stock exchange to disclose the relevant information, or where the relevant information is publicly available (other than through breach of a confidentiality or non-disclosure obligation).

DFAT may at any time, require you to arrange for you, or your employees, agents, or subcontractors to give a written undertaking relating to nondisclosure of our confidential information in a form considered acceptable.

DFAT will keep any information in connection with the grant agreement confidential to the extent that it meets all the three conditions below:

1. you clearly identify the information as confidential and explain why DFAT should treat it as confidential;
2. the information is commercially sensitive; and
3. revealing the information would cause unreasonable harm to you or someone else.

DFAT will not be in breach of any confidentiality agreement if the information is disclosed to:

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

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

13.5 Freedom of information

All documents in the possession of the Australian Government, including those about this grant opportunity, are subject to the [Freedom of Information Act 1982](#) (FOI Act). The purpose of the FOI Act is to give members of the public rights of access to information held by the Australian Government and its entities. Under the FOI Act, members of the public can seek access to documents held by the Australian Government. This right of access is limited only by the

exceptions and exemptions necessary to protect essential public interests and private and business affairs of persons in respect of whom the information relates.

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

By post: The Director, Freedom of Information and Privacy Law Section Legal Division
Department of Foreign Affairs and Trade
R G Casey Building, John McEwen Crescent BARTON ACT 0221

By email: foi@dfat.gov.au

Further information on how to make an FOI request is available on [the DFAT website](#).

14. Additional Conditions

Prospective grantees should note that the grant agreement (the Agreement) will stipulate that successful grantees must agree to comply with the following DFAT conditions (14.1 to 14.8).

14.1 Fraud

Fraud means dishonestly obtaining a benefit, or causing a loss, by deception or other means, and includes attempted, alleged, suspected, or detected fraud.

The Grantee must take all reasonable steps to prevent and detect Fraud in relation to this Agreement.

If the Grantee becomes aware of any Fraud involving any activities funded in whole or in part under the Agreement, the Grantee must notify the Commonwealth within 5 business days.

This clause survives the expiry or termination of the Agreement.

14.2 Prohibited dealings

The Grantee must ensure that individuals, persons, entities or organisations involved in implementing the grant activity, including itself and its personnel:

- (a) are not directly or indirectly engaged in, preparing, planning, assisting in or fostering the doing of a terrorist act;
- (b) are not, and do not become listed on the 'List of Terrorist Organisations' made under *the Criminal Code Act 1995* (Cth) and related regulations, posted at [Terrorist organisations \(nationalsecurity.gov.au\)](https://www.nationalsecurity.gov.au/terrorist-organisations)
- (c) are not, and do not become listed on the 'Sanctions List' made under the *Charter of the United Nations Act 1945* (Cth) and the *Autonomous Sanctions Act 2011* (Cth), and related legislation, posted at <http://dfat.gov.au/international-relations/security/sanctions/pages/consolidated-list.aspx>;
- (d) are not, and do not become listed on and the World Bank's "Listing of Ineligible Firms and Individuals" posted at <https://www.worldbank.org/en/projects-operations/procurement/debarred-firms>;
- (e) are not acting on behalf of, or at the direction of, individuals, persons, entities or organisations listed on the Lists referred to in subparagraphs (b) to (d);
- (f) are not owned or controlled by individuals, persons, entities or organisations mentioned in subparagraphs (b) to (d);
- (g) do not to provide direct or indirect support, resources or assets (including the Commonwealth funding under any grant activity) to individuals, persons, entities or organisations associated

with terrorism or mentioned in subparagraphs (b) to (d);

- (h) The Grantee will inform the Commonwealth immediately if it discovers that it or a contractor, sub-contractor or grant recipient has or may have contravened this clause; and
- (i) This clause survives the expiry or termination of this Agreement.

14.3 Anti-corruption

The Grantee warrants that the Grantee and its personnel have not made or caused to be made, or received or sought to receive, any offer, gift or payment, consideration or benefit of any kind, which would or could be construed as an illegal or corrupt practice, either directly or indirectly to any party, as an inducement or reward in relation to the execution of this Agreement.

The Grantee must not, and must ensure that its personnel do not:

- (a) make or cause to be made, or receive or seek to receive, any offer, gift or payment, consideration, or benefit of any kind, which would or could be construed as an illegal or corrupt practice, either directly or indirectly to any party, as an inducement or reward in relation to this Agreement; or
- (b) engage in any practice that could contravene the Australian offence of bribing a foreign public official.

14.4 Child protection

The Grantee must comply, and must ensure that its contractors, subcontractors and personnel comply with DFAT's Child Protection Policy, accessible at <http://www.dfat.gov.au/childprotection/>.

The Commonwealth may conduct a review of the Grantee's compliance with the Child Protection Policy. The Commonwealth will give reasonable notice to the Grantee and the Grantee must participate co-operatively in any such review.

If the Commonwealth finds that the Grantee has failed to comply with the Child Protection Policy, the Grantee must promptly, and at the cost of the Grantee, take such actions as are required to ensure compliance with the Child Protection Policy.

If an individual, the Grantee must sign and return to the Commonwealth, the [Child Protection Professional Behaviours](#) at Attachment B to DFAT's Child Protection Policy.

A successful Grantee will be required to sign and return to the Commonwealth, the Working with Vulnerable People Statement of Compliance.

14.5 Gender Equality, Disability and Social Inclusion (GEDSI)

The Grantee must comply, and must ensure that individuals and organisations involved in implementing the activity, comply with DFAT's Gender Equality, Disability and Social Inclusion (GEDSI) [policies](#). GEDSI refers to efforts to ensure people from all backgrounds, including women and gender diverse people, people with a disability and people facing another form of marginalisation, can equitably access, use, contribute to, influence and benefit from the design, development, and governance of cyber and critical technology.

14.6 Intellectual Property

The Grantee owns the Intellectual Property Rights in Material created by the Grantee as a result of undertaking the grant activity.

The Grantee provides the Commonwealth a permanent, non-exclusive, irrevocable, royalty-free licence to use, modify, communicate, reproduce, publish, adapt and sub-license the Reporting

Material for Commonwealth Purposes. The licence does not apply to Activity Material.

The Grantee represents and warrants that the Commonwealth's use of the Reporting Material for Commonwealth Purposes will not infringe the Moral Rights of any person that contributed to the Material in the Reporting Material.

This Agreement does not affect the ownership of Intellectual Property Rights in Existing Material.

The following definitions apply to this clause:

- (a) 'Activity Material' means any Material, other than Reporting Material, created or developed by the Grantee because of the grant activity and includes any Existing Material that is incorporated in or supplied with the Activity Material.
- (b) 'Commonwealth Purposes' does not include commercialisation or the provision of the Activity Material to a third party for its commercial use.
- (c) 'Existing Material' means Material developed independently of this Agreement.
- (d) 'Intellectual Property Rights' means all copyright, patents, registered and unregistered trademarks (including service marks), registered designs, and other rights resulting from intellectual activity (other than moral rights under the *Copyright Act 1968* (Cth)).
- (e) 'Material' includes documents, equipment, software (including source code and object code versions), goods, information and data stored by any means including all copies and extracts of them.
- (f) 'Moral Rights' means a right of attribution of authorship; a right not to have authorship falsely attributed; or a right of integrity of authorship.
- (g) 'Reporting Material' means all Material which the Grantee is required to provide to the Commonwealth for reporting purposes as specified in this Agreement.

14.7 Governing Law

This Agreement is governed by the law of the Australian Capital Territory, Australia.

14.8 Preventing Sexual Exploitation Abuse and Harassment (PSEAH)

The grant recipient must comply and must ensure that individuals and organisations involved in implementing the grant activity comply with DFAT's Preventing Sexual Exploitation, Abuse and Harassment Policy, accessible at <http://www.dfat.gov.au/pseah>.

DFAT may conduct a review of the recipient's compliance with DFAT's Preventing Sexual Exploitation, Abuse and Harassment Policy. DFAT will give reasonable notice (at least fourteen (14) days) to the recipient and the recipient must participate co-operatively in any such review.

The recipient must report to seah.reports@dfat.gov.au any suspected or alleged case of sexual exploitation, abuse and harassment that relates to the grant activity within 48 hours of becoming aware of the case. The recipient must report to DFAT any alleged incidents of non-compliance with DFAT's Preventing Sexual Exploitation, Abuse and Harassment Policy within five (5) business days.

In reporting to DFAT as required pursuant to clause 8 Privacy, the recipient must comply with the Privacy Act 1988 (Cth) and the privacy provisions in the Sexual Exploitation, Abuse and Harassment (SEAH) Incident Notification Form, available on [DFAT's website](#).

15. Glossary

Term	Definition
Administering entity	When an entity that is not responsible for the policy, is responsible for the administration of part or all of the grant administration processes.
Assessment criteria	Are the specified principles or standards, against which applications will be judged. These criteria are also used to assess the merits of proposals and, in the case of a competitive grant opportunity, to determine application rankings.
Commencement date	The expected start date for the grant activity
Date of effect	Can be the date on which a grant agreement is signed or a specified starting date. Where there is no grant agreement, entities must publish information on individual grants as soon as practicable.
Decision maker	The person who makes a decision to award a grant
Eligibility criteria	Refer to the mandatory criteria which must be met to qualify for a grant. Assessment criteria may apply in addition to eligibility criteria.
<u>Commonwealth Grants Rules and Guidelines (CGRGs)</u>	Establish the overarching Commonwealth grants policy framework and articulate the expectations for all non-corporate Commonwealth entities in relation to grants administration. Under this overarching framework, non-corporate Commonwealth entities undertake grants administration based on the mandatory requirements and key principles of grants administration.
Grant	For the purposes of the CGRGs, a 'grant' is an arrangement for the provision of financial assistance by the Commonwealth or on behalf of the Commonwealth: <ul style="list-style-type: none"> a. under which relevant money⁴ or other <u>Consolidated Revenue Fund</u> (CRF) money⁵ is to be paid to a grantee other than the Commonwealth; and which is intended to help address one or more of the Australian Government's policy outcomes while assisting the grantee achieve its objectives.
Grant activity/activities	Refers to the project/tasks/services that the grantee is required to undertake

⁴ Relevant money is defined in the PGPA Act. See section 8, Dictionary.

⁵ Other CRF money is defined in the PGPA Act. See section 105, Rules in relation to other CRF money.

Term	Definition
Grant agreement	Sets out the relationship between the parties to the agreement, and specifies the details of the grant
GrantConnect	Is the Australian Government’s whole-of-government grants information system, which centralises the publication and reporting of Commonwealth grants in accordance with the CGRGs
Grant opportunity	Refers to the specific grant round or process where a Commonwealth grant is made available to potential grantees. Grant opportunities may be open or targeted, and will reflect the relevant grant selection process.
Grant program	A ‘program’ carries its natural meaning and is intended to cover a potentially wide range of related activities aimed at achieving government policy outcomes. A grant program is a group of one or more grant opportunities under a single [entity] Portfolio Budget Statement Program.
Grantee	The individual/organisation which has been selected to receive a grant
PBS Program	Described within the entity’s Portfolio Budget Statement , PBS programs each link to a single outcome and provide transparency for funding decisions. These high-level PBS programs often comprise a number of lower level, more publicly recognised programs, some of which will be Grant Programs. A PBS Program may have more than one Grant Program associated with it, and each of these may have one or more grant opportunities.
Selection process	The method used to select potential grantees. This process may involve comparative assessment of applications or the assessment of applications against the eligibility criteria and/or the assessment criteria.

Term	Definition
Value with money	<p>Value with money in this document refers to ‘value with relevant money’ which is a judgement based on the grant proposal representing an efficient, effective, economical and ethical use of public resources and determined from a variety of considerations.</p> <p>When administering a grant opportunity, an official should consider the relevant financial and non-financial costs and benefits of each proposal including, but not limited to:</p> <ul style="list-style-type: none"> • the quality of the project proposal and activities; • fitness for purpose of the proposal in contributing to government objectives; • that the absence of a grant is likely to prevent the grantee and government’s outcomes being achieved; and • the potential grantee’s relevant experience and performance history.