



## Grant Opportunity Guidelines

# Global Innovation Linkages Program Round 2

<b>Opening date:</b>	18 September 2018
<b>Closing date and time:</b>	5.00pm AEDT on 14 November 2018
<b>Commonwealth policy entity:</b>	Department of Industry, Innovation and Science
<b>Administering entity</b>	Department of Industry, Innovation and Science
<b>Enquiries:</b>	If you have any questions, contact us at <a href="http://business.gov.au">business.gov.au</a>
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<b>Type of grant opportunity:</b>	Open competitive

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# 1. Global Innovation Strategy: Global Innovation Linkages program processes

## **The Global Innovation Linkages program is designed to achieve Australian Government objectives**

This grant opportunity is part of the above grant program which contributes to the Department of Industry, Innovation and Science's Outcome One. We have worked with stakeholders to plan and design the grant program according to the *Commonwealth Grants Rules and Guidelines*.



## **The grant opportunity opens**

We publish the grant guidelines on business.gov.au and GrantConnect.



## **You complete and submit a grant application**



## **We assess all grant applications**

We assess the applications against eligibility criteria, and notify you if you are not eligible. An independent advisory committee assesses eligible applications against the merit criteria including an overall consideration of value with relevant money and compare it to other eligible applications.



## **We make grant recommendations**

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



## **Grant decisions are made**

The decision maker decides which applications are successful.



## **We notify you of the outcome**

We advise you of the outcome of your application. We may not notify unsuccessful applicants until grant agreements have been executed with successful applicants.



## **We enter into a grant agreement**

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



## **Delivery of grant**

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



## **Evaluation of the Global Innovation Linkages program**

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

## 2. About the program

The Global Innovation Linkages program (the program) was announced as part of the National Innovation and Science agenda and commenced in 2016. This is an ongoing program with a current funding allocation of \$18 million from 2016-17 to 2020-21. Application rounds are expected to be held once every two years.

The program provides funding to assist Australian businesses and researchers to collaborate with global partners on strategically focused, leading-edge research and development projects. The program will support projects focussed on developing high quality products, services or processes that will respond to industry challenges.

The funding aims to support the Australian Government's commitment to:

- supporting innovation, science, and commercialisation
- increasing collaboration between industry, including small and medium enterprise (SME), and other end users and the research sector
- enabling growth and productivity for globally competitive industries
- working with global economies to progress mutually beneficial innovation outcomes.

We administer the program according to the Commonwealth Grants Rules and Guidelines (CGRGs)<sup>1</sup>.

### 2.1 About the Global Innovation Linkages Round 2 grant opportunity

These guidelines contain information for Round 2 of the Global Innovation Linkages program grants.

The objectives of the grant opportunity are to:

- build linkages with global economies to enable Australia to improve research and business performance, and access international supply chains and global markets
- contribute to improving the competitiveness, productivity and sustainability of Australian and global economies in line with government priorities
- foster high quality solutions to identified end user challenges through international collaborative research partnerships between industry entities, research organisations and global partners
- encourage and facilitate SME participation in collaborative research.

The intended outcomes of the grant opportunity are:

- quality collaborative partnerships with leading global partners and ongoing industry-research sector collaborations
- international collaborative innovation outcomes relevant to government priorities as measured by, for example, patents registered
- Australian SME participation in collaborative research
- increased research skills in industry and industry capability in research.

## 3. Grants available

The grant amount will be up to 50 per cent of eligible project costs (grant percentage).

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

The maximum grant funding amount per project is AU\$1 million (exclusive of GST).

The grant funding amount will be fixed in Australian dollars. We will not increase grant funding for cost increases including currency fluctuations.

You must at least match grant funds received under the program with cash and/or in-kind contributions for eligible project activities conducted by Australian partners.

Global partners must contribute to the project and support their own project activities. Grant funding cannot be used to fund activities of global partners.

We treat proposed cash and in-kind resources from applicants equally for determining the 'matching' contributions against the grant funding.

Only applications of exceptional merit will be awarded the maximum grant amount of AU\$1 million.

The Minister may also determine that funding from this program will be provided to support a project which is of a larger scale and larger value, to support international business linkages in accordance with government to government agreements. This does not waive eligibility or assessment criteria.

### 3.1 Project duration

The maximum grant period is four years.

## 4. Priority areas

Your project must be in at least one of the following priority areas. In your application, you will need to select a primary priority area for your project.

- Advanced Manufacturing – [www.amgc.org.au](http://www.amgc.org.au)
- Food and Agribusiness – [www.fial.com.au](http://www.fial.com.au)
- Medical Technologies and Pharmaceuticals – [www.mtpconnect.org.au](http://www.mtpconnect.org.au)
- Mining Equipment, Technology and Services – [www.metsignited.org](http://www.metsignited.org)
- Oil, Gas and Energy Resources – [www.nera.org.au](http://www.nera.org.au)
- Cyber Security – [www.austcyber.com](http://www.austcyber.com)

These priority areas align with the Australian Government's Industry Growth Centres Initiative. Applications for funding are expected to align with the relevant Growth Centre's key themes, vision, strategic direction and/or Industry Knowledge Priorities. Applicants should engage with the relevant Growth Centre to develop a proposal. Further information on the Industry Growth Centre Initiative is available at [www.industry.gov.au](http://www.industry.gov.au) and the Growth Centres' websites links above.

## 5. Eligibility criteria

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

### 5.1 Who is eligible?

To be eligible for grant funding you must apply as a lead organisation on behalf of partners who have agreed to collaborate to undertake eligible activities (section 6.2).

To be an eligible lead organisation you must:

- have an Australian Business Number (ABN)

- be registered for GST

and be one of the following eligible entities:

- an Australian incorporated entity
- a Publicly Funded Research Organisation (PFRO) as defined in Appendix A
- a Cooperative Research Centre.

The project partners must include at least:

- one Australian industry entity and
- one Australian research organisation and
- one global partner.

If you have been a lead organisation, Australian partner or global partner in a separate project receiving grant funding you may still be eligible to apply or collaborate in a new project. However you will not be eligible where the proposed activity in the new application duplicates all or part of a project awarded grant funding. Activities may draw on the results of a previously funded project.

Australian partners, global partners and sub-contractors must not be named on the [World Bank Listing of Ineligible Firms & Individuals](#)<sup>2</sup>.

## 5.2 Additional eligibility requirements

To be eligible for grant funding, your application must:

- provide a project funding strategy for the Australian project activities, including evidence of the matched funding and/or in-kind contributions from partners
- provide an outline of the global partners' project activities including their anticipated funding.

Only the lead organisation can submit the application form and enter into the grant agreement with the Commonwealth. You can partner on multiple applications but you can only apply as the lead organisation for two applications in the grant round.

We cannot waive the eligibility criteria under any circumstances.

## 6. Eligible grant activities

### 6.1 Eligible projects

To be eligible your project must:

- include eligible activities (see section 6.2) and eligible expenditure (see section 6.3)
- be in at least one priority area (see section 4)
- include a global partner

### 6.2 Eligible activities

Eligible activities must be directly related to the project and can include:

- joint industry research projects with Australian partners and global partners
- conferences, workshops, symposia related to the joint research

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<sup>2</sup>

<http://web.worldbank.org/external/default/main?theSitePK=84266&contentMDK=64069844&menuPK=116730&pagePK=64148989&piPK=64148984>

- exchanges and secondments of personnel between Australia and global economies for purposes related to the joint research
- new research-related information sharing and communication initiatives related to the joint research
- clinical trials
- proof of concept activities
- pre-commercialisation of research outcomes
- work with one or more Growth Centres to develop research outcomes that meet the strategic priorities identified by industry partners.

We may also approve other activities.

### 6.3 Eligible expenditure

You can only spend grant funds on eligible expenditure you have incurred on an agreed project as defined in your grant agreement.

- For guidelines on eligible expenditure, see Appendix B.
- For guidelines on ineligible expenditure, see Appendix C.

We may update the guidelines on eligible and ineligible expenditure from time to time. If your application is successful, the version in place when you submitted your application applies to your project.

You must incur the project expenditure between the project start and end date for it to be eligible unless stated otherwise.

You must not commence your project until you execute a grant agreement with the Commonwealth. If you or your project partners choose to start your project before you enter into a grant agreement with the Commonwealth, you do so at your own risk.

## 7. The merit criteria you need to address

To be competitive, you will need to address each merit criterion in your application. We will assess your application against each merit criterion using the weighting indicated.

The application form asks questions that relate to the merit criteria below. The amount of detail and supporting evidence you provide in your application should be commensurate with the project size, complexity and funding amount requested. You should provide evidence to support your answers.

We will only award funding to applications that score highly against all merit criteria, as these represent best value for money.

You must attach

- a written proposal of no more than ten (10) A4 pages in 10-point Arial font addressing the merit criteria with your application form. You may include diagrams and tables where relevant
- A project plan of no more than five (5) A4 pages in 10-point Arial font as part of your response to Merit Criterion 2.

### 7.1 Merit criterion 1

#### **The extent to which your project improves international linkages with global economies (30 points)**

You should demonstrate this through identifying:



- a. the extent to which the project strengthens or builds new long-term collaboration with global economies and strategic alliances between researchers and industry
- b. the extent to which the project promotes access to and participation by Australian researchers in high quality, strategically focused leading edge, international science, research and technology.

## 7.2 Merit criterion 2

### **Your capacity, capability and resources to deliver the project (20 points)**

You should demonstrate this through identifying:

- a. your track record managing similar projects and access to personnel/partners with the right skills and experience
- b. your governance model including the role of each partner and how collaboration will be managed to improve your project outcomes, reporting arrangements, decision processes, risk management and appropriate IP management strategy
- c. your access, or future access to, any infrastructure, capital equipment, technology, intellectual property and required regulatory or other approvals
- d. a sound project plan to manage and monitor the project and risks.

## 7.3 Merit criterion 3

### **The impact of grant funding on your project (20 points)**

You should demonstrate this through identifying:

- a. the total investment the grant will leverage and explain how this benefits your project. Include cash and in-kind contributions from Australian partners and global partners, including any grant funding from other foreign government programs
- b. justification for the funding amount requested and/or the likelihood the project would proceed without the grant. Explain how the grant will impact the project in terms of size, timing and reach.

## 7.4 Merit criterion 4

### **The broader national benefits of your project (30 points)**

You should demonstrate this through identifying:

- a. the economic and national benefit/s to be gained from your project for the priority area/s of focus during the project and beyond. This may include:
  - the degree to which the project is likely to foster high quality research outcomes relevant to the challenges
  - the likelihood of the project generating beneficial IP for Australian partners and other arrangements and publications
  - likely commercialisation of any innovations created through the activity
- b. how the project improves Australia's participation and competitiveness in the global economy
- c. where projects involve research into cyber security, the degree to which the project aligns with Australia's cyber security and national security strategies and priorities

## 8. How to apply

Before applying you should read and understand these guidelines, the sample application form and the sample grant agreement published on [business.gov.au](https://business.gov.au) and [Grant Connect](#).

You can only submit an application during an application round. We will publish the opening and closing dates for each round on [business.gov.au](https://business.gov.au).

To apply, you must:

- complete the online Global Innovation Linkages application form on [business.gov.au](https://business.gov.au)
- provide all the information requested
- address all eligibility and merit criteria, ensuring each requirement has been considered
- include all necessary attachments.

When you submit your online application, we will provide you with an automated receipt number and a link. The link goes to a page where you can enter your email address to receive acknowledgment and a copy of your complete application.

You are responsible for ensuring your application is complete and accurate. Giving false or misleading information is a serious offence under the *Criminal Code 1995* (Cth). If we consider that you have provided false or misleading information we may not progress your application. If you find an error in your application after submitting it, you should call us immediately on 13 28 46.

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

If you need further guidance around the application process or if you are unable to submit online [contact us](#) at [business.gov.au](https://business.gov.au) or by calling 13 28 46.

### 8.1 Attachments to the application

We require the following documents with your application:

- responses to merit criteria (up to 10 A4 pages)
- project plan (up to 5 A4 pages)
- letter of support from lead applicant and all partners (template provided on [business.gov.au](https://business.gov.au))
- CVs for key personnel (template provided on [business.gov.au](https://business.gov.au))

You must attach supporting documentation to the application form in line with the instructions provided within the form. The total size of all attachments and the application form should not exceed 20MB. You should only attach requested documents. We will not consider information in attachments that we do not request.

### 8.2 Timing of grant opportunity

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

Table 1: Expected timing for this grant opportunity

Activity	Timeframe
Assessment of applications	10 weeks
Approval of outcomes of selection process	3 weeks
Negotiations and award of grant agreements	6.5 weeks
Notification to unsuccessful applicants	2 weeks
Earliest start date of project	Agreement execution date
End date of grant commitment	30 June 2023

### 8.3 Joint applications

Only the lead organisation can submit the application form and enter into the grant agreement with the Commonwealth. You can partner on multiple applications but you can only apply as the lead organisation for two applications in the grant round.

The application should identify all other members of the proposed group and include a letter of support from each of the project partners. You can add the details of up to ten partners in the application form. Each letter of support must be submitted using the appropriate template available from [business.gov.au](http://business.gov.au) and should include:

- details of the project partner
- an overview of how the project partner will work with the lead organisation and any other project partners in the group to successfully complete the project
- details of any cash or in-kind contributions to the project
- an outline of the relevant experience and/or expertise the project partner will bring to the group
- the roles/responsibilities the project partner will undertake, and the resources it will contribute (if any)
- details of a nominated management level contact officer.

You may secure additional project partners or may substitute project partners during the period of the grant agreement, subject to the conditions of the grant agreement.

## 9. The selection process

We first assess your application against the eligibility criteria. Only eligible applications will proceed to the merit assessment stage. We will notify you if your application is ineligible.

We refer your application to an independent committee of experts. The Committee will include experts in industries and technologies relevant to each particular application round.

The Committee may seek additional advice from independent technical experts.

The Committee will assess your application against the merit criteria and compare it to other eligible applications in a funding round before recommending which projects to fund.

To recommend an application for funding it must score highly against each merit criterion. While the Committee assesses all applications against the same merit criteria, it will assess your application relative to others based on the project size, complexity and grant funding amount requested. The Committee will also take into account the spread of support across priority areas and global economies.

If the selection process identifies unintentional errors in your application, we may contact you to correct or clarify the errors, but you cannot make any material alteration or addition.

## 9.1 Final decision

The Program Delegate (who is an AusIndustry general manager with responsibility for the program) decides which grants to approve taking into account the recommendations of the committee and the availability of grant funds.

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

- the approval of applications for funding
- the Grant Funding amount to be awarded
- the terms and conditions of funding.

We will not review decisions.

## 10. Notification of application outcomes

If you are successful, you will receive a written offer, including any specific conditions attached to the grant.

If you are unsuccessful, we will notify you in writing and give you an opportunity to discuss the outcome with us. You can submit a new application for the same (or similar) project in any future funding rounds. You should include new or more information to address the weaknesses identified in your previous application. If a new application is substantially the same as a previous ineligible or unsuccessful application, we may refuse to consider it for merit assessment.

## 11. If your application is successful

### 11.1 Grant agreement

You must enter into a grant agreement with the Department of Industry, Innovation and Science, acting on behalf of the Commonwealth, to receive payment of the grant. A sample [grant agreement](#) is available on [business.gov.au](http://business.gov.au) and [GrantConnect](#).

You will have 60 days from the date of offer to execute a 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. We may withdraw the offer if both parties do not execute 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. We will review any required changes to these details to ensure they do not impact the project as approved by the Program Delegate.

We will not make any grant payments until there is an executed grant agreement in place. We are not responsible for any expenditure until a grant agreement is in place.

You may secure additional project partners or may substitute project partners during the period of the grant agreement, subject to the conditions of the grant agreement. Project partners are not required to commit for the full funding period.

There may be specific conditions attached to the funding approval as a result of the assessment process or other considerations made by the Minister. We will identify these in the offer of funding including how and when they need to be met.

If you enter a grant agreement under the program, you cannot receive grants for the same project under any other Commonwealth state or territory granting programs.

Your agreement with project partners must verify cash and in-kind support.

You will need to report against project partner contributions (both cash and in-kind) that have been received each year during milestone reporting.

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

## 11.2 How we pay the grant

The grant agreement will state the:

- maximum grant amount
- cash and in-kind contribution of partners to the activities

We will not exceed the maximum grant amount under any circumstances. If you incur extra costs, you must meet them yourself.

We will make payments according to an agreed schedule set out in the grant agreement. Payments are subject to satisfactory progress on the project.

We set aside a minimum of five per cent of the total grant funding for the final payment. We will pay this when you submit a satisfactory final report demonstrating you have completed outstanding obligations for the project. We may need to adjust your progress payments to align with available program funds across financial years and/or to ensure we retain the minimum five per cent of grant funding for the final payment.

## 11.3 How we monitor your project

You must submit reports in line with the grant agreement. Templates for these reports will be provided as appendices in the grant agreement. You will also be able to download them from [business.gov.au](http://business.gov.au). We will remind you of your reporting obligations before a report is due. We will expect you to report on:

- progress against agreed project milestones
- project expenditure, including expenditure of grant funds
- contributions of partners directly related to the project

The amount of detail you provide in your reports should be commensurate with the project size, complexity and grant amount.

We will monitor the progress of your project by assessing reports you submit and may conduct site visits to confirm details of your reports. Occasionally we may need to re-examine claims, seek further information or request an independent audit of claims and payments.

### 11.3.1 Progress reports

Progress reports must:

- include details of your progress towards completion of agreed project activities
- show the total eligible expenditure incurred to date
- include evidence of expenditure
- be submitted by the report due date (you can submit reports ahead of time if you have completed relevant project activities)
- be in the format provided in the grant agreement.

We will only make grant payments when we receive satisfactory progress reports.

You must discuss any project or milestone reporting delays with us as soon as you become aware of them.

### 11.3.2 Interim reports

Interim reports must:

- estimate the total eligible expenditure incurred to date
- identify any concerns or delays
- be submitted by the report due date
- be in the format provided in the grant agreement.

### 11.3.3 Final report

When you complete the project, you must submit a final report.

Final reports must:

- include the agreed evidence as specified in the grant agreement
- identify the total eligible expenditure incurred for the project
- be submitted by the report due date
- be in the format provided in the grant agreement.

### 11.3.4 Ad-hoc report

We may ask you for ad-hoc reports on your project. This may be to provide an update on progress, or any significant delays or difficulties in completing the project.

### 11.3.5 Independent audit report

We may ask you to provide an independent audit report. An audit report will verify that you spent the grant in accordance with the grant agreement. The audit report requires you to prepare a statement of grant income and expenditure. The report template is attached to the sample grant agreement available from [business.gov.au](http://business.gov.au).

## 11.4 Compliance visits

We may visit you during the project period, or at the completion of your project to review your compliance with the grant agreement. We may also inspect the records you are required to keep under the grant agreement. For large or complex projects, we may visit you after you finish your project. We will provide you with reasonable notice of any compliance visit.

## 11.5 Grant agreement variations

We recognise that unexpected events may affect project progress. In these circumstances, you can request a project variation, including:

- changing project milestones and activities
- changes in partnership arrangements
- changes in the lead organisation
- changes to dealing with project IP
- changes to personnel

Note the program does not allow for an increase of grant funds.

If you want to propose changes to the grant agreement, you must put them in writing before the grant agreement end date. We can provide you with a variation request template.

We will not consider changes after the grant agreement end date.

If a delay in the project results in milestone achievement and payment dates moving to a different financial year, you will need a variation to the grant agreement. We can only move grant funds between financial years if there is enough program funding in the relevant year to accommodate the revised payment schedule. If we cannot move the funds, you may lose some grant funding.

You should not assume that a variation request will be successful. We will consider the request in the context of factors such as:

- impacts on the project outcome
- consistency with the program policy objective, grant opportunity guidelines and any relevant policies of the department
- changes to the timing of grant payments
- availability of program funds.

## 11.6 Keeping us informed

You should let us know if anything is likely to affect your project or organisation.

We need to know of any key changes to your organisation or its business activities, particularly if they affect your ability to complete your project, carry on business and pay debts due.

You must also inform us of any changes to your:

- name
- addresses
- nominated contact details
- bank account details.

If you become aware of a breach of terms and conditions under the grant agreement you must contact us immediately.

You must notify us of events relating to your project and provide an opportunity for the Minister or their representative to attend.

## 11.7 Evaluation

We will evaluate the program to determine the extent to which the funded activity is contributing to the program objectives and outcomes. We may use information from your application and project reports for this purpose. We may also interview you, or ask you for more information to help us understand how the grant impacted you and to evaluate how effective the program was in achieving its outcomes. We may contact you up to one year after you finish your project for more information to assist with this evaluation.

## 11.8 Tax obligations

If you are registered for the Goods and Services Tax (GST), we will add GST to your grant payment where applicable and provide you with a recipient created tax invoice. You are required to notify us if your GST registration status changes during the project period.

Grants are assessable income for taxation purposes, unless exempted by a taxation law. We recommend you seek independent professional advice on your taxation obligations or seek assistance from the [Australian Taxation Office](#). We do not provide advice on tax.

## 11.9 Grant acknowledgement

If you make a public statement about a project funded under the program, you must acknowledge the grant by using the following:

‘This project received grant funding from the Australian Government.’

## 12. Conflicts of Interest

### 12.1 Your conflict of interest responsibilities

A conflict of interest will occur if your private interests conflict with your obligations under the grant. Conflicts of interest could affect the awarding or performance of your grant. A conflict of interest can be:

- real (or actual)
- apparent (or perceived)
- potential.

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

If you later identify that there is an actual, apparent, or potential conflict of interest or that one might arise in relation to your grant, you must inform us in writing immediately.

### 12.2 How we manage conflicts of interest

We recognise that conflicts of interest may arise with our staff, technical experts, committee members and others delivering the program between:

- their program duties, roles and responsibilities and
- their private interests.

We manage our conflicts of interest according to the APS Code of Conduct (section 13 (7) of the *Public Service Act 1999* (Cth)). We publish our [conflict of interest policy](#)<sup>3</sup> on the department's website.

Program officials must declare any conflicts of interest. If we consider a conflict of interest is a cause for concern, that official will not take part in the assessment of relevant applications and/or project milestones under the program.

## 13. How we use your information

Unless the information you provide to us is:

- confidential information as per 13.1, or
- personal information as per 13.3

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<https://www.industry.gov.au/AboutUs/InformationPublicationScheme/Ourpolicies/Documents/Conflict-of-Interest-and-Inside-Trade-Expectations-Policy.pdf>



we may share the information with other government agencies for a relevant Commonwealth purpose such as:

- to improve the effective administration, monitoring and evaluation of Australian Government programs
- for research
- to announce the awarding of grants.

### 13.1 How we handle your confidential information

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

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

### 13.2 When we may disclose confidential information

We may disclose confidential information:

- to the Committee and our Commonwealth employees and contractors, to help us manage the program effectively
- to the Auditor-General, Ombudsman or Privacy Commissioner
- to the responsible Minister or Assistant Minister
- to a House or a Committee of the Australian Parliament.

We may also reveal confidential information if:

- we are required or authorised by law to disclose it
- you agree to the information being disclosed, or
- someone other than us has made the confidential information public.

### 13.3 How we use your personal information

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

- what personal information we are collecting
- why we are collecting your personal information
- who we will give your personal information.

We may give the personal information we collect from you, to our employees and contractors, Committee, and other Commonwealth employees and contractors, so we can:

- manage the program
- research, assess, monitor and analyse our programs and activities.

We, or our Minister, may:

- announce to the public the names of successful applicants
- publish personal information on the department's websites.

Please read our [Privacy Policy](#)<sup>4</sup> on the Department of Industry, Innovation and Science website for more information on:

- what is personal information
- how we collect, use, store and reveal your personal information
- how you can access and correct your personal information.

### 13.4 Public announcement

We will publish non-sensitive details of successful projects on [GrantConnect](#)<sup>5</sup> and [business.gov.au](#). We are required to do this by the *Commonwealth Grants Rules and Guidelines* and the [Australian Government Public Data Policy Statement](#)<sup>6</sup>, unless otherwise prohibited by law. This information may include:

- name of your organisation
- title of the project
- description of the project and its aims
- amount of grant funding awarded
- Australian Business Number
- organisation location
- your organisation's industry sector.

We publish this information to ensure open access to non-sensitive data within Australian Government agencies to enable greater innovation and productivity across all sectors of the Australian economy.

### 13.5 Intellectual Property rights

You must provide details of Intellectual Property (IP) issues in your application form. This includes both the use of IP in the project and the proposed ownership rights to IP generated by the project as well as strategies for protecting Australia's interests. Where IP is likely to be generated by the project, successful applicants will be required to conclude protocols or contracts with their Australian partners and global partners on the management of IP issues. These agreements should be in accordance with laws and regulations prevailing in Australia and global economies and adhere to the following principles:

- adequate and effective protection and equitable distribution of any benefits from IP or resulting directly from cooperative activities (foreground IP rights)
- ownership of foreground IP rights to be allocated on the basis of respective contribution and equitable interests
- the proportion of contributions from partners and subsequently their proportion of return from any income or access to IP is a matter for the partners
- terms and conditions for the commercialisation and other forms of dissemination of the foreground IP rights

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<sup>4</sup> <http://www.industry.gov.au/Pages/PrivacyPolicy.aspx>

<sup>5</sup> [www.grants.gov.au](http://www.grants.gov.au)

<sup>6</sup> <http://www.dpmc.gov.au/resource-centre/data/australian-government-public-data-policy-statement>

- adequate and effective protection of IP rights provided by the organisations, enterprises and institutions prior to or in the course of such cooperative activities, for example, the licensing or utilisation of such IP rights on equitable terms (background IP rights).

## 14. Enquiries and feedback

For further information or clarification, you can contact us on 13 28 46 or by [web chat](#) or through our [online enquiry form](#) on business.gov.au.

We may publish answers to your questions on our website as Frequently Asked Questions.

Our [Customer Service Charter](#) is available at business.gov.au. We use customer satisfaction surveys to improve our business operations and service.

If you have a complaint, call us on 13 28 46. We will refer your complaint to the appropriate manager.

If you are not satisfied with the way we handle your complaint, you can contact:

Head of Division

AusIndustry – Business Services

Department of Industry, Innovation and Science

GPO Box 2013

CANBERRA ACT 2601

You can also contact the [Commonwealth Ombudsman](#)<sup>7</sup> with your complaint (call 1300 362 072).

There is no fee for making a complaint, and the Ombudsman may conduct an independent investigation.

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<sup>7</sup> <http://www.ombudsman.gov.au/>

## Appendix A. Definitions of key terms

Term	Definition
Application form	The document issued by the Program Delegate that applicants use to apply for funding under the program.
AusIndustry	The division of the same name within the department.
Australian Industry Entity	<p>An Australian legal entity that:</p> <ul style="list-style-type: none"> <li>▪ has an Australian Business Number (ABN)</li> <li>▪ is registered for GST</li> <li>▪ derives the majority of its revenue from non-government sources, and</li> <li>▪ is capable of deploying research outputs in a commercial context.</li> </ul> <p>This does not include organisations that are:</p> <ul style="list-style-type: none"> <li>▪ research organisations; or</li> <li>▪ entities whose primary function is administrative or to provide support services to the project.</li> </ul>
Australian Partners	Australian industry entities and research organisations which are participants in a project.
Australian Research Organisation	<p>An Australian legal entity undertaking research, including:</p> <ul style="list-style-type: none"> <li>▪ all higher education providers listed at Table A and Table B of the <i>Higher Education Support Act 2003 (Cth)</i></li> <li>▪ Cooperative Research Centres</li> <li>▪ Medical research institutes</li> <li>▪ research service providers for the purposes of the Research and Development Tax Incentive legislation</li> <li>▪ State and Territory Government departments or agencies which undertake publicly funded research, and</li> <li>▪ corporate Commonwealth entities</li> </ul> <p>where the entity's research activities form a sufficiently significant proportion of the entity's overall activities.</p>
Department	The Department of Industry, Innovation and Science.
Eligible activities	The activities undertaken by a grantee in relation to a project that are eligible for funding support as set out in 7.2
Eligible application	An application or proposal for grant funding under the program that the Program Delegate has determined is eligible for assessment in accordance with these guidelines.

Term	Definition
Eligible expenditure	The expenditure incurred by a grantee on a project and which is eligible for funding support as set out in 7.3
Eligible expenditure guidelines	The guidelines that are at Appendix B.
Global Partners	The foreign entities which are participants in a project for which an application for grant funding is made.
Global economies	Countries and economies outside Australia.
Grant agreement	A legally binding contract between the Commonwealth and a grantee for the grant funding
Grant funding or grant funds	The funding made available by the Commonwealth to grantees under the program.
Grantee	The recipient of grant funding under a grant agreement.
Growth Centre	A not-for-profit company limited by guarantee responsible for delivering the <a href="#">Industry Growth Centres Initiative</a> <sup>8</sup> .
Guidelines	Guidelines that the Minister gives to the department to provide the framework for the administration of the program, as in force from time to time.
Indirect Support Costs of Research	The costs that do not directly support an individual research activity including institutional overheads and administrative charges, infrastructure and facilities such as physical space and all the services associated with it, furniture and consumables that are not specific to the research activity.
Lead Organisation	The industry entity or research organisation in a collaboration responsible for managing the project on behalf of the collaboration.
Minister	The Commonwealth Minister for Industry, Innovation and Science.
Partner	The Australian partners and global partners of the project engaged in eligible activities and/or providing support (including essential cash or in-kind contributions) that are integral to the success of a project and are specifically listed in an application.  Personal Information means the same as in the Privacy Act 1988 (Cth).
Program	The Global Innovation Linkages program.

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<sup>8</sup> <http://www.business.gov.au/advice-and-support/IndustryGrowthCentres/Pages/default.aspx>

Term	Definition
Program Funding or program Funds	The funding made available by the Commonwealth for the program in any given financial year, being the funding specified in the Portfolio Budget Statement (as varied by any Portfolio Additional Estimates Statement or by the Minister) for that year.
Grant Opportunity Guidelines or Guidelines	The guidelines approved by the Minister to provide a framework for the operation and administration of the program, as in force from time to time.
Personal information	<p>Has the same meaning as in the <i>Privacy Act 1988</i> (Cth) which is:</p> <p>Information or an opinion about an identified individual, or an individual who is reasonably identifiable:</p> <ol style="list-style-type: none"> <li>a. whether the information or opinion is true or not; and</li> <li>b. whether the information or opinion is recorded in a material form or not.</li> </ol>
Program Delegate	An AusIndustry general manager within the department with responsibility for the program.
Program funding or program funds	The funding made available by the Commonwealth for the program.
Project	A project described in an application for grant funding under the program.
Publicly funded research organisation (PFRO)	All higher education providers listed at Table A and Table B of the <i>Higher Education Support Act 2003</i> (Cth) or corporate Commonwealth entities, and state and territory government departments or agencies which undertake publicly funded research.
Small and Medium Enterprise (SME)	Businesses with less than 200 employees.

## Appendix B. Guidelines on eligible expenditure

This section provides guidelines on the eligibility of expenditure of grant funds. We will update these guidelines from time to time, so you should make sure you have the current version from the [business.gov.au](http://business.gov.au) website before preparing your application.

The Program Delegate makes the final decision on what is eligible expenditure and may issue additional guidance on eligible expenditure if required. The Program Delegate may impose limitations or exclude, or further include some eligible expenditure listed in these guidelines in a grant agreement or otherwise by notice to the grantee.

To be eligible, expenditure must:

- be incurred by the grantee (or Australian partner) within the project period and for approved eligible activities
- meet these eligible expenditure guidelines.

### 14.1 How we verify eligible expenditure

If your application is successful, we may ask you to verify the project budget that you provided in your application when negotiating your grant agreement. You may need to provide evidence for major cost items.

You will need to detail and cost all in-kind contributions. **In-kind contributions must be able to be assigned a monetary value and be auditable.** In-kind costs must be directly related to costs of delivering the activities of the project. They can include salaries of staff for the time they are involved and other costs incurred for the duration of these activities.

The grant agreement will also include details of the evidence you may need to provide when you achieve certain milestones in your project. This may include evidence related to eligible expenditure

If requested, you will need to provide the agreed evidence along with your milestone achievement reports.

You must also keep payment records of all eligible expenditure, and must be able to explain how the costs relate to agreed project milestones and activities. At any time, we may ask you to provide records of your paid expenditure. If you do not provide these records when requested, the expense may not qualify as eligible expenditure.

### 14.2 Eligible expenditure

Grant funds must be eligible expenditure directly related to the project. Eligible expenditure can include:

- salaries for researchers and support staff, fellowships and student stipends, and direct salary and on-costs for Australian personnel directly employed for the project activities (on a pro-rata basis relative to their time commitment)
- contractor costs
- costs of acquiring intellectual property and technology
- communication costs
- staff training that directly supports the achievement of project outcomes
- international travel and associated costs
- financial auditing of project expenditure

- workshops in support of the activities, knowledge transfer and capability development
- cost of materials consumed in testing a process or prototype, including costs incurred in validation, establishing efficacy, demonstration of capability, scale-up, and development of evidence of the stability or reproducibility of processes.

Other specific expenditures may be eligible as determined by the Program Delegate.

### 14.3 Overseas expenditure limits

Where grant funds are to be spent overseas, consistent with the grant agreement, such expenditure must significantly improve the competitiveness, productivity and sustainability of Australian industries, especially in line with government priorities. Grant funds cannot be spent overseas for the indirect support costs of research.

Eligible activities under the program may be conducted in Australia or overseas and may be conducted by the applicant's or Australian partners' staff, contractors or subcontractors. Eligible overseas activity expenditure is not capped but will be reviewed as part of the assessment process. In deciding whether to approve a project with large amounts of overseas expenditure the Program Delegate will consider matters such as:

- the appropriateness of carrying out activities overseas rather than in Australia
- cost implications
- the benefits associated with conducting the activity overseas in helping the project meet the program objectives
- the benefits for the applicant or Australian partners from the activity occurring overseas.

### 14.4 Travel costs

International travel and associated costs to global partner countries and living allowance for periods of time in those countries by Australian personnel directly involved in project activities are considered eligible expenditure, as noted above in this section. This includes postgraduate students (consistent with the requirements of the [Australian Postgraduate Awards](#)<sup>9</sup>) who are travelling for the purposes of the eligible activities. Travel and living allowance expenses must not exceed 20 per cent of the grant funds awarded. Eligible costs are:

1. travel costs for international economy class return airfares and domestic economy class transportation while overseas
2. living allowance including accommodation and meals, during periods of time overseas
3. visa and insurance costs associated with travel to global partner countries.

Expenditure is limited to the reasonable cost of accommodation and transportation required to conduct project activities overseas.

Specific travel costs not identified in the application are not eligible unless the Program Delegate approves a request from the applicant prior to the travel taking place.

### 14.5 Labour on-costs and administrative overhead

Eligible salary costs can be increased by an additional 30% allowance to cover on-costs such as employer paid superannuation, payroll tax and workers compensation insurance, and overheads such as office rent and the provision of computers.

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<sup>9</sup> <http://www.education.gov.au/australian-postgraduate-awards>



You should calculate eligible salary costs using the formula below:

$$\text{Eligible salary costs} = \text{Annual salary package} \times \frac{\text{Weeks spent on project}}{52 \text{ weeks}} \times \text{percentage of time spent on project}$$

You cannot base labour costs on an estimation of the employee's worth. If you have not exchanged money (either by cash or bank transactions) we will not consider the cost eligible.

We will only consider salaries paid to principals and/or their relatives as eligible labour expenditure when the ATO has assessed tax payable on the salary.

Evidence you will need to provide can include:

- details of all personnel working on the project, including name, title, function, time spent on the project and salary
- ATO payment summaries, pay slips and employment contracts.

## Appendix C. Ineligible expenditure

This section provides guidelines on the ineligible expenditure of Commonwealth Government grant funds. We will update these guidelines from time to time, so you should make sure you have the current version from the [business.gov.au](http://business.gov.au) website before preparing your application.

The Program Delegate may impose limitations or exclude expenditure, or further include some ineligible expenditure listed in these guidelines in a grant agreement or otherwise by notice to you.

You must not use grant funds for renovation or extension of buildings and facilities under any circumstances.

You must not use grant funds to pay a partner for the indirect support costs of research and staff employed by the partner. The partner should meet such costs.

You must not use grant funds to reimburse partners for the costs associated with existing staff or other resources committed by the partners to the project as in-kind contributions under the grant agreement.

You must not use grant funds to fund activities of global partners.

Ineligible expenses include:

- activities, equipment or supplies that are already being supported through other sources
- costs incurred prior to signing a grant agreement with the Commonwealth
- indirect support costs of research, not listed in eligible expenses
- costs associated with activities undertaken by the global partners, for example, travel to Australia, living costs in Australia, research undertaken solely by global partners' researchers etc.
- institutional overheads and administrative charges
- costs that duplicate the in-kind support from the partners in the project
- costs associated with the internal preparation of finance and audit statements
- 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 involved in the purchase or upgrade / hire of software (including user licences) and ICT hardware (unless it can only be used for the project)
- costs associated with market research for products or research carried out by surveys to assess the size of the market and the price of a particular service or product
- costs associated with marketing projects, i.e. activities aimed at creating demand for goods and services of consumers, businesses and government
  - costs such as rental, renovations and utilities
  - salaries for non-Australian personnel, including consultants
  - non-project-related staff training and development costs
  - fees for international students, or the Higher Education Contribution Scheme (HECS) and Higher Education Loan Program (HELP) liabilities for students
  - insurance costs (the partners must effect and maintain adequate insurance or similar coverage for any liability arising as a result of its participation in funded activities)
  - staff recruitment and relocation costs

- Australian researcher domestic travel and living allowance
- debt financing
- costs of Australia's membership of international science and technology projects
- subscription costs for access by Australian personnel to major international research facilities

This list is not exhaustive and applies only to the expenditure of the grant funds. Other costs may be ineligible where we decide that they do not directly support the achievement of the planned outcomes for the project or that they are contrary to the objective of the program. The lead partner must ensure it has adequate funds to meet the costs of any ineligible expenditure associated with the project.