

## Australia-India Strategic and Technology Policy Initiative (SATPI)

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<b>Opening date:</b>	12:00 AEST on 20 August 2024
<b>Closing date and time:</b>	23:00 AEST on 29 September 2024
<b>Commonwealth policy entity:</b>	Department of Foreign Affairs and Trade
<b>Enquiries:</b>	If you have any questions, contact <a href="mailto:SATPI.Grants@dfat.gov.au">SATPI.Grants@dfat.gov.au</a> Questions should be sent no later than 23:59 AEST on 24 September 2024
<b>Date guidelines released:</b>	20 August 2024
<b>Type of grant opportunity:</b>	Open competitive

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# Contents

<b>1. Australia-India Strategic and Technology Policy Initiative (SATPI) processes .....</b>	<b>4</b>
<b>2. About the grant program.....</b>	<b>5</b>
2.1 About Grant Stream 1: SATPI flagship grant.....	6
2.2 About Grant Stream 2: SATPI major grants and Grant Stream 3: SATPI minor grants ..	7
<b>3. Grant amount and grant period.....</b>	<b>7</b>
3.1 Grants available .....	7
3.2 Grant period .....	7
<b>4. Eligibility criteria .....</b>	<b>8</b>
4.1 Who is eligible to apply for a grant?.....	8
4.2 Who is not eligible to apply for a grant?.....	9
4.3 What qualifications, skills or checks are required?.....	9
<b>5. What the grant money can be used for .....</b>	<b>9</b>
5.1 Eligible grant activities .....	9
5.2 Eligible locations .....	9
5.3 Eligible expenditure.....	9
5.4 What the grant money cannot be used for.....	10
<b>6. The assessment criteria .....</b>	<b>10</b>
<b>7. How to apply.....</b>	<b>11</b>
7.1 Attachments to the application.....	12
7.2 Joint (consortia) applications .....	12
7.3 Timing of grant opportunity processes.....	13
7.4 Questions during the application process.....	13
<b>8. The grant selection process .....</b>	<b>13</b>
8.1 Assessment of grant applications .....	13
8.2 Who will assess applications? .....	14
8.3 Who will approve grants? .....	14
<b>9. Notification of application outcomes.....</b>	<b>14</b>
<b>10. Successful grant applications .....</b>	<b>14</b>
10.1 The grant agreement .....	15
10.2 How we pay the grant .....	15
10.3 Grants Payments and GST.....	16
<b>11. Announcement of grants .....</b>	<b>16</b>
<b>12. How we monitor your grant activity .....</b>	<b>16</b>
12.1 Keeping us informed .....	16
12.2 Reporting .....	16
12.3 Financial declaration .....	17
12.4 Grant agreement variations .....	17

12.5	Compliance visits .....	18
12.6	Record keeping .....	18
12.7	Evaluation .....	18
12.8	Acknowledgement.....	18
<b>13.</b>	<b>Probity.....</b>	<b>18</b>
13.1	Enquiries and feedback .....	18
13.2	Conflicts of interest .....	19
13.3	Privacy .....	19
13.4	Confidential Information .....	20
13.5	Freedom of information.....	20
<b>14.</b>	<b>Preventing Sexual Exploitation Abuse and Harassment (PSEAH).....</b>	<b>20</b>
<b>15.</b>	<b>Gender Equality, Disability and Social Inclusion (GEDSI).....</b>	<b>21</b>
<b>16.</b>	<b>Glossary.....</b>	<b>22</b>

# Australia-India Strategic and Technology Policy Initiative (SATPI) processes

## **SATPI is designed to achieve Australian Government objectives**

This grant opportunity is part of the above grant program which contributes to Outcome 1 of the Department of Foreign Affairs and Trade's Portfolio Budget Statements. The Department of Foreign Affairs and Trade works with stakeholders to plan and design the grant program according to the [Commonwealth Grants Rules and Guidelines \(CGRGs\)](#).



## **The grant opportunity opens**

We publish the grant guidelines on [GrantConnect](#).



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

You complete the application form and address all of the eligibility and assessment criteria to be considered for a grant.



## **We assess all grant applications**

We assess the applications against eligibility criteria and notify you if you are not eligible. We assess your eligible application against the assessment criteria including an overall consideration of value with money.



## **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 you if successful. The type of grant agreement is based on the nature of the grant and will be proportional to the risks involved.



## **Delivery of grant**

You undertake the grant activity as set out in your grant agreement. We [or other entity if applicable] manage the grant by working with you, monitoring your progress and making payments.



## **Evaluation of SATPI**

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

## 1.1 Introduction

These guidelines contain information on the **Australia-India Strategic and Technology Policy Initiative**, under which the Department of Foreign Affairs and Trade is offering grants that advance the Australia-India Comprehensive Strategic Partnership and that address shared Australia-India strategic and technology issues and interests in the Indo-Pacific region.

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; and
- responsibilities and expectations in relation to the opportunity.

## 2. About the grant program

The **Australia-India Strategic and Technology Policy Initiative** (SATPI, the program) is a new, multi-year grants program administered by the Department of Foreign Affairs and Trade. In broad terms, it seeks to encourage collaboration between Australian and Indian research organisations and to promote greater understanding of strategic and technology policy matters, so that Australia and India may better address shared challenges and work together on shared opportunities in this space.

SATPI complements the Australian Government's increased engagement with India, including on strategic and technology policy matters.

At the second Australia-India 2+2 Ministerial Dialogue held in New Delhi on 20 November 2023, Australia's Deputy Prime Minister and Minister for Defence, the Hon Richard Marles MP, and Minister for Foreign Affairs, Senator the Hon Penny Wong met their Indian counterparts Minister of Defence of India, Shri Rajnath Singh, and Minister of External Affairs of India, Dr. S. Jaishankar.

At the 2+2 Ministerial Dialogue, ministers announced, amongst other things, a new 1.5 track India-Australia Strategic Dialogue, which ministers noted would include representatives from government, academia, think tanks, the strategic community, industry representatives and policy makers. Delivery of the new 1.5 track India-Australia Strategic Dialogue is a key component of SATPI. SATPI will run over 3 financial years from 2024-25 to 2026-27.

### Program objectives

The objectives of the program are:

- to advance the Australia-India Comprehensive Strategic Partnership (**Objective 1**); and
- to address shared Australia-India strategic and technology issues and interests in the Indo-Pacific region (**Objective 2**).

### Program outcomes

The intended outcomes of the program are to advance engagement and understanding between Australia and India on shared strategic and/or technology policy issues by:

- establishing and delivering an annual 1.5 track strategic dialogue between Australia and India (**Outcome 1**);
- developing policy reforms and recommendations (**Outcome 2**);
- enhancing bilateral and regional cooperation between Australia and India (**Outcome 3**);
- deepening linkages between Australian and Indian government and non-government organisations (**Outcome 4**); and
- fostering regional collaboration within the Indo-Pacific (**Outcome 5**).

### Program grant streams

SATPI comprises three distinct grant streams (see further sections 2.1 and 2.2):

- **Grant Stream 1: SATPI flagship grant** – single grant of up to \$500,000 per financial year of the grant period for the establishment and delivery of an annual 1.5 track strategic dialogue between Australia and India;
- **Grant Stream 2: SATPI major grants** – multiple larger grants of between \$250,000 to \$500,000 per financial year for the grant period;
- **Grant Stream 3: SATPI minor grants** – multiple smaller grants of between \$50,000 and \$200,000 per financial year for the grant period.

Achieving value with relevant money is the primary consideration guiding DFAT's design of this grant opportunity and will remain DFAT's primary focus throughout the life of any grant agreement.

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

#### 2.1 About Grant Stream 1: SATPI flagship grant

The flagship grant activity of the SATPI grant program is the establishment and delivery of an annual 1.5 track strategic dialogue between Australia and India (the **1.5 Track Strategic Dialogue**, the **Dialogue**).

The 1.5 Track Strategic Dialogue was announced during the second Australia-India 2+2 Ministerial Dialogue in November 2023 in New Delhi, India.

The Dialogue is intended to include representatives from government, academia, think tanks, the strategic community, industry representatives and policy makers and provide a forum to share perspectives and policy solutions on challenges facing the Indo-Pacific region.

The successful grant recipient for Grant Stream 1 will be required to establish and deliver the Dialogue in close consultation with the Department of Foreign Affairs and Trade and the Government of India's delivery partner (expected to be the India Council of World Affairs).

For Grant Stream 1, applications must meet SATPI's program objectives (Objective 1 and Objective 2), and must satisfy Outcome 1. Grant applications in Grant Stream 1 may be strengthened by demonstrating how other SATPI program outcomes are achieved (Outcome 2 – Outcome 5).

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<sup>1</sup> <https://www.finance.gov.au/sites/default/files/2019-11/commonwealth-grants-rules-and-guidelines.pdf>

## 2.2 About Grant Stream 2: SATPI major grants and Grant Stream 3: SATPI minor grants

Grant Stream 2 and Grant Stream 3 offer funding for SATPI grant activities other than the delivery and establishment of the 1.5 Track Strategic Dialogue.

Without limiting the scope of potential grant activities, SATPI grant activities for Grant Stream 2 and Grant Stream 3 may include:

- delivering conferences, workshops, training sessions, masterclasses and other events;
- delivering short-term (2-6 weeks) fellowships, residencies, secondments or other scholarship opportunities;
- delivering policy-maker and thought-leader exchanges and visit programs;
- undertaking research and publishing original, well-informed, research and policy recommendation papers; or
- other activities which would advance program objectives and outcomes;

where such activities advance engagement and understanding between Australia and India on shared strategic and technology policy issues.

For Grant Stream 2 and Grant Stream 3, applications must meet SATPI's program objectives (Objective 1 and Objective 2), and must satisfy at least one SATPI program outcome from Outcome 2 – Outcome 5. Grant applications in Grant Stream 2 and Grant Stream 3 may be strengthened by demonstrating how more than one SATPI program outcomes are achieved (Outcome 2 – Outcome 5).

## 3. Grant amount and grant period

### 3.1 Grants available

A total of \$3,750,000 is available under SATPI across three financial years from 2024-25 to 2026-27.

- \$1,250,000 is available in FY 2024-25;
- \$1,250,000 is available in FY 2025-26;
- \$1,250,000 is available in FY 2026-27.

This total funding will be spread across multiple grants.

SATPI comprises three distinct grant opportunity streams:

- **Grant Stream 1: SATPI flagship grant** – grant of up to \$500,000 per financial year for the grant period for the establishment and delivery of the 1.5 Track Strategic Dialogue;
- **Grant Stream 2: SATPI major grants** – multiple larger grants of between \$250,000 to \$500,000 per financial year for the grant period; and
- **Grant Stream 3: SATPI minor grants** – multiple smaller grants of between \$50,000 and \$200,000 per financial year for the grant period.

Co-contributions from grant applicants and other parties may strengthen a grant application.

Eligible entities may submit one application per Grant Stream.

### 3.2 Grant Program period

Grants will be between one and three years, depending on the scope of the grant activity and its complexity. Grant applications will be required to specify the proposed grant period.

- **Grant Stream 1: SATPI flagship grant** – a period up to 30 June 2027;
- **Grant Stream 2: SATPI major grants** – a period up to two years, with an option to extend to 30 June 2027;
- **Grant Stream 3: SATPI minor grants** – a period up to two years.

All grant activities must commence in 2024 and, if not concluded prior, be concluded by 30 June 2027.

## 4. Eligibility criteria

We 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 you must:

- be based in Australia;
- have an Australian Business Number (ABN) or equivalent business registration number;
- be registered for the purposes of GST, if required by the Australian Tax Office;
- have an account with an Australian financial institution; and
- make a declaration that you do not have any outstanding reports, acquittals or serious breaches relating to any Australian Government funding. A serious breach is one that has resulted, or warrants, the termination of an agreement.

and be one of the following entity types:

- a company incorporated in Australia;
- a company incorporated by guarantee;
- a foreign company registered in Australia as per the definition in section 9 of the *Corporations Act 2001*;
- an incorporated trustee on behalf of a trust;
- an incorporated association;
- a partnership;
- a joint (consortia) application with an Australian lead organisation and an Indian partner organisation<sup>2</sup> (should a joint (consortia) application succeed, the Australian lead organisation will enter into a grant agreement with the Commonwealth, represented by the Department of Foreign Affairs and Trade. Joint (consortia) applications must identify all members of the proposed consortium, and include a signed letter from each proposed member indicating endorsement of the application);
- a not-for-profit organisation;
- a research organisation; or

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<sup>2</sup> The Australian Government recognises that some organisations may seek to form consortia in order to apply for a grant under the Program. Consortia are eligible to apply and the relevant conditions applicable to consortia are at 7.2 'Joint Applications'



- an Aboriginal and/or Torres Strait Islander Corporation registered under the [Corporations \(Aboriginal and Torres Strait Islander\) Act 2006](#).

#### 4.2 Who is not eligible to apply for a grant?

You are not eligible to apply if you are:

- an organisation, or your project partner is 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' ([National Redress](#))<sup>3</sup>;
- a non-corporate Commonwealth, state, territory or local government agency or body;
- an individual;
- unincorporated association;
- any organisation not included in section 4.1.

#### 4.3 What qualifications, skills or checks are required?

If you are successful, personnel working on the grant activity or grant project must maintain the following if the project directly engages with vulnerable persons or children:

- Working with Vulnerable People registration; or
- Working with Children Check.

## 5. What the grant money can be used for

### 5.1 Eligible grant activities

To be eligible your grant activity must:

- achieve SATPI program objectives (Objective 1 and Objective 2);
- for Grant Stream 1, achieve Outcome 1;
- for Grant Stream 2 and Grant Stream 3, achieve at least one outcome from Outcome 2 – Outcome 5; and
- meet requirements stipulated elsewhere in these Grant Guidelines (see in particular section 2).

### 5.2 Eligible locations

Your grant can include activities at different locations in Australia and/or India.

### 5.3 Eligible expenditure

You can only spend the grant on eligible expenditure you have actually incurred between the start date and end or completion date of your grant agreement, and as defined in the grant details of your grant agreement.

If your application is successful, we may ask you to verify project costs that you provided in your application. You may need to provide evidence such as quotes for major costs.

Eligible expenditure includes but is not restricted to:

- research costs (e.g. data acquisition, analytical tools, research assistance or teaching relief);
- event costs (e.g. facility and equipment hire and catering);

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<sup>3</sup> <https://www.nationalredress.gov.au/>

- communication costs (e.g. digital and physical publications and media);
- travel costs (e.g. transport, accommodation and reasonable expenses); and
- monitoring, evaluation and learning costs (e.g. reporting and auditing costs).

You must incur the expenditure on your grant activities between the start date and end or completion date for your grant activity for it to be eligible.

#### 5.4 What the grant money cannot be used for

You cannot use the grant for the following activities:

- capital costs (e.g. construction work or the purchase of equipment, vehicles, land or real-estate);
- general operating costs (e.g. salaries and utilities) not directly related to eligible grant activities;
- costs incurred preparing funding proposals or related documents (e.g. grant applications);
- the covering of retrospective costs incurred before the execution of a valid grant agreement for a SATPI grant;
- costs incurred in the preparation of a grant application or related documentation;
- anything outside of the eligible expenditure criteria detailed at section 5.3; or
- activities for which other Commonwealth, state, territory or local government bodies have primary responsibility.

## 6. The assessment criteria

All criterion have equal weighting.

The amount of detail and supporting evidence you provide in your application should be relative to the size, complexity and grant amount requested.

The application form includes text limits – please address each criterion in no more than 750 words per criterion.

We will only award funding to applications that score highly against all assessment criteria.

### Criterion 1 – 33.3%

**Description of grant activity** – *applicant's proposal clearly describes the proposed grant activity and demonstrates how it will be delivered efficiently and effectively.*

You must demonstrate this through:

- providing details of the proposed grant activity, including its thematic focus, key deliverables, milestones, outputs and outcomes;
- providing details of how, when and where the proposed grant activity will be delivered, and how implementation of project design and management plans will result in efficient and effective delivery; and
- demonstrating the extent to which the proposed grant activity is cost-effective.

Where an application proposes a joint (consortia) arrangement, the application should also address the role of the partner organisation in delivering the proposed grant activity (see further section 7.2).

### Criterion 2 – 33.3%

**Achievement of program objectives and outcomes** – *applicant's proposal demonstrates how the grant activity achieves SATPI's program objectives and outcomes.*

You must demonstrate this through:

- demonstrating the proposed grant activity's significance and relevance;
- evidencing how the proposed grant activity achieves Objective 1 and Objective 2; and
- evidencing how the proposed grant activity achieves program outcomes (as applicable to the particular Grant Stream – see section 2).

Where an application proposes a joint (consortia) arrangement, the application should also address the role of the partner organisation in achieving SATPI's program objectives and outcomes.

### **Criterion 3 – 33.4%**

**Capability and capacity** – *applicant's prior experience, qualifications, skills, expertise are relevant and demonstrate capability to deliver the grant activity to a high standard; applicant has sufficient time and resources to deliver the grant activity to a high standard.*

You should demonstrate this through:

- outlining your experience and expertise in Australia-India strategic and/or technology policy issues;
- outlining your past experience delivering similar activities, explaining the outcome of those activities and describing how it relates to the proposed grant activity;
- outlining the skills, capability, experience and availability of nominated key personnel proposed to deliver the grant activity;
- outlining the resources available and project management systems and governance frameworks in place to deliver the grant activity successfully; and
- outlining monitoring and evaluation procedures to measure the effectiveness of the grant activity, including the achievement of program objectives and outcomes.

Where an application proposes a joint (consortia) arrangement, the application should also address each of the three sub-criteria for the partner organisation (see further section 7.2).

## **7. How to apply**

Before applying, you must read and understand these guidelines and the application hosted in [SmartyGrants](https://www.smartygrants.com.au/).<sup>4</sup>

These documents may be found at GrantConnect and the [Grant Round 1 application page](#)<sup>5</sup> on SmartyGrants. Any alterations and addenda<sup>6</sup> will be published on GrantConnect and by registering

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<sup>4</sup> <https://www.smartygrants.com.au/>

<sup>5</sup> <https://DCG.smartygrants.com.au/SATPIGrantRound1>

<sup>6</sup> 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

on this website, you will be automatically notified on any changes. GrantConnect is the authoritative source for grants information.

To apply you must:

- complete the online grant opportunity application form on DFAT's online grant application system SmartyGrants by 23:00 AEST on 29 September 2024;
- provide all the information requested;
- address all eligibility criteria and assessment criteria; and
- include all necessary attachments.

You are responsible for ensuring that your application is complete and accurate. Giving false or misleading information is a serious offence under the [Criminal Code 1995](#) and we will investigate any false or misleading information and may exclude your application from further consideration.

If you find an error in your application after submitting it, you should contact us immediately by email at [SATPI.Grants@dfat.gov.au](mailto:SATPI.Grants@dfat.gov.au). We do not have to accept any additional information, nor requests from you to correct your application after the closing time.

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.

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

We will acknowledge by email that we have received your application.

If you need further guidance around the application process or if you are unable to submit an application online contact us at [SATPI.Grants@dfat.gov.au](mailto:SATPI.Grants@dfat.gov.au).

## 7.1 Attachments to the application

We require the following documents with your application:

- an indicative budget;
- a high-level project management plan, which includes project delivery timelines; and
- a high-level risk management plan, which includes risk mitigation controls.

You must attach supporting documentation to the application form in line with the instructions provided within the form. You should only attach requested documents. We will not consider information in attachments that we do not request.

## 7.2 Joint (consortia) applications

We recognise that some organisations may want to join together as a group to deliver a grant activity, including with an Indian partner organisation.

In these circumstances, you must appoint a 'lead organisation'. The lead organisation must be an eligible Australian organisation (see section 4.1). 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 should include:

- details of the partner organisation;

- 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;
- an outline of the relevant experience and/or expertise the partner organisation will bring to the group;
- the roles/responsibilities of the partner organisation and the resources they will contribute (if any);
- details of a nominated management level contact officer; and
- if a partner organisation is an Indian organisation, the letter of support must attach the Indian partner organisation's Foreign Contribution Regulation Act (FCRA) certificate.

You must have a formal arrangement in place with all parties prior to execution of the 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 start your grant activity around November 2024.

Table 1: Expected timing for this grant opportunity

Activity	Indicative Timeframe
Grant applications open on GrantConnect and SmartyGrants	20 August – 29 September 2024
Assessment of applications	30 September -14 October 2024
Approval of outcomes of selection process	15-23 October 2024
Negotiations and award of grant agreements	23 October - 5 November 2024
Notification to unsuccessful applicants	November 2024
Earliest start date of grant activity	November 2024
End date of grant activity	30 June 2027 or earlier

### 7.4 Questions during the application process

If you have any questions during the application period, contact the Department of Foreign Affairs and Trade at [SATPI.Grants@dfat.gov.au](mailto:SATPI.Grants@dfat.gov.au).

The Department will endeavour to respond to emailed questions within 3 business days.

## 8. The grant selection process

### 8.1 Assessment of grant applications

We first review your application against the eligibility criteria.

If eligible, we will then assess your application against the assessment criteria (see Section 6) and against other applications within their respective grant streams. We consider your application on its merits, based on:

- how well it meets the criteria;
- how it compares to other applications; and

- whether it provides value with relevant money.<sup>7</sup>

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

- the overall objectives to be achieved in providing the grant;
- the relative value of the grant sought; and
- the extent to which the evidence in the application demonstrates that it will contribute to meeting SATPI program objectives and outcomes.

## 8.2 Who will assess applications?

An assessment committee will assess each application on its merit and compare it to other eligible applications before recommending to the Program Delegate which grant applications should be awarded a grant. The assessment committee will be made up of officers from the Department of Foreign Affairs and Trade. The Program Delegate is the First Assistant Secretary, South and Central Asia Division, Department of Foreign Affairs and Trade.

The assessment committee may seek additional information about you or your application. They may do this from within or external to the Commonwealth, even if the sources are not nominated by you as referees. The assessment committee may also consider information about you or your application that is available through the normal course of business.

## 8.3 Who will approve grants?

The Program Delegate will decide which grants to approve taking into account 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:

- the approval of the grant;
- the grant funding amount to be awarded; and
- 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

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

If you are unsuccessful, you may ask for feedback within three calendar months of being advised of the outcome. We will give written feedback within one month of your request.

You can submit a new application for the same grant (or a similar grant) in any future grant opportunities under the program. You should include new or more information to address any weaknesses that may have prevented your previous application from being successful.

# 10. Successful grant applications

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<sup>7</sup> See glossary for an explanation of 'value with money'.

## 10.1 The grant agreement

If successful, you must enter into a legally binding grant agreement with the Commonwealth. We may use three types of grant agreements in this program, either a letter agreement, a simple Commonwealth grant agreement, or a standard Commonwealth grant agreement. Our selection will depend on the size, value and complexity of your activity.

Each agreement has general terms and conditions that cannot be changed.

We must execute a grant agreement with you before we can make any payments. We are not responsible for any of your expenditure until a grant agreement is executed. If you choose to start your grant activities before you have an executed grant agreement, you do so at your own risk.

Your grant agreement may have specific conditions determined by the assessment process or other considerations made by the Program Delegate. We will identify these in the agreement. These may include:

- meeting targets, milestones or timelines;
- submitting reports and/or acquittals;
- participating in an evaluation;
- undertaking risk management; and
- facilitating site visits by the Commonwealth.

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

### **Letter of Agreement**

If applicable given the size, value and complexity of your activity, we will send you a letter of agreement advising that your application has been successful and providing you with an offer. You accept the offer by signing and returning the letter of agreement to us. We consider the agreement to be executed (take effect) from the date you sign the letter.

### **Simple Grant Agreement and/or Standard Grant Agreement**

As applicable given the size, value and complexity of your activity, we will use either a simple grant agreement or standard grant agreement.

You will have 7 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.

You may request changes to the grant agreement. However, we will review any required changes to these details to ensure they do not impact the grant as approved by the Program Delegate.

## 10.2 How we pay the grant

The grant agreement will state the:

- maximum grant amount to be paid;
- proportion of eligible expenditure covered by the grant (grant percentage);
- any financial contributions you must make;
- any in-kind contributions you will make; and

- any financial contribution provided by a third party.

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 grant activity.

You will be asked to regularly report to a grant manager on the implementation and delivery of the activity. You will also be required to report how you spent the grant funds via lodgement of both a final activity report and financial acquittal (see section 12.2 Reporting) at the completion of the grant activity.

All reporting will be monitored carefully and may be subject to monitoring and evaluation and audit, including by a third party entity engaged by the Department for these purposes.

### 10.3 Grants Payments and GST

Payments will be GST exclusive, as GST is not generally payable for grant funding.

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](#).<sup>8</sup>

We do not provide advice on your particular taxation circumstances.

## 11. Announcement of grants

If successful, your grant will be listed on the GrantConnect website 21 calendar days after the date of effect as required by Section 5.3 of the [CGRGs](#).<sup>9</sup>

## 12. How we monitor your grant activity

### 12.1 Keeping us informed

You should let us know if anything is likely to affect your grant activity 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 grant, carry on business and pay debts due.

You must also inform us of any changes to your:

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

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

### 12.2 Reporting

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<sup>8</sup> <https://www.ato.gov.au/>

<sup>9</sup> <https://www.finance.gov.au/sites/default/files/2019-11/commonwealth-grants-rules-and-guidelines.pdf>



You must submit reports in line with the grant agreement.

We will expect you to report on:

- progress against agreed grant activity milestones and outcomes;
- contributions of participants directly related to the grant activity; and
- expenditure of the grant.

The amount of detail you provide in your reports should be relative to the size, complexity and grant amount.

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

At the Department's cost, we may engage an independent third-party entity to audit or to undertake monitoring and evaluation of your grant activities.

### **Progress reports**

Progress reports must:

- include evidence of your progress towards completion of agreed activities and outcomes;
- show the total eligible expenditure incurred to date;
- include evidence of expenditure; and
- be submitted by the report due date (you can submit reports ahead of time if you have completed relevant activities).

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

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

### **Ad-hoc reports**

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

### **Final report**

When you complete the grant activity, you must submit a final report.

Final reports must:

- identify if and how outcomes have been achieved;
- include the agreed evidence as specified in the grant agreement;
- identify the total eligible expenditure incurred; and
- be submitted within 30 days of completion in the format provided in the grant agreement.

## **12.3 Financial declaration**

We may ask you to provide a declaration that the grant money was spent in accordance with the grant agreement and to report on any underspends of the grant money.

## **12.4 Grant agreement variations**

We 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 by contacting the Department representative nominated in the grant agreement.

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

### 12.5 Compliance visits

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

### 12.6 Record keeping

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

### 12.7 Evaluation

We will evaluate the grant program to measure how well the outcomes and objectives have been achieved. We may use information from your application and 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 two years after you finish your grant for more information to assist with this evaluation.

At the Department's cost, we may engage an independent third-party entity to undertake monitoring and evaluation of your grant activities.

### 12.8 Acknowledgement

The program logo should be used on all materials related to grants under the program. Whenever the logo is used, the publication must also acknowledge the Commonwealth as follows:

'Australia-India Strategic and Technology Policy Initiative – an Australian Government initiative'

If you make a public statement about a grant activity funded under the program, we require you to acknowledge the grant by using the following:

'This grant activity received grant funding from the Australian Government under the Australia-India Strategic and Technology Policy Initiative'.

## 13. Probity

The Australian Government will make sure 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.

### 13.1 Enquiries and feedback

Any enquiries, feedback or questions you have about grant decisions for this grant opportunity should be sent to [SATPI.Grants@dfat.gov.au](mailto:SATPI.Grants@dfat.gov.au).

All complaints about a grant process must be provided in writing to the email address above.

If you do not agree with the way the Department of Foreign Affairs and Trade has handled your complaint, you may complain to the [Commonwealth Ombudsman](#).<sup>10</sup> The Ombudsman will not usually look into a complaint unless the matter has first been raised directly with the Department.

The Commonwealth Ombudsman can be contacted on:

Phone (Toll free): 1300 362 072  
Email: [ombudsman@ombudsman.gov.au](mailto:ombudsman@ombudsman.gov.au)  
Website: [www.ombudsman.gov.au](http://www.ombudsman.gov.au)

### 13.2 Conflicts of interest

Any conflicts 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 the Department of Foreign Affairs and Trade's staff, any member of a committee or advisor and/or you or any of your personnel:

- has a professional, commercial or personal relationship with a party who is able to influence the application selection process, such as an Australian Government officer;
- 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
- 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.

We publish our conflict of interest policy on the Department of Foreign Affairs and Trade's website <https://www.dfat.gov.au/>.

### 13.3 Privacy

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

- what personal information we collect;
- why we collect your personal information; and
- who we give your personal information to.

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.

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<sup>10</sup> <https://www.ombudsman.gov.au/>

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

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 the Department of Foreign Affairs and Trade 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 us, any confidential information relating to the grant application and/or agreement, without our prior 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).

We 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 we consider acceptable.

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

1. you clearly identify the information as confidential and explain why we 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.

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

- the committee and other Commonwealth employees and contractors, or other third parties who have signed a confidentiality deed, to help us manage the program effectively;
- employees and contractors of our department so we can research, assess, monitor, analyse, audit 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 the Freedom of Information Coordinator in writing.

By mail: Director, Freedom of Information Section  
Regulatory and Legal Policy Division  
  
Department of Foreign Affairs and Trade  
  
R.G Casey Building, John McEwen Crescent  
  
BARTON ACT 2600

By email: [foi@dfat.gov.au](mailto:foi@dfat.gov.au)

## **14. Preventing Sexual Exploitation Abuse and Harassment (PSEAH)**

The Grantee must comply and must ensure that individuals and organisations involved in implementing the 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 Grantee's compliance with DFAT's Preventing Sexual Exploitation, Abuse and Harassment Policy. DFAT will give reasonable notice (at least 14 days) to the Grantee and the Grantee must participate co-operatively in any such review.

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

## **15. 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.

## 16. Glossary

Term	Definition
accountable authority	see subsection 12(2) of the <a href="#">Public Governance, Performance and Accountability Act 2013</a> .
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.
completion date	the expected date that the grant activity must be completed and the grant spent by.
co-sponsoring entity	when two or more entities are responsible for the policy and the appropriation for outcomes associated with it.
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.
Commonwealth entity	a Department of State, or a Parliamentary Department, or a listed entity or a body corporate established by a law of the Commonwealth. See subsections 10(1) and (2) of the PGPA Act.
<a href="#">Commonwealth Grants Rules and Guidelines (CGRGs)</a>	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.

Term	Definition
grant	<p>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:</p> <ul style="list-style-type: none"> <li>a. under which relevant money<sup>11</sup> or other <a href="#">Consolidated Revenue Fund</a> (CRF) money<sup>12</sup> is to be paid to a grantee other than the Commonwealth; and</li> <li>b. which is intended to help address one or more of the Australian Government’s policy outcomes while assisting the grantee achieve its objectives.</li> </ul>
grant activity/activities	refers to the project/tasks/services that the grantee is required to undertake.
grant agreement	sets out the relationship between the parties to the agreement, and specifies the details of the grant.
<a href="#">GrantConnect</a>	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 Department of Foreign Affairs and Trade Portfolio Budget Statement Program.
grantee	the individual/organisation which has been selected to receive a grant.
PBS Program	described within the entity’s <a href="#">Portfolio Budget Statement</a> , 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.

<sup>11</sup> Relevant money is defined in the PGPA Act. See section 8, Dictionary.

<sup>12</sup> Other CRF money is defined in the PGPA Act. See section 105, Rules in relation to other CRF money.

Term	Definition
selection criteria	comprise eligibility criteria and assessment criteria.
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.
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"> <li>• the quality of the project proposal and activities;</li> <li>• fitness for purpose of the proposal in contributing to government objectives;</li> <li>• that the absence of a grant is likely to prevent the grantee and government’s outcomes being achieved; and</li> <li>• the potential grantee’s relevant experience and performance history.</li> </ul>