

# International Relations Grants Program

## Australia-ASEAN Council 2017 Guidelines

Opening date:	9am (AEDT) on 6/2/2017
Closing date and time:	2pm (AEST) on 27/3/17
Commonwealth policy entity:	Department of Foreign Affairs and Trade
Co-Sponsoring Entities	Not Applicable
Enquiries:	If you have any questions, please contact the Australia-ASEAN Council Secretariat, (02) 6261 1333, AAC@dfat.gov.au Questions should be sent no later than 20/3/17
Date guidelines released:	6 February 2017
Type of grant opportunity:	Open competitive

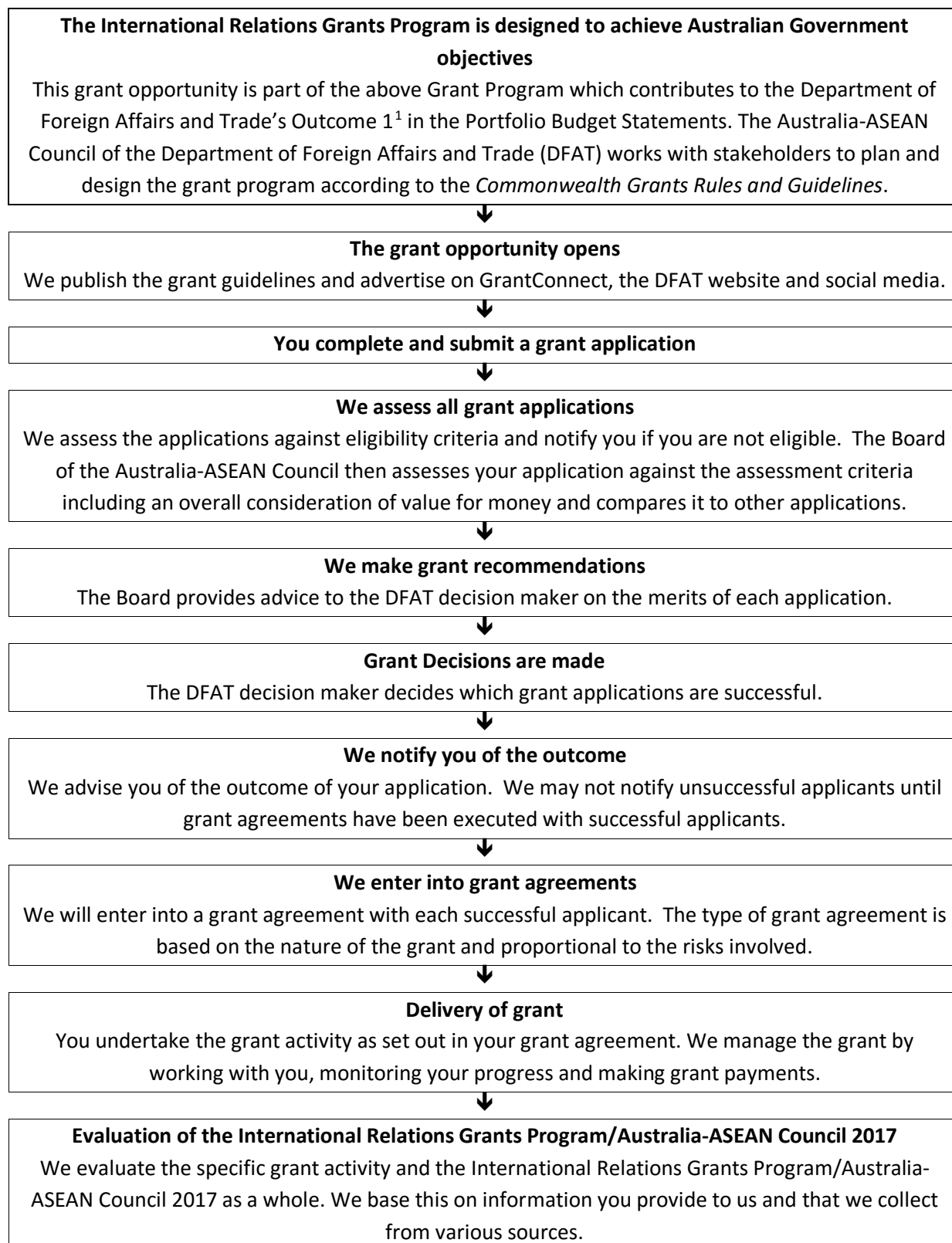
## Contents

1.	International Relations Grants Program: Australia-ASEAN Council 2017 Process Flowchart ....	4
2.	About the grant program .....	5
2.1	About the Australia-ASEAN Council 2017.....	5
2.2	Australia-ASEAN Council 2017 outcomes.....	6
3.	Grant amount .....	7
4.	Grant eligibility criteria .....	7
4.1	Who is eligible to apply for a grant? .....	7
4.2	Who is not eligible to apply for a grant? .....	7
5.	Eligible grant activities .....	7
5.1	What can the grant money be used for?.....	7
5.2	What the grant money cannot be used for? .....	8
6.	The grant selection process.....	8
7.	The assessment criteria.....	9
8.	The grant application process .....	12
8.1	Overview of application process.....	12
8.2	Application process timing .....	12
8.3	Table 1: Expected timing for this grant opportunity .....	12
8.4	Completing the grant application .....	12
8.5	Attachments to the application .....	13
8.6	Applications from consortium .....	13
8.7	Questions during the application process .....	14
8.8	Further grant opportunities.....	14
9.	Assessment of grant applications .....	14
9.1	Who will assess applications?.....	14
9.2	Who will approve grants?.....	15
10.	Notification of application outcomes.....	15
10.1	Feedback on your application.....	15
11.	Successful grant applications.....	16
11.1	The grant agreement.....	16
11.2	How the grant will be paid.....	16
11.3	Grant agreement variations.....	16
12.	Announcement of grants.....	17
13.	Delivery of grant activities.....	17
13.1	Your responsibilities.....	17

## International Relations Grants Program: Australia-ASEAN Council 2017 Grant Guidelines

13.2	Department of Foreign Affairs and Trade’s responsibilities .....	18
13.3	Grant payments and GST .....	18
13.4	Evaluation .....	18
13.5	Publicity and acknowledgement .....	18
14.	Probity .....	18
14.1	Complaints process .....	19
14.2	Conflict of interest.....	19
14.3	Privacy: confidentiality and protection of personal information.....	19
14.4	Freedom of information .....	20
15.	Glossary .....	22
	Appendix A: Acronyms.....	24

## 1. International Relations Grants Program: Australia-ASEAN Council 2017 Process Flowchart



<sup>1</sup> The advancement of Australia's international strategic, security and economic interests including through bilateral, regional and multilateral engagement on Australian Government foreign, trade and international development priorities.

## 2. About the grant program

The International Relations Grants Program (the Program) is an ongoing program, subject to annual budget appropriation.

The objectives of the Program are to promote people-to-people links and a contemporary and positive image of Australia and support for the Australian Government's international policy goals.

The expected outcomes of the Program are:

- strengthened bilateral relationships in areas of mutual interest with particular countries and regions,
- international networks, collaboration and connections between institutions and communities to build understanding, trust and influence,
- enhanced Australian international reputation and reach through the promotion of our economic, creative and cultural, sporting, innovation and science, and education assets, and
- increased understanding of Australians of the cultures and opportunities in each of these countries.

Further information on the International Relations Grants Program, including descriptions of previous grant-funded projects, is available at [www.dfat.gov.au/councils](http://www.dfat.gov.au/councils).

The Program will be undertaken according to the *Commonwealth Grants Rules and Guidelines (CGRGs)* <http://www.finance.gov.au/sites/default/files/commonwealth-grants-rules-and-guidelines-July2014.pdf>

The Department of Foreign Affairs and Trade reserves the right to cease selection processes for Grant Opportunities under the International Relations Grants Program.

### 2.1 About the Australia-ASEAN Council 2017

These guidelines contain information for the Australia-ASEAN Council 2017 grants. This grant opportunity is part of the International Relations Grants Program.

This document sets out:

- the purpose of the grant opportunity
- the eligibility and assessment criteria
- how grant applications are monitored and evaluated
- responsibilities and expectations in relation to the opportunity.

You must read this document before filling out an application.

Grant opportunities available under the International Relations Grants Program are:

- Australia-ASEAN Council 2017
- Australia-China Council 2017
- Australia-India Council 2017
- Australia-Indonesia Institute 2017
- Australia-Japan Foundation 2017
- Australia-Korea Foundation 2017
- Australian Cultural Diplomacy Grants Program 2017
- Council for Australian-Arab Relations 2017
- Council on Australia Latin America Relations 2017

### 2.2 Australia-ASEAN Council 2017 outcomes

The Australia-ASEAN Council (AAC) seeks to:

- Initiate and support influential persons and groups in Australia and South-East Asian countries, with activities that encourage a greater interest in the development of cooperation and collaboration between the countries, including trade and economic relations and people-to-people links;
- Promote cooperation between individuals and institutions in Australia and South-East Asian countries which enhance learning, teaching and research in areas of mutual interest;
- Broaden awareness and understanding in Australia and South-East Asian countries of each other's culture, values and traditions through increased people-to-people capabilities, strengths and opportunities;
- Promote the Australia-ASEAN region relationship and foster relations through media and alumni activities in order to facilitate long-term bilateral links between Australia and the countries of South-East Asia; and
- Wherever possible the Council seeks to expand people-to-people and institutional links through partnerships with other organisations and seed funding of projects.

The Council's mandate is to cover the ten countries of ASEAN: Brunei, Cambodia, Indonesia, Laos, Malaysia, Burma, the Philippines, Singapore, Thailand and Vietnam.

In 2017-18, the AAC priority countries are:

- Malaysia (60th Anniversary of Independence and Diplomatic Relations with Australia, 2017)
- ASEAN 50<sup>th</sup> Anniversary

The funding priorities of the Australia-ASEAN Council 2017 grant round are:

- Increase people-to-people linkages between Australia and South-East Asian countries, particularly between people and institutions that have the capacity to influence others;
- Increase knowledge and understanding in Australia of South-East Asian countries, and the opportunities they present; and
- Enhance awareness and understanding in Australia and South-East Asia of each other's cultures, values and traditions.

Knowledge development is the overarching theme for the grant round. Funding priorities will focus on women in leadership, collaboration and innovation across three key sectors:

- a. Trade and economic development
- b. Technology and entrepreneurship
- c. Culture and education

A key consideration for the Australia-ASEAN Council is the community outreach and connectivity of your project.

### 3. Grant amount

Between \$250,000 and \$300,000 in 2017-18 is available for this grant opportunity, subject to appropriation, starting in July 2017.

Grant applications for a minimum of \$10,000 or maximum of \$50,000 per year will be considered.

Co-contributions from you and other parties strengthen your application.

It is anticipated that most grants will be between \$20,000 and \$40,000 per year, depending on the scope of the grant activity and its complexity.

### 4. Grant eligibility criteria

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

#### 4.1 Who is eligible to apply for a grant?

To be eligible you must:

- be one of the following entity types:
  - an Australian entity with an Australian Business Number (ABN) or Australian Company Number (ACN)
  - a consortium with a lead organisation<sup>2</sup>
  - a registered charity or not-for-profit organisation
  - an Australian local government body
  - an Australian State/Territory government body
  - a corporate Commonwealth entity
  - an Australian statutory authority
  - be an Australian or permanent resident of Australia
- and be willing to provide or develop child protection guidelines for your project if it involves people under the age of 18 years.

Applications from consortia are acceptable, provided you have a lead applicant who is the main driver of the project and is eligible as per the list above.

Individuals who intend the grant to be administered by a university should apply on behalf of the university, i.e. your university is the applicant.

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

You are not eligible to apply if you are:

- Not an Australian, a permanent resident of Australia or an Australian organisation
- A previous applicant who has failed to provide a full and proper acquittal of an earlier IRGP grant.
  - You may provide an interim report with the agreement of the relevant Secretariat where existing grant funding will be expended prior to the commencement of the new grant requested.

### 5. Eligible grant activities

#### 5.1 What can the grant money be used for?

You must use the grant for the following activities:

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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 8.6 'Grant Applications from Consortia'

## International Relations Grants Program: Australia-ASEAN Council 2017 Grant Guidelines

- The project outlined within the application.

You can use the grant to pay for costs detailed in your budget and grant agreement, including:

- Economy flights, modest accommodation costs, meals and travel allowances, other transport
- Communication and translation
- Venue hire and catering,
- Advertising and promotion, graphic design, photography and printed material,
- Production costs, including freight and artists' wages
- Only one participant per conference or meeting and only where the participant is a principal speaker and the subject of the conference is of direct relevance to the grant opportunity.

You can only spend grant funds on eligible grant activities as defined in the grant details in your grant agreement.

### 5.2 What the grant money cannot be used for?

You cannot normally use the grant for the following:

- capital expenditure, including purchase of real estate and vehicles
- purchase of equipment (for example, musical instruments, computers, videos, photographic or printing equipment)
- the covering of retrospective costs or recurrent funding of activities
- activities which are already commercially viable in their own right
- activities which will provide commercial advantage to the applicant (e.g. promotion of the applicant's own business)
- costs incurred in the preparation of a grant application or related documentation
- subsidy of general ongoing administration of an organisation such as electricity, phone, rent, salaries (including for research assistants or administrative staff), honorariums or administrative charges levied by the applicant's organisation,
- activities for which other Commonwealth, State, Territory or Local Government bodies have primary responsibility (e.g. academic research, assistance to business, development assistance projects),
- scholarships to individual students, and
- completed projects.

We do not generally fund travel and accommodation for attendance at conferences or meetings, participation in fieldwork or sporting or other events, unless such activities are considered by the Board to be of direct relevance to its objectives.

## 6. The grant selection process

First we will assess your application against the eligibility criteria. Only eligible applications will move to the next stage. Eligible applications will be considered through an open competitive grant process.

We will then assess your application against the criteria set out below and against other applications. Your application will be considered on its merits, based on:

- how well it meets the criteria
- how it compares to other applications
- whether it provides value for money and
- whether it will ensure a reasonable spread of projects across priority sectors and across the targeted country or regions.



## **7. The assessment criteria**

You will need to address all of the following assessment criteria in your application. We will judge your application based on the weighting given to each criterion. The amount of detail and supporting evidence you provide in your application should be relative to the project size, complexity and grant amount requested. The application form includes word limits.

### **Selection Criterion 1 – Innovation**

You need to demonstrate that the proposal is either a new idea or an adaptation from another similar project and is not already being developed or carried out within the target area by any other organization. The proposal must demonstrate how it will address the goals and objectives of the AAC. The application should articulate the need or issue being addressed by the proposition, and provide relevant background or contextual information.

**a. Aligns with the AAC's goals and objectives**

For example:

- How will your project align with the AAC objectives?
- How will your project promote a positive and contemporary image of Australia?
- How will your project strengthen relationships with key regional partners and/or improve sector access and development?

**b. Demonstrates innovative ideas and/or approaches**

For example:

- Is the proposal a new idea or an adaptation from a similar project that is not already being developed or carried out within the target area by another organisation?
- How does it show innovation, conceptually or in its delivery?

**c. Demonstrates why there is a need for the project**

For example:

- What is the need to be addressed by the project?
- What will be the audience reach of your project?
- What marketing and publicity tools will you use to reach a wider audience?
- How will you engage with and involve the community in Australia and/or particular country in the region?
- What relationships with local partners do you already have or intend to build as part of your project and how will you do this?

### **Selection Criterion 2 – Impact**

Tangible, positive results for end users or target communities are an essential requirement of the proposal. The application should describe the anticipated outcomes of achieving project objectives, and how the success of the project will be measured. It should also describe the future sustainability of the project outcomes post-completion. The applicant must also demonstrate an understanding of the end users or target communities, their demographics, the difference this project will make, and any flow-on effects for the broader industry or community.

**a. Achieves tangible positive results for end-users or target communities**

For example:

## International Relations Grants Program: Australia-ASEAN Council 2017 Grant Guidelines

- How have you taken the local context into account in the design of your project?
  - Have you consulted with DFAT missions overseas or local partners about what is appealing, appropriate and acceptable to local audiences and/or participants?
  - Does the proposal demonstrate an understanding of the target communities?
  - Which groups in the community will benefit and how will this be sustained?
  - Are there flow-on benefits for the broader sector, other sectors or communities?
- b. Demonstrates what outcomes will be achieved and how these will be measured  
For example:
- What measures will you have in place to measure success and effectiveness of the outcomes?
- c. What measures will you have in place to support sustainable and ongoing links between Australia and the people of your focus country/region?  
For example:
- What measures will you have in place to support sustainable and ongoing links between Australia and the people of your focus country/region?

### Selection Criterion 3 – Approach

The approach needs to be clearly described, showing the path to achieving the project objectives. Applicants must demonstrate that the project proposal is supported by a thorough planning process. The application should include key elements of the project plan, including a high-level work breakdown detailing major project activities, budget, schedule and milestones, and information about how the project will be managed and governed.

- a. What activities are you undertaking to deliver your project? For instance, seminars, workshops, functions, etc.?  
For example:
- Are the activities identified the most effective way to achieve people-to-people and institutional links?
  - Is there a clear project plan with appropriate timeframes to achieve the project deliverables?
- b. Is the proposal financially viable and are the requests for funding reasonable in the context of the overall project?  
For example:
- What are the other sources of funding?
  - What impact will AAC funding have on your ability to deliver the project?
  - How does the project deliver the best value for money in the context of the AAC's goals and objectives?
- c. How do you intend to communicate before, during and after your intended activities to reach a broad audience and strengthen people-to-people links, including through the use of digital platforms.

## International Relations Grants Program: Australia-ASEAN Council 2017 Grant Guidelines

### Selection Criterion 4 - Team

The proposal must detail the organisations and people that will be involved in the project team, including any sub-contractor arrangements. Applicants need to demonstrate that the team has the right balance of skills and expertise required to develop the project and deliver the outcomes, and a track record in managing a project that delivers outcomes at an operational level. The applicant must also provide evidence of a partner in South-East Asia.

- a. What is the capacity and experience of the individual/project team to deliver the proposed outcomes?

For example:

- Does the team proposed have the right balance of skills and expertise to develop the proposal and deliver the outcomes?
- Is the proposal conducted by an applicant with a partner in the region?
- What experience do you have delivering projects overseas, or comparable experience delivering similar activities in Australia?
- Were these projects successful? What outcomes did they achieve?
- What experience does your partner have with implementing projects in the region?
- Were these projects successful? What outcomes did they achieve?

- b. Has a letter of support/confirmation been provided from your partner in the region?

In assessing applications for such activities, the Council considers whether:

- the activity would involve a sharing or transfer of expertise from which institutions or individuals in both countries would benefit, and in ways that would directly advance the Council's objectives
- the activity includes a wider program that would directly advance the Council's objectives
- the activity would result in an expansion of links in new areas in ways consistent with the Council's objectives
- alternative sources of funding are either unavailable, or have been adequately explored.

Regarding funding attendance at conferences or meetings, the Council will normally apply the following additional criteria:

- only one participant per conference or meeting will be funded
- the conference or meeting participant should be a principal speaker, and a copy of any paper presented by the participant is to be provided to AAC together with the report on the activity
- modest accommodation and economy class travel will be funded.

Preference will be given to multilateral projects. Very strong bilateral proposals will also be considered.

All assessment criteria are given equal weighting and the application must be rated satisfactory or higher against each individual criterion.

When preparing the application, applicants should bear in mind that the assessment committee may not be familiar with the applicant, the organisation or the field of activity. As the committee's

recommendation will be primarily based on the information provided in the application form, this document should be clear, accurate, comprehensive and focused.

### 8. The grant application process

#### 8.1 Overview of application process

You must read these grant guidelines, the application form, the Australia-ASEAN Council Strategic Plan, the draft grant agreement and the sample final report before you submit an application.

You must contact the Australian Government diplomatic mission in the countries of proposed engagement to provide an overview of your project.

You are responsible for ensuring that your application is complete and accurate. Giving false or misleading information will exclude your application from further consideration.

You must address all of the eligibility and assessment criteria and provide two short signed independent references to be considered for a grant. Please complete each section of the application form and make sure you provide the information we have requested.

Please keep a copy of your application and any supporting papers.

We will acknowledge that we have received your grant application, through an automated email from the online grants management system, *SmartyGrants*, within one working day.

#### 8.2 Application process timing

Submit your application/s to the Department of Foreign Affairs and Trade by the closing date below. The Australian Government will only accept a late application in exceptional circumstances where permission has been granted by the Secretariat in advance of the closing time and date.

The expected start date for the granting activities is within the 2017-18 financial year and the expected end date is as specified in your application.

Table 1: Expected timing.

#### 8.3 Table 1: Expected timing for this grant opportunity

Activity	Time
Application period	Open: 9am (AEDT) on 6/2/2017 Close: 2pm (AEST) on 27/3/17
Assessment of applications	6 weeks
Approval of outcomes of selection process	Late June/early July
Negotiations and award of grant agreements	July
Notification to unsuccessful applicants	July/August
Activity commences	Before June 2018
End date	Specified in application

#### 8.4 Completing the grant application

You must submit your grant application in English on the application form, which can be downloaded at <https://dfat.smartygrants.com.au/AustASEANCouncil2017>. The application form includes help information.

## International Relations Grants Program: Australia-ASEAN Council 2017 Grant Guidelines

This is an online application form that you can submit electronically. If you have any technical difficulties please contact SmartyGrants Help Desk ([service@smartygrants.com.au](mailto:service@smartygrants.com.au), +61 3 9320 6888 between 9am and 5pm Monday to Friday).

The Department of Foreign Affairs and Trade will not provide application forms or accept applications for this grant opportunity by fax or mail.

You must make sure that your application is complete and accurate and submitted in accordance with these Guidelines and application form.

You cannot change your application after the closing date and time without prior approval by the Secretariat.

If you find a mistake in your application after it has been submitted or if there are changes to contact details or other information pertinent to the completion of the project, you should contact the Secretariat straight away. The Department of Foreign Affairs and Trade may ask you for more information, as long as it does not change the substance of your application. The Department of Foreign Affairs and Trade does not have to accept any additional information, nor requests applicants to correct applications after the closing time.

### 8.5 Attachments to the application

The following documents must be included with your application:

- two short signed independent references;
- letter of support from nominated partners (if relevant);
- organisation capability statement or individual's curriculum vitae (optional); and
- if you apply on behalf of a university, a letter of support from your Research Office.

Your supporting documentation should be attached to the application form. There will be instructions in the application form to help you. Only attach the documents you have been asked to include.

Among applications from universities, the most competitive applications will be those with letters of support from the relevant Research Office highlighting the alignment of the proposed project to the Australia-ASEAN Council, the relevance of the project to the University's strategic goals in the relevant country and demonstrating that the project is not more appropriately funded by the Australia Research Council or alternative Commonwealth funding body.

### 8.6 Applications from consortium

Some organisations may apply as a consortium to deliver grant activities. A consortium is two or more organisations who are working together to combine their capabilities when developing and delivering a grant activity.

If you are submitting a grant application on behalf of a consortium, a member organisation or a newly created organisation must be appointed as the 'lead organisation'. Only the lead organisation will enter into a grant agreement with the Commonwealth and will be responsible for the grant. The lead organisation must complete the application form and identify all other members of the proposed consortium in the application. The application must include a letter of support from each organisation involved in the grant. Each letter of support should include:

- an overview of how the consortium will work together to complete the grant activity

## International Relations Grants Program: Australia-ASEAN Council 2017 Grant Guidelines

- an outline of the relevant experience and/or expertise of the consortium members
- the roles/responsibilities of consortium members and the resources they will contribute (if any)
- details of a nominated management level contact officer
- details of the lead organisation.

### 8.7 Questions during the application process

If you have any questions during the application period, please contact Australia-ASEAN Council Secretariat, (02) 6261 1333, AAC@dfat.gov.au. The Department of Foreign Affairs and Trade undertakes to respond to emailed questions within five working days.

Questions should be sent no later than 14/4/17.

Answers to questions may be posted on the [website](#).

Applicants may speak with the Australia-ASEAN Council Secretariat in their first language by telephoning the Translating and Interpreting Service on 131 450 (local call anywhere in Australia) and asking to be connected with the Secretariat.

Aboriginal or Torres Strait Islander applicants may wish to access assistance in submitting an application where English is not their first language. In these cases, applicants may contact an Indigenous language centre for assistance. A list of Indigenous language centres is provided in the National Indigenous Languages Contacts Directory available from:

Address:

The Federation of Aboriginal and Torres Strait Islander Languages and Culture (Corporation)  
295 King Street  
Melbourne VIC 3000

Telephone: +61 3 9602 4700

Fax: +61 3 9602 4770

Email: [info@fatsilc.org.au](mailto:info@fatsilc.org.au)

Web: [www.fatsilc.org.au](http://www.fatsilc.org.au)

### 8.8 Further grant opportunities

The Australia-ASEAN Council aims to allocate all grant funding during the annual grants round and is typically over-subscribed with suitable applications each year. If there are not enough suitable applications to meet the program's objectives, the Department of Foreign Affairs and Trade may consider applications received during the financial year, subject to available funding through direct selection or restricted processes. All potential grants will still be considered against the outcomes of the program (and/or criteria in these guidelines) and value for money.

## 9. Assessment of grant applications

### 9.1 Who will assess applications?

The Board of the Australia-ASEAN Council will assess each application. Board members are listed on the Australia-ASEAN Council [website](#). Board members are treated as Commonwealth officials due to their role in the assessment process in accordance with Part 1, section 2.8 of the CGRGs and the Public Governance, Performance and Accountability Act.

## **International Relations Grants Program: Australia-ASEAN Council 2017 Grant Guidelines**

While an application may meet the assessment criteria, a grant is not guaranteed.

The Australia-ASEAN Council Secretariat, within the Department of Foreign Affairs and Trade, will provide information and advice to the Board to assist its determination of policy and its assessment of grant applications.

The Board may seek additional input from relevant Australian missions overseas about you or your application. They may also seek additional information from other Commonwealth agencies, even if the sources are not nominated by you as referees. The Board may also consider information about you or your application that is available through the normal course of business.

If the selection process identifies unintentional errors in your application, you may be contacted to correct or explain the information.

### **9.2 Who will approve grants?**

The assessment committee will make recommendations to the First Assistant Secretary, South-East Asia Maritime Division, or his/her delegate within the Department of Foreign Affairs and Trade. The delegate will make the final decision to approve a grant.

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

- the approval of the grant
- the grant funding amount to be awarded.

The delegate will not approve funding if they reasonably consider the program funding available will not accommodate the funding offer, and/or the application does not represent value for money.

The Australia-ASEAN Council reserves the right to offer less funding than that sought by the applicant.

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

## **10. Notification of application outcomes**

You will be advised of the outcomes of your application in writing, following a decision by the delegate. If you are successful, you will also be advised about any specific conditions attached to the grant.

If you are unsuccessful, you may submit a new application for the same project (or a similar project) in any future grant opportunity rounds. You may wish to include new or more information to address any weaknesses that may have prevented your previous application from being successful.

### **10.1 Feedback on your application**

If you are unsuccessful, you may ask for feedback from the Department of Foreign Affairs and Trade within one month of being advised of the outcome. The Department of Foreign Affairs and Trade will give verbal feedback within one month of feedback being requested.

## **11. Successful grant applications**

### **11.1 The grant agreement**

If you are successful, you must enter into a legally binding grant agreement with the Commonwealth represented by the Department of Foreign Affairs and Trade. Standard terms and conditions for the grant agreement will apply and cannot be changed. Any additional conditions attached to the grant will be identified in the grant offer or during the grant agreement negotiations.

You will be required to:

- complete a brief communications outline within two weeks of accepting the grant offer,
- provide a final report, including financial acquittal, using the online template within 60 days of project completion,
- for multi-year grants, complete interim reports once a year using the online template, and
- where conference or meeting participation of a principal speaker is funded, a copy of the paper presented by the participant in addition to the report.

The Department of Foreign Affairs and Trade will negotiate agreements with successful applicants by 30 September 2017. If there are unreasonable delays in finalising a grant agreement, the grant offer may be withdrawn and the grant may be awarded to a different applicant.

Where a grantee fails to meet the obligations of the grant agreement, the Department of Foreign Affairs and Trade may withhold or suspend the funding to the grantee; and/or require the grantee to repay all or part of the grant. No compensation is payable by the Department for termination in these circumstances.

You should not make financial commitments until a grant agreement has been executed by the Commonwealth.

### **11.2 How the grant will be paid**

The grant agreement will state the:

- maximum grant amount to be paid.

We will not exceed the maximum grant amount under any circumstances. If you incur extra eligible expenditure, you must pay it yourself.

We will make an initial payment on execution of the grant agreement and on receipt of a valid invoice. For multi-year grants, we will make subsequent payments, detailed in the grant agreement, progressively based on your interim reports, including acquittals, and receipt of a valid invoice.

### **11.3 Grant agreement variations**

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

- changing project milestones consistent with the original intent of the project
- extending the timeframe for completing the project for a reasonable period of time
- changing the allocations across budget items



## International Relations Grants Program: Australia-ASEAN Council 2017 Grant Guidelines

The program does not allow for:

- an increase to the agreed amount 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. Contact the Australia-ASEAN Council Secretariat for further information. We will not consider changes after the grant agreement end date.

You should not assume that a variation request will be successful. We will consider your request based on factors such as:

- how it affects the project outcome
- consistency with the program policy objective and any relevant policies of the department
- changes to the timing of grant payments
- availability of program funds.

### **12. Announcement of grants**

If successful, your grant will be listed on the website of the Department of Foreign Affairs and Trade and/or GrantConnect within 14 days of the date of effect<sup>3</sup> as required by Section 5.3 of the CGRGs.

### **13. Delivery of grant activities**

#### **13.1 Your responsibilities**

You must submit reports in line with the timeframes in the grant agreement. Sample templates for these reports are available on the website. We will expect you to report on:

- progress against your communications plan actively deepening international relationships and promoting your project and the council;
- progress against agreed project milestones;
- contributions of participants directly related to the project;
- eligible expenditure of grant funds; and
- results against key performance indicators and the project specific outputs detailed in your application.

You will also be responsible for:

- meeting the terms and conditions of the grant agreement and managing and promoting the activity efficiently and effectively;
- complying with record keeping, reporting and acquittal requirements as set out in the grant agreement;
- all administrative arrangement associated with your project including visa and travel arrangements, visa charges, airport taxes, ground transport, travel and health insurance for project participant's medical and hospital insurance cover both overseas and in Australia for visitors not covered by Medicare (including evacuation and death cover), and necessary insurance for equipment and accommodation costs and arrangements;
- other insurances, including workers' compensation, as required by law, and professional indemnity, public health and liability insurance, as required by the project; and

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<sup>3</sup> See glossary

## International Relations Grants Program: Australia-ASEAN Council 2017 Grant Guidelines

- complying with all applicable domestic and international laws.

### 13.2 Department of Foreign Affairs and Trade's responsibilities

The Department of Foreign Affairs and Trade will:

- meet the terms and conditions set out in the grant agreement;
- provide timely administration of the grant; and
- evaluate the grantee's performance.

We will monitor the progress of your project by assessing reports you submit, may attend project events and may conduct site visits 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.

Funding under this grants program does not imply that the Department of Foreign Affairs and Trade endorses the views of recipients involved in any funded activity.

### 13.3 Grant payments and GST

Payments will be made as set out in the grant agreement. Where appropriate, payments will be GST Inclusive.

If you receive a grant, you should consider speaking to a tax advisor about the effect of receiving a grant before you enter into a grant agreement. You can also visit the Australian Taxation Office website at [www.ato.gov.au](http://www.ato.gov.au) for more information.

### 13.4 Evaluation

The Department of Foreign Affairs and Trade will evaluate the Australia-ASEAN Council 2017 activities to measure how well the outcomes and objectives have been achieved. Your grant agreement requires you to provide information to help with this evaluation.

### 13.5 Publicity and acknowledgement

The Australia-ASEAN Council logo is to 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:

'This activity received grant funding from the Australia-ASEAN Council of the Department of Foreign Affairs and Trade.'

Invitations to board members and/or officers of the Department of Foreign Affairs and Trade to represent the Australian Government support for the project are highly desirable.

## 14. Probity

The Australian Government will make sure that the program 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.

**Note:** These guidelines may be changed from time-to-time by the Department of Foreign Affairs and Trade. When this happens the revised guidelines will be published on the Department's website at <http://dfat.gov.au/councils>.

### 14.1 Complaints process

All complaints about a grant process must be lodged in writing with the Secretariat.

Any questions you have about grant decisions for the Program should be sent to AAC@dfat.gov.au.

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. The Ombudsman will not usually look into a complaint unless the matter has first been raised directly with the Department of Foreign Affairs and Trade.

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)

### 14.2 Conflict of interest

Any conflicts of interest could affect the performance of the grant. There may be a conflict of interest, or perceived conflict of interest, if the Department of Foreign Affairs and Trade staff, any member of the assessment committee 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 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 funding under the Program.

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 that there is an actual, apparent, or potential conflict of interest or that one might arise in relation to a grant application, you must inform the Department of Foreign Affairs and Trade in writing immediately. Committee members and other officials including the decision maker must also declare any conflicts of interest.

The chair of the Assessment Committee will be made aware of any conflicts of interest and will handle them as set out in Australian Government policies and procedures. 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*. We publish our conflict of interest policy, available on the Department of Foreign Affairs and Trade website.

### 14.3 Privacy: confidentiality and protection of personal information

We treat your personal information according to the 13 Australian Privacy Principles and the *Privacy Act 1988*. This includes letting you know:

- what personal information we collect
- why we collect your personal information
- who we give your personal information to

You are required, as part of your application, to declare your ability to comply with the *Privacy Act 1988*, including the Australian Privacy Principles and impose the same privacy obligations on any

## International Relations Grants Program: Australia-ASEAN Council 2017 Grant Guidelines

subcontractors you engage to assist with the activity. You must ask for the Australian Government's consent in writing before disclosing confidential information.

Your personal information can only be disclosed to someone else if you are given reasonable notice of the disclosure; where disclosure is authorised or required by law or is reasonably necessary for the enforcement of the criminal law; if it will prevent or lessen a serious and imminent threat to a person's life or health; or if you have consented to the disclosure.

The Australian Government may also use and disclose information about grant applicants and grant recipients under the Program in any other Australian Government business or function. This includes giving information to the Australian Taxation Office for compliance purposes.

We may reveal confidential information to:

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

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

- *Public Service Act 1999*
- *Public Service Regulations 1999*
- *Public Governance, Performance and Accountability Act*
- *Privacy Act 1988*
- *Crimes Act 1914*
- *Criminal Code Act 1995*

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

### **14.4 Freedom of information**

All documents in the possession of the Australian Government, including those about the Program, 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.

## International Relations Grants Program: Australia-ASEAN Council 2017 Grant Guidelines

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

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

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

## 15. Glossary

assessment criteria	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 granting activity, to determine applicant rankings. (as defined in the CGRGs)
date of effect	The date specified in the grant agreement as the starting date. Where there is no grant agreement, entities must publish information on individual grants as soon as practicable. (CGRGs)
decision maker	The person who makes a decision to award a grant.
double dipping	Double dipping occurs where a grant recipient is able to obtain a grant for the same budget line items, project or activity from more than one source. CGRGs
eligibility criteria	The principles, standards or rules that a grant applicant must meet to qualify for consideration of a grant. Eligibility criteria may apply in addition to assessment criteria. (CGRGs)
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.
cost shifting	Involves ‘substitution of effort’ by the Commonwealth for activities of another organisation or level of government. For example, cost shifting occurs where the Commonwealth provides a grant for an activity that would usually be paid for by a state, territory, or local government, such as municipal services. (CGRGs)
grant activity	Is the project /tasks /services that the Grantee is required to undertake with the grant money. It is described in the Grant Agreement. (Proposed definition in the grants taxonomy)
grant agreement	Grant agreement means the contract template used by Australian Government entities to set out the mutual obligations relating to the provision of the grant. The Australian Government is standardising and streamlining grant agreements between the Commonwealth and grant recipients to allow grant recipients to engage more easily and efficiently with the Commonwealth. (CGRGs)
grant opportunity	A notice published on GrantConnect advertising the availability of Commonwealth grants. (Proposed definition in the grants taxonomy)
grant program	May be advertised within the ‘Forecast Opportunity’ (FO) section of GrantConnect to provide a consolidated view of associated grant opportunities and provide strategic context for specific grant opportunities
grantee	An individual/organisation that has been awarded a grant. (Proposed

## International Relations Grants Program: Australia-ASEAN Council 2017 Grant Guidelines

	definition in the grants taxonomy)
PBS Program	Described within the entity's Portfolio Budget Statement, PBS programs each link to a single outcome and provide transparency for funding decisions. These high level PBS programs often comprise a number of lower level, more publicly recognised programs, some of which will be Grant Programs. A PBS Program may have more than one Grant Program associated with it, and each of these may have one or more grant opportunities
selection criteria	Comprise eligibility criteria and assessment criteria. (CGRGs)
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. (CGRGs)

## Appendix A: Acronyms

Acronyms used in these guidelines, online and within application forms

AAC	Australia-ASEAN Council
ABN	Australian Business Number
ACC	Australia-China Council
ACDGP	Australian Cultural Diplomacy Grant Program
ACN	Australian Company Number
AEDT	Australian Eastern Daylight Time
AEST	Australian Eastern Standard Time
AIC	Australia-India Council
AII	Australia-Indonesia Institute
AJF	Australia-Japan Foundation
AKF	Australia-Korea Foundation
ASEAN	Association of Southeast Asian Nations
CAAR	Council for Australian-Arab Relations
CGRGs	Commonwealth Grants Rules and Guidelines
COALAR	Council on Australia Latin America Relations
CV	Curriculum Vitae
DFAT	Department of Foreign Affairs and Trade
FCI	Foundations, Councils and Institutes
FOI	Freedom of Information
GST	Goods and Services Tax
IRGP	International Relations Grants Program
PBS	Portfolio Budget Statement
PGPA Act	Public Governance, Performance and Accountability Act