

## International Relations Grants Program

# Australia-Japan Foundation 2020 Grant Round Guidelines

<b>Opening date:</b>	<b>09.00 AEST on 7 September 2020</b>
<b>Closing date and time:</b>	<b>14.00 AEST on 6 October 2020</b>
<b>Commonwealth policy entity:</b>	<b>Department of Foreign Affairs and Trade</b>
<b>[Co-sponsoring entity]</b>	<b>Not applicable</b>
<b>[Administering entity]</b>	<b>Department of Foreign Affairs and Trade</b>
<b>Enquiries:</b>	<p>If you have any questions, contact the Australia-Japan Foundation Secretariat (02) 6261 3898 or <a href="mailto:ajf.australia@dfat.gov.au">ajf.australia@dfat.gov.au</a> (in Australia) or <a href="mailto:ajf.japan@dfat.gov.au">ajf.japan@dfat.gov.au</a> (in Japan and for Japanese language enquiries).</p> <p>Questions should be sent no later than <b>25 September 2020</b></p>
<b>Date guidelines released:</b>	<b>4 September 2020</b>
<b>Type of grant opportunity:</b>	<b>Open competitive</b>

## Contents

<b>1. The International Relations Grants Program: Australia-Japan Foundation 2020 processes.....</b>	<b>4</b>
<b>2. About the grant program .....</b>	<b>6</b>
2.1 About the Australian-Japan Foundation 2020 grant round.....	6
<b>3. Grant amount and grant period.....</b>	<b>9</b>
3.1 Grants available .....	9
3.2 Grant period .....	9
<b>4. Eligibility criteria.....</b>	<b>9</b>
4.1 Who is eligible to apply for a grant? .....	9
4.2 Who is not eligible to apply for a grant? .....	10
<b>5. What the grant money can be used for.....</b>	<b>10</b>
5.1 Eligible grant activities .....	10
5.2 Eligible expenditure .....	10
5.3 What the grant money cannot be used for .....	10
<b>6. The assessment criteria .....</b>	<b>11</b>
<b>7. How to apply .....</b>	<b>12</b>
7.1 Attachments to the application.....	13
7.2 Joint (consortia) applications .....	14
7.3 Timing of grant opportunity processes .....	14
7.4 Questions during the application process.....	14
<b>8. The grant selection process.....</b>	<b>15</b>
8.1 Assessment of grant applications .....	15
8.2 Who will assess applications? .....	15
8.3 Who will approve grants? .....	15
<b>9. Notification of application outcomes.....</b>	<b>16</b>
9.1 Feedback on your application.....	16
<b>10. Successful grant applications.....</b>	<b>16</b>
10.1 The grant agreement.....	16
10.2 How we pay the grant.....	17
10.3 Grants payments and GST .....	17
<b>11. Announcement of grants.....</b>	<b>18</b>
<b>12. How we monitor your grant activity .....</b>	<b>18</b>
12.1 Keeping us informed.....	18
12.2 Reporting .....	18
12.3 Financial declaration.....	19
12.4 Grant agreement variations .....	19
12.5 Compliance visits .....	19
12.6 Record keeping .....	19

12.7	Evaluation .....	19
12.8	Acknowledgement .....	20
<b>13.</b>	<b>Probity .....</b>	<b>20</b>
13.1	Enquiries and feedback .....	20
13.2	Conflicts of interest .....	20
13.3	Privacy .....	21
13.4	Confidential information .....	21
13.5	Freedom of information .....	22
<b>14.</b>	<b>Glossary .....</b>	<b>23</b>
	<b>Appendix A. Acronyms .....</b>	<b>26</b>

# 1. The International Relations Grants Program: Australia-Japan Foundation 2020 processes

**The International Relations Grants Program is designed to achieve Australian Government objectives**

This grant opportunity is part of the above grant program which contributes to Department of Foreign Affairs and Trade's Outcome 1<sup>1</sup>. The Australia-Japan Foundation of 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 [SmartyGrants 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 and compare it to other applications.



**We make grant recommendations**

The relevant Board provides advice to the decision maker on the merits of each application.



**Grant decisions are made**

The Department of Foreign Affairs and Trade 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 manage the grant by working with you, monitoring your progress and making payments.



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<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.

**Evaluation of the International Relations Grants Program**

We evaluate your specific grant activity and the Australia-Japan Foundation 2020 Grant Round 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 for the Australia-Japan Foundation 2020 grants.

You must read these guidelines before filling out an application.

This document sets out:

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

## 2. About the grant program

The 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.

We administer the program according to the [Commonwealth Grants Rules and Guidelines](#) (CGRGs)<sup>2</sup>.

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 Australian-Japan Foundation 2020 grant round

This grant opportunity is part of the International Relations Grants Program.

The Australia-Japan Foundation seeks to advance Australia's engagement with Japan by supporting people-to-people linkages; amplifying and shifting perceptions of Australia in Japan to reflect contemporary Australia; and facilitating the promotion of the inventive, innovative capabilities that Australia brings to Australia-Japan collaborations across broad and ever sophisticated sectors. The Australia-Japan Foundation also seeks to bring to the fore, awareness of the ongoing vital importance of Australia and Japan on each other's foreign and trade policies by facilitating informed discussions.

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<sup>2</sup> <https://www.finance.gov.au/sites/default/files/commonwealth-grants-rules-and-guidelines.pdf>

The Australia-Japan Foundation 2020 grant round aims to continue this work in the face of the Novel Coronavirus (COVID-19) pandemic. Proposals for this round must be consistent with government restrictions in response to COVID-19.

The objectives of the Australia-Japan Foundation are:

1. to increase awareness and understanding in Japan of shared interests with Australia;
2. to increase awareness and understanding in Australia of the importance of Japan to Australia as an economic and strategic partner; and
3. to increase recognition in Japan of Australian excellence and expertise.

(AJF Orders in Council, 30 November 2006)

To achieve its objectives, the AJF will prioritise high quality programs particularly, but not exclusively, across any one of the three cross-cutting themes: *youth; gender, diversity and inclusion; and innovation.*

Effective 'public diplomacy' plans are an essential element of projects to maximise the potential of projects to increase mutual understanding and goodwill between the two countries. Public diplomacy means that projects have the capacity to reach out to the public and/or decision-makers in such a way that strengthens Australia's influence and reputation in the bilateral relationship. Good public diplomacy should generate positive and effective media coverage and commentary on the Australia-Japan relationship, and promote a contemporary and positive image of Australia, and support the Australian Government's international policy goals.

Good public diplomacy should also open doors to new areas and to new and sustainable networks between individuals and institutions in the bilateral relationship, and enable partnerships or collaborative activities to emerge or existing ones to deepen.

Projects must demonstrate collaboration between Japanese and Australian partners, including through financial and other (e.g. in-kind) contributions.

### **Priority Areas (in alphabetical order)**

**Communication, Information and Advocacy:** Projects will promote an accurate and positive image of Australia in Japan, highlight the enduring nature of the bilateral relationship and increase public understanding of the importance of the Australia-Japan relationship in both countries.

**Economic Diplomacy and Geopolitics:** Projects will facilitate informed discussion among policy-makers, business groups and academic opinion leaders on the importance and potential of the Australia-Japan business, economic and geopolitical relationships to each country. Projects will focus on the following areas:

- Promoting closer economic relations arising from the opportunities of trade agreements and their built-in agendas;
- Promoting emerging issues and trends in Australia's trade and investment relationship with Japan;
- Promoting Australian corporate reform capabilities and international business expertise in areas of interest to Japan (for example in project management and private-public partnerships);
- Promoting understanding and public awareness of Australia and Japan's shared contribution to promoting peace and stability in the region and globally; and Australia and Japan's commitment to rules and norms that promote stability, peace and prosperity.

**Education and Australian studies:** Projects will focus on two areas:

- The promotion of Australia's strong education and training credentials, for example, through alumni engagement and opportunities to provide in-country exposure to Australian education and training capabilities.
- Support for the teaching of Australian studies in Japan and the maintenance and expansion of Japanese academic interest and expertise on Australia.

Proposals for study tours and academic research projects, particularly those that lack a strong communications component, are generally not competitive.

**Scientific innovation:** Projects will focus on three areas:

- Exchanges between potential Australian and Japanese individual and institutional collaborators and partners in sectors that promote Australian excellence such as in innovation, science, health and technology;
- The promotion of Australian expertise in scientific research, technology and innovation, for example, through alumni engagement and public outreach activities. Projects that engage scientific and technological areas of cooperation between Australia and Japan - but are not wholly or predominantly scientific research - will be eligible for funding.
- Promotion of Australian excellence in sports medicine and other sports-related scientific innovation through exchanges.

**Society, Culture and Sport:** Projects under this priority will encourage new social and cultural exchange and cooperation initiatives between Australian and Japanese professional, community and other institutions including sport, local government, youth, community and not-for profit groups which highlight Australian excellence and expertise in Japan and enhances mutual understanding, friendship and respect. Projects will promote Australia as a contemporary, creative, successful, diverse and tolerant nation; and an attractive place to work, study, visit and live. Projects will also promote Japan as a highly complementary partner with shared values and interests.

Arts/culture projects would preferably be a collaboration between Australian and Japanese partners and demonstrate innovative ideas and/or approaches conceptually or in its delivery. The individual or organisation must have a proven record of quality and excellence.

Past successful applications from larger cultural festivals were able to demonstrate how their project:

- promoted the Australia-Japan relationship where it was not just an incidental part of a much broader international festival promotion
  - and where AJF funding of the bilateral aspect of the program could be clearly acknowledged to AJF;
- had prospect for promoting the bilateral relationship widely particularly through media; and
- potentially could act as a catalyst for important, new relationships between Australian and Japanese collaborators.

Sports-related projects should promote Australian technical expertise. Past successful sports-related projects looked at building long-term connections, rather than just one-off exchanges.



## 3. Grant amount and grant period

### 3.1 Grants available

The Australian Government has announced a total of \$800,000 is available in 2020-21 for this grant opportunity, subject to appropriation.

- The minimum grant amount is \$10,000 AUD.
- The maximum grant amount is \$40,000 AUD.

Multi-year funding of up to three years will be considered. Co-contributions from you and other parties strengthen your application.

It is anticipated that most grants will be between \$15,000 AUD and \$30,000 AUD per year, depending on the scope of the grant activity and its complexity.

### 3.2 Grant period

For multi-year grants, the maximum grant period is three years.

## 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 one of the following entity types:

- an Australian entity with an Australian Business Number (ABN), Australian Company Number (ACN), or Indigenous Corporation Number (ICN)
- an Australian consortium with a lead organisation<sup>3</sup>
- an Australian 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
- an Australian or permanent resident of Australia
- a Japanese citizen or organisation
- a well-established organisation in Japan with a business purpose to advocate for Australian business, education and/or cultural interests.

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.

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<sup>3</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'

## 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 and you are not a Japanese citizen or 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. What the grant money can be used for

### 5.1 Eligible grant activities

Eligible activities must directly relate to the project outlined within the application.

### 5.2 Eligible expenditure

You must use the grant for the following activities:

- 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, providing travel is in line with COVID-19 restrictions
- Online or remote communication activities
- Research, excluding salaries (see 5.3 below)
- Communication and translation
- Venue hire and catering, providing use of such facilities is in line with COVID-19 restrictions
- 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 (in line with current government health advice and COVID-19 restrictions).

For activities delivered in Australia, applicants are encouraged to consider the use of an Indigenous supplier, if they intend to subcontract any of the services above. A directory of registered Indigenous businesses is available at [www.supplynation.org.au](http://www.supplynation.org.au).

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

### 5.3 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.

In the context of travel and social distancing restrictions due to the COVID-19 pandemic, we will not fund travel or activities that contravene social distancing or broader health advisories in Australia or the jurisdiction of the proposed activity.

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. To be considered, a substantial program should exist in the sidelines or around the conference and there should also be a strong argument for the selection of applicant(s).

## 6. The assessment criteria

You must address all of the following assessment criteria in the application.

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.

### Criterion 1

**The proposal contributes to the objectives of the Australia-Japan Foundation.**

You should demonstrate this through identifying:

- how the grant activity is aligned with the Australia-Japan Foundation's objectives and at least one of the Australia-Japan Foundation's current strategic priority areas.

### Criterion 2

**The proposal is achievable in the context of COVID-19-related restrictions.**

You should demonstrate this through identifying:

- how your project would comply with COVID-19-related restrictions in place at the time you submit your application, including, for example, in relation to travel, physical distancing, hygiene and sanitation measures
- how you might adapt your project in response to potential changes to COVID-19-related restrictions across the project length.

### Criterion 3

**The proposed grant activity addresses a specific need.**

You should demonstrate this through identifying:

- how the project would establish or build on existing links between Australia and Japan
- how the project would address a gap or a new area of interest between Australia and Japan, or an existing area of interest and cooperation in a new, innovative and improved way.

#### **Criterion 4**

##### **Proven capability and capacity of the applicant and project partner in Japan and/or Australia.**

You should demonstrate this through identifying:

- past achievements and track record of successful partnerships for both the applicant and project partner
- relevant documents submitted in support of the application including, but not limited to
  - capability statement of the organisation and/or CV of the project leader(s)
  - signed references from referees with no direct financial interest in your project
  - letter of support from your organisation’s research office or equivalent, and if you are from a large organisation the letter should confirm alignment of your grant activity to the organisation’s international strategies
  - letter of support from your project partner.

#### **Criterion 5**

##### **Potential for raising awareness of Australia in Japan/Japan in Australia, and promoting a contemporary and positive image of Australia in Japan.**

You should demonstrate this through identifying:

- your target audience and how you would create or strengthen formal or other relationships
- proposed quantitative or qualitative performance measures to indicate the expected reach of your project such as anticipated:
  - events such as public seminars, promotional events, performances, exhibition days, or community events
  - number of participants/audience spectators and why you expect this level of engagement
  - media engagement plans (including social media), the type of media interest you seek to generate (e.g. articles, radio and television broadcasts)
  - distribution plans (e.g. of a publication)
- follow up activities that could arise from the grant activity and that could ensure networks created between individuals and institutions through the project are sustained (e.g. through creation of alumni groups).

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.

## **7. How to apply**

Before applying, you must read and understand these guidelines, the Australia-Japan Foundation Strategic Plan, the draft grant agreement, and the sample final report.

These documents may be found at [GrantConnect](#). Any alterations and addenda<sup>4</sup> will be published on GrantConnect and by registering on this website, you will be automatically notified on any changes. GrantConnect is the authoritative source for grants information.

To apply you must:

- complete the online application form on [SmartyGrants](#)
- provide all the information requested
- address all eligibility criteria and assessment criteria
- include all necessary attachments
- submit your application/s on [SmartyGrants](#) by 14.00 AEST on 6 October 2020.

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 emailing [ajf.australia@dfat.gov.au](mailto:ajf.australia@dfat.gov.au) (in Australia) or [ajf.japan@dfat.gov.au](mailto:ajf.japan@dfat.gov.au) (in Japan). We do not have to accept any additional information, nor requests from you to correct your application after the closing time.

You cannot change your application after the closing date and 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 that we have received your application through an automated email from the online grants management system, SmartyGrants, within one working day.

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

## **7.1 Attachments to the application**

We require the following documents with your application:

- two signed independent references
- letter of support from nominated partners (if relevant)
- organisation capability statement
- applicant's curriculum vitae
- if you apply on behalf of a university, a letter of support from your Research Office
  - if relevant, a copy of the approval certificate from your Ethics Committee.

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.

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<sup>4</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

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-Japan Foundation. In addition, highlighting the relevance of the project to the University's strategic goals in the relevant country and/or demonstrating that the project is not more appropriately funded by the Australia Research Council or alternative Commonwealth funding body, will be beneficial.

## 7.2 Joint (consortia) applications

We recognise that some organisations may want to join together as a group to deliver a grant activity.

In these circumstances, you must appoint a 'lead organisation'. Only the lead organisation can submit the application form and enter into a grant agreement with the Commonwealth. The application must identify all other members of the proposed group and include a letter of support from each of the partners.

Each letter of support 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.

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.

Table 1: Expected timing for this grant opportunity

Activity	Timeframe
Assessment of applications	4 weeks
Approval of outcomes of selection process	4 weeks
Negotiations and award of grant agreements	1-3 weeks
Notification to unsuccessful applicants	2 weeks
Activity commences	Specified in application, but before 30 June 2021
End date of grant activity or agreement	Specified in application, but before 30 June 2023

## 7.4 Questions during the application process

If you have any questions during the application period, contact the Australia-Japan Foundation Secretariat, (02) 6261 3898 or [ajf.australia@dfat.gov.au](mailto:ajf.australia@dfat.gov.au) (in Australia) or [ajf.japan@dfat.gov.au](mailto:ajf.japan@dfat.gov.au) (in

Japan and for Japanese language enquiries). Questions should be sent no later than 25 September 2020.

The Department of Foreign Affairs and Trade undertakes to respond to emailed questions within five working 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. We consider your application on its merits, based on:

- how well it meets the criteria
- how it compares to other applications
- whether it provides value with relevant money.<sup>5</sup>

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

- the overall objective/s to be achieved in providing the grant
- the relative value of the grant sought
- extent to which the geographic location of the application matches identified priorities
- the extent to which the evidence in the application demonstrates that it will contribute to meeting the outcomes/objectives
- how the grant activities will target groups or individuals.

### 8.2 Who will assess applications?

The Board of the Australia-Japan Foundation will assess each application. Board members are listed on the Australia-Japan Foundation [website](#). Board members are treated as Commonwealth officials due to their role in the assessment process in accordance with Part 1, section 2.9 of the CGRGs and the *Public Governance, Performance and Accountability Act 2013*.

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

The Australia-Japan Foundation 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.

### 8.3 Who will approve grants?

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

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<sup>5</sup> See glossary for an explanation of 'value with money'.

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-Japan Foundation 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.

## 9. Notification of application outcomes

We will advise you of the outcome of your application in writing, following a decision by the delegate. If you are successful, we will advise you of 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 opportunities under the program. You may wish to include new or more information to address any weaknesses that may have prevented your previous application from being successful.

### 9.1 Feedback on your application

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

## 10. Successful grant applications

### 10.1 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. We use the Letter of Agreement grant agreement in this program.

Each agreement has general terms and conditions that cannot be changed. Sample grant agreements are available on GrantConnect.

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.

You will 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
- complying with all applicable domestic and international laws.

The Department of Foreign Affairs and Trade will negotiate agreements with successful applicants by December 2020. We will work with successful applicants to confirm a timeframe for activities, including provision of funding. 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.

## 10.2 How we pay the grant

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 costs, you must meet them yourself.

We will pay 100 per cent of the grant on execution of the grant agreement and on receipt of a valid invoice. You will be required to report how you spent the grant funds at the completion of the grant activity.

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.

All grants are awarded in Australian dollars. However, if you are based in Japan, the payment will be made in Japanese yen up to the equivalent value in Australian dollars. You should allow for the exchange fees in your project budget. You are responsible for any financial differences that may occur from the time of the application submission to when the project takes place, due to fluctuations in the exchange rate.

## 10.3 Grants payments and GST

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

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](https://www.ato.gov.au/).<sup>6</sup> We do not provide advice on your particular taxation circumstances.

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<sup>6</sup> <https://www.ato.gov.au/>

## 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](#).

## 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
- 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

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, including progress against your communications plan
- contributions of participants directly related to the project
- 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 conduct site visits or 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.

#### **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
- 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
- be submitted within 60 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, 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.

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-Japan Foundation 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 provisions in the grant agreement and 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, and
- availability of program funds.

### **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**

The Department of Foreign Affairs and Trade will evaluate the Australia-Japan Foundation 2020 activities 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 one year after you finish your grant for more information to assist with this evaluation.

## 12.8 Acknowledgement

The Australia-Japan Foundation logo/Australian Government crest 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 [name of grant activity or project/services] received grant funding from the Australia-Japan Foundation 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.

## 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.

All applicants are responsible for ensuring compliance with Australian laws, regulations and policies that may be relevant to their proposals including, but not limited to, the [Foreign Influence Transparency Scheme](#), [Australia's export control regimes](#), and the [Guidelines to counter foreign interference in the Australian university sector](#). Applicants must also ensure that relevant personnel have Working with Vulnerable People registration and Working with Children checks where proposals involve vulnerable people and children.

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 GrantConnect and the Department's website at <http://dfat.gov.au/councils>.

### 13.1 Enquiries and feedback

All complaints about a grant process must be provided in writing with the Australia-Japan Foundation Secretariat.

Any questions you have about grant decisions for this grant opportunity should be sent to [ajf.australia@dfat.gov.au](mailto:ajf.australia@dfat.gov.au) or [ajf.japan@dfat.gov.au](mailto:ajf.japan@dfat.gov.au). **You may wish to list @dfat.gov.au as a trusted emailer in your email system.**

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)

### 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 Department of Foreign Affairs and Trade 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 the Department of Foreign Affairs and Trade 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 website [www.dfat.gov.au](http://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
- 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.

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
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 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, 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:           The Director, Freedom of Information and Privacy Law Section  
Department of Foreign Affairs and Trade  
RG Casey Building  
John McEwen Crescent  
BARTON ACT 0221

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

## 14. 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>7</sup> or other <a href="#">Consolidated Revenue Fund</a> (CRF) money<sup>8</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 [entity] 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.
selection criteria	comprise eligibility criteria and assessment criteria.

<sup>7</sup> Relevant money is defined in the PGPA Act. See section 8, Dictionary.

<sup>8</sup> Other CRF money is defined in the PGPA Act. See section 105, Rules in relation to other CRF money.



Term	Definition
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>

## Appendix A. Acronyms

Acronyms used in these guidelines, online and within application forms.

Acronym	Meaning
ABN	Australian Business Number
ACN	Australian Company Number
AEST	Australian Eastern Standard Time
CGRGs	Commonwealth Grants Rules and Guidelines
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