

GLOBAL SCIENCE & TECHNOLOGY DIPLOMACY FUND STRATEGIC ELEMENT



Guidelines

The Global Science and Technology Diplomacy Fund – Strategic Element (GSTDF-SE) is designed to be a strategic, flexible and streamlined approach to supporting international science and research collaboration between Australia and selected international partners. By providing targeted grants, the program aims to support and strengthen Australia’s international science relationships and build Australia’s reputation as a trusted science research partner.

The Australian Academy of Technology and Engineering (ATSE), in collaboration with the Australian Academy of Science (AAS), will deliver the GSTDF-SE on behalf of the Australian Government.

Priority themes and partners have been identified for the first round as shown in Table 1. All listed themes and partners are of equal strategic importance to Australia and applications involving these will be weighted equally.

Grant funding available for eligible Australian organisations ranges from A\$100,000 to A\$1,000,000 per grant to support bi-lateral and multi-lateral activities that address at least one priority theme in collaboration with at least one identified priority partner. Multilateral activities can also include non-priority partners in addition to at least one priority partner.

The objectives of the program are to:

- boost Australia’s science and technology capability by identifying and supporting strategic international science and research collaborations with identified priority partners through targeted funding.
- promote growth in the Australian economy by supporting international research-industry collaborations.
- provide support for Australian researchers to access the world’s best knowledge, technology and research infrastructure, and funding programs.
- support the development of science capability in partner-countries.

PRIORITY THEMES
Advanced manufacturing
Artificial intelligence
Hydrogen production
Quantum computing
RNA (including mRNA) vaccines and therapies
PRIORITY PARTNERS
Brazil
Indonesia
Japan
Republic of Korea
Malaysia
New Zealand
Singapore
Thailand
Vietnam

TABLE 1
Priority themes and partners for Round 1

Eligibility criteria

Eligible applicants

The applicant must be a single entity acting as lead organisation, on behalf of partners who have agreed to collaborate to undertake eligible activities.

To be an eligible lead organisation the applicant must have an Australian Business Number (ABN) and be one of the following eligible entities:

- a company, incorporated in Australia
- an incorporated not for profit organisation
- a Publicly Funded Research Organisation (PFRO), defined as higher education providers listed at Table A and Table B of the Higher Education Support Act 2003 (Cth) and corporate Commonwealth entities, and State and Territory business enterprises, departments or agencies that undertake publicly funded research
- a Cooperative Research Centre
- an incorporated trustee on behalf of a trust, or
- an Australian State, Territory or Local Government agency or body

The delivery partners for the Global Science and Technology Diplomacy Fund – Strategic Element are not eligible to apply.

Eligible projects

- must be led by one eligible Australian organisation
- must address at least one priority theme in Table 1, and
- must include at least one partner organisation domiciled and registered in a priority partner country in Table 1.

Eligible personnel

The project lead (principal investigator or equivalent) on the Australian side must be an Australian citizen, Permanent Resident, or holder of a Special Category Visa (subclass 444) currently residing in Australia. However, other personnel do not have to meet this condition.

Notes

- Projects can include more than one Australian organisation but must be led by a single eligible Australian organisation.
- While projects can have multiple partners, including from non-partner countries, all activities supported by grant funds must be undertaken with a partner entity domiciled and registered in one or more of the listed priority partner countries.
- The program aims to support the development of genuine connections between Australian organisations and organisations domiciled and registered within

priority partner countries that address at least one of five priority themes. As such, the lead Australian organisation and lead international partner(s) must be unrelated entities i.e., project proposals that seek to partner between subsidiary entities of the project lead's host organisation will not be accepted. This includes proposed collaborations between a university's Australian and international campuses, or a businesses' subsidiary operating in an international market.

- Individual researchers are not eligible.
- Grants will not be provided to organisations:
 - included on the [National Redress Scheme's](#) website on the list of 'Institutions that have not joined or signified their intent to join the Scheme
 - named by the Workplace Gender Equality Agency as an organisation that has not complied with Workplace Gender Equality Act (2012)
- Grants will not be provided for projects that involve States, Organisations, or Individuals listed on:
 - [United Nations Security Councils \(UNSC\)](#) and [Australian Autonomous Sanctions regimes](#)
 - [World Bank Listing of Ineligible Firms and Individuals](#)
 - [UNSC Consolidated List](#)
 - [Australian Government Consolidated List](#)

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

- bilateral or multilateral research or commercialisation projects
- joint industry research projects with Australian partners and listed priority partners addressing priority themes
- international research or commercialisation conferences, workshops, or symposia, related to the priority themes in collaboration with listed priority partners
- exchanges and secondments of personnel between Australia and listed priority partners for purposes related to the priority themes
- new research activities between Australia and listed priority partners for initiatives related to the priority themes
- product and service development activities in priority themes with listed priority partners (e.g., technical development, compliance testing, proof of concept, product testing, validation, and laboratory verification)
- product or service design relating to priority themes with listed priority partners (e.g., design work, prototyping, innovation design)
- software development and beta testing for a specific application relating to priority themes with listed priority partners

Other activities may also be approved, based on compelling arguments.

Grant amounts and period

The value of grant funding available per project is from A\$100,000 to A\$1,000,000 provided to the successful applicant (the lead Australian organisation).

Applicants must be able to demonstrate suitable and proportionate project contributions from partners, which may be through direct cash funding or in-kind contributions or a combination of both. Cash and in-kind resources will be treated equally for purposes of considering co-contributions. A breakdown is required of the type and value (or estimated value) of contributions coming from priority partners, other international partners, and any domestic partners.

Grant funding must be used primarily to benefit the Australian partner's activities with potential flow-on benefits to international partners.

Grant funding cannot be used for activities already funded by other Australian Commonwealth, State, Territory, or local government grants.

Project length should be from one year to three years.

Funding use

To be eligible for funding your project must:

- be aimed at building genuine collaboration between an Australian entity and an international entity domiciled and registered in at least one priority partner listed in Table 1, and
- address a priority theme listed in Table 1.

To be eligible for funding use, expenditure must:

- be incurred by the lead entity within the project period and for approved eligible activities
- be a direct cost of the project
- be incurred by the lead entity to undertake required project activities as outlined in the project budget
- be consistent with the eligible expenditure guidance at Appendix A.

You must not commence your project until you sign a grant agreement. The grant cannot be used for any expenditure you or your project partners incur prior to the date of execution of the grant agreement (signed by both parties).

Expenditure items that are not eligible are:

- direct funding for activities of international partners and
- ineligible expenditure listed in ineligible expenditure section at Appendix A.

It is not permissible to duplicate support available from other sources, including other Australian Government funding mechanisms, with support from the GSTDF-SE grant funding. Where applicants already receive Australian Government funding for their core activities, they will only be eligible if they can demonstrate that the activity for which funding is sought is additional to their core activities.

Upon submission of a full application, letters of support are required on official letterhead and signed by an authorised representative from the lead organisation and each partner organisation, attaching appropriate evidence that each organisation is genuinely committed to, and prepared to collaborate in, the project. Where applicable, this includes explanation of financial support, and declaration of capability to execute agreed activities, by the organisation's Board or other appropriate governing body.

Application process

The timeline for applications for the GSTDF-SE will be clearly identified on the GSTDF website www.glodip.org.au.

The application process is a two-stage process. Applicants must first complete a GSTDF-SE expression of interest (EOI) application form. The EOI will be assessed by an independent expert panel and if successful, the applicant will be invited to submit a full application.

To apply, you must:

- complete the online EOI application form
- provide all the information requested
- address all eligibility and assessment criteria
- include all necessary attachments

Once complete and submitted, you will be emailed a copy of your application form without the attachments.

You must provide the following with your EOI application:

- project proposal summary. This will include a brief overview of the project (300 words), how the proposed project will address the program objectives (300 words), and the how the project will deliver broader national benefits (200 words).
- short CV (maximum of 3 pages) of the project lead from the lead Australian organisation.

In the EOI application, you will need to provide a high level budget outlining all cash and in-kind contributions.

Should your EOI be successful, you will be invited to submit a full application, which includes a more detailed project proposal. You must provide the following additional documents with your full application:

- full cash/in-kind contributions and budget details. In-kind contributions must be able to be assigned a monetary value and be auditable. In-kind costs must be directly related to costs of delivering the activities of the project. They can include salaries of staff for the time they are involved, and other costs incurred for the duration of these activities.
- letter of support from the lead Australian organisation outlining the cash and in-kind funding being provided to the project.
- letter of support from each partner organisation outlining their role in the project, and their cash and in-kind contributions.

- outline of arrangements for governance, security, and intellectual property rights (maximum of 3 A4 pages).
- any requested material to support the justification of budget requests (for example, supplier quotes).
- Short CV (maximum 3 pages) of the project lead(s) from the partner organisation(s).

Notes

- All support letters must be on organisational letterheads and include a signature of a representative with sufficient delegation to approve the commitment.
- There will be questions specific to national security risks in the full application, including on your organisation's framework for managing foreign interference, what due diligence you conduct to understand project partners and how you assess potential risks of your project. These questions may impact applicants' eligibility at the full application stage.

You must attach supporting documentation to the application form in line with the instructions provided within the form. You should only attach requested documents. Information in documents not requested will not be considered.

Assessment criteria

Full applications will be assessed using the following criteria, which should be considered by applicants when preparing your EOI application.

Assessment criterion 1

The extent to which your project aligns with the program objectives – 40 points.

You should demonstrate this by identifying:

- how the project will boost Australia's science and technology capabilities through strategic international research and industry collaborations with key international partners in the priority area.
- how the project will strengthen Australia's international science relationships and build Australia's reputation as a trusted research and industry partner in the priority area.
- how the project will promote growth in the Australian economy by supporting international research-industry collaborations to the benefit of Australia in the priority area.
- how the project will support the development of science capability in partner-countries in the priority area.

Assessment criterion 2

Your capacity to manage and deliver the project – 30 points.

You should demonstrate this by identifying:

- the capacity of the lead applicant and partners to deliver the project, including access to personnel with the right skills and experience and to any infrastructure, capital equipment, technology and intellectual property required to deliver the project outcomes.
- a sound project plan outlining how you will manage and monitor the project, including arrangements for governance, security and intellectual property rights and the identification of risks and mitigation strategies, as well as promoting research integrity and security.
- a comprehensive budget with justifications for funding amounts requested, and ability to show any funding co-contribution.

Assessment criterion 3

The broader national benefits of your project – 30 points.

You should demonstrate this by identifying:

- how the project will increase professional linkages and engagements between Australian businesses/researchers/industry and international partners.
- how the project will provide increased access to international expertise, technology, research infrastructure and capital.
- how the project will increase research and development capability and capacity in Australia.

When assessing whether the application represents value with relevant money, assessors will also have regard to any national interest, financial, legal/regulatory, governance or other issue or risk identified during any due diligence process that is conducted in respect of the applicant. This includes its directors, officers, senior managers, key personnel, its related bodies corporate (as defined in the Corporations Act) or its application that could bring the Australian Government into disrepute if it were to fund the applicant. Such issues and risks include where assessors consider that funding the application under this grant opportunity is likely to directly conflict with Australian Government policy or affect Australia's national security.

Full applications will be assessed by an independent expert panel. Based on the panel's assessment, ATSE will provide a recommendation of projects to be funded to the Department of Industry, Science and Resources. The Minister for Industry and Science is the final decision maker on projects to be funded through this program.

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

If you are unsuccessful, we will give you an opportunity to discuss the outcome with us.

If you make a public statement about a project funded under the program, including in a brochure or publication, you must acknowledge the grant by using the following: 'This project received grant funding from the Australian Government.'

Project specific legislation, policies, and industry standards

Successful applicants must comply with all relevant laws and regulations in undertaking your project. You must also comply with the specific legislation/policies/industry standards that follow. It is a condition of the grant funding that these requirements are met where necessary.

In particular, project leads will be required to comply with state or territory legislation in relation to working with children.

Ethics and research practices

The [Australian Research Council](#) provides a series of publications that outline the principles of ethical conduct in research. All proposals and funded research projects must conform to the principles and requirements of these publications (and their successor documents), including but not limited to:

- [Australian Code for the Responsible Conduct of Research 2018](#)
- [National Statement of Ethical Conduct in Human Research \(2007\)](#) - Updated 2018
- [Australian Code for the Care and Use of Animals for Scientific Purposes \(2013\)](#)

If there is any conflict or inconsistency between a successor document and its predecessor, then the successor document prevails.

Intellectual property rights

Project leads must provide details of intellectual property (IP) arrangements in their applications. This includes both the use of IP in the project and the proposed ownership rights to IP generated by the project as well as strategies for protecting Australia's interests. Where IP is likely to be generated by the project, successful applicants are required to conclude protocols or contracts with their Australian partners and international partners on the management of IP issues. These agreements should be in accordance with laws and regulations in Australia and the relevant partners and provide for:

- adequate and effective protection and equitable distribution of any benefits from IP rights created in or resulting directly from cooperative activities (foreground IP rights)
- ownership of foreground IP rights to be allocated based on respective contribution and equitable interests
- terms and conditions for the commercialisation and other forms of dissemination of the foreground IP rights

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

Australian participants should approach IP negotiations in line with the principles outlined on [business.gov.au](#) and the [National Principles of Intellectual Property Management for Publicly Funded Research \(2017\)](#).

National Security

Eligible activities under this grant opportunity may have national security implications. You will need to identify and inform us of any such implications of the proposed project and highlight how you plan to manage any risks, particularly relating to export controls, foreign interference, and technology transfer. To assist with managing security risks, you are strongly encouraged to review the Department of Industry, Science and Resources Guide to undertaking international collaboration, the Australian Government Information Security Manual, and the Guidelines to counter foreign interference in the Australian university sector (UFIT). Although focused on the university sector, many objectives and best practice considerations in the UFIT guidelines are applicable to other research institutions and businesses that may be Australian partners in projects funded by this program.

It is in your and the national interest to protect your data and IP. You should also ensure there are appropriate controls around any sensitive research data including securing intellectual property. Please ensure you speak to the relevant risk managers of your organisation if you require further guidance.

Know Your Partner

You should ensure that you know who you are collaborating with by undertaking appropriate due diligence, proportionate to the risk and subject to available information, on all partners and personnel participating in the project. This should account for any potential security, ethical, legal, and reputational risks, and where necessary, you should be prepared to demonstrate how you will manage and mitigate any identified risks. You should also be aware of partner affiliations that may influence, interfere or otherwise benefit from the proposed activities in unintended ways and report any unusual activity.

Export Controls

As this program involves research collaboration with foreign entities, some provisions of Australia's export controls regime may apply to your project. It is your responsibility to consider the implications, if any, of the relevant legislation on the proposed project before submitting your application, and to comply with any applicable requirements if it is successful. Further information is available on the [Department of Defence](#) website.

Foreign Affiliations

Eligible activities under this grant opportunity may involve foreign affiliations which must be disclosed under the conflict-of-interest policy outlined below.

Best practice considerations – Australian Institution

The following is a non-exhaustive list of questions and issues that the Australian lead organisation should consider (responses don't need to be submitted)

- Have all members of the Australian team completed cyber hygiene and data management training?
- Are researchers familiar with the term “dual use” (beyond military uses- i.e. facial recognition technology can be used to abuse human rights around the world, DNA research might be used in human rights abuses, agricultural security can be used in times of hostilities, health research can advance adversary military capabilities or be used in biological/chemical attacks, data building capabilities can be used to advance AI capabilities more broadly)?
- Does the Australian institution have good cyber management practices including the UFIT guidelines?
- What is the institution's protocol for electronic device management in event of travel?
- Are you comfortable with your partner's approach to IP?
- Might there be pressure from your partner to influence your academic outcomes or commercial interests? What are your partner's affiliations?

Conflicts of interest

There may be a conflict of interest, or perceived conflict of interest, if you, any of your personnel or any project partners has a:

- professional, commercial, or personal relationship with a party who can influence the application selection process,
- relationship with, or interest in, a party which is likely to interfere with or restrict the applicants from carrying out the proposed activities fairly and independently, or
- relationship with, or interest in, a party from which they will receive personal gain because the organisation receives a grant under the grant program/grant opportunity.

As part of your application, you will be asked to declare any perceived or existing conflicts of interests or confirm 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 us in writing immediately.

Reporting requirements

You must submit reports in line with the grant agreement. You will be provided with the requirements for these reports as appendices in the grant agreement and receive a reminder of your reporting obligations before a report is due.

You will be expected to report on:

- progress against agreed project milestones
- project expenditure, including expenditure of grant funds
- contributions of all partners directly related to the project
- Any unusual or unexpected activity by the Australian or partner organisation members.

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

The progress of your project will be monitored by assessing reports you submit. Occasionally you may be asked to provide further information, or an independent audit of claims and payments.

Progress reports must:

- include details of your progress towards completion of agreed project activities.
- show the total eligible expenditure incurred to date.
- include evidence of expenditure.
- be submitted by the report due date.

Grant milestone payments will only be made to you when satisfactory progress reports are submitted.

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

End of project reports must:

- include the agreed evidence as specified in the grant agreement
- identify the total eligible expenditure incurred for the project
- include a declaration that the grant money was spent in accordance with the grant agreement and to report on any underspends of the grant money
- be submitted by the report due date.

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

Appendix A

Eligible and ineligible expenditure types for grant funding use

Examples of eligible expenditure types include:

- labour expenditure for the direct labour costs of employees the Australian lead organisation directly employs on the core elements of the project including:
 - salaries for personnel directly employed on project activities and residing in Australia, including researchers, support staff, and student stipends.
 - postdoctoral salaries and postgraduate stipends (that are consistent with stipend rates for Discovery set by the Australian Research Council).
- direct support costs of research, translation and promotion of outcomes relating to priority themes with listed priority partners
- costs of acquiring intellectual property and technology
- staff training that directly supports the achievement of project outcomes
- international and domestic travel and associated costs for Australian personnel
- workshops in support of the activities, knowledge transfer and capability development
- cost of materials consumed in testing a process or prototype, including costs incurred in validation, establishing efficacy, demonstration of capability, scale-up, and development of evidence of the stability or reproducibility of processes
- IP scanning: Freedom to Operate searches and provisional patent applications relating to priority themes with listed priority partners. Expenditure for these IP related items are capped at A\$5,000

Examples of ineligible expenditure types include:

- salaries for non-Australian organisations, including consultants
- travel costs for non-Australian organisations, including consultants
- costs associated with activities undertaken by the international partners, for example, travel to Australia, living costs in Australia, research undertaken solely by international partners' researchers etc.
- costs incurred prior to signing a grant funding agreement
- indirect support costs of research, not listed in eligible expenditure
- activities, equipment, or supplies that are already being supported through other sources
- capital expenditure for the purchase of assets such as office furniture and equipment, motor vehicles, computers, printers or photocopiers and the construction, renovation, or extension of facilities such as buildings and laboratories

- costs involved in the purchase or upgrade/hire of software (including user licences) and ICT hardware (unless it directly relates to the project)
- costs such as rental, renovations and utilities
- financing costs, including interest
- debt financing
- insurance costs (the participants/partners must affect and maintain adequate insurance or similar coverage for any liability arising because of its participation in funded activities)
- costs related to obtaining resources used on the project, including interest on loans, job advertising and recruiting, and contract negotiations
- routine operational expenditure, including communications, accommodation, office computing facilities, printing and stationery, postage, legal and accounting fees, and bank charges
- costs related to preparing the grant application, preparing any project reports (except costs of independent audit reports we require) and preparing any project variation requests
- costs associated with the internal preparation of finance and audit statements, except for end of project audit costs
- staff recruitment and relocation costs
- institutional overheads and administrative charges
- fees for international students, or the Higher Education Contribution Scheme (HECS) and Higher Education Loan Program (HELP) liabilities for students
- non-project-related staff training and development costs
- payment to Australian partner for the indirect support costs of research and staff employed by the partner
- reimbursement to Australian partners for the costs associated with existing staff or other resources committed by the partners to the project as in-kind contributions under the grant agreement
- costs associated with market research for products or research carried out by surveys to assess the size of the market and the price of a particular service or product
- costs associated with marketing projects, i.e., activities aimed at creating demand for goods and services of consumers, businesses, and government
- costs of Australia's membership of international science and technology projects
- subscription costs for access by Australian personnel to major international research facilities.
- other costs as determined by the program delegate as not meeting the program objectives.



Australian Government
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