



## Grant Opportunity Guidelines

# Genomics Health Futures Mission - Flagships

## Pathogen Genomics grant opportunity

|                                    |   |
|------------------------------------|---|
| <b>Opening date:</b>               | 9.00am AEST 16 July 2019                                      |
| <b>Closing date and time:</b>      | 5.00pm AEST 12 September 2019                                 |
| <b>Commonwealth policy entity:</b> | Department of Health  |
| <b>Administering entity</b>        | Department of Industry, Science and Resources                 |
| <b>Enquiries:</b>                  | If you have any questions, contact us on 13 28 46.            |
| <b>Date guidelines released:</b>   | 26 March 2019 (republished 19 June 2019; Updated 6 July 2022) |
| <b>Type of grant opportunity:</b>  | Open competitive  |

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# 1. Genomics Health Futures Mission: Flagships - Pathogen Genomics grant opportunity processes

**The Genomics Health Futures Mission - Flagships Stream is designed to achieve Australian Government objectives**

This grant opportunity is part of the above grant stream, which contributes to Department of Health's Outcome 1. The department works with stakeholders to plan and design the grant initiative according to the *Commonwealth Grants Rules and Guidelines*.



**The grant opportunity opens**

We publish the grant guidelines on [business.gov.au](https://business.gov.au) and GrantConnect.



**You complete and submit a grant application**

You complete the application form and any relevant attachments, addressing all the eligibility and assessment criteria, known as merit criteria, in order for your application to be considered.



**We assess all grant applications**

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



**We make grant recommendations**

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



**Grant decisions are made**

The decision maker decides which applications are successful.



**We notify you of the outcome**

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



**We enter into a grant agreement**

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



**Delivery of grant**

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



**Evaluation of the stream**

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

## 2. About the Medical Research Future Fund

As part of the 2014-15 Budget, the Australian Government announced the establishment of the \$20 billion Medical Research Future Fund (the MRFF) to provide a sustainable source of funding for vital medical research over the medium to longer term. Through the MRFF, the Government will deliver a major additional injection of funds into the health and medical research sector.

The objective of the MRFF is to improve the health and wellbeing of Australians through grants of financial assistance to support medical research and medical innovation.

The MRFF complements existing medical research and innovation funding to improve health outcomes by distributing new funding in ways that are more diverse. It supports stronger partnerships between researchers, healthcare professionals, governments and the community.

The intended outcomes of the MRFF are:

- life changing discoveries such as new treatments, drugs and devices
- continuous improvement and innovation in the health system that benefits all Australians
- strengthening domestic research capacity through support, collaboration and the development of expert talent
- positioning Australia's health and medical research sector at the forefront of the innovation economy
- improving Australia's reputation as a global leader in health and medical research.

## 3. About the Genomics Health Futures Mission

The Genomics Health Futures Mission (GHFM) is the centrepiece of the Australian Government's \$1.3 billion National Health and Medical Industry Growth Plan that was announced in May 2018. Funded through the MRFF, the GHFM will engage with communities to help save or transform the lives of more than 200,000 Australians through research into better testing, diagnosis and treatment.

The objective of the GHFM is to deliver better diagnostics and targeted treatments, avoid unnecessary health costs, and improve patient experience and outcomes. This will be achieved through partnership with state and territory governments, public and private entities in healthcare, and linkages with the [National Health Genomics Policy Framework](#).

## 4. About the GHFM Flagships

The Flagships, which forms part of the GHFM, will run over nine years from 2019-20 to 2027-28.

Demonstration of the clinical and/or public health utility, cost-effectiveness, and translation capability of genomics in the clinical environment is critical to the adoption of genomics in mainstream healthcare. Funding will be available for large-scale pilot research studies (flagships) that generate the evidence needed to implement genomics in the clinic in an efficient and cost effective manner and enable discontinuation of unnecessary or outdated practice.

Flagships will occur late in the research and development pipeline. It is anticipated that flagships will build on a significant pre-existing body of evidence for an intervention, including robust safety and effectiveness indicators, in order to test the value, scalability and/or system preparedness of implementing the intervention in the clinical environment.

There will be future rounds as part of the GHFM Flagships stream. We will publish the [opening and closing dates](#) and any other relevant information on [business.gov.au](#) and [GrantConnect](#).

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

#### 4.1. About the GHFM Flagships Pathogen Genomics grant opportunity

These guidelines contain information for the Pathogen Genomics grant opportunity. This grant opportunity is the first round of the GHFM Flagship stream.

Pathogen Genomics is the application of genome sequencing technologies to the characterisation and analysis of pathogens, for the purpose of informing clinical and public health investigations of, and responses to, infectious disease. For the purposes of this grant opportunity, pathogens are defined as microorganisms that are significant to human health.

The objectives of the grant opportunity are:

- to fund large scale pilot research studies into pathogen genomics late in the research and development pipeline aiming to:
  - demonstrate clinical and/or public health utility, cost-effectiveness, and capacity for translation of genomics in the clinic, in recognition that such evidence is critical to the adoption of genomics in mainstream healthcare.

The intended outcomes of the grant opportunity are:

- clinical and/or public health applications of pathogen genomics to pathogens that are significant to human health, which may include but are not restricted to:
  - improved management of infectious disease through more rapid, sensitive and specific detection of pathogens and diagnosis of disease (including infectious respiratory diseases)
  - identification and surveillance of antimicrobial resistance, and antimicrobial stewardship
  - characterisation of host-pathogen interactions and microbial populations
  - development and use of precision medicine.

This document sets out:

- the eligibility and merit criteria
- how we consider and assess grant applications
- how we notify applicants and enter into grant agreements with grantees
- how we monitor and evaluate grantees' performance
- responsibilities and expectations in relation to the opportunity.

The Department of Industry, Science and Resources (the department/we) is responsible for administering this grant opportunity on behalf of the Department of Health.

We have defined key terms used in these guidelines in appendix A.

You should read this document carefully before you fill out an application.

## 5. Grant amount and grant period

The Australian Government has announced a total of \$106 million over nine years for the Flagship stream from 2019-20 to 2027-28. For this grant opportunity \$32 million is available over four years from 2019-20 to 2022-23.

- \$8 million in 2019-20

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

- \$8 million in 2020-21
- \$8 million in 2021-22
- \$8 million in 2022-23.

### 5.1. Grants available

The grant amount will be up to 100 per cent of eligible project costs (grant percentage).

- The minimum grant amount is \$1 million.
- The maximum grant amount is \$10 million.

We cannot fund your project if it receives funding from another Commonwealth government grant. You can apply for a grant for your project under more than one Commonwealth program, but if your application is successful, you must choose either the Pathogen Genomics grant or the other Commonwealth grant.

### 5.2. Project period

We expect you to complete your project within four years from the date of execution of a grant agreement. The Program Delegate may approve an extension of time under certain circumstances.

## 6. Eligibility criteria

We cannot consider your application if you do not satisfy all eligibility criteria.

### 6.1. Who is eligible?

To be an eligible organisation you must:

- have an Australian Business Number (ABN)
- be incorporated in Australia

and, in accordance with s24 of the [Medical Research Future Fund Act 2015](#)<sup>2</sup>, you must be one of the following eligible bodies:

- a medical research institute
- a university
- a corporate Commonwealth entity
- a corporation (including businesses and not for profits).

Joint applications are encouraged. You must have a lead applicant who is the main driver of the project and is eligible to apply. For further information on joint applications, refer to section 9.2.

### 6.2. Additional eligibility requirements

We can only accept applications where you provide:

- evidence from your board (or chief executive officer or equivalent if there is no board) that it supports the project and that you can complete the project and meet the costs of the project not covered by grant funding

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<sup>2</sup> <https://www.legislation.gov.au/Details/C2015A00116>

- a project plan, including a risk management plan<sup>3</sup>
- a detailed project budget
- an intellectual property plan
- a data management plan.

We cannot waive the eligibility criteria under any circumstances.

### 6.3. Who is not eligible?

You are not eligible to apply if you are:

- an individual
- a partnership
- an unincorporated association
- any organisation not included in section 6.1
- a trust (however, an incorporated trustee may apply on behalf of a trust)
- a Commonwealth, State, Territory or local government body (including government business enterprises)
- a non-corporate Commonwealth entity.

## 7. What you can use the grant for

### 7.1. Eligible activities

To be eligible your project must:

- be aimed at the purpose of the grant opportunity as outlined in section 4.1
- include eligible expenditure
- include one or more of the following eligible activities:
  - research and development
  - disease modelling (clearly applied in a clinical setting or for the purpose of public health investigation)
  - clinical trials.

We may also approve other activities.

### 7.2. Eligible locations

You must undertake your project in Australia.

### 7.3. Eligible expenditure

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

- For guidance on eligible expenditure, see appendix B.
- For guidance on ineligible expenditure, see appendix C.

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<sup>3</sup> The project plan, inclusive of risk management plan, must be no longer than 10 pages using Times New Roman size 12 font.



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

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

Not all expenditure on your project may be eligible for grant funding. The Program Delegate makes the final decision on what is eligible expenditure and may give additional guidance on eligible expenditure if required.

To be eligible, expenditure must:

- be a direct cost of the project
- be incurred by you for required project audit activities.

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

You must not commence your project until you execute a grant agreement with the Commonwealth.

## 8. The assessment criteria

We use assessment criteria, known as merit criteria, to assess your application. You must address all merit criteria in your application. We will assess your application based on the weighting given to each merit criterion.

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

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

### 8.1. Merit criterion 1

#### **Scientific quality and feasibility (30 points)**

You should demonstrate this by identifying:

- the focus of your project and its alignment to the grant opportunity objective
- a sound and feasible research project design
- any pre-existing body of evidence that supports the application of the proposed intervention in the clinical and/or public health investigation environment, including robust safety and effectiveness indicators
- how your project will foster high quality research and innovation
- how your project will leverage existing Australian and international research, expertise and intellectual property.

### 8.2. Merit criterion 2

#### **Significance of the expected outcomes (40 points)**

You should demonstrate this by identifying:

- the potential impact of your project's outcome, particularly on human health, and the novel aspects of your research
- comprehensive evidence of validation of research questions by end-users in the health system including clinicians, patient groups, industry and other consumers (validation of research questions can take the form of agreement or assent to the questions, or more material support such as in-kind or financial support from other parties)
- the translation and commercialisation opportunities for your research outcomes including new practice, treatments, products, processes or services.

### 8.3. Merit criterion 3

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

You should demonstrate this by identifying:

- team quality and capability relevant to the application - relative to opportunity, taking into account career disruptions where applicable
- the extent your project uses a multi-disciplinary team and why this is important for the success of your project
- your access, or future access to, any infrastructure, capital equipment, technology and intellectual property required for the project
- a sound project plan including a risk management plan to monitor and treat the project and risks.

### 8.4. Merit criterion 4

#### **Impact of grant funding (10 points)**

You should demonstrate this by identifying:

- the total investment the grant will leverage including cash and in-kind contributions
- your ability to fund your share of project costs not covered by the grant
- your project budget.

## 9. How to apply

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

You can only submit an application during a funding round.

To apply, you must:

- complete the online program application form on business.gov.au
- provide all the information requested
- address all eligibility and merit criteria
- include all necessary attachments.

You will receive confirmation when you submit your application. You should retain a copy of your application for your own records.

You are responsible for making sure your application is complete and accurate. Giving false or misleading information is a serious offence under the *Criminal Code 1995* (Cth). If we consider that

you have provided false or misleading information we may not progress your application. If you find an error in your application after submitting it, you should call us immediately on 13 28 46.

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

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

### 9.1. Attachments to the application

Provide the following documents with your application:

- a project plan, including risk management plan (the project plan, inclusive of risk management plan, must be no longer than 10 pages using Times New Roman size 12 font)
- a project budget
- an intellectual property plan
- a data management plan
- evidence of support from the board, CEO or equivalent
- letters of support from each project partner (where applicable)
- trust deed (where applicable).

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.

### 9.2. Joint applications

We recognise that some organisations may want to join together as a group to deliver a project. In these circumstances, you must appoint a lead organisation. Only the lead organisation can submit the application form and enter into the grant agreement with the Commonwealth. The application should identify all other members of the proposed group and include a letter of support from each of the project partners. Each letter of support should include:

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

You must have a formal arrangement in place with all parties prior to execution of the grant agreement.

### 9.3. Timing of grant opportunity

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

If you are successful we expect you will be able to commence your project around October 2019.

Table 1: Expected timing for this grant opportunity

| Activity                                   | Timeframe                                     |
|--|---|
| Assessment of applications                 | 8 to 12 weeks                                 |
| Approval of outcomes of selection process  | 4 weeks                                       |
| Negotiations and award of grant agreements | 4 weeks                                       |
| Notification to unsuccessful applicants    | 2 weeks                                       |
| Earliest start date of project             | The date of execution of your grant agreement |
| End date of grant commitment               | 30 June 2023                                  |

## 10. The grant selection process

We first review your application against the eligibility criteria. Only eligible applications will proceed to the merit assessment stage.

We refer your application to an independent peer review committee for assessment.

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

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

### 10.1. Who will approve grants?

The Program Delegate, a senior Commonwealth official in the Department of Health, (the First Assistant Secretary of the Health, Economics and Research Division), who has been authorised to make decisions, decides which grants to approve taking into account the recommendations of the committee and the availability of grant funds.

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

- the grant approval
- the grant funding to be awarded
- any conditions attached to the offer of funding.

We cannot review decisions about the merits of your application.

The Program Delegate will not approve funding if there are insufficient program funds available across relevant financial years for the program.

## 11. Notification of application outcomes

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

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

## 12. Successful grant applications

### 12.1. Grant agreement

You must enter into a legally binding grant agreement with the Commonwealth. We will use the Commonwealth's standard grant agreement. The grant agreement has general terms and conditions that cannot be changed. A sample [grant agreement](#) is available on [business.gov.au](http://business.gov.au) and GrantConnect.

We must execute a grant agreement with you before we can make any payments. Execute means both you and the Commonwealth have signed the agreement. We are not responsible for any expenditure you incur until a grant agreement is executed. You must not start any project activities until a grant agreement is executed.

The approval of your grant may have specific conditions determined by the assessment process or other considerations made by the Program Delegate. We will identify these in the offer of funding.

If you enter an agreement under this grant opportunity, you cannot receive other grants for the same activities from other Commonwealth granting programs.

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

You will have 30 days from the date of a written offer to execute this grant agreement with the Commonwealth. During this time, we will work with you to finalise details.

The offer may lapse if both parties do not sign the grant agreement within this time. Under certain circumstances, we may extend this period. We base the approval of your grant on the information you provide in your application. We will review any required changes to these details to ensure they do not affect the project as approved by the Program Delegate.

### 12.2. Project/Activity specific legislation, policies and industry standards

You 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 you meet these requirements. We will include these requirements in your grant agreement.

Wherever the government funds research activities, the following special regulatory requirements may apply:

- [Medical Research Future Fund Act 2015](#)<sup>4</sup>
- Working with Vulnerable People registration
- Working with Children Checks
- Ethics and research practices
- Intellectual property rights.

To be eligible, you must declare in your application that you comply with these requirements. You will need to declare you can meet these requirements in your grant agreement with the Commonwealth.

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<sup>4</sup> <https://www.legislation.gov.au/Details/C2015A00116>

### 12.2.1. Child Safety Requirements

You must comply with all relevant legislation relating to the employment or engagement of anyone working on the project that may interact with children, including all necessary working with children checks.

You must implement the National Principles for Child Safe Organisations endorsed by the Commonwealth and available at: <https://www.humanrights.gov.au/national-principles-child-safe-organisations>.

You will need to complete a risk assessment to identify the level of responsibility for children and the level of risk of harm or abuse, and put appropriate strategies in place to manage those risks. You must update this risk assessment at least annually.

You will also need to establish a training and compliance regime to ensure personnel are aware of, and comply with, the risk assessment requirements, relevant legislation including mandatory reporting requirements and the National Principles for Child Safe Organisations.

You will be required to provide an annual statement of compliance with these requirements in relation to working with children.

### 12.2.2. Ethics and research practices

The [National Health and Medical Research Council](#)<sup>5</sup> (NHMRC) website 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), included but not limited to:

- the NHMRC/ARC/UA Australian Code for the Responsible Conduct of Research (2018) and successor documents
- the NHMRC/ARC/UA National Statement on Ethical Conduct in Human Research (2007, updated 2018); and
  - the Australian Code for the care and use of animals for scientific purposes (2013) endorsed by the NHMRC, the ARC, the Commonwealth Scientific and Industrial Research Organisation and UA.

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

### 12.2.3. Intellectual property plan

You must provide details of intellectual property (IP) arrangements in your application. 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 collaborating partners on the management of IP issues. These agreements should be in accordance with laws and regulations in Australia. For guidance, see the [National principles of Intellectual Property management for publicly funded research](#).

### 12.2.4. Data management plan

Applicants must outline plans for managing data produced from their proposed research. At a minimum, these management plans should include the storage, security, access, sharing and re-

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<sup>5</sup> <https://www.nhmrc.gov.au/>

use arrangements for the data. It is not sufficient to state that the organisation has a data management policy.

Researchers must detail, where applicable, how their ethics and consent processes will enable the storage and sharing of data (de-identified and/or re-identified) in order to support the GHFM.

It is highly desirable that the data management plan recognise and make provision for storage in any potential future GHFM data repositories.

GHFM research projects proposals with plans to manage genomic and/or phenomic data in alignment with the FAIR principles for research data (Findable, Accessible, Interoperable and Reusable) are preferred.

### 12.3. How we pay the grant

The grant agreement will state the maximum grant amount we will pay.

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

We will make an initial payment on execution of the grant agreement. We will make subsequent payments six monthly in advance based on your forecast eligible expenditure and adjusted to unspent amounts from previous payments. Payments are subject to satisfactory progress on the project.

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

### 12.4. Tax obligations

If you are registered for the Goods and Services Tax (GST), where applicable we will add GST to your grant payment and provide you with a recipient created tax invoice. You are required to notify us if your GST registration status changes during the project period. GST does not apply to grant payments to government related entities<sup>6</sup>.

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

## 13. Announcement of grants

We will publish non-sensitive details of successful projects on GrantConnect. We are required to do this by the *Commonwealth Grants Rules and Guidelines* unless otherwise prohibited by law. We may also publish this information on business.gov.au. This information may include:

- name of your organisation
- title of the project
- description of the project and its aims
- amount of grant funding awarded

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<sup>6</sup> See Australian Taxation Office ruling GSTR 2012/2 available at ato.gov.au

- Australian Business Number
- business location
- your organisation's industry sector.

## 14. How we monitor your project

### 14.1. Keeping us informed

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

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

You must also inform us of any changes to your:

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

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

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

### 14.2. Reporting

You must submit reports in line with the grant agreement. We will provide sample templates for these reports as appendices in the grant agreement. We will remind you of your reporting obligations before a report is due. We will expect you to report on:

- progress against agreed project milestones
- project expenditure, including expenditure of grant funds.

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

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

#### 14.2.1. Progress reports

Progress reports must:

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

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

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



### 14.2.2. End of project report

When you complete the project, you must submit an end of project report.

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
- be in the format provided in the grant agreement.

### 14.2.3. Ad-hoc reports

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

### 14.3. Independent audits

We may ask you to provide an independent audit report. An audit report will verify that you spent the grant in accordance with the grant agreement. The audit report requires you to prepare a statement of grant income and expenditure. The report template is attached to the sample grant agreement.

### 14.4. Compliance visits

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

### 14.5. Grant agreement variations

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

- changing project milestones
- extending the timeframe for completing the project
- changing project activities.

Note the program does not allow for:

- an increase of grant funds.

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

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

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

- how it affects the project outcome
- consistency with the program policy objective, grant opportunity guidelines and any relevant policies of the department

- changes to the timing of grant payments
- availability of program funds.

## 14.6. Evaluation

We will evaluate the grant program to measure how well the outcomes and objectives have been achieved. We may use information from your application and project reports for this purpose. We may also interview you, or ask you for more information to help us understand how the grant impacted you and to evaluate how effective the program was in achieving its outcomes.

We may contact you up to two years after you finish your project for more information to assist with this evaluation.

## 14.7. Grant acknowledgement

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.’

## 15. Probity

We 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.

### 15.1. 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 our 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 or member of an external panel
- 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.

As part of your application, we will ask you 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.

Conflicts of interest for Australian Government staff are handled as set out in the Australian [Public Service Code of Conduct \(Section 13\(7\)\)](#)<sup>7</sup> of the [Public Service Act 1999 \(Cth\)](#)<sup>8</sup>. Committee

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<sup>7</sup> [https://www.legislation.gov.au/Details/C2017C00270/Html/Text#\\_Toc491767030](https://www.legislation.gov.au/Details/C2017C00270/Html/Text#_Toc491767030)

<sup>8</sup> <https://www.legislation.gov.au/Details/C2017C00270>

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's [website](#)<sup>9</sup>.

## 15.2. How we use your information

Unless the information you provide to us is:

- confidential information as per 15.2.1, or
- personal information as per 15.2.3,

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

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

### 15.2.1. How we handle your confidential information

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

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

### 15.2.2. When we may disclose confidential information

We may disclose confidential information:

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

We may also disclose confidential information if:

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

### 15.2.3. How we use your personal information

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

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<sup>9</sup> <https://www.industry.gov.au/sites/g/files/net3906/f/July%202018/document/pdf/conflict-of-interest-and-insider-trading-policy.pdf>

- what personal information we collect
- why we collect your personal information
- to whom we give your personal information.

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

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

We, or the Minister, may:

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

You may read our [Privacy Policy](#)<sup>10</sup> on the department's website for more information on:

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

#### 15.2.4. 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* (Cth) (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.

If someone requests a document under the FOI Act, we will release it (though we may need to consult with you and/or other parties first) unless it meets one of the exemptions set out in the FOI Act.

## 16. Enquiries and feedback

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

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

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

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

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

General Manager

Business Grants Hub

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<sup>10</sup> <https://www.industry.gov.au/data-and-publications/privacy-policy>

Department of Industry, Science and Resources  
GPO Box 2013  
CANBERRA ACT 2601

You can also contact the [Commonwealth Ombudsman<sup>11</sup>](#) with your complaint (call 1300 362 072). There is no fee for making a complaint, and the Ombudsman may conduct an independent investigation.

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<sup>11</sup> <http://www.ombudsman.gov.au/>

## Appendix A. Definitions of key terms

| Term                          | Definition  |
|-------------------------------|---|
| Application form              | The document issued by the Program Delegate that applicants use to apply for funding under the program.   |
| AusIndustry                   | The division of the same name within the department.  |
| Department                    | The Department of Industry, Science and Resources.  |
| Eligible activities           | The activities undertaken by a grantee in relation to a project that are eligible for funding support as set out in 7.1.  |
| Eligible application          | An application or proposal for grant funding under the program that the Program Delegate has determined is eligible for assessment in accordance with these guidelines.               |
| Eligible expenditure          | The expenditure incurred by a grantee on a project and which is eligible for funding support as set out in 7.3.   |
| Eligible expenditure guidance | The guidance that is provided at Appendix B.  |
| Genomics                      | The branch of molecular biology concerned with the structure function, evolution, and mapping of genomes.   |
| Grant agreement               | A legally binding contract between the Commonwealth and a grantee for the grant funding.  |
| Grant funding or grant funds  | The funding made available by the Commonwealth to grantees under the program.   |
| <a href="#">GrantConnect</a>  | The Australian Government's whole-of-government grants information system, which centralises the publication and reporting of Commonwealth grants in accordance with the CGRGs.       |
| Grantee                       | The recipient of grant funding under a grant agreement.   |
| Guidelines                    | Guidelines that the Minister gives to the department to provide the framework for the administration of the program, as in force from time to time.                                   |
| Medical research              | Medical research includes research into health.   |
| MRFF                          | Medical Research Future Fund.   |
| Minister                      | The Commonwealth Minister for Health.   |
| Non-income-tax-exempt         | Not exempt from income tax under Division 50 of the <i>Income Tax Assessment Act 1997</i> (Cth) or under Division 1AB of Part III of the <i>Income Tax Assessment Act 1936</i> (Cth). |

| Term                             | Definition  |
|----------------------------------|---|
| Personal information             | <p>Has the same meaning as in the <i>Privacy Act 1988</i> (Cth) which is:</p> <p>Information or an opinion about an identified individual, or an individual who is reasonably identifiable:</p> <ol style="list-style-type: none"> <li>a. whether the information or opinion is true or not; and</li> <li>b. whether the information or opinion is recorded in a material form or not.</li> </ol> |
| Peer review                      | Impartial and independent assessment of research by others working in the same or a related field.  |
| Program Delegate                 | A Commonwealth official in the Department of Health with responsibility for the grant opportunity.  |
| Program funding or Program funds | The funding made available by the Commonwealth for the program.   |
| Project                          | A project described in an application for grant funding under the program.  |

## Appendix B. Eligible expenditure

This section provides guidance on the eligibility of expenditure.

The Program Delegate makes the final decision on what is eligible expenditure and may give additional guidance on eligible expenditure if required.

To be eligible, expenditure must:

- be incurred by you within the project period
- be a direct cost of the project
- be incurred by you to undertake required project audit activities
- meet the eligible expenditure guidelines.

### How we verify eligible expenditure

If your application is successful, we will ask you to verify the project budget that you provided in your application when we negotiate your grant agreement. You may need to provide evidence such as quotes for major costs.

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

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

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

At the end of the project, you will be required to provide an independent financial audit of all eligible expenditure from the project.

### Labour expenditure

Eligible labour expenditure for the grant covers the direct labour costs of employees you directly employ on the core elements of the project. We consider a person an employee when you pay them a regular salary or wage, out of which you make regular tax instalment deductions.

We consider costs for technical, but not administrative, project management activities eligible labour expenditure. However, we limit these costs to 10 per cent of the total amount of eligible labour expenditure claimed.

We do not consider labour expenditure for leadership or administrative staff (such as CEOs, CFOs, accountants and lawyers) as eligible expenditure, even if they are doing project management tasks.

Eligible salary expenditure includes an employee's total remuneration package as stated on their Pay As You Go (PAYG) Annual Payment Summary submitted to the ATO. We consider salary-sacrificed superannuation contributions as part of an employee's salary package if the amount is more than what the Superannuation Guarantee requires.

The maximum salary for an employee, director or shareholder, including packaged components that you can claim through the grant is \$175,000 per financial year.



For periods of the project that do not make a full financial year, you must reduce the maximum salary amount you claim proportionally.

You can only claim eligible salary costs when an employee is working directly on agreed project activities during the agreed project period.

## Contract expenditure

Eligible contract expenditure is the cost of any agreed project activities that you contract others to do. These can include contracting:

- another organisation
- an individual who is not an employee, but engaged under a separate contract.

All contractors must have a written contract prior to starting any project work - for example, a formal agreement, letter or purchase order which specifies:

- the nature of the work they perform
- the applicable fees, charges and other costs payable.

Invoices from contractors must contain:

- a detailed description of the nature of the work
- the hours and hourly rates involved
- any specific plant expenses paid.

Invoices must directly relate to the agreed project, and the work must qualify as an eligible expense. The costs must also be reasonable and appropriate for the activities performed.

We will require evidence of contractor expenditure that may include:

- an exchange of letters (including email) setting out the terms and conditions of the proposed contract work
- purchase orders
- supply agreements
- invoices and payment documents.

You must ensure all project contractors keep a record of the costs of their work on the project. We may require you to provide a contractor's records of their costs of doing project work. If you cannot provide these records, the relevant contract expense may not qualify as eligible expenditure.

## Travel and overseas expenditure

Eligible travel and overseas expenditure may include

- domestic travel limited to the reasonable cost of accommodation and transportation required to conduct agreed project and collaboration activities in Australia
- overseas travel limited to the reasonable cost of accommodation and transportation required in cases where the overseas travel is material to the conduct of the project in Australia.

Eligible air transportation is limited to the economy class fare for each sector travelled; where non-economy class air transport is used only the equivalent of an economy fare for that sector is eligible expenditure. Where non-economy class air transport is used, the grantee will require evidence showing what an economy air fare costs at the time of travel.

We will consider value for money when determining whether the cost of overseas expenditure is eligible. This may depend on:

- the proportion of total grant funding that you will spend on overseas expenditure
- the proportion of the service providers total fee that will be spent on overseas expenditure
- how the overseas expenditure is likely to aid the project in meeting the program objectives

Overseas travel must be at an economy rate and you must demonstrate you cannot access the service, or an equivalent service in Australia.

Eligible overseas activities expenditure is generally limited to 10 per cent of total eligible expenditure.

### Other eligible expenditure

Other eligible expenditures for the project may include:

- staff training that directly supports the achievement of project outcomes
- financial auditing of project expenditure.

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

Evidence you need to supply can include supplier contracts, purchase orders, invoices and supplier confirmation of payments.

## Appendix C. Ineligible expenditure

This section provides guidance on what we consider ineligible expenditure.

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

Examples of ineligible expenditure include:

- activities, equipment or supplies that are already being supported through other sources
- costs incurred prior to us notifying you that the application is eligible and complete
- any in-kind contributions
- financing costs, including interest
- 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
- non-project-related staff training and development costs
- insurance costs (the participants must effect and maintain adequate insurance or similar coverage for any liability arising as a result of its participation in funded activities)
- debt financing
- costs related to obtaining resources used on the project, including interest on loans, job advertising and recruiting, and contract negotiations
- depreciation of plant and equipment beyond the life of the project
- maintenance costs
- routine operational expenses, 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
- travel or overseas costs that exceed 10% of total project costs except where otherwise approved by the Program Delegate.

This list is not exhaustive and applies only to the expenditure of the grant funds. Other costs may be ineligible where we decide that they do not directly support the achievement of the planned outcomes for the project or that they are contrary to the objective of the program.

You must ensure you have adequate funds to meet the costs of any ineligible expenditure associated with the project.