

# **ACTIVATOR FUND GUIDELINES**

Opening date: 7:00AM ACST on 26 June 2023

Closing date and time: 3:00PM ACST on 8 September 2023

Administering entity: Defence Innovation Partnership, Defence SA

Enquiries: E:

enquiries@defenceinnovationpartnership.com

Date guidelines updated: 27 June 2023

Type of grant opportunity: Open competitive

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# 1. The Activator Fund process

The Activator Fund will build on South Australia's research and development strengths and aligns with the undersea warfare and trusted autonomy priorities of the Defence Innovation, Science and Technology program.

View details of the Activator Fund HERE



Co-design and proposal development



Complete and submit an Activator Fund application from Monday 26 June 2023.



Applications assessed and shortlisted



The Assessment Panel submits a recommendation to the Defence Innovation Partnership Advisory Board for endorsement.



Successful projects are decided Chief Executive, Defence SA will approve successful applications.



Notification of the outcome



Funding Agreement

The South Australian minister for Defence and Space Industries will enter into a Funding Agreement with the Lead Participant of the successful application(s).



Project Delivery

You undertake the project activity – we manage the Funding Agreement.

## 2. About the Defence Innovation Partnership

The Defence Innovation Partnership is a collaborative initiative of the South Australian Government through Defence SA, the Defence Science and Technology Group, The University of Adelaide, Flinders University and University of South Australia.

The Defence Innovation Partnership is hosted and administered by Defence SA.

## 3. About the Activator Fund

The Defence Innovation Partnership, in collaboration with Defence Science and Technology Group, is proud to launch the new Activator Fund.

The Activator Fund aims to enable South Australia to create and participate in larger-scale innovation activities that are aligned with the most significant challenges facing Defence. The Activator Fund is firmly linked with the Australian Department of Defence's Innovation, Science and Technology priorities.

The Activator Fund aims to have ongoing impacts on the South Australian innovation ecosystem, particularly to enable more rapid transition of technology developments towards future operational capabilities. It aims to create opportunities for greater follow-on investment from national and international R&D programs, spinoffs into local industry including dual use into non-defence sectors, and uplift of local industry to supply into international defence/space programs.

## 3.1. About the Activator Fund Opportunity

The first theme of the Activator Fund is Remote Undersea Surveillance Data Processing, Analysis and Networking. This theme will build on South Australia's research and development strengths and aligns with the undersea warfare and trusted autonomy priorities of the Defence Innovation, Science and Technology program. The project will advance novel approaches to support development of an undersea situational awareness picture from sensor data. The focus is on autonomous sensor processing, collaborative sensing, distributed sensor networks and mission planning.

Proposals will be sought from consortia led by South Australian universities and industry and involving Australian Department of Defence partners and other national and international partners. Up to \$1.6 million will be available from the Activator Fund for the first theme, and successful applicants will be required to provide matching co-contributions.

The objectives of this theme are:

- Enable larger-scale research, development, and innovation activities that have benefit for the South Australian economy
- Leverage existing South Australian R&D, innovation, and industrial strengths
- Build new South Australian R&D, Innovation, and industrial strengths in areas of strategic interest
- Establish partnerships with leading researchers and innovators nationally and internationally
- Develop and apply transferable novel research to defence and adjacent sectors, by enabling more rapid transition of technology developments into operational capabilities

Expectations and key considerations for this theme are:

- Close alignment with the challenges and scope outlined in the **Briefing Documents**
- Support and involvement from Australian Department of Defence
- Strong collaborative team delivering a larger-scale project. While there is no minimum grant amount specified, preference will be given to proposals that demonstrate ability to build scale

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in research and development in South Australia. It is likely that only a small number of larger projects will be funded (potentially one or two).

• Benefit for South Australia

Further information on how to apply, as well as FAQs and sample documents will be available on the Defence Innovation Partnership website, under the <u>Activator Fund</u> page.

# 4. Grant amount and grant period

#### 4.1. Grant amount and co-contributions

Up to \$1.6 million will be available for the first theme of the Activator Fund: Remote Undersea Surveillance Data Processing, Analysis and Networking. Matched funding is required, with at least a quarter (25%) of the co-contributions as cash. The cash contribution may be provided by any of the participating parties, including Australian Department of Defence.

While there is no minimum grant amount specified, preference will be given to proposals that demonstrate ability to build scale in research and development in South Australia. It is likely that only a small number of larger projects will be funded (potentially one or two).

## 4.2. Project period

Projects begin as soon as the Funding Agreement has been signed by all parties. The expected timeframe for projects is 24 months.

# 5. Eligibility criteria

## 5.1. Minimum requirements for collaboration and matched funding

Minimum requirements for collaboration:

• Eligible proposals must have a minimum of one South Australian university Partner Organisation, one South Australia-based industry Partner Organisation and Australian Department of Defence involvement (ideally as a Partner Organisation).

Minimum requirements for matched funding:

- There is a requirement for minimum 1:1 matched (cash and in-kind) funding for the funding amount that is requested from the Activator Fund (\$1 Activator Fund to \$1 provided by participants).
- Matched funding from participants should comprise minimum 25% cash, and Australian Department of Defence funding can be included in this.
- Work funded by the Activator Fund must be undertaken in South Australia. Contributions from Lead and Partner Organisations may be used to fund work outside of South Australia, but the majority of overall project effort must occur in South Australia.

#### 5.2. Who is eligible to participate?

The Lead Organisation for an Activator Fund proposal is the entity with which the Minister for Defence and Space Industries will enter into a Funding Agreement. The Lead Organisation for an Activator Fund proposal can be:

a South Australian public university

• a South Australia-based business (with an ABN), either headquartered or with substantial operations in South Australia relevant to the Activator Fund theme.

Partner Organisations for an Activator Fund proposal can be:

- Australian Government agencies, including Department of Defence
- South Australian Government agencies
- Australian universities
- Publicly Funded Research Organisations
- Australian industry startups, SMEs and large companies
- Overseas government, research and industry organisations

# 6. What the Activator Fund money can be used for

## 6.1. Eligible activities and expenditure

Eligible activities may include:

- employing and/or providing stipends to research staff to work on the Activator Fund project
- purchasing hardware and software
- costs to access research infrastructure
- travel costs directly related to the Activator Fund project

We may also approve other activities.

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.

To be eligible, expenditure must be a direct cost of the project.

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

You must not commence your project until you execute a Funding Agreement with the Minister for Defence and Space Industries.

## 7. Assessment Criteria

The Activator Fund Application Form asks questions that relate to the Assessment Criteria listed below.

It is recommended you become familiar with the Assessment Criteria before completing your application.

## 7.1. Assessment Criterion 1 – Project Description

- 1. How clearly articulated is the proposed problem and the proposed solution?
- 2. Has the proposal clearly identified the purpose, how the project will be undertaken and the desired outcomes? Do these align with the purpose and objectives of the Activator Fund?
- 3. Is the proposal of an adequate scale for Activator Fund, and is it likely to build scale in research and development activities in South Australia?

4. To what extent is the project novel and innovative?

Score	Rating	Definition
	Well described and a step change technology	The proposal presents a well thought through and achievable program of work; technical challenges have been addressed.
		The proposal clearly outlines the purpose and outcomes, which support the purpose and objectives of the Activator Fund.
3		The proposal is of an adequate scale for Activator Fund, and clearly demonstrates significant ability to build scale in R &D activities in South Australia.
		The proposal clearly describes the limits of current practice and novelty/innovation of the proposed approach.
	Adequately described and an evolutionary technology	The proposal presents a program of work that is feasible and credible but not clearly articulated; technical challenges have been addressed.
2		The proposal outlines the purpose and objectives, which support the purpose and objectives of the Activator Fund.
2		The proposal is of an adequate scale for Activator Fund, and demonstrates ability to build scale in R &D activities in South Australia.
		The proposal describes the limits of current practice and novelty/innovation of the proposed approach.
	Poorly described and an incremental improvement	Proposal may be feasible.
		The program of work is ambitious given the available budget, timeframe and team, and technical challenges not fully addressed.
1		The proposal is of an adequate scale for Activator Fund, and mentions the possibility of building scale in R &D activities in South Australia.
		The proposal does not fully support the purpose and objectives of the Activator Fund.
	Unacceptable detail	Proposal is unlikely to be feasible.
0		The program of work is unlikely to be delivered within the proposed timeframe and/or budget; technical challenges poorly addressed.
		The proposal does not adequately support the purpose of the Activator Fund.

The proposal is of an inadequate scale for Activator Fund, and/or does not demonstrate the possibility of building scale in R &D activities in South Australia.
The proposal does not describe current practice or the novelty/innovation of the proposed approach.

## 7.2. Assessment Criterion 2 – Defence Desirability and Potential Dual Use

- 1. How well does the proposal align with Australian Department of Defence priorities?
- 2. Is there a clear and direct application to defence?
- 3. Does the proposal have applications in other sectors?

Score	Rating	Definition
	High desirability for Defence	Proposal aligns very closely with Australian Department of Defence priorities and there is strong support and involvement from Australian Department of Defence personnel.
3		The proposal has a clear defence application, and a strategy has been described by which further support from Australian Department of Defence could be achieved.
		Applications to other sectors and how these may be exploited have been identified.
	Moderate desirability for Defence	Proposal aligns with Australian Department of Defence priorities and there is some support and/or involvement from Australian Department of Defence personnel.
2		The proposal has defence application, however there is limited or no strategy regarding further maturation.
		Applications to other sectors have been identified.
	Minimal Desirability for Defence	Proposal has moderate alignment with Australian Department of Defence priorities, but there is no involvement or support from Australian Department of Defence personnel.
1		There is an identified defence application, but the links as to how it might be utilised are unclear.
		Applications to other sectors are poorly defined.
0	No Defence Desirability	The proposal does not align with Australian Department of Defence priorities.

## 7.3. Assessment Criterion 3 – Collaboration

- 1. Does the Project Team have the expertise to undertake the project (including minimum criteria being one South Australian university partner, one South Australian industry partner and an Australian Department of Defence partner)?
- 2. Does the Project Team have the resources required to undertake the project?

- 3. Does the Project Team have the minimum matching contributions (of the matching contribution, 25% in cash)?
- 4. Are all Project Team participants providing meaningful contributions?
- 5. What is the level of Australian Department of Defence participation?

Score	Rating	Definition
3	Exceptional	The proposal clearly articulates that the proposal possesses all the capabilities required and has the capacity to successfully undertake the project in the described timeframe.
		Includes significant Australian Department of Defence participation.
2	Good	The proposal describes strategies that the proposal will put in place to ensure they have access to the capabilities and capacity to successfully complete the project in the described timeframe.
		Includes moderate Australian Department of Defence participation.
1	Poor	The proposal does not provide sufficient confidence that the proposed team possesses the capabilities or the capacity to successful undertake the project in the described timeframe.
		Includes limited Australian Department of Defence participation.
0	Inadequate	Response provided is not of an acceptable nature to be scored.
		Includes no Australian Department of Defence participation.

## 7.4. Assessment Criterion 4 – Viability and Feasibility

- 1. Is the proposal achievable in the timeframe and within budget?
- 2. How clear and articulated are the deliverables/milestones? Are they feasible within the 24-month duration of the project?
- 3. Have any project and technical risks been identified and addressed (e.g. access to trial facilities and participants, use of technical methods which have a higher risk of failure)?
- 4. Do the participants have experience completing innovation projects of a similar scale?
- 5. Is there a more practical technical approach with better outcomes?

Score	Rating	Definition
3	Exceptional	The proposal has considered all the project and technical risks required to successfully undertake the project in the described timeframe and budget.
		The technical approach is highly appropriate.
2	Good	The proposal has considered project and technical risks and provided a description on mitigation strategy to undertake the project in the described timeframe and budget.
		The technical approach is realistic, but there are alternatives which could achieve similar results.

1	Poor	The proposal identifies project and/or technical risks but provides no strategies for mitigation.
		There are other alternative approaches which may provide improved outcomes.
0	Inadequate	The proposal does not address the project and technical hurdles and there are other alternative approaches which will give superior outcomes.

# 6.5 Assessment Criterion 5 - Budget

- 1. Does the budget represent value for money (are the costs to achieve the milestones / deliverables reasonable, or overheads acceptable)?
- 2. Does the budget for the base project fall within the required dollar range? Does the project include costed stretch milestones if additional funding becomes available?
- 3. Is the budget costed appropriately (has the applicant allocated enough resources to successfully undertake the project)?

Score	Rating	Definition
3	Exceptional work plan and costing	The proposal has clearly defined and realistic milestones and deliverables.
3		The costing for the research is considered sufficient and provides outstanding value for money
	Acceptable	The proposal has adequately defined milestones and deliverables.
2	work plan and costing	The costing for the research is sufficient and provides reasonable value for money.
1	Poor work plan and costing	The proposal has poorly defined milestones and deliverables, with risks on its achievability.
'		The costing for the research is potentially insufficient/ inadequate and provides limited value for money.
0	Unacceptable	Response provided is not of an acceptable nature to be scored.

# 6.6 Assessment Criterion 6 - Realisation pathway / commercial opportunity / scalability and impact

- 1. Has the commercial opportunity and impact been clearly articulated?
- 2. Is there capacity / intention for the collaboration to continue into the future?
- 3. Has a detailed realisation pathway been described? Are there strong links to Defence and/or into another sector to enable the realisation pathway?
- 4. To what extent has the strategy for scalability been defined?
- 5. Does the proposal have the potential to provide economic benefit back to the state and has this been clearly articulated?

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3	Outstanding opportunity	A clear commercial opportunity (including benefits and ROI) has been described along with an achievable market penetration (commercialisation) strategy and how scalability will be realised.
2	Good opportunity	The proposal describes a commercial opportunity and market penetration (commercialisation) strategy but lacks detail.  Scalability is addressed but the strategy also lacks detail.
1	Moderate opportunity	The commercial opportunity and commercialisation strategy are unclear (minimal detail provided), as are the benefits and ROI.  Scalability has not been addressed in any detail.
0	Poor Opportunity	No detail has been provided on the commercial opportunity or how the technology will achieve scalability or market penetration.

# 8. How to apply

You can submit an application any time between 7am on Monday 26 June 2023 to 3pm on Friday 8 September 2023. Late applications will not be accepted.

Before applying for the Activator Fund it is recommended you read and understand these guidelines, and the sample draft South Australian Government Funding Agreement published on the <u>Defence Innovation Partnership</u> website.

To apply, you must complete and submit your application through the SmartyGrants online portal, including all requested information as attachments/uploads, eg Participant Declarations, Letters of Support.

You can view and print a copy of your submitted application on the portal for your own records.

If you need further guidance around the application process, or if you have any issues with the portal, contact us at enquiries@defenceinnovationpartnership.com.

# 9. The Activator Fund selection process

#### 9.1. Assessment process

The Defence Innovation Partnership will first assess applications against the Eligibility Criteria. If eligible, applications will proceed to the assessment stage.

Applications will be assessed against the Assessment Criteria, with consideration of:

- how well the application meets the criteria
- how the application compares to other applications

The Assessment Committee will include representatives from the Australian Department of Defence (including subject matter experts) and the South Australian Government. The Assessment Committee may also seek additional advice from independent technical experts.

The Assessment Committee will assess applications against the assessment criteria and compare it to other eligible applications 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.

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Any conflicts of interest for the Assessment Committee will be declared and managed during the assessment process, which might include members of the Assessment Committee abstaining from assessing some proposals.

## 9.2. Approvals process

The Assessment Committee will present funding recommendations to the Defence Innovation Partnership Advisory Board for endorsement. If recommendations are endorsed, the Chief Executive of Defence SA will approve the grant(s).

# 10. Notification of application outcomes

We will advise you of the outcome of your application in writing.

If you are successful, you will be advised about the next steps to execute the Funding Agreement(s).

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

# 11. Successful Activator Fund applications

## 11.1. Funding Agreement

You must enter into a legally binding Funding Agreement with the South Australian Government (please view sample HERE).

We will manage the South Australian Government Funding Agreement, which includes issuing and executing the Funding Agreement (execute means both you and the South Australian Government have accepted the agreement). You must not start Activator Fund project activities until a Funding Agreement is executed. We are not responsible for any expenditure incurred prior to the Funding Agreement being executed and cannot make any payments until a Funding Agreement is executed.

The approval of your Activator Fund project may have specific conditions determined by the assessment process which will be identified in the offer of the Funding Agreement.

The South Australian Government may recover funds if there is a breach of the Funding Agreement.

## 11.2. Intellectual Property

Ownership of intellectual property developed using the funds will be retained by the successful applicants. Project Teams are encouraged to discuss background and foreground IP arrangements early in the proposal development process.

Defence SA makes no claim on ownership of background or foreground IP from Activator Fund projects funded under this theme.

Where there is an Australian Department of Defence contribution to a project, applicants may be required to grant a licence to the Commonwealth to use project intellectual property for Commonwealth purposes.

## 11.3. How we pay the grant

The Funding Agreement will include:

- the term of the Funding Agreement
- the total amount of funding for the Activator Fund project
- details of how instalments will be paid
- all reporting requirements.

Payment of the grant will be linked to Key Milestones identified in the application process.

We will make payments according to the agreed schedule set out in the Funding Agreement. Payments are subject to satisfactory progress of the project.

# 12. Announcement of grants

Outcomes of the Activator Fund will be embargoed and must not be shared publicly or announced until the Defence Innovation Partnership notifies that the embargo has been lifted, or the South Australian Government makes a public announcement.

The Defence Innovation Partnership and Defence SA will liaise with the Lead Organisation of successful proposals, and other relevant parties as necessary, to finalise media releases, articles and posts about Activator Fund outcomes.

A non-sensitive description of successful projects will be published on the Defence Innovation Partnership website, through social media and other media channels, including details such as:

- name of the Lead Organisation and Partner Organisations
- title of the project
- brief description of the project and its aims
- amount of Activator Fund funding awarded, and total value of project.

# 13. How we monitor your grant activity

## 13.1. Reporting

The Lead Organisation must provide the Defence Innovation Partnership (Defence SA) with:

- the Reports specified in the Schedule; and
- appropriate and regular information, records and any other reports requested by the Defence Innovation Partnership (Defence SA) from time to time, including information about:
  - the application of the grant funds by the Lead Organisation (with appropriate evidence in support)
  - o the progress of and material changes to the nature and scope of the Project
  - any significant changes to the nature and/or scope of the activities conducted by the Lead Organisation with respect to the Project
  - o any other funding or financial assistance promised or received for the Project from sources other than the Defence Innovation Partnership (Defence SA)

- the performance of the Lead Organisation's undertakings and obligations under the Funding Agreement
- o the Lead Organisation's management of the grant funds, including but not limited to the economic and efficient use of resources to achieve the Purpose; and
- o any other matters relevant to the Project, as reasonably required by the Defence Innovation Partnership (Defence SA).

The Lead Organisation must, upon reasonable notice permit any officer authorised by Defence Innovation Partnership (Defence SA):

- to have access to all accounting records, equipment, documents, and information in relation to the Project and the grant funds, if required; and
- to discuss matters pertaining to the Project and the grant funds with employees of the Lead Organisation engaged in the conduct of the Project of the management of the grant funds.

## 13.1.1. Milestone reporting

Milestone reports are to be provided within two weeks of either of the following events:

- o A project milestone as detailed within the Funding Agreement is achieved; or
- It is realised that a project milestone as detailed within the Funding Agreement cannot be met

A template for milestone reporting will be provided to the Lead Organisation and will include (at least) the following information:

- Project name
- Lead participant details
- o Title of milestone
- o Statement of key activities and/or outcomes achieved
- In the case where a project milestone cannot be met, include details of the reason why the milestone cannot be met and details of proposed changes to scope, schedule or budget
- Indication of any additional risks identified
- o Confirm scope and schedule for the next phase of the project

The Lead Organisation must give notification of any milestone reporting delays as soon as they become aware of them.

#### 13.1.2. Completion reporting

At the end of the project period, you must submit a project completion report. The report is to be provided within one month of completing the project. The Lead Organisation must:

- Submit a Completion Report; and
- Support the preparation of a short case study and presentation to highlight the project methodology, outcomes, and potential benefits for key stakeholders

A template for the Completion Report will be provided to the Lead Organisation and will contain (at least) the following information:

- o Project name
- Lead Participant details

- o Title of milestone
- Statement of outcomes
- Details of benefits or opportunities identified, either potential or realised, including opportunities for additional collaboration, further development, or alternate funding
- o Details of any recommendations resulting from the project
- o Signed copy of the Income and Expenditure Statement as per the Agreement

## 13.2. Audit

The Defence Innovation Partnership (Defence SA) may direct the Lead Organistion to arrange for the financial accounts relating to the grant funds to be audited at the Lead Organisation's expense. The Defence Innovation Partnership (Defence SA) may specify the minimum qualifications to be held by a person appointed conduct the audit.

## 13.3. Funding Agreement variations

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

- changing project milestones
- extending the timeframe for completing the project but within the maximum grant period
- changing project activities.

The program does not allow for:

• an increase of grant funds.

If you want to propose changes to the Funding Agreement, you must put them in writing before the project milestone end date. You can submit a variation request to <a href="mailto:enquiries@defenceinnovationpartnership.com">enquiries@defenceinnovationpartnership.com</a>.

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 Activator Fund objectives, guidelines and any relevant policies of the South Australian Government
- · changes to the timing of grant payments
- availability of program funds

## 13.4. Grant acknowledgement

The Lead Organistion must not make or permit a public announcement or media release to be made about any aspect of the Funding Agreement without first obtaining the Defence Innovation Partnership (Defence SA)'s consent, which may not be unreasonably withheld, and which will not be required if the public announcement is required by law.

# 14. Security and export controls

## 14.1. Security

Eligible activities under this grant may have national security implications. Project Teams should consider implications of the proposed project and identify and manage any risks, particularly relating to export controls, foreign interference and technology transfer.

If the outcome the Activator Fund activity has the potential to be classified, or if classified inputs or discussions are needed to complete the work, then all team members undertaking the Activator Fund activity must be willing to undergo a security assessment if requested and, at a minimum, obtain a Baseline security clearance; noting that some projects may require higher level clearances, depending on the scope. Unless involved in unclassified aspects of a potential project, personnel involved must hold (or be able to obtain) an appropriate security clearance commensurate with the nature of the proposed project.

Citizenship status may impact ability to obtain appropriate security clearances. Potential overseas collaborators may need to get their clearances recognised if they plan to work on parts of the projects above unclassified level.

Proof of citizenship or permanent residency status may be requested.

Residents in Australia on a Temporary Work Visa may be approved for participation in the project in exceptional circumstances.

Project Team members and the Lead Organisation should undertake appropriate due diligence, proportionate to the risk and subject to available information, on all partners and personnel participating in the project. This should take into account any potential intellectual property, security, ethical, legal and reputational risks, and, where necessary, you should be prepared to demonstrate how you will manage and mitigate any identified risks.

#### 14.2. Export Controls

Lead Organisation and Project Teams undertaking Activator Fund projects which involve collaboration with foreign entities should be familiar with Australia's export controls requirements. It is your responsibility to consider the implications of the relevant legislation on the proposed project before submitting your application, and to comply with any applicable requirements if it is successful.

## 15. Contact details

All enquiries about the Activator Fund, including requests for assistance in the proposal development/co-design phase, should be sent to <a href="mailto:enquiries@defenceinnovationpartnership.com">enquiries@defenceinnovationpartnership.com</a> with 'Activator Fund – (nature of enquiry)' in the Subject line. Enquiries will be responded to within one business day.

- Key contacts for Activator Fund administration and logistics: Merril Kirk, Program Operations Manager, & Bez Mohammadi, Pathways Manager, Defence Innovation Partnership
- Key contact for Australian Department of Defence enquiries: Dr Gretel Png, Defence
   Science and Technology Group (contactable via the Defence Innovation Partnership email)