

# **GRANT AGREEMENT DEED**

**BETWEEN**

**COMMONWEALTH OF AUSTRALIA**

represented by the Department of Foreign Affairs and Trade  
(DFAT)

**ABN 47 065 634 525 002**

**and**

**UNIVERSITY OF BIRMINGHAM**

**RC000645**

**FOR**

**DEVELOPMENTAL LEADERSHIP PROGRAM (PACIFIC)**

**DFAT AGREEMENT 69704**

DEED made 6<sup>TH</sup> day of March 2014

**BETWEEN:**

**COMMONWEALTH OF AUSTRALIA** represented by the Department of Foreign Affairs and Trade ("DFAT") ABN 47 065 634 525 002

**AND**

**THE UNIVERSITY OF BIRMINGHAM**, RC000645 of Edgbaston, Birmingham, B15 2TT, United Kingdom (the "Organisation").

**RECITALS:**

- A. DFAT wishes to provide the Organisation with a Grant to undertake an Activity.
- B. The Organisation wishes to accept the Grant subject to the terms and conditions in this Deed.

**OPERATIVE:**

DFAT and the Organisation promise to carry out and complete their respective obligations in accordance with this Deed including the Deed conditions, schedules and any annexes contained herein.

**EXECUTED AS A DEED** by the Commonwealth, by an authorised officer, and by the Organisation, by its authorised officer.

**SIGNED** for and on behalf of the  
**COMMONWEALTH OF AUSTRALIA**  
represented by the Department of Foreign Affairs and Trade by:

in the presence of:

  
\_\_\_\_\_  
Signature of FMA Act s32B/44 Delegate

Zoe Mander Jones  
\_\_\_\_\_  
Name

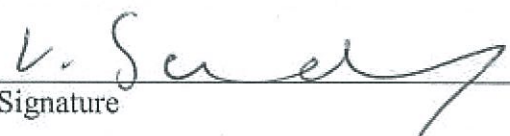
AS-PRBB  
\_\_\_\_\_  
Position, Section

  
\_\_\_\_\_  
Signature of witness

NEIL SHIPLEY  
\_\_\_\_\_  
Name of witness  
(Print)

**SIGNED** for and on behalf of  
**UNIVERSITY OF BIRMINGHAM** by:

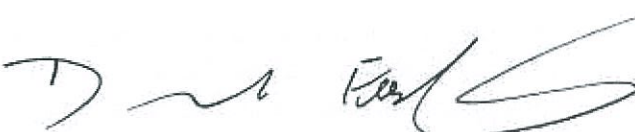
LEE SANDERS, REGISTRAR  
AND SECRETARY  
\_\_\_\_\_  
Name and Position  
(Print)

  
\_\_\_\_\_  
Signature

By executing this Deed the signatory warrants that he/she is duly authorised to execute this Grant Agreement Deed on behalf of the Organisation.

in the presence of:

DAVID EASTWOOD  
VICE-CHANCELLOR AND  
\_\_\_\_\_  
Name of witness PRINCIPAL  
(Print)

  
\_\_\_\_\_  
Signature of witness

## AGREEMENT CONDITIONS

### 1. INTERPRETATION

#### Definition

#### 1.1 In this Agreement, including the recitals, unless the context otherwise requires:

**“Acquittal Statement”** means a statement acquitting the Grant against the budget in the Activity Proposal.

**“Activity”** means the activity **Developmental Leadership Program (DLP)** described in the Activity Proposal for which the Grant is provided.

**“Activity Contractor”** means an entity or person with whom the Organisation enters into a contract for the purposes of carrying out the Activity (excluding employees), and **“Activity Contract”** has a corresponding meaning.

**“Activity Proposal”** means the specific tasks and budget associated with the Activity included as **Schedule 1** to this Agreement.

**“Agreement”** means this Deed and includes the Agreement Conditions and any schedules and annexes.

**“Agreement Material”** means all material created or required to be developed or created as part of, or for the purpose of undertaking the Activity, including documents, equipment, information data, sounds and images stored by any means.

**“Business Day”** means a day on which DFAT is open for business.

**“Commonwealth”** means Commonwealth of Australia or DFAT, as appropriate.

**“Fraudulent Activity”, “Fraud” or “Fraudulent”** means dishonestly obtaining a benefit, or causing a loss, by deception or other means, and includes suspected, alleged or attempted fraud.

**“Grant”** means the amount of money as specified in the clause titled **“Grants and Payment”** of this Agreement that has been approved by DFAT and paid to the Organisation subject to the conditions outlined in this Agreement for the Activity.

**“Independently Audited”** means financial records audited by a certified financial professional that is in no way linked or associated with the Activity or the Parties.

**“Intellectual Property”** means all copyright and all rights in relation to inventions (including patent rights), trademarks, designs and confidential information, and any other rights resulting from intellectual activity in the industrial, scientific, literary, and artistic fields recognised in domestic law anywhere in the world. .

**“Partner Government”** means the Government of the Partner Country.



**“Partner Country”** means the country or countries in which the Activity is to be undertaken in whole or in part.

**“Party”** means DFAT or the Organisation.

**“Personnel”** means the personnel of the Organisation who are engaged in the performance of the Activity, including the Organisation’s employees, Activity Contractors, agents and volunteers.

**“Prior Material”** means all material developed by the Organisation or a third party independently from the Activity whether before or after commencement of the Activity.

**“Relevant List”** means the lists of terrorist organisations made under Division 102 of the *Criminal Code Act 1995* (Cth) and the *Charter of the United Nations Act 1945* (Cth) posted at: <http://www.nationalsecurity.gov.au/agd/www/nationalsecurity.nsf/AllDocs/95FB057CA3DECF30CA256FAB001F7FBD?OpenDocument> and [http://www.dfat.gov.au/icat/UNSC\\_financial\\_sanctions.html#3](http://www.dfat.gov.au/icat/UNSC_financial_sanctions.html#3)

**“Similar List”** means any similar list to the World Bank List maintained by any other donor of development funding.

**“World Bank List”** means a list of organisations maintained by the World Bank in its “Listing of Ineligible Firms” or “Listings of Firms, Letters of Reprimand” posted at: <http://web.worldbank.org/external/default/main?theSitePK=84266&contentMDK=64069844&menuPK=116730&pagePK=64148989&piPK=64148984>

## **Agreement prevails**

- 1.2 If there is any inconsistency (whether expressly referred to or to be implied from this Agreement or otherwise) between the provisions of this Agreement (“Agreement Conditions”) and those in the schedules and any annexes, the schedules and any annexes are to be read subject to the Agreement Conditions and the Agreement Conditions prevail to the extent of the inconsistency.

## **2. TERM OF THE AGREEMENT**

- 2.1 The term of this Agreement commences upon execution by both parties being the date indicated at the front of this Agreement and continues until all obligations have been fulfilled under this Agreement, unless terminated earlier in accordance with this Agreement.
- 2.2 The Organisation must commence the Activity on **1 March 2014** and must complete the Activity by **28 February 2017**.

## **3. NOTICES**

- 3.1 For the purpose of serving notices to either Party, a notice must be in writing and will be treated as having been duly given and received:
  - (a) when delivered (if left at that Party’s address); or
  - (b) on the seventh Business Day after posting (if sent by pre-paid mail);

- (c) on the Business Day of transmission (if given by email and sent to the email address of that Party and no intimation having been received that the notice had not been received, whether that intimation comes from that Party or from the operation of machinery or otherwise).

3.2 For the purposes of this Agreement, the address of a Party is the address set out below or another address of which that Party may give notice in writing to the other Party:

**DFAT:**

To: Alex Knox  
Director, Pacific Regional Organisations and Governance Section

Postal Address: Department of Foreign Affairs and Trade - Australian Aid Program  
GPO Box 887  
CANBERRA ACT 2601 AUSTRALIA

Street Address: 255 London Circuit  
CANBERRA ACT 2601 AUSTRALIA

Email: [alex.knox@dfat.gov.au](mailto:alex.knox@dfat.gov.au)

**Organisation**

**Project Specific Notices**

To: Mr David Evans  
Deputy Research and Knowledge Transfer Manager

Postal Address: College of Social Sciences, University of Birmingham, Edgbaston,  
Birmingham, B15 2 TT, United Kingdom

Street Address: College of Social Sciences, University of Birmingham, Edgbaston,  
Birmingham, B15 2 TT, United Kingdom

E-mail: [d.evans.4@bham.ac.uk](mailto:d.evans.4@bham.ac.uk)

**4. GENERAL CONDITIONS**

- 4.1 The Organisation must carry out the Activity in accordance with the Activity Proposal and the terms and conditions of this Agreement.
- 4.2 The Organisation must advise DFAT immediately of any difficulties or delays in implementation of the Activity.
- 4.3 The Organisation must acknowledge in writing to DFAT receipt of the Grant immediately on its receipt.
- 4.4 The Grant and any interest earned or exchange rate gains must be used diligently and for the sole purpose of the Activity outlined in **Schedule 1** of this Agreement. Any interest earned or exchange rate gains made on the Grant must only be expended on the Activity.

- 4.5 The Organisation acknowledges that the Grant provided by DFAT to the Organisation for this Activity does not entitle the Organisation to any other or further grants.
- 4.6 The Organisation must not represent itself and must ensure that its Personnel participating in the Activity do not represent themselves as being employees, partners or agents of the Commonwealth of Australia.
- 4.7 The Organisation must use its best endeavours to ensure that in its performance of the Activity all Personnel and their dependents, travelling in a country other than their country of residence and for the purposes of this grant, respect the laws and regulations in force in that country they are travelling.
- 4.8 The Organisation is responsible for the security of all of its Personnel and for taking-out and maintaining all appropriate insurances.
- 4.9 The Organisation must not assign its interest in this Agreement without first obtaining the consent in writing of DFAT.
- 4.10 No delay, neglect or forbearance by either Party in enforcing against the other any term or condition of this Agreement will be deemed to be a waiver or in any way prejudice any right of that Party.
- 4.11 This Agreement is governed by, and is to be construed in accordance with, the law of the Australian Capital Territory and the Parties submit to the exclusive jurisdiction of the courts of the Australian Capital Territory and any court hearing appeals from those courts.

## **5. PUBLICATIONS**

- 5.1 The Project will form part of the actual carrying out of a primary charitable purpose of the Organisation; that is, the advancement of education through teaching and research.
- 5.2 In accordance with normal academic practice, all employees, students, agents or appointees of the Organisation (including any one who works on the Project) shall be permitted, subject to the provisions of this Agreement concerning Confidentiality and following the procedures laid down in Clause 4.3, to discuss Agreement Material and the Intellectual Property therein ("the Results") in internal seminars, and to give instructions within the Organisation on questions related to such work.
- 5.3 The Organisation shall be permitted to publish the Results of the Project in accordance with normal academic practice. The Organisation shall send the DFAT a draft of all intended publications in advance of publication, for the DFAT to review them. The DFAT shall have 28 days, after the receipt of the draft to request in writing the delay or amendment of such proposed publication on the grounds that there is subject matter which needs patent protection or similar protection or to prevent publication of any Confidential Information of the DFAT. In the event that the DFAT does not notify the Organisation that it requires any delay in publication within 28 days as aforesaid, the Organisation will be free to publish.
- 5.4 The DFAT may request the Organisation to refrain from publishing for a maximum of six months in order to allow for application for patent protection in the name and at the cost of the relevant owner of the Arising Intellectual Property.

- 5.5 Nothing contained in this Agreement shall prevent the submission of a thesis to examiners in accordance with the normal regulations of any academic Parties subject where appropriate to such examiners being bound by conditions of confidentiality in no less terms than those outlined in this Agreement, nor to the placing of such thesis in the library of the appropriate Research Party provided that access to such thesis shall only be available on conditions of confidentiality no less onerous than those contained in in this Agreement.
- 5.6 The Organisation must acknowledge DFAT Grant funding assistance provided under this Agreement in accordance with the *Guidelines for NGOs on the use of DFAT logos and other forms of acknowledgement* for the DFAT – Australian Aid Program (available from DFAT’s website) and discuss any matters relating to publicity or media relations before any publication or media release.

## 6. AGREEMENT AMENDMENTS

- 6.1 DFAT or the Organisation may propose amendments to this Agreement at any time for the purpose of improving the delivery of the Activity, the efficiency, cost-effectiveness and development impact of the Activity.
- 6.2 Changes to this Agreement (including to **Schedule 1** and any annexes) will only be effected if agreed in writing and signed by both Parties in the form of a Deed of Amendment.

## 7. PROCUREMENT

- 7.1 The Organisation must not use the Grant to acquire any asset, apart from those detailed in the Activity Proposal without obtaining DFAT’s prior written approval. Subject to the requirements of this clause, the Organisation will own the assets acquired with the Grant unless specified otherwise in the Activity Proposal.
- 7.2 If the Grant is being used to procure goods or services, the Organisation must implement procedures so that procurement is undertaken in a manner consistent with the Australian Commonwealth Procurement Rules (<http://www.finance.gov.au/procurement/procurement-policy-and-guidance/commonwealth-procurement-rules/index.html>), in particular the core principle of achieving value for money and the supporting principles of:
  - (a) encouraging competition by ensuring non-discrimination in procurement and using competitive procurement methods;
  - (b) promoting use of resources in an efficient, effective and ethical manner; and
  - (c) making decisions in an accountable and transparent manner;
- 7.3 If the Grant is being used to procure goods, the Organisation must also ensure in its procurement of goods that:

- (a) the goods to be procured are of a satisfactory quality; and
- (b) the goods are delivered in good order and condition and in accordance with the Activity timetable.

7.4 If the Grant is being used to procure goods, the Organisation must maintain a Register of Activity Assets ("**Register**"). The Register must:

- (a) record non-consumable items purchased with the Grant or supplied by DFAT for the Activity which have a value of AUD1,000 (or equivalent) or more;
- (b) record non-consumable items of a portable and attractive nature with a value of less than AUD1,000 (or equivalent); and
- (c) record the date of receipt of the asset at the Activity site, the cost, the purchase/payment document date and reference number, a description and identification number, and the location of the asset.

7.5 The Organisation must not dispose of or write-off DFAT funded or provided assets except as agreed in writing by DFAT. The Register and other relevant documents such as import papers and manufacturers' warranties relating to the assets must be available for audit as required by DFAT. The Register must be reconciled with Activity assets at least every twelve months and the results of that reconciliation included in the Annual Reports required in clause titled "Reports".

## 8. **MONITORING AND EVALUATION**

8.1 The Organisation must, if required by DFAT, permit DFAT to monitor and/or evaluate the Activity and/or use of the Grant. DFAT will give the Organisation at least two (2) weeks' notice of its intentions prior to commencing such a review. In that event, the Organisation must cooperate fully with any request for assistance pursuant to any such study.

## 9. **INDEMNITY**

9.1 The Organisation must at all times indemnify DFAT, its employees, agents and contractors (except the Organisation) ("**those indemnified**") from and against any loss or liability whatsoever suffered by those indemnified or arising from any claim, suit, demand, action or proceeding by any person against any of those indemnified where such loss or liability was caused or contributed to in any way by any wilfully wrongful, unlawful or negligent act or omission of the Organisation, or any of the Organisation's Personnel in connection with this Agreement.

9.2 The Organisation agrees that DFAT may enforce the indemnity in favour of the persons specified in **Clause 9.1** above for the benefit of each of such persons in the name of DFAT or of such persons.

9.3 The indemnity in this **Clause 9** is reduced to the extent that the loss or liability is directly caused by DFAT, its employees, agents or contractors (except the Organisation), as substantiated by the Organisation.

9.4 This indemnity survives the termination or expiration of this Agreement.

## 10. INTELLECTUAL PROPERTY RIGHTS

- 10.1 The Intellectual Property in or in relation to Agreement Material vests in DFAT upon its creation. DFAT grants to the Organisation an irrevocable, non-exclusive, world-wide, royalty-free, non-commercial licence to use the Agreement Material.
- 10.2 **Clause 10.1** does not affect the ownership of Intellectual Property in any Prior Material incorporated into the Agreement Material, but the Organisation grants to DFAT, where it is free and able to do so, a permanent, irrevocable, non-exclusive, world-wide, royalty-free licence to use, reproduce, adapt and otherwise exploit such Prior Material in conjunction with the Agreement Material. The licence granted under this **Clause 10.2** includes the right of DFAT to sub-license any of its employees, agents or contractors to use, communicate, reproduce, adapt and otherwise exploit the Prior Material incorporated into the Agreement Material for the purposes of performing functions, responsibilities, activities or services for, or on behalf of, DFAT.

## 11. COMPLIANCE WITH LAWS, GUIDELINES AND POLICIES

- 11.1 The Organisation and its Personnel must have regard to and comply with, relevant and applicable laws, guidelines, regulations and policies, including those in Australia and in the Partner Country. A list, as amended from time to time, of Australian laws and guidelines that may apply to the delivery of developmental aid to foreign countries can be found on the DFAT website: <http://aid.dfat.gov.au>. This list is not exhaustive and is provided for information only. The provision of this list does not relieve the Organisation from complying with the obligations contained in this clause titled "Compliance with Laws, Guidelines and Policies".
- 11.2 The Organisation must have regard to and comply with the Statement of International Development Practice Principles located at **Schedule 2** to this Agreement.
- 11.3 The Organisation and its Personnel must comply with:
  - (a) The *Child Protection Policy*, accessible on the DFAT website: <http://aid.dfat.gov.au/childprotection/pages/home.aspx> and particularly the child protection compliance standards at Attachment 1 to the policy. DFAT may audit the Organisation's compliance with the *Child Protection Policy* and child protection compliance standards. The Organisation must participate cooperatively in any reviews conducted by DFAT;
  - (b) The Thematic Strategy 'Promoting Opportunities for All: Gender Equality and Women's Empowerment' (November 2011) for the DFAT – Australian Aid Program accessible on the DFAT website: <http://aid.dfat.gov.au>;
  - (c) The strategy 'Development for All: Towards a Disability-Inclusive Australian Aid Program 2009-2014' for the DFAT – Australian Aid Program, accessible on the DFAT website: <http://aid.dfat.gov.au> , and in particular the strategy's six (6) guiding principles; and

- (d) *Family Planning and the Aid Program: Guiding Principles* (August 2009) for the DFAT – Australian Aid Program, accessible on the DFAT website:  
<http://aid.dfat.gov.au>

11.4 The Organisation must use its best endeavours to ensure:

- (a) that individuals or organisations involved in implementing the Activity are in no way linked, directly or indirectly, to organisations and individuals associated with terrorism; and
- (b) that the Grant is not used in any way to provide direct or indirect support or resources to organisations and individuals associated with terrorism.

11.5 The Organisation must have regard to the Australian Government guidance “Safeguarding your organisation against terrorism financing: a guidance for non-profit organisations”, available on the National Security website:  
[http://www.nationalsecurity.gov.au/www/agd/rwpattach.nsf/VAP/\(084A3429FD57AC0744737F8EA134BACB\)~Safeguard+your+Organisation+WITHOUT+CASE+STUDIES.pdf/\\$file/Safeguard+your+Organisation+WITHOUT+CASE+STUDIES.pdf](http://www.nationalsecurity.gov.au/www/agd/rwpattach.nsf/VAP/(084A3429FD57AC0744737F8EA134BACB)~Safeguard+your+Organisation+WITHOUT+CASE+STUDIES.pdf/$file/Safeguard+your+Organisation+WITHOUT+CASE+STUDIES.pdf).

11.6 If, during the course of this Agreement, the Organisation discovers any link whatsoever with any organisation or individual listed on a Relevant List it must inform DFAT immediately.

11.7 If, during the course of this Agreement, the Organisation is listed on a World Bank List or Similar List it must inform DFAT immediately.

11.8 The Organisation warrants that the Organisation will not make or cause to be made, nor will the Organisation receive or seek to receive, any offer, gift or payment, consideration or benefit of any kind, which would or could be construed as an illegal or corrupt practice, either directly or indirectly to any party, as an inducement or reward in relation to the execution of this Agreement. In addition, the Organisation will not bribe public officials and will ensure that its delivery organisations comply with this provision. Any breach of this **Clause 10.8** shall be grounds for immediate termination of this Agreement by notice from DFAT.

## 12. TERMINATION

12.1 If the Organisation:

- (a) becomes, or DFAT considers there is a reasonable prospect of the Organisation becoming bankrupt, insolvent, deregistered or no longer able to undertake the Activity to a standard acceptable to DFAT;



- (b) makes an assignment of its estate for the benefit of creditors or enters into any arrangement or composition with its creditors;
- (c) fails to commence, or in the opinion of DFAT, fails to make satisfactory progress in carrying out the Activity and such failure has not been remedied within the time specified in a written request from DFAT to remedy the failure;
- (d) assigns its interest in this Agreement without the consent in writing of DFAT;
- (e) is listed on a World Bank List, Relevant List or Similar List;
- (f) is subject to any proceedings, or an informal process, which could lead to being listed or temporarily suspended from tendering for World Bank or other donors of development funds contracts, or is subject to an investigation whether formal or informal by the World Bank or another donor of development funding;
- (g) breaches any of its obligations under the clause titled "Compliance with Laws, Policies and Guidelines"; or
- (h) breaches any other term of this Agreement and such breach has not been remedied within the time stipulated in a written request notice from DFAT to remedy the breach;

then in every such case DFAT may immediately terminate this Agreement by giving the Organisation notice in writing, without prejudice to any of DFAT's other rights.

- 12.2 In addition, either Party may terminate this Agreement by giving to the other a notice to terminate in writing stating the reasons for termination.
- 12.3 In the event of any termination, the Organisation must provide an Independently Audited statement of expenditure of the Grant within thirty (30) days of the date of the notice to terminate, signed by the head of the Organisation, and return any uncommitted Grant funds to DFAT.
- 12.4 In the event that a notice to terminate is given by either Party, the Organisation must:
- (a) immediately do everything possible to prevent and mitigate all losses, costs and expenses arising in consequence of the termination of this Agreement;
  - (b) in a prompt and orderly manner cease expenditure of any uncommitted Grant funds; and
  - (c) refund any uncommitted part of the Grant already paid by DFAT, together with any uncommitted or unspent interest, within thirty (30) days of the date of the notice to terminate.
- 12.5 In the event that a notice to terminate is given by either Party, DFAT will not be liable to pay compensation in an amount which, in addition to any amounts paid or due or becoming due to the Organisation under this Agreement, together would exceed the amount of the total financial limitation of this Agreement, as specified in clause titled "Grants and Payment".

### 13. ACCOUNTS AND RECORDS

- 13.1 The bank account used by the Organisation must be in the name of the Organisation and must not be a personal bank account.
- 13.2 The Organisation must:
- (a) maintain a sound administrative and financial system capable of verifying all Acquittal Statements;
  - (b) keep proper and detailed accounts, records and assets registers along with adequate Activity management records providing clear audit trails in relation to expenditure under this Agreement;
  - (c) afford adequate facilities for audit and inspection of the financial records referred to in this Agreement by DFAT and its authorised representatives at all reasonable times and allow copies and extracts to be taken;
  - (d) ensure that its accounts and records are held by the Organisation for the term of this Agreement and for a period of seven (7) years from the date of expiry or termination of this Agreement;
  - (e) if requested by DFAT, provide an Acquittal Statement, certified by the senior financial officer or the head of the Organisation; and
  - (f) in addition to its obligation under the clause titled "Reports", if reasonably requested by DFAT in order to verify the expenditure of the Grant, provide an Acquittal Statement Independently Audited by an auditor nominated by DFAT to be engaged at reasonable market costs at no cost to DFAT, but not exceeding the cost of the grant.

### 14. FRAUD

- 14.1 The Organisation and its Activity Contractors must not engage in any Fraudulent Activity. The Organisation is responsible for preventing and detecting Fraud.
- 14.2 The Organisation must report to DFAT in writing within 5 working days of becoming aware of any Fraudulent Activity involving the Activity.
- 14.3 In the event of a Fraud and in consultation with DFAT, the Organisation must develop and implement a strategy to investigate, based on the principles set out in the *Australian Government Investigations Standards*. The Organisation must undertake the investigation at the Organisation's cost.
- 14.4 Following the conclusion of an investigation, where the investigation finds the Organisation or an employee of the Organisation or an Activity Contractor has acted in a Fraudulent manner, the Organisation shall:
- (a) where money has been misappropriated, pay to DFAT or the Activity the full value of the Grant funds that have been misappropriated; or

- (b) where an item of property has been misappropriated, either return the item to DFAT or the Activity or if the item cannot be recovered or has been damaged so that it is no longer usable, replace the item with one of equal quality;
- (c) refer the matter to the relevant Partner Country police or other authorities responsible for prosecution of Fraudulent Activity; and
- (d) keep DFAT informed, in writing, on a monthly basis, of the progress of the recovery action.

14.5 Following the conclusion of an investigation, where the investigation finds that a party other than the Organisation or an employee of the Organisation or an Activity Contractor has acted in a Fraudulent manner, the Organisation shall, at the Organisation's cost make every effort to recover any Grant funds or funded property acquired or distributed through Fraudulent Activity, including without limitation, the following:

- (a) take recovery action in accordance with recovery procedures, including civil litigation, available in the Partner Country;
- (b) refer the matter to the relevant Partner Country police or other authorities responsible for prosecution of fraudulent activity; and
- (c) keep DFAT informed, in writing, on a monthly basis, of the progress of the recovery action.

14.6 If the Organisation considers that after all reasonable action has been taken to recover the Grant funds or funded property and full recovery has not been achieved or recovery has only been achieved in part, the Organisation may seek approval from DFAT that no further recovery action be taken. The Organisation must provide to DFAT all information, records and documents required by DFAT to enable the DFAT delegate to make a decision on whether to approve non-recovery of Grant funds or funded property.

14.7 The Organisation's obligations under this **Clause 14** survive the termination or expiration of this Agreement.

## 15. **CONTRACTING**

15.1 The Organisation must not enter into an Activity Contract with a person or entity that is listed on a World Bank List or a Relevant List.

15.2 If the Organisation discovers that an Activity Contractor is listed on a World Bank List or a Relevant List, it must inform DFAT immediately.

15.3 If an Activity Contractor is listed on a World Bank List or a Relevant List, DFAT may direct the Organisation to terminate the Activity Contract and the Organisation must promptly comply with that direction at no cost to DFAT.

## 16. **DFAT USE OF AGREEMENT INFORMATION**

16.1 DFAT may disclose matters relating to this Agreement, including this Agreement, and other relevant information, except where such information may breach the *Privacy Act 1988* (Cth), to Commonwealth governmental departments and agencies, Commonwealth

Ministers and Parliamentary Secretaries, and to the Commonwealth Parliament, including responding to requests for information from Parliamentary committees or inquiries. In addition, DFAT may publicly report information regarding this Agreement. This clause survives the termination or expiration of this Agreement.

## 17. REPORTS

17.1 The Organisation must submit an annual report, on the anniversary of the Activity Start Date, which should not exceed five (5) pages and which has two basic parts:

- (a) A review of implementation progress to date; and
- (b) An implementation strategy and work program for the coming period that:
  - (i) incorporates any lessons from the assessment of Activity progress;
  - (ii) outlines the expected outputs and development results of the proposed program of work; and
  - (iii) describes the inputs, work and outputs of both the Organisation and any other key stakeholders.

17.2 Within thirty (30) days of completion of the Activity, the Organisation must submit to DFAT:

- (a) a final report which provides a brief outline of the Activity and in more detail covers key outcomes compared with objectives, development impact, sustainability and lessons learned; and
- (b) a final Acquittal Statement.

17.3 The final Acquittal Statement must:

- (a) include details of any interest earned on the Grant;
- (b) be prepared in accordance with the internal and external auditing procedures laid down in the rules and regulations applicable to the Organisation;
- (c) be Independently Audited and certified (The cost of this audit may be payable from the Grant); and
- (d) be signed by the senior financial officer or the head of the Organisation, indicating that the Grant has been spent in accordance with the terms of this Agreement.

17.4 The Organisation must repay to DFAT any unspent Grant funds or interest with the final report and Acquittal Statement. The annual report, final report and Acquittal Statement must be sent to the DFAT contact person in **Clause 3.2** in the following format:

- (a) one bound hard copy; and
- (b) one electronic version in PDF (Portable Document Format).

## 18. GRANTS AND PAYMENT

- 18.1 DFAT will pay the Organisation an acquittable Grant up to a maximum of AUD4,500,000 in tranches divided as follows:

| Indicative Date                                     | Tranche Number | Amount of Grant Funds |
|-----------------------------------------------------|----------------|-----------------------|
| <i>31 March 2014</i><br>Refer to Clause 18.2 below  | 1              | AUD800,000            |
| <i>31 July 2014</i><br>(Refer to Clause 18.3 below) | 2              | AUD1,500,000          |
| <i>31 July 2015</i><br>(Refer to Clause 18.3 below) | 3              | AUD1,500,000          |
| <i>31 July 2016</i><br>(Refer to Clause 18.3 below) | 4              | AUD700,000            |
| <b>TOTAL GRANT AMOUNT</b>                           |                | AUD4,500,000          |

- 18.2 DFAT will pay Tranche 1 within thirty (30) days of the date of this Agreement and subject to receipt of a valid invoice.

- 18.3 DFAT will pay subsequent tranches at the date indicated above subject to the Organisation:

- (a) providing an Acquittal Statement of 80% of the previous tranche, signed by the senior financial officer or the head of the Organisation indicating that the Grant funds being acquitted have been expended in accordance with the terms of this Agreement;
- (b) submitting a valid invoice; and
- (c) making satisfactory progress with the Activity as determined by DFAT.

## 19. CLAIMS FOR PAYMENT

- 19.1 Invoices must be submitted when due in accordance with this Agreement, in a form identifying this Agreement title and Agreement number 69704. Invoices must also contain the Payment Event number(s) notified by DFAT.

- 19.2 All invoices must be made to:

Chief Finance Officer  
Department of Foreign Affairs and Trade – Australian Aid Program  
GPO Box 887  
CANBERRA ACT 2601 AUSTRALIA

- 19.3 Invoices should be sent to the above address. Alternatively DFAT will accept electronic invoices. These can be sent to [accountsprocessing@dfat.gov.au](mailto:accountsprocessing@dfat.gov.au) and a copy sent to the DFAT Activity Manager.

- 19.4 Where Australian GST applies to this Agreement all invoices must be in the form of a valid tax invoice. Invalid tax invoices will be returned to organisations. Information on what

constitutes a valid tax invoice can be found at:

<http://www.ato.gov.au/businesses/content.asp?doc=/content/50913.htm>

**SCHEDULE 1 – ACTIVITY PROPOSAL  
TO GRANT AGREEMENT DEED NUMBER 69704**

*(Insert Activity Proposal)*

**SCHEDULE 2 –  
STATEMENT OF INTERNATIONAL DEVELOPMENT PRACTICE PRINCIPLES**

**A Basic Standard for Engagement with Not-For-Profit Organisations**

The Statement of International Development Practice Principles (Attached) has been developed in consultation with the Australian Council for International Development (ACFID). It is **founded on the good development practice and experience of accredited Australian Non-Government Organisations (NGOs)** and other international development agencies over the last three decades.

The Statement takes account of the Accra Action Agenda on Aid Effectiveness, and in particular, encourages a participatory approach to development. 'Not for profit' organisations are strongly encouraged to work in partnership with others thereby reducing the burden on communities and governments with whom they work. The Statement seeks to articulate the minimum standards and commitment that DFAT expects from all 'not- for- profit' organisations that it funds. It will form an annex to grant agreements with not-for-profit organisations that are not accredited with DFAT.

The Principles are **not aimed at accredited Australian NGOs** which have already undergone a rigorous accreditation process.



## Statement of International Development Practice Principles

This Statement of International Development Practice Principles (The Principles) promotes the active commitment of **all non-accredited, not-for-profit organisations funded by DFAT** to the fundamentals of good development practice, and to conducting their activities with integrity, transparency and accountability.

The Principles are founded on a premise of 'do no harm' and drawn from good practice principles in the international development not-for-profit sector and international development community more broadly. In line with Aid Effectiveness principles, when planning interventions, not-for-profit organisations are encouraged to consider: what other agencies are doing in the chosen area of focus; where their organisation can add value; and how they can join with others to increase the impact and sustainability of their activities.

Where relevant, DFAT encourages eligible Australian organisations to work towards becoming Australian Council for International Development (ACFID) Code of Conduct signatories.

## International Development Principles

Lessons drawn from best practice NGO and civil society programs recognise the importance of working in partnerships, building creative and trusting relationships with people of developing countries and supporting basic program standards which:

- > give priority to the needs and interests of the people they serve and involve beneficiary groups to the maximum extent possible in the design, implementation and evaluation;
- > promote an approach that includes all people in a community and ensures the most vulnerable, including people with disability, women and children, are able to access, and benefit equally, from, international development assistance;
- > encourage self help and self-reliance among beneficiaries;
- > avoid creating dependency through the facilitation of active participation and contributions (as appropriate) by the most vulnerable;
- > respect and foster all universally agreed international human rights, including social, economic, cultural, civil and political rights;
- > are culturally appropriate and accessible;
- > seek to enhance gender equality;
- > recognise and put in place processes to mitigate against the vulnerability of not for profit organisations to potential exploitation by organised crime and terrorist organisations;
- > have appropriate mechanisms in place to actively prevent, and protect children from harm and abuse;
- > integrate environmental considerations and mitigate against adverse environmental impacts; and
- > promote collaborative approaches to development challenges including through working in partnerships and avoiding duplication of effort.

All non-accredited, not for profit organisations receiving grant funding from DFAT commit to apply these principles of good development practice, and adhere to the organisational integrity and accountability standards set out on the following page.

## **Organisational Integrity and Accountability for Development**

DFAT grant funds and resources are designated for the purposes of international aid and development (including development awareness). They can not be used to promote a particular religious adherence, missionary activity or evangelism, or to support partisan political objectives, or an individual candidate or organisation affiliated to a particular political movement. DFAT reserves the right to undertake an independent audit of an organisation's accounts, records and assets related to a funded activity, at all reasonable times.

In all of its activities and particularly in its communications to the public, DFAT expects not-for-profit organisations it works with to accord due respect to the dignity, values, history, religion, and culture of the people it supports and serves, consistent with principles of basic human rights.

### ***Not-for-profit organisations working with DFAT should:***

- > not be a willing party to wrongdoing, corruption, bribery, or other financial impropriety in any way in any of its activities;
- > take prompt and firm corrective action whenever and wherever wrongdoing is found among its Governing Body, paid staff, contractors, volunteers and partner organisations;
- > have internal control procedures which minimise the risk of misuse of grant funds and processes and systems that ensure grant funds are used effectively to maximise development results;
- > establish reporting mechanisms that facilitate accountability to members, donors and the public;
- > have adequate procedures for the review and monitoring of income and expenditure and for assessing and reporting on the effectiveness of their aid;
- > have a policy to enable staff confidentially to bring to the attention of the Governing Body evidence of misconduct on the part of anyone associated with the Organisation, including misconduct related to the harm and abuse of children;
- > be aware of terrorism-related issues and use their best endeavours to ensure that grant funds do not provide direct or indirect support or resources to organisations and individuals associated with terrorism and/or organised crime; and
- > ensure that individuals or organisations involved in implementing activities on behalf of the Organisation are in no way linked, directly or indirectly, to organisations and individuals associated with terrorism and/or organised crime.

## **DFAT Grant Agreement Requirements**

Each DFAT grant agreement also comes with obligations for both DFAT and the Organisation being funded. These are spelt out in detail in the grant agreement. The Principles will not affect or diminish the obligations or liabilities of the Organisation under the grant agreement as outlined in the grant agreement conditions.

Broadly speaking, any Organisation funded by the Australian Government, through DFAT, is required to comply with relevant and applicable laws, regulations and policies, including those in Australia and in the country/ countries in which they are operating. In particular, the Organisation needs to observe the contractual requirements regarding Child Protection and Counter Terrorism.

## **Additional Information and Related Links**

**Further information on DFAT's Child Protection Policy, Counter Terrorism and other applicable laws and policies can be found on DFAT's website at:**

<http://aid.dfat.gov.au>

**Further information on terrorist organisations listed under Division 102 of the Criminal Code Act 1995 (Cth) and the DFAT Consolidated List of persons and entities subject to UN sanctions regimes maintained in accordance with the Charter of the United Nations Act 1945 (Cth) can be found at:**

[http://www.dfat.gov.au/icat/UNSC\\_financial\\_sanctions.html#3](http://www.dfat.gov.au/icat/UNSC_financial_sanctions.html#3)

<http://www.nationalsecurity.gov.au/agd/www/nationalsecurity.nsf/AllDocs/95FB057CA3DECF30CA256FAB001F7FBD?OpenDocument>

**Further information on DFAT Accreditation and the ACFID Code of Conduct can also be found at:**

<http://aid.dfat.gov.au>

<http://www.acfid.asn.au/code-of-conduct>

**Further information on Aid Effectiveness can be found at:**

[http://www.oecd.org/department/0,3355,en\\_2649\\_3236398\\_1\\_1\\_1\\_1\\_1,00.html](http://www.oecd.org/department/0,3355,en_2649_3236398_1_1_1_1_1,00.html)

[http://www.oecd.org/document/18/0,3343,en\\_2649\\_3236398\\_35401554\\_1\\_1\\_1\\_1,00.html](http://www.oecd.org/document/18/0,3343,en_2649_3236398_35401554_1_1_1_1,00.html)

## Developmental Leadership Program (DLP) Schedule 1 – Activity Proposal

### 1. LOGIC AND EXPECTED OUTCOMES

#### Core Focus

At the core of DLP's approach is the recognition that politics and power are central to development outcomes. 'Politics' includes all the activities of conflict, negotiation and cooperation that occur when people with varying incentives, ideas and influence have to decide how resources are to be used and distributed and how power is to be gained and used.

DLP's focus on leadership provides a profound opportunity to explore the relationship between political processes and power. DLP aims to improve understanding of the role of developmental leaderships and coalitions in promoting political settlements, stable polities, sustainable growth and inclusive social development.

#### Goal

To produce a body of high quality, rigorous, policy-relevant research to deepen understanding of the political processes and the role of power in development; thereby contributing to the effectiveness and quality of future development policies and programs.

#### Objectives

The objectives of DLP are:

- To extend and deepen DLP's evidence base through high quality, targeted, policy-relevant research that will improve understanding of development processes.
- To communicate DLP's research evidence and recommendations in a range of formats to relevant audiences in the Australian aid program, and the wider development community internationally.
- To contribute to high quality policy, program and operational recommendations that flow from DLP's research evidence.
- To influence international and Australian aid program thinking and practice about the centrality of DLP findings to development.
- To demonstrate DLP's relevance, effectiveness, and impact, and inform implementation via rigorous monitoring, evaluation and learning practices.

#### Principles

In pursuing these objectives, DLP will remain committed to the following core principles. DLP will:



1. Ensure the policy and program relevance of research and findings by working with partners within the Australian aid program (and others) to shape the research agenda, and help them to draw on DLP's research findings to guide strategy, policy and programs.
2. Produce outputs that will be relevant to the prime concerns and priorities of the Australian aid program, its partners and the international community.

In seeking to influence Australian aid program policy and the broader international development community, a wide variety of methods will be used. To date DLP has utilised a quite limited set of tools for communication and influence, commensurate with its relatively small scale. In the planning and implementation of the next phase, the methods used will be progressively expanded and assessed for effectiveness.<sup>1</sup>

### Implementation Plan

Phase Two of DLP will be structured around five closely integrated workstreams:

1. Research;
2. Collaboration;
3. Communication;
4. Policy, program and operational implications; and
5. Assessment of impact and influence.

By integrating these workstreams DLP will ensure that the core Research workstream remains focused, and policy-relevant, while also responding to changing debates and demand. An emphasis on a collaborative approach, employing a range of internationally respected expertise and perspectives and drawing on DLP's networks and expanding community of interest, will ensure the quality and relevance of DLP's research and findings, and will build a program that is credible, persuasive and influential. Monitoring and evaluation will support internal learning across all workstreams to continually improve effectiveness.

These workstreams are similar to those on which DLP has been organised to date with the addition of a specific Monitoring, Evaluation and Learning Workstream, which will improve the effectiveness of the program. This is also consistent with the recommendations of the Mid-Term Review.

### Workstream 1: Research

---

<sup>1</sup> For example: DLP is undertaking action research in support of the Coalitions for Change program in the Philippines; DLP has identified a potential opportunity to collaborate with the Australian aid program on a planned program of gender evaluations; planned work with the Commonwealth Secretariat is providing access to senior public servants and politicians across a suite of countries; collaboration with local researchers and The Asia Foundation to synthesise lessons about the political dimensions of social sector reform will be published soon; and, several practical tools developed by DLP will be trialled in different contexts – the graphical Political Analytical Tool, a guide to political analysis and a leadership database.

DLP's future research strategy will:

- Generate a growing body of high quality research and evidence about the critical role of leaderships, elites and coalitions in the political processes of institutional change and sustainable development.
- Contribute to on-going and cutting-edge international thinking about how the international community (external agents) can both think and work in a politically informed way to engage in partner countries with local processes that can promote developmental outcomes.
- DLP will also use every opportunity to communicate and disseminate the findings at international conferences, in peer-reviewed publications and amongst the policy, program and research divisions of development agencies.
- Ensure that all research demonstrates policy and program-relevance including by selecting contexts for research that are priority policy/program issues for the Australian aid program including security-conflict-stability, economic growth, private sector, women's leadership, higher education and political settlements.

In pursuit of these over-arching objectives, the program will focus on five key areas:

- The practice of thinking and working politically.
- Politics at the interfaces of the state, between the political, bureaucratic, civil society and private sector spheres.
- Collective action and coalitions.
- The emergence of future leadership, including women and youth.
- The role of attitudes, values and ideas in developmental leadership.

This focus will deepen our exploration of some key areas, and initiate new work to extend understanding of issues identified in Phase One from both research and practice. A thematic summary and indication of the focus of the research is attached as **Annex A**. All DLP Research will contribute to testing the fundamental propositions of the program.

DLP's research work plan also includes the commissioning of a new set of policy-relevant research outputs including:

- **State of the Art (SOTA) Papers:** A review of the research evidence, and research gaps in a focused policy-area. Plans include SOTA papers on: Political settlements, political bureaucratic leadership interface, private sector leadership, women's leadership, thinking and working politically, legitimacy and non-state actors, coalitions and collective action, future leadership, attitudes and values, power, service delivery, governance and leadership in Pacific Island States.
- **Concept Briefs:** A short exploration and explanation of complex and contested concepts.



- Plans include concept briefs on: collective action, coalitions, agency, developmental leadership, power, legitimacy, politics, authority, ideas, negotiation, institutions, change, participation, and corruption.
- Policy Briefs: Drawing from larger DLP Research papers, these will synthesise the policy implications and findings from our research in a policy-focused format.

DLP has a commitment to contract researchers and assistants with a deep understanding of the political context of each project. This has meant, therefore, that DLP has regularly contracted both male and female researchers from developing and emerging countries.

#### Workstream 2: Policy, Program and Operational Implications

DLP will continue to draw out the practical implications of its research. This workstream will concentrate on articulating and presenting these in language and forms that are accessible to the various target audiences who can apply the concepts in their development efforts, including donors, NGOs and partner countries. The association of DLP with the Governance & Social Development Research Centre (GSDRC), through its location in the University of Birmingham's International Development Department (IDD), will boost DLP's performance in this area. In particular:

- All DLP Researchers will undergo the GSDRC Researcher Training Program, which develops researchers' ability to synthesise complex information and write for a variety of audiences.
- DLP will share the expertise and experience of GSDRC's communications manager, who has a wealth of experience of communicating research to a policy audience at various levels and in various different formats.

Building on this added expertise, DLP will work with practitioners and researchers to translate the research evidence into easily-digestible policy implications. This will include:

- Working closely with DFAT to feed DLP findings into programming and planning.
- Establishing and facilitating working communities of practice around key areas of policy and innovation.
- Continuing to host policy workshops on a thematic and geographical basis to discuss research findings with practitioners and stakeholders within donors, NGOs and developing countries.
- Using these fora to feed practical and policy understandings into ongoing and future research.
- Producing Policy Briefs for a variety of audiences.

#### Workstream 3: Collaboration

Building a collaborative approach to DLP's work has proved to be an important part of the program's strategy to influence international thinking and policy on aid effectiveness. DLP will continue to place a strong emphasis on building more genuinely collaborative relationships with other organisations and individuals within and beyond Australia. Phase two will see DLP engaging on three levels, within DFAT, in Australia and the Pacific more broadly, and internationally.

DLP's strategy builds on communication and collaboration at a number of levels with a variety of organisations and coalitions, including:

- **DFAT:** through Governance Policy Section, and including but not restricted to the Pacific and Asia Programs such as Pacific Women Shaping Pacific Development, PNG Governance Programs, Pacific Leadership Program, Pacific Scholarships Program, Philippines Program, Indonesia Program, Timor Leste Program, and Cambodia Program.
- **Australia/Pacific:** Wider Australian government and community engagement, for example, Office of Development Effectiveness, Office of the Prime Minister and Cabinet, etc. Engagement with the development academic and policy community within Australia and the Pacific, for example with the La Trobe University, Australian National University (ANU) State Society & Governance in Melanesia Program, Crawford School of Government at ANU, Lowy Institute, Murdoch Asia Research Centre, University of Sydney, University of Adelaide, World Bank Justice for the Poor, and the University of the South Pacific (USP).
- **Internationally:** DLP's new research team brings with it strong existing collaborative relationships with the University of Birmingham, University College London (UCL), Carnegie Endowment for International Peace, Commonwealth Secretariat, UK Department for International Development (DFID), United Nations Development Program (UNDP), Overseas Development Institute (ODI), Institute for Development Studies (IDS), Effective States and Inclusive Development Research Centre (ESID), Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ), Centre for British Teachers Trust (CfBT), Asia Foundation (TAF), Innovations for Successful Societies (Princeton), Program for African Leadership (LSE), Oxfam International, International Pro-Poor Growth Program, Transparency International, U4 Anti-corruption Resource Centre, and 3ie. The program will work to strengthen and develop these relationships and others as they emerge under the DLP banner.

DLP will establish concrete forms of collaboration with selected organisations through:

- Contributions to international development policy forums;
- Joint research and analysis;
- International conferences and a series of smaller events bringing researchers and practitioners together with a focus on aid effectiveness;



- Contributions to conferences & workshops hosted by relevant organisations;
- Establishing a wider range of collaborative relationships around specific projects with priority organisations based on the strong links formed in Phase 1, with particular emphasis on developing country organisations.

DLP will work closely with the DFAT Governance Policy Section, Pacific Division, the Philippines program, the Indonesia program, and other key policy areas (eg Gender). For example, DLP is working with the Governance Section to support the international and DFAT 'Thinking & Working Politically' Community of Practices (TWP CoP). DLP is also working with the Philippines program to implement a hybrid action research methodology assessing the Coalitions for Change program both in terms of its success at program level and its success as an aid modality. DLP will roll out this methodology across other program areas, for example with the Pacific Leadership Program and the Pacific Women Shaping Pacific Development Program, in collaboration with La Trobe. DLP have also begun discussions to provide research and analytical support for: political and bureaucratic leadership; economic growth, job opportunities and business leadership; political settlements; anti-corruption leadership; women's leadership; the role of higher education and future developmental leadership; and delivering better leadership development programs including across scholarship awardees from fragile and conflict affected states.

Within Australia DLP will build a strong partnership with La Trobe University through the appointment of a Senior Research Partner from the Centre for Human Security and Social Change (CHSSC). The CHSSC at La Trobe has a wide and multi-disciplinary range of experts in this region, whose expertise, under this partnership, can be quickly and easily leveraged by the program. DLP will also work to deepen a collaborative relationship with SSGM at ANU, including knowledge and staff exchanges and collaborative research. SSGM will provide DLP with strong links into the Pacific Region and into Pacific Universities, while in turn DLP will provide SSGM with access to international research and policy networks.

DLP will continue to work to facilitate and establish a number of working Communities of Practice (CoP) around core areas of innovation and policy. By establishing these CoPs, DLP findings will be researched, tested, and espoused by a wider, more influential audience, which further increases DLP's international standing. These CoPs will be a key feature of DLP's two-pronged approach to policy influence and will draw on DLP experience and an emerging body of literature on the role of research in influencing policy. DLP's increased international credibility will be expected to be enhanced by the uptake of other influential individuals and organisations articulating DLP ideas and a continued rise in the interest in, and adoption of, DLP work within international aid policy and programs. DLP will strengthen and deepen its investment in building active CoPs, beginning with an initial CoP roundtable on the practice of 'thinking and working politically' (TWP), which has succeeded in attracting some of the best thinkers and practitioners from across the globe including from Harvard, LSE, the World Bank, USAID, UNDP,

DFAT, and DfID. This work stream will expand to other areas as DLP develops its management capacity.

Reciprocal collaboration with the organisations mentioned above will broaden the range of policy analysis and evidence available to DLP, and will be a means to deliberately expose DLP research and policy findings to scrutiny and critique and test the quality and relevance of the work.

Collaboration will be an essential vehicle to influence the international policy debate on aid effectiveness, to support change in practice in those organisations, and to raise the profile of Australia's aid program.

#### Workstream 4: Communication

Effective and strategic communication of DLP findings, evidence, and policy implications will be a high priority. In order to increase the level of uptake and influence within DFAT and across the international community, phase two of DLP will devote increased resources to a two-pronged approach:

- 1. DFAT communications:** DLP will develop a coordinated communications approach to feed key governance findings into DFAT Governance Policy Section and priority country programs in Pacific and Asia Divisions. It is expected that Governance Policy will assist coordinate and communicate DLP's thinking to the rest of the DFAT and to the wider international development community. DLP will also work closely with key influential figures within the DFAT (e.g. Governance Specialists) to communicate the implications of DLP's research for policy and practice.
- 2. International Communication:** DLP's communications activities will also be directed at the wider international development community, official and non-official. A strong emphasis will be placed on establishing and using networks of 'champions' to multiply and maximise DLP communications, especially those developed through the Collaboration Workstream. DLP will also focus on building links with developing country actors and stakeholders. Each individual research project will have a carefully targeted and coordinated communications plan, which will be developed from the project's inception and will incorporate non-linear engagement strategies and outcome mapping.

This approach will engage with multiple audiences, offering clear messages that are timely, policy-relevant and directed at appropriate audiences. DLP's existing monitoring and evaluation plan will be revised to take account of the communication strategy's focus on research dissemination, uptake, and influence.

In all its communications and influencing activities DLP will encourage participation from partner countries and new donors.

A draft communications strategy is detailed in **Annex B**.

#### Workstream 5: Assessment of Impact and Influence



Building on the success of DLP1, DLP2 aims to be a highly influential and acclaimed research program that contributes substantially to a demonstrable impact on the understanding of development and aid effectiveness, particularly in weak and fragile states. DLP's assessment processes will enable the Program to monitor and report on the effectiveness of its research, collaboration and communication.

Our impact monitoring plan will draw on best practices learned from ODI RAPID<sup>2</sup> and the GSDRC, and will benefit from the experience of the existing GSDRC communications team, which will merge with the DLP communications team. The impact monitoring plan will include the following elements and the communications team will produce an impact overview report every six months:

- **Citation tracking:** We will search for and report on new citations to DLP research outputs not only in academic literature using academic journal indexes, but also in public web sites (e.g. of aid agencies) by using Google Alerts and searches, and web site referrer logs to track new incoming links.
- **Impact log:** Whenever any DLP researcher attends a relevant meeting or conference, receives feedback on with whom their work has been **shared** or how it has been **used**, or becomes aware of other references to DLP work, they will be required to send a brief email to [impact@dlprog.org](mailto:impact@dlprog.org) or use a simple web-based form to record the interaction in the collective DLP impact log. The communications team will review and summarise the entries in the impact log, produce a summary report, and highlight notable or frequent contacts.
- **Event attendance, feedback, and follow-up:** Impact Overview Reports will include evaluations of all events organised by the DLP, will include opportunities for participant feedback at the events themselves, and participants in events will be contacted six months after the event to assess impact occurring after the event.
- **Web site traffic analysis:** The communications team will not only report total web site traffic but will carry out deeper analysis of where visitors come from, the paths they take through the site, and the areas of it that are most often used.
- **Analysis of social media:** In addition to analysing web site traffic, the communications team will monitor and analyse relevant traffic on Twitter and other social media channels that the DLP uses.

In addition to routine reporting of impact, the DLP will commission **episode studies** from time to time, focusing on a clear policy change and attempting to track back the variety of factors leading to the change, including the impact of research.

---

<sup>2</sup> ODI's Research and Development programme (RAPID) works to understand the relationship between research, policy and practice and promoting evidence-informed policy-making.  
<http://www.odi.org.uk/programmes/rapid>



## 2. DELIVERY APPROACH

DLP2 will be an independent stand-alone 'Research Centre' housed in the University of Birmingham, and in partnership with University College of London (UCL) and La Trobe. DLP2 will move to a more traditional research program management structure, whereby the program will be managed by the Director of Research and the Program Manager at the University of Birmingham (UoB). This will enable DLP2 to build strong collaborative relationships with other academic and Think Tank institutions in Australia and internationally, and will provide access to additional funding sources<sup>3</sup>, giving the program greater long-term sustainability.

The new delivery approach will offer better value for money, as the program will be able to leverage capital from the associated universities – in terms of resources, skills, reputation, communications, media, training and fundraising. The University of Birmingham is also subject to the UK government's full economic costing (fEC) basis, which provides strict guidelines to ensure robust costing of research activities.<sup>4</sup>

DLP2 will be managed by the University of Birmingham, with La Trobe and UCL providing supporting management and administrative services. The operational decision-making in the Program will centre on an Annual Work Plan, which will be developed by the Program Management Team (Director of Research - UoB, Deputy Director of Research – UCL, Senior Research Partner – La Trobe and Program Manager - UoB) in consultation with the Department of Foreign Affairs and Trade (DFAT) Governance Section. Consultation with key programs across the Pacific and Asia Regions in particular, will be critical to shaping and implementing a work program that is relevant and responsive to Australian aid program priorities.

In 2014, the DLP2 Program Management Team will move to establish an advisory board of eminent Australian, Indo-Pacific and international development experts to guide the strategic direction of the program.

### Research

The research management process will ensure that while DLP2 is able to commission responsive research, it also has rigorous procedures in place to ensure that the research is relevant, important and addresses a gap in the existing literature.

UoB will move to build more in-house research capacity, reducing the amount of research that is commissioned externally, and developing the skills, expertise and analytical approach of their research team. This will reduce the management burden on the Program Management Team and will reduce the average cost of DLP's research, providing for a more efficient and effective research program.

The Director of Research (DoR), in collaboration with the Deputy Director of Research (DDoR) will lead the Program's research agenda in accordance with

<sup>3</sup> Such as, from Research Councils, philanthropic organisations, collaborative relationships and other donors.

<sup>4</sup> For a full explanation of fEC please see: <https://intranet1.bham.ac.uk/finance/fEC/index.aspx>



Workstream priorities, Annual Work Plans, and research assessment procedures. DLP2 will apply an iterative, responsive research fund approval process (**Annex C**) to all projects (whether internal or external) which requires research teams to set out the budget, timeframe, relevance and potential risk of a project. There will be a process of regular oversight by the DoR and/or DDoR. This will allow the DLP team to commission relevant, innovative, independent and high quality research. It also ensures that the Research Workstream adheres to the core focus of the program, aligns various projects, draws out the cross-over benefits from project to project and creates the space necessary for opportunities to be seized as they arise.

#### Policy, program and operational advice

DLP2 will continue to draw lessons from the DFAT's early adoption of DLP ideas and practices and will also endeavour to learn from the broader international policy context to provide demonstration of effectiveness of this approach to the Australian aid program and vice versa. The shift of DLP2 responsibility to the DFAT Governance Policy Section will ensure wider relevance and application of DLP thinking and influence across the Australian aid program.

DLP's position within the University of Birmingham and UCL will also increase its links to and potential influence on the UK Department for International Development, the Economic Commission, the UK Foreign and Commonwealth Office and Stabilisation Unit, the OECD-DAC, the Overseas Development Institute, the Gates Foundation, U4 Anti-corruption Resource Centre and more.

#### Communication and Collaboration

DLP will continue to feed into DFAT policy and country programs to help support a coherent approach to governance, particularly in the Pacific and Asia regions. Collaboration is already underway with the DFAT Governance Policy, Principal Governance Specialist, Asia Lead Governance Specialist, Pacific and PNG governance programs, Philippines Program, Indonesia Program, Pacific Leadership Program, and the Pacific Sport for Development Group; and discussions are underway with the Pacific Scholarships Program, Pacific Women Shaping Pacific Development, PNG country program (around higher education, women's leadership and corruption), and Solomon Island's Country Program (around post-RAMSI transition and political settlements). This places DLP2 in a position to respond to changing demands and to seize opportunities for influence as and when they arise. The demonstration effect of DLP thinking being embedded into the policy and programming of the Pacific and Asia programs will reinforce DLP's status and level of influence within the Australian aid program and internationally.

#### Resources

The budget in **Annex D** sets out how the funding will be spent to build an experienced and high quality research team across the three institutions (University of Birmingham, UCL and La Trobe) with the in-house capacity to undertake research in five core focus areas, as set out in the Annual Work Plan.



DLP2 will initially continue to commission external researchers to undertake DLP research projects, but over three years as DLP expands their capacity and the skills and experience of their core team, this will reduce, as indicated in the budget. Other research and collaboration opportunities will be sought out where additional funding is available, for example, from collaborating organisations, research councils, donors, or philanthropic sources. The specific research activities will be identified and costed in the Annual Work Plans.

### **3. GOVERNANCE, MANAGEMENT & IMPLEMENTATION ARRANGEMENTS**

#### **DFAT Governance Arrangements**

DFAT and DLP2 governance arrangements, joint setting of research priorities, and program monitoring and evaluation will be:

- (a) An annual high level meeting between senior DFAT staff (at First Assistant Secretary, Senior Governance Specialist, and Director levels) and senior DLP2 staff (including Director of Research, Deputy Director of Research, Senior Research Partner, and Program Manager) will be the major oversight mechanism for program strategy, research directions, and performance management. The annual meeting will provide DLP2 and DFAT with the opportunity to:
  - a. Discuss and agree the proposed annual work plan;
  - b. Discuss the ongoing policy, program and operational relevance of DLP's research and broader work;
  - c. Agree future research priorities;
  - d. Exchange ideas on current and emerging international and regional political and leadership issues that may have relevance to DLP; and
  - e. Access DLP's overall progress, quality, influence and performance.
- (b) To further ensure high quality and appropriate governance of DLP2's research and activity, DLP2 will establish an advisory board of eminent Australian, Indo-Pacific and international development experts to guide the strategic direction of the program. The Board will include DFAT's Principal Governance Specialist and an Assistant Secretary level representative<sup>5</sup>.
- (c) DLP2 will continue to build on its current assessment, monitoring and evaluation framework to ensure that it delivers appropriate and relevant results, and that it continues to evolve and adapt as a program. It is expected that DFAT will provide regular input to DLP2's assessment and monitoring and evaluation framework, to ensure that it is relevant and useful for Australian aid purposes.
- (d) Regular and routine program management will be through work level

---

<sup>5</sup> Position to be advised by DFAT following restructure (early 2014).



- consultations and meetings between the DLP2 DoR, Program Manager and DFAT program management staff and through the timely provision of reports.
- (e) Provision of DFAT's comments on the DLP2's annual work program will be the on-going vehicle through which DFAT provides input to the programming priorities of the DLP2 program.
- (f) Should issues arise that could affect the success of the partnership, these will be addressed in the regular teleconferences, work meetings and consultations between DLP2 and the DFAT program manager or at the annual high level meeting.

### DLP2 Management, Governance Arrangements and Structure

The Program will be implemented through the University of Birmingham who will administer the program. The University of Birmingham will be responsible for:

- Preparation of an Annual Work Plan and detailed budget by July 31<sup>st</sup> each year.
- Preparation and regular updating of a risk management plan.
- Implementation of the Annual Work Plan and risk management plan.
- Contracting and management of the services and personnel required to implement the Annual Work Plan.
- Procurement and provision of office, IT and other services.
- Management of the budget and resources allocated to the Program.
- Reporting on implementation and expenditure, such as the six monthly process and impact overview reports.
- Reporting to DFAT on implementation and achievements of the Program on at least a monthly basis via telephone.

### Positions

The University of Birmingham will provide the position of Director of Research (DoR). UCL and La Trobe<sup>6</sup> will be contracted by the University of Birmingham, and will provide the positions of Deputy Director of Research (DDoR) and Senior Research Partner, respectively. The DoR & DDoR will be responsible for design, management and implementation of the Research Workstream and the Research Work Plan in

---

<sup>6</sup> Please note, details of the partnership with La Trobe are still being discussed with the University's administration. There is firm support for the relationship from the Vice Chancellor and other Senior Staff, but the nature of the financial, staffing and management arrangements to be determined by further DFAT funding from the Pacific Women Shaping Pacific Development Program to be confirmed in 2014. As such, the La Trobe position descriptions are not provided in Annex E, and the costings are not yet included in the Budget in Annex D. It is anticipated that this partnership will be financed from additional DFAT sources, and will not affect the short term budget considerations.



collaboration with the Senior Research Partner. This essentially involves responsibility for:

- Research strategy
- Research management
- Research quality
- Data and case studies for monitoring impact and influence
- Joint research activities

The overall DLP2 team will consist of the following positions: Director of Research, Deputy Director of Research, DLP Program Manager, Senior Research Fellow (x1.5), Research Fellow (x3), Communications Manager (x0.5 – shared with GSDRC), Communications Officer (x0.5 – shared with GSDRC), and Research Administrator (x0.5 – shared with GSDRC). Full responsibilities will be determined by the Director of Research and DLP Program Manager in consultation with the rest of the Program Management Team. The Program will also draw on the strategic input of a communications specialist, when needed to ensure that the communications strategy is appropriately targeted for maximum impact.

Staff employed through a contract with the University of Birmingham include:

- Director of Research
- Program Manager
- Teaching Fellow
- Research Administrator (x0.5)
- Senior Research Fellow (x1.5)
- Research Fellow (x2)
- Communications Manager (x0.5)
- Communications Officer (x0.5)

Staff employed through a sub-contract with UCL include:

- Deputy Director of Research
- Research Fellow (x1)
- Teaching Fellow (x1)

Staff employed through a sub-contract with La Trobe include:

- Senior Research Partner
- Research Fellow (TBC)
- Research Administrator and Communications Support (TBC)

Staff employed on a consultancy basis by the University of Birmingham include:

- Communications Specialist

Position descriptions are included in **Annex E**.

## Reporting

### Annual Progress Report & Work Program

- DLP2 will produce a six month Progress and Impact Overview Reports and an Annual Work Program by June 30<sup>th</sup> each year;
- The progress reporting and annual work program will be discussed in detail at the annual high level meeting scheduled as agreed with DFAT Governance Policy Section (expected to be in July/August each year).
- The format of reports and annual work program will be agreed with DFAT Governance Policy Section and will initially be consistent with reporting and program format under the first phase of DLP.

### Six Monthly Progress and Impact Overview Reports

- DLP2 will produce six monthly progress reports due by December 30<sup>th</sup> and June 30<sup>th</sup> each year.
- The format for the report will be agreed with DFAT Governance Policy Section and will initially be consistent with reporting format under the first phase of DLP.

### Risk Management Plan

- DLP2 will produce a Risk Management Plan with each Annual Work Program.

### Communications Strategy

- DLP2 will produce a Communication Strategy with each Annual Work Program.

### Quality at Implementation Reporting

- As requested, DLP2 will provide appropriate information to DFAT Governance Policy Section for incorporation into annual DFAT Quality at Implementation (QAI) reporting normally between January-February each year.

## Procurement and Grant Arrangements

Contracting and management of all personnel, services and equipment will be the responsibility of the University of Birmingham and will be undertaken in accordance with the Australian Commonwealth Procurement Rules and Commonwealth Grant Guidelines.

Each research project will also undergo assessment against the UK government's ethical and financial standards for UK universities. The average cost of the main DLP research projects has been estimated between \$50,000 and \$70,000.

## Sustainability

DLP is examining issues that have fundamental relevance to the effectiveness and sustainability of development efforts. They speak to how locally legitimate and

sustainable institutions that support inclusive development can be constructed and maintained, and how donors and development agencies can be involved in this process. Given this, the main test of DLP's sustainability is whether:

1. DFAT and other development agencies incorporate the concepts and approaches advocated by DLP into their policies and practices.
2. DFAT and other agencies continue to utilise the concepts and approaches. This depends on their perception that more effective development results from the implementation of the approaches – which is DLP's central hypothesis.

At a secondary level DLP expects to help build and deepen the understanding of a wide range of people and their organisations about the relevance of political approaches to development, and the role of leaderships, elites and coalitions in shaping developmental outcomes. This will be achieved through the publications, events, communication and collaboration detailed in the design. This understanding is relevant to aid policy and management but also to how people and organisations in developing countries work to bring about durable and legitimate change, whether in economic or social spheres.

#### Inclusiveness

DLP will not have a direct impact, positive or negative, on safeguard issues or DFAT policy commitments of gender, environment, child protection, disability, or displacement and resettlement.

However the issues DLP is examining are of critical relevance to positive progress being made by developing countries on these issues, and to how external players, including DFAT, should go about facilitating and supporting such progress.

DLP has also focused on some of these issues within the research. For example, comparative research has been published on: women's leadership in the socially constrained contexts of Egypt and Jordan and in South Africa; responses to HIV/AIDS in Uganda and South Africa; and local achievement of greenhouse gas emissions targets within national frameworks in China and India. Studies are planned on: women's leadership in seeking economic empowerment drawing on experience in the Solomon Islands and elsewhere; challenges faced in forming effective coalitions amongst disability groups in Indonesia and Cambodia; and case studies and research in post-conflict situations including the application of political settlements concepts in the Pacific.

Women's leadership will continue to be a major theme for DLP, not only in research but across the policy, collaboration and communication Workstreams. For example in working with and supporting the Pacific Women Shaping Pacific Development program and the Indonesia women's leadership program. Policy workshops focused on the issues around supporting women's leadership are planned in the Pacific and at an international level.

About half of the research undertaken for DLP to date has been by women, and women will continue to form a large, element of the Research Workstream and of the management team.

#### Risk Assessment and Management

DLP will need to carefully manage how it is perceived by the international community. To be influential beyond DFAT and the Australian aid program, it is important that DLP is seen to be independent, and is able to provide robust comment on development processes and aid effectiveness. If DLP is perceived as being 'directed' by DFAT its messages and impact may be weakened and its value to development practice and to DFAT's standing internationally may be diminished.



## 4: ANNEXES

### Annex A: Research by Thematic Area 2014-2017

The research outlined below comprises those projects that will be on-going into Phase Two, or that have been planned to a high level of detail. Further research projects are in early planning or discussion stages.

#### **The practice of thinking and working politically**

*How can development policy makers and practitioners consider the role of power, agency, leadership and conflict in their analytical, programming and operational work?*

1. 'Community of Practice: Thinking and Working Politically' workstream (2013-2017)
2. From governance to politics: a policy-maker's guide to thinking and working politically. (2012-2013)
3. A framework for political analysis: a user's guide. (2013-2014)
4. Political Economy of Aid (2014-16)
5. Understanding Power (2013-14)
6. Continued refinement and use of the DLP's Political Analytical Tool (PAT). (2012 – ongoing)

#### **The emergence of future leadership**

*Which spaces – political or otherwise – facilitate the emergence of developmental leadership, particularly by women and youth?*

7. Developmental leadership and the role of tertiary and secondary education, further case studies in Sri Lanka, the Philippines, and PNG (2013-17)
8. The Higher Education and Development community of practice (2014-17)
9. Tourism and Women's leadership (2014-15)
10. Women's leadership and political participation across the Arab world (2014-15)
11. The politics of women's access to credit in Pacific. (2014-2015)

#### **Politics at the interfaces of the state**

*What is the shape of political processes between government, state, business and civil society?*

12. The political and bureaucratic interface
  - a. Politics at the political/bureaucratic interfaces in the Pacific – a collaborative action research project with UNDP (2013-15)
  - b. Women's political/bureaucratic leadership – in collaboration with the Australian aid program
13. The private sector and rural development (2014-15)
14. Non-state actors – militia groups and alternative legitimacy systems in DRC

## Collective Action and Coalitions

*How do developmental leadership and coalitions 'work politically' to achieve developmental outcomes in different institutional settings?*

15. Action research on DFAT 'Coalitions for Change Program' in the Philippines. (2012-2015)
16. Corruption and Collective Action Research in collaboration with U4 (2013-15)
17. Comparative study of efficacy of Extractive Industries Transparency Initiative (EITI) in Pacific (PNG), South-East Asia (Indonesia, Cambodia, Timor Leste), Africa (Sierra Leone and Ghana) and Latin America (Bolivia and Peru). (2014-2016)

## The role of attitudes, values and ideas in developmental leadership

*What shapes the attitudes, values and ideas of developmental leaderships that promote successful policy reforms and contribute to the building of stable and effective states?*

18. Who will report? Examining the willingness to report corruption across 90+ countries (2014)
19. Attitudes towards aid, politics, risk and corruption (2014-15)
20. Political Leadership, Regime Transitions and Economic Growth: the role of authoritarian leadership (2014-15)
21. Incentivising Good Leadership: Career Concerns and Post-Office Fate of National Political Leaders in Developed and Developing Countries (2015)
22. Service delivery and state legitimacy in Sri-Lanka (2015)



## Summary

Suggested communications **objectives** for the first year:

- Influencing policy networks and decision-making by developing DLP 'champions'
- Improving DLP's online presence
- Maximising internal communications by researchers

Target **audiences** – three levels:

- Internal & external 'champions'/influencers, including partner organisations and potential partners (focusing on collaboration and maximising/building networks)
- Individuals and organisations for cross-DLP engagement
- Individuals and organisations for specific engagement

Suggested priorities for **tools and activities** during the first year:

- *Internal communications*/focus on capacity building with researchers/champions
- Getting the *publications* portfolio (and dissemination of publications) right (i.e. right products for different audiences)
- Getting the DLP website, RSS feed, related *web* pages (DFAT, UoB, partners) working well for us and boosting traffic with social media (primarily Twitter, LinkedIn and blogs, prioritising influencers and existing networks)
- Using *events* (e.g. commemorative workshop) to help build a community of practice.

In terms of **resources**, the DLP team, partner organisations and champions/influencers will all be involved in communications.

## Objectives

### DLP's objectives

#### Goal

DLP's goal is to produce a body of high quality, rigorous, policy-relevant research to deepen understanding of the political processes of development and, thereby, to contribute to the effectiveness of future development policies and programs.

#### *DLP's communications-related program objectives*

- To communicate DLP's research evidence and recommendations in a range of formats to relevant audiences in the Australian Aid Program, and the wider development community internationally. (Program objective 2)
- To influence international and Australian Aid Program thinking and practice about the centrality of DLP findings to development. (Program objective 4)
- To demonstrate DLP's quality, relevance, and impact (Program objective 5)

#### *DLP vision document 2013-17: communications-related goals*

- Contribute to and create global networks and debates on developmental leadership through key academic and policy forums
- Provide information on DLP's work in an informative, exciting manner



## DLP communication goals and expected outcomes

**Overall goal:** DLP will aim to communicate research evidence, implications/recommendations and tools to the people who need them (those responsible for policy and programmes in donor agencies, country governments and NGOs), in ways that are clear and accessible. Where possible, we will aim to make use of policy networks and collaborative relationships to provide this information when policy makers need it.

- **Objective 1: Influencing policy networks and decision-making:** Influence the environment in which policy and programme decisions are made, by increasing awareness of and positive reference to DLP and its findings in international policy debate

*Expected results –* Develop a network of up to six DLP champions who cite or mention DLP positively at least once each during the coming year and connect us with new stakeholders. Use a shared impact email address ([impact@dlprog.org](mailto:impact@dlprog.org)) to report these citations and mentions.

- **Objective 2: Improving DLP's online presence:** Increase usage of [dlprog.org](http://dlprog.org), and establish it as an authoritative resource on the politics of development, deploying a range of online tools.

*Expected results –*

**Website:** Total number of downloads per month, unique browsers per month, page views per month, and visits per month increase by at least 20% over the year

**E-alert:** Increase and retain subscriptions to DLP e-alert by people with relevant institutional email addresses by at least 10% over the year

**Social media:** Increase in click-throughs to [dlprog.org](http://dlprog.org) from social networks (e.g. monitored via Twitter tracking code in Google analytics) and increase in social network mentions. (Quantify targets once baseline established – after six months?)

**Academic:** Total number of citations to DLP funded work to increase by 50% per year.

- **Objective 3: Increase citations by prominent academics:** Increase engagement with academic audiences, take up all opportunities to engage within the wider academic debate.

*Expected results –*

Total number of citations of DLP papers, and academic papers arising from DLP-funded research to increase by 50% in the first year (monitored by citation tracking).

- **Objective 4: Maximising internal communications:** Ensure DLP researchers are given the tools and encouragement needed to communicate DLP findings more effectively.

*Expected results –* Communication of findings by researchers built into individual research communications plans, implemented and monitored. Improved uptake expected to arise directly from inclusion of communications plans in all research projects: monitor the target audiences for feedback, citations etc.



## Target Audiences

### Prioritisation

Audiences will be prioritised based on their **type**, and **scope / influence** on development policy and practice (international reach? proactive networks? thought leaders / gatekeepers?) and on **DLP's ability to influence** them (prior or new connections? opportunities and access, direct or indirect?).

A focus on **networks** could help increase return on investment, and reflects DLP's emphasis on the importance of coalitions: DLP should be seen to network and collaborate effectively. DLP audience priorities for the coming year could focus on those most likely to contribute to **building the community of practice** and **coalitions** for change (with people inside and outside development agencies) recommended at the Frankfurt Workshop, supplemented by relevant GSDRC contacts.

While DLP communications would seek to impact many international policy audiences directly, good '**internal**' communications can also make a major contribution to maximising DLP's potential reach (see Objective 3, above). Here we define 'internal' as the 'extranet' of DLP players and partners who should be kept fully informed about DLP work, and who are then also more likely to refer to DLP to external stakeholders. Internal communications priorities include **DFAT**, and maximising opportunities for two-way communication and for access to staff communications channels. Through the Australian aid program, DLP could communicate with groups of policymakers from donor and national government agencies. For example, Pacific Women Shaping Pacific Development plans to establish a Development Partner Coordination and Investment Committee (of multilateral regional and bilateral agency representatives) under the Gender Equality Hub, and an Advisory Board of high level representatives from Pacific countries, donors and civil society.<sup>7</sup> We will also develop collaboration with institutional partners such as GSDRC/UoB and UCL (see [Resources: people](#)).

Within Australia and the Pacific, DLP will build on existing relations and develop new collaborations around shared perspectives with organisations such as: Leadership PNG, Murdoch University's Asia Research Centre, La Trobe University, Lowy Institute, ANU & SSGM. Findings related to Asia Pacific would also be prioritised in communications with DFAT and other audiences in the region.

To ensure effective use of DLP management team's time, responsibilities for communication and collaboration activities will be loosely divided in the following way:

- International policy audiences/fora – Heather Marquette
- International academic audiences/fora – David Hudson
- Asia Pacific policy and academic audiences – Chris Roche

### Three 'levels' of audience

DLP will focus on three 'levels' of audience:

1. **Internal and external 'champions', plus partner organisations**, with whom we expect considerable interaction and with whom we have agreed (contractually or otherwise) they will do some proactive communications on our behalf. We would not necessarily expect them to be uncritical. We would

---

<sup>7</sup> See <http://www.DFAT.gov.au/countries/pacific/Documents/pacific-gender-equality-strategy.pdf>



particularly seek to build relations with influencers (e.g. bloggers) who shape international discussions and affect the policy environment.

2. Individuals and organisations that we want to **engage with about DLP as a whole**, or across a broad range of outputs
3. Individuals and organisations that we want to engage with about a specific piece of DLP research, or who are **sector-specific**.

| Level of audience                                                                                   | Examples                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
|-----------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Internal & external 'champions'/influencers, including partner organisations and potential partners | <ul style="list-style-type: none"> <li>• Researchers working on DLP themes (esp. within DLP / GSDRC / UoB / UCL and influential organisations)</li> <li>• Communications staff in partner organisations and beyond (e.g. via <a href="http://wonkcomms.net/">wonkcomms.net/</a>)</li> <li>• DFAT key contacts (PGPF programs; internal comms)</li> <li>• Donor agencies and networks: within agencies, prioritise research and policy divisions (for cross-agency influence) and governance specialists.</li> <li>• Influential thought leaders / gatekeepers, particularly bloggers / media contacts e.g. Duncan Green</li> </ul> |
| Individuals and organisations for cross-DLP engagement                                              | <ul style="list-style-type: none"> <li>• Donor agencies, including of Brazil, India, China, S. Africa</li> <li>• International organisations (research institutes &amp; groups, think tanks, CSOs, foundations)</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                         |
| Individuals and organisations for specific engagement                                               | <ul style="list-style-type: none"> <li>• Donor country offices</li> <li>• National government policy makers, especially in countries where DLP research has been conducted</li> <li>• Private sector organisations e.g. business associations</li> </ul>                                                                                                                                                                                                                                                                                                                                                                           |

### Understanding our audiences, their context and needs

Audiences will be mapped and analysed so that they can be more effectively prioritised and targeted (more detailed work to be done separately). Having identified key audiences, DLP will seek to understand their needs, contexts and the current ways in which they source and use knowledge. For example, investigating their current knowledge sources and usage will help us to ensure we target the right 'intermediary' audiences.

This will involve investigating questions such as: what knowledge do our audiences need, and when? How do they seek/obtain/use knowledge/research evidence? What are the problems they are encountering? What are their current priority interests/focus countries/funding commitments? Answers to such questions could inform both DLP's research and its communications – in terms of geographic focus beyond Asia and the Pacific, for example, DLP might want to prioritise areas of focus common to most international agencies so as to maximise potential impact (sub-Saharan Africa, Middle East and North Africa?).

To listen to our audiences, we can gather information through personal networking / meetings and workshops. (We will particularly try to find out about the timing of **policy reviews** by various organisations so that we can seek to impact their angle/content.) DLP could undertake user surveys, and can draw on GSDRC's user surveys to help identify knowledge needs within donor agencies.



## Messages

DLP will agree core 'who, what, why, when and how' messages, then refine the wording for accessibility. The messages will emphasise impact to date as well as the way forward.

## Tools and activities

We will prioritise the following channels during the first year:

- a) internal communications/focus on comms capacity building with researchers/champions
- b) getting the publications portfolio (and dissemination of publications) right (i.e. right products for different audiences)
- c) getting the DLP website, RSS feed, related web pages (DFAT, UoB, partners) working well for us and boosting traffic with social media (primarily Twitter, LinkedIn and blogs)
- d) using events (e.g. commemorative workshop) to help build DLP's network and collaboration.

### a) Internal communications for DLP

We will develop an internal communications action plan after initial discussion with the DLP team.

## Researchers and spokespeople

We will offer capacity building support and regular information to researchers and partner institutions.

*For discussion:* we will also make researchers' commitment to communications more explicit in future agreements and will consider how to increase the communications contributions of existing researchers/partners, where appropriate.

**Individual research communications plans:** DLP to consider: For specific research projects, if we are asking researchers to produce /collaborate on producing their own brief communications action plans, need to clarify:

- Who decides which pieces of research are priorities?
- Contractual requirements (e.g. blogging or similar)?
- How will monitor schedule and alignment with DLP messaging?

**Channels to consider for use by DLP researchers and spokespeople:** partners' e-newsletters, intranets, staff induction sessions/retreats, blogs, academic media, English language domestic media in relevant countries (including radio and Australian/Asia-Pacific media e.g. ABC and SBS), and international media (e.g. Economist, FT, Guardian, BBC World Service, CNBC, Al-Jazeera English).

### Network of champions for DLP

As mentioned earlier, we will also seek to establish a network of high-profile champions for DLP – influencers/ reputable bloggers/commentators who comment and connect (or argue with) DLP (e.g. Duncan Green, World Bank bloggers, Owen Barder), plus academics who cite DLP's work.

## b) Publications

### DLP Publications

DLP publications could prioritise user-friendly **syntheses**:



- Of findings from individual papers / projects (including 300-word summaries of key findings on the website outside of PDFs)
- Of findings from multiple DLP projects
- Of findings from collaborative / similar research projects/programmes
- Of the broader evidence context, summarising literature reviews

Informal feedback from donor agency staff suggests that syntheses of evidence from multiple projects are valued because they save time. DLP could look for further opportunities for short-term collaborations, including joint publications / statements with other research programmes on common findings.

### Working Papers

Detailed DLP findings could be presented in working papers, which could include user-friendly summaries of the findings and implications.

### Policy briefs?

Select key papers for policy briefs where there are clear implications? Synthesise findings / implications from multiple projects?

### Case studies

Short case studies (4-5 pages) with graphics and pictures could be used to illustrate abstract concepts / develop stories. This may be particularly useful as a quick entry route to major research projects such as Ghana. (See individual research comms plans above.) Case studies might also be developed of the benefits of thinking and working politically, based on collaboration with DFAT programs, and of DLP's influence on policy and practice.

### Book

Plans are underway for a book arising from the DLP memorial workshop, and from the work of Adrian Leftwich and David Hudson on Political Analysis.

### *External peer-reviewed publications to enhance credibility of DLP*

Target well-regarded academic journals, those most read by policymakers (e.g. *Development Policy Review*?), and peer-reviewed open access journals (e.g. *Stability*). Plan to submit abstracts early to allow for long timeframes.

### *Collaborative outputs*

Seek opportunities to produce collaborative outputs (papers / statements / events / workshop reports / blogs?) that highlight and synthesise common findings across different research programmes, so as to enhance credibility and impact.

While collaboration risks reputational damage to DLP if outputs are poor quality or partnerships ill-chosen, highlighting consistent evidence across programmes could generate more interest among policymakers than evidence from DLP alone.

Lessons that arose from the experience of producing the joint statement and blog on *The political economy of development in Africa* in 2012, include: ensuring collaborations are time-limited, ensuring clear, strong DLP branding on any outputs, a clear commitment to fore-fronting the impact of the research, agreeing shared aims with collaborating partners, and agreeing commitments to communicating findings in advance.



## c) e-communications

### *dlprog.org*

- Streamline structure (around themes) to make key messages and outputs easy to find. This includes highlighting related content.
- Present information in a more engaging, concise and clear web-friendly style, such as by using more images, subheadings and bullet points
- Include opinion section and more social media links

### *Other websites*

What websites are DLP audiences using? Feed information to other sites beyond blogs – Guardian, theHive (World Bank audiences).

### *E-alerts*

**DLP e-alerts** could publicise new publications / events (and blog posts?). Avoid sending more than one per month to avoid overloading subscribers with information. Make use of **partners' e-alerts** e.g. DFAT or UoB.

Individual researchers could send **targeted emails** to selected professional contacts in their networks to publicise blog posts / new publications (e.g. as Alina Rocha Menocal at ODI does).

We will look for a number of short turn-round options that reach **academic audiences**, in addition to the DSA Bulletin. Could we set up a regular slot for Heather M somewhere?

### *Social media*

DLP will gradually expand its social media presence and engage in online debate, contributing to discussions, generating discussions and sharing links to DLP material. Social networking sites could provide the first step in a package of outputs that gradually lead people to more detailed information (e.g. tweet > blog post > working paper). Research findings could be presented in different formats, including podcasts, infographics and animations (see outline of concept portal in DLP Design 2014-16, p.47; trial to test interest generated), to engage a wide audience.

Prioritise connection with:

- Thought leaders / influential voices
- Existing networks and interest groups (e.g. linkedin groups such as that of the Guardian Development Professionals Network, which has over 1,200 members)
- Prolific sharers of information (with relevant networks)

Suggested tools in order of priority:

- Develop **Twitter** presence, as Twitter's used as a source by bloggers and journalists. Use to seek input into research, discuss preliminary findings, keep up to date with potential partners/members of community of practice, and develop relationships by tweeting relevant material produced by others. Live tweet DLP events / related events attended by DLP staff members.
- Use **Linkedin** and (later?) Facebook in similar ways, but particularly to connect with relevant professional interest groups
- Use **Blog posts** to target policymakers via existing well established platforms - to highlight and repackage previous DLP research relevant to current events,



contribute to discussion, and give researchers' personal perspectives/reflections on their findings in an informal style. The DLP website will include an **opinion** section that can include links to DLP staff members' posts on other blogs. This could also accommodate guest posts on key DLP issues / highlight where findings of other research programmes reinforce those of DLP.

- **Use YouTube** to highlight case studies as access points into DLP findings and key concepts / messages. (Consider investing as an experiment to test results, bearing in mind sustainability issues. Investigate best source of technical support: UoB beginning to use video clips, but explore other options.)

#### d) Events

##### *DLP Events*

DLP will organise international workshops and conferences, aimed at connecting researchers, policy makers and practitioners across developed and developing countries. For example, these could be organised to introduce / refine political analysis tools. Events could provide opportunities for addressing gaps in the current network via targeted invitations, following up new contacts, developing DLP champions, developing discussion and ownership of policy messages, and for pursuing collaboration / issuing joint publications. Initially DLP will organise an annual workshop in January/February, beginning with the Adrian Leftwich memorial workshop hosted by LSE.

External events (particularly those attended by policymakers) will be useful sources of contacts, data and opportunities to discuss DLP findings/ideas.

##### *External events*

DLP will compile a calendar of relevant future events and ensure these are communicated internally.

#### Resources

##### *People*

The whole of the DLP team will be involved in communications, along with partners and influencers.

##### *Communications roles of DLP team members*

- Champions/ambassadors for the DLP program and its key messages
- Identifying key research findings and implications
- Writing (clear and concise) research publications, opinion pieces, blogs
- Dissemination of DLP messages/news/events within organisational/professional networks (e.g. via web links, social media, meetings)
- Identifying opportunities for engagement with policy debate/DLP audiences
- Contributing to logs of opportunities / impact (e.g. citations / feedback on application of findings)

Consider researchers' written and verbal communication skills at recruitment stage (e.g. include in job descriptions; use online tests to filter shortlisted candidates before interview; consider samples from a varied selection of a candidate's written outputs)? Invest in training and creating a positive culture around communications activities within DLP.

##### *Spokespeople*



- *Who?* While Heather M is DLP's main spokesperson (panel, media, blogs) selected researchers will also be needed to be available as spokespeople. This is especially relevant for Southern work or communications opportunities in a different time zone (e.g. Asia).
- DLP team will divide responsibilities based around spheres of audiences. HM - policy audiences, DH - academic audiences, CR – Asia/Pacific academic and policy audiences.
- *On which topics?* HM / DH to specialise where possible in speaking/blogging on particular topics – e.g. HM on anti-corruption, statebuilding; DH on political analysis?

### *Capacity building*

Media training: available for UoB staff. UCL? (SM could provide additional media training, including filming with an ex-BBC producer, and some basic blog-writing training. Duncan Green may be able to provide a seminar on blog-writing as well.)

What other opportunities might DLP researchers and spokespeople need to prepare for? Ask staff where – if anywhere – would value more support (e.g. public speaking / video / networking / social media / clear writing)?

### *People with dedicated communications roles*

- Sue (strategic advice/expert input) – 24 days between July 2012 and June 2014 (currently c14 days remaining)
- Sarah (managing day-to-day communications) – part-time, eventually 50%, start date for that TBC
- Part-time communications position within UoB.

### *Decision making*

To ease communications functions and prepare for fast turnaround opportunities, we will clarify who will sign off communications outputs at what level of detail, and to what extent managers would like to be copied in on communications work.

### *Collaboration with communications teams in partner institutions and beyond*

UoB (College marketing/website colleagues) / GSDRC / UCL

DFAT (e.g. internal communications for DFAT staff)

DLP needs to involve partners and allies in its communications strategy. This will involve clarifying roles, messages and incentives – for example, identifying mutually beneficial activities that enhance the reach and reputation of all parties. These arrangements will be informal to begin with, as past experience has indicated that this is often the most effective mechanism.

### *Evaluation and review*

### *Monitoring tools*

**Contacts database** – record communications with and feedback from organisational/individual contacts

**Media and citations log** – could include agency policy (and program?) documents, unless contractor to check those separately, as suggested in DLP Design 2014-17,

MEL framework? DLP researchers to be made aware of log so they can contribute to it.

Report on communications activities – to include engagement with development agency staff and requests for assistance from development agencies, citations, and any evidence of other organisations promoting DLP concepts. (A **six-monthly communications report** suggested).

Other M&E options include:

Track policy influence using tools such as a **relationships table** to track key relationships in detail, or **identify desired behaviours** as progress markers among particular policymakers/influencers (e.g. reactive > proactive > transformative change; ODI outcome mapping)

### **User surveys**

### **Learning and amendment**

Brief quarterly reviews of communications activities and outcomes / feedback from users to identify trends/lessons and adapt communications plan as needed.

## **Annex C: Research Protocol**

The DLP Research Protocol requires every applicant for DLP research funding to complete the DLP Responsive Research Fund project approval form (see below):

This requires each applicant to provide a detailed budget estimate, to justify the fit of the research within DLP's core focus, and to provide a detailed strategy setting out how they will help DLP to promote the research and communicate the findings.

Each application will then be assessed for relevance against DLP's core focus and strategic direction, good fit within the existing Annual Workplan, whether the proposed research addresses a genuine gap in the literature, and presents value for money for DLP and DFAT.

If the research proposal meets all of these requirements, and the Program Management Team are agreed that this would be a good piece of research for DLP, DLP will request a full concept note and final budget. If this is satisfactory, the research will then be commissioned in accordance with the Commonwealth Grant

Guidelines, and the progress and performance of the researchers will be regularly monitored against the agreed timelines and outputs.

Where any application is made by parties from the partner institutions (University of Birmingham, UCL or La Trobe) the associated member of the Program Management Team will exclude themselves from the decision-making process to ensure no conflict of interest.

**DLP Responsive Research Fund**  
**Project Approval Form**

|                                                                                                                                                        |
|--------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b><u>Title:</u></b>                                                                                                                                   |
| Short summary of the proposed research                                                                                                                 |
|                                                                                                                                                        |
| Key research questions                                                                                                                                 |
|                                                                                                                                                        |
| Expected duration/timeframe for delivery ( <i>typically up to 12 months</i> )                                                                          |
|                                                                                                                                                        |
| Relevance for DLP's core focus                                                                                                                         |
|                                                                                                                                                        |
| Proposed programme                                                                                                                                     |
|                                                                                                                                                        |
| Proposed methodology                                                                                                                                   |
|                                                                                                                                                        |
| Planned research outputs ( <i>minimum expected: mid-term report, working paper, opinion piece, input to policy brief, planned academic output(s)</i> ) |
|                                                                                                                                                        |
| Communication strategy ( <i>engaging users and communicating findings</i> )                                                                            |
|                                                                                                                                                        |
| Areas of potential conflict of interest or reputational risk                                                                                           |
|                                                                                                                                                        |
| List of personnel ( <i>CVs to be attached</i> )                                                                                                        |
|                                                                                                                                                        |



|                               |
|-------------------------------|
| Breakdown of estimated budget |
|                               |
| Bibliography                  |
|                               |

## Annex D: Budget

| Item                                                                       | (AUD)     |
|----------------------------------------------------------------------------|-----------|
| Indirect Costs <sup>8</sup>                                                | 1,058,925 |
| Estate Costs <sup>9</sup>                                                  | 206,552   |
| <i>Personnel Costs</i>                                                     |           |
| Long Term Advisers<br>(salary, pension & national insurance contributions) | 1,763,256 |
| Short Term Advisers                                                        | -         |
| <i>Operational Costs</i>                                                   |           |
| Travel                                                                     | 458,000   |
| Communications                                                             | 125,000   |
| Flexible Research Funds                                                    | 888,267   |
| TOTAL                                                                      | 4,500,000 |

### Further information on the University of Birmingham Costing model

The University of Birmingham uses the fEC (full economic costing) model to determine the costs of research. The main driver of this is the cost of time spent by academics on a given research activity. This calculation is based on a proportion of directly incurred staff costs (i.e. salary, superannuation, and national insurance contributions). This is what you see in the staff costs section of the costings that we initially presented to you.

There are some major items of expenditure in support of research activities made both by the Budget Centre and/or centrally by the University. These costs are important as they ensure that the University has a well-maintained infrastructure and administrative support to enable research activities to be carried out. The costs are Estates and Indirect Costs.

These costs replace the previous 'overhead' charge that was applied to research projects. Whereas the overhead was a fairly arbitrary charge, the Estates and Indirect costs are true costs that the University is incurring and are based on the

<sup>8</sup> University of Birmingham Indirect costs include the following elements: Central Library, central computing, finance, Pro-vice Chancellors, human relations / personnel, marketing, registry / planning, Vice Chancellor, sport and recreation, students guild, pensions, estates cost of support, school support, other expenditure, return for financing & investment – expenditure based element only.

<sup>9</sup> University of Birmingham Estate costs include the following elements: Rent and rates, utilities, building repairs and maintenance, grounds maintenance, cleaning and waste disposal, estates management services, security and portering, post room, telephones, transport costs, professional services including insurance, depreciation, infrastructure adjustment, return for finance & investment – asset based element only.



expenditures contained within the audited annual accounts.<sup>10</sup>

The calculation of Estates and Indirect Costs is a mandatory requirement for all HEI's, and is done using the same methodology. The costs that are calculated will be different, but they will have been calculated in a consistent way. Benchmarking studies were carried out across the sector to ensure this. These are charged at a flat rate per academic staff member (and not for non-academic staff). In this instance the University of Birmingham has agreed to forego the Indirect Costs for the post of Director of Research, and Research Fellow (x1).

The rest of the costs of research, using this methodology, are comprised of directly incurred 'other' costs (these are covered in the communications and travel sections of the budget); and indirectly incurred costs.

### **FEC and why it was introduced<sup>11</sup>**

In 1998 the UK government launched the Transparency Review to demonstrate the full costs of research and other publicly funded activities in higher education. This led to the creation of a costing methodology called Transparent Approach to Costing (TRAC), which is used by HE institutions to determine the costs of three main activities at an institutional level – teaching, research and other – using a range of appropriate drivers.

FEC is a development of TRAC methodology which allows the full economic costs of research activity to be calculated. The rates defined by TRAC are implemented at project level.

### **FEC principles**

Full Economic Costing (FEC) is:

- A standardised costing methodology for research
- Applied at project level
- Used by all UK Higher Education Institutions
- Mandatory for external research funding

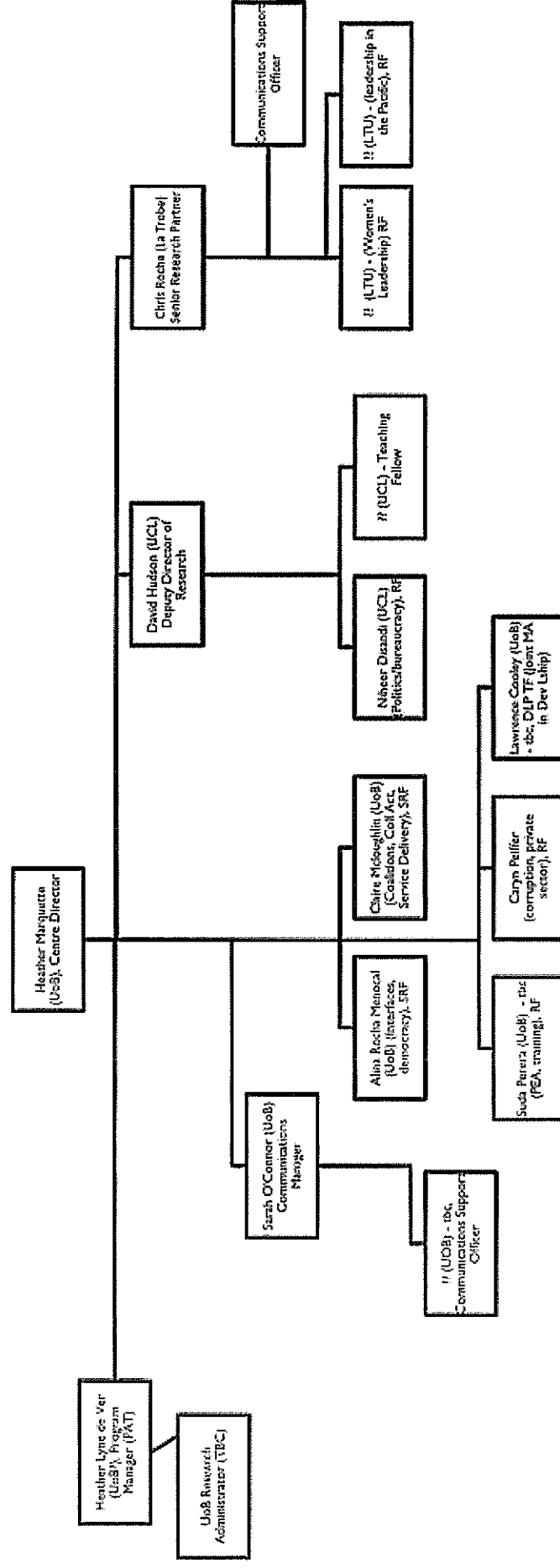
---

<sup>10</sup> <https://intranet.birmingham.ac.uk/finance/fec/Costing/estates.aspx>

<sup>11</sup> <https://www3.imperial.ac.uk/researchsupport/costingandpricing/costing>



## Annex E: Management Structure and Terms of Reference



## Position Descriptions

### **DIRECTOR OF RESEARCH**

The Director of Research will:

- a) Lead, prioritise, undertake, commission, support and promote research, analysis and knowledge building that strengthens understanding and evidence of the role of politics, leadership and elites in institution and state building in fragile states;
- b) Take a lead role to identify and select appropriate high quality researchers and analysts to undertake knowledge work, research and analysis;
- c) Oversee and manage appointed researchers and analysts to ensure that this research and analysis is of high quality and is well targeted;
- d) Personally undertake specific research and analysis set out in the work program and budget;
- e) Ensure that research and analytical outputs are high quality and timely, monitoring progress on existing commissioned research, ensuring intellectual rigour and timely outputs;
- f) Assist the DLP Management Team to select and maintain partnerships and liaise with other relevant knowledge, research and policy organisations;
- g) Assist the DLP Management Team, particularly the Communications Manager, to develop and implement a high quality and influential communication strategy;
- h) Contribute to the development and communication of the aid policy, program and operational messages and recommendations that emerge from the Program;
- i) Participate in international and other conferences and fora to communicate the Program's research and analytical findings; and

Be a vital member of the DLP Management Team.

## **DEPUTY DIRECTOR OF RESEARCH**

The Deputy Director of Research will liaise and report regularly to the Director of Research, and:

- a) Assist the Director of Research to lead, prioritise, undertake, commission, support and promote research, analysis and knowledge building that strengthens understanding and evidence of the role of politics, leadership and elites in institution and state building in fragile states;
- b) Assist the Director of Research in identifying and selecting appropriate high quality researchers and analysts to undertake knowledge work, research and analysis;
- c) Personally undertake specific research and analysis set out in the work program and budget;
- d) Oversee and manage appointed researchers and analysts to ensure that this research and analysis is high quality and well targeted, as agreed with the Director of Research;
- e) Ensure that research and analytical outputs are high quality and timely, monitoring progress on existing commissioned research, ensuring intellectual rigour and timely outputs;
- f) Assist the Management Team to select and maintain partnerships and liaise with other relevant knowledge, research and policy organisations;
- g) Contribute to the development and communication of the aid policy, program and operational messages and recommendations that emerge from the Program;
- h) Participate in international and other conferences and fora to communicate the Program's research and analytical findings; and,
- i) Be a vital and active member of the Management Team.



## **DLP PROGRAM MANAGER**

The DLP Program Manager, will:

### **Staff and Relationship Management**

- a) Manage the relationships between: DLP, the funding provider (DFAT), the host institutions (University of Birmingham, University College London, La Trobe)
- b) Manage the relationship with the Advisory Group, a group of high profile public figures, including:
- c) Ensuring that all DLP activities are appropriately presented and accounted for to the advisory group on a regular basis.
- d) Ensuring that the advisory group are privy to appropriately targeted and timed information exchanges to maintain group engagement with DLP and facilitate their ambassadorial role.
- e) Writing and delivering presentations on the work of the DLP to the advisory group.
- f) Managing internal and external networks and facilitating communication and collaboration where necessary.
- g) Oversee and manage the work and performance of administrative staff, and junior research staff including Research fellows, Research assistants, communications staff, and other support staff.
- h) Operational management of a geographically disparate team with members across the UK and Australia.
- i) Manage and develop partnership and collaborative relationships with appropriate organisations or research groups.
- j) Oversee and manage external contracts with research, IT, design and consultancy firms and individuals.

### **Strategy, Planning and Reporting**

- a) Prepare high quality reports and presentations on matters relevant to DLP's work including on its outputs and impact as requested by DFAT, the Managing Contractor, or the host institutions.
- b) Work with the Director of Research and Deputy Director of Research to develop DLP's long term strategy.
- c) Work with the Director of Research and Deputy Director of Research to develop the annual Work Plan.
- d) Manage, maintain and monitor of the Work Plan.
- e) Coordinate the various work streams across the host institutions.
- f) Plan, coordinate and manage DLP conferences, workshops, receptions and events, including managing budgets, agendas and invitations.

### **Financial Management**

- a) In consultation with the Director of Research oversee and manage the full DLP budget (AU\$6 million over three years) including monitoring of commitments and expenditure within allocated funds, contract negotiation and budget adjustments with the aim of efficient use of all allocated funds.
- b) Work with the DLP management team to develop strategies, and build relationships with the aim of securing long-term alternative funding sources.

### Quality Management

- a) Implement monitoring and learning activities in line with the monitoring, evaluation and learning framework developed for Phase 2 of DLP;
- b) Undertake a six-monthly management review of staffing, capacity, efficiency and value for money.

### Research

- a) Undertake research in the following key areas:
- b) Refine, develop and test the Political Analytical Tool (PAT), coordinating training and application within the Australian Aid Program and other interested parties. Develop the tool's use for learning, research and knowledge management.
- c) Undertake research into the link between research and evidence-based policy, effective research communications and knowledge management.
- d) Undertake any desk-based research as required by the Director or Deputy Director of Research.
- e) Perform any other duties as requested by the Director of Research.

The DLP Program Manager reports to the Director of Research and will work closely with the Director and Deputy Director of Research.

## **RESEARCH FELLOW (X3)**

The main aim of the DLP is to produce a body of high quality, rigorous, policy-relevant research to deepen understanding of the political processes of development and, thereby, to contribute to the effectiveness of future development policies and programs.

The expansion of DLP during the next phase of the work will require the recruitment of new full-time staff, to enable us to manage the growing work program while ensuring the consistency and quality of the research produced. The intention is for DLP to hire a number of full-time Research fellows with responsibility for a particular thematic areas of DLP research. The fellows will receive training and support in DLP's conceptual framework, and will be able not only to work in their core research area, but also to support other research projects as and when necessary, to develop smaller outputs, such as the planned State of the art paper series, and concept brief series, and to contribute to DLP communications outputs allowing us to responsively engage in and influence the international debate.

This strategy will increase the responsiveness and efficiency of DLP, and will ensure consistency in the approach and conceptual framework of DLP research without requiring excessive management oversight.

### **Duties**

- a) To contribute to any large scale research projects within the relevant thematic area, including:
  - a. Conducting literature reviews.
  - b. Developing the research design and appropriate methodology for research projects.
  - c. Drafting research proposals.
- b) Contribute to any other research undertaken as part of the DLP work plan, as required by the Program Management Team including:
  - a. state of the art papers,
  - b. concept Notes,
  - c. literature reviews, and
  - d. research support.
- c) Contributing to the DLP communications strategy as required by the DLP Management Team, including by:
  - a. drafting opinion pieces and blog pieces,
  - b. attending conferences and workshops,
  - c. preparing presentations, and
  - d. monitoring media and academic journals.
- d) Undertake any other activities as required by the Program Management Team.



## **COMMUNICATIONS MANAGER**

The main aim of the DLP is to produce a body of high quality, rigorous, policy-relevant research to deepen understanding of the political processes of development and, thereby, to contribute to the effectiveness of future development policies and programs.

In order to ensure that our research is contributing to effective development policies and programs, DLP must understand and engage with our many different audiences; from policy makers, to practitioners, to developing country leaders and decision-makers. This will require a strong communications team and a clear communications and engagement strategy.

### **Duties**

Liaising and reporting to the Program Manager, and the wider DLP Program Management Team where necessary, the Communications Manager will:

- a) Assist in developing a future DLP Communications Strategy
- b) Work with the Program Management Team to develop, and regularly update the program's communications strategy.
- c) Manage media and publications monitoring
- d) Monitor a select range of media, publications and events, circulating relevant information to the team to ensure they are kept up to date with developments in the field.
- e) Monitor a select range of blogs, with a view to topics or debates to which DLP team members can contribute.
- f) Monitor citations and mentions of DLP publications.
- g) Manage website content, editorial work and social media presence
- h) Ensure adherence to house style, and update style guidelines as needed
- i) Edit and update the DLP website as required.
- j) Edit and produce a variety of DLP publications to a high presentational standard.
- k) Contribute to the drafting of policy briefs, press releases, and blog entries as required.
- l) Develop DLP's social media presence
- m) Manage the DLP contact database.
- n) Collaborative communications
- o) Work with associated organisations to coordinate on-line and off-line communications.
- p) Reporting
- q) Work with the database and technical manager to report on publication downloads, web-statistics and traffic trends.
- r) Undertake any other activities as required by the program management team.
- s) Oversee and manage a small communications team to ensure the quality and timeliness of communication outputs.

## **COMMUNICATIONS SUPPORT OFFICER**

### **Job Description**

The DLP Communications Support Officer is responsible for communicating research to different high-profile audiences (e.g. policymakers, academics, the media etc.), including copy-editing to support the high-quality presentation of research reports and of other outputs. A customer service focus is essential, since the post-holder will be required to work closely with the Communications Manager and the wider Developmental Leadership Program Team, and to liaise with high-profile internal and external contacts and respond to complex or sensitive enquiries. The post-holder will need to be able to work independently, to prioritise and plan their own workload, and to take a proactive part in considering quality improvements in the services delivered. The role will also require organization of events as needed.

### **Main Duties**

- a) To support the communication of DLP research, tracking progress and reporting to Dr Heather Marquette and Sarah O'Connor, and providing professional and efficient support including but not limited to the following:
- b) Monitor and select a range of media, publications and events, circulating relevant information to the DLP team to ensure they are kept up to date with developments in the field, and liaising with the UoB and CoSS marketing and media teams
- c) Monitor and select a range of blogs, highlighting topics or debates to which DLP team members can contribute
- d) Monitor citations and mentions of DLP publications, identifying opportunities for increasing the impact of DLP's research and contributing to DLP's strategy for monitoring and evaluation
- e) Write website content, and contribute to editorial work and DLP's social media presence
- f) Select and liaise with senior expert contributors to DLP's blog
- g) Ensure DLP's communications outputs adhere to house style, and update style guidelines as needed
- h) Edit and update the DLP website as required
- i) Edit and produce a variety of DLP publications (e.g. research papers, policy briefs, concept briefs, etc.) to a high presentational standard
- j) Draft policy briefs, press releases, and blog entries as required
- k) Support the Communications Manager in developing DLP's social media presence, including establishing a strategy for use by DLP research fellows and contracted researchers
- l) Keep the DLP contact database updated and liaise with DLP's high-profile audience
- m) Work with associated organisations to coordinate online and off-line communications (e.g. CoSS marketing and events teams, DLP partners at UCL and La Trobe University, contracted researchers, etc.)
- n) Work with the database and technical manager to report on publication downloads, web statistics and traffic trends
- o) Prepare DLP-led events and forums, including producing discussion papers and promoting engagement via social media (e.g. live tweeting from events, promotion of DLP hashtags, etc.)
- p) Design DLP publication and communication templates and formats
- q) Write the DLP newsletter for its high-profile audience
- r) Any other duties as required by Dr Heather Marquette and Sarah O'Connor.

## **Person specification**

### ***Skills***

- Excellent communication skills in writing and on the telephone
- Ability to work without close supervision, to organise and prioritise work effectively and to meet deadlines
- Demonstrate high level of organisational skills to ensure processes run smoothly, and the ability to organise others
- Knowledge of international development
- Excellent attention to detail □ Experience in journalism, experience of preparing and presenting information to small groups of people, and experience of working in an international development context are desirable.

### ***Qualifications***

- Degree in a relevant subject (e.g. politics, communications, international development etc.) (or equivalent)
- Subject knowledge of international development and/or development politics is desirable.

### ***Experience***

- Knowledge of research communication skills and tools
- Experience with Microsoft Word and social media tools (e.g. Twitter, Facebook, LinkedIn)
- Experience in copy-editing to support high-quality presentation of research reports and other outputs
- Knowledge of UoB policies and procedures on research funding and communications
- Experience of working in a Higher Education environment, of organising events, of project management, and of website publishing are desirable.



## **RESEARCH ADMINISTRATOR**

### **Job summary**

This post will support the management of the Developmental Leadership Programme (DLP), the largest research programmes in the International Development Department/School of Government & Society. The research administrator will take responsibility for day-to-day project administration, progress tracking, and reporting, to enable the principal investigator and manager to focus on higher-level tasks and the development of new research opportunities.

### **Main Responsibilities**

- a) Financial, contract, and administrative transactions: Manage expense claims, check charges for accommodation etc are accurately invoiced and ensure claims for payment are ready for authorization. Arrange the purchase of publications and other miscellaneous items. Arrange casual work contracts for external specialists as directed.
- b) Project tracking and progress reporting: Create and maintain project schedules and maintain records of project activities. Produce project progress reports and year-end reports for external funders and for internal needs. Create reports from standard systems, generating queries from University research returns, including uploading relevant data onto the PURE system.
- c) Project team administrative support: Service project teams and steering group meetings by coordinating and distributing agendas, taking and circulating minutes, ensuring follow-up action is taken. Ensure that lists of key contacts are developed and maintained. Proofread work done by others.
- d) Project development support: assist in writing, costing and pricing proposals.
- e) Research support: Arrange for interview material to be transcribed or typed and collating associated documentation.
- f) Organising events: Make arrangements for DLP events including catering, accommodation, paperwork etc.
- g) Diary management and travel arrangements for key project lead academics as required.
- h) Other duties as required by DLP project leads

### **Person specification**

#### ***Knowledge:***

- Understands how to operate complex administrative & information systems related to the management of large research programmes, drawing on substantial experience.
- Subject knowledge of international development and/or development politics highly desirable.
- Ability to diagnose/resolve problems and suggest solutions in own area, whilst having regard to their impact outside own area.

#### ***Skills & experience:***

- Capable of carrying out the full range of practical administrative support activities including preparing progress reports, handling purchasing procedures, administration of casual workers, accounting/financial reporting, diary management, event organisation and support.
- Experience with Microsoft Word and Excel essential.

- Understanding of and experience with research management tools (e.g., Endnote, Papers, Mendeley) desirable.
- Requires sound appreciation of University procedures related to research programme management including approval processes and financial oversight as decisions taken may affect staff, internal or external clients and how they view the University.
- Experience in copy-editing to support high-quality presentation of research reports and other outputs.
- Excellent attention to detail.
- Knowledge of research communication skills and tools desirable

## Annex F: References

Acemoglu, D. & Robinson, J.A. (2012) *Why Nations Fail: The origins of power, prosperity and poverty*. London. Profile Books.

DFAT (2011) 'Governance Annual Thematic Performance Report: 2009-10', Canberra: DFAT, available at: <http://www.DFAT.gov.au/Publications/Documents/governance-atpr-2009-10.pdf>

Commission for Africa. (2005) *Our Common Interest. Report of the Commission for Africa*. London. Commission for Africa at: <http://www.commissionforafrica.info/2005-report>

Brady, D. and Spence, M. (2009) 'Leadership and politics: a perspective from the Growth Commission', *Oxford Review of Economic Policy*, 25(2) pp. 205-218

Carothers, T. and de Gramont, D. (2011) *Aiding Governance in Developing Countries: Progress Amid Uncertainties*. Washington DC: Carnegie Endowment for International Peace.

DFID (2010) *The Politics of Poverty: Elites, Citizens and States. Findings from ten years of DFID-funded research on Governance and Fragile States 2001-2010*, London: DFID.

DFID/FCO/MOD (2011) *Building Stability Overseas Strategy*, London: Department for International Development, the Foreign and Commonwealth Office and the Ministry of Defence.

Doube, C. & Dyer, S. (2011) 'Developmental Leadership Program: Mid-term Review Report December 2011'.

Unsworth, Sue (2009) 'What's politics got to do with it? Why Donors Find it So Hard to Come to Terms with Politics and Why It Matters', *Journal of International Development*, 21, pp. 883-894.

Wild, L. and Foresti, M. (2011) *Politics into Practice*. London, Overseas Development Institute.