

Department of Foreign Affairs and Trade

Developmental Leadership Program – Phase III

Head Grant Deed (Agreement number 74804)

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

University of Birmingham (**Recipient**)

Details

Parties

Name The Commonwealth of Australia represented by the Department of Foreign Affairs and Trade ABN 47 065 634 525
Short form name **DFAT**

Name The University of Birmingham RC000645 The University of Birmingham Edgbaston, Birmingham B15 2TT, United Kingdom
Short form name **Recipient**

Background

- A DFAT provides grant funding to support activities for overseas development assistance.
- B The Recipient will implement the Activities in accordance with this Deed.
- C DFAT and the Recipient have agreed to establish a mechanism by which DFAT may issue Grant Orders to the Recipient from time to time.
- D The Recipient has agreed to accept Grant Orders from DFAT (subject to the terms and conditions of the Grant Order being acceptable) and to implement the Activities that are funded in accordance with this Deed.

DFAT Complex Grant Agreement

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Deed

1. Definitions

1.1 Defined terms

In this Deed, except where the contrary intention is expressed, the following definitions are used:

Activity Proposal	a description of the Activity to be included in the Grant Order.
Grant Agreement	a grant agreement created under this Deed as described in Clause 2.3 .
Grant Order	an order for the implementation of an Activity, substantially in the form of Schedule 2 .
Notice	a notice, demand, consent approval or communication issued under this Deed. Notify has a corresponding meaning.
Party	DFAT and the Recipient. Parties has a corresponding meaning.
Standard Grant Conditions	the Standard Grant Conditions in Schedule 1

2. Formation of Grant Agreements

- 2.1 This Deed creates a mechanism by which DFAT and the Recipient may enter into Grant Agreements.
- 2.2 Either DFAT or the Recipient may initiate the creation of a Grant Agreement under this Deed by discussing a proposal with the other Party. DFAT may then ask the Recipient to prepare an Activity Proposal, if one has not already been prepared.
- 2.3 A separate Grant Agreement for the implementation of an Activity described in the Activity Proposal will be created when DFAT issues a Grant Order substantially in the form of **Schedule 2** and the Grant Order is countersigned by the Recipient. The terms and conditions of the Grant Agreement are the Standard Grant Conditions and the terms in the Grant Order itself.

3. Term

- 3.1 This Deed commences on 26 February 2019 and expires on 1 June 2022 (**Initial Term**).
- 3.2 The expiry of this Deed will not affect any Grant Agreements created prior to the Deed's expiry.

4. Termination

- 4.1 Either Party may terminate this Deed by Notifying the other Party at least 90 days before the date on which the termination will take effect.
- 4.2 The termination of this Deed will not affect any Grant Agreements created prior to the Deed's termination.

5. Notices and other communications

- 5.1 A Notice given under this Deed must be:
 - (a) in writing, in English and signed by a person duly authorised by the sending Party: and

- (b) hand delivered or sent by prepaid post or email to the recipient's address for Notices as specified in **Clause 5.2**, as varied by any Notice given by the recipient to the sender.

5.2 The Parties' address for Notices are:

DFAT

Kate Sullivan, Governance Section
Governance Growth and Fragility Branch | Development Policy Division

Postal address:

Department of Foreign Affairs and Trade – Australian Aid Program

R.G. Casey Building
John McEwen Crescent
Barton ACT 0221 Australia

Physical address:

255 London Circuit
Canberra ACT 2601 Australia

Email: kate.sullivan2@dfat.gov.au

Recipient

Director of Research Support Services

Postal address:

Finance Office

University of Birmingham
Edgbaston
Birmingham B152TT
United Kingdom

Physical address:

University of Birmingham
Edgbaston
Birmingham B152TT
United Kingdom

Email: I.R.Lyne@bham.ac.uk

5.3 **Clauses 36.2** (Effective on receipt) and **36.3**(Notices by email) of the Standard Grant Conditions apply to Notices given under this Deed.

Signing page


EXECUTED as a deed.

Signed, sealed and delivered for and on behalf of the **Commonwealth of Australia** represented by the Department of Foreign Affairs and Trade by its duly authorised delegate in the presence of

Mia Thornton.
Signature of witness

Mia Thornton
Name of witness (print)

26/02/19.
Date

←  ←
Signature of delegate

Nicholas Smith
Name of delegate (print)

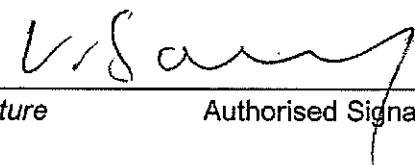
Asst EL2
Position of delegate and section (print)

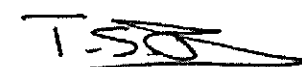
Executed as a Deed by

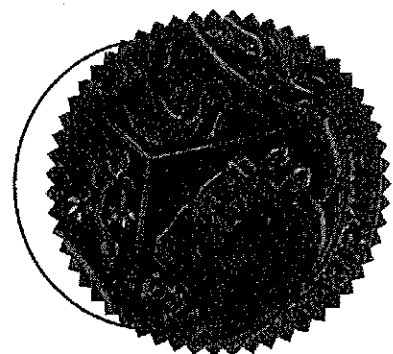
The University of Birmingham

by affixing hereto its common seal

in the presence of


Signature Authorised Signatory


Signature Authorised Signatory



Schedule 1 – Standard Grant Conditions

Interpretation

1. Definitions and interpretation

1.1 Defined terms

In this Agreement, except where the contrary intention is expressed, the following definitions are used:

Abandoned	not having carried on any work or activities on the Activity for sixty (60) consecutive days, except where relieved of the obligation to do so under this Agreement. Abandon has a corresponding meaning.
Activities	the Activity described in the Grant Order
Activity End Date	the date specified as the Activity End Date in the Grant Order
Activity Event	any promotional event conducted by the Recipient relating to the Activity, including the award of grant funding, the attainment of a Milestone or launch of the completed Activity.
Activity Proposal	the description of the Activity included in the Grant Order
Activity Start Date	the date specified as the Activity Start Date in the Grant Order.
Agreement	this Agreement which is a Deed between DFAT and the Recipient, as varied from time to time in accordance with Clause 37.4 , including the Schedules and any attachments.
Agreement Material	any Material created by, for or on behalf of the Recipient on or following the Commencement Date, for the purpose of or as a result of performing its obligations under this Agreement including any modifications that may be required under Clause 21.4(b) .
Agreement Period	the period from the Commencement Date to the date DFAT accepts the final report provided in accordance with the Grant Order.
Applicable Auditing Procedures	the internal and external auditing procedures in the rules and regulations applicable to the Recipient.
Application	the application submitted by, for or on behalf of the Recipient for grant funding in relation to the Activity.

Assets	<p>(a) items described in the Grant Order; and</p> <p>(b) any items of tangible property which are purchased, leased, created or otherwise brought into existence by, for or on behalf of the Recipient either wholly or in part with use of the Funds, not including Agreement Material.</p>
Asset Register	the register of Assets maintained in accordance with Clause 12.2(b).
Asset Threshold	means assets valued at over AUD2,000..
Australian Privacy Principles	the Australian Privacy Principles (APPs) as defined in the <i>Privacy Act 1988</i> (Cth).
Authority	any Commonwealth, State, Territory, local or foreign government or semi-governmental authority, court, administrative or other judicial body or tribunal, department, commission, public authority, agency, minister, statutory corporation or instrumentality, including the Partner Government.
Budget	the Budget (if any) set out in the Grant Order.
Business Day	a day that is a working day in the place where the act is to be performed or where the Notice is received.
Change in Control	<p>in relation to an entity, a change in the direct or indirect power or capacity of a person to:</p> <p>(a) determine the outcome of decisions about the financial and operating policies of the entity; or</p> <p>(b) control the membership of the board of directors of the entity, whether or not the power has statutory, legal or equitable force or is based on statutory, legal or equitable rights and whether or not it arises by means of trusts, agreements, arrangements, understandings, practices, the ownership of any interest in shares or stock of the entity or otherwise, not including a change in control resulting from ordinary course trading on a stock exchange in the shares of the entity.</p>
Commencement Date	the date on which the Grant Order is signed by DFAT
Commonwealth	the Commonwealth of Australia.
Confidential Information	<p>information that is by its nature confidential and:</p> <p>(a) is designated by a Party as confidential; or</p> <p>(b) a Party knows or ought to know is confidential,</p> <p>but does not include information which is or becomes public knowledge other than by breach of this Agreement or any other confidentiality obligation.</p>
DFAT	the Commonwealth represented by Department of Foreign Affairs and Trade

DFAT Material	any Material provided to the Recipient by DFAT, including the Material (if any) specified in the Grant Order
DFAT Representative	the person identified as DFAT's Representative in the Grant Order.
Depreciation	depreciation calculated for income tax purposes under, and in accordance with, the <i>Income Tax Assessment Act 1997</i> (Cth).
Force Majeure Event	has the meaning given in Clause 32.1.
Former DFAT Employee	a person who was previously employed by DFAT, whose employment ceased within the last nine (9) months and who was substantially involved in the design, preparation, appraisal, review, and or daily management of the Activity.
Fraudulent Activity, Fraud or Fraudulent	dishonestly obtaining a benefit, or causing a loss, by deception or other means, and includes incidents of attempted, alleged, suspected or detected fraud.
Funds	the grant funding paid by DFAT to the Recipient under this Agreement, as set out in the Grant Order, and any interest earned by, for or on behalf of the Recipient on that grant funding, proceeds from the disposal or write-off of any Asset and any exchange rate gains made on that grant funding by the Recipient.
General Conditions	Clauses 1 to 37 of this Agreement.
Grant Order	the Grant Order issued by DFAT in accordance with Clause 2.3 of the Head Grant Deed (DFAT Agreement No.74804), which created this Agreement
GST Law	has the same meaning as in the <i>A New Tax System (Goods and Services Tax) Act 1999</i> (Cth).
Independent Auditor	<p>a person who is:</p> <ul style="list-style-type: none"> (a) a certified financial professional registered under the <i>Corporations Act 2001</i> (Cth); or (b) an appropriately qualified member of the Institute of Chartered Accountants in Australia, of CPA Australia, of the Australian National Institute of Accountants or of an equivalent recognised foreign institution; and (c) is in no way linked or associated with the Project/Program or the Parties.
Insolvency Event	<p>in relation to an entity:</p> <ul style="list-style-type: none"> (a) the entity disposes of the whole or any part of its assets, operations or business other than in the ordinary course of business; (b) the entity ceases to carry on business;

	<p>(c) the entity ceases to be able to pay its debts as they become due;</p> <p>(d) proceedings are initiated with a view to obtaining an order for the winding up of the entity, or any person convenes a meeting for the purpose of considering or passing any resolution for the winding up of the entity;</p> <p>(e) the entity applies to come under, the entity receives a notice requiring it to show cause why it should not come under, an order has been made for the purpose of placing the entity under, or the entity otherwise comes under one of the forms of external administration referred to in Chapter 5 of the <i>Corporations Act 2001</i> (Cth) or Chapter 11 of the <i>Corporations (Aboriginal and Torres Strait Islander) Act 2006</i> (Cth) or equivalent provisions in State or Territory legislation or the laws of the Partner Country in relation to incorporated entities;</p> <p>(f) where the entity is a natural person, the entity is declared bankrupt or assigns his or her estate for the benefit of creditors;</p> <p>(g) where the entity is a partnership, any step is taken to dissolve that partnership; or</p> <p>(h) anything analogous to an event referred to in paragraph (d), (e), (f) or (g) occurs in relation to the entity.</p>
Intellectual Property Rights	<p>all intellectual property rights, including:</p> <p>(a) copyright, patents, trade marks (including goodwill in those marks), designs, trade secrets, know how, rights in circuit layouts, domain names and any right to have confidential information kept confidential;</p> <p>(b) any application or right to apply for registration of any of the rights referred to in paragraph (a); and</p> <p>(c) all rights of a similar nature to any of the rights in paragraphs (a) and (b) which may subsist in Australia or elsewhere,</p> <p>whether or not such rights are registered or capable of being registered.</p>
Law	<p>any applicable statute, regulation, by-law, ordinance or subordinate legislation in force from time to time in:</p> <p>(a) Australia, whether made by a State, Territory, the Commonwealth, or a local government;</p> <p>(b) the United Kingdom; and</p> <p>(c) the Partner Country.</p>
Material	<p>includes property, equipment, information, data, documentation or other material in whatever form, including any software, reports, specifications, business rules or requirements, user manuals, user guides, operations manuals, training materials and instructions, and the subject matter of any category of Intellectual Property Rights.</p>

Milestone	a milestone (if any) set out in the Grant Order.
Modify	to add to, enhance, reduce, change, replace, vary or improve. Modification and Modified have corresponding meanings.
Moral Rights	the right of integrity of authorship (that is, not to have a work subjected to derogatory treatment), the right of attribution of authorship of a work, and the right not to have authorship of a work falsely attributed, as defined in the <i>Copyright Act 1968</i> (Cth).
Notice	a notice, demand, consent, approval or communication issued under this Agreement.
Outcomes	the outcomes for the Activity, as set out in the Grant Order.
Partner Government	the country, excluding Australia and the United Kingdom, where any of the elements of the proposal are being delivered for or within.
Party	DFAT and the Recipient. Parties have a corresponding meaning.
Payment Claim	has the meaning given in Clause 8(a).
Payment Criteria	the payment criteria specified in the Grant Order.
Performance Improvement Plan	has the meaning given in Clause 15.b.
Performance Issue	has the meaning given in Clause 15(a)
Personal Information	has the same meaning as in the <i>Privacy Act 1988</i> (Cth).
Personnel	in relation to a Party, any employee, officer, agent, volunteer, subcontractor or professional adviser of that Party.
Pre-existing Recipient Material	Material developed by the Recipient that: <ul style="list-style-type: none"> (a) is in existence at the Commencement Date or is subsequently brought into existence other than as a result of the performance of the Agreement; and (b) is embodied in or attached to the Agreement Material, or otherwise necessarily related to the performance of the Activity.
Recipient	the University of Birmingham.
Recipient Representative	the person identified as the Recipient Representative in the Grant Order.
Related Agreement	any other agreement between the Parties under which DFAT provides grant funding to the Recipient, whether entered into before or after this Agreement.

Relevant List	the lists of terrorist organisations made under Division 102 of the <i>Criminal Code Act 1995</i> (Cth), posted at: http://www.nationalsecurity.gov.au/Listedterroristorganisations/Pages/default.aspx ; and organisations listed under the <i>Charter of the United Nations Act 1945</i> (Cth), posted at: http://dfat.gov.au/international-relations/security/sanctions/Pages/consolidated-list.aspx .
Reports	the reports to be provided under Clause 14.2(a) and any Performance Improvement Plan.
Schedules	the schedules (if any) to this Agreement.
Similar List	any similar list to the World Bank List maintained by any other donor of development funding.
Special Conditions	the terms and conditions (if any) set out in the Grant Order and clearly identified as "Special Conditions".
Third Party Material	any Material made available by the Recipient for the purpose of the Agreement Material or the Activity in which a third party holds Intellectual Property Rights.
Total Funds	the total amount of funding that DFAT will pay to the Recipient as set out in the Grant Order, as may be reduced in accordance with this Agreement.
Warranted Materials	(a) Pre-existing Recipient Material; (b) Third Party Material; and (c) Agreement Material.
World Bank List	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 .

1.2 Interpretation

In this Agreement, except where the contrary intention is expressed:

- (a) the singular includes the plural and vice versa, and a gender includes other genders;
- (b) another grammatical form of a defined word or expression has a corresponding meaning;
- (c) a reference to a clause, paragraph or schedule is to a clause or paragraph of, or schedule to, this Agreement;
- (d) a reference to a document or instrument includes the document or instrument as novated, altered, supplemented or replaced from time to time;
- (e) a reference to AUD, A\$, SA, dollar or \$ is to Australian currency;
- (f) a reference to time is to Canberra, Australia time;

- (g) a reference to a Party is to a Party to this Agreement, and a reference to a party to a document includes the party's executors, administrators, successors and permitted assignees and substitutes;
- (h) a reference to a person includes a natural person, partnership, body corporate, association, governmental or local authority or agency or other entity;
- (i) a reference to a statute, ordinance, code or other law includes regulations and other instruments under it and consolidations, amendments, re-enactments or replacements of any of them;
- (j) the meaning of general words is not limited by specific examples introduced by **including, for example** or similar expressions;
- (k) a rule of construction does not apply to the disadvantage of a Party because the Party was responsible for the preparation of this Head Agreement or any part of it;
- (l) if the last day on or by which an obligation must be performed or an event must occur is not a Business Day, the obligation must be performed or the event must occur on or by the next Business Day; and
- (m) headings are for ease of reference only and do not affect interpretation.

2. Priority of documents

- 2.1 If there is any inconsistency between any of the documents forming part of this Agreement, those documents will be interpreted in the following order of priority to the extent of the inconsistency:
- (a) Special Conditions;
 - (b) Grant Order (excluding any Special Conditions);
 - (c) any attachments to the Grant Order; and
 - (d) documents incorporated by reference in this Agreement.

3. Duration of Agreement

- 3.1 This Agreement begins on the Commencement Date and continues until the end of the Agreement Period unless terminated in accordance with **Clause 32** or **34**.

Activity

4. Activity

4.1 Undertaking the Activity

- (a) The Recipient must:
 - (i) undertake the Activity to achieve the Outcomes;
 - (ii) undertake the Activity diligently, effectively, safely and to a professional standard;
 - (iii) comply with all applicable Laws, guidelines and policies, including as set out in **Clause 16**;

- (iv) ensure that in its performance of the Activity, all of the Recipient's subcontractors and Personnel, while in the Partner Country, respect and comply with the Laws and regulations in force in the Partner Country;
 - (v) meet the completion dates for the Milestones, as specified in each Grant Order;
 - (vi) start the Activity by the Activity Start Dates and complete the Activity by the Activity End Date;
 - (vii) ensure that any statement or information given or made to DFAT by the Recipient from time to time under this Agreement (including information or statements contained in any Report) is true and correct (except where the information is provided to the Recipient by another person in which case the Recipient must ensure that it has made reasonable endeavours to verify the accuracy of the information);
 - (viii) take responsibility for the security of all of its Personnel and for taking-out and maintaining all appropriate insurances;
 - (ix) not, by act or omission, place DFAT in breach of its obligations under the *Work Health and Safety Act 2011* (Cth); and
 - (x) not engage a Former DFAT Employee in any capacity in connection with the Activities unless DFAT has approved the engagement.
- (b) The Recipient must advise DFAT immediately in writing of any difficulties or delays in implementation of the Activity.

4.2 Warranties

The Recipient represents and warrants that:

- (a) it has the legal right and power to enter into, perform and observe its obligations under this Agreement;
- (b) the execution, delivery and performance of this Agreement has been duly and validly authorised by the Recipient;
- (c) the statements and information in its Application are accurate and complete;
- (d) it and its subcontractors and Personnel have the necessary experience, skill, knowledge, expertise and competence to undertake the Activities and (where appropriate) will hold such licences, permits or registrations as are required under any Law to undertake the Activities, and are fit and proper people to be involved in an activity, which is funded by the Australian Government;
- (e) it is not subject to any judicial decision against it relating to employee entitlements (not including decisions under appeal) where it has not paid the claim;
- (f) it is not named as not complying with the *Workplace Gender Equality Act 2012* (Cth); and
- (g) if the Recipient is a trustee, it enters this Agreement personally and in its capacity as trustee and has the power to perform its obligations under this Agreement.

5. Variation to the Activity

- (a) If the Recipient wants to seek a variation to the Activity, including postponement of the completion date for a Milestone or change in an intended Outcome, the Recipient must submit a notice to DFAT in writing setting out:
 - (i) details of the proposed variation to the Activity or relevant Milestone completion date or change in an intended Outcome and reasons for the request;
 - (ii) in relation to requests to postpone a Milestone completion date, reasons why the Activity cannot be performed in such a way as to meet the given date; and
 - (iii) the impact the proposed variations will have on:
 - (A) effective delivery of the Activity;
 - (B) the Budget; and
 - (C) the Milestones.
- (b) DFAT will give the Recipient a written notice accepting or rejecting the Recipient's request.
- (c) Notwithstanding DFAT's acceptance of a proposed variation, it will not vary this Agreement or be binding unless and until a variation to this Agreement is made in accordance with **Clause 37.4 (Variation)**.

Funds

6. Use of Funds by Recipient

6.1 What Funds can be used for

- (a) The Recipient must spend the Funds only for the purposes of undertaking the Activity and purposes that are incidental to the Activity, including for the independent audit of acquittal reports as set out in the Grant Order.
- (b) The Recipient must spend the Funds only in accordance with the Budget.
- (c) Any increase or decrease in the amount allocated to an item of expenditure in the Budget that exceeds 10 per cent of the total value of the Grant cannot be made without DFAT's prior written approval.

6.2 When Funds cannot be used

- (a) Without limiting any other right or remedy of DFAT, DFAT may by written notice direct the Recipient not to spend Funds if the Recipient has not achieved a Milestone that was due to be achieved before the date of notification, or the Recipient is otherwise in breach of this Agreement.
- (b) The Recipient must not spend any Funds that it has not already legally committed for expenditure after it receives notice from DFAT under **Clause 6.2 (a)** unless and until DFAT notifies the Recipient otherwise.

6.3 Bank account

The Recipient must:

- (a) ensure that Funds are held in an account:
 - (i) in the Recipient's name;
 - (ii) held at an institution regulated by the *Banking Act 1959* (Cth) or a reputable banking institution approved or regulated by the relevant banking authority or regulator in the jurisdiction in which the Activity is performed; and
 - (iii) which the Recipient solely controls;
- (b) unless the Recipient is a sole director company, ensure that two signatories, who have the Recipient's authority to do so, are required to operate the account for all operations over £20,000 (twenty thousand pound sterling);
- (c) notify DFAT, prior to the receipt of any Funds, of details sufficient to identify the account;
- (d) on notification from DFAT, provide DFAT and the institution that provides the account with an authority for DFAT to obtain any details relating to the use of the account after the Recipient has redacted all transactions apart from those concerning DFAT funds;
- (e) if the account changes, notify DFAT within **14 days** after the change occurring, providing DFAT with details of the new account, and comply with **Clause 6.3(a)** to **6.3(d)** in respect of the new account; and
- (f) identify the receipt and expenditure of the Funds separately within the Recipient's accounting records so that at all times the Funds are identifiable, traceable and ascertainable.

7. Payment of Funds by DFAT

7.1 Payment

- (a) Subject to this Agreement (including satisfaction of the Payment Criteria) and sufficient grant funding being available to DFAT, DFAT will provide grant funding to the Recipient as set out in the Grant Order.

7.2 Suspension

- (a) Without limiting any other right or remedy of DFAT, DFAT may suspend payment of grant funding under this Agreement in whole or in part:
 - (i) if the Recipient has not provided a Report due to be provided before the date for payment, until the Report is provided;
 - (ii) if a Report provided by the Recipient is not acceptable to DFAT, until a replacement Report that is acceptable to DFAT is provided;
 - (iii) if the Recipient has not achieved a Milestone that was due to be achieved before the date for payment, until the Milestone is achieved;
 - (iv) if the Recipient has not otherwise undertaken a Milestone or the Activity to the satisfaction of DFAT, until the Recipient remedies its performance;
 - (v) if the Recipient has not spent Funds in accordance with the Agreement, until the Recipient has done so;
 - (vi) if the Recipient has not satisfied the Payment Criteria; or

- (vii) if the Recipient is in breach of this Agreement or a Related Agreement, until that breach is remedied.
- (b) Despite any suspension, the Recipient must continue to perform its obligations under this Agreement, unless otherwise agreed to in writing by the Parties.

7.3 Reduction

Without limiting any other right or remedy of DFAT, DFAT may reduce the amount of any instalment of grant funding under this Agreement:

- (a) if by the date for payment of the instalment the Recipient has not spent Funds in accordance with the Payment Criteria, by the amount that has not been spent; or
- (b) if Funds have been spent other than in accordance with the Grant Order, by the amount that was spent other than in accordance with this Grant Order.

7.4 Due date for payment

Subject to this **Clause 7** and DFAT being satisfied with:

- (a) the Recipient's performance of the Activity; and
- (b) the achievement of the Payment Criteria,

DFAT will endeavour make payment within **30 days** of receiving a correctly rendered invoice.

7.5 Incorrect invoices, under/over payment

If an invoice is found to have been rendered incorrectly after payment, any underpayment or overpayment will be recoverable by or from the Recipient, as the case may be.

7.6 Taxes

The Recipient must pay:

- (a) all stamp duty (including penalties and interest) assessed or payable in respect of the Activity; and
- (b) subject to **Clause 9** (GST and PAYG tax), all taxes, duties and government charges imposed or levied in Australia or overseas in connection with the performance of this Agreement.

8. Claims for payment

- (a) If the Recipient has achieved the Payment Criteria in respect of the applicable instalment, then not earlier than the due date specified in the Grant Order, the Recipient must submit to DFAT a claim for payment of the relevant instalment of the grant funding (**Payment Claim**).
- (b) A Payment Claim submitted under clause 8(a) must include a correctly rendered invoice to DFAT in accordance with the requirements specified in **Clause 9.4**.

9. GST and PAYG tax

9.1 Interpretation

Unless specifically defined otherwise in this Agreement, words and expressions used in this **Clause 9** which have a defined meaning in the GST Law have the same meaning as in the GST Law.

9.2 Consideration GST exclusive

Unless otherwise expressly stated, all prices or other sums payable or consideration to be provided under this Agreement are exclusive of GST.

9.3 GST gross up

Subject to this **Clause 9**, if GST is payable by a Party ('GST Supplier') on any supply made under the Grant Orders, the recipient of the supply ('GST Recipient') will pay to the GST Supplier an amount equal to the GST payable on the supply ('GST Amount'), in addition to and at the same time that the consideration for the supply is to be provided under this Agreement.

9.4 Tax invoice

- (a) The GST Supplier must deliver a tax invoice or an adjustment note to the GST Recipient before the GST Supplier is entitled to payment of a GST Amount under **Clause 9.3**.
- (b) The GST Recipient can withhold payment of the GST Amount payable under **Clause 9.3** until the GST Supplier provides a tax invoice or an adjustment note as appropriate.

9.5 Payment of GST Amount

- (a) DFAT will only pay a GST Amount in respect of any taxable supply made to it under this Agreement if:
 - (i) the Recipient has, in this Agreement or otherwise, provided its ABN and confirmed it is GST registered; and
 - (ii) DFAT has received a valid tax invoice from the Recipient for the taxable supply in accordance with **Clause 9.4**.
- (b) The Recipient has confirmed that it is not registered or required to be registered for GST. Therefore, DFAT will not pay any GST Amount to the Recipient.

9.6 GST adjustment event

If an adjustment event arises in respect of a taxable supply made by a GST Supplier under this Agreement the amount payable by the GST Recipient under **Clause 9.3** will be recalculated to reflect the adjustment event and a payment will be made by the GST Recipient to the GST Supplier or by the GST Supplier to the GST Recipient as the case requires.

9.7 Reimbursements

If a payment to a Party under this Agreement is a reimbursement or indemnification, calculated by reference to a loss, cost or expense incurred by that Party, then the payment will be reduced by the amount of any input tax credit to which that Party is entitled on the acquisition of the supply to which that loss, cost or expense relates.

9.8 PAYG withholding tax

- (a) If the Recipient's ABN is not stated in Grant Order, the Recipient must, on or before any payments are required to be made to it under this Agreement, either:

- (i) advise DFAT in writing of its ABN; or
- (ii) provide evidence to the reasonable satisfaction of DFAT as to why it is not required to obtain an ABN, which obligation may be discharged by providing a signed statement in the form approved by the Commissioner of Taxation from time to time and available at:

<https://www.ato.gov.au/forms/statement-by-a-supplier-not-quoting-an-abn/>

- (b) If the Recipient does not satisfy its obligations under **Clause 9.8(a)**, the Recipient acknowledges that DFAT may be required to deduct PAYG withholding tax in accordance with **Part 2-5** of the *Taxation Administration Act 1953* (Cth) from the relevant payments to the Recipient at the prescribed rate and remit that to the Australian Taxation Office.

10. Repayment

10.1 Misspent Funds

At any time, DFAT is entitled to recover from the Recipient the amount of any Funds which have been spent or used other than in accordance with this Agreement.

10.2 Unspent Funds

On the earlier of the Activity End Date, expiry or termination of this Agreement, DFAT is entitled to recover from the Recipient any Funds which have not been spent, or legally committed for expenditure by the Recipient in accordance with this Agreement and payable by the Recipient as a current liability (written evidence of which will be required).

10.3 Repayment notice

- (a) DFAT may give the Recipient a notice requiring the Recipient to pay to DFAT (or deal with as specified by DFAT) an amount which DFAT is entitled to recover under this **Clause 10** or **Clause 12** (Assets).
- (b) If DFAT gives a notice under **Clause 10.3(a)**, the Recipient must pay the amount specified in the notice in full (or deal with it as specified by DFAT) within 14 days after the date of the notice.

10.4 Interest

If the Recipient fails to make payment as required by **Clause 10.3**, the Recipient must pay DFAT interest:

- (a) at the general interest charge rate as defined in section 8AAD of the *Taxation Administration Act 1953* (Cth) on a daily compounding basis upon the amount specified in the notice as payable to DFAT; and
- (b) from the date the payment was due, for the period it remains unpaid.

10.5 DFAT's rights

This **Clause 10** does not limit any other right or remedy of DFAT.

11. Procurement

- (a) If the Funds are being used to procure goods or services, the Recipient must implement procedures so that procurement is undertaken in a manner consistent with the principles of 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:

- (i) encouraging competition by ensuring non-discrimination in procurement and using competitive procurement methods;
 - (ii) promoting use of resources in an efficient, effective, economical and ethical manner; and
 - (iii) making decisions in an accountable and transparent manner.
- (b) If the Funds are being used to procure goods, the Recipient must ensure in its procurement of goods that the goods to be procured:
- (i) are of a merchantable quality;
 - (ii) are free from defects in design, materials and workmanship;
 - (iii) are fit for purpose;
 - (iv) have good and marketable title and are free from encumbrances; and
 - (v) are delivered in good order and condition and in accordance with the Milestones.
- (c) If the Funds are being used to procure services, the Recipient must ensure in its procurement of services that the services to be procured are performed:
- (i) diligently, effectively, safely and to a professional standard; and
 - (ii) with the skill and care normally exercised by similarly qualified and competent persons in the performance of comparable work.

12. Assets

12.1 Ownership

- (a) The Recipient must not use the Funds to acquire any Assets, apart from those Assets specified in the Grant Order.
- (b) Subject to the requirements of this **Clause 12** and the terms of any lease, the Recipient will own the Assets unless otherwise specified in the Grant Order.

12.2 Use and dealings

- (a) During the Agreement Period, the Recipient must use any Asset only for the purposes of the Activity, or other purposes consistent with the Outcomes approved by DFAT.
- (b) During the Agreement Period, the Recipient must:
 - (i) obtain good title to all Assets (other than Assets which the Recipient leases);
 - (ii) hold all Assets securely and safeguard them against Fraud, theft, loss, damage, or unauthorised use;
 - (iii) maintain all Assets in good working order;
 - (iv) maintain all appropriate insurances in respect of any Assets;

- (v) if required by Law, maintain registration and licensing of all Assets;
 - (vi) be fully responsible for, and bear all risks relating to, the use or disposal of all Assets; and
 - (vii) maintain an Asset Register containing the details as described in the Grant Orders and provide a copy of the Assets Register to DFAT on request.
- (c) The Recipient must reconcile, the Asset Register with the Assets at least on each anniversary of the Activity Start Date and include the results of that reconciliation in the annual report to be provided to DFAT.
 - (d) The Asset Register and other relevant documents such as import papers and manufacturers' warranties relating to the Assets must be available for audit or review as required by DFAT.

12.3 Sale or disposal

- (a) The Recipient must not:
 - (i) dispose (including any write-offs) of Assets unless:
 - (A) the disposal is conducted on an arms-length basis; and
 - (B) any conflicts of interest relevant to the disposal are disclosed to DFAT pursuant to **Clause 30** (Conflict of Interest).
- (b) If the Recipient sells or otherwise disposes of an Asset during the Agreement Period, the proceeds of any sale or disposal of the Assets forms part of the Funds.
- (c) If the Recipient sells or otherwise disposes of an Asset during the Agreement Period, DFAT is entitled, at its discretion, to recover from the Recipient:
 - (i) the value of the Asset obtained from the sale or disposal of the Asset; or
 - (ii) the market value of the Asset.

12.4 Termination

On termination or expiry of any of this Agreement, DFAT may require the Recipient to use, deal with or transfer any Asset as DFAT directs in writing.

12.5 Lost or damaged Assets

If any Asset is stolen, lost, damaged or destroyed, the Recipient must:

- (a) reinstate the Asset (including using the proceeds of insurance) without using any Funds (unless DFAT's prior written consent is obtained to do otherwise);
- (b) notify DFAT in writing if the Asset is valued above the Asset Threshold at the time of purchase; and
- (c) this **Clause 12** continues to apply to the reinstated Asset.

Grant administration

13. Grant administration – Not Used

Performance and compliance

14. Monitoring progress

14.1 Evaluation

- (a) DFAT may at any time undertake, or engage an expert to undertake a review or evaluation of the Activity.
- (b) In relation to any review or evaluation of any Activity, the Recipient must within 14 days after a request by DFAT (or any expert):
 - (i) provide all reasonable assistance to DFAT (and any expert);
 - (ii) respond to all reasonable requests from DFAT (and any expert); and
 - (iii) provide any information reasonably required by DFAT (and any expert).

15. Not Used

- (i)

16. Compliance with Laws

- (a) The Recipient must, and must ensure that its subcontractors and Personnel, have regard to and comply with, relevant and applicable Laws, guidelines and policies, including those in Australia, in the United Kingdom and in the Partner Country.
- (b) The Recipient must ensure that individuals, persons, entities or organisations involved in implementing the Activity, including itself and its Personnel, are not:
 - (i) directly or indirectly engaged in, preparing, planning, assisting in or fostering the doing of a terrorist act;
 - (ii) listed on the Criminal Code Act List;
 - (iii) listed on the Sanctions List;
 - (iv) listed on the World Bank List;
 - (v) acting on behalf of, or at the direction of, individuals, persons, entities or organisations mentioned in subsections (i) to (iv); and/or
 - (vi) owned or controlled by individuals, persons, entities or organisations mentioned in subsections (i) to (iv).
- (c) The Recipient must ensure that none of the Funds provided under this Agreement (whether through a subcontract or not) are used in any way to directly or indirectly provide support, resources or assets to individuals, persons, entities or organisations:
 - (i) directly or indirectly engaged in, preparing, planning, assisting in or fostering the doing of a terrorist act;

- (ii) listed on the Criminal Code Act List;
 - (iii) listed on the Sanctions List;
 - (iv) listed on the World Bank List;
 - (v) acting on behalf of, or at the direction of, individuals, persons, entities or organisations mentioned in subsections (i) to (iv); and/or
 - (vi) owned or controlled by individuals, persons, entities or organisations mentioned in subsections (i) to (iv).
- (d) If, during the Agreement Period, the Recipient becomes aware of any link whatsoever between it or its Personnel and any individual, person, entity or organisation:
- (i) directly or indirectly engaged in, preparing, planning, assisting in or fostering the doing of a terrorist act;
 - (ii) listed on the Criminal Code Act List;
 - (iii) listed on the Sanctions List;
 - (iv) listed on the World Bank List;
 - (v) acting on behalf of, or at the direction of, individuals, persons, entities or organisations mentioned in subsections (i) to (iv); and/or
 - (vi) owned or controlled by individuals, persons, entities or organisations mentioned in subsections (i) to (iv).

it must inform DFAT immediately.

- (e) If, during the Agreement Period, the Recipient becomes aware that it, any of its Personnel or any individual, person, entity or organisation involved in implementing the Activity or otherwise involved in the Activity is:
- (i) directly or indirectly engaged in, preparing, planning, assisting in or fostering the doing of a terrorist act;
 - (ii) listed on the Criminal Code Act List;
 - (iii) listed on the Sanctions List;
 - (iv) listed on a World Bank List or subject to any proceedings or an informal process which could lead to them becoming so listed;
 - (v) temporarily suspended from tendering for World Bank grants by the World Bank pending the outcome of a sanctions process or from tendering by a donor of development funding other than the World Bank;
 - (vi) the subject of an investigation (whether formal or informal) by the World Bank or another donor of development funding;
 - (vii) acting on behalf of, or at the direction of, individuals, persons, entities or organisations mentioned in subsections (i) to (vi); and/or
 - (viii) owned or controlled by individuals, persons, entities or organisations mentioned in subsections (i) to (vi),

the Recipient must inform DFAT immediately.

- (f) If, during the Agreement Period, the Recipient discovers that any or all of the Funds provided under this Agreement (whether through a subcontract or not) have been used in any way to directly or indirectly provide support, resources or assets to an individual, person, entity or organisation:
- (i) directly or indirectly engaged in, preparing, planning, assisting in or fostering the doing of a terrorist act;
 - (ii) listed on the Criminal Code Act List;
 - (iii) listed on the Sanctions List;
 - (iv) listed on the World Bank List;
 - (v) acting on behalf of, or at the direction of, individuals, persons, entities or organisations mentioned in subsections (i) to (iv); and/or
 - (vi) owned or controlled by individuals, persons, entities or organisations mentioned in subsections (i) to (iv).

it must inform DFAT immediately.

- (g) The Recipient must have regard to the Australian Government guidance "*Safeguarding your organisation against terrorism financing: a guidance for non-profit organisations*", available at http://www.nationalsecurity.gov.au/agd/WWW/nationalsecurity.nsf/Page/What_Governments_are_doing_Risk_of_Misuse_-_Terrorism_Financing.
- (h) The Recipient warrants that the Recipient and its subcontractors and Personnel have not made or caused to be made, or received or sought 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.
- (i) The Recipient must not, and must ensure that its subcontractors and Personnel do not:
- (i) make or cause to be made, or 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 Grant Order; or
 - (ii) bribe public officials.

17. Child protection

- (a) The Recipient must comply, and must ensure that its subcontractors and Personnel comply with DFAT's *Child Protection Policy*, accessible at <http://www.dfat.gov.au/childprotection/>.
- (b) DFAT may conduct a review of the Recipient's compliance with DFAT's *Child Protection Policy* referred to in **sub-clause 17(a)**. DFAT will give reasonable notice to the Recipient and the Recipient must participate co-operatively in any such review.

18. Compliance with DFAT policies

In connection with the subject matter of this Agreement:

- (a) Insofar as the Recipient is governed by equivalent requirements under either UK law or its own internal legislation the Recipient must, and must ensure that its subcontractors and Personnel comply with all DFAT policies as listed on DFAT's website. <http://www.dfat.gov.au>. At the time of signing the relevant link was <https://dfat.gov.au/about-us/publications/Pages/list-of-laws-rules-guidelines-codes-and-policies-for-contractors-undertaking-aid-activities-for-dfat.aspx>
- (b) 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://www.dfat.gov.au>. At the time of signing the relevant link was <https://dfat.gov.au/about-us/publications/Pages/list-of-laws-rules-guidelines-codes-and-policies-for-contractors-undertaking-aid-activities-for-dfat.aspx> This list is not exhaustive and is provided for information only.
- (c) The provision of the list referenced at **sub-clause 18(b)** 18(b) above does not relieve the Recipient from complying with the obligations contained in this **Clause 18**.
- (d) The Recipient must have regard to and comply with the Statement of International Development Practice Principles in **Schedule 3**.

19. Acknowledgement and publicity

The Recipient must, in all publications, promotional and advertising materials, public announcements, events and activities in relation to the Activity, or any products, processes or inventions developed as a result of it, acknowledge the financial and other support received from DFAT, in the manner specified in the DFAT publication 'Visibility and Recognition: Guidelines for NGOs' (available on DFAT's website) or otherwise approved by DFAT prior to its use.

19.1 DFAT rights

- (a) DFAT reserves the right to publicise and report on the awarding of the grant funding under this Agreement, and may do this by, amongst other means, including the Recipient's name, any subcontractor's name, the amount of the Total Funds and a brief description of the Activity on websites and in media releases, general announcements about the DFAT's grant programs and annual reports.
- (b) Without limiting any other right of DFAT, DFAT may disclose information about this Agreement, the Recipient or the Activity to any State or Territory government of Australia or a Partner Government.

19.2 Announcements

- (a) The Recipient must, before making a public announcement in connection with this Agreement or any transaction contemplated by it, provide DFAT with **21 days** prior written notice, except if required by Law or a regulatory body (including a relevant stock exchange).
- (b) If the Recipient is required by Law or a regulatory body to make a public announcement in connection with this Agreement or any transaction contemplated

by this Agreement, the Recipient must, to the extent practicable, first consult with and take into account the reasonable requirements of DFAT.

19.3 Activity Events

- (a) The Recipient must not undertake, or participate in any way in, any Activity Event, without providing DFAT with 21 days prior written notice.
- (b) The Recipient must:
 - (i) notify DFAT of a proposed Activity Event at least **21 days** before the proposed date for the Activity Event and submit all details of the Activity Event to DFAT in the format required by DFAT;
 - (ii) invite a representative of DFAT to the Activity Event; and
 - (iii) if required by DFAT, provide the DFAT representative an opportunity to speak at the Activity Event.
- (c) The Recipient must notify DFAT of any change to Activity Event details as soon as possible.

Subcontracting

20. Subcontractors

- (a) The Recipient must notify DFAT of the details of its subcontractors on request from DFAT.
- (b) The Recipient must obtain any subcontractor's express consent for the disclosure to DFAT of the subcontractor's identity (and their Personal Information, if the subcontractor is an individual). The consent obtained must extend to allowing DFAT to disclose for reporting purposes the subcontractor's identity and the existence and nature of the subcontract.
- (c) The Recipient must not enter into a subcontract with a subcontractor named as an organisation that has not complied with the *Workplace Gender Equality Act 2012* (Cth).
- (d) The Recipient must ensure that any subcontractor complies with all Laws and:
 - (i) **Clause 16** (Compliance with Laws);
 - (ii) **Clause 17** (Child protection);
 - (iii) **Clause 18** (Compliance with DFAT policies);
 - (iv) **Clause 23** (Confidentiality);
 - (v) **Clause 29** (Insurance);
 - (vi) **Clause 24** (Protection of Personal Information);
 - (vii) **Clause 30** (Conflict of interest);
 - (viii) **Clause 25** (Records, books and accounts);
 - (ix) **Clause 26** (Audit and access); and
 - (x) **Clause 31** (Fraud).

- (e) The Recipient is fully responsible for:
 - (i) undertaking the Activity and performing this Agreement even if the Recipient subcontracts any aspect of the Activity; and
 - (ii) the performance of all of the Recipient's obligations under this Agreement. and will not be relieved of that responsibility because of any:
 - (iii) involvement by DFAT or any third party in the performance of the Activity; or
 - (iv) payment of any Funds.

Information management

21. Intellectual Property Rights

21.1 Pre-existing Recipient Material and Third Party Material

- (a) This **Clause 21** does not affect the ownership of the Intellectual Property Rights in any DFAT Material, Pre-existing Recipient Material or Third Party Material.
- (b) The Recipient must obtain all necessary copyright and other Intellectual Property Right permissions before making any Pre-Existing Recipient Material or Third Party Material available as a part of the Agreement Material or Activity.

21.2 Recipient ownership of Intellectual Property Rights in Agreement Material

- (a) All Intellectual Property Rights in the Agreement Material vest in the Recipient on creation.
- (b) The Recipient grants to, or must obtain for, DFAT, a perpetual, irrevocable, world-wide, royalty free, non-exclusive licence (including the right to sublicense) to use, reproduce, adapt, Modify, distribute and communicate:
 - (i) the Agreement Material; and
 - (ii) any Third Party Material and Pre-Existing Recipient Material,required to receive the full benefit of the Agreement Material and the Activity, and for any other DFAT or Commonwealth purpose.
- (c) To the extent that the Recipient needs to use any of the DFAT Material for the purpose of performing its obligations under this Agreement, DFAT grants to the Recipient for the Agreement Period, subject to any direction by DFAT, a revocable, world-wide, royalty-free, non-exclusive, non-transferable licence (including the right to sublicense) to use, reproduce, adapt, Modify and communicate such Material solely for the purpose of performing the Activity.
- (d) In the event of using any interviews with DFAT staff for subsequent research, the Recipient seek approval from DFAT prior to this being used.

21.3 Warranty

The Recipient warrants that:

- (a) the Warranted Materials and DFAT's use of the Warranted Materials will not infringe the Intellectual Property Rights of any person; and

- (b) it has the necessary rights to vest the Intellectual Property Rights and grant the licences as provided for in this **Clause 21**.

21.4 Remedy for breach of warranty

If someone claims, or DFAT reasonably believes that someone is likely to claim, that all or part of the Warranted Materials infringe their Intellectual Property Rights, the Recipient must, in addition to the indemnity under clause 28 and to any other rights that DFAT may have against it, promptly, at the Recipient's expense:

- (a) use its best efforts to secure the rights for DFAT to continue to use the affected Warranted Materials free of any claim or liability for infringement; or
- (b) replace or modify the affected Warranted Materials so that the Warranted Materials or the use of them does not infringe the Intellectual Property Rights of any other person without any degradation of the performance or quality of the affected Warranted Materials.

22. Moral Rights

22.1 Obtaining consents

To the extent permitted by applicable Laws and for the benefit of DFAT, the Recipient must use its best endeavours to ensure that:

- (a) each of the Personnel used by the Recipient in the production or creation of the Agreement Material gives, in a form acceptable to DFAT; and
- (b) any holder of Moral Rights in Third Party Material included in the Agreement Material gives,

genuine consent in writing, to the use of the Agreement Material for the Specified Acts, even if such use would otherwise be an infringement of their Moral Rights.

22.2 Specified Acts

- (a) In this **Clause 22**, **Specified Acts** means:
 - (i) failing to attribute or falsely attributing the authorship of any Agreement Material, or any content in the Agreement Material (including literary, dramatic, artistic works and cinematograph films within the meaning of the *Copyright Act 1968* (Cth));
 - (ii) materially altering the style, format, colours, content or layout of the Agreement Material and dealing in any way with the altered Agreement Material;
 - (iii) reproducing, communicating, adapting, publishing or exhibiting any Agreement Material; and
 - (iv) adding any additional content or information to the Agreement Material.
- (b) For the purposes of this **Clause 22**, Agreement Material includes any Pre-existing Recipient Material and Third Party Material to the extent that it is included in, forms part of or is attached to the Agreement Material.

23. Confidentiality

23.1 Prohibition on disclosure

- (a) Subject to **sub-clause 23.2** below, a Party must not, without the prior written consent of the other Party, disclose any Confidential Information of the other Party to a third party.
- (b) In giving written consent to the disclosure of Confidential Information, a Party may impose such conditions as it thinks fit, and the other Party agrees to comply with these conditions.

23.2 Exceptions to obligations

The obligations on the Parties under **sub-clause 23.1** above will not be taken to have been breached to the extent that Recipient Confidential Information:

- (a) is disclosed by a Party to its Personnel or advisers solely in order to comply with obligations, or to exercise rights, under this Agreement;
- (b) is disclosed to a Party's internal management personnel, solely to enable effective management or auditing of activities related to this Agreement;
- (c) is disclosed by DFAT, to the responsible Minister, a House or a Committee of the Parliament of the Commonwealth of Australia;
- (d) is shared by DFAT within DFAT, or with another Commonwealth agency, State or Territory Government or Partner Government, where this serves the Commonwealth's legitimate interests, the State's or Territory's legitimate interests or the Partner Government's legitimate interests;
- (e) is authorised or required by Law to be disclosed or required in connection with legal proceedings; or
- (f) is in the public domain otherwise than due to a breach of this Agreement.

23.3 Transfer of data

The Recipient must not transfer, transmit or disclose Confidential Information of DFAT and Personal Information or allow Confidential Information of DFAT and Personal Information to be taken, transferred, transmitted, accessed or disclosed outside Australia, except to the Partner Country, or allow parties outside Australia to have access to it, without the prior approval of DFAT.

23.4 Return of information

The Recipient must use any Confidential Information of DFAT held, acquired or which the Recipient may have had access to in connection with this Agreement only for the purposes of fulfilling its obligations under this Agreement. Upon expiry or earlier termination of this Agreement the Recipient must either destroy or deliver to DFAT all Confidential Information of DFAT, as required by DFAT.

24. Protection of Personal Information

- 24.1 The Recipient to the extent it deals with personal data for the purpose of conducting the Activity, agrees to comply with the Data Protection Act 2018 (UK) and any applicable law governing privacy or data protection in the United Kingdom. The Recipient agrees to indemnify DFAT in respect of any loss, liability or expense suffered or incurred by DFAT

which arises directly or indirectly from a breach by the Recipient of any obligations referred to in this clause.

24.2 Disclosure:

Subject to **Clause 23** (Confidentiality) and this **Clause 24**, the Recipient acknowledges that the Commonwealth of Australia may disclose or publish details about this Agreement or Activity. The details may include (but are not limited to) organisation name, the value of the Activity's Funding, and the location where the Activity is being delivered or performed.

25. Records, books and accounts

25.1 Recipient to keep records, books and accounts

The Recipient must:

- (a) at all times maintain, and must ensure that its subcontractors maintain, full, true, separate and up-to-date records, books and accounts in relation to the Activity, Funds and this Agreement, including operational records, financial records and records in relation to the Funds. Such records, books and accounts must, without limitation:
 - (i) record all operational activities in relation to the Activity, including to enable the prevention, detection and investigation of Fraud as required by **Clause 31**(Fraud and Anti-Corruption);
 - (ii) record all receipts and expenses related to the Activity, including those involving foreign exchange transactions;
 - (iii) enable all receipts and expenses related to the Activity to be identified and reported in accordance with this Agreement;
 - (iv) enable the amounts payable by DFAT under this Agreement to be determined;
 - (v) be kept in a manner that permits them to be conveniently and properly audited or reviewed;
 - (vi) enable the extraction of all information relevant to this Agreement; and
- (b) retain and require its subcontractors to retain for a period of seven years after the expiry or termination of this Agreement, all records, books and accounts relating to the Activity, the Funds and this Agreement.

25.2 Costs

The Recipient must bear its own costs of complying with this **Clause 25**.

25.3 Survival

This **Clause 25** applies for the Agreement Period and for a period of seven years from the expiry or termination of this Agreement.

26. Audit and access

26.1 Right to conduct audits or reviews

- (a) DFAT or a representative may conduct audits or reviews relevant to the performance of the Recipient's obligations under this Agreement. Audits or reviews may be conducted of:
 - (i) the use of the Funds;
 - (ii) the Assets;
 - (iii) the Recipient's operational practices and procedures as they relate to this Agreement;
 - (iv) the accuracy of the Recipient's invoices and Reports;
 - (v) the Recipient's compliance with its confidentiality and privacy obligations;
 - (vi) the Recipient's compliance with Laws, guidelines and policies including the policies listed at **Clause 16** (Compliance with Laws) and **18** (Compliance with DFAT Policies);
 - (vii) the Recipient's compliance with its *Child Protection Policy* obligations under **Clause 17** (Child Protection);
 - (viii) the Recipient's compliance with its Fraud control strategy and policies including Fraud prevention, reporting and investigation obligations;
 - (ix) Material (including records, books and accounts) in the possession of the Recipient relevant to this Agreement; and
 - (x) any other matters determined by DFAT to be relevant to the Activity or this Agreement.
- (b) If DFAT decides to conduct or commission audits or reviews, it will give reasonable notice to the Recipient. The Recipient must participate co-operatively in any audit or review conducted by DFAT or a representative.

26.2 Access by DFAT

- (a) DFAT may, at reasonable times and on giving reasonable notice to the Recipient:
 - (i) access the premises of the Recipient and premises where the Activity is being undertaken to the extent relevant to the performance of this Agreement;
 - (ii) require the provision by the Recipient, its Personnel or subcontractors of records and information in a data format and storage medium accessible by DFAT by use of DFAT's existing computer hardware and software;
 - (iii) inspect and copy documentation, records, books and accounts, however stored, in the custody or under the control of the Recipient, its Personnel or subcontractors; and
 - (iv) require assistance in respect of any inquiry into or concerning the Activity or this Agreement. For these purposes an inquiry includes any administrative or statutory review, audit or inquiry (whether within or external to DFAT), any request for information directed to DFAT, and any inquiry conducted by Parliament or any Parliamentary committee.

- (b) The Recipient must provide access to its computer hardware and software to the extent necessary for DFAT to exercise its rights under this **Clause 26**, and provide DFAT with any reasonable assistance requested by DFAT to use that hardware and software.

26.3 Conduct of audit and access

DFAT must use reasonable endeavours to ensure that:

- (a) audits or reviews performed pursuant to **sub-clause 26.1** above; and
 - (b) the exercise of the general rights granted by **sub-clause 26.2** by DFAT,
- do not unreasonably delay or disrupt in any material respect the Recipient's performance of its obligations under this Agreement or its business.

26.4 Costs

Unless otherwise agreed in writing, each Party must bear its own costs of any reviews and/or audits.

26.5 DFAT officers and experts

The rights of DFAT under **sub-clause 26.2(a)(i)** to **26.2(a)(iii)** apply equally to:

- (a) the Auditor-General, Information Commissioner, Privacy Commissioner and Freedom of Information Commissioner and their delegates, for the purpose of performing their statutory functions or powers; and
- (b) any expert engaged for the purposes of **Clause 14.1** (Evaluation).

26.6 Recipient to comply with DFAT officers' requirements

The Recipient must do all things necessary to comply with the Auditor-General's, Information Commissioner's, Privacy Commissioner's or Freedom of Information Commissioner's or his or her delegate's requirements, notified under **sub-clause 26.2** above, provided such requirements are legally enforceable and within the power of the Auditor-General, Information Commissioner, Privacy Commissioner or Freedom of Information Commissioner, or his or her respective delegate.

26.7 No reduction in responsibility

The requirement for, and participation in, audits or reviews does not in any way reduce the Recipient's responsibility to perform its obligations in accordance with this Agreement.

26.8 Subcontractor requirements

The Recipient must ensure that any subcontract entered into for the purpose of this Agreement contains an equivalent clause granting the rights specified in this **Clause 26**.

26.9 No restriction

Nothing in this Agreement reduces, limits or restricts in any way any function, power, right or entitlement of the Auditor-General, Information Commissioner, Privacy Commissioner or Freedom of Information Commissioner, other Commonwealth Commissioner or their delegates. The rights of DFAT under this Agreement are in addition to any other power, right or entitlement of the Auditor-General, Information Commissioner, Privacy Commissioner or Freedom of Information Commissioner or their delegates.

26.10 Survival

This **Clause 26** applies for the Agreement Period and for a period of seven years from the expiry or termination of this Agreement.

Risk management

27. Risk management

- (a) The Recipient is responsible for, accepts must manage all the risks of and associated with the Activity.
- (b) The Recipient must maintain appropriate risk mitigation measures which may include preparing, maintaining and using risk registers.

28. Indemnity

- (a) The Recipient at all times indemnifies and holds harmless DFAT, its officers and employees (referred to in this **Clause 28** as "**those indemnified**") from and against any loss or liability, including:
 - (i) loss of, or damage to, property of DFAT;
 - (ii) claims by any person in respect of personal injury or death;
 - (iii) claims by any person in respect of loss of, or damage to, any property; and
 - (iv) costs and expenses, including the costs of defending or settling any claim referred to in **Clause 28** (a)(ii) or clause 28(a)(iii),
arising out of or as a consequence of:
 - (v) the unlawful, negligent or wilfully wrongful, act or omission of the Recipient, its subcontractors or Personnel in the conduct of the Activity;
 - (vi) the Warranted Materials (including the use of the Warranted Materials by DFAT or its Personnel) infringing or allegedly infringing the Intellectual Property Rights of any person;
 - (vii) a breach of **Clause 23** (Confidentiality) or **Clause 24** (Protection of Personal Information); or
 - (viii) without limiting the preceding paragraphs, any breach of this Agreement by the Recipient, its Personnel or subcontractors.
- (b) The Recipient's liability to indemnify those indemnified under **Clause 28** (a) will be reduced proportionally to the extent that any negligent act or omission of those indemnified contributed to the loss.

29. Insurance

29.1 Obligation to maintain insurance

- (a) In connection with the Activity, the Recipient must have and maintain for the Agreement Period, valid and enforceable appropriate insurance policies relevant to the performance of the Activity including where appropriate, the amount of any professional indemnity insurance specified in the Grant Order.
- (b) If it is specified in the Grant Order that the Recipient is required to have and maintain professional indemnity insurance, the Recipient must continue to maintain such insurance for a period of seven years following the expiry or termination of this Agreement.

29.2 Confirmation of insurance

The Recipient must, on request by DFAT, provide current relevant confirmation of insurance documentation for example, a certificate of currency from its insurers or insurance brokers certifying that it has insurance as required by **Clause 29.1**.

30. Conflict of interest

30.1 Warranty

The Recipient warrants that, to the best of its knowledge after making diligent inquiry, at the date of signing this Agreement, no conflict of interest exists or is likely to arise in the performance of its obligations under this Agreement.

30.2 Notification of a conflict of interest

If, during the Activity a conflict of interest arises, or appears likely to arise, the Recipient must:

- (a) notify DFAT immediately in writing;
- (b) make full disclosure of all relevant information relating to the conflict; and
- (c) take such steps as DFAT requires to resolve or otherwise deal with the conflict.

31. Fraud

31.1 Warranty

- (a) The Recipient warrants that, to the best of its knowledge, at the date of signing this Agreement it has disclosed all current allegations or investigations in relation to Fraudulent Activity to DFAT.

31.2 Prevention of Fraud

- (a) The Recipient must not, and must ensure that its subcontractors and Personnel do not, engage in any Fraudulent Activity.
- (b) The Recipient is responsible for preventing and detecting Fraud.
- (c) Within one month following the Commencement Date, the Recipient must prepare a fraud risk assessment and zero tolerance fraud control strategy for the Activity. The risk assessment and strategy must contain appropriate fraud prevention, detection, investigation and reporting processes and procedures that comply with the Commonwealth Fraud Control Framework (<http://www.ag.gov.au>). The Recipient's strategies must include:

- (i) preparation and implementation of a Fraud control strategy, policy and relevant procedures applicable to the Recipient, its subcontractors and Personnel;
- (ii) development of guidance on anti-corruption and bribery and delivery of materials and training to the Recipient's subcontractors and Personnel;
- (iii) provision of mandatory fraud control awareness training to all of the Recipient's subcontractors and Personnel and implementation of procedures to track attendance; and
- (iv) development and implementation of procedures to record and maintain books, accounts and records relating to the Activity that are required to be kept in accordance with **Clause 25** (Records, books and accounts).

31.3 Investigation of Fraud

- (a) The Recipient must report in writing within **five Business Days** to DFAT any suspicion or detection of Fraudulent Activity involving the Activity including any Fraudulent Activity involving or relating to the Recipient's subcontractors and Personnel.
- (b) In the event of a Fraud and in consultation with DFAT, the Recipient must develop and implement a strategy to investigate the Fraud, based on the principles set out in the Australian Government Investigations Standards (<http://www.ag.gov.au/RightsAndProtections/FOI/Pages/Freedomofinformationdisclosurelog/AustralianGovernmentInvestigationStandards2011andAustralianGovernmentInvestigationsStandards2003.aspx>). The Recipient must undertake the investigation at the Recipient's cost.
- (c) In addition to the investigation carried out by the Recipient under **sub-clause 31.3 (b)** above, DFAT or its nominee may conduct its own investigation. If DFAT exercises its rights under this clause, the Recipient must provide all reasonable assistance that may be required at the Recipient's sole expense.
- (d) Following the conclusion of an investigation (whether by the Recipient or by DFAT) if the investigation finds that:
 - (i) the Recipient, its subcontractors or Personnel have acted in a Fraudulent manner, the Recipient must:
 - (A) where money has been misappropriated, pay to DFAT the full value of the Funds that have been misappropriated or reinstate such amount to the use of the Activity;
 - (B) where an Asset has been misappropriated, either return the item to DFAT or for use in the Activity or if the Asset cannot be recovered or has been damaged so that it is no longer usable, replace the Asset with one of equal value at the time of original purchase and of at least equal quality to the Asset at the time of original purchase;
 - (C) refer the matter to the relevant Partner Country police or other authorities responsible for prosecution of Fraudulent Activity, unless an exemption has been sought and granted by the relevant DFAT delegate; and

- (D) keep DFAT informed, in writing, on a monthly basis, of the progress of the investigation and recovery action; or
- (ii) a Party other than the Recipient, its subcontractors or Personnel have acted in a Fraudulent manner, the Recipient must, at the Recipient's cost make every effort to recover any Funds or Assets acquired or distributed through Fraudulent Activity, including 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, unless an exemption has been sought and granted by the relevant DFAT delegate; and
 - (C) keep DFAT informed, in writing, on a monthly basis, of the progress of the recovery action.
- (e) If the Recipient considers that after all reasonable action has been taken to recover the Funds or Assets and full recovery has not been achieved or recovery has only been achieved in part, the Recipient may seek approval from DFAT that no further recovery action be taken.
- (f) The Recipient must provide to DFAT all information, records and documents required by DFAT to enable DFAT to make a decision on whether or not to approve non-recovery of losses arising from Fraudulent Activity or misappropriated Funds or Assets.

31.4 Subcontractor and Personnel requirements

The Recipient must ensure that any subcontract entered into for the purpose of this Agreement contains an equivalent clause granting the rights specified in this **Clause 31**.

31.5 Survival

This **Clause 31** survives termination or expiration of this Agreement in relation to:

- (a) any Fraudulent Activity which was not detected by the Recipient before the date of termination or expiry of this Agreement;
- (b) any Fraudulent Activity detected by the Recipient before the date of termination or expiry of this Agreement but which the Recipient had not begun to investigate under **sub-clause 31.3** above;
- (c) any investigation commenced by the Recipient under clause 31.3, but not completed, before the date of termination or expiry of this Agreement;
- (d) any investigation commenced by DFAT under **sub-clause 31.3** above, but not completed, before the date of termination or expiry of this Agreement; and
- (e) any investigation completed by the Recipient under **sub-clause 31.3** above, or by DFAT under **sub-clause 31.3**, but where:
 - (i) Funds have been lost to Fraudulent Activity or misappropriated and the full value of misappropriated funds have not been paid to DFAT or the account of the Activity;

- (ii) Assets or other DFAT-funded property has been lost to Fraudulent Activity or misappropriated but the property has not been returned to DFAT or the account of the Activity; or
- (iii) Assets or other DFAT-funded property cannot be recovered or has been damaged so that it is no longer usable and has not been replaced by property of equal value at the time of original purchase and of at least equal quality to the property at the time of original purchase.

Dispute resolution and termination

32. Force Majeure Events

32.1 Occurrence of Force Majeure Event

A Party (**Affected Party**) is excused from performing its obligations under this Agreement to the extent it is prevented by circumstances which:

- (a) are beyond its reasonable control (other than, in respect of the Recipient only, lack of funds for any reason or any strike, lockout or labour dispute) including acts of God, natural disasters, acts of war, riots and strikes outside the Affected Party's organisation; and
- (b) could not have been prevented or overcome by the Affected Party (or, where the Affected Party is the Recipient) exercising a standard of care and diligence consistent with that of a prudent and competent person operating within the relevant industry ((a 'Force Majeure Event').

32.2 Notice of Force Majeure Event

When a Force Majeure Event arises or is reasonably perceived by the Affected Party as an imminent possibility, the Affected Party must give notice of those circumstances to the other Party as soon as possible, identifying the effect they will have on its performance. The Affected Party must make all reasonable efforts to minimise the effects of such circumstances on the performance of this Agreement.

32.3 Payment

DFAT is not obliged to pay the Recipient any grant funding for so long as a Force Majeure Event prevents the Recipient from performing its obligations under this Agreement.

32.4 Termination

If non-performance or diminished performance by the Recipient due to a Force Majeure Event continues for a period of more than **60 days**, DFAT may, at any time after the period, terminate this Agreement immediately by giving the Recipient written notice.

32.5 Consequences of termination

If this Agreement is terminated under **sub-clause 32.4** above:

- (a) DFAT is liable only for:
 - (i) payments under **Clause 7** (Payment of Funds by DFAT) in accordance with this Agreement before the effective date of termination, but only to the extent that those monies have been spent, or legally committed for expenditure by the Recipient in accordance with this Agreement and are payable by the Recipient as a current liability, by the date the Recipient

receives the notice of termination (written evidence of which will be required); and

- (ii) where the Recipient has undertaken work on but not completed a Milestone by the date the Recipient receives the notice of termination, grant funding in accordance with this Agreement to the extent that those monies have been spent, or legally committed for expenditure by the Recipient in accordance with this Agreement and payable by the Recipient as a current liability, on that Milestone by the date the Recipient receives the notice of termination (written evidence of which will be required); and

- (b) each Party will bear its own costs and neither Party will incur further liability to the other.

33. Dispute resolution

33.1 No arbitration or court proceedings

If a dispute arises in relation to this Agreement ('Dispute'), a Party must comply with this **Clause 33** before starting arbitration or court proceedings, except proceedings for urgent interlocutory relief. After a Party has sought or obtained any urgent interlocutory relief, that Party must follow this **Clause 33**.

33.2 Notification

A Party claiming a Dispute has arisen must give the other Party notice setting out details of the Dispute.

33.3 Parties to resolve Dispute

During the **60 days** after a notice is given under **sub-clause 33.2** (or longer period if the Parties agree in writing), each Party must use its reasonable efforts through a meeting of senior management representatives (or their nominees) to resolve the Dispute.

33.4 Breach of this clause

If a Party breaches **sub-clauses 33.1 to 33.3** above, the other Party does not have to comply with those clauses in relation to the Dispute.

33.5 Exception

For the purpose of this **Clause 33.3**, a Dispute does not include a dispute arising in relation to DFAT:

- (a) suspending payment of grant funding under **Clause 7.2** (Suspension);
- (b) reducing the amount of an instalment of grant funding under **Clause 7.3** (Reduction);
- (c) requiring payment under **Clause 10** (Repayment); or
- (d) terminating this Agreement or reducing the scope of the Activity under **Clause 344** (Termination).

34. Termination

34.1 Termination for convenience

- (a) Without limiting any other rights or remedies DFAT may have arising out of or in connection with this Agreement, DFAT may, by notice, terminate this Agreement or reduce the scope of the Activity for any reason.
- (b) On receipt of a notice of termination or reduction the Recipient must:
 - (i) take all available steps to minimise loss resulting from that termination or reduction and to protect Agreement Material; and
 - (ii) in the case of a reduction in scope, continue to undertake any part of the Activity not affected by the notice (unless the Recipient, acting reasonably, notifies DFAT that it is not commercially viable to do so).
- (c) If this Agreement is terminated under this **sub-clause 34.1**, DFAT is liable only for:
 - (i) payments under **Clause 7** (Payment of funds by DFAT) in accordance with this Agreement before the effective date of termination, but only to the extent that those monies have been spent, or legally committed for expenditure by the Recipient in accordance with this Agreement and are payable by the Recipient as a current liability, by the date the Recipient receives the notice of termination (written evidence of which will be required);
 - (ii) where the Recipient has undertaken work on but not completed a Milestone by the date the Recipient receives the notice of termination, grant funding in accordance with this Agreement to the extent that those monies have been spent, or legally committed for expenditure by the Recipient in accordance with this Agreement and payable by the Recipient as a current liability, on that Milestone by the date the Recipient receives the notice of termination (written evidence of which will be required); and
 - (iii) subject to **sub-clause 34.1(e)**, reasonable costs actually incurred by the Recipient and directly attributable to the termination.
- (d) If the scope of the Activity is reduced, DFAT's liability to pay the grant funding under this Agreement abates in accordance with the reduction in the Activity.
- (e) DFAT is not liable to pay compensation under **sub-clause 34.1(c)(iii)** that exceeds an amount equal to the Total Funds less any amounts paid or due, or becoming due, to the Recipient under this Agreement.
- (f) The Recipient is not entitled to compensation for loss of prospective profits.

34.2 Termination for default

- (a) Without limiting any other rights or remedies DFAT may have arising out of or in connection with this Agreement, DFAT may terminate this Agreement or reduce the scope of the Activity effective immediately by giving notice to the Recipient if:
 - (i) the Recipient breaches a material provision of this Agreement where that breach is not capable of remedy;
 - (ii) the Recipient breaches any provision of this Agreement and fails to remedy the breach within 14 days after receiving notice requiring it to do so;

- (iii) in the opinion of DFAT, a conflict of interest exists which would prevent the Recipient from performing its obligations under this Agreement;
 - (iv) in DFAT's reasonable opinion, one or more of the circumstances described in **Clause 15(g)** (Performance Improvement Plan) apply;
 - (v) the Recipient:
 - (A) Abandons the Activity;
 - (B) notifies DFAT of an intention to Abandon the Activity; or
 - (C) states an intention to Abandon the Activity,
 - and does not, when requested by DFAT, demonstrate to DFAT's satisfaction within **14 days** that the Recipient will proceed with the Activity;
 - (vi) in DFAT's reasonable opinion, it is unlikely that the Recipient will be able to achieve a Milestone to DFAT's satisfaction;
 - (vii) DFAT is satisfied that any statement made in the Application is incorrect, incomplete, false or misleading in a way which would have affected the original decision to approve the provision of the grant funding under this Agreement;
 - (viii) the organisation is listed in the World Bank list or Similar List;
 - (ix) the organisation is listed on a Relevant List;
 - (x) a Related Agreement is terminated by DFAT for default by the Recipient;
 - (xi) there is a Change in Control of the Recipient; or
 - (xii) an Insolvency Event occurs in relation to the Recipient.
- (b) Without limitation, for the purposes of **Clause 34.2(a)(i)**, each of the following constitutes a breach of a material provision:
- (i) breach of warranty under **Clause 4.2** (Warranties);
 - (ii) a failure to comply with **Clause 6.1** (What Funds can be used for);
 - (iii) a failure to comply with **Clause 16** (Compliance with Laws) including a failure to notify DFAT under sub-clause 16(g);
 - (iv) a failure to comply with **Clause 17** (Child protection);
 - (v) a failure to comply with **Clause 18** (Compliance with DFAT policies);
 - (vi) a failure to comply with **Clause 20** (Subcontractors);
 - (vii) a failure to comply with **Clause 21** (Intellectual Property Rights);
 - (viii) a failure to comply with **Clause 24** (Protection of Personal Information);
 - (ix) a failure to comply with **Clause 29** (Insurance);
 - (x) a failure to notify DFAT of a conflict of interest under **Clause 30** (Conflict of interest); and
 - (xi) a breach of warranty or a failure to comply with **Clause 31** (Fraud and anti-corruption).

- (c) If the scope of the Activity is reduced under this **sub-clause 34.2**:
 - (i) DFAT's liability to pay the grant funding under this Agreement abates in accordance with the reduction in the Activity; and
 - (ii) the Recipient must continue to undertake any part of the Activity not affected by the notice (unless the Recipient, acting reasonably, notifies DFAT that it is not commercially viable to do so).

34.3 DFAT rights

Without limiting any of DFAT's other rights or remedies, on termination of this Agreement:

- (a) subject to **sub-clauses 32.5 and 34.1(c)**, DFAT is not obliged to pay to the Recipient any outstanding amount of grant funding under this Agreement; and
- (b) DFAT is entitled to exercise any right to recover from the Recipient, including under **Clause 10 (Repayment)** and **Clause 12 (Assets)**.

34.4 Termination does not affect accrued rights

Termination of this Agreement does not affect any accrued rights or remedies of a Party.

General obligations

35. Survival

The following clauses survive the expiry or termination of this Agreement:

- (a) **Clause 6 (Use of Funds by Recipient)**;
- (b) **Clause 9 (GST)**;
- (c) **Clause 10 (Repayment)**;
- (d) **Clause 12 (Assets)**;
- (e) **Clause 13.4 (Repayment of administered grant funds)**;
- (f) **Clause 14.2 (Reporting)**;
- (g) **Clause 14.1 (Evaluation)**;
- (h) **Clause 16 (Compliance with Laws)**;
- (i) **Clause 19 (Acknowledgment and publicity)**;
- (j) **Clause 21 (Intellectual Property Rights)**;
- (k) **Clause 22 (Moral Rights)**;
- (l) **Clause 23 (Confidentiality)**;
- (m) **Clause 24 (Protection of Personal Information)**;
- (n) **Clause 25 (Records, books and accounts)**;
- (o) **Clause 26 (Audit and access)**;
- (p) **Clause 28 (Indemnity)**;
- (q) **Clause 29 (Insurance)**;

- (r) **Clause 31** (Fraud);
- (s) **Clause 34.3** (DFAT rights); and
- (t) **Clause 37.2** (Amounts due to DFAT),

together with any provision of this Agreement which expressly or by implication from its nature is intended to survive the expiry or termination of this Agreement.

36. Notices and other communications

36.1 Service of Notices

A Notice must be:

- (a) in writing, in English and signed by a person duly authorised by the sending Party; and
- (b) hand delivered or sent by email to the recipient's address for Notices specified in the Grant Order, as varied by any Notice given by the recipient to the sender.

36.2 Effective on receipt

A Notice given in accordance with **Clause 36.1** delivered by hand or email takes effect when it is taken to be received (or at a later time specified in it), and is taken to be received:

- (a) if hand delivered, on delivery;
- (b) if sent by prepaid post, on the third Business Day after the date of posting (or on the seventh Business Day after the date of posting if posted to or from a place outside Australia); or
- (c) if sent by facsimile, when the sender's facsimile system generates a message confirming successful transmission of the entire Notice unless, within one Business Day after the transmission, the recipient informs the sender that it has not received the entire Notice,

but if the delivery, receipt or transmission is not on a Business Day or is after 5.00pm (AEST) on a Business Day in the place where the Notice is taken to be received, the Notice is taken to be received at 9.00am (AEST) on the next Business Day in the place where the Notice is taken to be received.

36.3 Notices by email

- (a) A Notice relating to a matter under **Clause 32.4** (Termination), **Clause 33.3** (Dispute Resolution) or **Clause 34.4** (Termination) must not be sent by email.
- (b) Subject to **sub-clause 36.3(c)** below, a Notice given in accordance with **sub-clause 36.1** above delivered by email is taken to be received on the first to occur of:
 - (i) receipt by the sender of an email acknowledgement from the recipient's information system showing that the notice has been delivered to the email address specified in the recipient's address for Notices specified in the Grant Order as varied by any Notice given by the recipient to the sender;

- (ii) the time that the notice enters an information system which is under the control of the recipient; and
- (iii) the time that the notice is first opened or read by the intended addressee.
- (c) If the sender receives an out of office reply that states the recipient is out of the office until a later date, the Notice will only be taken to be given on that later date. If the result is that a Notice would be taken to be given or made on a day that is not a Business Day in the place to which the Notice is sent or is after 5.00pm (AEST) on a Business Day in the place where the Notice is sent, it will be taken to have been duly given or made at the start of business on the next Business Day in that place.

37. Miscellaneous

37.1 No security

The Recipient must not without the prior written consent of DFAT use any of the following as any form of security for the purpose of obtaining or complying with any form of loan, credit, payment or other interest, or for the preparation of, or in the course of any litigation:

- (a) the Funds;
- (b) this Agreement or any of DFAT's obligations under this Agreement; or
- (c) any Assets or Intellectual Property Rights in Agreement Material.

37.2 Amounts due to DFAT

- (a) Without limiting any other of DFAT's rights or remedies, any amount owed or payable to DFAT (including by way of refund), or which DFAT is entitled to recover from the Recipient, under this Agreement will be recoverable by DFAT as a debt due and payable to DFAT by the Recipient.
- (b) DFAT may set-off any money due for payment by DFAT to the Recipient under this Agreement against any money due for payment by the Recipient to DFAT under this Agreement or a Related Agreement.

37.3 Notice of certain events

The Recipient must notify DFAT immediately if an Insolvency Event or a Change in Control occurs in relation to the Recipient.

37.4 Variation

No agreement or understanding varying or extending this Agreement is legally binding upon either Party unless the agreement or understanding is in writing in the form of a deed of amendment and signed by both Parties.

37.5 Approvals and consents

Except where this Agreement expressly states otherwise, a Party may, in its discretion, give conditionally or unconditionally or withhold any acceptance, approval or consent under this Agreement.

37.6 Assignment and novation

The Recipient may only assign its rights or novate its rights and obligations under this Agreement with the prior written consent of DFAT.

37.7 Costs

Each Party must pay its own costs of negotiating, preparing and executing this Agreement.

37.8 Counterparts

This Agreement may be executed in counterparts. All executed counterparts constitute one document.

37.9 No merger

The rights and obligations of the Parties under this Agreement do not merge on completion of any transaction contemplated by this Agreement.

37.10 Entire agreement

This Agreement constitutes the entire agreement between the Parties in connection with its subject matter and supersedes all previous agreements or understandings between the Parties in connection with its subject matter.

37.11 Further action

The Recipient must do, at its own expense, everything reasonably necessary (including executing documents) to give full effect to this Agreement and any transaction contemplated by it.

37.12 Severability

A term or part of a term of this Agreement that is illegal or unenforceable may be severed from this Agreement and the remaining terms or parts of the terms of this Agreement continue in force.

37.13 Waiver

Waiver of any provision of or right under this Agreement:

- (a) must be in writing signed by the Party entitled to the benefit of that provision or right; and
- (b) is effective only to the extent set out in any written waiver.

37.14 Relationship

- (a) The Parties must not represent themselves, and must ensure that their officers, employees, agents and subcontractors do not represent themselves, as being an officer, employee, or agent of the other Party, or as otherwise able to bind or represent the other Party.
- (b) This Agreement does not create a relationship of employment, or agency between the Parties.

37.15 Governing law and jurisdiction

This Agreement is governed by the law of the Australian Capital Territory and each Party irrevocably and unconditionally submits to the non-exclusive jurisdiction of the courts of the Australian Capital Territory.

37.16 False or misleading information

The Recipient acknowledges that giving false or misleading information is a serious offence.

37.17 No reliance

The Recipient:

- (a) acknowledges that DFAT is not liable for any advice, comments, consultation, assistance, information or material made available by DFAT before the Commencement Date in connection with the Recipient applying for grant funding (**Information**);
- (b) acknowledges that the Information may not be accurate or complete and that the Recipient is responsible for making its own enquiries;
- (c) warrants that it has not, in deciding whether or not to enter into this Agreement, relied on any Information or representation (whether oral or in writing), other than as expressly set out in this Agreement, or any other conduct of DFAT or any of its Personnel; and
- (d) waives any right to make any claims in relation to any loss or damage suffered or incurred, whether directly or indirectly, arising out of or in connection with any use of or reliance on the Information.

37.18 No further grant funding

The Recipient acknowledges that the provision of grant funding under this Agreement for the Activity does not entitle the Recipient to any other or further grants.

Schedule 2 – Template Grant Order

[User note: this template must be used as provided and in line with user notes embedded within. Any changes to the structure of the Grant Order or the details within the specified items can only be made by agreement with the Governance and Fragility Branch, and with reference to the requirements of the Head Agreement and Grant Order 1.]

Item number	Description	Standard Grant Conditions reference	Details
1.	Grant Order number	N/A	<i>[User note: insert Grant Order Number]</i>
2.	DFAT Representative	1.1	Kate Sullivan, Governance Section
3.	Recipient Representative	1.1	Professor David Hudson, Director Development Leadership Program
4.	Activity Start Date	1.1 and 3	
5.	Activity End Date	1.1 and 3	
6.	DFAT Material	1.1	<i>[Note to user: Will DFAT provide any material to the Recipient? If yes, describe it here. If no, insert "N/A"]</i>
7.	Insurance	29	<i>[Note to user: Is the Recipient required to obtain professional indemnity insurance (PII) for this Activity? If yes, insert the amount of PII. If no, insert "N/A"]</i>
8.	Management and Governance		Activities under this Grant Order will be managed in accordance with the management and governance arrangements set out in Grant Order 1, supplemented by any additional specific arrangements specified in this Grant Order.
9.	Research Cycle		Research activities under this Grant Order will be managed in accordance with the research activity cycle set out in Grant Order 1.
10.	Address for Notices	36	DFAT: Kate Sullivan, Governance Section Postal address: Department of Foreign Affairs and

Item number	Description	Standard Grant Conditions reference	Details
			<p>Trade – Australian Aid Program</p> <p>R.G. Casey Building John McEwen Crescent Barton ACT 0221 Australia</p> <p>Physical address: 255 London Circuit Canberra ACT 2601 Australia</p> <p>Email: kate.sullivan2@dfat.gov.au</p> <p>Recipient: Ian Lyne, Director of Research Support Services</p> <p>Postal address: Finance Office University of Birmingham Edgbaston Birmingham B152TT United Kingdom</p> <p>Physical address: Finance Office University of Birmingham Edgbaston Birmingham B152TT United Kingdom</p> <p>Email: I.R.Lyne@bham.ac.uk</p>
11.	Special Conditions	1.1 and 2	<p><i>[Note to user: Are there any Special Conditions that apply to this Activity? Special Conditions are additional to the Standard Grant Conditions. If yes, insert those conditions here. If no, insert "None".]</i></p>

1. Activity description (clause 1.1)

[User note: insert a description of the Activity, including elements of risk and how these will be addressed. The description of the Activity should include specific and measurable tasks should be listed in the Milestone table in item 3 below.]

2. Outcomes (clauses 1.1 and 4.1(a)(i))

[User note: insert a full and detailed description of the Outcomes that the conduct of the Activity will achieve.]

3. Milestones (clauses 1.1 and 4.1(a)(v))

	Milestone	Completion date
1.	<p>Description</p> <p><i>[User note: insert measurable and specific tasks to be achieved with the use of the Funds including any specific goods to be procured (see clause 11(b)). In particular, specify all of the specific Reports to be provided and accepted by DFAT eg. Milestone report, annual report, acquittal report.</i></p> <p><i>Note that the Recipient may use the Funds to prepare acquittal reports, so consider in the context of the Activity whether an acquittal report is required at the end of each Milestone or only for certain tranches of grant funds.</i></p> <p><i>The final report is specified as the last Milestone in this table.]</i></p> <p>Reports to be provided by the Recipient as part of this Milestone</p> <p><i>[User note: insert any reports that are to be provided as a part of this Milestone, as appropriate. For example, 'Milestone No. 1 Report', 'acquittal Report for the period from [insert date] to [insert date]', 'annual Report']</i></p>	<i>[User note: insert date for completion of Milestone.]</i>
2.	<p>Description</p> <p><i>[insert more rows as required noting the user note above.]</i></p> <p>Reports to be provided by the Recipient as part of this Milestone</p> <p><i>[User note: insert any reports that are to be provided as a part of this Milestone, as appropriate. For example, 'Milestone No. 2 Report', 'acquittal Report for the period from [insert date] to [insert date]', 'annual Report']</i></p>	
3.	<p>Description</p> <p><i>[insert more rows as required noting the user note above.]</i></p> <p>Reports to be provided by the Recipient as part of this Milestone</p> <p><i>[User note: insert any reports that are to be provided as a part of this Milestone, as appropriate. For example, 'Milestone No.</i></p>	

	Milestone	Completion date
	3 Report', 'acquittal Report for the period from [insert date] to [insert date]', 'annual Report']	
4.	Description <i>[insert more rows as required noting the user note above.]</i> Reports to be provided by the Recipient as part of this Milestone <i>[User note: insert any reports that are to be provided as a part of this Milestone, as appropriate. For example, 'Milestone No. 4 Report', 'acquittal Report for the period from [insert date] to [insert date]', 'annual Report']</i>	
5.	Reports to be provided by the Recipient as part of this Milestone Final Report	[By the date that is 60 days after the completion of the Activity in accordance with this Agreement.]

4. Budget (clauses 1.1 and 6.1)

[User note: Budget to be inserted. Note that the Recipient may only expend Funds in accordance with the Budget. If the costs of Independent Auditors may be paid for from the Funds, this should be included as a specific line item so that DFAT is not liable to pay for it on top of the Total Funds. Delete the GST inclusive column if GST will not be payable to the Recipient – see the user note at clause 9.]

Item	Description	Price (ex GST)	Price (inc GST)

5. Assets (clauses 1.1 and 12)

5.1 Assets to be acquired with the Funds

[User note: insert description of specific assets or classes of assets that may be acquired with the Funds. If the Recipient may not acquire Assets with the Funds, insert 'None specified']

5.2 Ownership of Assets

[User note: insert details if a party other than the Recipient will own the Assets, for example 'Ownership of the Assets shall be passed to the Partner Country on the termination or expiry of this Agreement'. Otherwise insert 'default position to apply'.]

5.3 Asset Register

The Recipient must maintain the Asset Register which must record:

- (a) non-consumable items of a portable nature with a value below the Asset Threshold;
- (b) all Assets with a value at or above the Asset Threshold;
- (c) Asset description;
- (d) purchase price or total lease cost;
- (e) date of purchase or lease and date of payment;
- (f) reason for acquisition;
- (g) type and term of lease (if applicable);
- (h) date of receipt of the Asset at the Activity site;
- (i) identification number for the Asset;
- (j) location of Asset;
- (k) disposal date;
- (l) disposal method; and
- (m) reason for disposal.

6. Personnel positions

Personnel	Role	Directly working with /contact with children
<i>[insert]</i>	<i>[User note: insert description of the role the Personnel will play detailing the parts of the Activity they will perform]</i>	Yes/No

[User note: DFAT's child protection policy requires that if this Activity involves directly working with children or contact with children then this Activity Proposal must: (i) identify all Personnel

positions working with children or having contact with children, and (ii) ensure that the Activity risk assessment includes assessment of the risks to children. Users should contact Child Protection if further guidance is required.]

7. Total Funds (clause 1.1)

Subject to this Agreement, the maximum amount of grant funding payable by DFAT under this Agreement is *[insert amount and currency type]* (including GST). No other amount of grant funding is payable by DFAT.

8. Payment (clauses 1.1, 7 and 8)

Subject to this Agreement, DFAT will pay the grant funding to the Recipient in instalments as set out in the table below.

No.	Payment Criteria	Payment Claim Due Date	Instalment (GST inclusive)
1.	<p><i>[User note: insert payment criteria, for example:</i></p> <ul style="list-style-type: none"> <i>• achievement of Milestone No. 1;</i> <i>• { 'receipt and acceptance of the [Milestone Report No.1] ; and</i> <i>• receipt and acceptance of an acquittal report for the period from [insert date] to [insert date]. '</i> <p><i>Note: no instalment will be paid if the Payment Criteria is not satisfied.]</i></p>	<p><i>[User note: insert the date by which the Recipient must submit its Payment Claim e.g. within 30 days of [achievement of the Payment Criteria]. This is the invoice date, not the date the Milestone is due]</i></p>	
2.	<p><i>[User note: insert payment criteria, for example:</i></p> <ul style="list-style-type: none"> <i>• achievement of Milestone No.2;</i> <i>• expenditure of at least 80% of payment No. 1;</i> <i>• { 'receipt and acceptance of the [Milestone Report No.2]. '] and</i> <i>• receipt and acceptance of an acquittal report for the period from [insert date] to [insert date]. '</i> 	<p><i>[User note: insert the date by which the Recipient must submit its Payment Claim e.g. within 30 days of [achievement of the Payment Criteria]]</i></p>	
3.	<i>[User note: insert payment</i>	<i>[User note:</i>	

No.	Payment Criteria	Payment Claim Due Date	Instalment (GST inclusive)
	<i>criteria, for example:</i> <ul style="list-style-type: none"> • achievement of Milestone No. 3; • { 'receipt and acceptance of the [Milestone Report No.3] '}; • expenditure of 100% of payment No. 1 and at least 80% of payment No. 2 and • receipt and acceptance of an acquittal report for the period from [insert date] to [insert date]. '. 	<i>insert the date by which the Recipient must submit its Payment Claim e.g. within 30 days of [achievement of the Payment Criteria]]</i>	
4.	[insert more rows as required noting the user note above.]		
Total			

9. Milestone reports

- (a) The Recipient must provide a Milestone report as required by the item 3 (Milestones) above.
- (b) Each Milestone report must include:
 - (i) the name of the Recipient and all subcontractors;
 - (ii) a contact name, telephone number and email address;
 - (iii) the Activity title and number;
 - (iv) the Milestone and period to which the report relates;
 - (v) a Budget update (including cost to completion);
 - (vi) a statement of the Funds provided or spent ;
 - (vii) the amount remaining in the account referred to in clause 6.3;
 - (viii) a technical report of the Milestone activities, including:
 - (A) a description and analysis of the technical progress of the Activity;
 - (B) evidence that the activities within the Milestone have been achieved;
 - (C) any major issues or risks which have arisen in the course of achieving the Milestone and the effect they will have on the Activity and what will be done to address any ongoing issues or risks; and
 - (D) any proposed changes to the Activity; and

- (ix) copies of any published reports, promotional material, media publicity, pamphlets or other documentation relevant to the Activity.

10. Annual reports

- (a) The Recipient must provide an annual progress report within [60 days] of each anniversary of the Commencement Date.
- (b) Each annual progress report must include:
 - (i) the name of the Recipient and all subcontractors;
 - (ii) the Activity title and number;
 - (iii) the period to which the report relates;
 - (iv) a Budget update (including cost to completion);
 - (v) a statement of the Funds provided or spent;
 - (vi) the amount remaining in the account referred to in clause 6.3;
 - (vii) the reconciliation of Assets required under clause 12.2(c) and a copy of the Assets Register; and
 - (viii) a description and analysis of the progress of the Activity, including:
 - (A) whether the Activity is proceeding in accordance with the Budget and, if it is not, an explanation of why the Budget is not being met, the effect this will have on the Activity and the action the Recipient proposes to take to address this;
 - (B) progress on achieving the Outcomes;
 - (C) any major issues or developments which have arisen and the effect they will have on the Activity; and
 - (D) any proposed changes to the Activity.

11. Acquittal reports

- (a) The Recipient must provide acquittal reports within 40 days after the earlier of the Activity End Date, expiry or termination of this Agreement.
- (b) Each acquittal report must include the following:

	Content	Prepared by
(i)	audited financial statements in accordance with the Applicable Auditing Procedures in respect of the Funds (separately and in the context of the Recipient's overall financial position), which must include a definitive statement as to whether the financial information for the Activity represents the financial transactions fairly and is based on proper accounts and records.	an Independent Auditor
(ii)	where there are any qualifications or limitations on the audit, a letter to the Recipient, or a report providing an outline of the reasons for the qualifications or limitations and the	an Independent Auditor

	Content	Prepared by
	remedial action recommended.	
(iii)	a certificate: (A) that all Funds were spent for the purpose of the Activity and in accordance with this Agreement and that the Recipient has complied with this Agreement; and (B) the amount remaining in the account referred to in clause 6.3 of the Standard Grant Conditions.	the CEO or CFO of the Recipient

12. Final report

- (a) The Recipient must within 60 days of the completion of the Activity provide a report which includes:
- (i) the name of the Recipient and all subcontractors;
 - (ii) the Activity title and number;
 - (iii) a statement of the Funds provided and spent;
 - (iv) the amount (if any) remaining in the account referred to in clause 6.3 of the Standard Grant Conditions;
 - (v) a description and analysis of the progress of the Activity, including:
 - (A) evidence that the Activity has been completed, and the Milestones have been achieved;
 - (B) details of the extent to which the Activity achieved the Outcomes;
 - (C) any highlights, breakthroughs or difficulties encountered; and
 - (D) conclusions or recommendations (if any) arising from the Activity;
 - (vi) copies of any published reports, promotional material, media publicity, pamphlets or other documentation relevant to the Activity; and
 - (vii) reconciliation of Assets and a copy of the Asset Register.

13. Ad hoc reports

The Recipient must provide ad-hoc reports as requested by DFAT from time to time at the time and in the manner reasonably required by DFAT in relation to any significant developments concerning the Activity or any significant delays or difficulties encountered in undertaking the Activity.

Schedule 3– 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 Recipient, 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 Recipient 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 Recipient 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 Recipient under the grant agreement as outlined in the grant agreement conditions.

Broadly speaking, any Recipient 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 Recipient 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 2017*, Counter Terrorism and other applicable laws and policies can be found on DFAT's website at:

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

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

Further information on Aid Effectiveness can be found at:

http://www.oecd.org/departments/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

Signing page


EXECUTED as a deed.

Signed, sealed and delivered for and on behalf of the **Commonwealth of Australia** represented by the **Department of Foreign Affairs and Trade** by its duly authorised delegate in the presence of

Mia Thornton
Signature of witness

Mia Thornton
Name of witness (print)

26/02/19
Date

←  ←
Signature of delegate

Nicholas Smith
Name of delegate (print)

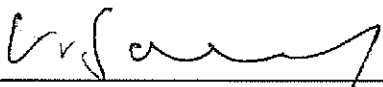
A/g ELZ
Position of delegate and section (print)

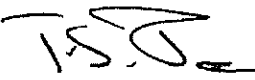
Executed as a Deed by

The University of Birmingham

by affixing hereto its common seal

in the presence of


Signature Authorised Signatory


Signature Authorised Signatory

