

# Department of Foreign Affairs and Trade

Complex Grant Agreement number 75894

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

and

*James Cook University* (**Recipient**)

For

*Building Capacity for Evidence Based Sustainable Vector  
Surveillance and Control in the Pacific*

# Details

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## 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 James Cook University, a body corporate established under s. 4 of the *James Cook University Act 1997*, in the State of Queensland (ABN 46 253 211 955)

Short form name **JCU**

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## Background

- A DFAT provides grant funding to support activities for overseas development assistance.
- B The Recipient applied for grant funding to perform the Activity.
- C DFAT is required by law to ensure accountability for the grant funding and accordingly the Recipient is required to be accountable for all grant funding received.
- D DFAT has agreed to provide an amount of grant funding to the Recipient for the purposes of the Activity, subject to the terms and conditions of this Agreement.
- E The Recipient accepts the grant funding for the purposes of the Activity, and subject to the terms and conditions of this Agreement.

# 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  
s 22(1)(a)(ii)

s 22(1)(a)(ii)

Signature of witness

s 22(1)(a)(ii)

Name of witness (print)

27.3.2020

Date

Signature of delegate

s 22(1)(a)(ii)

Name of delegate (print)

Head, DHS 27.3.2020

Position of delegate and section (print)

Signed on behalf of the **James Cook University** by its duly authorised delegate in the presence of  
s 47F(1)

Signature of director

s 47F(1)

Name of director (print)

26 March 2020

Date

Signature of delegate

Name of delegate (print)

in the presence of:

s 47F(1)

s 47F(1)

Name of witness (Print)

Signature of witness

## Part A - Agreement details

Table 1 - Agreement Details

Item number	Description	Clause reference (Part B – General Conditions)	Details
1.	DFAT	1.1	Commonwealth of Australia as represented by the Department of Foreign Affairs and Trade ABN 47 065 634 525  Department of Foreign Affairs and Trade – Australian Aid Program R.G. Casey Building John McEwen Crescent Barton ACT 0221 Australia
2.	Recipient	1.1	James Cook University 1 James Cook Dr, Douglas QLD 4814 Australia ABN 46 253 211 955
3.	DFAT Representative	1.1	s 22(1)(a)(ii)
4.	Recipient Representative	1.1 and 14.1	s 47F(1)
5.	Total Funds	1.1	AUD 5,124,884.00 plus GST of AUD 512,488.40
6.	Commencement Date	1.1 and 3.1	27 March 2020
7.	Activity Start Date	1.1 and 3	27 March 2020
8.	Activity End Date	1.1 and 4.1 (b) (iii)	30 June 2022
9.	Agreement Period	1.1 and 15.4	The period from the Commencement Date to the date DFAT accepts the final report provided in accordance with Part B – Clause 15.4.
10.	DFAT Material	1.1	N/A
11.	Moral Rights – Specified Acts	1.1 and 22	N/A

Item number	Description	Clause reference (Part B – General Conditions)	Details
12.	Insurance	1.1 and 25	Professional indemnity insurance should be obtained where necessary due to the nature of the activities.
13.	Address for Notices	1.1 and 35	<p><b>DFAT:</b>  <b>s 22(1)(a)(ii)</b></p> <p><b>Postal address:</b>  Department of Foreign Affairs and Trade – Australian Aid Program  R.G. Casey Building  John McEwen Crescent  Barton ACT 0221 Australia</p> <p><b>Physical address:</b>  R.G. Casey Building  John McEwen Crescent  Barton ACT 0221 Australia</p> <p><b>Email:</b> <b>s 22(1)(a)(ii)</b> @dfat.gov.au</p> <p><b>Recipient:</b>  Director, JCU Connect</p> <p><b>Postal address:</b>  JCU Connect, 1 James Cook Drive,  Douglas QLD 4814, Australia</p> <p><b>Physical address:</b>  JCU Connect, 1 James Cook Drive,  Douglas QLD 4814, Australia</p> <p><b>Email:</b>  <b>s 47F(1)</b></p>
14.	Special Conditions		Nil

## Table 2 - Payment Criteria

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	Tranche amount (AUD)
1.	<i>Contract signing.</i>	<i>Contract signing</i>	s 47G(1)(a), s 47G(1)(b)
2.	<ul style="list-style-type: none"> <li>• <i>achievement of Milestone No. 1 and 2;</i></li> <li>• <i>receipt and acceptance of the Milestone Report No.1 for the period from the contract commencement date to 15 August 2020; and</i></li> <li>• <i>80% acquittal of previous tranches.</i></li> </ul>	<i>1 September 2020</i>	
3.	<ul style="list-style-type: none"> <li>• <i>achievement of Milestone No. 3;</i></li> <li>• <i>receipt and acceptance of the Annual Report No.1 for the period from the contract commencement date to 31 January 2021; and</i></li> <li>• <i>80% acquittal of previous tranches</i></li> </ul> <p><i>Note: no instalment will be paid if the Payment Criteria are not satisfied.</i></p>	<i>10 March 2021</i>	
4.	<ul style="list-style-type: none"> <li>• <i>achievement of Milestone No. 4;</i></li> <li>• <i>receipt and acceptance of the Milestone Report No.2 for the period from 1 February 2021 to 31 July 2021; and</i></li> <li>• <i>80% acquittal of previous tranches</i></li> </ul> <p><i>Note: no instalment will be paid if the Payment Criteria are not satisfied.</i></p>	<i>1 November 2021</i>	
<b>Total</b>			<b>\$5,124,884.00</b>



Table 3 - Milestones

As specified in Part C – Activity Proposal, the following will be milestones for this agreement:

No.	Milestone Description	Milestone Completion Indicators	Due Date
1.	Annual workplan, monitoring and evaluation framework and report templates	<p>Receipt and acceptance by DFAT of an annual workplan and monitoring and evaluation framework.</p> <p>Where scoping activities or a needs assessment was specified in the activity proposal as the first stage of the project, the annual workplan may set out these activities, and can be updated when activities arising from the scoping are prioritised and scheduled, and re-submitted to DFAT by October 2020.</p> <p>DFAT and recipient to agree on an acceptable format to report against the activity monitoring and evaluation framework in an:</p> <ul style="list-style-type: none"> <li>- annual report, and</li> <li>- six monthly Milestone Report</li> </ul>	30 June 2020
2.	Milestone Report number 1 (reporting period: commencement date – 15 August 2020)	<p>Receipt and acceptance by DFAT of Milestone Report (clause 15.2) in the format agreed with DFAT under milestone 1 including reporting against any remedial actions to management responses arising from the previous milestone and updates on risk identification and management.</p> <p>Complete an assessment of child protection risks within the organisation and activity using the organisation's own risk management processes and documentation.</p> <p>Show evidence to DFAT that the assessment has been completed and documented.</p>	31 August 2020
3.	Annual Report number 1 and Acquittal Report number 1 (reporting period: commencement date – 31 January 2021)	Receipt and acceptance by DFAT of an Annual Report (clause 15.3) and Acquittal Report (clause 15.4) in the format agreed with DFAT under milestone 1, showing progress against the M&E framework and/or where relevant, completion of scoping and identification of specific activities.	19 February 2021

No.	Milestone Description	Milestone Completion Indicators	Due Date
		Reporting against any remedial actions to management responses arising from the previous milestone.  Updates on risk identification and management.	
4.	Milestone Report number 2 (reporting period: 1 February 2021 – 31 July 2021)	Receipt and acceptance by DFAT of Milestone report (clause 15.2) in the format agreed with DFAT under milestone 1 including reporting against any remedial actions to management responses arising from the previous milestone and updates on risk identification and management and financial expenditure update.	14 August 2021
5.	Annual Report number 2 and Acquittal Report number 2 (reporting period: 1 February 2021 – 31 January 2022)	Progress report in the format agreed with DFAT under milestone 1, showing progress against the M&E framework.  Reporting against any remedial actions to management responses arising from the previous milestone.  Updates on risk identification and management.	10 March 2022
6.	Final Report and final Acquittal Report (reporting period: commencement date – 30 June 2022)	Final report that summarises activities and achievements over the life of the project, describing to what extent M&E framework outcomes were achieved and how learnings across the life of the project were incorporated to improve the achievement of outcomes. Also an assessment of the lasting impacts and sustainability.	Completion date specified in the agreement + 60 days

## Part B General Conditions

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### Interpretation

#### 1. Definitions and interpretation

##### 1.1 Defined terms

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

<b>Abandoned</b>	not having carried on any work or activities on the Activity for sixty ( <b>60</b> ) consecutive days, except where relieved of the obligation to do so under this Agreement. <b>Abandon</b> has a corresponding meaning.
<b>Activity</b>	the Activity described in <b>Part C (Activity Proposal)</b> .
<b>Activity End Date</b>	the date specified in <b>Item 8 of Part A (Agreement Details)</b> .
<b>Activity Event</b>	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.
<b>Activity Proposal</b>	as described in <b>Part C (Activity Proposal)</b> .
<b>Activity Start Date</b>	the date specified in <b>Item 7 of Part A (Agreement Details)</b> .
<b>Agreement</b>	this Agreement which is a Deed between DFAT and the Recipient, as varied from time to time in accordance with <b>Clause 36.3 (Variation)</b> , including all parts and any attachments.
<b>Agreement Material</b>	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 <b>Clause 21.2(b) (Access by DFAT)</b> .
<b>Agreement Period</b>	the period from the Commencement Date to the date DFAT accepts the final report provided in accordance with <b>Clause 15.4 (Acquittal Reports)</b> .
<b>Applicable Auditing Procedures</b>	the internal and external auditing procedures in the rules and regulations applicable to the Recipient.
<b>Application</b>	the application submitted by, for or on behalf of the Recipient for grant funding in relation to the Activity.

<b>Assets</b>	<p>(a) 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 as set out in <b>Clause 13 (Assets)</b>; and</p> <p>(b) approved identified items in <b>Part C (Activity Proposal)</b>.</p>
<b>Asset Register</b>	the register of Assets set out in <b>Clause 13.3 (Asset Register)</b> .
<b>Asset Threshold</b>	means the amount set out in <b>Clause 13.2 (Asset Threshold)</b> .
<b>Authority</b>	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.
<b>Budget</b>	the Budget set out in the Activity Proposal at <b>Part C (Activity Proposal)</b> , as varied from time to time in accordance with this Agreement.
<b>Business Day</b>	a day that is a working day in the place where the act is to be performed or where the Notice is received.
<b>Change in Control</b>	<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,</p> <p>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>
<b>Commencement Date</b>	the date specified in <b>Item 6 of Part A (Agreement Details)</b> .
<b>Commonwealth</b>	the Commonwealth of Australia.
<b>Confidential Information</b>	<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>

<b>Criminal Code Act List</b>	the list of organisations that are specified as a “terrorist organisation” by regulations made under the Criminal Code Act 1995 (this list is currently available at <a href="https://www.nationalsecurity.gov.au/Listedterroristorganisations/Pages/default.aspx">https://www.nationalsecurity.gov.au/Listedterroristorganisations/Pages/default.aspx</a> ).
<b>DFAT</b>	the Party specified in <b>Item 1 of Part A (Agreement Details)</b> .
<b>DFAT Material</b>	any Material provided to the Recipient by DFAT, including the Material (if any) specified in <b>Item 10 of Part A (Agreement Details)</b> .
<b>DFAT Representative</b>	the person identified in <b>Item 3 of Part A (Agreement Details)</b> .
<b>Depreciation</b>	depreciation calculated for income tax purposes under, and in accordance with, the <i>Income Tax Assessment Act 1997 (Cth)</i> .
<b>Force Majeure Event</b>	has the meaning given in <b>Clause 31.1 (Occurrence of Force Majeure Event)</b> .
<b>Former DFAT Employee</b>	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 this Activity.
<b>Fraudulent Activity, Fraud or Fraudulent</b>	<p>dishonestly obtaining a benefit, or causing a loss, by deception or other means, and includes incidents of attempted, alleged, suspected or detected fraud.</p> <p>Fraud also includes conduct or practice that could contravene the Australian offence of bribing a foreign public official, and includes the making of a facilitation payment as set out in the <i>Criminal Code Act 1995 (Cth)</i>.</p>
<b>Funds</b>	the grant funding paid by DFAT to the Recipient under this Agreement 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.
<b>General Conditions</b>	<b>Clauses 1 to 36</b> of this Agreement.
<b>Independent Auditor</b>	<p>a person who is:</p> <ul style="list-style-type: none"> <li>(a) a certified financial professional registered under the <i>Corporations Act 2001 (Cth)</i>; or</li> <li>(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</li> <li>(c) is in no way linked or associated with the Project/Program or the Parties.</li> </ul>

<b>Insolvency Event</b>	<p>in relation to an entity:</p> <ul style="list-style-type: none"> <li>(a) the entity disposes of the whole or any part of its assets, operations or business other than in the ordinary course of business;</li> <li>(b) the entity ceases to carry on business;</li> <li>(c) the entity ceases to be able to pay its debts as they become due;</li> <li>(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;</li> <li>(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;</li> <li>(f) where the entity is a natural person, the entity is declared bankrupt or assigns his or her estate for the benefit of creditors;</li> <li>(g) where the entity is a partnership, any step is taken to dissolve that partnership; or</li> <li>(h) anything analogous to an event referred to in paragraph (d), (e), (f) or (g) occurs in relation to the entity.</li> </ul>
<b>Intellectual Property Rights</b>	<p>all intellectual property rights, including:</p> <ul style="list-style-type: none"> <li>(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;</li> <li>(b) any application or right to apply for registration of any of the rights referred to in paragraph (a); and</li> <li>(c) all rights of a similar nature to any of the rights in paragraphs (a) and (b) which may subsist in Australia or elsewhere,</li> </ul> <p>whether or not such rights are registered or capable of being registered.</p>

<b>Law</b>	any applicable statute, regulation, by-law, ordinance or subordinate legislation in force from time to time in:  (a) Australia, whether made by a State, Territory, the Commonwealth, or a local government; and  (b) the Partner Country.
<b>Material</b>	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.
<b>Milestone</b>	a milestone set out in <b>Table 3 (Milestones) of Part A (Agreement Details)</b> .
<b>Modify</b>	to add to, enhance, reduce, change, replace, vary or improve. <b>Modification</b> and <b>Modified</b> have corresponding meanings.
<b>Moral Rights</b>	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).
<b>Notice</b>	a notice, demand, consent, approval or communication issued under this Agreement.
<b>Outcomes</b>	the outcomes for the Activity, as set out in <b>Part C (Activity Proposal)</b> .
<b>Partner Country</b>	the country or countries in which the Activity is to be undertaken in whole or in part.
<b>Partner Government</b>	the government of the Partner Country.
<b>Party</b>	DFAT and the Recipient who are listed in the Details section of this Agreement. <b>Parties</b> have a corresponding meaning.
<b>Payment Claim</b>	has the meaning given in <b>Clause 9(a) (Invoicing Requirements)</b> .
<b>Payment Criteria</b>	the payment criteria specified in <b>Table 2 of Part A (Agreement Details)</b> .
<b>Personal Information</b>	has the same meaning as in the <i>Privacy Act 1988</i> (Cth).
<b>Personnel</b>	in relation to a Party, any employee, officer, agent, volunteer, Subcontractor or professional adviser of that Party.



<b>Pre-existing Recipient Material</b>	Material developed by the Recipient that: <ul style="list-style-type: none"> <li>(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</li> <li>(b) is embodied in or attached to the Agreement Material, or otherwise necessarily related to the performance of the Activity.</li> </ul>
<b>Recipient</b>	the Party specified in <b>Item 2 of Part A (Agreement Details)</b> .
<b>Recipient Representative</b>	the person identified in <b>Item 4 of Part A (Agreement Details)</b> .
<b>Related Agreement</b>	any other agreement between the Parties under which DFAT provides grant funding to the Recipient, whether entered into before or after this Agreement.
<b>Reports</b>	the reports to be provided under <b>Clause 15 (Reporting)</b> .
<b>Sanctions List</b>	the list of individuals, entities or organisations designated or listed by the United Nations Security Council, its committees or the Australian Government for targeted financial sanctions or similar measures (this list is currently available at <a href="http://dfat.gov.au/international-relations/security/sanctions/pages/consolidated-list.aspx">http://dfat.gov.au/international-relations/security/sanctions/pages/consolidated-list.aspx</a> ).
<b>Special Conditions</b>	the terms and conditions (if any) set out in <b>Item 14 of Part A (Agreement Details)</b> .
<b>Subcontractor</b>	any third party engaged by the Recipient through a contract for goods or services to perform part of the Activity.
<b>Third Party Material</b>	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.
<b>Total Funds</b>	the amount specified in <b>Item 5 of Part A (Agreement Details)</b> , as reduced in accordance with this Agreement.
<b>Warranted Materials</b>	<ul style="list-style-type: none"> <li>(a) Pre-existing Recipient Material;</li> <li>(b) Third Party Material; and</li> <li>(c) Agreement Material.</li> </ul>
<b>World Bank List</b>	the list of organisations maintained by the World Bank in its "Listing of Ineligible Firms and Individuals" of firms and individuals who are ineligible to be awarded a World Bank-financed contract because they have been sanctioned under the Bank's fraud and corruption policy (this list is currently available at <a href="http://web.worldbank.org/external/default/main?theSitePK=84266&amp;contentMDK=64069844&amp;menuPK=116730&amp;pagePK=64148989&amp;piPK=64148984">http://web.worldbank.org/external/default/main?theSitePK=84266&amp;contentMDK=64069844&amp;menuPK=116730&amp;pagePK=64148989&amp;piPK=64148984</a> ).



## 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 part is to a clause or paragraph of, or part 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, AS, \$A, 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 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) Part A – Agreement Details;
  - (b) Part B – General Conditions;
  - (c) Part C – Activity Proposal;
  - (d) any attachments to Activity Proposal; and
  - (e) 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 33 (Termination)** or **Clause 31.4 (Force Majeure Events, Termination)**.

## Activity

### 4. Activity

#### 4.1 Undertaking the Activity

- (a) The Recipient must:
- (i) undertake the Activity in accordance with the Activity Proposal and the terms and conditions of this Agreement to achieve the Outcomes;
  - (ii) undertake the Activity diligently, effectively, safely and to a professional standard;
  - (iii) comply with all Laws applicable to the performance of this Agreement, including as set out in **Clause 28(a) (Compliance with Laws and Policies)**;
  - (iv) take responsibility for the security of all of its Personnel and for taking-out and maintaining appropriate insurances applicable to the performance of this Agreement;
  - (v) not, by act or omission, place DFAT in breach of its obligations under the *Work Health and Safety Act 2011* (Cth); and
  - (vi) not engage a Former DFAT Employee in any capacity in connection with the Activity unless DFAT has approved the engagement.
- (b) The Recipient must make reasonable efforts to:
- (i) ensure that in its performance of the Activity, all of its Personnel, while in the Partner Country, respect and comply with the Laws and regulations applicable to the performance of this Agreement in force in the Partner Country;
  - (ii) meet the completion dates for the Milestones, as specified in the Activity Proposal;
  - (iii) start the Activity by the Activity Start Date and complete the Activity by the Activity End Date; and 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.
- (c) The Recipient must advise DFAT immediately in writing of any anticipated or actual difficulties or delays in the 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 Personnel have the necessary experience, skill, knowledge, expertise and competence to undertake the Activity and (where appropriate) will hold such licences, permits or registrations as are required under any Law to undertake the Activity, 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 or change 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 change in an intended Outcome and justification for the request;
  - (ii) the impact the proposed variation 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, the proposed variation will not vary this Agreement or be binding unless and until a variation to this Agreement is made in accordance with **Clause 36.3 (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 **Clause 15 (Reporting)**.
- (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 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) (When Funds cannot be used)** 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;
  - (iii) which the Recipient solely controls; and
  - (iv) that bears a rate of interest consistent with the interest rate of Australia as issued by the Reserve Bank of Australia or the equivalent rate set by the Reserve Bank of the Partner Country.
- (b) 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.
- (c) 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;
- (d) notify DFAT, prior to the receipt of any Funds, of details sufficient to identify the account;
- (e) 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;
- (f) 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(e) (Bank Account)** in respect of the new account; and

## 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.
- (b) DFAT's liability under this Agreement is limited to:
  - (i) the Total Funds (**Item 5 of Part A (Agreement Details)**); or

- (ii) the amount of grant funding paid under this Agreement (and any amount of grant funding for which DFAT is liable under **Clause 32.5(a) (Effective on Receipt)** or **Clause 33.1(c)(i) and (ii)**),

whichever is the lesser.

## 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 this Agreement, by the amount that was spent other than in accordance with this Agreement.

## 7.4 Due date for payment

Subject to this **Clause 7 (Payment of Funds by DFAT)** and DFAT being satisfied with:

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

DFAT must 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 this Agreement and the Activity; and
- (b) 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 **Table 2 (Payment Criteria)** of **Part A (Agreement Details)**, the Recipient must submit to DFAT a claim for payment of the relevant instalment of the grant funding.
- (b) A Payment Claim submitted under clause must include a correctly rendered invoice to DFAT in accordance with the requirements specified in **Clause 9 (Invoicing Requirements)**.

## 9. Invoicing Requirements

- (a) To be a correctly rendered invoice the invoice must include:
  - (i) the agreement number and Activity title;
  - (ii) the payment event number(s) notified by DFAT;
  - (iii) the amount of grant funding to be paid by DFAT together with any substantiating material required;
  - (iv) the name of the DFAT Representative;
  - (v) be accompanied by any supporting documentation and other evidence specified in **Table 2 (Payment Criteria)** of **Part A (Agreement Details)** for that instalment; and
  - (vi) such other information as DFAT requires.
- (b) Where Australian GST applies to this Agreement, all invoices must be in the form of a valid tax invoice. Invalid tax invoices will be returned to the Recipient. Information on what constitutes a valid tax invoice can be found at: <http://www.ato.gov.au/businesses/content.asp?doc=/content/50913.htm>
- (c) Invoices must be submitted to:
 

Department of Foreign Affairs and Trade – Australian Aid Program  
GPO Box 887  
Canberra ACT 2601 Australia

or

**s 22(1)(a)(ii)** [@dfat.gov.au](mailto:@dfat.gov.au) and a copy sent to the DFAT Representative.

## 10. PAYG tax

### 10.1 PAYG withholding tax

- (a) If the Recipient's ABN is not stated in this Agreement, 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:  
<http://www.ato.gov.au/Business/Australian-business-number/In-detail/Statement-by-a-supplier/Statement-by-a-supplier--not-quoting-ABN-to-an-enterprise/>.
- (b) If the Recipient does not satisfy its obligations under **Clause 10.1(a) (PAYG withholding tax)**, 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.

## 11. Repayment

### 11.1 Misspent Funds

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

### 11.2 Unspent Funds

Within thirty (30) days of the earlier of the Activity End Date, expiry or termination of this Agreement, the Recipient shall return to DFAT 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).

### 11.3 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 11 (Repayment)** or **Clause 13 (Assets)**.
- (b) If DFAT gives a notice under **Clause 11.3(a) (Repayment notice)**, 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.

### 11.4 Interest

If the Recipient fails to make payment as required by **Clause 11.3 (Repayment notice)**, 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.

### 11.5 DFAT's rights

This **Clause 11 (Repayment)** does not limit any other right or remedy of DFAT.

## 12. Procurement and Grants

- 12.1 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.
- 12.2 If funds are being used to provide grants to third-party recipients, the Recipient must implement procedures so that granting is undertaken in a manner consistent with the principles of the Australian Commonwealth Grant Rules and Guidelines (<https://www.finance.gov.au/resource-management/grants/>) in particular the seven Key Principles for Grants Administration.
- 12.3 If funds are being used to provide grants to third-party recipients, the Recipient must ensure its grant agreements with third-parties includes clauses addressing the requirements set out in:
- (i) **Clause 27 (Prohibited Dealings);**
  - (ii) **Clause 28 (Child protection);**
  - (iii) **Clause 29 (Compliance with Laws and policies); and**
  - (iv) **Clause 30 (Fraud).**

## 13. Assets

### 13.1 Ownership

The Recipient must not use the Funds to acquire any Assets, apart from those Assets specified in the Activity Proposal without the prior approval of DFAT.

### 13.2 Asset Threshold

The threshold for assets under this agreement is \$5,000 (inclusive of GST or equivalent tax).

### 13.3 Asset Register

- (a) The Recipient must maintain an Asset Register for Assets under this Agreement which must record:
  - (i) all non-consumable items of a portable nature with a value below the Asset Threshold;
  - (ii) all Assets with a value at or above the Asset Threshold at the time of purchase;
  - (iii) Asset description;
  - (iv) purchase price or total lease cost;
  - (v) date of purchase or lease and date of payment;
  - (vi) reason for acquisition;
  - (vii) type and term of lease (if applicable);



- (viii) date of receipt of the Asset at the Activity site;
  - (ix) identification number for the Asset;
  - (x) location of Asset;
  - (xi) current value of the Asset (purchase price minus depreciation);
  - (xii) disposal date;
  - (xiii) disposal method; and
  - (xiv) reason for disposal.
- (b) Subject to the requirements of this **Clause 13 (Assets)** and the terms of any lease, the Recipient will own the Assets unless otherwise specified in **Part C (Activity Proposal)**.

#### 13.4 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 **Clause 13.3 (Asset Register)** and provide a copy of the Assets Register to DFAT on request.
- (c) The Recipient must reconcile the Asset Register with the Assets annually and include the results of that reconciliation in the annual report to be provided to DFAT set out in **Clause 15.3 (Annual Reports)**.
- (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.

#### 13.5 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 26 (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.

### 13.6 Termination

On termination or expiry of this Agreement, if DFAT requires the Recipient to use, deal with or transfer any Asset in a way other than that specified in Clause 13.5, DFAT must notify the Recipient within 30 business days from the date of termination or expiry of this Agreement.

### 13.7 Lost or damaged Assets

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

- (a) reinstate the Asset without using any of the Funds (including using the proceeds of insurance) provided for this agreement (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 13 (Assets)** continues to apply to the reinstated Asset.

## 14. Monitoring progress

### 14.1 Progress meetings

- (a) The Parties will meet at the times and in the manner reasonably required by DFAT to discuss any issues in relation to this Agreement or the Activity. The Recipient must ensure that the Recipient Representative, and DFAT must ensure the DFAT Representative, is reasonably available to attend such meetings and answer any queries relating to the Activity raised by either Party.
- (b) The individual costs of attending these meetings are the responsibility of each individual Party.

### 14.2 Evaluation

- (a) DFAT may at any time undertake, or engage an expert to undertake a review or evaluation of the Activity entered into through the Activity or of DFAT's grant programs.
- (b) In relation to any review or evaluation of the 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. Reporting

### 15.1 Reporting

- (a) The Recipient must provide DFAT with Reports in accordance with this **Clause 15 (Reporting)**.
- (b) When the Recipient provides DFAT with a Report, DFAT will notify the Recipient in writing within 30 days after receiving the Report that it has either:
  - (i) accepted the Report; or
  - (ii) rejected the Report, providing reasons for its rejection.
- (c) If DFAT rejects a Report, the Recipient must reissue the Report in a form that addresses the reasons for the earlier rejection and DFAT will comply with **Clause 15.2(b) (Milestone reports)** in relation to any reissued Report. Deadline for resubmission of the Report will be mutually agreed in writing by the Parties.
- (d) Acceptance of a Report by DFAT does not constitute a release of the Recipient in respect of any matter, an admission or acceptance that the Recipient's performance complies with this Agreement, or acceptance of the accuracy of the Report.

### 15.2 Milestone reports

- (a) The Recipient must provide Milestone reports as required by the Activity Proposal.
- (b) Each Milestone report must include:
  - (i) the name of the Recipient and all Subcontractors (including Grantees);
  - (ii) a contact name, telephone number and email address;
  - (iii) the Activity title and number;
  - (iv) the individual 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 (Bank Account)**;
  - (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.

### 15.3 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 (including Grantees);
  - (ii) the Activity title and number;
  - (iii) the period to which the Annual 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 (Bank Account)**;
  - (vii) a report on the reconciliation of Assets required and a current 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.

#### 15.4 Acquittal reports

- (a) The Recipient must provide acquittal reports:
  - (i) As required by the Payment Criteria in **Table 2 (Payment Criteria)** of **Part A (Agreement Details)**; and
  - (ii) within 60 days after the earlier of the Activity End Date, expiry or termination of this Agreement .
- (b) Each acquittal report must include the following:
  - (i) To be prepared by an Independent Auditor
    - (A) 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; and
    - (B) 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 remedial action recommended.
  - (ii) To be prepared by the CEO/CFO of the Recipient, 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 (Bank Account)**.

### 15.5 Final report

- (a) Unless stated otherwise, 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 (Bank Account)**;
  - (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.

### 15.6 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.

## Subcontracting

### 16. 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). [*Note to Recipients: The Workplace Gender Equality Act 2012 (Cth) applies to employers who employ 100 or more employees in Australia and provides for certain reporting obligations by those employers. Failure to comply with this Act may mean that the Director of Workplace Gender Equality may name a person as non-compliant with this Act.*]

- (d) The Recipient must ensure that any Subcontractor complies with all Laws and policies, including the following clauses:
  - (i) **Clause 19 (Confidentiality);**
  - (ii) **Clause 20 (Records, books and accounts);**
  - (iii) **Clause 21 (Audit and access);**
  - (iv) **Clause 25 (Insurance);**
  - (v) **Clause 26 (Conflict of interest);**
  - (vi) **Clause 27 (Prohibited Dealings);**
  - (vii) **Clause 28 (Child protection);**
  - (viii) **Clause 28(a) (Compliance with Laws and policies);** and
  - (ix) **Clause 30 (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

### 17. Intellectual Property Rights

#### 17.1 Pre-existing Recipient Material and Third Party Material

- (a) This **Clause 17 (Intellectual Property Rights)** 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.

#### 17.2 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) Unless otherwise specified 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:
  - (A) the Agreement Material; and
  - (B) 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; and

- (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 conditions or restrictions specified in **Item 11 of Part A (Agreement Details)** and 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.

### 17.3 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 17 (Intellectual Property Rights)**.

### 17.4 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 24 (Indemnity)** 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.

## 18. Moral Rights

### 18.1 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.

### 18.2 Specified Acts

- (a) In this **Clause 18.2 (Specified Acts)**, unless otherwise specified in **Item 11 of Part A (Agreement Details)**, **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 18.2 (Specified Acts)**, 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.

## 19. Confidentiality

### 19.1 Prohibition on disclosure

- (a) Subject to **Clause 19.2** 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.

### 19.2 Exceptions to obligations

The obligations on the Parties under **Clause 19.1 (Prohibition on disclosure)** 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.

### 19.3 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.



## 19.4 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.

## 20. Records, books and accounts

### 20.1 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 30 (Fraud)**;
  - (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.

### 20.2 Costs

The Recipient must bear its own costs of complying with this **Clause 20 (Records, books and accounts)**.

### 20.3 Survival

This **20 (Records, books and accounts)** applies for the Agreement Period and for a period of seven years from the expiry or termination of this Agreement.

## 21. Audit and access

### 21.1 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 under this Agreement;
  - (vi) the Recipient's compliance with its *Child Protection Policy* obligations under **Clause 28 (Child protection)**;
  - (vii) the Recipient's compliance with Laws, guidelines and policies including the policies listed at **Clause 28(a) (Compliance with Laws and Policies)**;
  - (viii) the Recipient's compliance with its Fraud control strategy and policies including Fraud prevention, reporting and investigation obligations under this Agreement;
  - (ix) Material (including records, books and accounts) in the possession of the Recipient relevant to the Activity or 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.

## 21.2 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 21 (Audit and access)**, and provide DFAT with any reasonable assistance requested by DFAT to use that hardware and software.

## 21.3 Conduct of audit and access

DFAT must use reasonable endeavours to ensure that:

- (a) audits or reviews performed pursuant to **Clause 21.1 (Right to conduct audits or reviews)** above; and
- (b) the exercise of the general rights granted by **Clause 21.2 (Access by DFAT)** 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.

DFAT agrees to ensure that its personnel or representatives involved in any audit under or in connection with **Clause 21.1 (Right to Conduct Audit)** or **Clause 21.2 (Access by DFAT)** comply with any reasonable policy and procedure of the Recipient with respect to work health and safety (WH&S), security and other policy in operation at the premises being accessed. DFAT agrees to inform the Auditor General, Information Commissioner, Privacy Commissioner and Freedom of Information Commissioner that the Recipient will require personnel or representatives of those agencies to similarly comply with these policies when undertake an audit under or in connection with **Clause 21.1** or **Clause 21.2**.

#### **21.4 Costs**

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

#### **21.5 DFAT officers and experts**

The rights of DFAT under **Clause 21.2(a)(i)** to **Clause 21.2(a)(iii) (Right to conduct audits or reviews)** 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 14.2 (Evaluation)**.

#### **21.6 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 **Clause 21 (Audit and access)** 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.

#### **21.7 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.

#### **21.8 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 21 (Audit and access)**.

#### **21.9 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.

#### 21.10 Survival

This **Clause 21 (Audit and access)** applies for the Agreement Period and for a period of seven years from the expiry or termination of this Agreement.

## 22. Acknowledgement and publicity

### 22.1 Acknowledgment by Recipient

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.

### 22.2 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.

### 22.3 Announcements

- (a) The Recipient must, before making a public announcement in connection with this Agreement or any transaction contemplated by it, provide DFAT with **reasonable** prior written notice, except if the announcement is 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.

### 22.4 Activity Events

- (a) The Recipient must not undertake, or participate in any way in, any Activity Event, without providing DFAT with reasonable prior written notice.
- (b) The Recipient must:
  - (i) notify DFAT of a proposed Activity Event at a reasonable interval prior to 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.

## Risk management

### 23. Risk management

- (a) The Recipient is responsible for, accepts, and 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.

### 24. Indemnity

- (a) The Recipient at all times indemnifies and holds harmless DFAT, its officers and employees (referred to in this **Clause 24 (Indemnity)** 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 24(a)(ii) (Indemnity)** or **Clause 24(a)(ii)**, arising out of or as a consequence of:
    - (v) the unlawful, negligent or wilfully wrongful, act or omission of the Recipient, or its 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 19 (Confidentiality)** or **Clause 16(b) (Subcontractors)**; or
    - (viii) without limiting the preceding paragraphs, any breach of this Agreement by the Recipient, or its Personnel.
- (b) The Recipient's liability to indemnify those indemnified under **Clause 24(a)** will be reduced proportionally to the extent that:
  - (i) any negligent act or omission of those indemnified contributed to the loss; or
  - (ii) those indemnified failed to take reasonable steps to mitigate the loss or liability.

### 25. Insurance

#### 25.1 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 **Item 12 of Part A (Agreement Details)**.

- (b) If it is specified in **Item 12 of Part A (Agreement Details)** 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 the Agreement.

## 25.2 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 25 (Insurance)**.

## 26. Conflict of interest

### 26.1 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.

### 26.2 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.

## 27. Prohibited Dealings

- (a) 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).
- (b) 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).
- (c) 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.

- (d) 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.

- (e) 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.

- (f) The Recipient must have regard to the Australian Government guidance "*Safeguarding your organisation against terrorism financing: a guidance for non-profit organisations*", available from the Australian Attorney-General's Department website.
- (g) The Recipient warrants that the Recipient and its 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.
- (h) The Recipient must not, and must ensure that its 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 this Agreement; or
  - (ii) engage in any practice that could contravene the Australian offence of bribing a foreign public official.

## 28. Child protection

- (a) The Recipient must comply, and must ensure that its 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 **Clause 28(a) (Child Protection)**. DFAT will give reasonable notice to the Recipient and the Recipient must participate co-operatively in any such review.



## 29. Compliance with Laws and Policies

### 29.1 Laws and Policies

- (a) The Recipient must, and must ensure that its Personnel, have regard to and comply with relevant and applicable Laws, guidelines and policies, including those in Australia and in the Partner Country.
- (b) The Recipient must, and must ensure that its Personnel comply with all DFAT policies as listed on DFAT's website <http://www.dfat.gov.au>.
- (c) 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>. This list is not exhaustive and is provided for information only.
- (d) The provision of the list referenced at **Clause 28(a)(b)(Compliance with Laws and Policies)** above does not relieve the Recipient from complying with the obligations contained in this **Clause 28(a) (Compliance with Laws and Policies)**.
- (e) The Recipient must have regard to and comply with the Statement of International Development Practice Principles available on the DFAT website.

### 29.2 Preventing Sexual Exploitation, Abuse and Harassment (PSEAH)

- (a) The Recipient must comply, and must ensure that its Personnel comply, with DFAT's Preventing Sexual Exploitation, Abuse and Harassment Policy, accessible at <http://www.dfat.gov.au/pseah>.
- (b) DFAT may conduct a review of the Recipient's compliance with DFAT's Preventing Sexual Exploitation, Abuse and Harassment Policy. DFAT will give reasonable notice (at least 14 calendar days) to the Recipient and the Recipient must participate co-operatively in any such review.
- (c) The Recipient must report to [seah.reports@dfat.gov.au](mailto:seah.reports@dfat.gov.au) any suspected or alleged case of sexual exploitation, abuse and harassment that relates to the Activity within 48 hours of becoming aware of the case. The Recipient must report to DFAT any alleged incidents of non-compliance with DFAT's Preventing Sexual Exploitation, Abuse and Harassment Policy within 5 business days.
- (d) In reporting to DFAT as required pursuant to **Clause 29.2(c)**, the Recipient must comply with the *Privacy Act 1988* (Cth) and the privacy provisions in the Sexual Exploitation, Abuse and Harassment (SEAH) Incident Notification Form, available on DFAT's website.

## 30. Fraud

### 30.1 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.

### 30.2 Prevention of Fraud

- (a) The Recipient must not, and must ensure that its 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, and its Personnel;
  - (ii) development of guidance on anti-corruption and bribery and delivery of materials and training to the Recipient's Personnel;
  - (iii) provision of mandatory fraud control awareness training to all of the Recipient's 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 20 (Records, books and accounts)**.

### 30.3 Investigation of Fraud

- (a) The Recipient must report in writing within **five (5) 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 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 **Clause 30.3 (b) (Investigation of Fraud)** 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 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, or its 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.

#### 30.4 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 30 (Fraud)**.

#### 30.5 Survival

This **Clause 30 (Fraud)** 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 **Clause 30.3 (Investigation of Fraud)** above;
- (c) any investigation commenced by the Recipient under **Clause 30.3 (Investigation of Fraud)**, but not completed, before the date of termination or expiry of this Agreement;
- (d) any investigation commenced by DFAT under **Clause 30.3 (Investigation of Fraud)** above, but not completed, before the date of termination or expiry of this Agreement; and

- (e) any investigation completed by the Recipient under **Clause 30.3 (Investigation of Fraud)** above, or by DFAT under **Clause 30.3 (Investigation of Fraud)**, 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.

## 31. Force Majeure Events

### 31.1 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, natural disasters, acts of war, act of terrorism, 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').

### 31.2 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.

### 31.3 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.

### 31.4 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.

### 31.5 Consequences of termination

If this Agreement is terminated under **Clause 31.4(Termination)** 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.

## 32. Dispute resolution

### 32.1 No arbitration or court proceedings

If a dispute arises in relation to this Agreement ('Dispute'), a Party must comply with **Clause 32.3 (Parties to resolve Dispute)** 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 **Clause 32.3 (Parties to resolve Dispute)**.

### 32.2 Notification

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

### 32.3 Parties to resolve Dispute

During the **60 days** after a notice is given under **Clause 32.2 (Notification)** (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.

### 32.4 Breach of this clause

If a Party breaches **Clauses 32.1 (No arbitration or court proceedings)** to **32.3 (Parties to resolve Dispute)** above, the other Party does not have to comply with those clauses in relation to the Dispute.

### 32.5 Exception

For the purpose of this **Clause 32 (Dispute resolution)**, 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 11 (Repayment)**; or
- (d) terminating this Agreement or reducing the scope of the Activity under **Clause 33 (Termination)**.

### 33. Termination

#### 33.1 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 **Clause 33.1 (Termination for convenience)**, 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 **Clause 33.1(e) (Termination for convenience)**, 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 **Clause 33.1(c)(iii) (Termination for convenience)** 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.

#### 33.2 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) 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;
  - (v) in DFAT's reasonable opinion, it is unlikely that the Recipient will be able to achieve a Milestone to DFAT's satisfaction;
  - (vi) 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;
  - (vii) a Related Agreement is terminated by DFAT for default by the Recipient;
  - (viii) there is a Change in Control of the Recipient; or
  - (ix) an Insolvency Event occurs in relation to the Recipient.
- (b) Without limitation, for the purposes of **Clause 33.2(a)(i) (Termination for default)**, 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 (Subcontractors)**;
  - (iv) a failure to comply with **Clause 17 (Intellectual Property Rights)**;
  - (v) a failure to comply with **Clause 25 (Insurance)**;
  - (vi) a failure to notify DFAT of a conflict of interest under **Clause 26 (Conflict of interest)**;
  - (vii) a failure to comply with **Clause 28 (Child Protection)**;
  - (viii) a failure to comply with **Clause 28(a) (Compliance with Laws and policies)**;
  - (ix) a breach of warranty or a failure to comply with **Clause 30 (Fraud)**; and
- (c) If the scope of the Activity is reduced under this **Clause 33.2 (Termination for default)**:
- (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).



### 33.3 DFAT rights

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

- (a) subject to **Clause 31.5 (Consequences of termination)** and **33.1(c) (Termination for convenience)**, 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 11 (Repayment)** and **Clause 13 (Assets)**.

### 33.4 Termination does not affect accrued rights

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

## General obligations

### 34. Survival

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

- (a) **Clause 6 (Use of Funds by Recipient);**
- (b) **Clause 10 (PAYG tax);**
- (c) **Clause 11 (Repayment);**
- (d) **Clause 13 (Assets);**
- (e) **Clause 14.2(Evaluation);**
- (f) **Clause 15 (Reporting);**
- (g) **Clause 17 (Intellectual Property Rights);**
- (h) **Clause 18 (Moral Rights);**
- (i) **Clause 19 (Confidentiality);**
- (j) **Clause 20 (Records, books and accounts);**
- (k) **Clause 21 (Audit and access);**
- (l) **Clause 22 (Acknowledgment and publicity);**
- (m) **Clause 24 (Indemnity);**
- (n) **Clause 25 (Insurance);**
- (o) **Clause 27 (Prohibited Dealings);**
- (p) **Clause 30 (Fraud);**
- (q) **Clause 33.3(DFAT rights); and**
- (r) **Clause 36.2 (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.

## 35. Notices and other communications

### 35.1 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 prepaid post, facsimile or email to the recipient's address for Notices specified in **Part A (Agreement Details)**, as varied by any Notice given by the recipient to the sender.

### 35.2 Effective on receipt

A Notice given in accordance with **Clause 35.1 (Service of Notices)** delivered by hand, prepaid post or facsimile 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.

### 35.3 Notices by email

- (a) A Notice relating to a matter under **Clause 31.4 (Termination)**, **Clause 32 (Dispute Resolution)** or **Clause 33 (Termination)** must not be sent by email.
- (b) Subject to **Clause 35.3(c) (Notices by email)** below, a Notice given in accordance with **Clause 35.1 (Service of Notices)** 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 **Part A (Agreement Details)** 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.

## **36. Miscellaneous**

### **36.1 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.

### **36.2 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.

### **36.3 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.

### **36.4 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.

### **36.5 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.

### **36.6 Costs**

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

### **36.7 Counterparts**

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

### **36.8 No merger**

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

**36.9 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.

**36.10 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.

**36.11 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.

**36.12 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.

**36.13 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, partner 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, agency or partnership between the Parties.

**36.14 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.

**36.15 False or misleading information**

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

**36.16 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;
- (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.

**36.17 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.

## Part C – Activity Proposal

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As attached on the following pages

10 March 2020

## Article 1. Investment Design Template

This template provides a recommended structure for the project design. It should be less than 15 pages, plus annexes.

<b>Project Title: Building Capacity for Evidence Based Sustainable Vector Surveillance and Control in the Pacific</b>			
<b>Start date:</b>	TBD	<b>End date:</b>	30 June 2022
<b>Total proposed DFAT funding:</b> AUD 5,124,884		<b>Total funding from all sources:</b> s 47G(1)(a), s 47G(1)(b)	

### A. Executive Summary (200 words max)

This project will enable more effective vector-borne disease control in Pacific Island countries (PICs) through sustainable best practice vector surveillance and control programs, with a primary focus on *Aedes* vectors and a secondary focus on *Anopheles* vectors. The project is designed to have broad regional-level impacts to improve health security. Activities will focus on essential components to support vector control, including vector surveillance, implementing best-practice approaches, improved data management, communication and community engagement. A major outcome will be practical and actionable country-specific strategic plans to enable sustainable control, containment and outbreak responses.

**Outcomes:** The project will achieve the following sustainable outcomes:

1. Capacity of PIC MoH Vector Borne-disease Control Programs (VBDCPs) assessed with an online tool that can subsequently track changes in capacity
2. Increased capacity to implement best practice vector surveillance and control in PICs at the national and subnational levels
3. Ready access to vector data for decision-making
4. Defined frameworks for vector surveillance and control activities tailored to the needs of the individual PICs

**Beneficiaries:** MoH staff will be the immediate beneficiaries of this project, but the ultimate beneficiaries will be the populations of partner countries, particularly women and children, by reducing the burden of vector-borne diseases.

### B. Development Context (300 words max)

A challenge underpinning VBDCPs across the Pacific is the lack of vector control capacity and capability. For PICs, the only option is reactive vector control in response to the detection of cases during clinical presentation at health facilities. However, most arboviral cases are asymptomatic and reported cases are unlikely to truly represent the extent of transmission. Moreover, passive case detection through facilities often has significant delays in reporting to responders including the national and subnational VBDCPs. As such, arbovirus transmission is often detected too late for containment and in small island nations outbreaks of dengue overwhelm health systems a respond is mounted. Outbreaks occur sporadically so that many PICs are underprepared, and lack ready stocks of necessary supplies and equipment to conduct vector control activities (e.g., insecticides unavailable or expired, training outdated, and equipment not maintained). Vector insecticide susceptibility is unknown or not used to select insecticides for outbreak control.

Underlying this is a lack of up-to-date strategic planning that incorporates resistance management plans, frameworks for decision making and action, and procurement of supplies for effective vector-borne disease prevention, containment and outbreak control.



As a result, the full impact potential of vector control operations is not achieved, even though this is the only available and effective preventative measure against *Aedes*-borne disease transmission. There is a critical need for VBDCPs to adopt a proactive and sustainable approach to vector control, moving away from reactive outbreak activities towards sustainable reductions in vector densities that will reduce the scale and frequency of outbreaks. Outbreaks of arboviruses have increased in frequency, scale and impact in PICs, with 18 dengue, 7 chikungunya and 3 Zika outbreaks affecting 120,000 people in the Pacific from 2012 to 2014<sup>1</sup>. In the Western Pacific Region dengue cases more than doubled from 2008 to over 460,000 cases in 2014.

C. Proposed Outcomes and Activities (2,000 words max)

*Program Logic*

s 47G(1)(a), s 47G(1)(b)

<sup>1</sup> Roth A et al., 2014. <https://doi.org/10.2807/1560-7917.ES2014.19.41.20929>

*Activities*

- › Outline key activities and how they will contribute to the expected outcomes of the project.

s 47G(1)(a), s 47G(1)(b)

s 47G(1)(a), s 47G(1)(b) - this page, together with the following pages (58 to 67) are exempt and have been removed.

s 47G(1)(a), s 47G(1)(b)

## J. Annexes

### *Required Annexes:*

- › Program Logic model (if not included in the main document)

### Included in main document

- › 'Minimum Sufficient' M&E Framework
- › Project Budget

## (a) 'Minimum sufficient' Monitoring and Evaluation Framework

### Objective 1.

Minimum Sufficient Monitoring and Evaluation Framework	
Broader goal	To contribute to the avoidance and containment of infectious disease threats in the Indo-Pacific with the potential to cause social and economic harms on a national, regional or global scale
Use	To mitigate infectious disease threats through support for improved <u>vector surveillance</u>
Desired Result	Partner governments in all focus countries achieve measurable improvements in <u>vector surveillance and control</u> core capacities with a focus on <i>Aedes</i> by 2022: Country surveillance capacity defined for baseline
Indicator	Vector control needs assessment completed for each partner country
Target	>80% of countries complete survey
Data collection method & frequency	On-line survey instrument at baseline with face-to-face meeting; survey to be repeated at the end of the project.
Who will collect and analyse the data	JCU
Risks	Countries do not complete the needs assessment. Mitigation: WHO as a champion to promote the importance and as a first step to participate in training activities
Intermediate outcomes	Vector control needs assessment for each partner country
Baseline	Unknown capacity of MoH for vector surveillance



<b>Outputs</b>	<p>Survey developed</p> <p>Regional workshop is convened</p> <p>Dataset analysed and workplan created</p> <p>Workplan is approved by steering committee</p>
<b>Activities</b>	<p>Vector control needs assessment extracted from WHO</p> <p>Translation to online survey</p> <p>Pre-test online survey</p> <p>Completion of survey</p> <p>Survey data extraction and analyses</p> <p>Summarise program gaps</p> <p>Workshop convened for needs assessment</p> <p>In-country follow-up</p> <p>Workplan for capacity development produced</p>
<b>Inputs</b>	<p>Large and capable consortium, composed of implementing partners that have vast experience building capacity in the Partner Countries</p> <p>Strategic direction will be provided by WHO as a co-lead to ensure that all activities align with the Global Vector Control Response 2017-2030</p> <p>Significant in-kind contributions are being made by many senior technical experts</p> <p>The consortium partners provide strong linkages with other collaborators outside the network as well as other countries of the region</p>
<b>Deliverables</b>	<p>MoHs of participating PICs will provide an assessment of their activities and capacity for vector surveillance which will be summarised as a deliverable and used to determine priority capacity training to be delivered.</p>
<b>Distribution</b>	<p>Eligible participants to meetings and workshops will consider gender, age and disability in the selection process. Gender, age and disability of participants selected for meetings and workshops will be documented and reported.</p>

## Objective 2. Increased capacity to implement best practice vector surveillance and control in PICs

Minimum Sufficient Monitoring and Evaluation Framework	
Broader goal	To contribute to the avoidance and containment of infectious disease threats in the Indo-Pacific with the potential to cause social and economic harms on a national, regional or global scale
Use	To mitigate infectious disease threats through support for improved <u>vector surveillance</u>
Desired Result	Partner governments in all focus countries achieve measurable improvements in <u>vector surveillance and control</u> core capacities with a focus on <i>Aedes</i> by 2022:
Indicator	Training curriculum is developed
Target	>5 regional workshops are delivered
Data collection method & frequency	Assessment of improved capacity will be delivered as part of workshops with in-country mentoring
Who will collect and analyse the data	JCU will collate workshop assessments delivered by technical partners (workshops selected to fill country capacity gaps)
Risks	<p>Training does not address needs of the countries</p> <p>Capacity building not aligned with best practice recommendations</p> <p>Workshops fail to enhance capacity.</p> <p>Workshop country participants not having the job responsibilities covered in the course.</p>
Intermediate outcomes	Enhanced capacity for vector surveillance and control



<b>Baseline</b>	TBD by baseline assessment
<b>Outputs</b>	<p>Training curricula completed and available online</p> <p>Assessments of student capacity before and after workshops</p> <p>Updated <i>Aedes</i> distribution maps insecticide</p> <p>Updated <i>Aedes</i> insecticide resistance profiles</p> <p>Country specific morphological keys</p> <p>Post-training materials developed and available online (country specific keys, pictorial aids, videos)</p>
<b>Activities</b>	<p>Training workshop curricula developed</p> <p>Participants selected</p> <p>Workshops delivered</p> <p>Production of post-workshop training materials</p>
<b>Inputs</b>	<p>Large and capable consortium, composed of implementing partners that have vast experience building capacity in the Partner Countries</p> <p>Strategic direction will be provided by WHO as a co-lead to ensure that all activities align with the Global Vector Control Response 2017-2030</p> <p>Significant in-kind contributions are being made by many senior technical experts</p> <p>The consortium partners provide strong linkages with other collaborators outside the network as well as other countries of the region</p>
<b>Deliverables</b>	MoHs of participating PICs will provide an assessment of their activities and capacity for vector surveillance which will be summarised as a deliverable and used to determine priority capacity training to be delivered.
<b>Distribution</b>	Eligible participants to meetings and workshops will consider gender, age and disability in the selection process. Gender, age and disability of participants selected for meetings and workshops will be documented and reported.

## Objective 3. Data Management

Minimum Sufficient Monitoring and Evaluation Framework	
Broader goal	To contribute to the avoidance and containment of infectious disease threats in the Indo-Pacific with the potential to cause social and economic harms on a national, regional or global scale
Use	To mitigate infectious disease threats through support for improved <u>vector surveillance</u>
Desired Result	Partner governments in all focus countries achieve measurable improvements in <u>vector surveillance and control</u> data capture, management and presentation for decision-making
Indicator	Training curriculum is developed Number of data records uploaded and accessed (number of views)
Target	Software training workshop delivered Software for vector data integrated with DHIS2 in >5 PICs
Data collection method & frequency	Assessment of improved capacity will be delivered as part of workshops with in-country mentoring assessed by data records entered into Tupaia
Who will collect and analyse the data	Beyond Essentials will collect data to define software requirements; JCU will collate workshop assessments delivered by Beyond Essentials Systems
Risks	Software not intuitive Software does not capture required data. Creation of a parallel system.
Intermediate outcomes	Enhanced capacity for vector surveillance and control



<b>Baseline</b>	TBD by baseline assessment (number of countries with vector data management system integrated with DHIS2 or other existing data management system)
<b>Outputs</b>	Tupaia software created to integrate with existing health information systems (no parallel system)
<b>Activities</b>	<p>Define software requirements</p> <p>Create front end interface</p> <p>Alpha testing and iterative refinement of usability with MoH stakeholders</p>
<b>Inputs</b>	<p>Large and capable consortium, composed of implementing partners that have vast experience building capacity in the Partner Countries</p> <p>Strategic direction will be provided by WHO as a co-lead to ensure that all activities align with the Global Vector Control Response 2017-2030</p> <p>Significant in-kind contributions are being made by many senior technical experts</p> <p>The consortium partners provide strong linkages with other collaborators outside the network as well as other countries of the region</p>
<b>Deliverables</b>	Defined software requirements for data capture and presentation based on MoH vector surveillance requirements
<b>Distribution</b>	Eligible participants to meetings and workshops will consider gender, age and disability in the selection process. Gender, age and disability of participants selected for meetings and workshops will be documented and reported.

Objective 4. Defined frameworks for vector surveillance and control activities tailored to the needs of the individual PICs

Minimum Sufficient Monitoring and Evaluation Framework	
Broader goal	To contribute to the avoidance and containment of infectious disease threats in the Indo-Pacific with the potential to cause social and economic harms on a national, regional or global scale
Use	To mitigate infectious disease threats through support for improved <u>vector surveillance</u>
Desired Result	Partner governments in all focus countries achieve measurable improvements in <u>vector surveillance and control</u> through strategic surveillance and response plans based on evidence based operational research
Indicator	Increase in number of PICs with vector surveillance and response plan. Successful operational research pilot to optimise the use of recommended control strategies.
Target	>5 countries with vector surveillance and response plans >5 countries design, implement and evaluate operational research
Data collection method & frequency	Needs assessment survey and regional workshop on surveillance and response plan; In-country follow-up consultations
Who will collect and analyse the data	WHO, JCU
Risks	Trying to create a perfect response plan results in a plan that can not be implemented within the present MoH capacity
Intermediate outcomes	Enhanced capacity for vector surveillance and control



<b>Baseline</b>	Number of countries with vector surveillance and response plans (TBD by baseline assessment)
<b>Outputs</b>	Country surveillance and response plans Operational research analysed with recommendations
<b>Activities</b>	Conduct needs assessment survey Convene regional workshop Draft surveillance and response plan Finalise surveillance and response plans Draft operational research plans based on PIC needs Implement and carry out and analyse operational research
<b>Inputs</b>	Large and capable consortium, composed of implementing partners that have vast experience building capacity in the Partner Countries  Strategic direction will be provided by WHO as a co-lead to ensure that all activities align with the Global Vector Control Response 2017-2030  Significant in-kind contributions are being made by many senior technical experts  The consortium partners provide strong linkages with other collaborators outside the network as well as other countries of the region
<b>Deliverables</b>	MoHs of participating PICs will provide an assessment of their for vector surveillance data which will be used to define software requirements for data capture and presentation
<b>Distribution</b>	Eligible participants to meetings and workshops will consider gender, age and disability in the selection process. Gender, age and disability of participants selected for meetings and workshops will be documented and reported.

s 47G(1)(a), s 47G(1)(b)

s 47G(1)(a), s 47G(1)(b)



# Department of Foreign Affairs and Trade

Complex Grant Agreement number 79047

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

and

James Cook University (**Recipient**)

For

Pacific Mosquito Surveillance Strengthening for Impact  
(*PacMOSSI 2.0*) (2024-2028)

# Details

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## 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 James Cook University  
ABN 46 253 211 955

Short form name **Recipient**

# Table of Contents

Background

Part A – Agreement Details

Part B – General Conditions

Part C – Activity Proposal

## Background

- A DFAT provides grant funding to support activities for overseas development assistance.
- B The Recipient applied for grant funding to perform the Activity.
- C DFAT is required by law to ensure accountability for the grant funding and accordingly the Recipient is required to be accountable for all grant funding received.
- D DFAT has agreed to provide an amount of grant funding to the Recipient for the purposes of the Activity, subject to the terms and conditions of this Agreement.
- E The Recipient accepts the grant funding for the purposes of the Activity, and subject to the terms and conditions of this Agreement.

# 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  
s 22(1)(a)(ii)

Signature of witness

s 22(1)(a)(ii)

Name of witness (print)

Date

15 APRIL 2024

s 22(1)(a)(ii)

Signature of delegate

s 22(1)(a)(ii)

Name of delegate (print)

Position of delegate and section (print)

Acting Assistant Secretary,  
Indo-Pacific Centre for Health  
Security

Signed, sealed and delivered for and on behalf of **James Cook University** by its duly authorised delegate in the presence of  
s 47F(1)

Signature of witness

s 47F(1)

Name of witness (print)

12 April 2024

Date

s 47F(1)

Signature of delegate

s 47F(1)

Name of delegate (print)

s 47F(1)

Position of delegate and section (print)

# Part A - Agreement details

Table 1 - Agreement Details

Item number	Description	Clause reference (Part B – General Conditions)	Details
1.	<b>DFAT</b>	1.1	Commonwealth of Australia as represented by the Department of Foreign Affairs and Trade ABN 47 065 634 525  Department of Foreign Affairs and Trade – Australian Aid Program R.G. Casey Building John McEwen Crescent Barton ACT 0221 Australia
2.	<b>Recipient</b>	1.1	James Cook University 1 James Cook Drive, Townsville QLD 4811 ABN 46 253 211 955
3.	<b>DFAT Representative</b>	1.1	s 22(1)(a)(ii) Program Manager, Disease Surveillance and Prevention Section
4.	<b>Recipient Representative</b>	1.1 and 14.1	s 47F(1)
5.	<b>Total Funds</b>	1.1	AUD 5,000,000 plus 500,000 GST
6.	<b>Commencement Date</b>	1.1 and 3.1	The date this Agreement is signed by the last Party.
7.	<b>Activity Start Date</b>	1.1 and 3	1 April 2024
8.	<b>Activity End Date</b>	1.1 and 4.1 (b) (iii)	30 June 2028
9.	<b>DFAT Option Period</b>	3.2	Up to 12 months
10.	<b>Agreement Period</b>	1.1 and 15.5	The period from the Commencement Date to the earlier of:  a) the date DFAT accepts the Final Report provided in accordance with Part B – <b>Clause 15.5</b> ; or  b) 15 September 2028.



Item number	Description	Clause reference (Part B – General Conditions)	Details
			<b>The earlier date as listed in a) and b) will be the Agreement Expiry Date.</b>
11.	<b>DFAT Material</b>	1.1	NA
12.	<b>Moral Rights – Specified Acts</b>	1.1 and 18	NA
13.	<b>Insurance</b>	1.1 and 25	Public liability insurance - \$20,000,000 per occurrence  Professional indemnity insurance- \$20,000,000 in the annual aggregate
14.	<b>Address for Notices</b>	35	<p><b>DFAT:</b> s 22(1)(a)(ii)</p> <p><b>Postal address:</b> Department of Foreign Affairs and Trade – Australian Aid Program  R.G. Casey Building John McEwen Crescent Barton ACT 0221 Australia</p> <p><b>Physical address:</b> R.G. Casey Building John McEwen Crescent Barton ACT 0221 Australia</p> <p><b>Email:</b> <sup>s 22(1)(a)(ii)</sup> <a href="mailto:dfat.gov.au">@dfat.gov.au</a></p> <p><b>Recipient:</b> Director, Research &amp; Innovation Services</p> <p><b>Postal address:</b> Research &amp; Innovation Services, James Cook University, 1 James Cook Drive, Townsville QLD 4811</p> <p><b>Physical address:</b> Research &amp; Innovation Services, James Cook University, 1 James Cook Drive, Townsville QLD 4811</p> <p><b>Email:</b> s 47G(1)(a), s 47G(1)(b)</p>
15.	<b>Special Conditions</b>		Nil

## Table 2 - Payment Criteria

Subject to this Agreement, DFAT will pay the grant funding (**Funds**) to the Recipient in instalments as set out in the table below upon satisfaction of the corresponding Payment Criteria:

No.	Payment Criteria	Payment Claim Due Date	Tranche amount (AUD)
1.	<ul style="list-style-type: none"><li>DFAT will pay Tranche 1 within thirty (30) days of the Commencement Date of this Agreement and subject to receipt of a correctly rendered invoice.</li></ul>	s 47G(1)(a), s 47G(1)(b)	
2.	<ul style="list-style-type: none"><li>Milestone report for the period 01 January – 30 June 2025 (as per Milestone 7), received and accepted by DFAT no later than 31 August 2025;</li><li>All previous reporting milestones (Milestones 1 to 6) having been submitted and accepted by DFAT (See Table 3);</li><li>Financial progress report (in a format and reporting mechanism agreed by DFAT) demonstrating reasonable expenditure of Tranche 1; and</li><li>a correctly rendered invoice for Tranche 2.</li></ul>		
3.	<ul style="list-style-type: none"><li>Milestone report for the period 01 January – 30 June 2026 (as per Milestone 9), received and accepted by DFAT, due no later than 31 August 2026; and</li><li>All previous reporting milestones (Milestones 1 to 8) having been submitted and accepted by DFAT (See Table 3);</li><li>Financial progress report (in a format and reporting mechanism agreed by DFAT) demonstrating reasonable expenditure of Tranche 2; and</li><li>a correctly rendered invoice for Tranche 3.</li></ul>		
Total			\$5,000,000.00

### Table 3 - Milestones

The following will be Milestones for this Agreement (all Reporting must be submitted in a format and reporting mechanism agreed by DFAT):

No.	Milestone Description	Milestone Completion Indicators	Due Date
1.	Gender equality, disability and social inclusion (GEDSI) analysis	Written acceptance by DFAT	Within 6 months of the Commencement Date
2.	Gender equality, disability and social inclusion (GEDSI) strategy or plan Written acceptance by DFAT	Written acceptance by DFAT	Within 6 months of the Commencement Date
3.	Monitoring, Evaluation and Learning Plan (consistent with DFAT's Design, Monitoring and Evaluation Standards)	Written acceptance by DFAT	Within 6 months of the Commencement Date
4.	Risk Management Plan (consistent with DFAT's Design, Monitoring and Evaluation Standards)	Written acceptance by DFAT	Within 6 months of the Commencement Date
5.	DFAT and the Recipient to agree on an acceptable format and reporting mechanism for progress reporting, including Milestone and Annual reports	Written acceptance by DFAT	Within 6 months of the Commencement Date
6.	Annual report 2024	Written acceptance by DFAT	28 February 2025
7.	Milestone report for the period Jan – June 2025	Written acceptance by DFAT	31 August 2025
8.	Annual report 2025	Written acceptance by DFAT	28 February 2026
9.	Milestone report for the period Jan – June 2026	Written acceptance by DFAT	31 August 2026
10.	Annual report 2026	Written acceptance by DFAT	28 February 2027
11.	Milestone report for the period Jan – June 2027	Written acceptance by DFAT	31 August 2027
12.	Annual report 2027	Written acceptance by DFAT	28 February 2028
13.	Final Report (including Acquittal report)	Written acceptance by DFAT	60 days after the completion of the Activity in accordance with this Agreement.

# Part B General Conditions

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## Interpretation

### 1. Definitions and interpretation

#### 1.1 Defined terms

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

<b>Abandoned</b>	not having carried on any work or activities on the Activity for sixty ( <b>60</b> ) consecutive days, except where relieved of the obligation to do so under this Agreement. <b>Abandon</b> has a corresponding meaning.
<b>Activity</b>	the Activity described in <b>Part C (Activity Proposal)</b> .
<b>Activity End Date</b>	the date specified in <b>Item 8 of Part A (Agreement Details)</b> .
<b>Activity Event</b>	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.
<b>Activity Proposal</b>	as described in <b>Part C (Activity Proposal)</b> .
<b>Activity Start Date</b>	the date specified in <b>Item 7 of Part A (Agreement Details)</b> .
<b>Agreement</b>	this Agreement which is a Deed between DFAT and the Recipient, as varied from time to time in accordance with <b>Clause 36.3 (Variation)</b> , including all parts and any attachments.
<b>Agreement Material</b>	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 <b>Clause 21.2(b) (Access by DFAT)</b> .
<b>Agreement Period</b>	the period from the Commencement Date to the date DFAT accepts the final report provided in accordance with <b>Clause 15.4 (Acquittal Reports)</b> .
<b>Applicable Auditing Procedures</b>	the internal and external auditing procedures in the rules and regulations applicable to the Recipient.
<b>Application</b>	the application submitted by, for or on behalf of the Recipient for grant funding in relation to the Activity.

<b>Assets</b>	<p>(a) 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 as set out in <b>Clause 13 (Assets)</b>; and</p> <p>(b) approved identified items in <b>Part C (Activity Proposal)</b>.</p>
<b>Asset Register</b>	the register of Assets set out in <b>Clause 13.3 (Asset Register)</b> .
<b>Asset Threshold</b>	means the amount set out in <b>Clause 13.2 (Asset Threshold)</b> .
<b>Authority</b>	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.
<b>Budget</b>	the Budget set out in the Activity Proposal at <b>Part C (Activity Proposal)</b> , as varied from time to time in accordance with this Agreement.
<b>Business Day</b>	a day that is a working day in the place where the act is to be performed or where the Notice is received.
<b>Change in Control</b>	<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,</p> <p>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>
<b>Commencement Date</b>	the date specified in <b>Item 6 of Part A (Agreement Details)</b> .
<b>Commonwealth</b>	the Commonwealth of Australia.

<b>Confidential Information</b>	information that is by its nature confidential and: (a) is designated by a Party as confidential; or (b) a Party knows or ought to know is confidential, but does not include information which is or becomes public knowledge other than by breach of this Agreement or any other confidentiality obligation.
<b>Criminal Code Act List</b>	the list of organisations that are specified as a “terrorist organisation” by regulations made under the Criminal Code Act 1995 (this list is currently available at <a href="https://www.nationalsecurity.gov.au/what-australia-is-doing/terrorist-organisations/listed-terrorist-organisations">https://www.nationalsecurity.gov.au/what-australia-is-doing/terrorist-organisations/listed-terrorist-organisations</a> )
<b>DFAT</b>	the Party specified in <b>Item 1 of Part A (Agreement Details)</b> .
<b>DFAT Material</b>	any Material provided to the Recipient by DFAT, including the Material (if any) specified in <b>Item 11 of Part A (Agreement Details)</b> .
<b>DFAT Representative</b>	the person identified in <b>Item 3 of Part A (Agreement Details)</b> .
<b>Depreciation</b>	depreciation calculated for income tax purposes under, and in accordance with, the <i>Income Tax Assessment Act 1997 (Cth)</i> .
<b>Force Majeure Event</b>	has the meaning given in <b>Clause 31.1 (Occurrence of Force Majeure Event)</b> .
<b>Former DFAT Employee</b>	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 this Activity.
<b>Fraudulent Activity, Fraud or Fraudulent</b>	dishonestly obtaining a benefit, or causing a loss, by deception or other means, and includes incidents of attempted, alleged, suspected or detected fraud.  Fraud also includes conduct or practice that could contravene the Australian offence of bribing a foreign public official, and includes the making of a facilitation payment as set out in the <i>Criminal Code Act 1995 (Cth)</i> .
<b>Funds</b>	the grant funding paid by DFAT to the Recipient under this Agreement 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.
<b>General Conditions</b>	<b>Clauses 1 to 36</b> of this Agreement.



<b>Independent Auditor</b>	<p>a person who is:</p> <ul style="list-style-type: none"> <li>(a) a certified financial professional registered under the <i>Corporations Act 2001</i> (Cth); or</li> <li>(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</li> <li>(c) is in no way linked or associated with the Project/Program or the Parties.</li> </ul>
<b>Insolvency Event</b>	<p>in relation to an entity:</p> <ul style="list-style-type: none"> <li>(a) the entity disposes of the whole or any part of its assets, operations or business other than in the ordinary course of business;</li> <li>(b) the entity ceases to carry on business;</li> <li>(c) the entity ceases to be able to pay its debts as they become due;</li> <li>(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;</li> <li>(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;</li> <li>(f) where the entity is a natural person, the entity is declared bankrupt or assigns his or her estate for the benefit of creditors;</li> <li>(g) where the entity is a partnership, any step is taken to dissolve that partnership; or</li> <li>(h) anything analogous to an event referred to in paragraph (d), (e), (f) or (g) occurs in relation to the entity.</li> </ul>
<b>Intellectual Property Rights</b>	<p>all intellectual property rights, including:</p> <ul style="list-style-type: none"> <li>(a) copyright, patents, trade marks (including goodwill in those marks), designs, trade secrets, know how,</li> </ul>

	<p>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>
<b>Law</b>	<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; and</p> <p>(b) the Partner Country.</p>
<b>Material</b>	<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>
<b>Milestone</b>	<p>a milestone set out in <b>Table 3 (Milestones)</b> of <b>Part A (Agreement Details)</b>.</p>
<b>Modify</b>	<p>to add to, enhance, reduce, change, replace, vary or improve. <b>Modification</b> and <b>Modified</b> have corresponding meanings.</p>
<b>Moral Rights</b>	<p>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).</p>
<b>Notice</b>	<p>a notice, demand, consent, approval or communication issued under this Agreement.</p>
<b>Outcomes</b>	<p>the outcomes for the Activity, as set out in <b>Part C (Activity Proposal)</b>.</p>
<b>Partner Country</b>	<p>the country or countries in which the Activity is to be undertaken in whole or in part.</p>
<b>Partner Government</b>	<p>the government of the Partner Country.</p>
<b>Party</b>	<p>DFAT and the Recipient who are listed in the Details section of this Agreement. <b>Parties</b> have a corresponding meaning.</p>

<b>Payment Claim</b>	has the meaning given in <b>Clause 9(a) (Invoicing Requirements)</b> .
<b>Payment Criteria</b>	the payment criteria specified in <b>Table 2 of Part A (Agreement Details)</b> .
<b>Personal Information</b>	has the same meaning as in the <i>Privacy Act 1988</i> (Cth).
<b>Personnel</b>	in relation to a Party, any employee, officer, agent, volunteer, Subcontractor or professional adviser of that Party.
<b>Pre-existing Recipient Material</b>	Material developed by the Recipient that: <ul style="list-style-type: none"> <li>(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</li> <li>(b) is embodied in or attached to the Agreement Material, or otherwise necessarily related to the performance of the Activity.</li> </ul>
<b>Recipient</b>	the Party specified in <b>Item 2 of Part A (Agreement Details)</b> .
<b>Recipient Representative</b>	the person identified in <b>Item 4 of Part A (Agreement Details)</b> .
<b>Related Agreement</b>	any other agreement between the Parties under which DFAT provides grant funding to the Recipient, whether entered into before or after this Agreement.
<b>Reports</b>	the reports to be provided under <b>Clause 15 (Reporting)</b> .
<b>Sanctions List</b>	the list of individuals, entities or organisations designated or listed by the United Nations Security Council, its committees or the Australian Government for targeted financial sanctions or similar measures (this list is currently available at <a href="http://dfat.gov.au/international-relations/security/sanctions/pages/consolidated-list.aspx">http://dfat.gov.au/international-relations/security/sanctions/pages/consolidated-list.aspx</a> ).
<b>Special Conditions</b>	the terms and conditions (if any) set out in <b>Item 15 of Part A (Agreement Details)</b> .
<b>Subcontractor</b>	any third party engaged by the Recipient through a contract for goods or services to perform part of the Activity.
<b>Third Party Material</b>	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.
<b>Total Funds</b>	the amount specified in <b>Item 5 of Part A (Agreement Details)</b> , as reduced in accordance with this Agreement.

<b>Warranted Materials</b>	<p>(a) Pre-existing Recipient Material;</p> <p>(b) Third Party Material; and</p> <p>(c) Agreement Material.</p>
<b>World Bank List</b>	<p>the list of organisations maintained by the World Bank in its "Listing of Ineligible Firms and Individuals" of firms and individuals who are ineligible to be awarded a World Bank-financed contract because they have been sanctioned under the Bank's fraud and corruption policy (this list is currently available at <a href="https://www.worldbank.org/en/projects-operations/procurement/debarred-firms">https://www.worldbank.org/en/projects-operations/procurement/debarred-firms</a>)</p>

## 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 part is to a clause or paragraph of, or part 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\$, \$A, 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, reenactments 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 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) Part A – Agreement Details;
  - (b) Part B – General Conditions;
  - (c) Part C – Activity Proposal;
  - (d) any attachments to Activity Proposal; and
  - (e) 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 33 (Termination)** or **Clause 31.4 (Force Majeure Events, Termination)**.
- 3.2 DFAT may, at its sole discretion, extend the term of the Agreement for the DFAT Option Period, by giving the Recipient not less than 30 days written notice before the Agreement Expiry Date. Such notice will specify the date of the new Agreement Expiry Date. If DFAT exercises the option to extend, the Agreement will continue on the same terms and conditions save for the amended Agreement Expiry Date as notified to the Recipient.

# Activity

## 4. Activity

### 4.1 Undertaking the Activity

- (a) The Recipient must:
- (i) undertake the Activity in accordance with the Activity Proposal and the terms and conditions of this Agreement to achieve the Outcomes;
  - (ii) undertake the Activity diligently, effectively, safely and to a professional standard;
  - (iii) comply with all Laws applicable to the performance of this Agreement, including as set out in **Clause 29 (Compliance with Laws and Policies)**;
  - (iv) take responsibility for the security of all of its Personnel and for taking-out and maintaining appropriate insurances applicable to the performance of this Agreement;
  - (v) not, by act or omission, place DFAT in breach of its obligations under the *Work Health and Safety Act 2011* (Cth); and
  - (vi) not engage a Former DFAT Employee in any capacity in connection with the Activity unless DFAT has approved the engagement.
- (b) The Recipient must make reasonable efforts to:

- (i) ensure that in its performance of the Activity, all of its Personnel, while in the Partner Country, respect and comply with the Laws and regulations applicable to the performance of this Agreement in force in the Partner Country;
  - (ii) meet the completion dates for the Milestones, as specified in the Activity Proposal;
  - (iii) start the Activity by the Activity Start Date and complete the Activity by the Activity End Date; and 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.
- (c) The Recipient must advise DFAT immediately in writing of any anticipated or actual difficulties or delays in the 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 Personnel have the necessary experience, skill, knowledge, expertise and competence to undertake the Activity and (where appropriate) will hold such licences, permits or registrations as are required under any Law to undertake the Activity, 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 or change 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 change in an intended Outcome and justification for the request;
  - (ii) the impact the proposed variation 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, the proposed variation will not vary this Agreement or be binding unless and until a variation to this Agreement is made in accordance with **Clause 36.3 (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 **Clause 15 (Reporting)**.
- (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 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) (When Funds cannot be used)** 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;
  - (iii) which the Recipient solely controls; and
  - (iv) that bears a rate of interest consistent with the interest rate of Australia as issued by the Reserve Bank of Australia or the equivalent rate set by the Reserve Bank of the Partner Country.
- (b) 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.

- (c) 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;
- (d) notify DFAT, prior to the receipt of any Funds, of details sufficient to identify the account;
- (e) 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;
- (f) 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(e) (Bank Account)** in respect of the new account; and

## 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.
- (b) DFAT's liability under this Agreement is limited to:
  - (i) the Total Funds (**Item 5 of Part A (Agreement Details)**); or
  - (ii) the amount of grant funding paid under this Agreement (and any amount of grant funding for which DFAT is liable under **Clause 32.5(a) (Effective on Receipt)** or **Clause 33.1(c)(i) and (ii)**),
 whichever is the lesser.

### 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 this Agreement, by the amount that was spent other than in accordance with this Agreement.

### 7.4 Due date for payment

Subject to this **Clause 7 (Payment of Funds by DFAT)** and DFAT being satisfied with:

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

DFAT must 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 this Agreement and the Activity; and
- (b) 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 **Table 2 (Payment Criteria)** of **Part A (Agreement Details)**, the Recipient must submit to DFAT a claim for payment of the relevant instalment of the grant funding.
- (b) A Payment Claim submitted under clause must include a correctly rendered invoice to DFAT in accordance with the requirements specified in **Clause 9 (Invoicing Requirements)**.

## 9. Invoicing Requirements

- (a) To be a correctly rendered invoice the invoice must include:
  - (i) the agreement number and Activity title;

- (ii) the payment event number(s) notified by DFAT;
  - (iii) the amount of grant funding to be paid by DFAT together with any substantiating material required;
  - (iv) the name of the DFAT Representative;
  - (v) be accompanied by any supporting documentation and other evidence specified in **Table 2 (Payment Criteria)** of **Part A (Agreement Details)** for that instalment; and
  - (vi) such other information as DFAT requires.
- (b) Where Australian GST applies to this Agreement, all invoices must be in the form of a valid tax invoice. Invalid tax invoices will be returned to the Recipient. Information on what constitutes a valid tax invoice can be found at: <http://www.ato.gov.au/businesses/content.asp?doc=/content/50913.htm>
- (c) Invoices must be submitted to:
- Department of Foreign Affairs and Trade – Australian Aid Program  
GPO Box 887  
Canberra ACT 2601 Australia
- or
- s 22(1)(a)(ii) [@dfat.gov.au](mailto:@dfat.gov.au) and a copy sent to the DFAT Representative.

## 10. PAYG tax

### 10.1 PAYG withholding tax

- (a) If the Recipient's ABN is not stated in this Agreement, 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 10.1(a) (PAYG withholding tax)**, 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.

## 11. Repayment

### 11.1 Misspent Funds

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

### 11.2 Unspent Funds

Within thirty (30) days of the earlier of the Activity End Date, expiry or termination of this Agreement, the Recipient shall return to DFAT 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).

### 11.3 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 11 (Repayment)** or **Clause 13 (Assets)**.
- (b) If DFAT gives a notice under **Clause 11.3(a) (Repayment notice)**, 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.

### 11.4 Interest

If the Recipient fails to make payment as required by **Clause 11.3 (Repayment notice)**, 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.

### 11.5 DFAT's rights

This **Clause 11 (Repayment)** does not limit any other right or remedy of DFAT.

## 12. Procurement and Grants

- 12.1 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 (<https://www.finance.gov.au/government/procurement/commonwealth-procurement-rules>), 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.

- 12.2 If funds are being used to provide grants to third-party recipients, the Recipient must implement procedures so that granting is undertaken in a manner consistent with the principles of the Australian Commonwealth Grant Rules and

Guidelines (<https://www.finance.gov.au/publications/resource-management-guides/grants-procurements-and-other-financial-arrangements-rmg-411>) in particular the seven Key Principles for Grants Administration.

12.3 If funds are being used to provide grants to third-party recipients, the Recipient must ensure its grant agreements with third-parties includes clauses addressing the requirements set out in:

- (i) **Clause 27 (Prohibited Dealings);**
- (ii) **Clause 28 (Child protection);**
- (iii) **Clause 29 (Compliance with Laws and policies);** and
- (iv) **Clause 30 (Fraud).**

## 13. Assets

### 13.1 Ownership

The Recipient must not use the Funds to acquire any Assets, apart from those Assets specified in the Activity Proposal without the prior approval of DFAT.

### 13.2 Asset Threshold

The threshold for assets under this agreement is \$5,000 (inclusive of GST or equivalent tax).

### 13.3 Asset Register

- (a) The Recipient must maintain an Asset Register for Assets under this Agreement which must record:
  - (i) all non-consumable items of a portable nature with a value below the Asset Threshold;
  - (ii) all Assets with a value at or above the Asset Threshold at the time of purchase;
  - (iii) Asset description;
  - (iv) purchase price or total lease cost;
  - (v) date of purchase or lease and date of payment;
  - (vi) reason for acquisition;
  - (vii) type and term of lease (if applicable);
  - (viii) date of receipt of the Asset at the Activity site;
  - (ix) identification number for the Asset;
  - (x) location of Asset;
  - (xi) current value of the Asset (purchase price minus depreciation);
  - (xii) disposal date;
  - (xiii) disposal method; and
  - (xiv) reason for disposal.
- (b) Subject to the requirements of this **Clause 13 (Assets)** and the terms of any lease, the Recipient will own the Assets unless otherwise specified in **Part C (Activity Proposal)**.



### 13.4 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 **Clause 13.3 (Asset Register)** and provide a copy of the Assets Register to DFAT on request.
- (c) The Recipient must reconcile the Asset Register with the Assets annually and include the results of that reconciliation in the annual report to be provided to DFAT set out in **Clause 15.3 (Annual Reports)**.
- (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.

### 13.5 Sale or disposal

- (a) The Recipient must not, without the prior written approval of DFAT:
  - (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 26 (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.

### 13.6 Termination

On termination or expiry of this Agreement, if DFAT requires the Recipient to use, deal with or transfer any Asset in a way other than that specified in Clause 13.5,

DFAT must notify the Recipient within 30 business days from the date of termination or expiry of this Agreement.

### 13.7 **Lost or damaged Assets**

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

- (a) reinstate the Asset without using any of the Funds (including using the proceeds of insurance) provided for this agreement (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 13 (Assets)** continues to apply to the reinstated Asset.

## 14. Monitoring progress

### 14.1 **Progress meetings**

- (a) The Parties will meet at the times and in the manner reasonably required by DFAT to discuss any issues in relation to this Agreement or the Activity. The Recipient must ensure that the Recipient Representative, and DFAT must ensure the DFAT Representative, is reasonably available to attend such meetings and answer any queries relating to the Activity raised by either Party.
- (b) The individual costs of attending these meetings are the responsibility of each individual Party.

### 14.2 **Evaluation**

- (a) DFAT may at any time undertake or engage an expert to undertake a review or evaluation of the Activity entered into through the Activity or of DFAT's grant programs.
- (b) In relation to any review or evaluation of the 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. Reporting

### 15.1 **Reporting**

- (a) The Recipient must provide DFAT with Reports in accordance with this **Clause 15 (Reporting)**.
- (b) When the Recipient provides DFAT with a Report, DFAT will notify the Recipient in writing within 30 days after receiving the Report that it has either:
  - (i) accepted the Report; or
  - (ii) rejected the Report, providing reasons for its rejection.

- (c) If DFAT rejects a Report, the Recipient must reissue the Report in a form that addresses the reasons for the earlier rejection and DFAT will comply with **Clause 15.2(b) (Milestone reports)** in relation to any reissued Report. Deadline for resubmission of the Report will be mutually agreed in writing by the Parties.
- (d) Acceptance of a Report by DFAT does not constitute a release of the Recipient in respect of any matter, an admission or acceptance that the Recipient's performance complies with this Agreement, or acceptance of the accuracy of the Report.

## 15.2 Milestone reports

- (a) The Recipient must provide Milestone reports as required by **Table 3 (Milestones)** of **Part A (Agreement Details)**.
- (b) Each Milestone report must include:
  - (i) the name of the Recipient and all Subcontractors (including Grantees);
  - (ii) a contact name, telephone number and email address;
  - (iii) the Activity title and number;
  - (iv) the individual 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 (Bank Account)**;
  - (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.

## 15.3 Annual reports

- (a) The Recipient must provide an annual progress report for the period 1 January to 31 December, in mutually agreed formats, by 28 February of the next calendar year.
- (b) All reports must meet the relevant standards specified in DFAT's Design, Monitoring and Evaluation Standards.

- (c) Each annual progress report must include:
  - (i) the name of the Recipient and all Subcontractors (including Grantees);
  - (ii) the Activity title and number;
  - (iii) the period to which the Annual 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 (Bank Account)**;
  - (vii) a report on the reconciliation of Assets required and a current 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.

#### 15.4 Acquittal reports

- (a) The Recipient must provide acquittal reports:
  - (i) As required by the Payment Criteria in **Table 2 (Payment Criteria) of Part A (Agreement Details)**; and
  - (ii) within 60 days after the earlier of the Activity End Date, expiry or termination of this Agreement .
- (b) Each acquittal report must include the following:
  - (i) To be prepared by an Independent Auditor
    - (A) 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; and
    - (B) 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 remedial action recommended.
  - (ii) To be prepared by the CEO/CFO of the Recipient, 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 (Bank Account)**.

### 15.5 Final report

- (a) Unless stated otherwise, 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 (Bank Account)**;
  - (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.

### 15.6 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.

## Subcontracting

### 16. 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)*. **[Note to Recipients: The Workplace Gender Equality Act 2012 (Cth) applies to employers who employ 100 or more employees in Australia and provides for certain reporting obligations by those employers. Failure to comply with this Act may mean that the Director of Workplace Gender Equality may name a person as non-compliant with this Act.]**

- (d) The Recipient must ensure that any Subcontractor complies with all Laws and policies, including the following clauses:
  - (i) **Clause 19 (Confidentiality);**
  - (ii) **Clause 20 (Records, books and accounts);**
  - (iii) **Clause 21 (Audit and access);**
  - (iv) **Clause 25 (Insurance);**
  - (v) **Clause 26 (Conflict of interest);**
  - (vi) **Clause 27 (Prohibited Dealings);**
  - (vii) **Clause 28 (Child protection);**
  - (viii) **Clause 29 (Compliance with Laws and policies);** and
  - (ix) **Clause 30 (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

### 17. Intellectual Property Rights

#### 17.1 Pre-existing Recipient Material and Third-Party Material

- (a) This **Clause 17 (Intellectual Property Rights)** 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.

#### 17.2 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) Unless otherwise specified 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:
  - (A) the Agreement Material; and



- (B) 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; and
- (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 conditions or restrictions specified in **Item 11 of Part A (Agreement Details)** and 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.

### 17.3 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 17 (Intellectual Property Rights)**.

### 17.4 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 24 (Indemnity)** 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.

## 18. Moral Rights

### 18.1 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.

### 18.2 Specified Acts

- (a) In this **Clause 18.2 (Specified Acts)**, unless otherwise specified in **Item 12 of Part A (Agreement Details)**, **Specified Acts** means:

- (i) failing to attribute 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 18.2 (Specified Acts)**, 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.

## 19. Confidentiality

### 19.1 Prohibition on disclosure

- (a) Subject to **Clause 19.2** 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.

### 19.2 Exceptions to obligations

The obligations on the Parties under **Clause 19.1 (Prohibition on disclosure)** 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.

### 19.3 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.

#### 19.4 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.

## 20. Records, books and accounts

### 20.1 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 30 (Fraud)**;
  - (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.

### 20.2 Costs

The Recipient must bear its own costs of complying with this **Clause 20 (Records, books and accounts)**.

### 20.3 Survival

This **20 (Records, books and accounts)** applies for the Agreement Period and for a period of seven years from the expiry or termination of this Agreement.

## 21. Audit and access

### 21.1 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 under this Agreement;
  - (vi) the Recipient's compliance with its *Child Protection Policy* obligations under **Clause 28 (Child protection)**;
  - (vii) the Recipient's compliance with Laws, guidelines and policies including the policies listed at **Clause 29 (Compliance with Laws and Policies)**;
  - (viii) the Recipient's compliance with its Fraud control strategy and policies including Fraud prevention, reporting and investigation obligations under this Agreement;
  - (ix) Material (including records, books and accounts) in the possession of the Recipient relevant to the Activity or 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.

### 21.2 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 21 (Audit and access)**, and provide DFAT with any reasonable assistance requested by DFAT to use that hardware and software.

### 21.3 Conduct of audit and access

DFAT must use reasonable endeavours to ensure that:

- (a) audits or reviews performed pursuant to **Clause 21.1 (Right to conduct audits or reviews)** above; and
- (b) the exercise of the general rights granted by **Clause 21.2 (Access by DFAT)** 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.

DFAT personnel and representatives involved in any audit under or in connection with Clause 21.1 (Right to Conduct Audit or Reviews) or Clause 21.2 (Access by DFAT) will comply with the Recipient's reasonable policies and procedures with respect to work health and safety (WH&S), and security in operation at the premises being accessed.

DFAT acknowledges the Auditor General, Information Commissioner, Privacy Commissioner and Freedom of Information Commissioner will also be required to comply with these policies when undertaking an audit in connection with Clause 21.1 or Clause 21.2

### 21.4 Costs

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

### 21.5 DFAT officers and experts

The rights of DFAT under **Clause 21.2(a)(i) to Clause 21.2(a)(iii) (Right to conduct audits or reviews)** 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 14.2 (Evaluation)**.

### 21.6 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 **Clause 21 (Audit and access)** 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.

### 21.7 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.

### 21.8 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 21 (Audit and access)**.

### 21.9 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.

### 21.10 Survival

This **Clause 21 (Audit and access)** applies for the Agreement Period and for a period of seven years from the expiry or termination of this Agreement.

## 22. Acknowledgement and publicity

### 22.1 Acknowledgment by Recipient

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.

### 22.2 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.

### 22.3 Announcements

- (a) The Recipient must, before making a public announcement in connection with this Agreement or any transaction contemplated by it, provide DFAT with **reasonable** prior written notice, except if the announcement is 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.

#### 22.4 Activity Events

- (a) The Recipient must not undertake, or participate in any way in, any Activity Event, without providing DFAT with reasonable prior written notice.
- (b) The Recipient must:
  - (i) notify DFAT of a proposed Activity Event at a reasonable interval prior to 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.

## Risk management

### 23. Risk management

- (a) The Recipient is responsible for, accepts, and 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.

### 24. Indemnity

- (a) The Recipient at all times indemnifies and holds harmless DFAT, its officers and employees (referred to in this **Clause 24 (Indemnity)** 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 24(a)(ii) (Indemnity)** or **Clause 24(a)(ii)**, arising out of or as a consequence of:
    - (v) the unlawful, negligent or wilfully wrongful, act or omission of the Recipient, or its 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 19 (Confidentiality)** or **Clause 16(b) (Subcontractors)**; or

- (viii) without limiting the preceding paragraphs, any breach of this Agreement by the Recipient, or its Personnel.
- (b) The Recipient's liability to indemnify those indemnified under **Clause 24(a)** will be reduced proportionally to the extent that any negligent act or omission of those indemnified contributed to the loss.

## 25. Insurance

### 25.1 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 **Item 13 of Part A (Agreement Details)**.
- (b) If it is specified in **Item 13 of Part A (Agreement Details)** 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 the Agreement.

### 25.2 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 25 (Insurance)**.

## 26. Conflict of interest

### 26.1 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.

### 26.2 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.

## 27. Prohibited Dealings

- (a) 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).
  - (b) 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).
  - (c) 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.
- (d) 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.
- (e) 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.
- (f) The Recipient must have regard to the Australian Government guidance "*Safeguarding your organisation against terrorism financing: a guidance for non-profit organisations*", available from the Australian Attorney-General's Department website.
- (g) The Recipient warrants that the Recipient and its 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.
- (h) The Recipient must not, and must ensure that its 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 this Agreement; or

- (ii) engage in any practice that could contravene the Australian offence of bribing a foreign public official.

## 28. Child protection

- (a) In undertaking the Activity, the Recipient must comply with, and must ensure that its officers, employees, agents and subcontractors involved in implementing the Activity comply, with DFAT's Child Protection Policy accessible on the DFAT website at [www.dfat.gov.au/childprotection](http://www.dfat.gov.au/childprotection).
- (b) DFAT may conduct a review of the Recipient's compliance with DFAT's *Child Protection Policy*. DFAT will give reasonable notice (at least fourteen (14) calendar days) to the Recipient and the Recipient must, at its own cost, participate co-operatively in any such review.
- (c) The Recipient must report any suspected or alleged case of child exploitation, abuse, harm or policy non-compliance that relates to the Activity to [s 22\(1\)\(a\)\(ii\) @dfat.gov.au](mailto:s22(1)(a)(ii)@dfat.gov.au) immediately.
- (d) In reporting to DFAT as required pursuant to clause 28 (c) the Recipient must comply with the *Privacy Act 1988* (Cth) and the privacy provisions in the Child Protection Incident Notification Form, accessible at [www.dfat.gov.au/childprotection](http://www.dfat.gov.au/childprotection)
- (e) This Clause 28 is a material term of the Grant Agreement. DFAT may immediately terminate this Grant Agreement by giving notice to the Recipient where it finds significant non-compliance by the Recipient with the requirements set out in this clause 28.

## 29. Compliance with Laws and Policies

### 29.1 Laws and Policies

- (a) The Recipient must, and must ensure that its Personnel, have regard to and comply with relevant and applicable Laws, guidelines and policies, including those in Australia and in the Partner Country.
- (b) The Recipient must, and must ensure that its Personnel comply with all DFAT policies as listed on DFAT's website <http://www.dfat.gov.au>.
- (c) 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>. This list is not exhaustive and is provided for information only.
- (d) The provision of the list referenced at **Clause 29(b)(Compliance with Laws and Policies)** above does not relieve the Recipient from complying with the obligations contained in this **Clause 29 (Compliance with Laws and Policies)**.
- (e) The Recipient must have regard to and comply with the Statement of International Development Practice Principles available on the DFAT website.

### 29.2 Preventing Sexual Exploitation, Abuse and Harassment (PSEAH)

- (a) In undertaking the Activity the Recipient must comply with, and ensure that its officers, employees, agents and subcontractors involved in implementing

the Activity comply with DFAT's Preventing Sexual Exploitation Abuse and Harassment Policy, accessible on the DFAT website at:

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

- (b) DFAT may conduct a review of the Recipient's compliance with DFAT's Preventing Sexual Exploitation, Abuse and Harassment Policy. DFAT will give reasonable notice (at least fourteen (14) calendar days) to the Recipient and the Recipient must, at its own cost, participate co-operatively in any such review.
- (c) In accordance with the DFAT PSEAH Policy requirements, the Recipient must report:
  - (i) any suspected or alleged case of sexual exploitation, abuse and harassment that relates to the Activity to s 22(1)(a)(ii) [@dfat.gov.au](mailto:@dfat.gov.au) within 48 hours of becoming aware of the case; and
  - (ii) any alleged incidents of non-compliance with DFAT's Preventing Sexual Exploitation, Abuse and Harassment Policy to s 22(1)(a)(ii) [@dfat.gov.au](mailto:@dfat.gov.au) within five (5) Business Days of becoming aware of the incident
- (d) In reporting to DFAT as required pursuant to **Clause 29.2(c)**, the Recipient must comply with the *Privacy Act 1988* (Cth), Principal 3 of the PSEAH Policy and the privacy provisions in the Sexual Exploitation, Abuse and Harassment (SEAH) Incident Notification Form, accessible at <http://www.dfat.gov.au/pseah>
- (e) This clause 29.2 is a material term of the Grant Agreement. DFAT may immediately terminate this Grant Agreement by giving notice to the Recipient where it finds significant non-compliance by the Recipient with the requirements set out in this clause 29.3.

### 29.3 Environmental and Social Safeguards

- (a) The Recipient must comply with and implement the requirements set out in *DFAT's Environmental and Social Safeguard Policy for the Aid Program* at <https://www.dfat.gov.au/about-us/publications/Pages/environmental-social-safeguard-policy>.
- (b) DFAT may conduct a review of the Recipient's compliance with *DFAT's Environmental and Social Safeguard Policy for the Aid Program*. DFAT will give reasonable notice to the Recipient and the Recipient must participate cooperatively in any such review.

## 30. Fraud

### 30.1 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.



### 30.2 Prevention of Fraud

- (a) The Recipient must not, and must ensure that its 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, and its Personnel;
  - (ii) development of guidance on anti-corruption and bribery and delivery of materials and training to the Recipient's Personnel;
  - (iii) provision of mandatory fraud control awareness training to all of the Recipient's 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 20 (Records, books and accounts)**.

### 30.3 Investigation of Fraud

- (a) The Recipient must report in writing within **five (5) 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 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 (<https://www.ag.gov.au/integrity/publications/australian-government-investigations-standards>). The Recipient must undertake the investigation at the Recipient's cost.
- (c) In addition to the investigation carried out by the Recipient under **Clause 30.3 (b) (Investigation of Fraud)** 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 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, or its 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.

#### 30.4 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 30 (Fraud)**.

#### 30.5 Survival

This **Clause 30 (Fraud)** 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 **Clause 30.3 (Investigation of Fraud)** above;

- (c) any investigation commenced by the Recipient under **Clause 30.3 (Investigation of Fraud)**, but not completed, before the date of termination or expiry of this Agreement;
- (d) any investigation commenced by DFAT under **Clause 30.3 (Investigation of Fraud)** above, but not completed, before the date of termination or expiry of this Agreement; and
- (e) any investigation completed by the Recipient under **Clause 30.3 (Investigation of Fraud)** above, or by DFAT under **Clause 30.3 (Investigation of Fraud)**, 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.

## 31. Force Majeure Events

### 31.1 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, natural disasters, acts of war, act of terrorism, 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').

### 31.2 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.

### 31.3 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.

### 31.4 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.

### 31.5 Consequences of termination

If this Agreement is terminated under **Clause 31.4(Termination)** 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.

## 32. Dispute resolution

### 32.1 No arbitration or court proceedings

If a dispute arises in relation to this Agreement ('Dispute'), a Party must comply with **Clause 32.3 (Parties to resolve Dispute)** 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 **Clause 32.3 (Parties to resolve Dispute)**.

### 32.2 Notification

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

### 32.3 Parties to resolve Dispute

During the **60 days** after a notice is given under **Clause 32.2 (Notification)** (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.

### 32.4 Breach of this clause

If a Party breaches **Clauses 32.1 (No arbitration or court proceedings)** to **32.3 (Parties to resolve Dispute)** above, the other Party does not have to comply with those clauses in relation to the Dispute.

### 32.5 Exception

For the purpose of this **Clause 32 (Dispute resolution)**, 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 11 (Repayment)**; or
- (d) terminating this Agreement or reducing the scope of the Activity under **Clause 33 (Termination)**.

## 33. Termination

### 33.1 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 **Clause 33.1 (Termination for convenience)**, 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 **Clause 33.1(e) (Termination for convenience)**, 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 **Clause 33.1(c)(iii) (Termination for convenience)** 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.

### 33.2 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) 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;
  - (v) in DFAT's reasonable opinion, it is unlikely that the Recipient will be able to achieve a Milestone to DFAT's satisfaction;
  - (vi) 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;
  - (vii) a Related Agreement is terminated by DFAT for default by the Recipient;
  - (viii) there is a Change in Control of the Recipient; or
  - (ix) an Insolvency Event occurs in relation to the Recipient.
- (b) Without limitation, for the purposes of **Clause 33.2(a)(i) (Termination for default)**, 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 (Subcontractors)**;
  - (iv) a failure to comply with **Clause 17 (Intellectual Property Rights)**;
  - (v) a failure to comply with **Clause 25 (Insurance)**;



- (vi) a failure to notify DFAT of a conflict of interest under **Clause 26 (Conflict of interest)**;
- (vii) a failure to comply with **Clause 28 (Child Protection)**;
- (viii) a failure to comply with **Clause 29 (Compliance with Laws and policies)**;
- (ix) a breach of warranty or a failure to comply with **Clause 30 (Fraud)**; and
- (c) If the scope of the Activity is reduced under this **Clause 33.2 (Termination for default)**:
  - (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).

### 33.3 DFAT rights

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

- (a) subject to **Clause 31.5 (Consequences of termination)** and **33.1(c) (Termination for convenience)**, 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 11 (Repayment)** and **Clause 13 (Assets)**.

### 33.4 Termination does not affect accrued rights

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

## General obligations

### 34. Survival

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

- (a) **Clause 6 (Use of Funds by Recipient)**;
- (b) **Clause 10 (PAYG tax)**;
- (c) **Clause 11 (Repayment)**;
- (d) **Clause 13 (Assets)**;
- (e) **Clause 14.2 (Evaluation)**;
- (f) **Clause 15 (Reporting)**;
- (g) **Clause 17 (Intellectual Property Rights)**;
- (h) **Clause 18 (Moral Rights)**;
- (i) **Clause 19 (Confidentiality)**;

- (j) **Clause 20 (Records, books and accounts);**
- (k) **Clause 21 (Audit and access);**
- (l) **Clause 22 (Acknowledgment and publicity);**
- (m) **Clause 24 (Indemnity);**
- (n) **Clause 25 (Insurance);**
- (o) **Clause 27 (Prohibited Dealings);**
- (p) **Clause 30 (Fraud);**
- (q) **Clause 33.3(DFAT rights); and**
- (r) **Clause 36.2 (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.

## 35. Notices and other communications

### 35.1 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 prepaid post, facsimile or email to the recipient's address for Notices specified in **Part A (Agreement Details)**, as varied by any Notice given by the recipient to the sender.

### 35.2 Effective on receipt

A Notice given in accordance with **Clause 35.1 (Service of Notices)** delivered by hand, prepaid post or facsimile 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.

### 35.3 Notices by email

- (a) A Notice relating to a matter under **Clause 31.4 (Termination)**, **Clause 32 (Dispute Resolution)** or **Clause 33 (Termination)** must not be sent by email.

- (b) Subject to **Clause 35.3(c) (Notices by email)** below, a Notice given in accordance with **Clause 35.1 (Service of Notices)** 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 **Part A (Agreement Details)** 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.

## 36. Miscellaneous

### 36.1 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.

### 36.2 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.

### 36.3 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.

**36.4 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.

**36.5 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.

**36.6 Costs**

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

**36.7 Counterparts**

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

**36.8 No merger**

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

**36.9 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.

**36.10 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.

**36.11 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.

**36.12 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.

**36.13 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, partner 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, agency or partnership between the Parties.

**36.14 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.

**36.15 False or misleading information**

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

**36.16 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;
- (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.

**36.17 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.

## Part C – Activity Proposal

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See Attach Design Document (Attachment 1) Partnerships for a Healthy Region Initiative Partner-Led Design Template, Pacific Mosquito Surveillance Strengthening for Impact (*PacMOSSI 2.0*).



## ATTACHMENT 1

## Partnerships for a Healthy Region Initiative Partner-Led Design Template

<b>Program or project title:</b> PacMOSSI Pacific Mosquito Surveillance Strengthening for Impact
<b>Start date:</b> 1 <sup>st</sup> April 2024
<b>End date:</b> 30 <sup>th</sup> June 2028
<b>Total proposed DFAT funding:</b> AUD5,000,000
<b>Total proposed funding from all sources:</b> AUD
<b>s 47E(d)</b>

### A. Executive Summary

**Goal:** To strengthen vector surveillance and control in Pacific Island Countries and areas (PICs) to prevent, contain and control mosquito-borne diseases and to improve the health and wellbeing of communities.

**Overview:** This project will build country capacity to enable more effective vector-borne disease control in Pacific Island Countries (PICs) through strengthening vector surveillance and control programs to better prevent, control and contain mosquito-borne diseases. PacMOSSI is a consortium that fosters collaboration between PICs and institutional partners with a focus on building south-to-south networks. The project will build capacity, equity and resilience of PIC workforces to implement vector surveillance and control including management and use of local data to respond to emerging mosquito-borne disease threats. Preparedness and response frameworks will be developed within the context of One Health based strategic plans that consider gender equality, disability and social inclusion issues. The key outcomes will be enhanced vector surveillance and control, implemented by a skilled workforce using evidence-based strategies that are guided by improved strategic plans and informed by local data. All outputs and activities were co-designed with partner countries and institutional partners and will be adjusted, when necessary, to ensure that the project outcomes contribute towards the DFAT Partnerships for Healthy Region (PHR) initiative objective and goal. PacMOSSI fills an essential role in the region in strengthening public health practice and ultimately improving the health and wellbeing of communities. Ministry of Health (MoH) staff will be the immediate beneficiaries of this project, but the ultimate beneficiaries will be the



OUR GOAL is to support Pacific Island Countries (PICs) to strengthen *vector surveillance and control* to prevent, contain and control mosquito-borne diseases and improve the health and wellbeing of communities

#### Workforce development

Vector surveillance and control staff form a cadre of skilled, equitably balanced, women and men professionals by end of 2027

#### Translation into policy and practice

Partner country annual workplans are based on local knowledge and best-practice strategies that are GEDSI equitable

#### Enhanced vector surveillance and control

Vector surveillance and control programs have enhanced capacity to protect all at risk populations including socially disadvantaged groups and people by end of 2027

#### Cross cutting themes:

- Community engagement
- Gender equality, disability and social inclusion (GEDSI)
- One Health
- Climate change

populations of partner countries, particularly women and children, by reducing the burden of vector-borne diseases.

## **B. Development Context (What problem are we addressing?) 600 words max**

The PacMOSSI project is strategically designed to align with and address the pressing priorities of PICs in combating the escalating outbreaks of dengue, chikungunya, Zika virus, lymphatic filariasis, and malaria. One of the greatest challenges of Vector Borne Disease Control Programs (VBDCPs) across the Pacific is the lack of capacity and tools to prevent and respond to disease outbreaks. Many PICs are limited by (1) lacking evidence-informed control tools to deploy, (2) the absence of strategic or operational planning for outbreak control and/or (3) limitations in either supplies/equipment and/or trained personnel to conduct vector control. As a result, effective vector control operations are often not achieved, even though vector control is the only measure for preventing transmission of most mosquito-borne diseases.

Recognising the critical challenges faced by these nations in vector-borne disease control, PacMOSSI has established a collaborative partnership involving regional institutions with the Ministries of Health (MoHs) of PICs. The project's alignment with country priorities is reinforced through two integral processes. Firstly, the online Vector Control Needs Assessment (VCNA) ensures a tailored approach to capacity building by identifying existing strengths and priority gaps to address. This assessment involves the active participation of 18 countries in its initial round, allowing for a nuanced understanding of the unique challenges faced by each nation. The outcomes from VCNA were pivotal in shaping the project's initiatives, ensuring that evidence-informed control tools, strategic planning, and operational support are precisely calibrated to address the identified limitations within each country.

Secondly, the face-to-face annual reflection and planning events further strengthen the alignment by providing a platform for direct engagement. During these events, country-specific and regional vector control limitations are meticulously identified and prioritized for support from PacMOSSI. The participatory nature of these meetings, as exemplified by the May 2023 gathering, informs the project's design and reflects a commitment to actively involving partner countries in decision-making processes. This iterative and collaborative approach ensures that PacMOSSI remains responsive to the evolving priorities and challenges within the Pacific region, and contributes to the effective prevention and control of mosquito-borne diseases in alignment with national and regional health objectives.

MoH staff will be the immediate beneficiaries of this project, but the ultimate beneficiaries will be the populations of partner countries, particularly women and children, by reducing the burden of vector-borne diseases. Regarding the current gender balance of vector control staff in the Pacific, 54% are women and this program aims to continue enabling this equitable balance. With a high percentage of women already in position, the goal is to enrol staff of both genders in the PacMOSSI-led training. Regarding the population at risk of contracting mosquito-borne diseases, the clinical data indicates that malaria and dengue infections across the Pacific infect a relatively equal proportion of both women and men and the at-risk population includes all members of the population living in areas of potential transmission. However, inequities may arise in access to the vector control interventions that prevent transmission. Certain genders, age groups or socially disadvantaged groups may have lower access to the control measures, thus increasing their relative risk of infection. More details about equitable access to vector control measures will be gathered during the GEDSI analysis and utilised to ensure that the PacMOSSI activities and interventions result in enhanced vector control that equitably targets all at risk populations and societal groups.

s 47G(1)(a), s 47G(1)(b) - this page, together with the following pages (136 to 154) are exempt and have been removed.



Australian Government

Department of Foreign Affairs and Trade

# FRAUD CONTROL PLAN

1 September 2018

**DFAT INTERNAL USE ONLY**



## TABLE OF CONTENTS

s 22(1)(a)(ii)

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3.2.3. Referring Fraud

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s 47E(d)

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## ANNEX 1 – FRAUD POLICY STATEMENT

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The following definitions relate to this Fraud Control Plan.

s 22(1)(a)(ii)

<sup>2</sup> Commonwealth Fraud Control Policy.

Gains and losses are not only about monetary or material benefits. For example, a person can obtain a competitive advantage by receiving sensitive or classified information.<sup>3</sup>

s 22(1)(a)(ii)

s 22(1)(a)(ii)

s 22(1)(a)(ii) - this page, together with the following pages (9 to 36) are irrelevant and have been removed.

s 22(1)(a)(ii)

### 3.2.3. REFERRING FRAUD

If you have a matter that meets the Fraud Referral Threshold, it must be referred to the relevant fraud section. If in doubt, please speak to the relevant fraud section.

#### ***Fraud Referral Threshold***

*There has been:*

- *a direct allegation of fraud; or*
- *non-compliance and it appears more likely than not that dishonesty is the cause (see below).*

s 47E(d)

#### ***Dishonesty and the Fraud Referral Threshold***

Under the Commonwealth Fraud Control Framework (see Section 2.1.2), fraud against the Commonwealth is defined as '*dishonestly obtaining a benefit, or causing a loss, by deception or other means*'. s 47E(d)



s 47E(d)

s 22(1)(a)(ii)

## ANNEX 1 – FRAUD POLICY STATEMENT

s 22(1)(a)(ii)

### What is Fraud?

Fraud in the Commonwealth environment is defined as:

“Dishonestly obtaining a benefit, or causing a loss, by deception or other means”. In this definition, “benefit” refers to both tangible items, such as money or objects, and intangible benefits including power, status or information.

s 22(1)(a)(ii)





**OFFICIAL: Sensitive**

s 47E(d)

s 47E(d)

**Criteria and Description****Delivery and Financial Management Risk**

The impact of the alleged fraud on the performance or achievement of the relevant program (including, where known, the value of the alleged fraud).

s 47E(d)

**Collusion**

The level of collusion (if any) between parties in commission of the alleged fraud.

s 47E(d)

**Control failure**

The degree of control breakdown, failure or absence that contributed to the alleged fraud.

s 47E(d)

**Trust risk**

The potential political sensitivities, media criticism and/or impact on stakeholder confidence the alleged fraud could engender

s 47E(d)

**Staff health, safety and wellbeing and Enabling services**

Risks to the personal safety and security of DFAT's staff, contractors or partners engaged in delivering DFAT's programs.

s 47E(d)

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Criteria	s 47E(d)
Delivery and Financial Management Risk	
Collusion	
Level of Control failure <sup>1</sup>	
Trust Risk	

s 47E(d)



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Criteria	s 47E(d)
Staff health, safety and wellbeing and Enabling services	

s 47E(d)

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s 47E(d)

## SIGNIFICANT CASE

Each referral accepted for active case management must be assessed against the significant case threshold, to ensure compliance with Section 19 of the *PGPA Act*. Section 19 of the *PGPA Act* requires an accountable authority to keep their Minister informed about the activities of the entity and significant issues that may affect the entity. This includes significant fraud incidents which have occurred.

s 47E(d)

s 22(1)(a)(ii)

s 47E(d)

**OFFICIAL: Sensitive**

s 22(1)(a)(ii)

s 47E(d)