

INSERT FOLLOWING THE PAYMENT PROCESS - FILING PURPOSES ONLY

SAP DOCUMENT NUMBER					
1	5	3	4	9	5446

Step 1 request for PGPA Section 23 approval

ORIGINATOR (Enter your name) s 22(1)(a)(ii)				QUOTE/S ATTACHED? select from drop down menu - YES OR NO		
Company name and contact details of potential vendor: INTERNATIONAL PEACE INSTITUTE, NEW YORK				DATE REQUEST SUBMITTED TO APPROVER		
Complete description of Items / services required			Asset Y/N	Qty	Unit Price	Estimated Cost
IDF FUNDING - POLICY FORMULATION IN UN PEACE OPERATIONS						25,000.00
GL Code	Cost Centre	Order or WBS Element	TOTAL		CURRENCY	
28045		I.INM061.16A492.DA1_BASE			USD	25,000.00

CERTIFICATE TO BE COMPLETED BY ORIGINATING OFFICE		CERTIFICATE TO BE COMPLETED BY ORIGINATING OFFICE	
ATTACHED COMMONWEALTH ENTITY PAYMENT AUTHORISATION I have authority to sign on behalf of (insert entity acronym) I certify all appropriate authorisations and approvals have been obtained and DFAT will be fully reimbursed. Signature: Date: Name: Position number:		DFAT proposed commitment- PGPA Section 23 approval I approve this proposed commitment in accordance with PGPA Section 23 s 22(1)(a)(ii) Approvers Signature: Date: 3/18/16 Position number: Is there a contingent liability (PGPA Section 60) If yes, complete prior to commitment of funds. If applicable, insert PGPA Section 23/60 file number(s) in the Records Management box below	

The official who receives the good/service should stamp, sign and date this form confirming receipt of item/service and attach the invoice.
Pass the form to accounts unit for payment processing (Step 2).

STEP 2 - PAYMENT PROCESSING

Company Code		Vendor Code 4 3 9 2 2 2				SAP DOCUMENT NUMBER	
Document Type		Vendor name INTERNATIONAL PEACE INSTITUTE, NEW YORK				IF PAYMENT RELATES TO AN ADVANCE COMPLETE THE FOLLOWING:	
		Address 777 United Nations Plaza, 4th Floor New York, NY 10017				CUSTOMER NUMBER	
		VENDOR REF / INVOICE NO. UN16/160#6				ADVANCE DOCUMENT NUMBER	
COMPANY CODE	DFAT GENERAL LEDGER CODE	COST CENTRE	ORDER / WBS ELEMENT	ASSIGNMENT	GST TAX CODE	COMMONWEALTH ENTITY - FMIS	AMOUNT
2000	28045		I.INM061.16A492.DA1_BASE	UN16/160#6	AZ		25,000.00
						USD	25,000.00

Records Management: PGPA Section 23 TRIM file ref REFTEL s 22(1)(a)(ii) PGPA Section 60 TRIM file ref:	GST tax code reference A0: GST free acquisition A1: Acquisition subject to GST (purchase originated in Australia) A2: Capital acquisition subject to GST A3: Input taxed - GST exempt AZ: Out of scope for tax purposes (commonly used at overseas posts for local purchases)	Asset Codes: <table border="1"> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> </table>																								

Date Printed: 30/08/2016



THE PERMANENT MISSION
OF AUSTRALIA
TO THE UNITED NATIONS

Project reference: UN16/160#9

16 August 2016

International Peace Institute, New York
777 United Nations Plaza, 4th Floor
New York, NY, 10017

Dear **s 47F(1)**

I am pleased to advise that your application for funding of the project "Providing for Peacekeeping: Policy Formulation in UN Peace Operations" under the Australian Permanent Mission to the UN International Development Fund (IDF) has been successful. The Mission is willing to contribute partial funding of USD\$25,000 (approximately AUD\$33,300) to the project subject to the following conditions:

1. The IDF funds must be expended and acquitted in accordance with your original project proposal submitted to the Mission. If any aspects of the project proposal change, please consult our office immediately to ensure the changes comply with the IDF program.
2. The Mission reserves the right to withdraw and/or recover funds if they have been used in a way other than for the approved project proposal (unless such changes have been agreed by the Mission in advance).
3. IDF funds need to be expended by 30 April 2017. Should you anticipate any difficulty in meeting this deadline, please contact the Mission to discuss alternative options. Similarly, should any excess IDF funds remain on completion of the project; you must return these immediately to the Mission.
4. The Mission requests that the Australian Government's role in the project be acknowledged publicly in an appropriate manner. Please ensure that some form of permanent reminder of the Australian Government's contribution is included in the delivery of the project. Approved logos and names (<http://dfat.gov.au/about-us/corporate/Pages/logos-and-style-guides.aspx>) should be used in acknowledging this contribution. Minor costs for this purpose may be sourced from the IDF funding.
5. **Within two months** of the project's completion, you must submit a project acquittal report for the totality of funding provided by the Mission. You will need to provide an

150 EAST 42ND STREET, 33RD FLOOR, NEW YORK, N.Y. 10017

assessment of the actual project outcomes against the objectives stated in the original proposal. You must provide receipts and other relevant documentation as proof of expenditure of the IDF funds.

6. Please note IDF funding is subject to Australian Government policy, budgetary and other considerations. Your organisation must take this into account when planning and making project commitments.
7. DFAT and the International Peace Institute, New York are fully committed to full implementation of UN Security Council Resolutions relating to sanctions, including United Nations Security Council (UNSC) Resolutions 1373 (2001) and 1267 (1999), 1989 (2011) and 2253 (2015) and related resolutions against the financing of terrorism. Consistent with applicable Australian laws, DFAT seeks to take reasonable precautions, and to exercise due diligence, to ensure that none of its funds are provided, directly or indirectly, to individuals or entities designated by the UN Security Council, its committees or the Australian Government for targeted financial sanctions, or otherwise used to provide support to individuals or entities associated with terrorism.
8. To those ends, the International Peace Institute, New York is committed to taking appropriate steps to ensure that funding provided by the Mission to support the International Peace Institute, New York is not provided to, or otherwise used to provide assistance or support to individuals or entities designated by the United Nations Security Council or its committees as targeted for financial sanctions and will inform the Mission immediately if, during the course of this project, the International Peace Institute, New York determines that any such funds have been so used.
9. Australia is a signatory to the United Nations Convention on the Rights of the child. DFAT's commitment to upholding the rights and obligations under this convention is reflected in the DFAT Child Protection Policy.
10. The International Peace Institute, New York will not engage in any practice inconsistent with the rights set forth in the Convention on the Rights of the Child. The International Peace Institute, New York acknowledges DFAT's commitment to child protection as set out in the DFAT Child Protection Policy. With respect to funds provided under this letter of agreement, the International Peace Institute, New York is responsible for protecting children from abuse in accordance with the principles set out under the UN Convention on the Rights of the Child and within its own governance and policy framework. It is a condition of funding that all suspected or alleged incidents of child exploitation or abuse involving persons associated with projects funded by IDF are reported immediately to the Mission.
11. The International Peace Institute, New York will own any intellectual property in material created by the IDF Project but grants DFAT an irrevocable, non-exclusive, world-wide, royalty-free licence to use the material for any purpose.
12. In the unlikely event the Mission decides to withhold all or some of the funding and/or its association with the project, the Mission will provide you with notice in writing stating the reasons for such withholding and/or the termination of this agreement.

13. In the event that such notice is given by the Mission, your organisation must:

- a. cease expenditure of any uncommitted funds;
- b. provide an assessment of your expenditure thus far, in the form described in paragraph 5; and
- c. refund any uncommitted part of the funds already paid by the Mission.

In the event that a notice to withdraw funding and/or association with the project is given by the Mission, the Mission will not be liable to pay compensation.

14. Finally, please be aware that your IDF project may be subject to audit by the Mission or its representative body at any time.

Should you agree to these conditions, please confirm this in writing by signing a copy of this agreement and returning it to: s 22(1)(a)(ii) @dfat.gov.au. We would also be grateful for advice on your preferred method of receiving the IDF funds, including your bank account details for bank transfer.

If you have any questions on the conditions of IDF funding please contact the Mission. The Mission's IDF administrator, with whom you can liaise further on this IDF project, is s 22(1)(a)(ii) s 22(1)(a)(ii) telephone: s 22(1)(a)(ii) >mail: s 22(1)(a)(ii) @dfat.gov.au.

Congratulations on your successful selection for funding under the International Development Fund. I wish you well in your project and I look forward to hearing the outcomes.

Kind Regards,

s 22(1)(a)(ii)

Gillian Bird
Permanent Representative
Australian Permanent Mission to the United Nations, New York

I am authorised on behalf of the International Peace Institute, New York to sign this agreement and accept the above conditions of the grant funding as set out above for the agreed proposal and budget submitted under the International Development Fund.

s 47F(1)

Name Position *Vice President*
Signature .. Date: *8/29/16*

s 22(1)(a)(ii)

From: s 22(1)(a)(ii) on behalf of DAP New York
Sent: Tuesday, 30 August 2016 10:17 AM
To: s 22(1)(a)(ii)
Subject: FW: Application for 2016-17 IDF small grants program - Providing for Peacekeeping: Policy Formulation in UN Peace Operations [SEC=UNCLASSIFIED]
Attachments: 2016IPIAustraliaGrantAgreement_PPP.tif
hprimdataset: UN
hprimrecordref: UND16/40247

UNCLASSIFIED

Hi s 22(1)(a)(ii)

Another one. Should be one more coming in this week, and then we are done until December.

Cheers

s 22(1)(a)(ii)

From: s 47F(1) [mailto:s 47F(1)]
Sent: Monday, 29 August 2016 4:00 PM
To: DAP New York; s 47F(1)
Cc: s 47F(1) s 22(1)(a)(ii)
Subject: RE: Application for 2016-17 IDF small grants program - Providing for Peacekeeping: Policy Formulation in UN Peace Operations [SEC=UNCLASSIFIED]

Dear s 22(1)(a)(ii)

As requested, attached please find the letter of acceptance as signed by IPI's Vice President, s 47F(1) And below is IPI's bank information for the wire transfer. Please let me know if you need anything else.

s 47G(1)(a)

Bank name:
 Bank address:

ABA:
 SWIFT:
 Account name:
 Account number:

Best regards,
 s 47F(1)

From: s 22(1)(a)(ii) @dfat.gov.au] On Behalf Of DAP New York
Sent: Monday, August 22, 2016 12:54 PM
To: s 47F(1)

Cc: s 47F(1)

s 22(1)(a)(ii)

Subject: RE: Application for 2016-17 IDF small grants program - Providing for Peacekeeping: Policy Formulation in UN Peace Operations [SEC=UNCLASSIFIED]**UNCLASSIFIED**

Dear s 47F(1)

Further to my last email, please find attached the letter of acceptance. Please sign the final page and return to us as soon as possible, along with your bank details so we can disburse the funding.

At the completion of the project, we will require a final acquittal form to be signed and returned to us (attached).

Please continue to liaise with s 22(1)(a)(ii) during the term of this project.

Kind Regards,

s 22(1)(a)(ii)

IDF Administrator

From: s 47F(1) [mailto:s 47F(1)]**Sent:** Friday, 5 August 2016 5:09 PM**To:** DAP New York**Cc:** s 47F(1)

s 22(1)(a)(ii)

Subject: RE: Application for 2016-17 IDF small grants program - Providing for Peacekeeping: Policy Formulation in UN Peace Operations [SEC=UNCLASSIFIED]

Dear s 22(1)(a)(ii)

Thank you very much for your message. We are delighted to hear that the mission will contribute partially to the proposed project, and we will endeavor to raise the needed additional funds. We will also make sure to liaise closely with s 22(1)(a)(ii) and your mission in NY throughout the duration of the project.

Have a great weekend.

Best,
s 47F(1)

From: s 22(1)(a)(ii) [mailto:s 22(1)(a)(ii)] @dfat.gov.au] On Behalf Of DAP New York**Sent:** Wednesday, August 03, 2016 2:46 PM**To:** s 47F(1)**Cc:**

s 47F(1)

s 22(1)(a)(ii) [mailto:s 22(1)(a)(ii)] @dfat.gov.au>

Subject: RE: Application for 2016-17 IDF small grants program - Providing for Peacekeeping: Policy Formulation in UN Peace Operations [SEC=UNCLASSIFIED]**UNCLASSIFIED**

Dear s 47F(1)

Thank you for your application to the 2016-17 International Development Fund.

I am pleased to advise that your application on Providing for Peacekeeping: Policy Formulation in UN Peace Operations was successful. The Mission is willing to contribute partial funding of \$USD25,000 to the project.

We will provide you an official letter and more information on next steps, including how to transfer funds to your organisation, in the coming weeks.

In the meantime, if you have any questions, please feel free to contact me. s 22(1)(a)(ii) from our Mission will also work with you to ensure the success of your project.

Kind Regards,
s 22(1)(a)(ii)

IDF Administrator

From: s 47F(1) [mailto:s 47F(1)]

Sent: Tuesday, 5 July 2016 4:33 PM

To: DAP New York

Cc: s 47F(1)

Subject: Application for 2016-17 IDF small grants program - Providing for Peacekeeping: Policy Formulation in UN Peace Operations

Importance: High

Dear Madam, Dear Sir,

Please find attached our application for the 2016-17 IDF small grants program for a project entitled "*Providing for Peacekeeping: Policy Formulation in UN Peace Operations*" to be carried out jointly by the International Peace Institute (IPI) and the Australian Strategic Policy Institute. The application form as well as a detailed budget and concept note are attached.

As you know the process to formulate UN peacekeeping policy involves a myriad of actors with different roles and responsibilities, engaging in the UN Security Council and various General Assembly bodies (e.g. C34). Yet despite the importance of these processes, there is no comprehensive explanation of how they work. This presents a particular challenge for smaller permanent missions and developing countries, which often struggle to engage in these processes.

The proposed project is intended to examine peacekeeping policy forums and processes, exploring the comparative advantages and offering some practical recommendations on how different actors can shape and influence the development of UN peacekeeping policy. The project will include a consultation process and result in a final paper that will provide an ongoing reference document.

Thank you for your consideration and do not hesitate to contact us should you have any questions.

Best regards,

s 47F(1)

Director

Brian Urquhart Center for Peace Operations

International Peace Institute (IPI)

777 United Nations Plaza, New York, NY 10017

P s 47F(1) | Ls 47F(1)

www.ipinst.org | www.providingforpeacekeeping.org

<http://theglobalobservatory.org> | www.futurepeaceops.org/

APPROVAL MUST BE PROVIDED PRIOR TO UNDERTAKING PROCUREMENT

INSERT FOLLOWING THE PAYMENT PROCESS - FILING PURPOSES ONLY

SAP DOCUMENT NUMBER

154278940

Step 1 request for PGPA Section 23 approval

ORIGINATOR (Enter your name)

s 22(1)(a)(ii)

QUOTE/S ATTACHED?

select from drop down menu - Yes or No

Company name and contact details of potential vendor:

INTERNATIONAL PEACE INSTITUTE, NEW YORK

DATE REQUEST SUBMITTED TO APPROVER

Complete description of items / services required	Asset Y/N	Qty	Unit Price	Estimated Cost
IDF FUNDING - IPI - Examining the operationalization of the UN's peacebuilding				40,000.00
TOTAL				40,000.00

GL Code	Cost Centre	Order or WBS Element	CURRENCY
28106		I.INM588.18A469.DA1_BASE	USD

<p>CERTIFICATE TO BE COMPLETED BY ORIGINATING OFFICE</p> <p>ATTACHED COMMONWEALTH ENTITY PAYMENT AUTHORISATION</p> <p>I have authority to sign on behalf of (insert entity acronym)</p> <p>I certify all appropriate authorisations and approvals have been obtained and DFAT will be fully reimbursed.</p> <p>Signature: Date:</p> <p>Name: Position number:</p>		<p>CERTIFICATE TO BE COMPLETED BY ORIGINATING OFFICE</p> <p>DFAT proposed commitment- PGPA Section 23 approval</p> <p>I approve this proposed commitment in accordance with PGPA Section 23 s 22(1)(a)(ii)</p> <p>Approvers Signature: Date: 21/5/18</p> <p>Position number:</p> <p><u>Is there a contingent liability (PGPA Section 60)</u></p> <p>If yes, complete prior to commitment of funds.</p> <p>If applicable, Insert PGPA Section 23/60 file number(s) in the Records Management box below</p>	
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The official who receives the good/service should stamp, sign and date this form confirming receipt of item/service and attach the invoice. Pass the form to accounts unit for payment processing (Step 2).

STEP 2 - PAYMENT PROCESSING

Company Code	Vendor Code	SAP DOCUMENT NUMBER
	4 3 9 2 2 2	
Document Type	Vendor name INTERNATIONAL PEACE INSTITUTE, NEW YORK	IF PAYMENT RELATES TO AN ADVANCE COMPLETE THE FOLLOWING:
	Address 777 United Nations Plaza, 4th Floor New York, NY 10017	CUSTOMER NUMBER
	VENDOR REF / INVOICE NO. UN18/461#9	ADVANCE DOCUMENT NUMBER

COMPANY CODE	DFAT GENERAL LEDGER CODE	COST CENTRE	ORDER / WBS ELEMENT	ASSIGNMENT	GST TAX CODE	COMMONWEALTH ENTITY - FMIS	AMOUNT
2000	28106		I.INM588.18A469.DA1_BASE	UN18/461#9	AZ		40,000.00
USD							40,000.00

<p>Records Management:</p> <p>PGPA Section 23 TRIM file ref</p> <p>REFTEL s 22(1)(a)(ii)</p> <p>PGPA Section 60 TRIM file ref:</p>	<p>GST tax code reference</p> <p>A0: GST free acquisition</p> <p>A1: Acquisition subject to GST (purchase originated in Australia)</p> <p>A2: Capital acquisition subject to GST</p> <p>A3: Input taxed - GST exempt</p> <p>AZ: Out of scope for tax purposes (commonly used at overseas posts for local purchases)</p>	<p>Asset Codes:</p>
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THE PERMANENT MISSION
OF AUSTRALIA
TO THE UNITED NATIONS

Project reference: UN18/461#9

30 August 2018

International Peace Institute
777 United Nations Plaza, 4th Floor
New York, NY, 10017

Dear **s 47F(1)**

I am pleased to advise that your application for funding of the project "Examining the operationalization of the UN's peacebuilding and sustaining peace agenda: reflections from case studies" under the Australian Permanent Mission to the UN International Development Fund (IDF) has been successful. The Mission is willing to contribute partial funding of **US\$40,000** to the project subject to the following conditions:

1. The IDF funds must be expended and acquitted in accordance with your original project proposal submitted to the Mission. If any aspects of the project proposal change, please consult our office immediately to ensure the changes comply with the IDF program.
2. The Mission reserves the right to withdraw and/or recover funds if they have been used in a way other than for the approved project proposal (unless such changes have been agreed by the Mission in advance).
3. IDF funds need to be expended by 31 August 2019. Should you anticipate any difficulty in meeting this deadline, please contact the Mission to discuss alternative options. Similarly, should any excess IDF funds remain on completion of the project; you must return these immediately to the Mission.
4. The Mission requests that the Australian Government's role in the project be acknowledged publicly in an appropriate manner. Please ensure that some form of permanent reminder of the Australian Government's contribution is included in the delivery of the project. Approved logos and names (<http://dfat.gov.au/about-us/corporate/Pages/logos-and-style-guides.aspx>) should be used in acknowledging this contribution. Minor costs for this purpose may be sourced from the IDF funding.
5. **Within two months** of the project's completion, you must submit a project acquittal report for the totality of funding provided by the Mission. You will need to provide an

assessment of the actual project outcomes against the objectives stated in the original proposal. You must provide receipts and other relevant documentation as proof of expenditure of the IDF funds.

6. Please note IDF funding is subject to Australian Government policy, budgetary and other considerations. Your organisation must take this into account when planning and making project commitments.
7. DFAT and the International Peace Institute are fully committed to full implementation of UN Security Council Resolutions relating to sanctions, including United Nations Security Council (UNSC) Resolutions 1373 (2001) and 1267 (1999), 1989 (2011) and 2253 (2015) and related resolutions against the financing of terrorism. Consistent with applicable Australian laws, DFAT seeks to take reasonable precautions, and to exercise due diligence, to ensure that none of its funds are provided, directly or indirectly, to individuals or entities designated by the UN Security Council, its committees or the Australian Government for targeted financial sanctions, or otherwise used to provide support to individuals or entities associated with terrorism.
8. To those ends, the International Peace Institute is committed to taking appropriate steps to ensure that funding provided by the Mission to support the International Peace Institute is not provided to, or otherwise used to provide assistance or support to individuals or entities designated by the United Nations Security Council or its committees as targeted for financial sanctions and will inform the Mission immediately if, during the course of this project, the International Peace Institute determines that any such funds have been so used.
9. Australia is a signatory to the United Nations Convention on the Rights of the child. DFAT's commitment to upholding the rights and obligations under this convention is reflected in the DFAT Child Protection Policy.
10. The International Peace Institute will not engage in any practice inconsistent with the rights set forth in the Convention on the Rights of the Child. The International Peace Institute acknowledges DFAT's commitment to child protection as set out in the DFAT Child Protection Policy. With respect to funds provided under this letter of agreement, the International Peace Institute is responsible for protecting children from abuse in accordance with the principles set out under the UN Convention on the Rights of the Child and within its own governance and policy framework. It is a condition of funding that all suspected or alleged incidents of child exploitation or abuse involving persons associated with projects funded by IDF are reported immediately to the Mission.
11. The International Peace Institute will own any intellectual property in material created by the IDF Project but grants DFAT an irrevocable, non-exclusive, world-wide, royalty-free licence to use the material for any purpose.
12. In the unlikely event the Mission decides to withhold all or some of the funding and/or its association with the project, the Mission will provide you with notice in writing stating the reasons for such withholding and/or the termination of this agreement.

13. In the event that such notice is given by the Mission, your organisation must:
- a. cease expenditure of any uncommitted funds;
 - b. provide an assessment of your expenditure thus far, in the form described in paragraph 5; and
 - c. refund any uncommitted part of the funds already paid by the Mission.

In the event that a notice to withdraw funding and/or association with the project is given by the Mission, the Mission will not be liable to pay compensation.

14. Finally, please be aware that your IDF project may be subject to audit by the Mission or its representative body at any time.

Should you agree to these conditions, please confirm this in writing by signing a copy of this agreement and returning it to: [s 22\(1\)\(a\)\(ii\)](#) [@dfat.gov.au](mailto:dfat.gov.au). We would also be grateful for advice on your preferred method of receiving the IDF funds, including your bank account details for bank transfer.

If you have any questions on the conditions of IDF funding please contact the Mission. The Mission's IDF administrator, with whom you can liaise further on this IDF project, is [s 22\(1\)\(a\)\(ii\)](#) [s 22\(1\)\(a\)\(ii\)](#) telephone: [s 22\(1\)\(a\)\(ii\)](#) email: [s 22\(1\)\(a\)\(ii\)](#) [@dfat.gov.au](mailto:dfat.gov.au).

Congratulations on your successful selection for funding under the International Development Fund. I wish you well in your project and I look forward to hearing the outcomes.

Kind Regards,
[s 22\(1\)\(a\)\(ii\)](#)

Gillian Bird
Permanent Representative
Australian Permanent Mission to the United Nations, New York

I am authorised on behalf of the International Peace Institute to sign this agreement and accept the above conditions of the grant funding as set out above for the agreed proposal and budget submitted under the International Development Fund.

s 22(1)(a)(ii)

Name

Position *Vice President*.....

Signature

Date: *August 30, 2018*

s 22(1)(a)(ii)

From: s 47F(1)
Sent: Thursday, 30 August 2018 1:17 PM
To: DAP New York
Cc: s 47F(1) s 22(1)(a)(ii)
Subject: RE: 2018-19 IDF application: Sustaining Peace [SEC=UNCLASSIFIED]
Attachments: AustraliaGrantLetter_SustainingPeace.pdf

Dear s 22(1)(a)(ii)

Thank you very much. Attached please find the grant letter as signed by IPI's Vice President, s 47F(1) And below please find IPI's bank details. Please let me know if you need anything further:

Bank name: s 47G(1)(a)
Bank address:

ABA:
SWIFT:
Account name:
Account number:

Best regards,
s 22(1)(a)(ii)

From: s 22(1)(a)(ii) @dfat.gov.au] On Behalf Of DAP New York
Sent: Thursday, August 30, 2018 12:59 PM
To: s 47F(1)
Cc: s 47F(1) s 22(1)(a)(ii) @dfat.gov.au>
Subject: RE: 2018-19 IDF application: Sustaining Peace [SEC=UNCLASSIFIED]

UNCLASSIFIED

Dear s 47F(1)

Please find attached the letter of acceptance. Please sign the final page and return to us as soon as possible, along with your bank details so we can disburse the funding.

At the completion of the project, we will require a final acquittal form to be signed and returned to us (attached).

Please continue to liaise with s 22(1)(a)(ii) during the term of this project.

Best Regards

s 22(1)(a)(ii)

Sustainable Development, Humanitarian & Human Rights
Permanent Mission of Australia to the United Nations, New York

Tel: s 22(1)(a)(ii) | Fax: s 22(1)(a)(ii) | E-mail: s 22(1)(a)(ii)@dfat.gov.au

Follow Australia on Twitter [@AustraliaUN](#)

From: s 22(1)(a)(ii) On Behalf Of DAP New York
Sent: Monday, 20 August 2018 6:47 PM
To: s 47F(1)
Cc: s 47F(1)
s 47F(1) s 22(1)(a)(ii) [@dfat.gov.au](mailto:s 22(1)(a)(ii)@dfat.gov.au)>
Subject: RE: 2018-19 IDF application: Sustaining Peace [SEC=UNCLASSIFIED]

UNCLASSIFIED

Dear s 47F(1)

Thank you for your application to the 2018/19 International Development Fund.

I am pleased to advise you that your application, 'Examining the operationalization of the UN's peacebuilding and sustaining peace agenda: reflections from case studies' was successful. We are willing to provide you with partial funding of US\$40,000.

We will provide you with an official letter and more information on next steps, including transferring funds to your organisation, in the coming weeks.

In the meantime, if you have any questions, please feel free to contact me. s 22(1)(a)(ii) will work with you to ensure the success of your project.

Best Regards

s 22(1)(a)(ii)

Sustainable Development, Humanitarian & Human Rights
Permanent Mission of Australia to the United Nations, New York
Tel: s 22(1)(a)(ii) Fax: s 22(1)(a)(ii) E-mail: s 22(1)(a)(ii)@dfat.gov.au

Follow Australia on Twitter [@AustraliaUN](#)

From: s 47F(1)
Sent: Tuesday, 10 July 2018 11:29 AM
To: s 22(1)(a)(ii) [@dfat.gov.au](mailto:s 22(1)(a)(ii)@dfat.gov.au)>
Cc: s 47F(1)
s 47F(1)
Subject: 2018-19 IDF application: Sustaining Peace

10 July 2018

To Whom It May Concern,

In response to the call for proposals for the 2018-19 International Development Fund (IDF) small grants program, the International Peace Institute (IPI) is pleased to submit an application for the following project: "Examining the Operationalization of the UN's Peacebuilding and Sustaining Peace Agenda: Reflections from Case Studies."

Attached please find the completed IDF application form along with the financial breakdown.

Thank you very much for receiving this submission. Please don't hesitate to let me know if you have any questions.

Best regards,
s 47F(1)

s 47F(1)

Development Officer
International Peace Institute
777 United Nations Plaza
New York, N.Y. 10017
Tel: s 47F(1)
s 47F(1)



Monday, February 3, 2020

Ambassador Tegan Brink

Ambassador and Deputy Permanent Representative
Australian Mission to the United Nations
150 East 42nd Street, Floor 33
New York, NY 10017-5612
Email: tegan.brink@dfat.gov.au

Excellency,

On behalf of the International Peace Institute (IPI), please accept this request for the Australian Government's **contribution in the amount of \$10,000. USD** as part of the project, "The Index of Multilateralism," including the research and events taking place in Q1 of 2020 at IPI.

For wiring purposes, kindly refer to the following bank information:

Account Name: **s 47G(1)(a)**
Bank Name:
Bank Address:

Account No:
ABA:
SWIFT Code:
Chase Branch No:

Thank you for Australian Government's generous support. We appreciate our partnership and very much look forward to our continued cooperation on this project, as well as other areas of mutual priority.

s 47F(1) Sincerely,

Senior Director of External Relations
IPI

s 22(1)(a)(ii)

From: Brink, Tegan
Sent: Monday, 3 February 2020 2:46 PM
To: s 22(1)(a)(ii)
Cc: s 22(1)(a)(ii)
Subject: RE: Request for Section 23 Approval (UNNY PD Budget) - IPI's Index of Multilateralism project [SEC=UNCLASSIFIED]

hptrimdataset: UN
hptrimfileref: UN19/384#2
hptrimrecordref: UND20/3667

UNCLASSIFIED

Approved.

Tegan Brink
Ambassador and Deputy Permanent Representative
Australian Mission to the United Nations | New York
 150 East 42nd Street, Floor 33 | New York | NY 10017-5612
 Tel: s 22(1)(a)(ii) | Cell s 22(1)(a)(ii) | Email: tegan.brink@dfat.gov.au

From: s 22(1)(a)(ii) <[REDACTED]@dfat.gov.au>
Sent: Monday, 3 February 2020 2:45 PM
To: Brink, Tegan <Tegan.Brink@dfat.gov.au>
Cc: s 22(1)(a)(ii) <[REDACTED]@dfat.gov.au>; s 22(1)(a)(ii) <[REDACTED]@dfat.gov.au>
Subject: Request for Section 23 Approval (UNNY PD Budget) - IPI's Index of Multilateralism project [SEC=UNCLASSIFIED]

UNCLASSIFIED

Hi Tegan,

Seeking Section 23 approval to the value of USD10,000 to contribute to IPI's Index of Multilateralism project.

Thanks,
s 22(1)(a)(ii)s 22(1)(a)(ii) | **Accounts Manager**

Australian Consulate-General | 150 East 42nd Street, Floor 34, New York NY 10017
 ☎ Tel: s 22(1)(a)(ii) | 📠 Fax: s 22(1)(a)(ii)

From: s 47F(1)
Sent: Monday, 3 February 2020 12:30 PM
To: NYCG Accounts s 22(1)(a)(ii) <[REDACTED]@dfat.gov.au>; s 22(1)(a)(ii) <[REDACTED]@dfat.gov.au>
Cc: s 22(1)(a)(ii) <[REDACTED]@dfat.gov.au>; s 22(1)(a)(ii) <[REDACTED]@dfat.gov.au>; Brink, Tegan

Subject: Invoice and Vendor Form

To Whom It May Concern,

Following a meeting and conversation with Ambassador Brink, kindly find attached the invoice letter and vendor form regarding the request for \$10,000. to support IPI's Index of Multilateralism project.

This support will go towards the research and events taking place in Q1 at IPI.

Please also find attached the full concept note for the project, along with the budget for the project.

We very much appreciate your support.

Please let me know if you have any questions or need further information.

Kind regards,
s 47F(1)

s 47F(1)

Senior Director of External Relations
International Peace Institute
777 United Nations Plaza, New York, NY 10017
office: s 47F(1) | mobile: s 47F(1) | s 47F(1)
www.ipinst.org | www.theglobalobservatory.org



s 22(1)(a)(ii)

From: s 47F(1)
Sent: Monday, 3 February 2020 12:30 PM
To: NYCG Accounts; s 22(1)(a)(ii)
Cc: s 47F(1) Brink, Tegan; s 47F(1)
Subject: Invoice and Vendor Form
Attachments: Invoice Letter_Index of Multilateralism.pdf; Vendor Forum.pdf; The Index of Multilateralism _Concept Note.pdf; Budget_Index of Multilateralism Project IPI_2020.pdf

To Whom It May Concern,

Following a meeting and conversation with Ambassador Brink, kindly find attached the invoice letter and vendor form regarding the request for \$10,000. to support IPI's Index of Multilateralism project.

This support will go towards the research and events taking place in Q1 at IPI.

Please also find attached the full concept note for the project, along with the budget for the project.

We very much appreciate your support.

Please let me know if you have any questions or need further information.

Kind regards,
s 47F(1)

s 47F(1)

Senior Director of External Relations
International Peace Institute
777 United Nations Plaza, New York, NY 10017
office: s 47F(1) | mobile: s 47F(1) | s 47F(1)
www.ipinst.org | www.theglobalobservatory.org





The Index of Multilateralism

Concept Note

Context

There is a growing sense that multilateralism is in crisis. Longstanding anchors of the international rules-based order are turning away from collective engagement in the pursuit of narrowly defined national interests. Rising nationalism, protectionism, and xenophobia are fueling inward-looking politics. Changes to global and regional power balances are exacerbating political and economic divisions that undermine international cooperation in response to transnational challenges – from climate change, migration, and pandemics, to terrorism, organized crime, and cybersecurity. Liberal norms underpinning the multilateral system face challenges from alternative systems of values and governance. Amid these high-risk challenges, there is growing anxiety about the erosion of the rules-based order.

Yet, there are countervailing trends. States are working together to address serious issues that defy national borders, to reinforce effective modes of cooperation, and to identify new issue-based coalitions and partners to advance common goals of peace and security, environmental protection and climate action, international trade and development.

The project

An empirical basis is needed to better understand the state of the multilateral system and to inform decision-making regarding where to focus political and other efforts to advance collective action. The Index of Multilateralism, developed by the International Peace Institute (IPI) in partnership with the Institute for Economics and Peace (IEP), will provide an evidence-based assessment of: Which states demonstrate a strong commitment to the multilateral system, and which do not? What areas of international cooperation are resilient, and which are at risk? What are the trends over time? To what extent does commitment to the rules-based order align with traditional liberal democratic values? What are the multilateral mechanisms best suited to address traditional and emerging challenges? Which issue-based coalitions are supporting the overall multilateral system, and which may be undermining it?

In addition to providing a qualitative assessment of the multilateral system, the Index will provide policy-makers with an analytic tool to guide political attention and inform decision-making. It will draw from available data sets on, *inter alia*, institutional membership, diplomatic presence, public perceptions of international institutions, multilateral voting patterns, financial contributions to international organizations, compliance with international treaties, compacts and other decisions and rulings.

IPI and IEP will develop a pilot Index for public release in 2020. The project will comprise the following phases:



2019

- Concept development, including scoping of pilot Index (e.g., how much/which aspects of the multilateral system to cover)
- Initial consultations with experts
- Desk-based identification of potential indicators and available data sets; adjustment of scope based on available data

2020

- Expert “proof of concept” roundtable to advise on identified indicators and weighting
- Construction of the Index
- Expert roundtable to advise on the results of the Index/adjustment of measurements
- Analysis of results of the index and drafting of Pilot Index report
- Public release and dissemination of the pilot Index in the Fall of 2020. (Possible launch activities include, inter alia, the 75th anniversary of the United Nations (Sept. or Oct. '20), the Paris Peace Forum (Nov. '20), and the Munich Security Conference (Feb '21).)

Estimated Budget

See attached annex

About the International Peace Institute

IPI is an independent, international not-for-profit think tank with the goal of managing risk and building resilience for all. IPI has been at the forefront of making peace operations more reliable and effective for nearly 50 years, and has a longstanding track record of providing support to the UN peace and security architecture by developing policy ideas to improve effectiveness.

Through our independent, field-driven research, IPI provides timely, evidence-based analysis and practical policy recommendations to inform debate and guide decision-making on complex and emerging issues. As a trusted partner to governments and multilateral institutions in the North and South, IPI provides strategic analysis and advice, drawn from our research and our expertise on UN and other multilateral processes. Through its convening, IPI aim to stimulate debate, share cutting-edge research, and increase understanding of key contemporary challenges for peace, security, and sustainable development. IPI has an extensive network of contacts throughout the UN and wider multilateral system, and has demonstrated convening power.

Building on five decades of experience, IPI serves as a bridge between the diverse views of member states, UN officials, civil society, and outside experts on issues of strategic importance. We work across institutional silos, bringing together different skillsets necessary to address complex, multidimensional challenges and threats. We connect debates taking place in other global fora – including the UN presence in Geneva – to decision-making in New York. We work with policymakers and practitioners to help them develop pragmatic, multilateral approaches to help solve pressing international challenges.



About the Institute for Economics and Peace

The Institute for Economics and Peace (IEP) is an independent, non-partisan, non-profit think tank dedicated to shifting the world's focus to peace as a positive, achievable, and tangible measure of human well-being and progress. IEP achieves its goals by developing new conceptual frameworks to define peacefulness; providing metrics for measuring peace; and uncovering the relationships between business, peace and prosperity as well as promoting a better understanding of the cultural, economic and political factors that create peace.

IEP has offices in Sydney, New York, the Hague and Mexico City and has a staff of over 25 people globally. The Institute was rated in 2014 and 2015 as one of the world's most impactful think tanks with a budget under \$5 million and a think tank to watch by the University of Pennsylvania's Global Go To Think Tank Index.

IEP is best known for the Global Peace Index (GPI), an annual ranking of 163 countries on their levels of internal and external peacefulness. The GPI is considered to be the world's leading measure of international peacefulness. It has raised significant awareness about the drivers and indicators of peace and has become a valued resource used by academics, intergovernmental organizations and governments around the world. It is now referenced in over 2,000 books.

For the past five years IEP has developed the Global Terrorism Index (GTI) a leading document measuring the trends, patterns and drivers of terrorist and violent extremist activity globally. IEP research staff have a wide array of networks of policymakers and practitioners working on CVE, PVE, CT and peacebuilding issues and can draw upon them in a formal and informal capacity to support its research efforts.



Index of Multilateralism
2020 Budget (USD)

	Total
EXPENSES	
PROGRAM IMPLEMENTATION	
<u>Research, Analysis & Policy Development</u>	
Research & Program Staffing	90,000
Consulting fees	100,000
Total Research, Analysis & Policy Development	190,000
<u>Meetings, Events & Dialogue</u>	
Event staffing	27,250
Event venue	6,250
Event catering	3,000
Guest travel	22,000
Photography	500
Total Meetings, Events & Dialogue	59,000
<u>Publications & Dissemination</u>	
Publications staffing	15,000
Consulting Fees	35,000
Total Publications & Dissemination	50,000
Total Program Outreach	7,750
Total Program Implementation	306,750
PROGRAM SUPPORT & ADMINISTRATION	
Administrative staffing	11,000
Operations	23,500
Total Program Support & Administration	34,500
Overhead	23,000
TOTAL EXPENSES	\$ 364,250

9. **IBAN** (if applicable)

10. **Account name**

11. **Bank name**

12. **Bank branch**

Branch address: s 47G(1)(a)	
Branch name: s 47G(1)(a)	Branch country: US

13. **Sort code**¹

--	--	--	--	--	--

14. **US ABA code**²

s 47G(1)(a)

15. **SWIFT code**

s 47G(1)(a)

16. **Bank control key** (if applicable)³

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Section 3: Specific instructions (if required)

17. **Specific instructions**

¹ Payments made in the United Kingdom require a Sort Code.

² Payments made in the United States of America in USD require an ABA routing number. All other payments require a SWIFT code.

³ Localised code. This could be a code that specifies the type of account (e.g. checking, savings, loan). For example, Indian Financial System Code (IFSC) for payments in India.

Section 4: Signature

18. Signature of Authorised Representative⁴ s 47F(1)

Date: 2/3/20

Conditions of use:

1. The Supplier is responsible for a) the accuracy of the above details and b) advising THE AUSTRALIAN CONSULATE GENERAL NEW YORK in writing of any changes to the above details.
2. The Supplier warrants that the bank account details provided are not false and comply with all applicable laws. The Supplier indemnifies THE AUSTRALIAN CONSULATE GENERAL NEW YORK in relation to any loss or damage (including consequential loss) which the Supplier may suffer due to a breach of this warranty.
3. THE AUSTRALIAN CONSULATE GENERAL NEW YORK has the right to accept the Authorised Representative's signature (written or electronic) as conclusive evidence of that person's authority to execute this agreement on behalf of the Supplier. THE AUSTRALIAN CONSULATE GENERAL NEW YORK is under no obligation to verify the Authorised Representative's authority or the bank account details.
4. THE AUSTRALIAN CONSULATE GENERAL NEW YORK will use all reasonable measures to maintain confidentiality of the details provided. Both the Authorised Representative and the Supplier acknowledge that these details will be made available to THE AUSTRALIAN CONSULATE GENERAL NEW YORK staff carrying out their normal duties.
5. Payment will be deemed to have been made when THE AUSTRALIAN CONSULATE GENERAL NEW YORK has instructed its bank to credit the Supplier's account. THE AUSTRALIAN CONSULATE GENERAL NEW YORK will not be responsible for any delays in payment or errors due to factors outside the reasonable control of THE AUSTRALIAN CONSULATE GENERAL NEW YORK including, but not limited to, delays or errors in the banking system.
6. The Supplier acknowledges that THE AUSTRALIAN CONSULATE GENERAL NEW YORK, by accepting the authority, will make every reasonable effort to remit payments by electronic bank transfer to the Supplier but may also remit payments via alternative methods should it choose to do so.
7. The Authorised Representative warrants in his/her own right that
 - a. he/she has the authority to bind the Supplier to the conditions of this agreement,
 - b. the banking details provided are accurate and
 - c. by signing this form, the Supplier is aware of its responsibilities under this agreement.

⁴ A manual / written signature is not required when this form is completed and emailed directly to [s 22\(1\)\(a\)\(ii\) @dfat.gov.au](mailto:s22(1)(a)(ii)@dfat.gov.au) by an authorised representative of the Supplier, which is then considered an electronic signature.



Date: August 16, 2018
From: International Peace Institute, Inc.
 EIN# 03-0213226
 777 United Nations Plaza
 New York, NY 10017-3521
 Phone: s 47F(1)

To: s 22(1)(a)(ii)
 Political Counsellor
 Permanent Mission of Australia to the United Nations
 s 22(1)(a)(ii)
 s 22(1)(a)(ii) pdfat.gov.au

Invoice Number: 010
Please include this invoice number when submitting payment
Final payment is due within one month of receiving the final invoice

Event Title: A Discussion On The Secretary-General's Report On Peacebuilding And Sustaining Peace
Event Date: Tuesday, February 27 , 2018
Event Time: 1:00 - 2:45pm

FINAL INVOICE		
Expenses	Cost	Notes
Catering	\$2,000.00	This includes all costs related to the catering for a buffet lunch and water for (80-100 people).
Transcription	\$0.00	
Photographer	\$0.00	
Webcast	\$0.00	This includes the cost of webcasting the event live, posting an edited video after the event and having a staff person at the event dedicated to discussing the event on social media outlets.
Video	\$0.00	
Translation Services	\$0.00	
Event Venue, Staffing and AV expenses	\$0.00	This expense is a cost-sharing fee with IPI.
Building Fees for evening events (for HVAC, additional staff as needed)	\$0.00	
Miscellaneous	\$0.00	
IPI Administration and Overhead	\$0.00	
AMOUNT DUE	\$2,000.00	
IPI Program Contact (POC): s 47F(1)		Sponsoring Program (for internal budgeting):
IPI Events Coordinator (EOC): s 47F(1)		Ad Hoc/Meetings/Joint Event
If in the U.S., kindly remit payment by check to IPI, Attn: s 22(1)(a)(ii) Accountant, at the address above. PLEASE INCLUDE THIS INVOICE WITH THE MAILED CHECK. FOR WIRE TRANSFERS, KINDLY EMAIL s 47F(1) THE DATE IT IS SENT. If outside the U.S., kindly remit payment by bank wire using the following instructions: s 47G(1)(a)		

s 22(1)(a)(ii)

From: s 22(1)(a)(ii)
Sent: Tuesday, 12 March 2019 12:00 PM
To: s 22(1)(a)(ii)
Cc: s 22(1)(a)(ii)
Subject: nt with International Peace Institute [SEC=UNCLASSIFIED]
Attachments: February 27_FINAL INVOICE_Australia.pdf

UNCLASSIFIED

Hi ^{s 22(1)(a)(ii)} re the attached invoice, below is the record of the s23 approval.

Could you please give me a ballpark timing which I could go back to IPI with to advise when they might be likely to see the payment come through?

Thank you so much for the help with this today.

Cheers

s 22(1)(a)(ii)

s 22(1)(a)(ii)

Counsellor (Political) | Australian Mission to the United Nations | New York
 ph. s 22(1)(a)(ii) | cell. s 22(1)(a)(ii) | Twitter: @AustraliaUN

From: Brink, Tegan <Tegan.Brink@dfat.gov.au>
Sent: Friday, 23 February 2018 3:47 PM
To: s 22(1)(a)(ii) @dfat.gov.au>
Cc: s 22(1)(a)(ii) @dfat.gov.au>; s 22(1)(a)(ii) @dfat.gov.au>; s 22(1)(a)(ii) @dfat.gov.au>
 s 22(1)(a)(ii) @dfat.gov.au>; s 22(1)(a)(ii) @dfat.gov.au>
Subject: RE: Section 23 request/event with International Peace Institute [SEC=UNCLASSIFIED]

UNCLASSIFIED

Approved.

Tegan Brink
Ambassador and Deputy Permanent Representative
Australian Mission to the United Nations | New York
 150 East 42nd Street, Floor 33 | New York | NY 10017-5612
 Tel: s 22(1)(a)(ii) | Cell s 22(1)(a)(ii) | Email: tegan.brink@dfat.gov.au

From: s 22(1)(a)(ii)
Sent: Friday, 23 February 2018 1:08 PM
To: Brink, Tegan <Tegan.Brink@dfat.gov.au>
Cc: s 22(1)(a)(ii) @dfat.gov.au>; s 22(1)(a)(ii) @dfat.gov.au>; s 22(1)(a)(ii) @dfat.gov.au>
 s 22(1)(a)(ii) @dfat.gov.au>; s 22(1)(a)(ii) @dfat.gov.au>; s 22(1)(a)(ii) @dfat.gov.au>

s 22(1)(a)(ii) @dfat.gov.au>

Subject: RE: Section 23 request/event with International Peace Institute [SEC=UNCLASSIFIED]

UNCLASSIFIED

Hi Tegan

Just following up on this - would it be possible to approve this today? Let me know if you need anything further.

Cheers

s 22(1)(a)(ii)

From: s 22(1)(a)(ii)

Sent: Friday, 16 February 2018 5:27 PM

To: Brink, Tegan <Tegan.Brink@dfat.gov.au>

Cc: s 22(1)(a)(ii) @dfat.gov.au>; s 22(1)(a)(ii) @dfat.gov.au>; s 22(1)(a)(ii)

s 22(1)(a)(ii) @dfat.gov.au>; s 22(1)(a)(ii) @dfat.gov.au>

Subject: Section 23 request/event with International Peace Institute [SEC=UNCLASSIFIED]

UNCLASSIFIED

Hi Tegan

For some weeks, s 22(1)(a)(ii) and I have been discussing the potential for us to support a discussion event hosted on 27 February by the International Peace Institute, on "The Secretary-General's Report on Peacebuilding and Sustaining Peace" at which HOM will be a panellist.

While the IPI originally came to us with a rather sizeable ambit claim for financial support they have now narrowed down their request to the attached budget (totalling 5,800USD). Following further discussion with s 22(1)(a)(ii) I am recommending that we provide partial funding toward this request as there is public diplomacy benefit for us in engaging with this audience on peacebuilding – an issue on which we have already built a profile that we should now seek to maintain. s 22(1)(a)(ii)

but in that context I think that it is reasonable to make a modest contribution here.

Therefore I am requesting Section 23 approval for to provide the International Peace Institute with 2,000USD from s 22(1)(a)(ii) public diplomacy funds to support their discussion event on peacebuilding, per the above and attached.

Please let me know if you need any further information.

Thanks

s 22(1)(a)(ii)

s 22(1)(a)(ii)

Public Affairs and Media Adviser

Australian Mission to the United Nations

150 East 42nd Street, Level 33, 10017

E. s 22(1)(a)(ii)@dfat.gov.au | Ph. s 22(1)(a)(ii) | Cell. s 22(1)(a)(ii) |

Twitter [@AustraliaUN](https://twitter.com/AustraliaUN)

From: s 22(1)(a)(ii)

Sent: Wednesday, 14 February 2018 7:16 PM

To: s 22(1)(a)(ii) @dfat.gov.au>

Subject: FW: partnership on the February 27th event [SEC=UNCLASSIFIED]

UNCLASSIFIED

Hi ^{s 22(1)(a)(iii)}

This is a budget for an event which IPI is organising at which ^{s 22(1)(a)(ii)} will be a panellist and has agreed to participate. They've asked whether we could help financially support this event. Given that it's with a high level audience, and is webcast and has a prominent role for ^{s 22(1)(a)(ii)} I'm hoping it's something we might be able to find some money for. Could you consult the crystal ball of PD funding and let me know if we can probably do it? I'll happily make the case next week on ^{s 22(1)(a)(ii)} return of course.

Cheers and let me know if we should chat

^{s 22(1)(a)(ii)}

^{s 22(1)(a)(ii)}

Counsellor (Political) | Australian Mission to the United Nations | New York
ph. ^{s 22(1)(a)(ii)} | cell. ^{s 22(1)(a)(ii)} | Twitter: @AustraliaUN

From: ^{s 47F(1)} [^{s 47F\(1\)}](mailto:s 47F(1))
Sent: Tuesday, 13 February 2018 4:10 PM
To: ^{s 22(1)(a)(ii)} [^{s 22\(1\)\(a\)\(ii\)}](mailto:@dfat.gov.au)
Cc: ^{s 47F(1)}
^{s 47F(1)}
Subject: partnership on the February 27th event

Dear ^{s 22(1)(a)(ii)}

Welcome back! ^{s 22(1)(a)(ii)}

Regarding the February 27th event, would this be an event Australia would be willing to support and co-organize together with us?

We don't have dedicated funding for our sustaining peace work yet, so we are looking for support for our event on February 27th.

Please find attached the draft budget for the event. Please let me know if this support would be possible.

We also look forward to hearing back about the Ambassador's participation, following your exchange with ^{s 47F(1)} earlier today.

I look forward to being in touch about this and also to discuss our possible partnership later this year.

Warmest wishes,
^{s 47F(1)}

^{s 47F(1)}

Senior Director of External Relations
International Peace Institute
Direct Line: ^{s 47F(1)}
Mobile: ^{s 47F(1)}

E-mail: s 47F(1)

Address:

777 United Nations Plaza
New York, NY 10017
(corner of 44th Street and 1st Avenue)

IPI is on [Twitter](#) [Facebook](#)
[The Global Observatory](#)

From: s 22(1)(a)(ii) [@dfat.gov.au](mailto:s 22(1)(a)(ii)@dfat.gov.au)
Sent: Wednesday, January 17, 2018 1:45 PM
To: s 47F(1)
Cc: s 47F(1); s 47F(1) s 47F(1) s 22(1)(a)(ii) [@dfat.gov.au](mailto:s 22(1)(a)(ii)@dfat.gov.au); Brink, Tegan
 <Tegan.Brink@dfat.gov.au>; s 22(1)(a)(ii) [@dfat.gov.au](mailto:s 22(1)(a)(ii)@dfat.gov.au)>
Subject: Partnership proposal [SEC=UNCLASSIFIED]

UNCLASSIFIED

Hi s 47F(1)

Thanks again for the email and for working through finalising the proposal so quickly.

I'm afraid that the funding situation is as I feared. Our normal window for funding partnerships of this kind happens around August/September each year and so is currently fully committed (incidentally, I would welcome an application from IPI for that scheme – our International Development Fund – later in the year and would be happy to discuss how to meet the criteria for that at the appropriate moment, if you are interested).

That being the case, I've looked into our other budgets in the mission to try to find an appropriate one which has some room in it. At this stage, though I can't be definitive, it's unlikely we'd be able to contribute more than a couple of thousand dollars. I could of course offer in-kind support in terms of making our large boardroom or our other gathering spaces available. But I'm sorry it isn't better news on the funding front.

s 22(1)(a)(ii)

I've copied some colleagues into this email so there's some broader awareness here at the Mission, but I also look forward to continuing to discuss, if that would be useful, on my return.

Thanks again and best regards

s 22(1)(a)(ii)

s 22(1)(a)(ii)

Counsellor (Political) | Australian Mission to the United Nations | New York
ph. s 22(1)(a)(ii) | cell. s 22(1)(a)(ii) | Twitter: @AustraliaUN

From: s 47F(1) [\[mailto:s 47F\(1\)@dfat.gov.au\]](mailto:s 47F(1)@dfat.gov.au)
Sent: Friday, 12 January 2018 4:57 PM
To: s 22(1)(a)(ii) [@dfat.gov.au](mailto:s 22(1)(a)(ii)@dfat.gov.au)>

Cc: s 47F(1)

s 47F(1)

Subject: RE: Happy New Year [SEC=UNCLASSIFIED]

Hi s 22(1)(a)(ii)

Thank you for your email and for the suggestions of other potential funders.

We look forward to hearing from you next week.

Have a good weekend.

All the best,

s 47F(1)

From: s 22(1)(a)(ii) @dfat.gov.au]

Sent: Friday, January 12, 2018 4:27 PM

To: s 47F(1)

Cc:

s 47F(1)

Subject: RE: Happy New Year [SEC=UNCLASSIFIED]

UNCLASSIFIED

Thanks so much for this s 47F(1) and everyone at IPI.

I will put this to the Ambassador early next week, but I thought it would be helpful to pass on a very initial reaction – I'm confident that at this budget level, and given that it's coming at a time outside of our usual Direct Assistance Program funding window, it's likely to need a number of funding partners as well as us, I'm afraid. I wanted to mention this early, so that there's an opportunity to think about it over the weekend. Some nations I've been aware of who may have interest in part-funding a project like this might be s 33(a)(iii). Of course there may be others too.

Thanks again for all the work that's gone into this proposal and I'll come back with something further, hopefully an indication of the amount of funding we could look to provide, early next week.

Best

s 22(1)(a)(ii)

s 22(1)(a)(ii)

Counsellor (Political) | Australian Mission to the United Nations | New York
ph. s 22(1)(a)(ii) | cell. s 22(1)(a)(ii) | Twitter: @AustraliaUN



—
Candidate for the
United Nations Human Rights Council

From: s 47F(1) [mailto:s 47F(1)]
Sent: Friday, 12 January 2018 2:32 PM
To: s 22(1)(a)(ii) @dfat.gov.au>
Cc: s 47F(1)
s 47F(1)
Subject: RE: Happy New Year [SEC=UNCLASSIFIED]

Dear ^{s 22(1)(a)(ii)}

Thank you for the meeting yesterday. It was great to touch base on sustaining peace.

As discussed, attached is the revised proposal and the budget.

We understand the budget may be more than expected but the breakdown gives an idea of the costs involved, from IPI's side, in both convening and research. We would be happy to have a discussion on options for joint-partnership with Australia and other member states in all these initiatives.

Thank you again and we look forward to hearing back from you.

Kind regards,
s 47F(1)

From: s 22(1)(a)(ii) @dfat.gov.au]
Sent: Wednesday, January 10, 2018 12:21 PM
To: s 47F(1)
Cc:
s 47F(1)
Subject: RE: Happy New Year [SEC=UNCLASSIFIED]
s 22(1)(a)(ii)

s 22(1)(a)(ii)

s 22(1)(a)(ii)

Counsellor (Political) | Australian Mission to the United Nations | New York
ph. s 22(1)(a)(ii) | cell. s 22(1)(a)(ii) | Twitter: @AustraliaUN



—
Candidate for the
United Nations Human Rights Council

From: s 47F(1)
Sent: Wednesday, 10 January 2018 11:55 AM
To: s 22(1)(a)(ii) @dfat.gov.au>
Cc: s 47F(1)
s 47F(1)
Subject: RE: Happy New Year [SEC=UNCLASSIFIED]

Hi ^{s 22(1)(a)(ii)}

s 22(1)(a)(ii)

s 47F(1)

Brian Urquhart Center for Peace Operations
International Peace Institute (IPI)
777 United Nations Plaza, New York, NY 10017
s 47F(1) | www.ipinst.org
www.providingforpeacekeeping.org
www.futurepeaceoperations.org

From: s 22(1)(a)(ii) @dfat.gov.au]
Sent: Wednesday, January 10, 2018 9:38 AM
To: s 47F(1)
Cc: s 47F(1) s 47F(1) s 47F(1)
Subject: RE: Happy New Year [SEC=UNCLASSIFIED]

s 22(1)(a)(ii)

s 22(1)(a)(ii)

Sent with Good (www.good.com)

From: s 47F(1)
Sent: Thursday, 11 January 2018 1:04:58 AM

To: s 22(1)(a)(ii)
Cc: s 47F(1) s 47F(1) s 47F(1)
Subject: RE: Happy New Year [SEC=UNCLASSIFIED]

s 22(1)(a)(ii)

s 47F(1)

Brian Urquhart Center for Peace Operations
International Peace Institute (IPI)
777 United Nations Plaza, New York, NY 10017
s 47F(1) | www.ipinst.org
www.providingforpeacekeeping.org
www.futurepeaceoperations.org

From: s 22(1)(a)(ii) [@dfat.gov.au](mailto:dfat.gov.au)
Sent: Tuesday, January 09, 2018 4:57 PM
To: s 47F(1)
Cc: s 47F(1) s 47F(1) s 47F(1)
Subject: RE: Happy New Year [SEC=UNCLASSIFIED]

UNCLASSIFIED

s 22(1)(a)(ii)

s 22(1)(a)(ii)

s 22(1)(a)(ii)

Counsellor (Political) | Australian Mission to the United Nations | New York
ph. s 22(1)(a)(ii) | cell. s 22(1)(a)(ii) | Twitter: @AustraliaUN



—
Candidate for the
United Nations Human Rights Council

From: s 47F(1)
Sent: Tuesday, 9 January 2018 4:08 PM

To: s 22(1)(a)(ii) @dfat.gov.au>
Cc: s 47F(1)
s 47F(1)
Subject: RE: Happy New Year [SEC=UNCLASSIFIED]

Dear ^{s 22(1)(a)(ii)}

I'm glad to hear it! It seems like we could have a very fruitful partnership on this topic!

s 22(1)(a)(ii)

would it be possible to schedule a time before you leave to discuss the proposal? s 47F(1) will be sending it along later today, and perhaps we could meet to discuss sometime Friday.

Let me know if that would be convenient for you and safe travels!

Best,

s 47F(1)

Brian Urquhart Center for Peace Operations
International Peace Institute (IPI)
777 United Nations Plaza, New York, NY 10017
s 47F(1) www.ipinst.org
www.providingforpeacekeeping.org
www.futurepeaceoperations.org

From: s 22(1)(a)(ii) @dfat.gov.au]
Sent: Tuesday, January 09, 2018 11:45 AM
To: s 47F(1)
Cc: s 47F(1) s 47F(1) s 47F(1)
Subject: RE: Happy New Year [SEC=UNCLASSIFIED]

UNCLASSIFIED

Thanks so much ^{s 47F(1)} and happy new year to you as well!

We really valued all the great work which IPI led last year on sustaining peace as well, and I'm delighted that it was useful to you to have our engagement on it. And we're definitely looking forward to continuing the good work this year too!

So we would welcome exploring the idea of working together on it this year, further to our meeting towards the end of last year. Just so you're aware, s 22(1)(a)(ii)

Look forward to working together this year and many thanks again

s 22(1)(a)(ii)

s 22(1)(a)(ii)

Counsellor (Political) | Australian Mission to the United Nations | New York
ph. s 22(1)(a)(ii) | cell. s 22(1)(a)(ii) | Twitter: @AustraliaUN



—
Candidate for the
United Nations Human Rights Council

From: s 47F(1)
Sent: Tuesday, 9 January 2018 11:17 AM
To: s 22(1)(a)(ii) [@dfat.gov.au](mailto:dfat.gov.au)>
Cc: s 47F(1)
s 47F(1)
Subject: Happy New Year

Dear ^{s 22(1)(a)(ii)}

s 22(1)(a)(ii)

With the start of a new year, I just wanted to reiterate that we really appreciated our conversations with you about sustaining peace, and we very excited about IPI's stream of work on sustaining peace slated for 2018.

We are still very interested in exploring a potential relationship and will be sending along a proposal by the end of this week for your consideration.

In the meantime, I hope you have a productive week and we will be in contact later this week.

Best,

s 47F(1)

Brian Urquhart Center for Peace Operations
International Peace Institute (IPI)
777 United Nations Plaza, New York, NY 10017

s 47F(1) | www.ipinst.org
rpeacekeeping.org
www.futurepeaceoperations.org

s 22(1)(a)(ii)

From: s 22(1)(a)(ii)
Sent: Friday, 30 October 2020 12:35 PM
To: s 22(1)(a)(ii)
Subject: FW: Draft response on question of funding to the International Peace Institute [SEC=OFFICIAL:Sensitive]

OFFICIAL:Sensitive

FYI in case this comes up in future.

From: s 22(1)(a)(ii) @dfat.gov.au>
Sent: Friday, 30 October 2020 12:20 PM
To: s 22(1)(a)(ii) @dfat.gov.au>; s 22(1)(a)(ii) @dfat.gov.au>; s 22(1)(a)(ii) @dfat.gov.au>
Cc: s 22(1)(a)(ii) @dfat.gov.au>
Subject: Draft response on question of funding to the International Peace Institute [SEC=OFFICIAL:Sensitive]

Dear All

Thanks a lot for all your assistance yesterday. For your awareness, just sharing the draft response I prepared for the estimates question on the issue of funding to the International Peace Institute. s 47C(1)

Nonetheless wanted to make sure you have visibility of this.

Please find following DFAT's response to the question: *Does the Aussie taxpayer make any contribution to this Institute (International Peace Institute) through DFAT?*

Answer

s 47C(1)

Will keep you posted.

Kind regards

s 22(1)(a)(ii)

s 22(1)(a)(ii)

Finance Policy and Training Section | Budget and Policy Branch | Finance Division
 Department of Foreign Affairs and Trade
 Mobile s 22(1)(a)(ii)
 Web | Twitter | YouTube | Flickr

s 22(1)(a)(ii)

From: s 22(1)(a)(ii) [@dfat.gov.au](mailto:dfat.gov.au)>
Sent: Thursday, 29 October 2020 11:07 AM
To: s 22(1)(a)(ii) [@dfat.gov.au](mailto:dfat.gov.au)>; s 22(1)(a)(ii) [@dfat.gov.au](mailto:dfat.gov.au)>; s 22(1)(a)(ii) [@dfat.gov.au](mailto:dfat.gov.au)>
 s 22(1)(a)(ii) [@dfat.gov.au](mailto:dfat.gov.au)>; s 22(1)(a)(ii) [@dfat.gov.au](mailto:dfat.gov.au)>
Cc: s 22(1)(a)(ii) [@dfat.gov.au](mailto:dfat.gov.au)>; s 22(1)(a)(ii) [@dfat.gov.au](mailto:dfat.gov.au)>; s 22(1)(a)(ii) [@dfat.gov.au](mailto:dfat.gov.au)>; s 22(1)(a)(ii) [@dfat.gov.au](mailto:dfat.gov.au)>; s 22(1)(a)(ii) [@dfat.gov.au](mailto:dfat.gov.au)>; s 22(1)(a)(ii) [@dfat.gov.au](mailto:dfat.gov.au)>; Senate Estimates
 s 22(1)(a)(ii) [@dfat.gov.au](mailto:dfat.gov.au)>
Subject: Senate Estimates - QoN 10:47 29 October [SEC=OFFICIAL]

OFFICIAL

Dear all,

QoN taken by Secretary Adamson in relation to articles in today's media about a donation to the International Peace Institute.

Please direct any questions to Senate Estimates s 22(1)(a)(ii) [@dfat.gov.au](mailto:dfat.gov.au)

Topic area	Senator	Question	Response	Time asked	Sent to Division?
Donations of public money to the International Peace Institute.	Senator Eric Abetz (TAS, LP)	Has the Department seen the reports in this morning's media alleging Kevin Rudd's International Peace Institute received a donation of 6\$50,000 does the Aussie taxpayer make any contribution to this institute through DFAT?	Secretary Adamson: I would need to take a closer look at this, I will take it on notice.	10:47	MAD, CCD

s 22(1)(a)(ii)

Graduate Policy Officer
 Department of Foreign Affairs and Trade

COVID-19 Coordination Unit
 Borders and Strategy Policy

E | s 22(1)(a)(ii) [@dfat.gov.au](mailto:dfat.gov.au)



Australian Government
AusAID Clearance Minute for an Agreement

File No:	TBA	Date:	8-Apr-2010
Subject:	Clearance of draft Agreement: Funding Support for the "Field Manager's Handbook: A Practical Guide to Managing in Peace Operations"		
Agreement number:	54721		
Project/Activity:	Managing in Peace Operations		
Partner:	(IP) International Peace Institute		
Attachments:	Draft Agreement and Handbook Funding Proposal pdf		

CLEARANCE STEP 1 (Agreement Manager to complete after contract negotiations are concluded)

TO: Procurement and Agreement Services Section (PAS) / Contracts Manager at Country Office
 FROM: s 22(1)(a)(ii)

The draft Agreement is attached for your clearance prior to the preparation of a final document.

In accordance with AusAID's Chief Executive Instructions:

Is there sufficient FMA9 funding approval for the Agreement? (CEI 2.1) yes

If committing funds for future years, has FMA Reg 10 authorisation been obtained? (CEI 2.2) N/A

Has approval been given for the procurement Method and Outcome (CEI 2.4) or selection Method and Outcome? (CEI 2.9) N/A

Have the FMA Reg 9 and 10 minutes been uploaded into AidWorks? yes

All relevant members of the Branch/Country Office have cleared the attached draft. (Supervisor's signature is required if the services have already commenced.) s 22(1)(a)(ii)

Supervisor's signature (if required): _____

Any other comments/advice: _____

s 22(1)(a)(ii)

Signature (Agreement Manager) _____

Date

8/4/2010

COMPLIANCE CHECKLIST FOR ADMINISTERED AGREEMENTS (Agreement Manager to complete)

Agreement Details

Agreement Title (see guidance) Funding Support for the "Field Manager's Handbook: A Practical Guide to Managing in peace operations"

Agreement Type (see guidance) Funding Agreement

Parent Agreement Type (if any) (see guidance) -

Agreement Start Date: January 2010 Agreement End Date: 30 Dec 2011

Child Protection

(You must read the guidance before answering the following questions)

Does the activity involve any personnel positions that will be working with children? ?

If the activity involves work with children, are personnel working with children identified as working with children in the agreement? ?

If the activity involves work with children, have police checks been requested by AusAID for all contractor personnel identified as working with children (Small Value contracts only and excluding personnel engaged through an AusAID Period Offer)? ?

CLEARANCE STEP 2 (for PMG use only)

TO: Senior Legal Adviser / Legal Officer
 FROM: Contracts Officer, PAS / Contracts Manager at Country Office *s 22(1)(a)(ii)*

The draft Agreement has been cleared. All necessary changes are indicated on the document or in the compliance cross-check sheet below.

Compliance Cross-Check (to be completed by Contracts Officer PAS / Contracts Manager at Country Office)

If an ABN is listed on the agreement, is it correct? (If not, list correct ABN. If no ABN is listed, check whether an ABN should be included and provide ABN if necessary.)	NA
Is the Agreement Type specified correctly? (If no, provide correct details.)	YES
Is the Parent Agreement Type specified correctly? (If no, provide correct details.)	N/A
Are FMA Reg 9 and 10 questions answered correctly? (If no, advise agreement manager of any additional steps required before contract clearance can be finalised.)	Yes
Is the partner on the AG, DFAT, WB or ADB lists? (Checking the partner's name against these lists is a PAS responsibility. If the partner is on any of the lists, advise agreement manager that AusAID may not enter into an agreement with the partner.)	No
Have child protection procedures above been followed? (if no, advise agreement manager of any additional steps required before agreement can be finalised.)	<i>This was not indicated, if considered necessary please include required clauses & attachments.</i>

s 22(1)(a)(ii)
 Signature (Contracts Officer, PAS / Contracts Manager at Country Office) _____ Date 8 April 2010

CLEARANCE STEP 3 (for PMG use only)

TO: Director PAS / Authorised PAS Officer
 FROM: Senior Legal Adviser / Legal Officer

The draft Agreement has been cleared. All necessary changes are indicated on the document.

s 22(1)(a)(ii)
 Signature (Senior Legal Adviser / Legal Officer) _____ Date 09-04-10

CLEARANCE STEP 4 (for PAS use only)

TO: Agreement Manager
 FROM: Director PAS / Authorised PAS Officer

The attached draft Agreement has been cleared for final preparation, subject to making all necessary changes indicated on the document and on the Compliance Checklist (for an agreement from Administered funds).
s 22(1)(a)(ii)

Signature (Director PAS / Authorised PAS Officer) _____ Date 13/4/10.

NEXT STEPS (Agreement Manager to complete)

1. Ensure all copies of agreements are signed and dated. AusAID's signatory must be the correct FMA Act s.44 delegate (see CEI 2.3). The s.44 Minute must be signed and held on the activity file
2. Make a PDF copy of the signed agreement and upload it into AidWorks (if it is an agreement from administered funds).
3. Ensure that one original copy of the signed agreement is sent to (or retained by) the contractor or other signatory to the agreement.
4. Send one original copy of the agreement to Records Management Unit for filing on the official (purple) agreement file. Put a copy on the Agreement Manager's file.
5. For departmental agreements only, complete a departmental agreement registration form and submit it to Finance. (Form available here.)



Australian Government

Department of Foreign Affairs and Trade

Final Report Template

Australian Development Research Awards Scheme

2012 Funding Round

Purpose: The aim of this template is to provide the Australian Government and research teams with a systematic way to collect data on the outcomes of individual ADRAS research projects. Reporting includes a mix of metrics, case studies and narrative and can be tailored to suit individual projects.

The final report, as opposed to the progress reports, should emphasise the project's achievements as outcomes and/or policy impacts and contain at least one case study of where policy/practice/thinking has been influenced. Tables should include an update on data provided in progress reports.

Agreement Number	66459
Project Title Please restate the working title as specified on the Australian Aid website at: http://aid.dfat.gov.au/research/Pages/adras-awards-2012.aspx	Supporting the rights of women as equal citizens after the change of governments: Egypt, Libya, Tunisia and Yemen
Administering Organisation	International Peace Institute (IPI)
Principal Investigator	s 47F(1)
Total Australian Aid funding received during reporting year (AUD\$)	400,000

1. What are the aims and objectives of the research? *Limit 150 words.*

General Aims:

- **Facilitate a platform** for and **create a network** of civil society men and women leaders from the Arab world to exchange views on the exercise of equal citizenship in Arab countries in transition, with a particular focus on **gender equality**;
- Produce **evidence based research**—as opposed to the theoretical speculation that tends to pervade in discussions on human rights and citizenship—with **policy recommendations** that would enhance the capacity of key national stakeholders to promote the rights of women as equal citizens in post-uprising Arab countries;
- Build **research and outreach capacity** among Arab civil society to influence policymakers and effect change in policy.

Research-specific Objectives:

- **Seek the views of key stakeholders** (i.e. citizens, policy makers, civil society organizations, academics, and the media) on how to best create an **enabling environment** for the exercise by women of their rights as equal citizens;
- Better understand and address how the exercise of women's rights as equal citizens varies across **rural and urban contexts**;
- Analyze the **constitution drafting process** from a gender and equal citizenship perspective, and compile and disseminate examples of constitutional provisions that are considered to uphold the rights and responsibilities of women;
- Understand how women exercise their rights as equal citizens in the political realm by **examining the determinants, patterns, and challenges** of their political participation (when voting and as candidates in elections); and
- Explore way to promote a **more balanced media portrayal** of the political, economic, and social participation of women as equal citizens.

2. Please outline what has been achieved in relation to the research objectives and throughout the project? *Limit 500 words.*

- See below sections 3, 4 & 5 for reporting on engagement with stakeholders, communications and capacity building activities
- Please include (a) **case study/ies** as appropriate to illustrate in more detail specific successes/innovations/challenges in meeting the research objectives and achieving policy influence. Case studies might relate to a particular outcome area (stakeholder engagement, knowledge outputs, communication, capacity building etc.) or to the project as a whole.

Case studies can be used to illustrate changes in attitudes, behaviours, policies or practices as a result of research activity/ies. The case studies should:

- focus on activities that most directly contribute to the achievement of research objectives
- provide explanation of a causal link between activities and the relevant outcome
- provide an estimation of the level of attribution that can be claimed for the activity in the achievement of the outcome (to what extent did the research activity contribute to the outcome? Were there other contributing factors?)

The FACT initiative brought together civil society leaders and involved them in the conceptualization, design, and implementation of empirical research projects (these are studies based on field data such as interviews, focus groups and surveys). Country-based national coordinators were hired and steering groups, of eight to fourteen members, were formed in Tunisia, Egypt, Yemen, and Libya. Amidst constantly changing and fragile political transitions FACT showed significant local operational resilience, managing to complete most of its activities in three of the four countries it focused on. During the time period of the AusAid grant agreement (24 April 2013 — 24 October 2015), FACT was able to produce the following outputs:

Outputs

- Produced and disseminated fourteen research policy papers and one book, with targeted recommendations, and advocacy plans for empowering women and advancing their rights as citizens. Particular attention was paid to the difference between rural and urban settings (see Table 2, “Communications per knowledge output”, of Section 4 for details of the studies);
- Held sixteen workshops and discussion events in rural and urban areas with civil society activists and policymakers as well as students, journalists, academics and ordinary citizens;
- FACT members further contributed to the public discussions on citizenship and related topics through media interviews and printed articles (See example in English [here](#), [here](#) and [here](#), in Arabic [here](#), [here](#), [here](#), [here](#), [here](#) and in French [here](#));
- In order to make its outputs accessible to a wider audience FACT created and maintains a dedicated website called “Muwatana” (Arabic for “Citizenship”) at www.muwatana.net.

Case Studies

This list includes one example from each of the countries FACT was active in:

Egypt

- Direct access to the Egyptian Sub-Committee on Freedoms and Rights of the Constitution Drafting Committee of 50: FACT gender-focused assessment of Egypt’s 2012 Constitution (published in December of that year) was reviewed and discussed with the chair of the 2014 Sub-Committee on Freedoms and Rights of the Constitution Drafting Committee of 50, the latter was responsible for revising the 2012 Constitution. Out of this discussions the policy paper “Women and Equal

Citizenship in the 2014 Constitution – an Analytical View” was produced and was later shared with the rest of the sub-committee members. It provided an assessment of the new constitution and made a set of policy recommendations for promoting the implementation of the advances on women’s rights enshrined in the 2014 Constitution. The new Egyptian Constitution showed improvements in relations to gender equality, in particular Articles 6, 11, 19, 93, and 180. However, there remain gaps between constitutional guarantees and practice, as outlined in an article written by the FACT Egypt coordinator Hanan Elbadawi, “[So Far, Egypt’s New Constitution Fails Test of Equal Citizenship](#)”.

Tunisia

- Debates on citizenship leading up to election campaign in Tunisia in 2014: Professor Mohsen Tlili, lead researcher and author of the study on the “Citizenship in Tunisia and Promotion of Rights of Women as Equal Citizens” (September 2014), disseminated initial findings and recommendations of the research among academics, local officials, and civil society activists in Tunisia during three workshops in 2014 (February 22, March 26, and May 8). He also took advantage of the October 26, 2014 Tunisian legislative elections to distribute the study and recommendations. Tlili included the principle of equal citizenship in his own election campaign and debates (see one of Tlili’s televised campaign statements in Arabic [here](#)), though he was ultimately not elected. During this pre-election period debates over the notion of citizenship featured prominently. At least two such programs on public television channels focused on the issue. A radio station also interviewed Tlili specifically on the findings of his report. Moreover, a copy of the report was added to the Sousse University library research unit “Legislation on Personal Status” in Tunis, Tunisia.

Yemen

- Pioneering work on engendering the Yemeni constitution: The Draft Constitution of Yemen of January 2015 contains specific and repeated references to “equal citizenship” as it relates to gender equality and at least nine articles are aligned with the recommendations of FACT’s study on “The Rights of Women as Equal Citizens and the Constitution in Yemen” (September 2014). While the notion of “equal citizenship” has a history that precedes the Arab uprisings, in the context of these particular events FACT and associated civil society organizations have been, to our knowledge, its sole proponents. The study was also unique in providing an analysis of the normative rationale for engendering the constitution, as almost all women’s groups focused on advocating for a quota for women in state/government institutions. The study provided a set of policy recommendations, and supporting arguments, specifically aimed at the Constitution Drafting Committee. Further, a number of civil society organizations expressed interest in integrating these recommendations into their existing campaigns calling for enshrining gender equality in the constitution. Ms. Amal Basha, chair of the Sisters Arab Forum for Human Rights (SAF) and one of Yemen’s most prominent women’s rights activists, praised the paper as “one of the best that has been written on gender in relation to the Constitution of Yemen” and used it for her own study on the role of women in the Yemeni National Dialogue commissioned by UN Women. FACT activities in Yemen were also coordinated with UN agencies in Yemen, which expressed support for the project and suggested areas for possible future collaboration.

3. How have key stakeholders been engaged in the research?

- This section requires information about the external people/groups you have engaged, how you have engaged with them and what this engagement has resulted in
- Report significant engagement only i.e. where there was a substantive contribution to work, not just advice / participation in consultations

FACT engaged with stakeholders in multiple ways. Table 1 below reflects the engagement of FACT with civil society activists and institutions as well as academics where a formal agreement was established. It does not include, however, all the authors and organizations involved in drafting reports for FACT (these are featured in Table 1, “Key knowledge outputs”, Section 4, “Methods of communication”). Another form of direct engagement was through convening seminars, workshops and roundtables (these are recounted in detail in Table 2, “Communications per knowledge output”, of Section 4). More indirect forms of engagement have been the numerous articles written and interviews given by FACT members, some of which are referred to in this report. Moreover, the creation of FACT itself, with the establishment of its basic organizing structures, the country steering groups in Egypt, Tunisia and Yemen—and also for a time Libya--constitutes the organization’s most direct form of engagement with key stakeholders.

Please use the following table to record this information:

Table 1: Engagement of external individual / groups / networks

External Individuals / Groups / Networks per Theme			
External Individual / Group / Network engaged ¹	Duration of engagement ²	What / how did engaged group contribute? ³	Changes to relationships/networks ⁴
Mohsen Tlili, Faculty of Arts and Human Sciences of Sousse University (Tunisia)	1 November 2013 – 30 September 2014	Research and report writing of study on “The Concepts, Perceptions and Practice of Citizenship in Tunisia and the Promotion of the Rights of Women as Equal Citizens”	MoU
Mr. Nidhal Mekki (Tunisia)	1 November 2013 – 30 September 2014	Research and report writing of study on “Gender Equality and the Constitution in Tunisia”	MoU
Naila Sellini, Faculty of Arts and Human Sciences of Sousse University (Tunisia)	10 December 2013 – 30 September 2014	Research and report writing of study on “Women’s Political Participation and Voting Patterns in Tunisia”	MoU
Family Counseling and Development Foundation (Yemen)	20 September 2014 – 30 September 2014	Partnership for seminar to present FACT project on “Rights of Women as Equal Citizens in the Yemen Constitution”	MoU
Wameedh Shakir (Yemen)	1 June 2014 – 23 January 2015	Research and report writing of study on “Rights of Women as Equal Citizens and the Constitution in Yemen”	MoU
The Arab Forum for Alternatives (Egypt)	10 December 2013 – 20 April 2015	Research and report writing of study on “The Concept and Practice of Citizenship after the 2011 Revolution	MoU

¹ *Engaged*: State the name of the organisation / institution / group / network and any relevant individual or key contact personnel involved

² *Duration of engagement*: State whether the engagement is ‘new’ i.e. commenced during the ADRAS project or ‘existing’ and include the years of engagement e.g. 2009, 2010, 2011

³ *Contribution of engaged group*: Classify the contribution according to which stage in your research project the engagement has occurred. For example: Design; Implementation/fieldwork; report writing; review. Consideration of findings/recommendations; Communication / dissemination

⁴ *Change*: Outcomes in terms of changes in engagement – relationships / structures, networks including creation of new networks; formalizing relationships e.g. through MoU’s;

		and its Impact on Strengthening Women’s Rights”	
Ms. Dina Wahba, “Ikhtyar” “[Choice]” for Gender Studies and Research (Egypt)	10 December 2013 – 30 June 2015	Research and report writing of study on “Women’s Political Participation and Voting Patterns Post-January 25 Revolution in Egypt: A Gender-Based Analysis”	MoU
Human Rights Information and Training Center (Yemen)	1 January 2014 – 31 August 2015	Research and report writing of study on “Perceptions and Practice of Citizenship in Yemen: Towards Enhancing the Rights of Women as Citizens”	MoU
Ms. Saima Mzoughi (Tunisia)	1 March 2015 – 31 August 2015	Research and report writing of study on “Media and the Promotion of a Constructive Portrayal of Women’s Roles as Equal Citizens in Tunisia”	MoU

- Where appropriate, include case studies to illustrate in more detail specific successes/innovations/challenges in meeting one or more of the research objectives (see Q2. for more detail on the focus of these case studies).

Follow-up committee in Yemen: The partnership created with the Family Counselling and Development Foundation for the seminar held on September 29, 2014, to present FACT project on the “Rights of Women as Equal Citizens in the Yemen Constitution”, led to the establishment of a follow-up committee. The committee, formed by five activists representing different civil society organizations from Yemen, was tasked with drawing specific conclusions from the discussions organized and drafting a concrete advocacy plan. The overall aim was to ensure that the new constitution for Yemen adequately guarantees the rights of women as equal citizens. The five-person committee met the following day on September 30, 2014 and produced a statement that was distributed to several national television channels. The statement was addressed to the Yemeni president and requested that the current transition process ensures women’s adequate representation and participation, and guarantees their rights as equal citizens. Subsequent steps by the advocacy committee were suspended due to the takeover of state institutions by armed groups from Ansarullah and loyalists of the former President Ali Abdullah Saleh—resulting in a full-scale civil war that has been fuelled by a foreign military intervention. Despite Yemen’s recent descent into conflict, there is a general understanding that the National Dialogue outcome document and draft constitution—which includes robust language on equal citizenship for women—should serve as a key foundation stone for the future of the country.

4. What knowledge outputs or research communications have resulted from the project? How have these been used to achieve the research objectives?

Please provide the Australian Government with copies of these outputs with this progress report.

- This section requires information about research outputs produced, the target audiences identified and methods of communication engaged to impart information about your research project.

FACT conducted and disseminated fourteen research policy papers and one book (details in Table 1 below). The conclusions and recommendations of these studies laid a solid foundation for advocacy and dialogue with policymakers, as well as other stakeholders. Results were disseminated through workshops, seminars and other outreach activities that were convened by local implementing partners, primarily civil society networks (details in Table 2 below). These activities also served to inform the citizenship education programs of grassroots NGOs.

Please use the following tables to record this information:

Table 1: Key knowledge Outputs

- Document original contributions to knowledge – this should be a new insight / understanding / tool. Not all outputs will be new knowledge. Outputs must be based entirely on your ADRAS project, and not complementary outputs.
- List the full title of the output in the table.
- Any one knowledge output should only be recorded in one category

Type of output	Title/description of output	Published Y/N?	Source
Literature review / scoping study	All the reports below contain a literature review.	Y	See below
Conference paper/poster/presentation	Presentations were given at all the workshops, seminars and roundtables that feature in Section 4, Table 2. Those that were published separately figure in this table below.	Y	See below
Academic paper (journal article/working paper/book chapter/monograph)	Elagati, Mohamed. "Citizenship and Women's Rights in Egypt following the Arab Uprisings." <i>Arab Forum for Citizenship in Transition</i> (September 2014). [book; 155 pages]	Y	Available in Arabic .
Policy document (Policy brief/research brief/recommendations/seminar)	Tlili, Mohsen. "Equal Citizenship and the Promotion of the Rights of Women as Equal Citizens in Tunisia." <i>Arab Forum for Citizenship in Transition</i> (August 2014). [policy brief; 2 pages]	Y	Available in English .
	Tlili, Mohsen. "Citizenship in Tunisia and the Promotion of Rights of Women as Equal Citizens." <i>Arab Forum for Citizenship in Transition</i> (September 2014). [report; 53 pages]	Y	Available in Arabic and summary in English .
	Sellini, Naila. "Women's Political Participation and Voting in Tunisia." <i>Arab Forum for Citizenship in Transition</i> (September 2014). [report; 74 pages]	Y	Available in Arabic .
	Mekki, Nidhal. "Tunisia: Gender Equality and the Constitution." <i>Arab Forum for Citizenship in Transition</i> (September 2014). [report; 55 pages]	Y	Available in Arabic and unofficial translation in English .
	Senary, Noov. "Women and Equal Citizenship in the 2014 Egyptian Constitution – an Analytical View." <i>Arab Forum for Citizenship in Transition</i> (March 2014). [policy paper; 10 pages]	Y	Available in Arabic and English .

	Fawzi, Samih. "Women and Citizenship: Reading the Religious Capital." <i>Arab Forum for Citizenship in Transition</i> (January 2015). [policy paper; 7 pages]	Y	Available in Arabic .
	Samir, Amr. "Women and Citizenship: Establishing Partnership between the Parliament and Civil Society" <i>Arab Forum for Citizenship in Transition</i> (January 2015). [policy paper; 4 pages]	Y	Available in Arabic .
	Ahmad, Nauran Said. "Women and Citizenship: Towards Consolidation of Women's Civil and Political Rights" <i>Arab Forum for Citizenship in Transition</i> (January 2015). [policy paper; 5 pages]	Y	Available in Arabic .
	Zada, Rania. "Role of Feminist Associations in Supporting Women's Rights" <i>Arab Forum for Citizenship in Transition</i> (January 2015). [policy paper; 3 pages]	Y	Available in Arabic .
	Shakir, Wameedh and Suha Bashrin. "A Constitution for All Yemenis, Men and Women: The Constitution and Gender Equality in Rights and Freedoms." <i>Arab Forum for Citizenship in Transition</i> (September 2014). [policy paper; 58 pages]	Y	Available in Arabic and policy paper summary in Arabic .
	Wahba, Dina. "Women's Political Participation in Egypt Following the 25 January 2011 Revolution." <i>Arab Forum for Citizenship in Transition</i> (June 2015). [policy paper; 70 pages]	Y	Available in Arabic .
	Wahba, Dina. "Policy Recommendation: Women's Political Participation in Egypt Following the 25 January 2011 Revolution." <i>Arab Forum for Citizenship in Transition</i> (June 2015). [policy recommendations; 9 pages]	Y	Available in Arabic .
	Perceptions and Practices of Citizenship in Yemen: Towards Enhancing the Rights of Women as Citizens. <i>Arab Forum for Citizenship in Transition</i> (October 2015). [policy paper; 94 pages]	Y	Available in Arabic .
	Media and the Promotion of a Constructive Portrayal of Women's Roles as Equal Citizens in Tunisia. <i>Arab Forum for Citizenship in Transition</i> (October 2015). [policy paper; 24 pages]	Y	Available in Arabic .
Website/social media/traditional media	Muwatana.net website and Facebook page	Y	www.muwatana.net www.facebook.com/muwatana
			No. of total outputs: 16

Table 2: Methods of Communication

- Document where targeted communication activities were undertaken and how this was done i.e. where there was an identified audience and specific message for communication.
- There may be several target audiences for the same knowledge output.

Other than those methods of communication directed at the general public, such as the website and media appearances (newspaper articles and interviews), workshops, round tables and seminars have been the preferred instruments for reaching out to specific audiences. Beyond ordinary citizens, key stakeholders include students, policymakers, media personnel, journalists, academics and of course civil society activists. As always, attention to rural areas has been a guiding factor:

Communication per Knowledge Output

Target Audience	Knowledge output	Communication Method ⁵	Audience Reached ⁶	Response ⁷
Rural Tunisians	Workshop on “Citizenship in Rural Tunisia” in Sousse, Tunisia (February 22, 2014)	Workshop	40+, mostly teachers and students	Organized in the Cultural Center of Sousse this event provoked great interest. Participants were active and engaged and contributed to a short policy paper with recommendations to follow up on
Egyptian women and men civil society activists and experts	Workshop on “Gender and the Constitution” in Cairo, Egypt (March 4, 2014)	Workshop	10+ experts	Out of this discussions the policy paper “Women and Equal Citizenship in the 2014 Constitution – an Analytical View” was produced and was later shared with the rest of the sub-committee members. Also this article, highlighting the gaps between the text of the new constitution and the actual practice, was written by Egypt FACT coordinator
Youth and civil society activists in rural Tunisia	Workshop on “Youth and Citizenship in Tunisia” in Feriana of Kasserine, Tunisia (March 26, 2014)	Workshop	20+, mostly rural youth	Convened in the Cultural Center of Feriana, Kasserine governorate, it was followed with great interest by the exact audience that it was directed at
Tunisian women and men civil society activists, members of the Constituent Assembly (parliament), academics, civil society activists, and journalists	Workshop on “Women Political Participation and Voting in Tunisia” in Tunis, Tunisia (March 29, 2014)	Workshop	10 high-profile speakers and dozens of audience members	This workshop was successful and struck the interest of the media which covered the proceedings
Women and men civil society activists in rural Tunisia	A roundtable on “Working Women and Citizenship” in Kairouan, Tunisia (May 8, 2014)	Roundtable	25+, mostly working women and homemakers	Particularly noteworthy is the high level of participation of both employed and

⁵ *Communication Method*: General statement of method e.g. publication, social media, seminar, meeting, conference, teaching, course etc.

⁶ *Audience Reached*: Specify level as well as estimate proportion of intended target audience reached, where possible. Include gender breakdown

⁷ *Response*: Qualitative assessment of response or sign of attention paid to the communication by the target audience E.g. expressions of interest; requests for more information; active participation and engagement; provision of comments or feedback. May include negative responses.

				unemployed women from a rural environment
Yemeni civil society activists	Workshop on “Perception and Practice of Citizenship” in Sana’a, Yemen (June 24, 2014)	Workshop	50+ attendees from civil society organizations, academics, journalist, activists, and media personnel	This workshop was successful and struck the interest of the media which covered the proceedings on TV and in the printed press
Egyptian women and men gender experts and civil society activists	Workshop on “Women’s Rights and Citizenship” in Cairo, Egypt (September 7, 2014)	Workshop	15+ gender experts participated in the review and discussion of the preliminary findings of the book on citizenship	Valuable feedback and suggestions from the participants were taken into account when finalizing the research output
Yemeni women and men civil society activists	Seminar on the “Rights of Women as Equal Citizens and the Constitution in Yemen” in Sana’a, Yemen (September 29, 2014)	Seminar	35+ representatives from government agencies, civil society organizations, academia, international organizations	Participants decided to issue a press release to highlight the importance of the issue at hand
Egyptian women and men civil society and gender experts	Seminar on publication of the book “Citizenship and Women’s Rights in Egypt following the Arab Uprisings”, in Egypt, Cairo (February 4, 2015)	Seminar	10+ civil society representatives attended the launch of the book	The book generated discussions on citizenship and was featured in international book fairs in Egypt, Morocco, and Saudi Arabia. Four policy papers outputs were also written on the basis of the book
Tunisian women civil society activists	Seminar on “FACT Tunisia Findings and Future Expectations”, in Tunis, Tunisia (April 4, 2015)	Seminar	40+ civil society activists. Especially well-represented were youth from marginalized areas in Tunisia	This was a particularly engaging seminar, which also received media coverage (see article on the seminar here). However, decision makers were absent and so a set of targeted recommendations were drafted to be delivered to them later
Among the participants were leading figures from the presidential cabinet, parliament and key parliamentary committees, executive bodies of a range of political parties and labor unions as well as private sector representatives, prominent journalists, lawyers, civil society activists, academics, literary figures and public intellectuals, both women and men	Project launching event “Media and the Promotion of Constructive Portrayal of Women’s Roles as Equal Citizens in Tunisia,” in Tunis, Tunisia (April 22, 2015)	Launching event	45+	Statements by the participants were reported on national news and magazines outlets (see in Arabic here , here , here , here , here , here , here , and here , in French here , here , here , and here).
	Roundtable on “Media and the Reinforcement of Equal Citizenship in Tunisia,” in Tunis, Tunisia (April 26, 2015)	Roundtable	30+, mostly youth	
	Roundtable on “Media and the Reinforcement of Equal Citizenship in Tunisia,” in Tunis, Tunisia (June 20, 2015)	Roundtable	20+	

Roundtable on “Media and the Reinforcement of Equal Citizenship in Tunisia,” in Tunis, Tunisia (June 25, 2015)	Roundtable	5+	
Roundtable on “Media and the Reinforcement of Equal Citizenship in Tunisia,” in Tunis, Tunisia (July 15, 2015)	Roundtable	30+	
Roundtable on “Media and the Reinforcement of Equal Citizenship in Tunisia,” in Tunis, Tunisia (July 31, 2015)	Roundtable	30+	

In some cases, however, communication of knowledge output have been cancelled or delayed due to the constant change of those actors in influential positions and obstacles hindering the political transitions. Also, the political climate, and in particular the deterioration of the political situation, have seriously curtailed outreach activities in general, and in Egypt and Yemen in particular. Other advocacy activities aimed at publicizing the conclusions of the studies carried out, and fulfilling the objectives of FACT, are ongoing as some outputs were only recently completed. FACT members are planning to carry out further outreach activities and push for greater impact among key stakeholders beyond the allotted time period of the grant.

Below are selected case studies of communication methods that were used:

- [Where appropriate, include case studies to illustrate in more detail specific successes/innovations/challenges in meeting one or more of the research objectives \(see Q2. for more detail on the focus of these case studies\).](#)

Specific cases:

- Direct access to Tunisian NCA: The study on “Gender Equality and the Constitution in Tunisia” (September 2014) covered the second phase of the Tunisia constitution drafting process. The lead researcher, Nidhal Mekki, was an official adviser to the National Constituent Assembly (NCA)—in charge of drafting a new Tunisian constitution—from November 2011 to April 2014, with access to the NCA members and Bureau, as well as drafting committees. Mekki—with additional support from FACT steering group member and constitutional lawyer, Salwa Hamrouni--was able to follow closely the progress of the negotiations, to suggest amendments and to get feedback from the members. On her part Islamic civilization professor and FACT Tunisia steering group president, Naila Sellini, contributed to preventing the notion of gender “complementarity”, that classifies women as complementary to men, and “the defense of sacredness”, from entering the drafts of the Constitution of Tunisia;
- High-profile public debate on women’s political participation in Tunisia: The lead researcher and author of the study “Women’s Political Participation and Voting Patterns in Tunisia”, Naila Sellini, organized a half-day roundtable discussion in Tunis on March 29, 2014. The event featured ten high-profile speakers who spoke about their experiences as candidates for the Constituent Assembly in 2011 and shared their perspectives on how to better support women candidates and encourage women to vote. Television and print journalists reported on the event including one of most prestigious newspapers in Tunisia, the daily El Maghreb (link in table above). Moreover, a copy of the report was

also added to the Sousse University library research unit “Legislation on Personal Status” in Tunis, Tunisia;

- Broad sample of Tunisian civil society discusses FACT’s findings: The April 4, 2015 seminar on “FACT Tunisia: Findings and Future Expectations” brought together four FACT lead researchers to share findings and recommendations from three studies (“Concept, Perception and Practice of Citizenship in Tunisia and Promotion of Rights of Women as Equal Citizens”, “Gender Equality and the Constitution in Tunisia”, and “Women’s Political Participation and Voting Patterns in Tunisia”). An initial draft of the project on “Media and the Promotion of a Constructive Portrayal of Women’s Roles as Equal Citizens in Tunisia” was also discussed. Due to the absence of decision-makers in the workshop, the FACT Tunisia steering group decided to draft a set of policy recommendations classified according to their target audience: government, political parties, parliament, the electoral committee and civil society. These recommendations would be presented to the relevant officials of these institutions at the beginning of the political season in October 2015;
- A full-fledged media campaign in Tunisia: FACT project on “Media and the Promotion of a Constructive Portrayal of Women’s Roles as Equal Citizens in Tunisia” (October 2015) brought together prominent stakeholders to discuss the equal participation and constructive portrayal of women in the media. It consisted of a desk review of existing studies, field consultations in rural and urban areas, and six roundtable/brainstorming events. Participants drafted a set of policy recommendations to establish the foundations for a new national strategy for enhancing the media’s constructive portrayal of women’s roles and contributions as equal and active citizens after the 2011 uprising in Tunisia. In parallel, a media campaign was launched. Advertisements calling for the equality of women in the media were published in prominent newspapers in Arabic and French. The lead researcher, Saima Mzoughi, and her assistant, Salma Bouraoui, were repeatedly invited to radio stations to discuss the project and corollary issues regarding women’s representation in the media and ways to improve it;
- A comprehensive analysis of women and citizenship in Egypt: The book *Citizenship and Women’s Rights in Egypt Following the Arab Uprisings* (September 2014) contains four interlinked but separate research papers on (i) the concept and practice of citizenship; (ii) the economic, social and political dimensions of citizenship and its impact in strengthening the rights of women in urban and rural settings; (iii) the role of civil society and national institutions in strengthening the rights of women as equal citizens; and (iv) the role of religious institutions and their impact in strengthening the rights of women in urban and rural settings. It also contains a final chapter on “citizenship as seen by Egyptians”, which is an analytical reflection of responses from field surveys on public perception of this concept. The book was presented at a seminar on February 4, 2015 and was featured at a series of international book fairs in Egypt, Morocco and Saudi Arabia from January to March 2015. As a result of the seminar discussion, four additional policy papers containing policy recommendations were authored by a team from the Arab Forum for Alternatives (AFA) for FACT. The book and the four policy papers were printed and disseminated locally and also made available electronically. Further, an advocacy strategy aimed at political parties, the parliament, and state institution was drafted by the lead project author and the research team. Its implementation was supposed to follow the parliamentary elections that were scheduled for March 22, 2015. However this poll was then postponed indefinitely;
- Direct access to Yemeni National Dialogue Conference and Constitution Drafting Committee: Four members of FACT steering group in Yemen participating in the National Dialogue Conference (2013-2014) as official delegates. One of them was among the only four women in the Constitution Drafting Committee. In this capacity they promoted the notion of women’s equal citizenship.

5. How has the capacity of the researchers, particularly those in developing countries, and other professionals to undertake research and use research findings been expanded by the project?

- Provide details of the capacity that has been built internally in your research team and externally with other developing country professionals.

Please use the following table to record this information (target audience can be modified to suit project):

Table 1: Capacity building

Target	Data per Theme				
	Audience ⁸	Competency ⁹	What was done***	Sustainability ¹⁰	Formal recognition/qualification ¹¹
FACT country-based steering groups members	Yemen: 8 Tunisia: 9 Egypt: 14 Libya: 8	<ul style="list-style-type: none"> • Project management • Policy advocacy • Research development 	Steering groups developed a number of key skills, among them: <ul style="list-style-type: none"> • Acting as local focal point, liaising with civil society, government officials and parliament • Representing FACT at external meetings, conferences and seminars • Supporting strategic planning and development of goals, projects and activities • Assisting in preparation of project budgets • Convening periodic group meetings and meeting with 	<ul style="list-style-type: none"> • Use of tool(s) as a routine device to inform local and broader policy action 	N/A

⁸ *Audience*: May encompass a range of staff, students, government/program workers, researchers, entities, organizations, contractors and peak bodies.

⁹ *Competency [of capacity building]*: May include areas such as interest / engagement in policy issue; design / undertake relevant studies (lit review, policy analysis, regulatory analysis etc); analyse results, interpret and prepare reports; communicate / disseminate & engage with policy makers; build networks/relationships/partnerships; provide training/build capacity in others; leadership and management.

¹⁰ *Sustainability*: This may include ability to contextualise to country situations, synthesise information, apply lessons learned in Australia or overseas to new contexts, integration of courses/training into core business, applying lessons learned into new leadership roles, the continuation of program(s), use of tool(s) as a routine device to inform local and broader policy action

¹¹ *Formal recognition/qualification*: Completion of training course; Master/Doctorate/other qualification

			<p>research partners</p> <ul style="list-style-type: none"> ● Reporting on internal and external meetings ● Drafting progress and financial reports ● Preparing and disseminating CfPs as well as reviewing and selecting submissions 		
Civil society	Civil society organizations and activists	<ul style="list-style-type: none"> ● Policy advocacy ● Awareness of women's rights and citizenship issues 	Workshops and seminars organized by FACT country groups in which these issues were discussed	Use of tool(s) as a routine device to inform local and broader policy action	
National institutions	Government and parliament	<ul style="list-style-type: none"> ● Awareness of women's rights and citizenship issues 	Through the outreach carried out by FACT the possibility for a more constructive way of interacting with civil society was created	Use of tool(s) as a routine device to inform local and broader policy action	
Researchers	Academics and civil society activists	<ul style="list-style-type: none"> ● Project management ● Policy advocacy ● Research and writing skills 	One of the main aims—and unique features—of the project was to develop the capacities of local researchers to carry out the policy relevant research that is characteristic of US think tanks	Use of tool(s) as a routine device to inform local and broader policy action	

- Where appropriate, include case studies to illustrate in more detail specific successes/innovations/challenges in meeting one or more of the research objectives (see Q2. for more detail on the focus of these case studies).

Citizenship observatory in Tunisia: As part of the study on “The Concepts, Perceptions and Practice of Citizenship in Tunisia and the Promotion of the Rights of Women as Equal Citizens” (August 2014), the lead researcher, Mohsen Tlili, formed a loose twenty-member citizenship observatory network of academics, students, and civil society activists in Tunisia. The observatory provided a participatory approach to research and information gathering and was therefore an invaluable contribution to the aforementioned study. Several follow-up discussions were held on the possibility of future partnerships to activate the network in a wider and more structured form. Contingent on the availability of funds, a citizenship observatory would be launched to evaluate state policies and practices that violate or promote the exercise of equal citizenship. It would also endeavour to track innovative practices of citizenship by local NGOs or citizen-led groups and monitor the discrimination of women. The Observatory would produce a number of outputs every year registering and analysing the status of citizen participation in Tunisia and highlighting unequal citizenship practices.

6. What can we learn from challenges/issues experienced throughout the project? *Limit 500 words.*

- Please summarise any issues that affected the ability of the research team to meet the research objectives. For example:
 - o delays in the research process
 - o changes to the geographic focus/research objectives
 - o changes to research team personnel/local partners
- Please document how these challenges were addressed/what was learnt that might be useful to researchers/future research?

FACT being a regionally and locally-led project in countries undergoing tumultuous political transitions faced numerous challenges, some of them existential, though it also encountered many opportunities to advance women’s equal rights. The Australian grant provided a rare opportunity for civil society leaders within countries and, when possible, from across the region, to meet, and exchange experiences and lessons learnt.

However, delays in the research process were experienced in all four countries: Egypt, Libya, Tunisia, and Yemen. This is due to a combination of factors, namely the political instability and resulting social and security turmoil. The troubles that the project has faced have in fact mirrored the turmoils in each of the countries that have undergone a change of regime. The emergence of new state institutions and elections were also events that contributed to delays.

Egypt

Following the January 25, 2011 revolution, Egypt experienced political turmoil and social unrest and a change of regime. Other than the security concerns caused by the unrest on the streets, FACT faced a major challenge due to the ever-increasing restrictions on civil society imposed by the post-2011 revolution authorities. The new power holders introduced new laws aimed at foreign financed nongovernmental organizations that severely shrunk the space for civil society and made public policy debates almost impossible. Naturally, these also affected the work of FACT and the steering group there decided, after completing four projects, to suspend all outreach activities and not to commission any new projects. Registering the group with the authorities as a not-for-profit association would have required local funding and would not have guaranteed freedom to work independently.

The Egyptian Constitution of 2012, which came into effect under former President Mohammed Morsi, was amended again in 2014—following the ouster of Morsi from power. At this point, in lieu of producing new research, as was originally planned, FACT’s members in Egypt preferred holding a closed workshop inviting

members of the Constitution Drafting Committee of 50 that was tasked with revising the 2012 Constitution. The seminar contributed to a policy paper, which included a set of recommendations and highlighted areas for improvements. For the study on the “Women’s Political Participation and Voting Patterns in Egypt Post-2011 Revolution,” the research group also faced acute security concerns and logistical challenges due to the 2014 social unrest in the country. Thus the group could only include in the research five of the six governorates. Also, they were unable to undertake the planned surveys, and had to switch to focus groups in all the governorates.

Libya

The research projects faced most challenges in Libya. Political power struggles, tensions between regions, and violent clashes among various armed groups and factions derailed the political transition after the fall of Muammar Gadhafi and his regime. A FACT national coordinator in Libya was hired from August 1, 2013 to March 21, 2014 to liaise between the International Peace Institute and the FACT steering group, which was composed of eight Libyan civil society activists. The rapidly deteriorating security situation allowed the steering group to meet only once, on September 21, 2013. Thereafter different steering group members met at least three other times but never all together at once since they were spread throughout the country.

Numerous efforts were made to engage with Libya virtually and through other means with only limited success. Deadlines were extended multiple times for submitting research proposals unfortunately with no results. As reported on the October 1, 2014 progress report, due to the difficulty of operating in Libya, IPI shifted the funding—after approval from AusAid—that was initially allocated to FACT projects in Libya to the three other countries. This shift of resources has allowed for the organization of workshops and outreach activities aimed at enhancing the impact of the projects’ outcomes. For example, this reallocation of funds has made it possible to conduct an advocacy workshop in Yemen on women’s equal citizenship and the constitution among other workshops for disseminating research outputs to key stakeholders. Extra funds have similarly been allocated to pay independent local experts for reviewing final research reports.

Tunisia

Tunisia has been the most successful political transition. Having managed to resolve most political tensions through dialogue and political compromise it has therefore been the country in which the FACT project has prospered most. This has meant that FACT has been able to carry out its activities there with relative freedom and has accomplished the greatest number of reports and outreach activities out of all the countries where the project was being implemented. FACT steering group in Tunisia applied for a legal permit to become a national permanent nongovernmental organization on citizenship in transition. The steering group there and associated civil society activists are also studying the possibility of establishing a “citizenship observatory” (see Section 3). A heterodox group of thirty-four people from diverse areas of society--art, journalism, media, persons with disabilities, and youth—have already begun discussing how to develop this new instrument.

Yemen

Yemen experienced positive developments immediately following the ouster of the regime of Ali Abdullah Saleh only to fall in September 2014 under the bloody grip of armed groups from the Houthi rebel movement and forces loyal to the former president. Many civil society organizations suspended their activities due to increased interference by armed groups and the ongoing fight that made it hazardous for these groups to engage in meaningful activities. Under these circumstances, FACT national coordinator filled the gaps herself by taking the initiative when necessary to consult with NGOs working on gender and citizenship, as well as with experts and key stakeholders.

However, planned follow-up advocacy activities for some of the outputs in Yemen were difficult to carry out. These include in particular those aimed at the 82-member Supreme National Supervision Committee that was tasked with supervising the constitution drafting committee and at reaching out to the public in general to raise awareness on the draft constitution, but which suspended its work indefinitely following the Houthi armed takeover of power.

General Operational Lessons

- Local ownership, central to the spirit of the project, has been key to the successful completion of the research projects amidst fragile transition and challenging environments;
- Such local ownership has also made the FACT project itself an embodiment of the principles of equal citizenship with the engagement of women and men civil society leaders. This has not just been about choosing women for leadership roles. Engaging men as partners in this initiative—from steering group membership to conducting the research--has brought greater harmony and understanding in the joint advocacy efforts on advancing women's equal rights as citizens;
- Local researchers have brought all the added value to the research, producing original and authentic findings as well as relevant recommendations. Also importantly, locals have greater leverage over key stakeholders who are more receptive to findings and policy recommendation coming from them;
- FACT made a strong contribution to the push for equal citizenship by building solid grassroots civil society networks to influence decision-makers and reach media outlets;
- Despite numerous obstacles obstructing regional integration, this project also established a regional network, putting civil society activists across three countries in routine contact and learning lessons from each other.

7. Was appropriate ethics approval obtained for the project? If YES then please attach evidence of approval to this report. If evidence has already been provided please state this below.

As per the Australian government's request, IPI developed a Child Protection Policy and supporting documents, which include a Background Check Policy, an Ethics Policy, and a Risk Management Policy. The IPI Child Protection Policy has been approved by the Australian government's Child Protection Compliance Section, and was also approved by IPI's Management Team. Pertinent elements of the Policy have been incorporated in the *Memorandum of Understanding* (MoU) between IPI and the local research Institutions/local researcher that have been entrusted with carrying out the Research. Documents pertinent to the aforementioned notes were sent with our December 14, 2013 progress report.

8. Financial Snapshot

Please provide a final financial snapshot of your budget and expenditure for the project below. This snapshot is in addition to the financial acquittal statement required with this report.

The financial acquittal statement should include your expenditure of grant monies for the reporting period and be signed by an appropriate delegate from your accounts/finance office. The financial acquittal statement should be on your institution's letterhead as there is no related DFAT template.

Budget Allocations (A\$) – As per proposal

1 st Year		2 nd Year	3 rd Year	Total
Researcher/s Salary				
Field Work Costs				
Travel and Related Costs				
Insurances				
Knowledge Transfer Activities				
Capacity Development Activities				
Total Australian Aid Funds Received				
Interest Earned on Australian Aid Funds				
Total Income from Australian Aid				

Total Expenditure (A\$)

1 st Year		2 nd Year	3 rd Year	Total
Researcher/s Salary				
Field Work Costs				
Travel and Related Costs				
Knowledge Transfer Activities				
Capacity Development Activities				
Insurances				
Total Australian Aid Funds Expensed				

Total Australian Aid Funds Un-expensed:**9. Certification**

I certify that all the details contained in this progress report are true and that all research partners and co-investigators agree that this report is an accurate representation of the projects progress so far.

s 47F(1)

Signed, Principal Investigator

s 47F(1)

Date

22 October 2015

FUNDING AGREEMENT DEED

BETWEEN

COMMONWEALTH OF AUSTRALIA

represented by the Australian Agency for International Development
(AusAID)

ABN 62 921 558 838

and

INTERNATIONAL PEACE INSTITUTE

FOR

**Funding Support for the “Field Manager’s Handbook: A Practical Guide to Managing in
Peace Operations”**

AUSAID AGREEMENT 54721

Agreement 54721

DEED made 23rd day of April [2010].

BETWEEN:

COMMONWEALTH OF AUSTRALIA represented by the Australian Agency for International Development (“AusAID”) ABN 62 921 558 838 of the Department of Foreign Affairs and Trade

AND

INTERNATIONAL PEACE INSTITUTE, of 777 United Nations Plaza, New York, 10017 United States of America (the “Organisation”).

RECITALS:

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

OPERATIVE:

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

Agreement 54721

IN WITNESS whereof this Deed has been executed by the Commonwealth, by an authorised officer, and has been executed by the Organisation by its authorised officer.

SIGNED for and on behalf of the COMMONWEALTH OF AUSTRALIA represented by the Australian Agency for International Development by:

s 22(1)(a)(ii)

in the presence of: s 22(1)(a)(ii)

Signature of FMA Act s44 Delegate s 22(1)(a)(ii)

Signature of witness s 22(1)(a)(ii)

Group Manager, Crisis Prevention, Stabilisation and Recovery Group

Name of witness (Print)

SIGNED for and on behalf of ORGANISATION NAME by: s 47F(1)

Senior Vice President for Research and Programs Name and Position (Print)

s 47F(1)

Signature

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

in the presence of:

s 22(1)(a)(ii)

s 47F(1)

Name of witness (Print)

Signature of witness

Agreement 54721

DEED CONDITIONS

1. INTERPRETATION

1.1 Definitions

In this Deed, including the recitals unless the context otherwise requires:

“**Activity**” means the activity **Funding Support for the “Field Manager’s Handbook: A Practical Guide to Managing in Peace Operations”** described in the Activity Proposal for which the Funds are provided.

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

“**Agreement**” means this Deed including all Parts and any schedules and annexes.

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

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

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

“**Deed**” means this Agreement comprising these Deed Conditions, schedules and any annexes.

“**Fraudulent Activity**”, “**Fraud**” or “**Fraudulent**” means dishonestly obtaining a benefit by deception or other means.

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

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

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

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

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

“**Personnel**” means including Personnel, whether employed by the Organisation or engaged by the Organisation on a sub-contract basis or agents or volunteers of the Organisation, engaged in the provision of the Activity.

Agreement 54721

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

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

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

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

1.2 Deed prevails

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

2. TERM OF THE AGREEMENT

- 2.1 This Agreement shall be deemed to have commenced on 1 January 2010 and continues until all obligations have been fulfilled under this Agreement, unless terminated earlier in accordance with this Agreement.
- 2.2 The Organisation commenced the Activity in *January 2010* and must complete the Activity by 30 March 2012.

3. NOTICES

- 3.1 For the purpose of serving notices to either Party of this Agreement, a notice must be in writing and shall be treated as having been duly given and received:
- (a) when delivered (if left at that Party’s address);
 - (b) on the third Business Day after posting (if sent by pre-paid mail); or
 - (c) on the Business Day of transmission (if given by facsimile and sent to the facsimile receiver number of that Party and no intimation having been received that the notice had not been received, whether that intimation comes from that Party or from the operation of facsimile machinery or otherwise).

Agreement 54721

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

AusAID:

To: **s 22(1)(a)(ii)**
Civil Military Coordinator
Crisis Prevention Stabilisation and Recovery Group

Postal Address: Australian Agency for International Development
GPO Box 887
CANBERRA ACT 2601 AUSTRALIA

Street Address: 255 London Circuit
CANBERRA ACT 2601 AUSTRALIA

Facsimile: Fax

Organisation

To: **s 47F(1)**
Development Officer

Postal Address: 777 United Nations Plaza
New York, NY 10017-3521
USA

Street Address: 777 United Nations Plaza
New York, NY 10017-3521
USA

Facsimile: **s 47F(1)**

4. GENERAL CONDITIONS

- 4.1 The Organisation must carry out the Activity in accordance with the Activity Proposal and the terms and conditions of this Deed.
- 4.2 The Organisation must advise AusAID immediately of any difficulties or delays in implementation of the Activity.
- 4.3 The Organisation shall acknowledge in writing to AusAID receipt of the Funds immediately on its receipt.

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- 4.4 The Funds and any interest earned or exchange rate gains must be used diligently and for the sole purpose of the Activity outlined in **Schedule 1** of this Agreement. Any interest earned or exchange rate gains made on the Funds must only be expended on the Activity.
- 4.5 The Organisation acknowledges that Funds provided by AusAID to the Organisation for this Activity does not entitle the Organisation to any other or further funding.
- 4.6 The Organisation shall acknowledge AusAID and the Australian Department of Defence funding assistance provided under this Deed where appropriate and advise AusAID of matters relating to any publicity and media relations, prior to any publication or media release.
- 4.7 The Organisation must not represent itself and must ensure that its Personnel participating in the Activity do not represent themselves as being employees, partners or agents of the Commonwealth of Australia.
- 4.8 The Organisation will use its best endeavours to ensure that in its performance of the Activity all Personnel and their dependents, while in the recipient country, respect the laws and regulations in force in the recipient country.
- 4.9 The Organisation is responsible for the security of all of its Personnel and for taking-out and maintaining all appropriate insurances.
- 4.10 The Organisation must not assign its interest in this Agreement without first obtaining the consent in writing of AusAID.
- 4.11 No delay, neglect or forbearance by either Party in enforcing against the other any term or condition of this Agreement shall be deemed to be a waiver or in any way prejudice any right of that Party.
- 4.12 This Agreement is governed by, and is to be construed in accordance with, the law of the Australian Capital Territory and the Parties submit to the exclusive jurisdiction of the courts of the Australian Capital Territory and any court hearing appeals from those courts.

5. DEED AMENDMENTS

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

6. PROCUREMENT

- 6.1 The Organisation must not use the Funds to acquire any asset, apart from those detailed in the Activity Proposal without obtaining AusAID's prior written approval. Subject to the requirements of this clause, the Organisation shall own the assets acquired with the Funds unless specified otherwise in the Activity Proposal.
- 6.2 If the Funds are being used to procure goods or services, the Organisation must implement procedures so that procurement is undertaken in a manner consistent with the Australian Commonwealth Procurement Guidelines (<http://www.finance.gov.au/publications/fmg->

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series/procurement-guidelines/index.html), in particular the core principle of achieving value for money and the supporting principles of:

- (a) encouraging competition by ensuring non-discrimination in procurement and using competitive procurement methods;
- (b) promoting use of resources in an efficient, effective and ethical manner; and
- (c) making decisions in an accountable and transparent manner.

6.3 If the Funds are being used to procure goods, the Organisation must also ensure in its procurement of goods that:

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

6.4 If the Funds are being used to procure goods, the Organisation must maintain a Register of Activity Assets. The Register shall record non-consumable items funded under this Agreement or supplied by AusAID to the Activity which have a value of AUD1,000 (or equivalent) or more. In addition non-consumable items of a portable and attractive nature with a value of less than AUD1,000 (or equivalent) shall also be recorded. The Register shall show date of receipt of the asset at the Activity site, the cost, the purchase/payment document date and reference number, a description and identification number, and the location of the asset. Disposal or write-off of AusAID funded or provided assets shall be as agreed in writing by AusAID. The Register and other relevant documents such as import papers and manufacturers' warranties relating to the assets shall be available for audit as required by AusAID. The Register shall be reconciled with Activity assets at least every twelve months and the results of that reconciliation included in the Annual Reports required in clause titled 'Reports' in this agreement.

7. MONITORING AND EVALUATION

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

8. INDEMNITY

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

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- 8.2 The Organisation agrees that AusAID may enforce the indemnity in favour of the persons specified in **Clause 8.1** above for the benefit of each of such persons in the name of AusAID or of such persons.
- 8.3 The indemnity in this **Clause 8** is reduced to the extent that the loss or liability is directly caused by AusAID, its employees, agents or contractors (except the Organisation), as substantiated by the Organisation.
- 8.4 This indemnity shall survive termination or expiration of this Agreement.

9. INTELLECTUAL PROPERTY RIGHTS

- 9.1 The title to all intellectual property rights in or in relation to Agreement Material created during the course of the Activity shall vest in the Organisation upon its creation. The Organisation shall grant to AusAID and the Australian Department of Defence a worldwide, irrevocable, royalty-free licence to use, reproduce, adapt and otherwise exploit the Agreement Material. The licence granted under this clause 9.1 includes the right of AusAID and the Australian Department of Defence to sub-licence any of its employees, agents or contractors to use, reproduce, adapt and otherwise exploit the Agreement Material for the purposes of the performing functions, responsibilities, activities or services for, or on behalf of, AusAID and the Australian Department of Defence.
- 9.2 **Clause 9.1** does not affect the ownership of intellectual property in any Prior Material incorporated into the Agreement Material, but the Organisation grants to AusAID and the Australian Department of Defence a permanent, irrevocable, royalty-free worldwide, non-exclusive licence to use, reproduce, adapt and otherwise exploit such Prior Material in conjunction with the Agreement Material. The licence granted under this **Clause 9.2** includes the right of AusAID and the Australian Department of Defence to sub-licence any of its employees, agents or contractors to use, reproduce, adapt and otherwise exploit the Prior Material incorporated into the Agreement Material for the purposes of performing functions, responsibilities, activities or services for, or on behalf of, AusAID and the Australian Department of Defence.

10. COMPLIANCE WITH LAWS, GUIDELINES AND POLICIES

- 10.1 The Organisation and its Personnel must have regard to and comply with, relevant and applicable laws, guidelines, regulations and policies, including those in Australia, the United States and in the Partner Country. A list, as amended from time to time, of Australian laws and guidelines that may apply to the delivery of developmental aid to foreign countries can be found on the AusAID website: <http://www.ausaid.gov.au/business/contracting.cfm>. This list is not exhaustive and is provided for information only. The provision of this list does not relieve the Organisation from complying with the obligations contained in this clause headed 'Compliance with Laws, Guidelines and Policies'.
- 10.2 The Organisation must have regard to and comply with the Statement of International Development Practice Principles located at **Schedule 2** to this Agreement.
- 10.3 The Organisation and its Personnel must comply with:
- (a) AusAID's *Child protection policy* (<http://www.ausaid.gov.au/publications/pubs.cfm?Type=PubPolicyDocuments>) and particularly the child protection compliance standards at Attachment 1 to the policy.

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AusAID may audit the Organisation's compliance with AusAID's *Child protection policy* and child protection compliance standards. The Organisation must participate cooperatively in any reviews conducted by AusAID;

- (b) The strategy 'Development for All: Towards a Disability-Inclusive Australian Aid Program 2009-2014' (http://www.ausaid.gov.au/publications/pdf/FINAL%20AusAID_Disability%20for%20All.pdf), and in particular the strategy's six guiding principles; and
- (c) *Family Planning and the Aid Program: Guiding Principles* (August 2009), accessible on AusAID's website (<http://www.ausaid.gov.au/keyaid/health.cfm>).

10.4 The Organisation must use its best endeavours to ensure:

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

10.5 The Organisation must have regard to the Australian Government guidance "Safeguarding your organisation against terrorism financing: a guidance for non-profit organisations," available at <http://www.nationalsecurity.gov.au/npo>.

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

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

10.8 The Organisation agrees that:

- (a) The Organisation and its employees, agents, representatives or its subcontractors must not engage in any Fraudulent Activity. The Organisation is responsible for preventing and detecting Fraud.
- (b) The Organisation must report in writing within five (5) working days to AusAID any detected, suspected, or attempted Fraudulent Activity involving the Activity. AusAID may direct the Organisation to investigate the alleged Fraud and the Organisation must undertake an investigation at the Organisation's cost and in accordance with any directions or standards required by AusAID.
- (c) Following the conclusion of any investigation which identifies acts of a Fraudulent nature, the Organisation shall:
 - (i) make every effort to recover any AusAID Funds, the subject of Fraudulent Activity;
 - (ii) refer the matter to the relevant police or other authorities responsible for prosecution of Fraudulent Activity; and

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- (iii) be liable for the repayment of any Funds amounts misappropriated by the Organisation, its agents, representatives or subcontractors.
- (d) The obligations of the Organisation under paragraphs 10.8(b) and 10.8(c) above shall survive the termination or expiration of this Agreement.
- (e) The Organisation warrants that the Organisation shall not make or cause to be made, nor shall the Organisation receive or seek to receive, any offer, gift or payment, consideration or benefit of any kind, which would or could be construed as an illegal or corrupt practice, either directly or indirectly to any party, as an inducement or reward in relation to the execution of this Agreement. In addition, the Organisation shall not bribe public officials and shall ensure that its delivery organisations comply with this provision. Any breach of this clause shall be grounds for immediate termination of this Agreement by notice from AusAID.

11. TERMINATION**11.1 If the Organisation:**

- (a) becomes, or AusAID considers there is a reasonable prospect of the Organisation becoming bankrupt, insolvent, deregistered or no longer able to undertake the Activity to a standard acceptable to AusAID;
- (b) makes an assignment of its estate for the benefit of creditors or enters into any arrangement or composition with its creditors;
- (c) fails to commence, or in the opinion of AusAID, fails to make satisfactory progress in carrying out the Activity and such failure has not been remedied within the time specified in a written request from AusAID to remedy the failure;
- (d) assigns its interest in this Agreement without the consent in writing of AusAID;
- (e) is, during the term of this Agreement, listed on a World Bank List, Relevant List or Similar List; or
- (f) breaches any term of this Agreement and such breach has not been remedied within the time stipulated in a written request notice from AusAID to remedy the breach;

then in every such case AusAID shall be entitled to terminate this Agreement forthwith but without prejudice to any of its other rights.

- 11.2 In addition, either Party may terminate this Agreement by giving to the other a notice to terminate in writing stating the reasons for termination.
- 11.3 AusAID may terminate this Agreement immediately by notice in writing to the Organisation if the Organisation breaches any of its obligations under **Clause 10**.
- 11.4 In the event of any termination, the Organisation must provide an Independently Audited statement of expenditure of the Funds within thirty (30) days of the date of the notice to terminate, signed by the head of the Organisation, and return any uncommitted unspent Funds to AusAID.

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- 11.5 In the event that a notice to terminate is given by either Party the Organisation must:
- (a) immediately and forthwith do everything possible to prevent and mitigate all losses, costs and expenses arising in consequence of the termination of this Agreement and shall in a prompt and orderly manner cease expenditure of any uncommitted Funds for the Activity; and
 - (b) refund any uncommitted part of any tranche or Funds already paid by AusAID, together with any uncommitted or unspent interest, within thirty (30) days of the date of the notice to terminate.

- 11.6 In the event that a notice to terminate is given by either party AusAID shall not be liable to pay compensation in an amount which, in addition to any amounts paid or due or becoming due to the Organisation under this Agreement, together would exceed the amount of the total financial limitation of this Agreement, as specified in clause headed 'Funds and Payment'.

12. ACCOUNTS AND RECORDS

- 12.1 The bank account used by the Organisation must be in the name of the Organisation and must not be a personal bank account.
- 12.2 The Organisation must maintain a sound administrative and financial system capable of verifying all statements of acquittal. In addition, the Organisation must:
- (a) keep proper and detailed accounts, records and assets registers along with adequate Activity management records providing clear audit trails in relation to expenditure under this Agreement;
 - (b) afford adequate facilities for audit and inspection of the financial records referred to in this Agreement by AusAID and its authorised representatives at all reasonable times and allow copies and extracts to be taken;
 - (c) the accounts and records must be held by the Organisation for the term of this Agreement and for a period of seven (7) years from the date of expiry or termination of this Agreement;
 - (d) if requested by AusAID, provide an acquittal, certified by the senior financial officer or the head of the Organisation, of Funds spent to date against the budget in the Activity Proposal; and
 - (e) if reasonably requested by AusAID, provide an Independently Audited statement of Activity expenditure by an auditor nominated by AusAID payable from the Funds.

13. AusAID USE OF AGREEMENT INFORMATION

- 13.1 AusAID and the Australian Department of Defence may disclose matters relating to this Agreement, including this Agreement, and other relevant information, except where such information may breach the *Privacy Act 1988* (Cth), to Commonwealth governmental departments and agencies, Commonwealth Ministers and Parliamentary Secretaries, and to the Commonwealth Parliament, including responding to requests for information from Parliamentary committees or inquiries. In addition, AusAID and the Australian Department

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of Defence may publicly report information regarding this Agreement. This Clause shall survive termination or expiration of this Agreement.

14. REPORTS

14.1 Within sixty (60) days of completion of the Activity the Organisation shall submit a final report which provides a brief outline of the Activity and in more detail covers key outcomes compared with objectives, development impact, sustainability and lessons learned.

14.2 Attached to the final report will be a statement acquitting all Funds ('final Funds acquittal'). The statement must acquit the Funds against the budget referred to in the Activity Proposal and must be signed by the senior financial officer or the head of the Organisation, indicating that the Funds have been spent in accordance with the terms of this Agreement. Any unspent Funds or interest must be repaid to AusAID with the final report and final Funds acquittal. The Funds acquittal must include details of any interest earned on the Funds.

14.3 The Organisation shall also provide AusAID with:

- (a) four hard copies (2 for AusAID and 2 for the Australian Department of Defence) of the final Field Manager's Handbook: A Practical Guide to Managing in Peace Operations (the Handbook) in English; and
- (b) a CD ROM version in English, if the Organisation has chosen to distribute the Handbook in this format.

14.4 The final report, copies of the Handbook and attached statement acquitting all Funds should be sent to:

s 22(1)(a)(ii)

Civil Military Coordinator, Crisis Prevention, Stabilisation and Recovery Group
Australian Agency for International Development

GPO Box 887

CANBERRA ACT 2601 AUSTRALIA

s 22(1)(a)(ii) @ausaid.gov.au

in the following format:

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

15. FUNDS AND PAYMENT**Insert the most appropriate Clause**

15.1 Funds of US\$150,000 shall be payable as acquittable Funds by AusAID within thirty (30) days of the date of this Agreement and receipt of a valid invoice.

Agreement 54721**16. CLAIMS FOR PAYMENT**

- 16.1 Invoices must be submitted when due in accordance with this Agreement, in a form identifying this Agreement title and Agreement number **54721**. Invoices must also contain the Payment Event number(s) notified by AusAID.
- 16.2 All invoices must be **made** to:
- Chief Finance Officer
Australian Agency for International Development
GPO Box 887
CANBERRA ACT 2601 AUSTRALIA
- 16.3 Invoices should be sent to the above address. Alternatively AusAID will accept electronic invoices. These can be sent to **s 22(1)(a)(ii)** @ausaid.gov.au
- 16.4 Where Australian GST applies to this Agreement all invoices must be in the form of a valid tax invoice. Invalid tax invoices will be returned to organisations. Information on what constitutes a valid tax invoice can be found at <http://www.ato.gov.au/businesses/content.asp?doc=/content/50913.htm>

Schedule 1 to Agreement 54721

**SCHEDULE 1 – ACTIVITY PROPOSAL
TO FUNDING AGREEMENT DEED NUMBER 54721**

See Attached



***The Field Manager's Handbook:
A Practical Guide to Managing in Peace Operations***

(2010-2011)

IPI Proposal to the Government of Australia

Background and Rationale

*"The United Nations faces unprecedented demands on leadership capacity as the number, size and complexity of peacekeeping and political missions has expanded dramatically in recent years... mission leaders should ideally possess demonstrated experience in strategic planning and management of large, complex organizations."*¹

Despite improvements in recent years, structural constraints to good management abound in large, multi-dimensional peace operations. Crisis management is the rule rather than the exception, staff turnover is high, there is pervasive inter-cultural and inter-organizational friction, and financial resources are scarce and inflexible. Training in management has never been a priority at the UN and a *culture of management* is largely absent from UN operations in the field. Despite their best intentions, UN field managers do not have the capacity required to efficiently and effectively manage their human resources, financial resources, or time.

Since its founding nearly forty years ago, the International Peace Institute (IPI) has been committed to the progressive development of peacekeeping policy and practice. As the scope of UN peacekeeping has broadened in recent years to encompass multi-dimensional peace operations, IPI has expanded its focus beyond training peacekeepers to engage the policy-making community on the range of questions facing contemporary peace operations. IPI is working with the UN Departments of Peacekeeping Operations (DPKO), Field Support (DFS), and Political Affairs (DPA), as well as with UN member states, regional organizations, and UN leadership, to make peace operations more efficient and effective in the 21st century. This work involves collaboration with a broad set of stakeholders to uncover and examine options for institutional reform. This includes hands-on research in the field to get a first-hand look at the effectiveness of the structures and procedures put in place to address today's conflict management challenges.

The Field Manager's Handbook

IPI's previous research on the management of UN field operations has identified, through interviews and field research in 2007-2009, a number of significant gaps in the training, skills, and performance of those tasked with carrying out managerial duties in UN field missions. An October 2008 strategic training needs assessment prepared by the UN's Department of Peacekeeping Operations (DPKO) Integrated Training Service confirmed the need for management training. Survey respondents for the assessment consistently identified management as a cross-cutting gap in civilian peacekeepers' skills. According to the DPKO assessment, "all categories of personnel at all levels reported that

¹ Report of the UN Secretary-General on Peacebuilding in the Immediate Aftermath of Conflict, (S/2009/304), 11 June 2009. pp. 10-11.

peacekeeping managers have weak management skills.”² Without this training, UN peacekeeping missions, individually employing thousands with annual budgets of upwards of \$1 billion, are routinely poorly managed. IPI aims to help narrow this gap by strengthening the knowledge and resource base on management for civilian peacekeepers. One project to do this will be the conception, production and dissemination of a field manager’s handbook designed for the mid- to late-career professional charged with managing aspects of UN operations in the field.

The Field Manager’s Handbook: A Practical Guide to Managing in Peace Operations would be tailored for professional civilian peacekeepers (both national and international), but also applicable to field staff working as humanitarians, members of mediation teams, or development professionals. It would be a concise, readable, and engaging reference on pressing issues faced by every manager – from the private sector executive to the public administrator to the international civil servant – made relevant to this unique context. *The Field Manager’s Handbook* would also involve a selection of case studies informed by seasoned practitioners in the field (current and retired Special Representatives of the Secretary-General (SRSGs), Special Envoys, Resident Representatives, Chiefs of Staff, etc.), as well as short, practical essays and guides from academics and management experts. IPI is planning to co-publish the handbook with a major business university’s publisher to build on its expertise and network.

Examples of topics and potential short case studies include:

Management Best Practices

Holding Effective Meetings
 Cross-Cultural Communication
 Leadership and Decision-making
 Time-Management
 Prioritizing During Crisis
 Delegating and Empowering
 Building a Team / Teamwork Skills
 Making Plans / Setting Goals
 Crisis Response
 Risk Management

UN Peacekeeping-Specific Topics

Managing Institutional Cultures
 Communicating with Headquarters
 Performance Evaluation and Adjustment
 Career Development within the UN System
 Balancing Coordination with Efficiency
 End-of-Assignment Reporting / Handover
 Maintaining Ethical Standards
 Gender-Sensitivity / Mainstreaming
 Managing Stressful Environments
 Results-Based Budgeting Best Practices
 Monitoring and Evaluation of Activities

² “Report on the Strategic Peacekeeping Training Needs Assessment,” Integrated Training Service: Policy, Evaluation and Training Division, UN Department of Peacekeeping Operations, October 2008. p.14.

Why IPI?

Over almost four decades, IPI has accumulated an unmatched track record of providing policy support to the UN system and broader multilateral community at the highest levels. IPI is committed to conducting or facilitating the highest quality independent research and analysis to contribute to policy and operations. Over recent years, each of IPI's major research programs has reinforced this niche as well as deepened IPI's knowledge and expertise on a wide range of issues that are critical to international peace, security, and development, including: conflict prevention, third-party peace implementation, peacebuilding, economic agendas in civil wars, humanitarian engagement, transitional administrations and statebuilding, the nexus between security and development, and the responsibility to protect. Other research projects on UN reform, regional organizations, peacekeeping, sanctions, and terrorism have also yielded valuable insights. Within these programs, multiple books, occasional papers, and policy reports have been produced over the years, with 23 publications produced in 2006, 30 in 2007, 28 in 2008, and 25 in 2009.

Methodology

A small team at IPI that specializes in peacekeeping, but with experience in management consulting, will guide the selection, writing, and editing process. The team will draw on extensive consultations that have been held with DPKO's Policy, Evaluation and Training Division. Through a soon-to-be appointed advisory committee, it will harness the knowledge of management experts, senior UN field managers, trainers and best practice officers. The team will commission or write, based on interviews, short case studies applying management best practices to specific peacekeeping contexts. It will also purchase a limited amount of high quality management literature for use in the text.

IPI will partner closely with DPKO to tailor the management best practices to the challenges of the UN peacekeeping context. This partnership will also assist in avoiding duplication with any ongoing DPKO or DFS initiatives.

The handbook will be no more than 150 pages in a 6x9 inch travel-friendly book size. IPI will explore distributing the book via CD ROM and will have it translated into French.

Timeline

Proposed activities and timeframes related to producing the Field Manager's Handbook include:

- Consultations with UN DPKO Division of Policy, Evaluation and Training and potential funders (completed in late 2009)
- First meeting of the management handbook advisory committee (February 2010)
- List of contents finalized and detailed outline drafted (March 2011)
- Interviews with field practitioners, desk research and commissioning content (March – December 2010)
- Publishing and New York launch and dissemination of the handbook (early 2011)
- Three visits to regional training centers and/or peacekeeping missions to disseminate and launch the handbook (mid 2011)

Sustainability and Long-term Impact

The publication, translation, and dissemination of a field manager's handbook designed for professional civilians charged with managing aspects of UN field operations will lead to more effective and efficient UN peace operations through improved management. The IPI project team plans to work closely with DPKO's ITS and DFS to ensure the continued dissemination of the handbook to future civilian peace operation managers and IPI has discussed with ITS the development of training modules focused on the handbook. IPI will perform a follow-up assessment one year after dissemination to assess reach and impact. It will also assess whether the handbook needs to be updated or revised.

Funding

The Field Manager's Handbook: A Practical Guide to Managing in Peace Operations has a two-year (2010-2011) project budget of US\$330,827. Given the Government of Australia's rich experience in peacekeeping – both regionally and as a part of the United Nations – as well as its long-standing efforts at the UN to make peace operations more effective, IPI feels that Australia would be a natural partner for the handbook. IPI would be pleased to have the Government of Australia as a lead donor for *The Field Manager's Handbook*. At this time IPI requests a contribution of US\$150,000 from the Australian Government over the two-year (2010-2011) period. The remainder of the project is funded through a similar commitment from the United Kingdom and a small amount from IPI's *Coping with Crisis* program. Please see below for the project's detailed budget.

IPI Field Manager's Handbook Project Budget (Jan 2010 - 2011)

ACTIVITY	DETAIL	2010	2011	Total Cost (US\$)
Meeting of the management handbook advisory committee	- Lunch meeting - Participant travel	\$2,100		\$2,100
Writing and commissioning content	- Commissioned case studies and proprietary content	\$60,000		\$60,000
Publication	- Printing (150 pp; 2,000 copies)		\$25,000	\$25,000
Dissemination	- Shipping costs (2,000 copies) - Three dissemination trips to field (3 trips, 2 staff, 3 days each)		\$22,000	\$22,000
Translation to French	- 150 pp x 250 wds/p x \$0.17 per word		\$6,375	\$6,375
Personnel	Program Staffing: - Director of Studies @ 10% x 12 mths - Associate @ 25% x 18 mths - Program Officer @ 75% x 18 mths	\$102,880	\$54,012	\$156,892
Operations and Overhead	Operations: (supplies, voice/data communications, printing/copying, audit/legal fees); Overhead: (rent, utilities, insurance)	\$18,613	\$9,772	\$28,385
Subtotal	Direct expenses, personnel, operations and overhead			\$300,752
Administration (max 10% of other expenses)	Support staff, including Finance and Administration			\$30,075
TOTAL				\$330,827



Australian Government
AusAID

Schedule 2
Statement of International Development Practice Principles

Engaging Not-for-Profit Organisations: Statement of International Development Practice Principles

June 2009

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

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

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

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

Statement of International Development Practice Principles

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

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

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

International Development Principles

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

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

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

Organisational Integrity and Accountability for Development

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

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

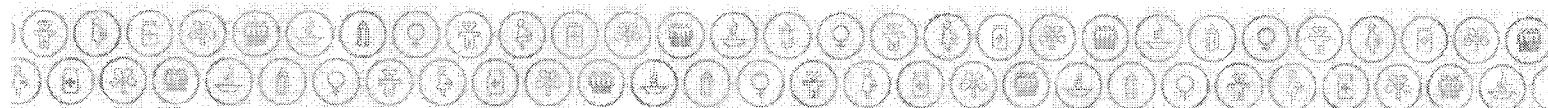
Not-for-profit organisations working with AusAID should:

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

AusAID Funding Agreement Requirements

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

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





Additional Information and Related Links

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

http://www.ausaid.gov.au/business/pdf/Lists_of_Laws_and_Guidelines_for_Contractors.pdf
http://www.ausaid.gov.au/publications/pdf/child_protection.pdf

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

http://www.dfat.gov.au/icat/UNSC_financial_sanctions.html#3
<http://www.nationalsecurity.gov.au/agd/www/nationalsecurity.nsf/AllDocs/95FB057CA3DECF30CA256FAB001F7FBD?OpenDocument>

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

<http://www.ausaid.gov.au/ngos/accreditation.cfm>
<http://www.acfid.asn.au/code-of-conduct>

Further information on Aid Effectiveness can be found at:

http://www.oecd.org/department/0,3355,en_2649_3236398_1_1_1_1_1,00.html
http://www.oecd.org/document/18/0,3343,en_2649_3236398_35401554_1_1_1_1,00.html

AusAID Development Research Awards Scheme 2012 Funding Round

Online Application **ADRAS201200475**

Administering Organisation and Principle Investigator Details

Name s 47F(1)
Position Senior Adviser
Organisation International Peace Institute
ABN
Postal Address 777 UN Plaza, New York, NY 10017
Telephone s 47F(1)
Email s 47F(1) @ipinst.org
Theme
Theme Gender
Sub Theme Women, peace and security

Research Details

Proposal Title Forum for Arab Citizenship in Transition (FACT)
Synopsis The Forum for Arab Citizenship in Transition (FACT) is an independent working group that aims to influence governing authorities in Arab countries undergoing post-authoritarian transitions by providing non-partisan, balanced and objective policy recommendations on gender equality and equal citizenship. The project is part of an ongoing collaboration between IPI and UN Women to create a regional knowledge hub. IPI will serve in a supporting role, offering institutional expertise and mentoring to members of FACT in order to focus efforts in research, publication, and event-planning. The aim is for FACT to eventually become an independent Cairo-based think tank.
Focus Region Africa
Focus Country Regional Middle East
Focus Country 2
Focus Country 3
Focus Country 4
Focus Country 5
ARC Linkage Application No
Start Date 1 April 2013
End Date 1 April 2015
Total Number of Years/Month 24 months

Administering Organisation Details

Does the Administering Organisation have research as a core function? Yes

Does the Administering Organisation or Partner Organisation for this project have a recognised ethics approval process? Yes

Research Question(s)

The central research question is:

1. How can equal citizenship be enhanced in order to guarantee women's rights during the post-authoritarian transitions in Egypt, Libya, Tunisia and Yemen?

Related sub-questions are:

2. To what extent will the constitutions that have been or will be drafted in these countries guarantee women the rights of equal citizenship?

3. What are women's voting patterns? What motivates women to vote for specific parties, including Islamic parties?

4. How can women's contributions to society be portrayed more justly in the media?
5. To what degree are women, particularly in rural areas, aware of and afforded their rights as equal citizens?

Rationale and Expected Outcomes

More than a year after the outbreak of the Arab uprisings, hope and optimism have given way to an increasing sense of concern. The transition to democracy in Tunisia, Egypt, Libya and Yemen is encountering a number of predictable and unpredictable challenges. The remnants of the previous regime are resisting change and the newly found freedoms have given way to an intense debate over conflicting visions of the future. This latter phenomenon has taken the form of a confrontation between secularists and religious conservatives. Women, many of whom were protagonists in the uprising, are experiencing a series of setbacks, in comparison to the pre-revolutionary days.

In earlier, related activities, from May through November 2011, IPI and UN Women facilitated research, discussions, and an informal gathering of civil society leaders, mostly women, from Tunisia and Egypt, as well as Libya and Yemen. From the discussions emerged a specific set of recommendations with a special focus on the preservation and enhancement of the rights of women as equal citizens during the post-authoritarian transitions.

The proposed project, the Forum for Arab Citizenship in Transition (FACT), was developed from one of the recommendations, which recognized the need to establish a network across the Arab region for exchanging views on how best to influence public policy. These include policies on women's equality and participation in decision making, as well as policies concerning the role of citizen-led organizations in promoting rights-based, democratic and responsive governance.

The project aims to provide policy oriented research and recommendations aimed at fostering gender empowerment and equal citizenship in order to lay the foundations for new, democratic and accountable governance practices in Arab countries undergoing post-authoritarian transitions.

This project is being implemented in partnership with UN Women and its local office in Cairo, Egypt, and Tunis, Tunisia. IPI will serve in an advisory capacity, offering institutional expertise and mentoring to members of FACT in order to help them with their research, publication, and event-convening efforts. UN Women will provide the institutional umbrella for FACT in Egypt, as FACT gradually develops and becomes a "knowledge hub", one of the goals pursued by UN Women Regional programme in Cairo. Researchers will work as consultants of both IPI and UN Women, operating under the guidance of UN Women's local presence, which will provide administrative, logistical, and strategic support, as well as convening space.

While currently a working group that primarily interacts via Skype conference and email and has taken advantage of the expertise of a committed group of civil society actors working voluntarily, FACT aims to eventually be established as an independent think tank with its own legal identity.

The activities described in this proposal aim to lay the foundation for an independent think tank, serving as an incubating period until the end of 2013 when the members of FACT will attempt to acquire legal status and establish an independently-functioning regional think tank, with local coordinators in some Arab countries facilitating their respective group contributions to the overall mission of FACT.

IPI and UN Women have identified a series of research activities to be undertaken by FACT in 2013-2014:

1. Gender and the Constitution
2. Women's Voting
3. Media Watch
4. Rural/Urban Divide

To ensure maximum complementarity, the research areas are aligned to specific Outputs in UN Women's regional program "Citizenship, leadership and participation: new pathways for Arab women" (December 2011-2013).

Policy Relevance to Development and AusAID

FACT seeks to increase women's voice in decision-making, and leadership (pillar 2 of AusAID's Gender Thematic Strategy) in the Arab region and to support women's participation in maintaining stability in countries undergoing post-authoritarian transitions in the MENA region.

The transition to democracy in Tunisia, Egypt, Libya and Yemen is encountering a number of challenges. Women, many of whom were protagonists in the uprising, are experiencing a series of setbacks, in comparison to the pre-revolutionary days. FACT is a series of informal gatherings that provides a unique

platform through which Arab civil society leaders exchange knowledge, experiences and initiatives aimed at enhancing their capacities to participate as equal citizens in the democratic consolidation taking place. Historical precedents have demonstrated the detrimental consequences of non-inclusive processes during post-authoritarian transitions. Citizenship has been one of the key demands of demonstrators across the region in their struggle to move away from being treated as mere subjects. FACT aims at fostering gender empowerment and equal citizenship in order to help lay the foundations for new, democratic and accountable governance practices in Arab countries undergoing post-authoritarian transitions.

Though there are currently similar programs being co-organized by Egyptians, Tunisians, and Libyans, including Citizens for Peace and Justice, Arab-Euro Youth Dialogue, and a project investigating the role of labor unions in building democracy, FACT is the only project, to our knowledge, that deals solely with the issue of women equality from an and equal citizenship perspective.

Research Activity Design and Method

FACT will utilize a mix of research, dialogue, and outreach in implementing the activities planned for 2013-2014. The program places a heavy emphasis on field research, which will be carried out by local researchers in Egypt, Tunisia, Libya and Yemen, with support from IPI and UN Women staff.

Research will be conducted using a series of established policy research methodologies, including:

- Collection of empirical evidence by field workers, including interviews, as well as desk research;
- Data Analysis, conducted by senior researchers on the ground through analysis of primary sources, such as data gathered from the field, and secondary sources, including studies by academics and other organizations, and other relevant information from databases, indicators and indexes;
- Case studies, including detailed qualitative examination of specific incidents as well as initiatives by other institutions to develop policy recommendations. A cross country comparison will be applied as lessons learnt and conclusions drawn from one country may be applicable to another.
- Mapping exercises, involving the collection, analysis, and assessment of information contained in multiple primary and secondary sources, from reports to meetings and interviews, to synthesize and communicate knowledge and experiences on a specific issue or theme. A mapping exercise is not an end in itself. It remains a preliminary exercise that leads to the identification of gaps and needs to foster policy development and effectiveness.

In 2013-2014 FACT will focus on the following research areas; (i) continue to work in Egypt and Tunisia on gender and the Constitution and expand the scope of research to include Libya and Yemen, (ii) Women's Voting patterns; (iii) Media Watch; and (iv) Rural/Urban Divide.

The Constitution: One of the most important ways to guarantee the demands for democracy, justice and dignity for all citizens is by enshrining these values within the constitution. To this end, it is imperative that the constitutions being drafted are responsive to the imperative need to integrate equal rights for women within the framework of equal citizenship. Under this work stream, FACT will advocate for inclusion of gender-sensitive provisions in the constitutions and gender equality legislation in both Egypt and Tunisia and, as appropriate, in other Arab countries undergoing transition.

This project will be the second phase and follow up of research started in the second half of 2012. The first phase involved desk research and interviews to analyze the proposed constitutional drafts and make recommendations on how best gender equality gaps can be addressed. Though the Egyptian constitution is expected to be completed and approved in a national referendum before the end of 2012, the constitution in Tunisia is experiencing delays and discussions on a new charter are taking place in Libya and Yemen.

On the basis of the findings arising from research area (i) FACT will continue to engage, in partnership with other organizations, in outreach activities that will include advocacy meetings with parliamentarians, political parties, and the media, in order to raise awareness on the need to incorporate gender sensitive provisions in the constitution and of the importance of gender equality legislation. Findings and suggested provisions will be disseminated through written and visual media, including social media outlets and the dedicated website of FACT that should be up and running early next year.

Women's Voting: FACT will conduct research on women's voting patterns in Egypt, Tunisia, Libya and Yemen. Particular attention will be paid to those women who voted for religious parties to try to understand what motivates them to support political movements that could potentially constrain their individual freedoms. This will consist of a comparative, field research-based study that will examine, for example, perspectives on the El Nahda party in Tunisia and the Freedom and Justice Party in Egypt, with regard to equal citizenship and, in particular, women's rights in Islam. The research will identify potential entry points for effective lobbying and dialogue on raising awareness of the importance of gender equality among Islamic parties. FACT will appoint and train field researchers, and will publish and disseminate the results of the study

among key stakeholders. The emphasis on field workers is an integral part of the project and reflects the need to recognize and come to terms with the new reality at the community/rural level in both countries.

Media Watch: During 2013, FACT will also integrate a media component in its programme of work. This will involve a media watch/analysis of how the role of women in transition is being covered. It will use the analysis findings to suggest ways and means of promoting a more equal and just portrayal of women's contributions to the social, political, and communal life of their countries as leaders and active citizens. The results of this field study will be published and disseminated among key stakeholders in an effort to generate a fairer portrayal of women in media and to see that more women are represented in the media. Under the media watch initiative, FACT will partner with relevant government entities and civil society organizations to organize an advocacy campaign targeting media outlets. This campaign may include training/information sessions for journalists on issues of concern to women as equal citizens, such as women and transitional justice, women and security sector reform, etc.

Rural/Urban Divide: FACT will train and deploy a group of researchers that will conduct research in Egypt, Tunisia, Libya and Yemen to gain firsthand knowledge of the needs and expectations and potential contributions of women citizens in shaping the future of the respective countries of the post authoritarian transition. This will be done by field researchers documenting in particular the degree to which rural women are aware of and afforded the rights of equal citizenship (including housing, health, education, and participation rights). The emphasis on rural women is an attempt to reach beyond the urban centers—and compensate for the privileged attention that the latter usually receive—in order to be able to arrive at authoritative conclusions that encompass a more representative sample. The results will be published and disseminated among relevant government ministers and parliamentarians in an effort to create greater understanding of the needs and expectations of a major sector of the population—rural women. The conclusions and recommendations drawn from the study will also lay the foundation for further advocacy and dialogue on how to narrow the gap between rural and urban women populations in both countries. These recommendations and conclusions will also help provide content to grassroots NGOs for their citizenship education activities.

Outputs and Deliverables

Publications: A series of reports will be produced in Arabic and translated into English and possibly French. Findings will be disseminated to key stakeholders and decision makers in Egypt, Tunisia, Libya and Yemen, to form the basis of further outreach activities. Participants will also contribute analytical pieces to newspapers, magazines and academic publications.

Building a Governance Structure for FACT: Outputs will include one Steering Group Meeting and one Advisory Board Meeting per year to discuss ongoing and future activities.

Website: FACT will develop a dedicated website where research findings and information on FACT's activities will be posted.

Gender and the Constitution:

- Sessions and meetings will be organized with key stakeholders to advocate for inclusion of gender-sensitive provisions in the constitutions or in subsequent laws for countries where the constitution has been promulgated in 2012;

- Individual reports, based on the research findings, will be produced for each country (Egypt, Tunisia, Yemen and Libya) containing an analysis of the constitutional drafting process and a set of recommendations;

- The country reports will be compiled into a policy paper that will be printed in Arabic, English, and French.

Women's Voting:

- A comparative research study analyzing the perspectives of Islamic parties and women that vote for them with regard to equal citizenship, will be produced;

- Result of the study, including specific recommendations on how to change negative attitudes, will be published.

Media Watch:

- Major patterns on the portrayal of women in media will be identified in country studies, which will include specific recommendations on how to change negative portrayal.

- A media campaign will be organized in partnership with key stakeholders to emphasize the importance of portraying women as equal citizens and as key contributor to a sustainable transition.

Rural/Urban Divide:

- Research findings will be analyzed in order to produce a comparative study on the degree to which rural women enjoy equal citizenship;

-Specific recommendations on how to narrow the gap between rural and urban women populations will be compiled in country reports;
 -A comprehensive document, hard copies of which will be made available, will be put together at the end of the project.

WorkPlan

Each project will be developed over a period of eight months, with the exception of the constitution initiative which is the continuation of a project initiated in 2012 and which will depend on the constitution drafting process and its outcome in the different countries undergoing a transition to democracy.

1. Gender and the Constitution:

Under this work stream, FACT will analyze the constitution drafting process in Tunisia and Libya, the discussions in Yemen, and the follow up to the new constitution in Egypt.

a. January – December 2013:

i. Analysis of constitution drafting process

ii. Analysis of civil society initiatives and alternative proposals, as well as analysis of the debate generated by the provisions dealing with gender equality

iii. Drafting conclusions

2. Women's Voting:

a. January-February: Selection, training and deployment of field researchers

b. March-April: Data gathering

c. May-June: Drafting paper and recommendations

d. July-August: Outreach

3. Media Watch:

a. September-October: Selection, training and deployment of field researchers

b. November-December: Data gathering

c. January-February: Drafting paper and recommendations

d. March-April: Outreach and launch of media campaign

4. Rural/Urban Divide:

a. May-June: Selection, training and deployment of field researchers

b. July-August: Data gathering

c. September-October: Drafting paper and recommendations

d. November-December: Outreach

Research Communication and Engagement

The project's target audience is policymakers and civil society actors in Egypt, Tunisia, Libya, and Yemen, as well as the general public across the region.

The research findings of this project seek to raise greater awareness on women's rights of equal citizenship and to help promote the proposition that gender empowerment and equal citizenship become priorities for policymakers.

Throughout the project period, FACT will engage closely with its target audience in order to identify challenges, draw lessons from the research and disseminate best practices. Meetings will be organized with parliamentarians, political parties, and civil society and the media to share findings and recommendations of the research. Dialogue sessions aim to enhance knowledge, capacity, and policy effectiveness, as well as generate broader awareness and consensus at a variety of political levels. This will also serve to initiate a dialogue among key stakeholders in the region, including among civil society actors and policymakers, as well as the general public.

FACT will promote its research findings and analyses via a dedicated website, social media platforms, and targeted disseminations of its printed publications. In 2013 FACT will build and maintain its presence on a website, which will host FACT's publications, meeting notes and general information regarding its activities. The website will also serve as an archive for relevant material produced by other organizations.

Social media tools and targeted disseminations will be utilized in order to further facilitate an exchange of information and lessons learnt across the region. Research findings will be brought to the attention of key stakeholders in the region, including policymakers, civil society members, and media. The conclusions and recommendations drawn from the study will lay the foundation for further advocacy and dialogue in Tunisia and Egypt initially.

Capacity Building

IPI will serve in a supporting role, offering institutional expertise and mentoring to members of FACT in order to help them enhance their capacity in the areas of research, publication, and event planning and convening as well as advocacy. All research will be undertaken in Egypt, Tunisia and, if conditions permit, in Yemen and Libya. Local researchers will be identified and trained to undertake the field research, with support from local coordinators in Egypt, Tunisia and Yemen. UN Women's Regional Programme in Cairo will be the immediate point of reference for FACT's researchers and will provide administrative, logistical, and strategic expertise, as well as convening space.

IPI will share with FACT its institutional expertise. Staff from the various departments at IPI (management, research, policy development, editing, publishing and events) will act as mentors to the members of FACT. IPI will guide FACT in developing its mission, goals and objectives and sharing the specific skills that are needed for running a think tank. IPI has significant experience advising on the design and development of similar think tanks, and believes that such institutions are essential elements of successful political transition.

This project, and activities undertaken in 2013-2014, will serve as a development period to build the capacity of FACT and its members until the end of 2013 when the members of FACT will attempt to acquire legal status and establish an independently-functioning think tank, with Cairo as the main regional antenna. IPI will continue to assist FACT with capacity building in the first year after acquiring legal status.

Due to the deterioration of the political situation in the countries concerned, the possibilities of legally registering an organization like FACT are currently limited, as the Egyptian government has blocked funds to foreign-funded, pro-democracy NGOs such as the National Democratic Institute and the International Republican Institute. Thus it makes sense that FACT should begin its initial phase as an informal working group, not only for strategic reasons, but also for legal ones. Nonetheless, even this may provoke negative sentiment toward outside actors such as IPI. We hope to attenuate this risk through our partnership with UN Women regional offices, which will provide FACT with the backing of a UN-sponsored program.

Research Team

Team Member Name	Organisation	Role
s 47F(1)	International Peace Institute	s 47F(1) serves as project coordinator, overseeing and coordinating efforts between IPI staff, UN Women and the local coordinators in Egypt, Tunisia, Yemen and Libya. (2013-2014)
	International Peace Institute	Provides policy support and assists in the day-to-day activities, communication, and coordination between IPI-UN Women-FACT (2013-2014)
	International Peace Institute	s 47F(1) has four years experience in advocacy, research, and program support in Sana'a, Dubai, London, and New York and will support and assist with IPI's activities on the projects. (2013)
	Freelance Consultant	s 47F(1) will serve as the in-country coordinator for FACT in Tunisia (2013-2014)
	American University in Cairo	Regional Coordinator of FACT, based in Cairo (2013-2014)

Budget(A\$)

	First Year	Second Year	Third Year	Total
AusAID Funds Requested	200000	200000		400000
Administering Organisation Contributions				
Other Funding Sources	152725	109480		262205
Amount to be requested from ARC (if submitting an ARC Linkage request)				
Total	352725	309480		662205

Cost Sharing & Other Funding Sources

Activities undertaken in 2012 for this project are being funded by contributions from the Governments of Norway and Finland and UN Women.

IPI has submitted an application for additional funding for 2013-2014 to the Government of Norway, and

intends to submit proposals to the Government of Finland and UN Women as well.

Budget Allocations(A\$)

	First Year	Second Year	Third Year	Total
Researcher/s Salary	70000	70000		140000
Field Work Costs	35000	35000		70000
Travel & related costs	26000	20000		46000
Insurances				
Knowledge Transfer Activities	30000	35000		65000
Capacity Development Activities (if applicable)	39000	40000		79000
Total AusAID Funds requested	200000	200000		400000

Justification of Budget

Researcher's Salary: FACT employs one regional coordinator in Egypt, and three country coordinators in Libya, Tunisia and Yemen, for the 12 month period. The coordinators oversee the field researchers and analysis of the research findings. IPI staff will also assist FACT with its research and analysis, and costs in this category include IPI research staff's time dedicated to this project.

Field Work Costs: Expenses related to research undertaken in Egypt, Tunisia, Yemen and Libya by the local field researchers. One senior researcher and one researcher will be utilized for the four work streams.

Travel and Related Costs: includes costs for FACT participants and IPI staff to attend seminal meetings, including the steering group meetings in Cairo, to provide mentoring to members of FACT and assist with building a governance structure for FACT.

Communication and Engagement: costs include expenses related to the publication of the research findings under the above mentioned work streams in three reports. Additional costs include outreach activities such as maintaining and improving the dedicated FACT website and organizing a media campaign to emphasize the importance of portraying the views and concerns of women as equal citizens and as key contributors to a sustainable transition.

Capacity Development Activities: Costs delineated in this category includes expenses for IPI's staff from various departments (management, policy development, editing, publishing and events), who will act as mentors to the members of FACT. IPI will guide FACT in developing its mission, goals and objectives and sharing the specific skills that are needed for running a think tank. Additional costs relate to training local field researchers in preparation of their deployment to undertake field research.

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Agency / Holder	Period	Total Amount	Currency	Count of Grants/Disbursements
AusAID (former)	2010–2012	583418.93	AUD	2
Australian Permanent Mission to the UN (New York)	2002–2020	225959.37	USD	9

Agreement Holder	Year	Counterparty	Agreement Type
AusAID (former)	2010	International Peace Institute	Grant Agreement
AusAID (former)	2012	International Peace Institute	Grant Agreement (ADRAS 2012)
Australian Permanent Mission to the UN (New York)	2002	International Peace Institute	Grant / Contribution
Australian Permanent Mission to the UN (New York)	2010	International Peace Institute	Small grant
Australian Permanent Mission to the UN (New York)	2012	International Peace Institute	Small grant
Australian Permanent Mission to the UN (New York)	2012	International Peace Institute	Disbursement
Australian Permanent Mission to the UN (New York)	2015	International Peace Institute	Disbursement
Australian Permanent Mission to the UN (New York)	2016	International Peace Institute	Small grant (IDF)
Australian Permanent Mission to the UN (New York)	2018	International Peace Institute	Small grant (IDF)
Australian Permanent Mission to the UN (New York)	2019	International Peace Institute	Small grant
Australian Permanent Mission to the UN (New York)	2020	International Peace Institute	Small grant / contribution