

Grant Order



Commonwealth of Australia

Grant Order under the DFAT-The Asia Foundation (TAF) Strategic Partnership (the Head Agreement)

DFAT-TAF Partnership – 'Responding to Change: Supporting Australian Engagement in the Indo-Pacific' (the Partnership)

Grant Order Details

Item number	Description	Details
1.	Grant Order Number	72281/21
2.	DFAT Representative	Nick Smith
3.	Recipient Representative	Maureen Hasib
4.	Activity Start Date	1 May 2019
5.	Activity End Date	30 April 2022
6.	DFAT Material	Nil
7.	Address for Notices	DFAT: DFAT Representative Postal address: Department of Foreign Affairs and Trade – Australian Aid Program Department of Foreign Affairs and Trade RG Casey Building, John McEwen Crescent, Barton, ACT, 0221 Australia

Item number	Description	Details
		<p>Physical address: 255 London Circuit CANBERRA ACT 2601 AUSTRALIA</p> <p>Email: nick.smith@dfat.gov.au</p> <p>Recipient: Recipient Representative</p> <p>Postal address: 465 California Street, 9th Floor San Francisco, CA 94104 USA</p> <p>Physical address: 465 California Street, 9th Floor San Francisco, CA 94104 USA</p> <p>Email: gordon.hein@asiafoundation.org</p>
8.	Special Conditions	Nil.

Activity Proposal

1. Activity description

- (a) The Recipient will enter into a strategic collaboration with DFAT, titled “DFAT-The Asia Foundation Partnership – Responding to Change: Supporting Australian Engagement in the Indo-Pacific (‘the Partnership’)”, aimed at supporting DFAT to respond quickly and efficiently to a shifting landscape of rapid growth and poverty reduction in Asia, through a more innovative, catalytic and transformational aid program. The Recipient will undertake activities as stated in each Annual Work Plan.
- (b) The purpose of the Partnership is to enable the Recipient relevant knowledge and analyses, new ideas and insights, and high-quality tools and information that will contribute to the Department’s efforts to improve the effectiveness of its development policy, practice, and programs. The Partnership will support implementation of Australia’s aid policy framework.
- (c) *DFAT-The Asia Foundation Partnership – Responding to change: supporting Australian engagement in the Indo-Pacific Concept Note (Attachment A)* describes the indicative activity types available for selection as part of each Annual Work Plan in support of the five work streams under that Concept Note, being.
 - (i) Advanced Middle Income Countries (AMICs)
 - (ii) Engaging Asian Donors
 - (iii) Urban Governance/Cities
 - (iv) Implications of Technology on Growth, Development, and Security
 - (v) Conflict and Fragility
- (d) Note that the fifth Work Stream ((v) Conflict and Fragility), while included in the DFAT-TAF Strategic Partnership, is the subject of separate Grant Orders and its own financial grants. Updates on this Work stream will be discussed in the High Level Meeting and the Working Group Meeting, and will be included in Reports described below under Clause 4, (b), (d) and (f). Determining activity and financial reporting will be covered under separate Grant orders.
- (e) This Grant Order will constitute the primary basis for DFAT’s on-going strategic collaboration with the Recipient. The High Level Meeting (see Section 3, below) between the Recipient and DFAT may include discussion of any subsequent Grant Orders made under the Head Agreement, or any other existing arrangements between the Recipient and DFAT, so as to enhance the Activity of this Grant Order.
- (f) The strategic collaboration facilitated by this Activity will contribute to the broad goal of improving the effectiveness of DFAT’s development policy and programs by providing the following benefits:

For DFAT

- (i) access to leading policy analysis and research on priority issues;
- (ii) increased ability to draw on TAF experts and experience in development assistance in the Asia-Pacific region; and
- (iii) access to the Recipient's established networks throughout the Asia-Pacific region and beyond;

For the Recipient

- (i) increased resources to strengthen TAF's knowledge and capacity; and
 - (ii) increased understanding of the Australian Government's policies and approaches to addressing development challenges in Asia.
- (g) Disbursement under this Grant Order on the four financial Work streams (4(c)(i-iv)) may allocated in any fashion agreed by DFAT and the Recipient.

2. Outcome

- (a) This Grant Order will, through the activities set out in each Annual Work Plan, provide relevant and high quality tools, analysis and knowledge focused on improving the effectiveness of DFAT's development policy and programs.

3. Meetings

- (a) DFAT and the Recipient will participate in the following meetings:

- (i) High Level Meeting (HLM)

Date: February/March, annually, or as determined between DFAT and the Recipient.

Location: Canberra.

Attendees: senior staff from the Recipient and DFAT, including senior staff from the Development Policy Division, Gender Branch and Asian geographic Divisions.

Purpose: To discuss high-level DFAT-TAF policy alignment and opportunities for further engagement, including through subsequent Grant Orders under the Head Agreement.

Discussion: the emerging development landscape in Asia, challenges and opportunities, potential platforms for cooperation and engagement between the Recipient and DFAT.

- (ii) Working-Group Meeting

Date: Bi-annually, in April/May and November/December, or as determined between DFAT and the Recipient.

Location: to be determined, either teleconference or at a regional hub.

Attendees: Executive-level staff from the Recipient and DFAT, including representatives from Development Policy Division, relevant geographic Divisions, Gender Branch and other areas, as required.

Purpose: To discuss progress towards partnership outcomes, approve the Annual Work Plan for the subsequent year, identify opportunities to capitalise on lessons learnt and address any operational issues affecting implementation of this Activity.

Discussion: progress against the existing Annual Work Plan, emerging policy or programming issues affecting the Partnership; key lessons learnt and any implications for this Activity or other relevant areas of collaboration between DFAT and the Recipient.

(iii) Ad hoc meetings

Such additional meeting as are agreed from time to time.

4. Reporting

The Recipient must provide the following reports as described below, in a format and page-limit to be agreed between DFAT and the recipient.

(a) Annual Work Plan

- (i) **Description:** the Annual Work Plan will provide an overview of activities and indicative budgets under each of the four agreed-upon work streams, to be determined in consultation with DFAT. The Fragility and Conflict workstream is covered by a separate buy-in grant order.
- (ii) The Annual Work Plan may be varied in writing at any time with DFAT's agreement.

(b) Annual Performance Report

- (i) **Description:** the Annual Performance Report will describe progress and achievement of each activity to be funded under the Annual Work Plan, and a Financial Acquittal Report will be provided within 90 days (see paragraph 4(c), below).
- (ii) Annual Performance Reports will assist DFAT in the preparation of its Aid Quality Check and Partner Performance Assessment.

(c) Financial Acquittal Report

- (i) **Description:** the Financial Acquittal Report will provide a statement of acquittal against the budget in the Annual Work Plan of at least 80% of the previous tranche, as required by Milestones 2 and 3 (see section 5, below) and within 90 days after the earlier of the Activity End Date, expiry or termination of this Agreement.
- (ii) Each Financial Acquittal Report must be conducted in accordance with Applicable Auditing Procedures and include a definitive statement as to whether the financial information for the Activity represents the

financial transactions fairly and is based on proper accounts and records.

- (iii) The Financial Acquittal Report will complement the relevant Annual Performance Report and will be supported by the Recipient keeping records that show all spending of every part of every payment received from DFAT for the period May to April.

(d) Summary HLM report

- (i) **Description:** Annual summary report of no more than four pages detailing result from previous period and activities planned for forthcoming period. Report informs discussion by high level representatives at the annual HLM.

(e) Final Report

- (i) **Description:** A final report detailing the achievements of the entire DFAT-TAF Strategic Partnership under this Grant Order

(f) Ad hoc reports

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

5. Milestones

	Milestone	Completion date
1.	<p>Description</p> <p>An annual plan of all activities to be funded/undertaken by TAF under this Grant Order, to be determined jointly by TAF and DFAT at the first WM of each calendar year.</p> <p>Reports to be provided by the Recipient as part of this Milestone:</p> <p><i>Annual Work Plan.</i></p>	May 2019, 2020, 2021
2.	<p>Description</p> <p>An annual report describing progress and achievement of each activity to be funded under the Annual Work Plan and including a statement of acquittal (see Milestone 3, below).</p> <p>Reports to be provided by the Recipient as part of this Milestone:</p>	April 2020, 2021, 2022

	Milestone	Completion date
	<i>Annual Performance Report, including a Financial Acquittal Report (see Milestone 3, below).</i>	
3.	<p>Description</p> <p>Financial statements in accordance with applicable auditing standards, which must include a definitive statement as to whether the financial information for the Activity represents the financial transactions fairly and is based on proper accounts and records.</p> <p>Reports to be provided by the Recipient as part of this Milestone:</p> <p><i>Financial Acquittal Report, to be provided as a component of the Annual Performance Report.</i></p>	30 July 2020, 2021, 2022
4.	<p>Description</p> <p>Summary statement (no more than four pages) of results of previous period and activities planned for next period. Statement will inform discussion at HLM in February/March each year.</p> <p>Reports to be provided by the Recipient as part of this Milestone:</p> <p><i>Annual summary for HLM</i></p>	31 January 2020, 2021, 2022
5.	<p>Description</p> <p>A final report on achievements of DFAT-TAF Strategic Partnership under this Grant Order</p> <p>Reports to be provided by the Recipient as part of this Milestone:</p> <p><i>Final Report.</i></p>	30 July 2022
6.	<p>Description</p> <p>Final independently financial statement of acquittal in accordance with applicable auditing standards, which must include a definitive statement as to whether the financial information for the Activity represents the financial transactions fairly and is based on proper accounts and records.</p> <p>Reports to be provided by the Recipient as part of this Milestone:</p>	30 July 2022

	Milestone	Completion date
	<i>Financial Acquittal Report, to be provided as a component of the Final Performance Report.</i>	

Funds

1. Total Funds

- (a) Subject to this Agreement, the maximum amount of grant funding payable by DFAT under this Agreement is **AUD 1,800,000** (excluding GST), over the years 2019-2020 to 2021-2022 if any shall be payable as an acquittable grant by DFAT in annual tranches divided as per Clause 2. No other amount of grant funding is payable by DFAT under this Grant Order.

2. Payment

- (a) Subject to this Agreement, DFAT will pay the grant funding to the Recipient in instalments as set out in Table 1 below.

Table 2: Payment Schedule

No.	Indicative Date	Tranche Number	Instalment (GST exclusive)
2019-2020	Refer to clause 2(b) of this Grant Order	1	600,000
2020-2021	Refer to clause 2(b) of this Grant Order	2	600,000
2021-2022	Refer to clause 2(b) of this Grant Order	3	600,000
Total			AUD1,800,000


- (b) Tranche 1 shall be payable by DFAT within 30 days of the date of this Grant Order and receipt of a valid invoice. Subsequent Tranches shall be payable subject to the provision of the Financial Acquittal Report (a statement of acquittal against the budget in the Annual Work Plan, of 80% of the previous tranche), a valid invoice, and subject to satisfactory performance as determined by the senior financial officer or the head of the Recipient indicating that the Funds being acquitted have been expended in accordance with the terms of this Agreement.

Dated this 3 day of April 2019

SIGNED for and on behalf of the
COMMONWEALTH OF AUSTRALIA

represented by the Department of Foreign Affairs and Trade by:

in the presence of:


Signature of PGPA Delegate

Sarah Boddington
Name
(Print)


Acting Assistant Secretary,
Position, Section GFB/ODD

Mia Thornton
Signature of witness

Mia Thornton
Name of witness
(Print)

SIGNED for and on behalf of
THE ASIA FOUNDATION by:

in the presence of:


Signature

Gordon Hein

Name
(Print)

Senior Vice President

Position

Behnaz Raufi
Signature of witness

Behnaz Raufi

Name of witness
(Print)

By executing this Grant Order the signatory warrants that the signatory is duly authorised to execute this Grant Order on behalf of The Asia Foundation