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**Grant Agreement**

between

**SECRETARY OF STATE FOR HEALTH AND SOCIAL CARE**

and

**THE CHANCELLOR, MASTERS, AND SCHOLARS OF THE UNIVERSITY OF OXFORD**

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**THIS AGREEMENT** is made on

28 July 2022

BETWEEN:

**SECRETARY OF STATE FOR HEALTH AND SOCIAL CARE** (acting as part of the Crown) of 79 Whitehall, London, SW1A 2NS (the “**Authority**”); and

**THE CHANCELLOR, MASTERS, AND SCHOLARS OF THE UNIVERSITY OF OXFORD**, whose principal address is at Wellington Square, Oxford OX1 2JD (“**Grant Recipient**”)

**In relation to:**

**Project Name: Global Research on Antimicrobial Resistance (GRAM) Project**

## **1. INTRODUCTION**

- 1.1. The following standard terms and conditions apply to Grant Recipients receiving financial assistance from the Authority. These conditions should be read in conjunction with Grant Offer Letter issued by the Authority. The terms and conditions set out in this document, together with the accompanying Annexes together comprise the “Agreement” pursuant to which financial assistance (in the form of the Grant) is given by the Authority to the Grant Recipient.
- 1.2. The Grant Recipient should note that:
  - 1.2.1. the Authority has the discretion under section 1(1) of the International Development Act 2002 to provide a person or body with development assistance if it is satisfied that the provision of the assistance is likely to contribute to a reduction in poverty.
  - 1.2.2. the Authority is not permitted to pay Grants in advance of need, but Grants may be paid in advance of expenditure provided that the Funded Activities have been delivered during the Funding Period; and
  - 1.2.3. no VAT is payable on Grants. and
  - 1.2.4. failure to comply with the conditions of the Agreement may result in the Grant payments being suspended, reduced, reclaimed or withheld, and/or the Grant being withdrawn, without prejudice to any other civil or criminal sanctions which may be appropriate.
- 1.3. The Parties confirm that: (i) this Grant Funding Agreement arises solely pursuant to the exercise of a statutory power by the Authority; and (ii) in entering into this Grant Funding Agreement the Parties do not intend to create legal contractual relations.

## **2. DEFINITIONS AND INTERPRETATION**

- 2.1. In this Agreement the following terms will have the following meanings:

**“Aid Diversion”** means any event that prevents funds being directed to the aid outcomes or recipients intended.

**“Annex/es”** means the annexes attached to this Agreement;

**“Asset”** means any assets that are to be purchased or developed using the Grant, including equipment or any other assets which may be a Fixed Asset as appropriate in the relevant context;

**“Breach”** means a failure to comply (by act or omission) with any of the Terms and Conditions of the Agreement;

**“Bribery Act”** means the Bribery Act 2010 and any subordinate legislation made under that Act from time to time together with any guidance or codes of practice issued by the relevant government department concerning this legislation;

**“Central Government Body”** means a body listed in one of the following sub-categories of the Central Government classification of the Public Sector Classification Guide, as published and amended from time to time by the Office for National Statistics:

- (a) Government Department;
- (b) Non-Departmental Public Body or Assembly Sponsored Public Body (advisory, executive, or tribunal);
- (c) Non-Ministerial Department; or
- (d) Executive Agency;

**‘Code of Conduct’** means the Code of Conduct for Recipients of Government General Grants published by the Cabinet Office in November 2018 which is available at [Codes of conduct for suppliers and grant recipients - GOV.UK \(www.gov.uk\)](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/682222/codes-of-conduct-for-suppliers-and-grant-recipients-2018.pdf), including any subsequent updates from time to time;

**“Commencement Date”** means the 1<sup>st</sup> of August 2022;

**“Comptroller and Auditor General”** means the leader of the National Audit Office in the United Kingdom;

**“Confidential information”** means any information (however conveyed, recorded or preserved) disclosed by a Party or its personnel to another Party (and/or that Party’s personnel) whether before or after the date of this Agreement, including but not limited to:

- (a) any information that ought reasonably to be considered as confidential (whether or not it is so marked) relating to:
  - (i) the business, affairs, customers, clients, suppliers or plans of the disclosing Party; and
  - (ii) the operations, processes, product information, know-how, designs, trade secrets or software of the disclosing Party; and
- (b) any information developed by the Parties in the course of delivering the Funded Activities;
- (c) the Authority’s Personal Data;
- (d) any information derived from any of the above, and

Confidential Information shall not include information which:

- (a) was public knowledge at the time of disclosure (otherwise than by breach of clause 25);
- (b) was in the possession of the receiving Party, without restriction as to its disclosure, before receiving it from the disclosing Party;
- (c) is received from a third party (who lawfully acquired it) without restriction as to its disclosure; or
- (d) is independently developed without access to the Confidential Information;

**“Contracting Authority”** means any contracting authority (other than the Authority) as defined in regulation 2 of the Public Contracts Regulations 2015 (as amended);

**“Data Protection Legislation”** means (i) the UK GDPR; (ii) the Data Protection Act 2018 to the extent that it relates to the processing of Personal Data and privacy; (iii) all applicable Law relating to the processing of Personal Data and privacy; and (iv) (to the extent that it applies) the EU GDPR;

**“Delivery chain map”** means a process that identifies and captures, usually in visual form, the names of all partners involved in delivering a specific product, service or change, ideally down to the end beneficiary or recipient.

**“Delivery chain risk map”** means a visual depiction that builds on the delivery chain map. It provides more information about the formal relationships, flow of funds from the initial source and the potential risks, ideally right down to the end beneficiaries/recipients.;

**“Disposal”** means the disposal, sale, transfer of the Grant or any interest in any Asset and includes any contract for disposal;

**“Domestic Law”** means an applicable law, statute, bye-law, regulation, order, regulatory policy, guidance or industry code, judgement of a relevant court of law, or directives or requirements of any regulatory body, delegated or subordinate legislation which replaces EU law as a consequence of the UK leaving the European Union;

**“Downstream Partners”** means the Grant Recipient’s partners, consultants and sub-contractors involved in the delivery of the Funded Activities

**“DPA”** means the Data Protection Act 2018 and any subordinate legislation made under that Act from time to time together with any guidance or codes of practice issued by the relevant government department concerning this legislation;

**“EIR”** means the Environmental Information Regulations 2014;

**“Eligible Expenditure”** means expenditure in relation to the Funded Activities that complies in all respects with the eligibility rules set out in Annex 4 (Eligible Expenditure);

**“Exit Plan”** means the plan required allowing for the cessation or transfer of the Funded Activities as set out at clause 11;

**“Financial Year”** means from 1 April to 31 March;

**“Financial Irregularity”** includes (but is not limited to) potential fraud or other impropriety, mismanagement, and the use of grant for any purpose other than those stipulated in this Agreement

**“Fixed Assets”** means any Asset which consists of land, buildings, plant and equipment acquired, developed, enhanced, constructed or owned by the Grant Recipient in connection with the Funded Activities;

**“FOIA”** means the Freedom of Information Act 2000 and any subordinate legislation made under that Act from time to time together with any guidance or codes of practice issued by the relevant government department concerning this legislation;

**“Funded Activities”** means the activities set out in Annex 2 (Funded Activities) and Annex 1 (Grant Offer Letter);

**“Funding Period”** means the period for which the Grant is awarded starting on the Commencement Date and ending on 31 March 2025;

**“General Data Protection Regulation”** and **“GDPR”** means the General Data Protection Regulation (EU) 2016/679;

**“Grant”** means the sum or sums of money in **GBP** to be provided to the Grant Recipient in accordance with this Agreement;

**“Grant Manager”** means the individual who has been nominated by the Authority to be the single point of contact for the Grant Recipient in relation to the Grant;

**“Grant Offer Letter”** means the grant offer letter issued by the Authority to the Recipient set out in Annex 1 (Grant Offer Letter);

**“HRA”** means the Human Rights Act 1998 and any subordinate legislation made under that Act from time to time together with any guidance or codes of practice issued by the relevant government department concerning this legislation;

**“IATI Standard”** means the International Aid Transparency Initiative data standard;

**“Ineligible Expenditure”** means expenditure which is not Eligible Expenditure;

**“Information Acts”** means the DPA, GDPR, FOIA and the EIR, as amended from time to time;

**“Intellectual Property Rights”** or **“IPRs”** means copyright, rights related to or affording protection similar to copyright, rights in databases, patents and rights in inventions semiconductor topography rights, trade and service marks, rights in Internet domain names and website addresses and other rights in trade names, designs, know-how, trade secrets and other rights in Confidential Information and any modifications, amendments, updates and new releases of the same and all similar or equivalent rights or forms of protection which subsist or will subsist now or in the future in any part of the world;

**“Instalment Period”** means the period referred to in Annex 3 (Payment and Reporting Schedule);

**“KPIs”** means the key performance indicators set out in Annex 6 (Agreed Outputs);

**“Law”** mean any applicable Act of Parliament, subordinate legislation within the meaning of section 21(1) of the Interpretation Act 1978, exercise of the royal prerogative, enforceable community right within the meaning of section 2 of the European Communities Act 1972, rule of common law, regulatory policy, guidance or industry code, judgment of a relevant court of law, or directives or statute, bye-law, regulation, order, regulatory policy, guidance or industry code, rule of court or directives or requirements of any regulatory body, delegated or subordinate legislation;

**“Losses”** means all losses, liabilities, damages, costs, expenses (including legal fees), disbursements, costs of investigation, litigation, settlement, judgment, interest and penalties whether arising in contract, tort (including negligence), breach of statutory duty, misrepresentation or otherwise;

**“Material Breach”** means a breach of the Agreement (including an anticipatory breach) which is not minimal or trivial in its consequences;

**“Maximum Sum”** means the maximum amount of the Grant to be provided by the Authority to the Grant Recipient for the Funded Activities;

**“ODA”** means Official Development Assistance, including ODA administrative costs, as defined by the OECD from time to time;

**“OECD”** means the Organisation for Economic Co-operation and Development;

**“The Open Government Licence or “OGL”** means the set of terms and conditions under which information providers in the public sector can license the use and re-use of their information;

**“Party”** means the Authority or Grant Recipient;

**“Personal Data”** has the meaning given to it in the Information Acts;

**“Programme”** means the Global Research on Antimicrobial Resistance (GRAM) Project

**“Programme Funded Asset”** means any equipment and/or supplies purchased in part or fully from Grant funds if they have a useful life of more than one year; and either (1) the purchase price or development cost of the Asset is in excess of £500 or equivalent in local currency; or (2) is a group of lower value items (e.g. pharmaceutical products, food, relief packs, etc.) where the combined value is in excess of £500 or equivalent in local currency; or (3) can be considered an attractive item regardless of cost (e.g. mobile phones, cameras, laptops, tablets, satellite phones, vehicles, etc.).

**“Pre-existing IPR”** means all Intellectual Property Rights vested in or licensed to the Parties prior to the Commencement Date and/or created by the Parties independently of the Funded Activities;

**“Procurement Regulations”** means the Public Contracts Regulations 2015, Concession Contracts Regulations 2016, Utilities Contracts Regulations 2016 and Defence and Security Public Contracts Regulations 2011;



**"Prohibited Act"** means:

- (a) directly or indirectly offering, giving or agreeing to give to any servant of the Authority or the Crown any gift or consideration of any kind as an inducement or reward for:
  - (i) doing or not doing (or for having done or not having done) any act in relation to the obtaining or performance of this Agreement; or
  - (ii) showing or not showing favour or disfavour to any person in relation to this Agreement;
- (b) committing any offence:
  - (i) under the Bribery Act;
  - (ii) under legislation creating offences in respect of fraudulent acts; or
  - (iii) at common law in respect of fraudulent acts in relation to this Agreement; or
- (c) defrauding or attempting to defraud or conspiring to defraud the Authority or the Crown;

**"Public Accounts Committee"** the select committee of the British House of Commons which is responsible for overseeing government expenditures;

**"Representatives"** means any of the Parties' duly authorised directors, employees, officers, agents, professional advisors and consultants;

**"Remedial Action Plan"** means the agreed remedial plan of action developed by the Grant Recipient and agreed by the Authority to remedy a KPI failure, as set out in clause 33.2.2;

**"Terms and Conditions"** means the terms and conditions set out in this Agreement and upon which the Grant is payable;

**"Unspent Monies"** means any monies:

- (a) paid to the Grant Recipient which remain unspent and uncommitted at the end of an Instalment Period; or
- (b) remain unspent and uncommitted at the end of the Financial Year in which the Instalment Period occurs;

**"VAT"** mean value added tax chargeable in the United Kingdom;

**"Working Day"** means any day from Monday to Friday (inclusive) which is not Christmas Day, Good Friday or a statutory bank holiday in England.

2.2. In this Agreement, unless the context otherwise requires:

- 2.2.1. the singular includes the plural and vice versa;
- 2.2.2. reference to a gender includes the other gender and the neuter;
- 2.2.3. references to a person include an individual, company, body corporate, corporation, unincorporated association, firm, partnership or other legal entity or Crown Body;
- 2.2.4. a reference to any Law includes a reference to that Law as amended, extended, consolidated or re-enacted from time to time;

- 2.2.5. the words "**including**", "**other**", "**in particular**", "**for example**" and similar words will not limit the generality of the preceding words and will be construed as if they were immediately followed by the words "**without limitation**";
- 2.2.6. references to "**writing**" include typing, printing, lithography, photography, display on a screen, electronic and facsimile transmission and other modes of representing or reproducing words in a visible form, and expressions referring to writing will be construed accordingly;
- 2.2.7. references to "**representations**" will be construed as references to present facts, to "**warranties**" as references to present and future facts and to "**undertakings**" as references to obligations under this Agreement;
- 2.2.8. references to "**Clauses**" and "**Annexes**" are, unless otherwise provided, references to the clauses and annexes of this Agreement and references in any Annex to parts, paragraphs and tables are, unless otherwise provided, references to the parts, paragraphs and tables of the Annex in which these references appear; and
- 2.2.9. the headings in this Agreement are for ease of reference only and will not affect the interpretation or construction of this Agreement.

### **3. PURPOSE AND SCOPE OF GRANT**

- 3.1. The Authority will provide funding of up to \_\_\_\_\_ to the Grant Recipient towards Global Research on Antimicrobial Resistance (GRAM) Project, which aims to assemble and analyse the most comprehensive set of longitudinal data to strengthen the evidence base on the current and past global burden of AMR, and investigate how, where and why it is changing. This project will provide the essential health intelligence to help drive awareness of AMR, support better surveillance of AMR, and prompt policy action to control AMR, including facilitating antimicrobial stewardship.
- 3.2. This second phase will build on the foundation of the first phase of the project (2017-2022) and strengthen our links with partners; to standardise the measurement and deepen our understanding of the burden caused by drug resistant infections, its geographic distribution, and clinical impact; amplify the impact of the results, increase sustainable creation of them; and lastly to integrate this work into the over-arching GBD enterprise. .
- 3.3. The Parties acknowledge and agree that nothing in this Agreement or the provision of the Grant gives or is intended to give rise to contractual relations.
- 3.4. The Grant Recipient shall use the Grant solely for the delivery of the Funded Activities and must not, without the prior written consent of the Authority, make any material changes to the Funded Activities.
- 3.5. The Authority may at its entire discretion vary the Grant as a result of changes to the Funded Activities or for any other reason. Any variation made under this clause 3.4 will not take effect until notified by the Authority to the Grant Recipient in writing
- 3.6. The Grant must not be used to support activity which influences or attempts to influence Parliament, Government or political parties, to propagate a religion or belief, or to influence the awarding or renewal of contracts or grants, or to influence legislative or regulatory action.

- 3.7. The Grant must be used to promote the agreed project objectives with Official Development Assistance (ODA) eligible countries as outlined in the Organisation for Economic Co-operation and Development (OECD) Development Co-Operation Directorate list, in accordance with clause 28
- 3.8. The Authority makes no commitment to renewing or continuing funding after the term of this Agreement and will not be liable for any additional cost incurred by the Grant Recipient either during or after the Funding Period.
- 3.9. Where the Grant Recipient intends to apply to a third party for additional funding for the Funded Activity, the Grant Recipient will notify the Authority in advance of its intention to do so and, where such funding is obtained, it will provide the Authority with details of the amount and purpose of that funding.
- 3.10. Where, before or during the Funding Period, the Grant Recipient receives any funding from any other source or person towards the Funded Activities that was not already committed to the Grant Recipient and disclosed to the Authority, the Authority may, where that funding duplicates funding of the Grant, require repayment of the Grant (up to the amount of duplicate funding received) in accordance with clause 22
- 3.11. The Grant Recipient agrees and accepts that it will not apply for duplicate funding in respect of any part of the Grant for the Funded Activities or any related administration costs that the Authority has provided under this Agreement and that it may be prosecuted for fraud should it dishonestly and intentionally make such an application to the Authority.
- 3.12. Unless terminated in accordance with clause 33, the terms of this Agreement shall apply from the Commencement Date until the end of the Funding Period or for so long as any Grant remains unspent by the Grant Recipient, whichever is longer.
- 3.13. The Grant Recipient and any person, organisation, company or other third-party representative engaged as part of the Funded Activities will at all times comply with all applicable legislation, regulations and rules in the country/ies they are registered and operating in.
- 3.14. The Grant Recipient will notify the Authority of any change to its constitution, legal form, membership structure (if applicable) or ownership, and of any complaint or investigation by any regulatory body or the police into its activities or those of its staff or officers or volunteers.

#### **4. PAYMENT OF GRANT**

- 4.1. The funding amount approved is as per the Sterling (GBP) value, as at the date of signature of this Agreement. The Authority's preferred currency for disbursements is in GBP. Where it is more efficient to pay in foreign currency, the Authority may do so, however, the funding amount will still be that approved in GBP as at the date of signature of this Agreement. Budgets must be submitted in GBP with the stated exchange rate specified (including the date and the source of rate used).
- 4.2. The Grant Recipient is responsible for monitoring and managing any exchange rate fluctuations across the life of the project. Where significant exchange rate gains or losses are being accumulated the Parties will jointly decide how these are managed.

- 4.3. Where costs are incurred in foreign currency the Grant Recipient will use the exchange rate stated in OANDA ([www.oanda.com](http://www.oanda.com)) for the date on which the purchase was made or services acquired by the Grant Recipient, unless, by exception, explicitly approved in writing in advance.
- 4.4. Subject to clause 4.5, 4.14 and 4.17., the Authority shall pay the Grant to the Grant Recipient in accordance with Annex 3 (Payment and Reporting Schedule).
- 4.5. The Grant will be paid only in respect of Eligible Expenditure incurred by the Grant Recipient to deliver the Funded Activities and represents the Maximum Sum the Authority will pay to the Grant Recipient under this Agreement with the actual amount paid to the Grant Recipient in accordance with Annex 3 (Payment and Reporting Schedule).
- 4.6. The amount of the Grant shall not be increased in the event of any overspend by the Grant Recipient in its delivery of the Funded Activities.
- 4.7. The Grant Recipients shall submit electronically using the form provided in Annex 5 (Grant Claim Form) a valid grant claim by the 10<sup>th</sup> Working Day of the month following the end of the Instalment Period for which the Grant claim is made. The Grant claim shall be submitted together with a copy of Annex 4 (Eligible Expenditure) and any other documentation as prescribed by the Authority.
- 4.8. Payments will be made in arrears of expenditure, provided the Funded Activities have been delivered during the Funding Period.
- 4.9. DHSC will provide funds directly to the Partner in arrears of expenditure and therefore no interest will be earned on DHSC contributions. DHSC is providing this funding without expectation of services to be supplied to DHSC and therefore considers payments made to the Partner in pursuit of the Programme to be outside the scope of VAT.
- 4.10. Pursuant to the timing set out in clause 4.7, the timing and scheduling of payments may be amended by the Partners dependent on actual expenditure and need. The Partners will jointly decide any changes to the payment schedule.
- 4.11. Time for payment of the Grant claim will not be of the essence. The Authority will have no liability to the Grant Recipient for any Losses caused by a delay in the payment of a Grant claim howsoever arising.
- 4.12. The Authority reserves the right not to pay any Grant claims which are not submitted within the period set out in clause 7. Incomplete and/or incorrect Grant claims, which include Grant claims without the full supporting documentation, will be returned unpaid.
- 4.13. The Grant Recipient shall notify the Authority promptly if at any time it becomes aware that it is unable to make a Grant claim in accordance with clause 4.7.
- 4.14. The Grant Recipient shall promptly notify and repay to the Authority any money incorrectly paid to it either as a result of an administrative error or otherwise. This includes (without limitation) situations where either an incorrect sum of money has been paid or where the

Grant has been paid in error before the Grant Recipient has complied with all conditions attaching to the Grant.

- 4.15. Where the Grant Recipient enters into a contract with a third party in connection with the Funded Activities the Grant Recipient will remain responsible for settling payment in respect of those invoices. Third party invoices must not be submitted to the Authority for payment.
- 4.16. Onward payment of the Grant and the use of sub-contractors (subject to the Authority's prior written approval), shall not relieve the Grant Recipient of any of its obligations under this Agreement, including any obligation to repay the Grant.
- 4.17. The Authority will not make the first payment of the Grant and/or any subsequent payment of the Grant unless, or until the Authority is satisfied that:
  - 4.17.1. such Grant payment will be used for Eligible Expenditure; and
  - 4.17.2. any previous Grant payments have been used for the Funded Activities or, where there are Unspent Monies, have been repaid to the Authority in accordance with clause 22.2

## **5. FINANCIAL MANAGEMENT**

- 5.1. The Grant Recipient must have a sound administration and audit process, including internal financial controls to safeguard against fraud, theft or any other impropriety or mismanagement in connection with the administration of the Grant, and will require that the internal/external auditors report on the adequacy or otherwise of that system. All cases of fraud, theft, impropriety or mismanagement (whether proven or suspected) relating to the Funded Activities must be notified to the Authority as soon as they are identified. The Authority may then request their referral (which the Grant Recipient is obliged to carry out)
- 5.2. The Grant Recipient must be able to demonstrate that the systems of financial and manpower control, management and organisation will enable the Grant Recipient to meet the Funded Activities and objectives of this Agreement.
- 5.3. The Grant Recipient must comply with the recommendations of the Public Accounts Committee and any other expenditure controls specified by Government.
- 5.4. The Grant Recipient will not transfer, assign, novate or otherwise dispose of the whole or any part of the Grant or this Agreement or any rights under it, to another organisation or individual, unless the Grant Recipient has first entered into an agreement, authorised by the Authority, requiring the Grant Recipient to work with another organisation in delivering the Funded Activities.
- 5.5. The Grant Recipient shall provide detailed project financial reports 6-monthly that set out actual expenditure of the previous Funding Instalment against the approved Funded Activities budget and 6-monthly forecast expenditure for the Authority's financial year (1 April – 31 March) in relation to the Funded Activities.

## **6. ACCOUNTS AND RECORDS**

- 6.1. The Grant Recipient agrees that the Authority shall be entitled to audit the delivery and performance of the Funded Activity and/or request access to, or a report from, the Grant

Recipient's auditors on its audited accounts. Any such reports must be capable of being relied upon by the Authority, either by having the Authority as an express addressee, or by express statements of the fact therein. The Authority shall also be entitled to full access to the Grant Recipient's records on an open-book basis during the Funding Period or such other period as the Authority may require.

- 6.2. The Grant Recipient will comply with (and facilitate the Authority's compliance with) all statutory requirements as regards accounts, audit or examination of accounts, annual reports and annual returns applicable to itself and the Authority.
- 6.3. The Grant Recipient will permit (and comply with) any surveys of management controls and systems, including internal audit reviews, as may be required by the Authority.
- 6.4. The Grant Recipient must present Annex 3 (Payment and Reporting Schedule) and Annex 4 (Eligible Expenditure) to their external auditors/accountants for certification. The external auditors/accountants' report should state whether, in their opinion, the grant paid to the Grant Recipient, was applied in accordance with the Agreement.
- 6.5. The Grant Recipient's chief executive (or equivalent) should ensure that the systems governing the Grant are subject to independent review.
- 6.6. The systems in place to govern the Grant should be appropriate to the size of Grant Recipient organisation, the level of Grant, risk to the public funds provided and cost of the review. These arrangements may be reviewed by the Authority in line with HM Treasury's Public Sector Internal Audit Standards.
- 6.7. The Grant Recipient (and any person acting on behalf of the same) will at the request of the Authority permit (a) the Comptroller and Auditor General or appointed representatives; and (b) the Authority or its Representatives access at all reasonable times to all documents (including computerised documents and data) and other information as are connected to the Grant payable under this Agreement for the purpose of the Funded Activities.
- 6.8. The documents, data and information referred to in clause 6.7 are such which any internal auditors, external auditors, the Authority or the Comptroller and Auditor General or any department or other public body may reasonably require for the purposes of audit or for carrying out examinations into the economy, efficiency and effectiveness with which the Grant Recipient has used the Grant. In particular, the Grant Recipient will retain such information as would be necessary to provide assurance that the Grant Recipient delivered the minimum requirements of the Funded Activities.
- 6.9. Clauses 6.7 and 6.8 do not constitute a requirement for the examination, certification or inspection of the accounts of the Grant Recipient or its partners by the Comptroller and Auditor General under section 6(3) of the National Audit Act 1983. The Comptroller and Auditor General will seek access in a measured manner to minimise any burden on the Grant Recipient and will avoid duplication of effort by seeking and sharing information with the Audit Commission, Wales Audit Office or Audit Scotland as appropriate.
- 6.10. Where this Agreement is for a term longer than one Financial Year, the Grant Recipient must provide the following details to the Authority before the end of each Financial Year:

- 6.10.1. a schedule of the Funded Activities and estimates of income and expenditure for the next Financial Year, together with forecast outturns for the current year;
  - 6.10.2. a statement setting out the total Grant agreed for the year;
  - 6.10.3. details of any additional funding for delivery of the Funded Activities, other than the Grant, with full details of how it is to be spent;
  - 6.10.4. the level of balances held by the Grant Recipient at the end of the Financial Year.
- 6.11. The Grant Recipient will provide revised forecasts of income and expenditure:
- 6.11.1. when these forecasts increase or decrease by more than 15% of the original expenditure forecasts; and/or
  - 6.11.2. alongside quarterly finance reports; and/or
  - 6.11.3. at the request of the Authority.
- 6.12. The Grant Recipient will keep separate, accurate and up-to-date accounts and records of the receipt and expenditure of the Grant received from the Authority and any income generated from the Funded Activities.
- 6.13. The Grant will be shown in the Grant Recipient's separate account as a restricted fund and will not be included or mixed with the Grant Recipient's general funds or other monies.
- 6.14. The Grant Recipient will keep all original accounting records relating to the Funded Activities, including invoices, receipts, VAT records, accounts and any other relevant documents relating to the expenditure of the Grant for a period of at least six years following receipt of any portion of the Grant to which they relate.
- 6.15. Where the Grant allows for capital spend, the Grant Recipient must keep a register of Fixed Assets, including all land and building acquired or improved with the Grant.
- 6.16. The Grant Recipient will within 5 Working Days of a request by the Authority, unless otherwise agreed by the Authority, provide further information, explanations and documents as the Authority may reasonably require, in order for the Authority to establish that the Grant has been used properly in accordance with this Agreement.
- 6.17. Where the Grant Recipient is a company registered at Companies House, the Grant Recipient must file their annual return and accounts by the dates specified by Companies House.
- 6.18. Where the Grant Recipient is a registered charity, the Grant Recipient must file their charity annual return by the date specified by the Charity Commissioner.
- 6.19. The Grant Recipient must provide the Authority with copies of their annual return, accounts and charity annual return (as applicable) within five days of filing them at Companies House and/or the Charity Commissioner. Without prejudice to the Authority's other rights, if the Grant Recipient fails to comply with clauses 6.17 and/or 6.18 the Authority suspend payment of the Grant at the Authority's discretion.

## **7. MONITORING AND REPORTING**

- 7.1. The Authority is committed to the Paris Declaration on Aid Effectiveness 2005 and the Accra Agenda for Action 2008 and supports alignment and harmonisation while ensuring mutual accountability and results. In line with this commitment the Authority will align with the

reporting requirements already in place between the Grant Recipient and other funders as far as possible.

- 7.2. The Grant Recipient shall closely monitor the delivery and success of the Funded Activity throughout the Funding Period to ensure that the aims and objectives of the Funded Activity are met and that the Terms and Conditions of this Agreement are being adhered to.
- 7.3. The Grant Recipient must provide the Authority with all reasonable assistance and co-operation in relation to any ad-hoc information requests made by the Authority in relation to the Funded Activities. Without prejudice to these obligations, the Grant Recipient must also provide to the Authority within four weeks of the anniversary of this Agreement an annual report on:
  - 7.3.1. the progress made towards achieving the agreed KPIs/outputs and the defined longer term outcomes set out in Annex 6 (Agreed Outputs) and where possible will quantify what has been achieved by reference to the Funded Activities' targets; and
  - 7.3.2. details of any Assets either acquired or improved using the Grant.
- 7.4. Where the Grant Recipient has obtained funding from a third party for its delivery of part of the Funded Activities, the Grant Recipient will include the amount of such funding in its financial reports together with details of what that funding has been used for.
- 7.5. The Grant Recipient will permit any person authorised by the Authority such reasonable access to its employees, agents, premises, facilities and records, for the purpose of discussing, monitoring and evaluating the Grant Recipient's fulfilment of the conditions of this Agreement and will, if so required, provide appropriate oral or written explanations from such employees or agents as required during the Funding Period and for so long as any portion of the Grant remains unspent.
- 7.6. The Grant Recipient will notify the Authority as soon as reasonably practicable of:
  - 7.6.1. any financial, administrative, managerial difficulties that may hinder or prevent the Grant Recipient from fulfilling its obligations under the Agreement;
  - 7.6.2. any actual or potential Material Breach;
  - 7.6.3. actual or potential material variations to the Eligible Expenditure agreed in accordance with the Grant Offer Letter or Annex 4 (Eligible Expenditure); and
  - 7.6.4. any change in the information on costs (whether actual or estimated) of carrying out the Funded Activities or any event which materially affects the continued accuracy of such information.
- 7.7. The Grant Recipient will represent and undertake (and repeat such representations on delivery) that the reports and information it gives pursuant to this clause 7 are accurate and that it has diligently made full and proper enquiry of the matter pertaining to the reports and information given.
- 7.8. The Grant will be reviewed quarterly through quarterly progress reports produced by the Grant Recipient in line with the reporting schedule in Annex 3 (Payment and Reporting Schedule). This report will take into account the Grant Recipient's delivery (during the Funding Period) of the Funded Activities against the KPIs and/or agreed outputs set out in Annex 6 (Agreed Outputs). As part of the quarterly review, the Authority will have regard to the reports produced by the Grant Recipient in accordance with clause 6.1.



- 7.9. As part of the regular reporting requirements outlined above, the Grant Recipient will provide a proportionate and meaningful assessment of how the specific needs of girls, women, boys and men are considered, and reflect to what extent women and girls have been included in design, implementation and monitoring. The Grant Recipient should also assess how DHSCs contribution is contributing to reducing gender inequality including a specific assessment on progress against any gender related commitments made as part of this Agreement and demonstrate consideration of potential unintended negative consequences, such as gender-based violence.
- 7.10. The Grant Recipient will seek to ensure that beneficiary feedback is integrated in project design, mobilisation, delivery, monitoring, evaluation and annual review processes and takes account of the voices of both women and men. The Grant Recipient should work with, through and represent the diversity of communities in order to respond to their needs more effectively and strengthen accountability.
- 7.11. The Grant Recipient will conduct or contribute to a evaluation of the activities financed from this Agreement that will focus on the results achieved, efficiency, effectiveness of implementation and quality of administration, unless otherwise agreed by DHSC. This will be provided to DHSC throughout the implementation period and be conducted in conjunction with the Independent Evaluator appointed by the Fleming Fund.

## **8. ANNUAL GRANT REVIEW**

- 8.1. The Grant will be reviewed annually and will take into account the Grant Recipient's delivery (during the Funding Period) of the Funded Activities against the KPIs and/or agreed outputs set out in Annex 5 (Agreed Outputs). As part of the annual review the Authority will have regard to the reports produced by the Grant Recipient in accordance with clause 6.1.
- 8.2. Each annual review may result in the Authority making a recommendation that:
- 8.2.1. the Funded Activities and Agreement continue in line with existing plans;
  - 8.2.2. there should be an increase or decrease in the Grant for the subsequent financial year;
  - 8.2.3. the KPIs should be re-defined and agreed;
  - 8.2.4. the Authority should recover unspent or surplus Grant;
  - 8.2.5. the Agreement should be terminated.
- 8.3. The Grant Recipient may make representations to the Authority regarding any recommendations made in accordance with clause 8.2. The Authority is not however obliged to take such representations into account when making its recommendation and any recommendation will be final and at the Authority's absolute discretion.
- 8.4. The Grant Recipient is required to provide the following after the Authority's financial year has ended (31 March) for any year (1 April - 31 March) in which they receive grant funding:
- 8.4.1. an unaudited / not independently examined statement of income and expenditure by 30th April;
  - 8.4.2. a signed declaration from the grant recipient Finance Director or equivalent that all expenditure was eligible in line with Annex 4 by 30th April; and

- 8.4.3. a grant report for which sets out activity achieved against the projects' aims in line with the agreed reporting schedule outlined in Annex 3 (Payment and Reporting Schedule).

## **9. DUE DILIGENCE**

- 9.1. In utilising the resources, the Grant Recipient will exercise the same care in the discharge of its functions under this Agreement as it exercises with respect to the administration and management of its own resources and affairs. The Grant Recipient will co-operate fully with any due diligence assessment by the Authority or its agents, of the Grant Recipient's own internal controls and system prior to or during the implementation of this Agreement and take appropriate action on any recommendations arising. Due diligence assessments may be conducted every 3 years or earlier if there is a significant change to the Grant Recipient's procedures and controls or operating environment. A range of tools may be used to conduct the assessment and continuation of this Agreement will be dependent on the Authority being satisfied that the Grant Recipient has sufficient capacity and capability to deliver the Programme and manage Authority funds.
- 9.2. The Grant Recipient will undertake suitable due diligence and take the necessary steps prior to transferring Authority funds and at regular intervals throughout the implementation to assess the internal controls and systems of any Downstream Partners. These assessments will be shared with the Authority, upon request and should determine, relative to project risk:
- the reliability, integrity and efficiency of the Downstream Partners' controls, systems and processes including compliance with applicable legislation, regulations, rules, policies and procedures;
  - whether the Downstream Partner can successfully deliver the relevant outputs based on its processes, past experience and whether they have the sufficient staff capacity and capability available;
  - the Downstream Partner's ability to correctly manage and account for aid monies and assets as well as its financial health; and
  - where appropriate, whether the Downstream Partner has sufficient capacity and capability to properly monitor and control its implementing partners.

## **10. DELIVERY CHAIN AND RISK MAPPING**

- 10.1. Within 60 days of the Commencement Date the Grant Recipient shall produce and then for the remainder of the Funding Period maintain an up to date and accurate Delivery Chain Map and shall provide the Authority with the Delivery Chain Map in line with the reporting schedule in Annex 3 (Payment and Reporting Schedule), and within 5 Working Days of a request.

## **11. EXIT PLAN**

- 11.1. The Grant Recipient will prepare an Exit Plan within the first three months of the signing of the Grant Offer Letter or within a timescale proportionate to the Funding Period, whichever is shorter, to allow the cessation or seamless transfer of the Funded Activities.
- 11.2. As part of the Exit Plan, the Authority will jointly agree a plan for communicating with all partners and employees during the exit period, in a way that avoids any detrimental impact

on the respective parties' businesses resulting from the closure or transfer of the Grant, and shares responsibilities between the respective parties.

## **12. PROCUREMENT LAW, SUBSIDY CONTROL AND VALUE FOR MONEY**

- 12.1. The Grant Recipient will ensure that any of its Representatives involved in the Funded Activities will, adopt such policies and procedures that are required in order to ensure that value for money has been obtained in the procurement of goods or services funded by the Grant.
- 12.2. Where the Grant Recipient is a Contracting Authority within the meaning of the Procurement Regulations the Grant Recipient will comply, as necessary, with the Procurement Regulations when procuring goods and services in connection with the Grant Funding Agreement and the Authority shall not be liable for the Grant Recipient's failure to comply with its obligations under the Procurement Regulations.
- 12.3. The Grant Recipient will ensure that delivery of the Funded Activities does not put the Authority in breach of the UK's international obligations in respect of subsidies.
- 12.4. The Grant Recipient will maintain appropriate records of compliance with the relevant subsidy control regime and will take all reasonable steps to assist the Authority to comply with the same and respond to any proceedings or investigation(s) into the Funded Activities by any relevant court or tribunal of relevant jurisdiction or regulatory body.
- 12.5. The Grant Recipient acknowledges and represents that the Grant is being awarded on the basis that the Funded Activities being undertaken using the Grant do not affect trade in goods and wholesale electricity between Northern Ireland and the European Union and shall ensure that the Grant is not used in way that affects any such trade.

## **13. ASSETS AND INVENTORY**

- 13.1. Assets purchased with Grant funding must only be used for delivery of the Funded Activities.
- 13.2. The Grant Recipient will ensure that a physical check of all Fixed and Programme Funded Assets takes place on at least an annual basis, establish and maintain an inventory of all Programme Funded Assets and provide it the Authority in line with Annex 3 (Payment and Reporting Schedule), and within 5 Working Days of being requested to do so. Where possible the Grant Recipient should undertake these checks directly.
- 13.3. For each entry in the inventory the following particulars must be shown where appropriate:
  - 13.3.1. date of acquisition;
  - 13.3.2. description of the Asset;
  - 13.3.3. cost, net of recoverable VAT
  - 13.3.4. location of the Asset;
  - 13.3.5. serial or identification numbers;

- 13.3.6. location of the title deeds;
  - 13.3.7. date of any Disposal;
  - 13.3.8. depreciation/amortisation policy applied;
  - 13.3.9. proceeds of any Disposal net of VAT; and
  - 13.3.10. the identity of any person to whom the Asset has been transferred or sold.
- 13.4. The Authority reserves the right to require the Grant Recipient to maintain the above particulars as set out in 13.3.1-13.3.10 for any additional items which the Authority considers material to the overall Grant.
- 13.5. The Grant Recipient will be accountable for the appropriate use and control of inventory items, in line with this Agreement.
- 13.6. The Grant Recipient will manage the risk of assets being lost, stolen, damaged or destroyed under its own policies and procedures. The Authority generally expects the Grant Recipient to cover the cost of repairing or replacing lost, stolen, damaged or destroyed assets and should make a risk-based decision on how best to do this. If the Grant Recipient decides to take out project specific commercial insurance to cover lost, stolen, damaged or destroyed assets, Authority funds cannot be used to fund the premiums unless, by exception, explicitly approved in writing in advance.
- 14. DISPOSAL OF ASSETS, CHANGE OF USE AND ASSIGNMENT**
- 14.1. Where the Grant Recipient uses any of the Grant to purchase any Fixed and/or Programme Funded Assets, the Grant Recipient must ensure that they are maintained in good condition over the Funding Period.
- 14.2. Fixed and/or Programme Funded Assets purchased or improved using the Grant shall be owned by the Authority until ownership is transferred disposed or is otherwise agreed in writing by the Authority. The Authority reserves the right to determine the outcome of any Fixed and/or Programme Funded Asset created as a result of the Funded Activities or purchased with the Grant.
- 14.3. The Grant Recipient should propose an appropriate disposal schedule to the Authority in writing no later than 3 months before the end of the Funding Period.
- 14.4. The Grant Recipient must not dispose of any Fixed and/or Programme Funded Assets that have been totally or partly bought, restored, conserved (maintained or protected from damage) or improved with the Grant without the prior written consent of the Authority. If the Authority grants consent to the Disposal, such consent may be subject to satisfaction of certain conditions, to be determined by the Authority.
- 14.5. If the Grant Recipient disposes of any Fixed and/or Programme Funded Asset without the prior written consent of the Authority, the Grant Recipient must use all reasonable endeavours to achieve the market price for the Assets and must pay to the Authority a proportion of the

proceeds of such sale, equivalent to the proportion of the purchase or development costs of the Assets that was funded by the Grant, provided that the Authority may at its discretion allow the Grant Recipient to keep all or a part of the relevant proceeds where:

- 14.5.1. the sale of the Assets takes place after the end of the Funding Period;
  - 14.5.2. the proceeds of sale are to be applied directly to the purchase by the Grant Recipient of assets that are equivalent to or replacements for the Assets; or
  - 14.5.3. the Authority is otherwise satisfied that the Recipient will apply those proceeds for purposes related to the Funded Activities.
- 14.6. The Grant Recipient shall hold the proceeds from the Disposal of any Fixed and/or Programme Funded Asset on trust for the Authority.
- 14.7. The Grant Recipient must report to the Authority lost or stolen Fixed and/or Programme Funded Assets, regardless of the value.

## **15. GRANT RECIPIENT PERSONNEL**

- 15.1. The Grant Recipient will seek the Authority's prior written approval before creating or replacing staff in posts where they are responsible for delivery of the Funded Activity. The Grant Recipient will appoint replacement staff with appropriate qualifications and experience.

## **16. INSURANCE and LIMITATION OF LIABILITY**

- 16.1. The Grant Recipient will during the term of the Agreement and for 6 years after termination or expiry of this Agreement, ensure that it has and maintains, at all times adequate insurance with an insurer of good repute to cover claims under this Agreement or any other claims or demands which may be brought or made against it by any person suffering any injury damage or loss in connection with this Agreement.
- 16.2. The Grant Recipient will upon request produce to the Authority its policy or policies of insurance or where this is not possible, a certificate of insurance issued by the Grant Recipient's insurance brokers confirming the insurances are in full force and effect together with confirmation that the relevant premiums have been paid.
- 16.3. Where the Grant Recipient receives more than 25 per cent of the Grant Recipient's total income from public funds, the Grant Recipient will notify the Authority. The Authority will review the nature of the control of Grant Recipient's organisation to determine any resulting requirement for reclassification which may in turn change the insurance requirements under the Agreement.
- 16.4. The Authority accepts no liability for any consequences, whether direct or indirect, that may come about from the Grant Recipient running the Funded Activities, the use of the Grant or from withdrawal of the Grant. The Grant Recipient shall indemnify and hold harmless the Authority, its employees, agents, officers or sub-contractors with respect to all Losses arising from or incurred by reason of the actions and/or omissions of the Grant Recipient in relation to the Funded Activities, the non-fulfilment of obligations of the Grant Recipient under this Agreement or its obligations to third parties.

- 16.5. Subject to clause 16.416.4, the Authority's liability under this Agreement is limited to the amount of the Grant.
- 16.6. The Grant Recipient is responsible for all security arrangements in relation to this Agreement including the health, safety and security of any person employed or otherwise engaged as part of this Agreement, including those employed or engaged by any downstream partners
- 16.7. Authority funds cannot be used to fund any project specific insurance premiums intended to cover medical expenses, injury or disablement, and death unless, by exception, explicitly approved by the Authority in writing in advance.

## **17. CONFLICTS OF INTEREST AND FINANCIAL OR OTHER IRREGULARITIES**

- 17.1. The Grant Recipient must have and will keep in place formal procedures that require the Grant Recipient and its Representatives to declare any personal or financial interest in any matter concerning the Funded Activities and if a conflict of interest is identified the individual is to be excluded from any discussion or decision-making relating to the matter concerned.
- 17.2. The Grant Recipient must inform the Authority immediately if there are any grounds for suspecting Financial Irregularity or Aid Diversion in the use of the Grant, explain what steps are being taken to investigate the Financial Irregularity or Aid Diversion and keep the Authority informed about the progress of the investigation.
- 17.3. Each Party will immediately and without undue delay inform the other Party of any event which interferes or threatens to materially interfere with the successful implementation of the projects, programmes and activities, including credible suspicion of and actual instances of Financial Irregularity or Aid Diversion.
- 17.4. The Parties have a zero tolerance approach towards Financial Irregularity or Aid Diversion that may lead to the misuse of funds and agree in principle to recover such funds. The Grant Recipient will take timely and appropriate action to investigate credible allegations of Financial Irregularity or Aid Diversion, immediately inform the Authority of the steps being taken to investigate the suspicion, and keep the Authority informed about the progress of the investigation. Each Party will fully co-operate with investigations into such events, whether led by the Grant Recipient or the Authority.
- 17.5. Allegations of Financial Irregularity or Aid Diversion should be reported in the first instance to the Authority's Anti-Fraud Unit
- 17.6. In the event of any credible indications that UK funds may have been subject to fraud, Financial Irregularity or Aid Diversion, the Parties, may, at any time during the period of this Agreement and up to five years after the end of the Programme, arrange for additional investigations, on-the spot checks and/or inspections to be carried out. These may be carried out by the Parties, or any of its duly authorised representatives.
- 17.7. Where information is requested by the Authority as part of an investigation into fraud, Financial Irregularity or Aid Diversion the Grant Recipient cannot request any remuneration or benefits for any labour associated with fulfilling that request unless agreed in writing between the Parties.

- 17.8. The Parties reserve the ability to recover funds that have been subject to proven fraud and will work together to do so. Where Financial Irregularity is alleged, the Authority reserves the ability to suspend or terminate funding with immediate effect, in preference to the standard notice period and irrespective of any contractual requirements, and to seek civil or criminal sanctions where appropriate.

**18. PREVENTION OF BRIBERY**

**18.1. The Grant Recipient:**

- 18.1.1. shall not, and shall procure that its staff, agents, consultants and sub-contractors shall not, in connection with this Agreement, commit a Prohibited Act;
- 18.1.2. shall not engage in any activity, practice or conduct which would constitute an offence under sections 1, 2 or 6 of the Bribery Act 2010 if such activity, practice or conduct has been carried out in the UK;
- 18.1.3. shall comply with the Authority's anti-bribery policies, as updated from time to time and notified to the Grant Recipient;
- 18.1.4. shall have and shall maintain throughout the term of this Agreement its own policies and procedures, including adequate procedures under the Bribery Act 2010, to ensure compliance with clauses 18.1.1, 18.1.2 and 18.1.3;
- 18.1.5. shall promptly report to the Authority any request or demand for any undue financial or other advantage of any kind received by the Grant Recipient in connection with the Funded Activity;
- 18.1.6. shall immediately notify the Authority in writing if a foreign public official becomes an officer or employee of the Grant Recipient or acquires a direct or indirect interest in the Grant Recipient, and the Grant Recipient warrants that it has no foreign public officials as officers, employees or direct or indirect owners at the date of this Agreement;
- 18.1.7. shall, if requested, provide the Authority with any reasonable assistance, at the Authority's reasonable cost, to enable the Authority to perform any activity required by any relevant government or agency in any relevant jurisdiction for the purpose of compliance with the Bribery Act;
- 18.1.8. within one (1) month of the Commencement Date, and annually thereafter, certify to the Authority in writing (such certification to be signed by an officer of the Grant Recipient) compliance with this clause 18 by the Grant Recipient and all persons associated with it or other persons who are supplying goods or services in connection with this Agreement. The Grant Recipient shall provide such supporting evidence of compliance as the Authority may reasonably request.

- 18.2. For the purpose of this clause 18, the meaning of adequate procedures and foreign public official and whether a person is associated with another person shall be determined in accordance with section 7(2) of the Bribery Act 2010 (and any guidance issued under section 9 of that Act), sections 6(5) and 6(6) of that Act and section 8 of that Act respectively. For the

purpose of this clause 18, a person associated with the Grant Recipient includes any agent, delegate or subcontractor of the Agent.

## 19. TERRORISM

- 19.1. Consistent with numerous United Nations Security Council resolutions including S/RES/1269 (1999), S/RES/1368 (2001) and S/RES/1373 (2001), both the Authority and the Grant Recipient are firmly committed to the international fight against terrorism, and in particular, against the financing of terrorism. It is the policy of the Parties to seek to ensure that none of its funds are used, directly or indirectly, to provide support to individuals or entities associated with terrorism. In accordance with this policy, the Grant Recipient undertakes to use best efforts to ensure that none of the Grant provided under this Agreement are used to provide support to individuals or entities associated with terrorism.
- 19.2. The Grant Recipient will seek to ensure that none of the funds or assets provided under this Arrangement are made available or used to provide support to individuals, groups or entities associated with terrorism including those named on the following lists as updated from time to time:
- **HM Treasury's Office of Financial Sanctions Implementation** – [Financial sanctions: consolidated list of targets](#)
  - **UK Home Office** – [Proscribed terrorist groups or organisations](#)
  - **European Union** – [Consolidated list of sanctions](#)
  - **United Nations** – [United Nations Security Council Sanctions List](#)
  - **World Bank** – [World Bank Listing of Ineligible Firms & Individuals](#)

## 20. SAFEGUARDING FOR THE PREVENTION OF SEXUAL EXPLOITATION, ABUSE AND HARASSMENT

- 20.1. The Partner will take all reasonable steps to prevent the sexual exploitation, abuse and harassment of any person linked to the delivery of this Agreement by both its employees and any Downstream Partner.
- 20.2. The Participants have a zero tolerance approach towards sexual exploitation, abuse and harassment. The Partner will immediately contact the Authority to report any credible suspicions of, or actual incidents of sexual exploitation, abuse or harassment related to this Agreement. The Partner should assess credibility based on the source of the allegation, the content, and the level of detail or evidence provided. All sexual activity with children (persons under the age of 18) is prohibited, regardless of the age of majority, or age of consent locally.
- 20.3. The Partner should also report any credible suspicions of, or actual incidents that are not directly related to this Agreement but would be of significant impact to their partnership with DHSC or the reputation of DHSC or UK aid. For example, events that affect the governance or culture of the Partner, such as those related to senior management, must be reported.
- 20.4. Both Participants will fully co-operate with investigations into such events, whether led by DHSC or any of its duly authorised representatives or agents, or the Partner.



**21. SPENDING CONTROLS – MARKETING, ADVERTISING, COMMUNICATIONS AND CONSULTANCY**

- 21.1. As part of the government's efficiency and reform programme, public funding for marketing, advertising, communications and consultancy is closely controlled. The Grant Recipient must seek permission from the Authority prior to any proposed expenditure in these areas, either in connection with, or using the Grant, under this Agreement. A complete list of the controlled activities can be found at <https://www.gov.uk/government/publications/cabinet-office-controls>.
- 21.2. The Grant Recipient should provide evidence that any marketing, advertising, communications and consultancy expenditure carried out in connection with, or using the Grant will deliver measurable outcomes that meet government objectives and can secure value for money.

**22. WITHHOLDING, SUSPENDING OR REPAYMENT OF GRANT**

- 22.1. Without prejudice to the Authority's other rights and remedies, the Authority may withhold or suspend payment of the Grant and/or require the Grant Recipient to repay any Unspent Monies if any of the events set out in clause 33 arise.
- 22.2. The Grant Recipient agrees and accepts that it may become ineligible for grant support and be required to repay any Grant if it engages in tax evasion or aggressive tax avoidance, in the opinion of HMRC.
- 22.3. The Grant Recipient may not retain any portion of the Grant that has not been used by the end of the Financial Year in the Funding Period without the Authority's written permission.
- 22.4. Unspent Monies, as calculated by the Authority, must be repaid to the Authority within 20 Working Days of a request for repayment and must not be carried forward for use in the following Financial Year.
- 22.5. Wherever under this Agreement any sum of money is recoverable from or payable by the Grant Recipient (including any sum that the Grant Recipient is liable to pay to the Authority in respect of a Breach of this Agreement), the Authority may unilaterally deduct that sum from any sum then due, or which at any later time may become due to the Grant Recipient under this Agreement or under any other agreement or contract with the Authority.

**23. LOSSES, GIFTS AND SPECIAL PAYMENTS**

- 23.1. In connection with this Agreement, the Grant Recipient must obtain prior written consent from the Authority before:
- 23.1.1. writing off any debts or liabilities;
  - 23.1.2. offering to make any special payments; and
  - 23.1.3. giving any gifts.
- 23.2. The Grant Recipient will keep a record of all gifts, both given and received, in connection with the Grant or any Funded Activity.

## 24. BORROWING

24.1. The Grant Recipient must obtain prior written consent from the Authority before:

- 24.1.1. borrowing or lending money from any source;
- 24.1.2. charging or agreeing any security over any Asset; and/or
- 24.1.3. giving any guarantee, indemnities or letters of comfort,

that relate to any of the conditions of the Agreement, or have any impact on the Grant Recipient's ability to deliver the Funded Activities set out in the Agreement.

## 25. ACKNOWLEDGEMENT AND PUBLIC STATEMENTS

25.1. The Grant Recipient will acknowledge the Grant in its annual report and accounts; including an acknowledgement of the Authority as the source of the Grant and will show the Grant Recipient's related expenditure as a restricted fund under the Funded Activities in the Grant Recipient's annual accounts.

25.2. The Grant Recipient will not publish any official documents referring to the Funded Activities or the Authority without the prior written agreement of the Authority, except for those referred to in clause 29.5.

25.3. The Grant Recipient will acknowledge the support of the Authority in any materials that refer to the Fund Activities and in any written or spoken public presentations about the Funded Activities. Such acknowledgements will include a name and logo agreed by the Authority, using the templates provided by the Authority.

25.4. Subject to clause 25.2 any publicity material for the Funded Activities must refer to the programme under which the Grant was awarded, the Authority and UK aid.

25.5. In using the Authority's and the programme's name and logo, the Grant Recipient will comply with all reasonable branding guidelines issued by the Authority from time to time. If a third party wishes to use the Authority's or the programme's logo, the Grant Recipient must first seek permissions from the Authority.

25.6. The Grant Recipient will comply with all reasonable requests from the Authority to facilitate visits, provide reports, statistics, photographs and case studies that will assist the Authority in its promotional and fundraising activities relating to the Funded Activities.

## 26. CONFIDENTIALITY

26.1. For the purposes of this clause 26, the term "**Disclosing Party**" shall mean a Party which discloses or makes available directly or indirectly its Confidential Information and "**Recipient**" shall mean the Party which receives or obtains directly or indirectly Confidential Information.

26.2. Except to the extent set out in this clause 26 or where disclosure is expressly permitted elsewhere in this Agreement, the Recipient shall:

- 26.2.1. treat the Disclosing Party's Confidential Information as confidential and keep it in secure custody (which is appropriate depending upon the form in which such

- materials are stored and the nature of the Confidential Information contained in those materials); and
- 26.2.2. not disclose the Disclosing Party's Confidential Information to any other person except as expressly set out in this Agreement or without obtaining the owner's prior written consent;
  - 26.2.3. not use or exploit the Disclosing Party's Confidential Information in any way except for the purposes anticipated under this Agreement; and
  - 26.2.4. immediately notify the Disclosing Party if it suspects or becomes aware of any unauthorised access, copying, use or disclosure in any form of any of the Disclosing Party's Confidential Information.
- 26.3. The Recipient shall be entitled to disclose the Confidential Information of the Disclosing Party where:
- 26.3.1. the Recipient is required to disclose the Confidential Information by any Law, provided that clause 27 shall apply to disclosures required under the Information Acts;
  - 26.3.2. the need for such disclosure arises out of or in connection with:
    - a) any legal challenge or potential legal challenge against the Authority arising out of or in connection with this Agreement;
    - b) the examination and certification of the Authority's accounts (provided that the disclosure is made on a confidential basis) or for any examination pursuant to Section 6(1) of the National Audit Act 1983 of the economy, efficiency and effectiveness with which the Authority is making use of any of the Funded Activities provided under this Agreement; or
    - c) the conduct of a Central Government Body review in respect of this Agreement; or
  - 26.3.3. the Recipient has reasonable grounds to believe that the Disclosing Party is involved in activity that may constitute a criminal offence under the Bribery Act 2010 and the disclosure is being made to the Serious Fraud Office.
- 26.4. If the Recipient is required by any Law to make a disclosure of Confidential Information, the Recipient shall as soon as reasonably practicable and to the extent permitted by Law notify the Disclosing Party of the full circumstances of the required disclosure including the relevant Law and/or regulatory body requiring such disclosure and the Confidential Information to which such disclosure would apply.
- 26.5. Subject to paragraph 26.2, the Grant Recipient may only disclose the Confidential Information of the Authority on a confidential basis to:
- 26.5.1. Grant Recipient staff who are directly involved in the delivery of the Funded Activities and need to know the Confidential Information to enable performance of the Grant Recipient's obligations under this Agreement; and
  - 26.5.2. its professional advisers for the purposes of obtaining advice in relation to this Agreement.
- 26.6. Where the Grant Recipient discloses Confidential Information of the Authority pursuant to clause 26.5, it shall remain responsible at all times for compliance with the confidentiality obligations set out in this Agreement by the persons to whom disclosure has been made.
- 26.7. The Authority may disclose the Confidential Information of the Grant Recipient:

- 26.7.1. to any Central Government Body on the basis that the information may only be further disclosed to Central Government Bodies;
- 26.7.2. to the British Parliament and any committees of the British Parliament or if required by any British Parliamentary reporting requirement;
- 26.7.3. to the extent that the Authority (acting reasonably) deems disclosure necessary or appropriate in the course of carrying out its public functions;
- 26.7.4. on a confidential basis to a professional adviser, consultant, supplier or other person engaged by any of the entities described in clause 26.7.1 for any purpose relating to or connected with this Agreement;
- 26.7.5. on a confidential basis for the purpose of the exercise of its rights under this Agreement; or
- 26.7.6. to a proposed transferee, assignee or novatee of, or successor in title to the Authority,

and for the purposes of the foregoing, references to disclosure on a confidential basis shall mean disclosure subject to a confidentiality agreement or arrangement containing terms no less stringent than those placed on the Authority under clause 27

- 26.8. Nothing in clause **Error! Reference source not found.** shall prevent a Grant Recipient from using any techniques, ideas or know-how gained during the performance of this Agreement in the course of its normal business to the extent that this use does not result in a disclosure of the Disclosing Party's Confidential Information or an infringement of Intellectual Property Rights.
- 26.9. Failure by the Grant Recipient to comply with clauses 26.2 to 26.5 shall constitute a Material Breach.

## **27. FREEDOM OF INFORMATION, DATA PROTECTION AND HUMAN RIGHTS**

- 27.1. The Grant Recipient must observe its obligations under Information Acts and HRA, and under the common law duty of confidentiality and shall comply with all applicable Laws (and shall notify the Authority immediately of any significant departure from such Laws).
- 27.2. The Grant Recipient hereby acknowledges that the Authority is subject to requirements under the Information Acts. Where requested by the Authority, the Grant Recipient will provide reasonable assistance and cooperation to the Authority to assist the Authority's compliance with its information disclosure obligations.
- 27.3. The Grant Recipient and the Authority will comply at all times with its respective obligations under Data Protection Legislation.
- 27.4. On request from the Authority, the Grant Recipient will provide the Authority with all such relevant documents and information relating to the Grant Recipient's data protection policies and procedures as the Authority may reasonably require.
- 27.5. The Grant Recipient acknowledges that the Authority, acting in accordance with the codes of practice issued and revised from time to time under the Information Acts, may disclose information concerning the Grant Recipient and this Agreement without consulting with the Grant Recipient.
- 27.6. The Authority will take reasonable steps to notify the Grant Recipient of a request for information to the extent that it is permissible and reasonably practical for it to do so but (notwithstanding any other provision in this Agreement) the Authority will be responsible for

determining in its absolute discretion whether any information is exempt from disclosure in accordance with the Information Acts.

27.7. To the extent that the Grant Recipient and the Authority share any Personal Data for the purposes of this Grant Funding Agreement, the Parties accept that they are each a separate independent Controller in respect of such Personal Data. Each Party:

27.7.1. (i) shall comply with the applicable Data Protection Legislation in respect of their processing of such Personal Data;

27.7.2. (ii) will be individually and separately responsible for its own compliance; and

27.7.3. (iii) do not and will not Process any Personal Data as Joint Controllers.

27.8. Each Party shall, with respect to its processing of Personal Data as independent Controller, implement and maintain appropriate technical and organisational measures to ensure a level of security appropriate to that risk, including, as appropriate, the measures referred to in Article 32(1)(a), (b), (c) and (d) of the GDPR, and the measures shall, at a minimum, comply with the requirements of the Data Protection Legislation, including Article 32 of the GDPR.

27.9. The Grant Recipient agrees that the Authority, its employees and contractors may use Personal Data which the Grant Recipient provides about its staff, partners and participants involved in the Funded Activities to administer and evaluate the Grants programme, and to exercise the Authority's rights under this Agreement.

The Grant Recipient agrees that the Authority may share details of the Grant, the name of the Grant Recipient's organisation and any personal data obtained from it with the UK Government and that such details may appear on the Government Grants Information System database which is available for search by other funders.

## **28. OFFICIAL DEVELOPMENT ASSISTANCE (ODA)**

28.1. The Grant Recipient acknowledges that it is the Authority's intention that all monies paid to the Grant Recipient will be properly categorised as ODA by the OECD.

28.2. The Grant Recipient shall undertake reasonable endeavours to ensure that all monies paid to the Grant Recipient can properly be categorised as ODA by the OECD.

28.3. The Grant Recipient shall notify the Authority of any concern it has that monies paid to the Grant Recipient cannot or may not be properly categorised as ODA by the OECD as soon as reasonably practical.

28.4. If, as a consequence of breach or negligent performance or non-performance of this agreement, monies provided to the Grant Recipient are not classified as ODA by OECD, the Grant Recipient shall repay to DHSC a sum equal to the amount which the OECD determines is not ODA.

**29. ODA TRANSPARENCY**

- 29.1. The Authority and the Grant Recipient acknowledge that, except for any information which is exempt from disclosure in accordance with the provisions of the Information Acts, the content of this Agreement is not Confidential Information.
- 29.2. The Authority will be responsible for determining whether any of the content of the Agreement is exempt from disclosure in accordance with the provisions of the FOIA. The Grant Recipient agrees that the Authority may make any redactions of this Agreement the Authority considers appropriate when disclosing this Agreement.
- 29.3. Subject to clause 29.1, The Grant Recipient gives consent for this Agreement (and any subsequent amendments) and associated funding information to be published by the Authority to the general public.
- 29.4. The Grant Recipient acknowledges that the Authority supports the requirements of the International Aid Transparency Initiative (IATI) Standard and shall, at the Authority's reasonable request, provide all necessary assistance to enable the Authority to meet the IATI Standard which shall include the provision of all information and data necessary for the transparent, accurate, timely and comprehensive publishing of all data on all activities related to the delivery of development co-operation and humanitarian aid
- 29.5. The Grant Recipient will also publish to the International Aid Transparency Initiative (IATI) standard on all its Authority ODA funding within six months of the start of this Agreement. The Authority expects the Grant Recipient to publish to the IATI standard on all its non-Authority ODA funding and for its Downstream Partners to publish to the IATI standard on their ODA funding. The intention of this commitment is to allow traceability throughout the delivery chain. For more details on IATI standards see: <http://www.aidtransparency.net/>

**30. INTELLECTUAL PROPERTY RIGHTS**

- 30.1. Save as expressly granted elsewhere in this Agreement the Grant Recipient will retain:
- 30.1.1. its Pre-existing IPR; and
- 30.1.2. IPR created by it during the period of the Grant.
- 30.2. The Authority will retain:
- 30.2.1. its Pre-existing IPR; and
- 30.2.2. IPR in all reports, materials and other documents produced in whole or in part using the Grant provided under this Agreement.
- 30.3. Other than as expressly set out in this Agreement, neither Party will have any right to use any of the other Party's names, logos or trade marks on any of its products or services without the other Party's prior written consent.
- 30.4. The Grant Recipient shall where possible and deemed appropriate make all IPR referred to in clause 30.1.2 above publicly available without restriction using an appropriate licence agreed with the Authority (which may be, without limitation, the Open Government Licence or an appropriate Creative Commons Licence).

- 30.5. The Grant Recipient grants to the Authority a non-exclusive, royalty-free, sub-licensable license to use the IPR referred to in clause 30.1.2 above
- 30.6. The Authority may freely share any information, know-how, system or process developed during the period of the grant Funded Activities to support similar projects.
- 30.7. Ownership of third party software or other IPR necessary to deliver Funded Activities will remain with the relevant third party.
- 30.8. The Grant Recipient must ensure that they have obtained the relevant agreement from the third party proprietor before any additions or variations are made to the standard 'off-the-shelf' versions of any third party software and other IPR. The Grant Recipient will obtain and maintain all appropriate licences to use the third party software.

### **31. ENVIRONMENTAL REQUIREMENTS**

- 31.1. The Grant Recipient shall perform the Funded Activities in a way so as to conserve energy, water, wood, paper and other resources, reduce waste and phase out the use of ozone depleting substances and minimise the release of greenhouse gases, volatile organic compounds and other substances damaging to health and the environment.
- 31.2. The Grant Recipient shall pay due regard to the use of recycled products, so long as they are not detrimental to the provision of the Funded Activities or the environment, to include the use of all packaging, which should be capable of recovery for re-use or recycling.
- 31.3. The Grant Recipient shall take all possible precautions to ensure that any equipment and materials used in the provision of the Funded Activities do not contain chlorofluorocarbons, halons or any other damaging substances, unless unavoidable, in which case the Authority shall be notified in advance of their use. The Grant Recipient shall endeavour to reduce fuel emissions wherever possible.

### **32. CHANGES TO THE AUTHORITY'S REQUIREMENTS**

- 32.1. The Authority will notify the Grant Recipient of any changes to its activities which are supported by the Grant.
- 32.2. The Grant Recipient will endeavour to accommodate any changes to the Authority's needs and requirements under this Agreement.

### **33. TERMINATION**

- 33.1. Either Party may terminate this Agreement at any time by giving at least 3 months' written notice to the other Party.
- 33.2. The Authority may by written notice to the Grant Recipient terminate this Agreement with immediate effect if any of the following events occur:
  - 33.2.1. The Grant Recipient intends to use, has used in the past, or uses the Grant for purposes other than those for which they have been awarded;

- 33.2.2. The Grant Recipient fails to comply with the KPI targets of this Agreement as updated from time to time and set out in Annex 6 (Agreed Outputs) for more than three (3) consecutive months, or three (3) consecutive months in any six (6) month rolling period and:
- a) following the implementation of a Remedial Action Plan the Authority considers that the KPI failure persists; or
  - b) the KPI failure has not been remedied to the satisfaction of the Authority; or
  - c) the KPI failure reoccurs within a subsequent 6-month period from the date of approval of the Remedial Action Plan;
- 33.2.3. the Grant Recipient is, in the reasonable opinion of the Authority, delivering the Funded Activities in a negligent manner;
- 33.2.4. the Grant Recipient obtains duplicate funding from a third party for the Funded Activities;
- 33.2.5. the Grant Recipient obtains funding from a third party which, in the reasonable opinion of the Authority, undertakes activities that are likely to bring the reputation of the Funded Activities or the Authority into disrepute;
- 33.2.6. the Grant Recipient provides the Authority with any materially misleading or inaccurate information;
- 33.2.7. the Grant Recipient commits or committed a Prohibited Act;
- 33.2.8. the Authority determines (acting reasonably) that any director or employee of the Grant Recipient has:
- a) acted dishonestly or negligently at any time during the term of this Agreement and to the detriment of the Authority; or
  - b) taken any actions which unfairly bring or are likely to unfairly bring the Authority's name or reputation and/or the Authority into disrepute;
- 33.2.9. the Grant Recipient transfers, assigns or novates to any third party, or encumbers in any way, the Grant without the Authority's consent;
- 33.2.10. the Grant Recipient ceases to operate for any reason, or it passes a resolution (or any court of competent jurisdiction makes an order) that it be wound up or dissolved (other than for the purpose of a bona fide and solvent reconstruction or amalgamation);
- 33.2.11. the Grant Recipient becomes insolvent, or it is declared bankrupt, or it is placed into receivership, administration or liquidation, or a petition has been presented for its winding up, or it enters into any arrangement or composition for the benefit of its creditors, or it is unable to pay its debts as they fall due;
- 33.2.12. a court, tribunal or independent body or authority of competent jurisdiction requires the Grant to be recovered by reason of breach of the UK's obligations under the UK-EU Trade and Cooperation Agreement or the terms of any UK subsidy control legislation;
- 33.2.13. the Grant Recipient commits a Material Breach of the Agreement;



33.2.14. in the event of actual or suspected Financial Irregularity or Aid Diversion.

33.2.15. in the event of actual or suspected sexual exploitation, abuse or harassment.

33.3. In the event of a Breach (other than a Material Breach), the Authority may serve a notice on the Grant Recipient requiring remedial action to be taken within a period as specified by the Authority (such period not more than 20 Working Days). If the Breach is not remedied within the period specified by the Authority, the failure to remedy the Breach will amount to a Material Breach.

33.4. In the event a change of government or in policy direction, this Agreement may be terminated by the Authority with immediate effect by notice in writing (such notice period as the Authority determines will be reasonable in all the circumstances).

#### **34. AMENDMENT OR VARIATION OF THE AGREEMENT**

34.1. No amendment or variation to this Agreement will be effective unless it is in writing, agreed and signed by the Representatives on behalf of each of the Parties.

#### **35. CONSEQUENCES OF TERMINATION AND SUPPORT FOR TRANSFER OF RESPONSIBILITY**

35.1. Nothing in this Agreement will affect any provision of this Grant which is expressly or by implication intended to apply or continue to apply following termination of this Agreement, for any reason.

35.2. If the Authority terminates this Agreement in accordance with clause 33.1 the Authority may pay the Grant Recipient's reasonable costs in respect of the delivery of the Funded Activities performed up to the termination date. Reasonable costs will be identified by the Grant Recipient and will be subject to the Grant Recipient demonstrating that they have taken adequate steps to mitigate their costs. For the avoidance of doubt, the amount of reasonable costs payable or whether they are even payable altogether will be determined solely by the Authority.

35.3. The Authority will not be liable to pay any of the Grant Recipient's costs or those of any contractor/supplier of the Grant Recipient related to any transfer or termination of the employment of any employees engaged in the provision of the Funded Activities prior to the date of termination.

35.4. Upon receiving notice of termination from the Authority, the Grant Recipient will review, amend and implement the agreed Exit Plan or equivalent with the Authority.

35.5. The Grant Recipient will repay any unspent or outstanding Grant to the Authority within 10 Working Days of the termination or expiry of this Agreement.

35.6. Save as otherwise expressly provided in the Agreement, termination or expiry of the Agreement shall be without prejudice to any rights, remedies or obligations accrued under the Agreement prior to termination or expiration and nothing in the Agreement shall prejudice the right of either party to recover any amount outstanding at such termination or expiry.

**36. DISPUTE RESOLUTION**

- 36.1. The Parties will use all reasonable endeavours to negotiate in good faith, and settle amicably, any dispute that arises during the continuance of the Agreement.
- 36.2. All disputes and complaints (except for those which relate to the Authority's right to withhold funds or terminate this Agreement) shall be referred in the first instance to the Parties Representatives.
- 36.3. If the dispute cannot be resolved between the authorised points of contact within a maximum of 60 days, then the matter will be escalated to formal meeting between the Grant Manager and the Grant Recipient's chief executive (or equivalent).

**37. NO PARTNERSHIP OR AGENCY**

- 37.1. This Agreement shall not create any partnership or joint venture between the Authority and the Grant Recipient, nor any relationship of principal and agent, nor authorise any Party to make or enter into any commitments for or on behalf of the other Party.

**38. JOINT AND SEVERAL LIABILITY**

- 38.1. Where the Grant Recipient is neither a company nor an incorporated entity with a distinct legal personality of its own, the individuals who enter into and sign this Agreement on behalf of the Grant Recipient shall be jointly and severally liable for the Grant Recipient's obligations and liabilities arising under this Agreement.

**39. CONTRACTS (RIGHTS OF THIRD PARTIES) ACT 1999**

- 39.1. This Agreement does not and is not intended to create contractual relations between the Parties.
- 39.2. This Agreement does not and is not intended to confer any contractual benefit on any other person not Party to it pursuant to the terms of the Contracts (Rights of Third Parties) Act 1999 but this does not affect any right or remedy of any person which exists or is available otherwise than pursuant to that Act.

**40. CODE OF CONDUCT FOR GRANT RECIPIENTS**

- 40.1. The Grant Recipient acknowledges that by signing the Grant Funding Agreement it agrees to take account of the Code of Conduct, which includes ensuring that its Representatives undertake their duties in a manner consistent with the principles set out in the Code of Conduct.
- 40.2. The Grant Recipient shall immediately notify the Authority if it becomes aware of any actual or suspected breaches of the principles outlined in the Code of Conduct.

- 40.3. The Grant Recipient acknowledges that a failure to notify the Authority of an actual or suspected breach of the Code of Conduct may result in the Authority immediately suspending the Grant funding, terminating the Grant Funding Agreement and taking action to recover some or all of the funds paid to the Grant Recipient as a civil debt.

#### **41. RESEARCH SURVEYS, QUESTIONNAIRES**

- 41.1. The Authority may occasionally conduct research exercises, including by way of surveys, or questionnaires, or requests for feedback, into your experience of the Grant, and on your business needs, and other related matters. Participation in any such exercise would be confidential and voluntary, and the results will be handled in such a way that they do not identify individual respondents, unless consent is obtained or, for instance, you agree to be contacted as a case study.
- 41.2. For the purposes of analysing the outcome of any research, your input may be combined with other information which we have, but we will do so in a way that does not affect the anonymity of the individual participants. The Authority will share any reports and findings of any such exercise on an anonymised basis with any or all of the Related Parties from time to time.

#### **42. NOTICES**

- 42.1. All notices and other communications in relation to this Agreement shall be in writing and shall be deemed to have been duly given if personally delivered, e-mailed, or mailed (first class postage prepaid) to the address of the relevant party, as referred to above or otherwise notified in writing. If personally delivered or if e-mailed all such communications shall be deemed to have been given when received (except that if received on a non-working day or after 5.00 pm on any Working Day they shall be deemed received on the next Working Day) and if mailed all such communications shall be deemed to have been given and received on the second Working Day following such mailing.

#### **43. GOVERNING LAW**

- 43.1. This Agreement will be governed by and construed in accordance with the law of England and the parties irrevocably submit to the exclusive jurisdiction of the English courts.

**SIGNED by:**

.....   
**Signature**

Nick Adkin

Deputy Director Global Health Security

**for and on behalf of the  
Authority**

.....  
**Title:** 28 July 2022  
.....  
**Date**

**SIGNED by**

.....   
**Signature**

Gavin Brown

Research Contracts Lead

**or and on behalf of the  
ecipient**

.....  
**Title:** 22 July 2022  
.....  
**Date**

## **ANNEX 1 – Grant Offer Letter**

International Directorate  
Department for Health and Social Care  
39 Victoria Street  
London  
SW1H 0EU

**Date: 13 July 2022**

**Dea**

The Department of Health and Social Care (DHSC) is pleased to inform you that a grant to the University of Oxford has been approved, up to a maximum of £5,150,000, for the project entitled: Global Research on Antimicrobial Resistance (GRAM) project, set out in the Grant Agreement, at Annex 2 (Funded Activities), and for the outputs defined in Annex 6.

This Grant has been approved for the period of 1<sup>st</sup> August 2022 to 31<sup>st</sup> March 2025.

### **SPECIFIC CONDITIONS TO NOTE**

The preceding Grant Agreement and associated Annexes contain the conditions of the grant being offered to your organisation. In addition to these terms the Grant Recipient should be aware that the award is made subject to the following specific conditions:

1. That the University of Oxford arranges and maintains a subgrant or other contractual arrangement with IHME in relation to this project to support the partnership

### **ADVICE**

This Offer Letter, together with the terms and conditions of the Grant Agreement, and accompanying Annexes together comprise the "Agreement" pursuant to which financial assistance (in the form of the Grant) is given by the Authority to the Grant Recipient. Please read all parts of this Agreement carefully.

### **ACTION FOR YOU TO TAKE**

[Please check ANNEX 4 - Eligible Expenditure schedule].

Please confirm that the Grant Recipient has read and understood this offer and accepts all the conditions set out in it and the Grant Agreement by arranging for the person with lawful authority to accept on behalf of the Grant Recipient by signing the agreement with [an original signature / an electronic signature through DocuSign]. [Please return the entire document to [REDACTED] at the address shown at the top of this letter, as soon as possible and in any event, within 14 days]

We look forward to working with you and through funding the GRAM project, working together to help improve the health and well-being of people living in low and middle-income countries.

Yours Sincerely,



## ANNEX 2 – The Funded Activities

### 1. Background/purpose of the Grant

#### 1.1. Background

The overall aim of the GRAM project is to assemble and analyse the most comprehensive set of longitudinal data to strengthen the evidence base on the current and past global burden of AMR, and investigate how, where and why it is changing. This project provides the essential health intelligence to help drive awareness of AMR, support better surveillance of AMR, and prompt policy action to control AMR, including facilitating antimicrobial stewardship. During the first phase of the project there was significant effort and resources invested in assembling historical data on the prevalence of antimicrobial resistance in key bacterial pathogens, the distribution of infectious syndromes by pathogen, and clinical outcomes. This included mobilising global research networks, developing over fifty data-sharing agreements, and performing several systematic reviews of the literature (these included over 70,000 publications).

The first iteration of the global burden of AMR 2019 represented the single largest assembly of global data on AMR but contained significant gaps geographically and in some cases by some infectious syndromes for example. Better coverage of data through an expanded network of collaborators and targeted acquisition of data to fill key gaps will help produce improved estimates of the public health and clinical burden caused by drug resistant infections and help address the most important data gaps identified in GRAM-1. In order to fully utilise the data, there is a need to maximise the value of the investment and provide increasingly robust estimates on the burden of AMR, especially at country level over time. Continued analysis with more data will also help us better understand difference by sex, between countries, or over time in the impact of AMR. The analytic model in a second phase will represent an improvement of the formulation developed/employed in the first phase with further methodological innovation to better address existing biases in the data as well as standardisation and harmonisation of the entire analytic process to become fully integrated with existing GBD machinery. It is hoped this would then reduce the routine cost of updating AMR burden data/estimates in the GBD and improve the sustainability of the function post 2025. GRAM-2 will also benefit from the learning accrued from the ITAD-led evaluation of the first phase, which focused on both the effectiveness of the assembly of data and the expected utilisation as well as impact of these estimates at country level.

The first priority is to consolidate the global burden estimation of AMR and integrate it into the global burden of disease enterprise so that it can be produced on a regular basis, and to make that process of integration of the estimation of AMR a sustainable ongoing process. In the time frame of this project, we expect to have two full releases of fully updated estimates, integrated into the overall GBD enterprise. That specifically means the results will include the same age, sex, geographic locations, and years as the rest of the GBD and the estimates will harmonize completely with the overall set of disease estimates.

The full project proposal was prepared by the University of Oxford and Institute For Health Metrics and Evaluation (IHME).

#### 1.2. **Aims and objectives of the Funded Activity**

Aims: The aim for GRAM-2 is to build on the foundation of the first phase of the project, to standardise the measurement and deepen our understanding of the burden caused by drug resistant infections,

its geographic distribution, and clinical impact. Having quality data and globally agreed estimates of AMR burden is a critical first step to changing the global approach to their prevention and management. To amplify the impact of the results, increase sustainable creation of them, and to enable most valuable comparisons between various dimensions, we aim to integrate this work into the over-arching GBD enterprise. In addition, we will leverage the foundation from GRAM-1 and strengthen our links with partners to address critically important research and policy questions.

There are five main objectives that we propose to strengthen the evidence base, establish a sustainable resource and ensure its uptake by donors and policymakers:

1. Integrate AMR estimation by pathogen-antibacterial combination effectively and efficiently into the GBD annual enterprise and produce sustainable longitudinal estimates post 2025.
2. Expand the set of combinations of pathogens and outcomes to include two priority high burden non-bacterial pathogens (namely: malaria and HIV), subject to sufficient funding being available, in order to represent a near complete burden of AMR across geography and time.
3. Development of sustainable engagement plan for GBD-AMR collaborators and thereby create a sustainable AMR data repository post 2025.
4. Tailored capacity building in priority LMIC.
5. Tailor and amplify the existing GRAM-1 multi-channel dissemination platform. This will be adapted in line with the qualitative and quantitative findings of the 2022 evaluation campaign.

## 2. **Funded Activities**

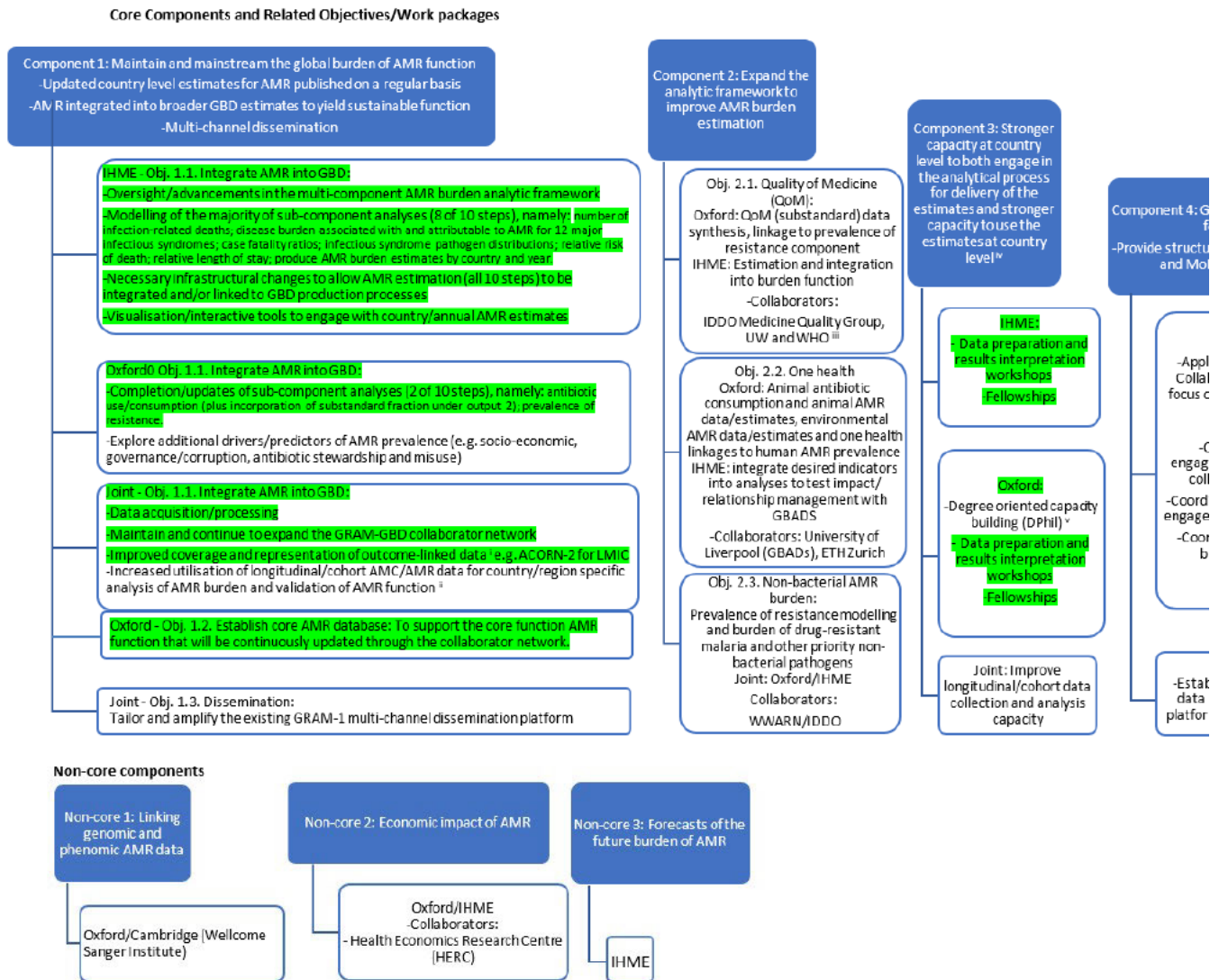
The following represent the core funded activities:

- Consolidate, review and analyse all available data and scientific information on AMR worldwide by building on the extensive collaborator network established in GRAM-1, drawing on the literature, country surveillance systems, vital statistics and other data systems on causes of death, clinical records, and data from antimicrobial sensitivity testing in order to generate comparable AMR burden estimates for all infectious syndromes and pathogen-drug combinations, from 1990 to the present, for the 204 countries and territories included in IHME's Global Burden of Disease enterprise
- Produce country-level estimates and maps of the prevalence of resistance for selected pathogen-antibacterial drug combinations from 1990 to present.
- Produce estimates of the burden of AMR by age, sex, and location for 1990-present. During the timeframe of this project, we expect there to be two full releases of estimates incorporated into the overall GBD enterprise.
- Expanding the analytic strategy to improve the estimation of the burden of AMR e.g. substandard antibiotic usage, incorporating animal and environmental AMU/AMR data (i.e. One Health) and/or including non-bacterial AMR burden for priority pathogens.
- Integrate burden of AMR estimation into the overarching GBD enterprise.
- Improve capacity in priority LMIC to prepare and analysis AMR data.



- Promote the widespread dissemination of the results to the public, the development community, academics and policymakers.

A summary of the planned Components for Phase 2 of the project and associated work packages within them is further summarised in Figure 1 below. This would encompass priority areas funded directly by the Fleming Fund as well as additional priority work packages that would require supplemental funding. This also clearly delineates the respective contributions of both Oxford and IHME to realise the objectives of GRAM-2.



- i. Purchase of relevant data from high-income countries (HIC) will require support from Wellcome/Gates given Fleming Mandate to focus/benefit LMIC.
- ii. For example, leverage longitudinal nature of ACORN-2.
- iii. This assume an additional supplementary award from DHSC/Fleming for
- iv. Intention for parallel Fleming Fund grants focused on supporting LMIC capacity to gather, analyse, model and publish AMR burden data – with a remit to support data pipelines with GRAM.
- v. Only envisaged if GRAM-2 is extended to a 4-year programme with augmented funding from Wellcome/Gates.

**Figure 1:** Key outputs and work packages for GRAM-2 with institutional roles.

**ANNEX 3 – Payment and Reporting Schedule****a) Payment Schedule**

Payments will be made by the Authority on a quarterly basis based on receipt of invoice of activities and forecast over the previous reporting period. Payments will be made up to a maximum of the following sums per financial year:

<b>INSTALMENT / INSTALMENT PERIOD</b>	<b>GRANT SUM AVAILABLE IN FINANCIAL YEAR PERIOD</b>
Year 1 (2022/23)	1,329,040
Year 2 (2023/24)	1,949,980
Year 3 (2024/25)	1,870,980
<b>Total for Grant</b>	<b>5,150,000</b>

**b) Reporting Schedule**

<b>Meeting</b>	<b>Frequency</b>	<b>Participants</b>	<b>Purpose</b>
<b>Quarterly Review</b>	Quarterly	Leadership team, Fundders, Scientific Advisors	Monitor progress, review financial performance and foreacasts, review risk register, address challenges, set direction.
<b>Annual review</b>	Every 12 months	DSHC, Fundders, Leadership team, Objective Leaders as necessary	Review results and milestones. Assess whether any milestones need revision.

**ANNEX 4 – Eligible Expenditure Schedule (breakdown of forecast grant expenditure)****FURTHER GUIDANCE REGARDING ELIGIBLE EXPENDITURE**

All Eligible Expenditure must be claimed net of VAT recoverable from HM Revenue and Customs.

The following costs/payments will be classified as Eligible Expenditure if made for the purposes of the Funded Activity:

- i. fees charged or to be charged to the Grant Recipient by the external auditors/accountants for reporting/certifying that the grant paid was applied for its intended purposes;
- ii. giving evidence to Select Committees;
- iii. attending meetings with Ministers or officials to discuss the progress of a taxpayer funded grant scheme;
- iv. responding to public consultations, where the topic is relevant to the objectives of the grant scheme. This does not include spending government grant funds on lobbying other people to respond to the consultation;
- v. providing independent, evidence based policy recommendations to local government, departments or Ministers, where that is the objective of a taxpayer funded grant scheme, for example, 'What Works Centres'; and
- vi. providing independent evidence based advice to local or national government as part of the general policy debate, where that is in line with the objectives of the grant scheme.

A payment is defined as taking place at the moment when money passes out of Grant Recipient control. This may take place when:

- I. legal tender is passed to a supplier (or, for wages, to an employee);
- II. a letter is posted to a supplier or employee containing a cheque; or
- III. an electronic instruction is sent to a bank/building society to make a payment to a supplier or employee by direct credit or bank transfer.

The Grant Recipient must not deliberately incur liabilities for Eligible Expenditure in advance of need; nor pay for Eligible Expenditure sooner than the due date for payment.

**INELIGIBLE EXPENDITURE**

The following costs must be excluded from Eligible Expenditure:

- I. payment that supports for lobbying or activity intended to influence or attempt to influence Parliament, Government or political parties, or attempting to influence the awarding or renewal of contracts and grants, or attempting to influence legislative or regulatory action;
- II. using grant funds to directly enable one part of government to challenge another on topics unrelated to the agreed purpose of the Grant;
- III. using the Grant to petition for additional funding;
- IV. input VAT reclaimable by the grant recipient from HMRC;
- V. payments for activities of a political or exclusively religious nature;
- VI. goods or services that the Grant Recipient has a statutory duty to provide;
- VII. payments reimbursed or to be reimbursed by other public or private sector grants
- VIII. contributions in kind (i.e. a contribution in goods or services, as opposed to money);
- IX. depreciation, amortisation or impairment of Fixed Assets owned by the Grant Recipient;
- X. the acquisition or improvement of Fixed Assets by the Grant Recipient (unless the grant is explicitly for capital use – this will be stipulated in the Grant Offer Letter);
- XI. Interest payments (including service charge payments for finance leases);
- XII. gifts;
- XIII. entertaining (entertaining for this purpose means anything that would be a taxable benefit to the person being entertained, according to current UK tax regulations);
- XIV. statutory fines, criminal fines or penalties and associated legal costs; or
- XV. liabilities incurred before the date of this Agreement unless agreed in writing by the Authority.
- XVI. Activities which may lead to civil unrest
- XVII. Activities which discriminate against any group on the basis of age, gender reassignment, disability, race, colour, ethnicity, sex and sexual orientation, pregnancy and maternity, religion or belief
- XVIII. Activities in breach of the UK's obligations under the Trade and Cooperation Agreement or the terms of any UK subsidy control legislation
- XIX. Bad debts to related parties
- XX. Payments for unfair dismissal and associated legal costs
- XXI. Replacement or refund of any funds lost to fraud, corruption, bribery, theft, terrorist financing or other misuse of funds
- XXII. Inflation or foreign exchange contingency
- XXIII. Contingency or risk premium

## ANNEX 5 – Grant Claim Form

<b>To:</b>	<b>[Global Health Security / Global Health Research], Department of Health and Social Care</b>
<b>Attention:</b>	<b>Accounts Payable</b>

**Title and Details of Funding**

Organisation

Title of Grant / Project name

Project Location

Details of Expenditure

DHSC Component Code / Purchase Order No.

Date of Claim

Period of Funding Request

[dd/mm/yyyy]

to

[dd/mm/yyyy]

<b>Payment Request AAGAnt</b>
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**Bank Details**

Bank Name:	
Bank Postal Address:	
Name of Account:	
Bank Account Number:	
Sort Code:	
Currency of Bank Account:	
IBAN number: [required for bank accounts within Europe]	
SWIFT number:	
ABA or BIC Number: [BIC required for bank accounts within Europe]	
Intermediary bank details:	
Bank Email Address:	

**Audit Discharge**

The University of Oxford will provide to the Authority, within six months of the end of its financial year, independent assurance that Authority funds have been used for the intended purposes by submitting:

{annual accounts audited by an independent and appropriately qualified auditor where Authority project funding is clearly segregated from other funds.

### Certification

I certify that this claim is correct and that the sum requested is properly due on the basis of the information provided, project objectives and on the work carried out or future work plans. . I confirm that receipt of this payment will not result in double funding of the work carried out or future activities I have the authority to sign this on behalf of the University of Oxford.

Furthermore, I certify to the best of my knowledge and belief that the expenditure declared has not been used for any ineligible purposes, as set out in Annex 4.

Authorised Signatory: .....

Date .....

Name:

Position:

Address/Contact Details:

## **ANNEX 6 – Agreed Outputs/Long Term Outcomes and Key Performance Indicators**

The Grant Recipient shall achieve the following milestones and key performance indicators:

### **Agreed Outputs:**

1. Global Burden of AMR estimates by year (1990-onwards), country, pathogen/drug combination (resistant and susceptible), age, sex and select underlying causes produced.
2. Specialised pool of AMR collaborators integrated into GBD collaborator network and contributing data and expertise into production of estimates.
3. System in place so AMR findings integrated into the regular reporting of the GBD post 2026.
4. Selected stakeholders that can play a 'policy translation' role identified in target LMICs/regions and their capacity to translate Global burden of AMR estimates messages for decision-makers strengthened.

### **Key Performance Indicators / milestones**

KPI 1: Quality and updated AMR burden of disease estimates available on regular basis at country level in future

Milestone 1.1: Complete audit and targeted acquisition of additional priority data for integration into the AMR analytic pipeline (August 2022-December 2022). The priority will be expansion of clinically linked microbiological data to improve outcomes estimation as part of the AMR function.

Milestone 1.2: Expansion of the GRAM-GBD collaborator network to include countries currently not represented in GRAM and to help sustain future data acquisition and intellectual input post 2025 (throughout project period with a sustainable collaborator network in place by end of March 2025).

Milestone 1.3.1: Development of standardised data collection tools and a single contributor data upload environment for simple and secure online submission of prospective data and supporting materials in any format or language for AMR datasets (by August 2023).

Milestone 1.3.2: Curation of historical datasets hosted by GRAM1 and deposited within a standardised GRAM database to serve the core AMR analytic function (by August 2023).

Milestone 1.3.3: Curation of new prospective data (milestone 1.1) and integration within a core GRAM database as integral input for the core analytic function (through-out GRAM phase 2).

Milestone 1.4.1: Development of a joint sustainability plan to help ensure continuity of the core AMR function and data sharing networks beyond the current funding cycle (July 2023-December 2023).

Milestone 1.4.2: Implementation of the joint sustainability plan (milestone 1.4.1.) (by end of 2024).

Milestone 1.5: Successful full integration of the AMR function into the GBD machinery (by end of 2024).

Milestone 1.6: Tailor and amplify the existing GRAM-1 a multi-channel dissemination platform (multiple touch points, timed with the release of results or of external meetings such as the G20).

KPI 3: Quality policy relevant analysis conducted drawing on GBD estimates

Milestone 3.1: Deliver at least one high quality capacity building workshop in 8 priority LMIC combining both GBD data analysis and analysis of public health and AMR data (March 2025).

Milestone 3.2: Host and train at least 1 priority fellowship candidate from each of aforementioned 8 priority LMIC at either University of Oxford or IHME (March 2025).

Milestone 3.3: Enrol 2 DPhil candidates at University of Oxford at the start of the second phase (March 2026).

Milestone 3.4: Working towards the establishment of WHO Collaborating Centre (CC) – timelines dependent on process, pre-requisite for WHO CC status application is secure funding.

Milestone 3.5: Development of a sustainable AMR data repository for both the core AMR function and as a resource for global AMR research (end of 2023).

KPI 4: Policy relevant analyses drawing on GBD estimates shared with decision makers in the right format and through the right channels

Milestone 1.6: Tailor and amplify the existing GRAM-1 a multi-channel dissemination platform (multiple touch points, timed with the release of results or of external meetings such as the G20).



