# Department of Planning, Industry and Environment

# Funding Agreement for Financial Assistance

# under the 20##/## Coastal and Estuary Grant Program – Planning Stream

# Grant details

**Program: Coastal and Estuary Grant Program – Planning Stream**

**Grant number: «ApplicationNumber»**

**Recipient: «OrganisationName»**

**Project: «ProjectTitle»**

**Maximum funding amount: «AmountApproved»**

**Funding level: «FundingLevel»**

**Funding term completion date: «GrantPropFinish»**

**Acceptance of conditions:**

On behalf of «OrganisationName», I accept the following conditions of this Funding Agreement. This Funding Agreement commences on the signing of this document by both parties.

|  |  |
| --- | --- |
| Signature | Click or tap here to enter text. |
| Name | Click or tap here to enter text. |
| Position | Click or tap here to enter text. |
| Date | Click or tap to enter a date. |

**Note: This agreement must be signed by the General Manager or officer delegated with authority to bind the Recipient.**

**Approval of Agreement between Department of Planning, Industry and Environment and «OrganisationName»:**

|  |  |  |
| --- | --- | --- |
| Signed for and on behalf of the Department of Planning, Industry and Environment representing the Crown in right of New South Wales byLeah Andrews, Manager – Contestable Grants - Coastal, Estuary and Flood | )))))) |   (Signature)Date:  |

Please return the signed Agreement **by [DATE]** to:

Manager, Contestable Grants - Coast, Estuary and Flood

Department of Planning, Industry and Environment

Locked Bag 5022

Parramatta NSW 2124

If the signed Agreement is **not** returned by this date, the offer of funding will automatically lapse.

# Conditions

1. **Definitions and Interpretation**

Defined terms and aids to interpretation of this Agreement are set out in the Dictionary at the end of this Agreement.

1. **Department of Planning, Industry and Environment’s obligations**
	1. The Department will pay the Recipient, in accordance with the terms of this Agreement, an amount up to the Maximum Funding Amount towards the Recipient’s performance of the Project.
	2. The Department will not pay the Recipient for anything that is part of the Recipient’s Core Activities.
	3. The Department may arrange the provision of additional services to the Recipient, including:
* support with the administration of financial assistance
* participation in meetings of Coastal and Estuary Management Committees if established by the Recipient
* meeting with the Recipient’s staff frequently, particularly at critical stages in the Project
* assistance with the preparation of briefs and review of proposals for studies
* technical review of plans, studies and designs for compliance with NSW Government objectives and Project aims and requirements
* assistance with the preparation and review of specifications for works
* assistance with the review of tenders for works, and
* assistance with the management of consultants and contractors.
	1. The Department will approve the Work Plan referred to in clause 3.1.
1. **Recipient’s obligations**
	1. By **[DATE],** and following compliance with clauses 17.3 and 17.4, the Recipient will submit a Work Plan in the format provided on the Department’s website, based on the recommended tender. Before awarding the contract for this project, the Recipient must receive written advice from the Department’s Grants Branch indicating the Work Plan has been approved.
	2. The Recipient will carry out the Project as outlined in its Application and in accordance with the Work Plan.
	3. The Recipient will advise the Department immediately if it has sought, is offered, or intends to accept funding from any other sources for this Project at any time during the Funding Term.
	4. The Recipient contribution must not include funds received from any other NSW or Commonwealth programs for the agreed contribution.
	5. The Recipient must ensure that all funds provided by the Department under this Agreement are applied only to the actual cost of the Project.
	6. The Recipient will ensure that all activities undertaken under the Project are consistent with the objectives of the Coastal and Estuary Grants Program. If necessary, the Recipient may seek clarification of this obligation from the Department.
	7. The Recipient will undertake or oversee all technical, environmental, heritage and risk assessments, and obtain the necessary consents in relation to the Project in accordance with NSW legislative requirements and accepted best practice guidelines.
	8. The Recipient will, in conjunction with the Department, monitor and evaluate the Project against the agreed project outcomes as described in the Application or any subsequent written agreement between the parties.
	9. The Recipient will keep the Department informed of the progress of the Project in relation to the Work Plan and will highlight any significant technical issues.
	10. The Recipient will report on or explain any aspect of the Project requested by the Department, and give due consideration to all comments issued by the Department in relation to the Project.
	11. The Recipient’s Representative will be responsible for managing the Recipient’s obligations under this Agreement. The Recipient must notify the Department immediately of any change to the Recipient’s Representative at any time during the Funding Term.
2. **Record keeping**
	1. The Recipient must:

(a) Maintain financial receipts and expenditure details and other correspondence and materials related to the Project until the grant is formally acquitted.

(b) Permit the Department to inspect (and if necessary be supplied with copies of) all the Recipient's accounts and any other documents, including any application documents, relating to the Project.

(c) Comply with all reasonable requests by the Department for other information and particulars concerning the Project within 14 days of such request.

(d) Retain the records referred to in this clause 4 (**Record keeping**) throughout the Funding Term and for seven years after the date that is the earlier of the date of expiry of the Funding Term or termination of this Agreement.

1. **Reports**
	1. The Recipient must prepare and submit to the Department:

(a) a Milestone Report and Expenditure Certificate for each Milestone as achieved

(b) a Final Report for the Project within two months of the project completion date.

* 1. The reports must be prepared using the **relevant templates provided by the Department**.
1. **Claiming a payment**
	1. The Department will make Milestone Payments to the Recipient under this Agreement up to a total amount not exceeding the Maximum Funding Amount.
	2. The Department will make a Milestone Payment to the Recipient in response to the successful delivery of a Milestone and the submission of a satisfactory Milestone Report and Expenditure Certificate in accordance with clause 5.1.
	3. The Milestone Payment for a Milestone will be the proportion, set as the Funding Level, of the Recipient’s **Actual Expenditure** in delivering the Milestone as detailed in the relevant Milestone Report and Expenditure Certificate, subject to clause 6.4.
	4. If a Milestone Payment determined under clause 6.3 would mean that the total amount the Department pays under this Agreement would exceed the Maximum Funding Amount, that Milestone Payment will be reduced by the amount by which the Maximum Funding Amount would be exceeded.
	5. If the total amount of all the Milestone Payments the Department makes for the Project is less than the Maximum Funding Amount, the Department will not be liable to make additional payments to the Recipient.
	6. Payments will not be made until the Recipient provides the Department with a valid Australian Business Number.
2. **Goods and Services Tax (GST)**
	1. In this clause, the expressions ‘Australian law’, ‘consideration’, ‘GST’, and ‘input tax credit’, have the meanings given to those expressions in the *A New Tax System (Goods and Services Tax) Act 1999*.
	2. Funding made under this Agreement is a payment specifically covered by an appropriation under Australian law, which is not the provision of consideration for GST purposes.
	3. The Department’s financial assistance to the Recipient under this Agreement will be based upon the Project’s actual costs, less any input tax credits the Recipient is entitled to.
3. **Variation**
	1. The Recipient must obtain prior written approval from the Department’s Grants Branch for any variation to the:

(a) Agreement (including the Funding Term)

(b) Work Plan

(c) Budget (including any changes to funding sources), or

(d) Scope of the Project (to that outlined in the Application).

1. **Breach of conditions**
	1. If the Recipient breaches any of the Recipient’s obligations under this Agreement, or is otherwise not undertaking or is unable to carry out the Project in accordance with the Work Plan, the Department may make a written request to the Recipient to rectify the breach or to resume carrying out the Project in accordance with the Work Plan.
	2. The Department may suspend or withhold any payments under this Agreement or part thereof until the Recipient has taken action to comply with a request under clause 9.1.
	3. If the Recipient cannot rectify a breach or complete the Project to the satisfaction of the Department after receiving a request under clause 9.1, the Department may terminate this Agreement.
	4. If the Department terminates the Agreement, the Department will only be liable to pay the Recipient in respect of Milestones that the Recipient has satisfactorily delivered at the date of termination and for which the Recipient has submitted a Milestone Report and Expenditure Certificate.
2. **Publicity**
	1. The Recipient must acknowledge the NSW Government’s contribution in any public statements or written material in relation to the Project.
	2. The Recipient will ensure that draft and final coastal and estuary management plans/programs and studies **do not include** the NSW Government or the Department name or logo on the cover or title page.

The Recipient will ensure these documents include the following acknowledgement:

‘[The Recipient’s name] has prepared this document with financial assistance from the NSW Government through its Coastal and Estuary Grants Program. This document does not necessarily represent the opinions of the NSW Government or the Department of Planning, Industry and Environment.’

* 1. The Recipient must extend an invitation to a NSW government representative to any launch or public event associated with the Project, and where they are able to attend, acknowledge them as an official guest. Where practicable, the Recipient should also afford the government representative the courtesy of publicly addressing the event.
	2. The Department may publicise the awarding of the funding at any time after it is awarded, including:

(a) the Recipient’s name

(b) the amount of financial assistance

(c) the title and description of the Project

(d) the outcomes of the Project.

1. **Intellectual property**
	1. In this clause, Intellectual Property includes all statutory, legal, equitable and other proprietary rights and interests, including without limit, in copyright, patents, registered and unregistered trademarks, registered designs, circuit layouts, and trade secrets.
	2. The Recipient warrants that:

(a) in carrying out the Project, it will not infringe any Intellectual Property rights

(b) any report by the Recipient will not contain anything that, to its knowledge, is libellous or defamatory.

* 1. The Recipient indemnifies the Department and its employees and agents against any action, costs, expenses, losses or damages suffered or incurred by all, or any more of them, arising out of, or in any way in connection with, any breach by the Recipient or its employees or its agents of the Recipient’s obligations under clause 11.2.
	2. Where Intellectual Property in any Project Materials is vested in the Recipient, the Recipient will grant the Department a permanent, irrevocable royalty-free, non‑exclusive licence to make such Project Materials publicly available and to otherwise communicate, reproduce, adapt or publicise them on a non-profit basis, including the use and modification of any models and reproduction of images for Department purposes.
	3. Where Intellectual Property in any Project Materials is not vested in the Recipient or the Department, the Recipient will do all things necessary to ensure that the Department is granted a permanent, irrevocable royalty-free, non‑exclusive licence to make such Project Materials publicly available and to otherwise communicate, reproduce, adapt or publicise them on a non-profit basis, including the use and modification of any models and reproduction of photographs for Department purposes.
1. **Indemnity and release**
	1. The Project shall be performed at the Recipient’s risk. The Recipient accepts full responsibility for the performance of the Project and for the consequences of implementing any of the Project’s findings and recommendations.
	2. The Recipient indemnifies and keeps indemnified the Secretary of the Department of Planning, Industry and Environment and his employees and agents, the Minister and the Crown in right of NSW from and against all actions, claims, demands and other proceedings that may be made or recovered against the Secretary of the Department of Planning, Industry and Environment and his employees and agents, the Minister and the Crown in right of NSW, in respect of any damage to property, personal injury or death where the damage, injury or death was caused by any wilful, unlawful or negligent act or omission of the Recipient or its employees or agents in relation to the carrying out of the Project. The Department will inform the Recipient as soon as it becomes aware of any such action, claim, demand or proceeding.
	3. The Recipient will release the Secretary of the Department of Planning, Industry and Environment and his employees and agents, the Minister and the Crown in right of NSW from and against all actions, claims, demands and other proceedings that the Recipient may make or recover against the Secretary of the Department of Planning, Industry and Environment and his employees and agents, the Minister and the Crown in right of NSW, in respect of any damage to property, personal injury or death suffered by the Recipient, its employees or agents in relation to the carrying out of the Project.
	4. The indemnity and release provided by the Recipient in clauses 12.2 and 12.3 is reduced proportionately to the extent that the relevant damage to property, personal injury or death is caused or contributed to by any wilful, unlawful or negligent act or omission by the Department or its employees or agents.
2. **Insurance**
	1. The Recipient shall be responsible for effecting and maintaining all insurances required under workers’ compensation legislation and for taking all other actions requisite as employer of person engaged to carry out all or any part of the Project. The Recipient shall also be responsible for ensuring volunteers carrying out any part of the Project are covered by volunteer personal accident insurance.
	2. The Recipient must effect and maintain public liability insurance in relation to all premises and sites on which the Project is carried out for all works and activities undertaken for this Project. The insurance shall be for an amount of at least $20,000,000. The policies or certificates of currency shall be made available to the Department for inspection on request.
3. **Confidentiality**
	1. The Department will not disclose any information that is contained in the reports, documents and materials that you have indicated is confidential and that the Department has agreed not to disclose.

14.2 The Department undertakes not to disclose any personal information (in accordance with the definition of personal information contained in the *Privacy and Personal Information Protection Act 1998*), that is contained in the reports, documents and materials that you have submitted without your written consent, with the exception of the purpose outlined in 14.4.

14.3 The Department will not use any personal information for purposes other than the original purposes for which that personal information was supplied without your written consent, with the exception of the purpose outlined in 14.4.

14.4 The Department may disclose information contained in reports, documents and materials you have submitted to a third party for the sole purpose of evaluation of its grants programs. The Department will ensure that any third party agrees to keep all information acquired, material prepared or collected and any findings of the Project confidential.

14.5 Clauses 14.1 and 14.2 are subject to any legal obligation on the Department to disclose information.

1. **Survival of obligations**
	1. The Recipient’s obligations under clauses 5, 10, 11, 12 and the Department’s obligations under clause 14 survive the termination or expiry of this Agreement.
2. **Miscellaneous**
	1. Any written notice or demand provided for in the Agreement may be served by each party on the other party by ordinary prepaid post or email.
	2. Neither the Recipient nor any person engaged by the Recipient shall be in the service or employment of the Department by virtue of this Agreement.
	3. Any court proceedings arising out of or relating to this Agreement must not be heard or started in any court other than a court in NSW. The Agreement will be governed by and construed in accordance with the law for the time being in force in NSW.
	4. The invalidity or unenforceability of any one or more of the conditions of the Agreement shall not invalidate or render unenforceable the remaining conditions of the Agreement. Any invalid or unenforceable condition shall be severable and all other conditions shall remain in full force and effect.
	5. All project activities need to be consistent with relevant Government policy.

# Specific conditions

1. **Studies, investigations and design, cost benefit analysis, distributional analysis and documentation projects**
	1. The Recipient will arrange for all work in the project to be undertaken by an external consultant selected through competitive tendering, unless the Department agrees otherwise or it was addressed and approved in the project application.
	2. The Recipient will undertake any cost benefit analyses or distributional analyses in-line with the methodology outlined in the Coastal Management Manual Part C Coastal Management Toolkit – Using Cost Benefit Analysis to assess coastal management options: Guidance for councils.
	3. The Recipient will submit the project brief to be used in the call for tenders to the Department and will consider all Department comments on the brief prior to releasing the call for tenders.
	4. The Recipient will seek comments from the Department on all proposals received in response to the call for tenders and consider the Department’s comments before awarding the contract for the work.
	5. If the project captures or generates geospatial data, all data will be supplied by the Recipient at, or before, the completion of the project to the Department. Data must be compatible with the ESRI software, unless prior written approval is given by the Department.
	6. The recipient shall provide digital metadata files for all geospatial data produced under this agreement. The digital metadata files shall be provided to the Department along with each final product deliverable. The metadata file shall meet ISO 19139 standards and NSW metadata portal requirements.
	7. If the Project involves the collection of any geospatial data (including LiDAR, digital elevation or monitoring data) the Recipient must do all things necessary to ensure that the Whole-of-Government is granted a permanent, irrevocable royalty-free, non‑exclusive licence to make such Project Materials publicly available and to otherwise communicate, reproduce, adapt or publicise them on a non-profit basis.
	8. If the Project involves the collection of any LiDAR or digital elevation data, the Recipient will ensure that the data is collected and classified in accordance with the ‘ICSM LiDAR Acquisition Specifications and Tender Template’ and/or the most recent version of the Land and Property Information ‘Standard LiDAR Product Specifications’.
	9. If the project involves collecting raw data, such as LiDAR data, the Recipient will ensure that all collected data is supplied in addition to derived data for the project. For LiDAR, this would include supplying the full LAS files.
	10. Geospatial data includes those generated in a: Geographic Information System (GIS); Land Information System (LIS); Remote Sensing or Image Processing system; Computer-Aided Design and Drafting (CADD) system; Automated Mapping/Facilities Management (AM/FM) system; and other computer system that employs or references data using either absolute, relative, or assumed coordinates.
	11. The Recipient will seek comments from the Department and consider these comments prior to finalisation of any draft reports or working papers or designs, specifications and asset management plans.
	12. At the completion of the Project, the Recipient will provide to the Department copies of final reports, model data files and reports, and final works designs and specifications, in the number and format specified by the Department.
	13. The Recipient will ensure that coastal hazard information is incorporated into relevant local environmental and/or development control plans as soon as practical after the completion of a coastal hazard definition study or other study or plan which updates coastal hazard information.
	14. The Recipient will place a copy of all current public consultation drafts and final coastal management programs and studies on its internet website within one month of completion of these documents.
2. **Special conditions**
	1. «Special\_Cond\_1»
	2. «Special\_Cond\_2»
	3. «Special\_Cond\_3»

**Dictionary**

**‘Actual Expenditure’** means the actual monetary amount expended on the project and cannot include in-kind contributions.

**‘Agreement’** means this funding agreement and includes the Grant Details, the Conditions, the Work Plan (as agreed to by both parties), any Schedules, attachments or Appendices.

**‘Application’** means the recipient’s application for funding under the Coastal and Estuary Grants Program.

**‘Applicants Contribution’** means the funding portion to be paid by the applicant, this contribution cannot include funds received under any other NSW or Commonwealth programs unless agreed to at the time of application.

**‘Confidential Information’** means any information that:

1. is by its nature confidential
2. is designated, or marked, or stipulated as confidential, or
3. you know or ought to know is confidential

But does not include information which:

1. is or becomes public knowledge other than by breach of this Agreement.

**‘Grants Branch’** means the Coastal, Estuary and Flood Grants Unit which sits within the Grants Branch under Strategy, Delivery and Insights Division of Department of Planning, Industry and Environment.

**‘DPIE’** means the Department of Planning, Industry and Environment representing the Crown in right of New South Wales.

**‘Expenditure Certificate’** means the form that details actual project expenditure to date and is lodged with a Milestone Report to generate a Milestone Payment

**‘Final Report’** means the report outlining the achievements of the project, including financial acquittal.

**‘Funding Level’** means the agreed proportion of funding contributed by the Coastal and Estuary Grants Program to the overall cost of the Project, without exceeding the Maximum Funding Amount, as set out in the Grant Details.

1. **‘Funding Term’** means the duration of this Agreement as set out in the Grant Details or until the date on which this Agreement is terminated, whichever comes first.

**‘Maximum Funding Amount’** means the maximum amount of funding that DPIE will provide under this Agreement, as set out in the Grant Details.

**‘Milestone Date’** means the date by which each Milestone must be completed as specified in the Work Plan.

**‘Milestone Payment’** means a progress or final payment made on the successful delivery of a Milestone.

**‘Milestone Report’** means the report which provides details of the activities carried out to achieve a Milestone.

**‘Milestone’** is a significant event in the Project that signals the commencement and/or completion of some part of the Project, or a stage at which agreed parts of the Project will be completed as specified in the Work Plan.

**‘Project Materials’** means anything brought or required to be brought into existence as part of, or for the purpose of, carrying out, or in connection with, the Project, including all reports, documents, computer models and field data.

**‘Recipient’s Core Activities’** means core activities undertaken by the Recipient, including preparation of study briefs, review of proposals and tenders, researching and copying the Recipient’s records, attending meetings, contract administration, accounting costs, and liaising with the public and government agencies.

**‘Recipient’s Representative’** means the representative nominated by the Recipient to oversee the Project.

1. **‘Work Plan’** means the plan that outlines the Project’s planned activities, budget, timeline, outputs/outcomes and Milestones as agreed to by both parties.

The following words have the meaning ascribed to them in the Grant Details: **‘Commencement Date’, Completion Date’, ‘Grant Number’, ‘Project’, ‘Recipient’**.

Department of Planning, Industry and Environment, Locked Bag 5022, Parramatta NSW 2124. Phone: 1300 361 967 (environment information and publications requests); email: info@environment.nsw.gov.au; Website: www.environment.nsw.gov.au. EES 2020/0245; June 2020.