



Australian Government
AusAID



USAID
FROM THE AMERICAN PEOPLE

**MEMORANDUM OF COLLABORATION
BETWEEN
THE COMMONWEALTH OF AUSTRALIA
AND
THE GOVERNMENT OF THE UNITED STATES OF AMERICA A
IN SUPPORT OF
COMMUNITY-BASED EMERGING INFECTIOUS DISEASE RISK REDUCTION IN THE
MEKONG**

I. Purpose

The Commonwealth of Australia, represented by the Australian Agency for International Development (“AusAID”), and the Government of the United States of America, represented by the United States Agency for International Development (“USAID”) (hereinafter collectively referred to as “the Participants”) share the mutual objective of minimizing the risk of emergence and spread of new pandemic disease threats by pre-empting, at their source, newly emerging diseases of animal origin that could threaten human health.

This Memorandum of Collaboration (MoC) sets forth the understandings and mutual agreement of the Participants to work together to achieve the above-stated objective, in recognition of the Paris Declaration on Aid Effectiveness and the Accra Agenda for Action to harmonize and align aid delivery and the USAID-AusAID Memorandum of Understanding on International Development Cooperation.

II. Collaboration Approach

To help achieve the shared objective under this MoC, the Participants agree to collaboratively work together to support the **PREVENT** activity in applying a social and behavioural change approach in improving disease prevention practices at the individual, community, and policy levels. Support to PREVENT will contribute to building local capacities in reducing risks of disease transmission from dangerous pathogens from animals before they become significant threats to human health (refer to Annex 1 for the PREVENT activity description).

III. Contribution of the Participants, Cooperation and Representation

To help achieve the objective of this MoC, the Participants endeavour to make the following contributions hereunder:

A. AusAID:

1. AusAID will make available to USAID, subject to the availability of funds to it for this purpose, a sum not to exceed the United States Dollar equivalent of six million Australian Dollars (**AUD6,000,000**) (“the AusAID Contribution” or “Contribution”).
2. AusAID’s Contribution is specifically earmarked to PREVENT activities in the Mekong countries of Cambodia, Lao PDR, Vietnam, and potential activities in Burma. Unless agreed to in writing by AusAID, the Contribution will not be used to fund PREVENT activities in countries other than those

identified by AusAID nor will funding be provided to other non-PREVENT Emerging Pandemic Threats Program activities in the Mekong countries.

3. AusAID's Contribution will be transferred to USAID in accordance with Section IV below.
4. AusAID agrees that its Contribution is to be managed and administered by USAID in accordance with applicable United States laws, regulations, policy and procedures, including those applicable to the receipt and disbursement of funds.
5. AusAID agrees that its contribution will be added to USAID awards under which the PREVENT activity in the Mekong is implemented. Any part of the AusAID Contribution provided under this MoC that remains available at completion of the PREVENT activity in the Mekong, will be used by USAID to support similar community-based emerging infectious disease risk reduction programs in the Mekong, as mutually agreed to by the Participants. In absence of such agreement, any remaining funds at the completion of the project will be returned to AusAID.
6. AusAID will participate in annual USAID work planning meetings, including in any relevant country field visits.
7. AusAID, for its internal purposes only, plans to use AusAID Reference Number **63234** to refer to this MoC. All correspondence with AusAID relating to this MOU should quote the AusAID Reference Number.

B. USAID

1. Following receipt of the Contribution, USAID agrees to add this amount, as specified in Paragraph A.1. above, to the USAID awards under which the PREVENT activity is implemented.
2. USAID agrees to remain responsible and accountable for the implementation of PREVENT, which includes, but is not limited to the management and oversight of the USAID awards under which the activity is implemented.
3. USAID agrees to maintain separate records with regard to the AusAID Contribution, using the USAID "Gifts and Donations account". Prior to activity disbursement, USAID will tag the Contribution with a specific funding code that will allow the funds to be separately accounted for.
4. The AusAID Contribution is to be administered in accordance with applicable United States laws, regulations, policies, and procedures. This includes the applicable USAID records retention requirements for the PREVENT activity which require, after the close of an activity, that records be held in the office for 3 years and, thereafter, transferred to off-site storage for a specific period of time before their retirement or destruction.
5. USAID will submit to AusAID a certified annual statement showing funds received and expended for the project. The certification will be conducted by the USAID Agreement Officer Representative (AOR) based in Washington DC. USAID agrees to provide AusAID with copies of any USAID audit undertaken by it that encompasses AusAID's Contribution under this MoC.
6. USAID will submit to AusAID quarterly reports on the status of the PREVENT project and, upon completion of the project, final financial and progress report to be provided within 3 months of the project end date tentatively through 30 September 2015. Quarterly reports will include at a minimum: summary of activities and achievements in the reporting period, update on resolution of issues raised in previous reports, anticipated activities/plan for the next quarter, progress toward results, and financial reports including accrued expenditures against budget elements, pipeline, funds remaining and planned

expenditures. Reports will endeavour to include development outcomes of activities, including on gender equality.

C. Authorized Representatives of the Participants

The authorized representatives of the Participants responsible for coordinating matters related to this MoC are as follows:

For AusAID

[REDACTED]

For USAID:

[REDACTED]

IV. Transfer of the AusAID Contribution to USAID

A. AusAID’s Contribution is expected to be provided to USAID in three tranches in the amounts and on the dates set forth below:

- (i) Tranche 1 in the United States Dollar equivalent of [REDACTED] on or before 8 June 2012;
- (ii) Tranche 2 in the United States Dollar equivalent of [REDACTED] on or before 15 October 2013; and
- (iii) Tranche 3 in the United States Dollar equivalent of [REDACTED] on or before 15 October 2014.

B. AusAID may modify the above payment schedule upon thirty (30) days advance written notice to USAID.

C. When requesting funds from AusAID (starting from Tranche 2), USAID should include a statement of projected cash flow requirements based on jointly approved workplans (annexed to this request of funds) of PREVENT activities in the Mekong to which AusAID’s Contribution is directed, including unspent balances from previous tranches.

D. Each increment of the AusAID Contribution is to be transferred to USAID by [REDACTED]. Each transfer is to be made as follows:

- (i) [REDACTED].
- (ii) [REDACTED];
[REDACTED].



V. General Provisions

- A. The Participants specifically acknowledge that this MoC does not constitute a legally binding commitment or obligation by any Participant or create any rights in any third party. As this MoC does not constitute a legally binding commitment, it does not create a legal relationship between the Participants and is not governed by international law.
- B. The Participants further acknowledge that although USAID assumes certain fiduciary responsibilities with respect to the AusAID Contribution received by it, this MoC does not itself constitute a legally binding agreement or commitment by either Participant.
- C. Nothing in this MoC shall be construed as superseding or interfering in any way with any agreements entered into by a Participant, either prior to or subsequent to the signing of this MoC. Nothing in this MoC shall be construed as an exclusive working relationship between the Participants or any third party, including the Governments of Cambodia, Lao PDR, Vietnam, or Burma, regarding this or any other matter.
- D. The Participants agree to cooperate with each other to ensure that appropriate communications, outreach and attribution are made in connection with their collaboration under this MoC.
- E. If any changes occur which, in the opinion of AusAID and USAID, impair significantly the developmental value of PREVENT as supported by the Participants under this MoC, the Participants agree to consult in an effort to resolve the issue and to identify possible courses of action. In the event that the dispute cannot be resolved, either Participant may terminate this MoC. In such an event, AusAID may, upon the giving of not less than ninety (90) days prior written notice to USAID, modify or terminate any unpaid remainder of its planned Contribution under this MoC. All remaining funds other than those irrevocably committed in good faith before the date of termination and those decided between the Participants as being required to finalize activities will be returned to AusAID.
- F. The Participants agree to cooperate and explore the possible inclusion of Burma in PREVENT activities to which AusAID's Contribution may be directed.
- G. Each Participant agrees to ensure that funds provided by either Participant in connection with this MoC do not provide direct or indirect support or resources to organizations and individuals associated with terrorism. If, during the course of an activity under this MoC, either Participant discovers any links whatsoever with any organization or individual associated with terrorism, it agrees to inform the other immediately.
- H. Any interest arising from the Contribution may be used to fund additional PREVENT activities in the Mekong countries as identified in III.A.2. USAID may freely exchange AusAID's Contribution into other currencies as may facilitate disbursement during project implementation.

- I. The Participants will exchange views and regularly discuss the progress of the PREVENT activity in the Mekong. Any budget revision, changes in core staff of contractors/consultants or other significant adjustments, which may affect the objectives of the PREVENT activities in the Mekong to which AusAID's Contribution is directed, will be discussed in regular AusAID and USAID meetings. Decisions to address such issues will be made jointly by the Participants.
- J. The Participants agree to discuss and jointly approve workplans of PREVENT activities in the Mekong to which AusAID's Contribution is directed.
- K. The Participants will work together to monitor and/or evaluate activities funded by AusAID's Contribution. The Participants also agree to cooperate in organizing a joint independent evaluation of PREVENT in the Mekong to which AusAID's Contribution is directed that meets both AusAID and USAID program quality requirements. The schedule and Terms of Reference of this evaluation will be mutually agreed to by the Participants.
- L. The Participants will endeavor to ensure that women are well represented in PREVENT activities and in the development and targeting of communication materials. Any impact of PREVENT activities on gender equality will be monitored and reported in quarterly reports.
- M. This MoC may be amended or modified at any time by the written agreement of the Participants.
- N. This MoC may be terminated by either Participant upon sixty (60) days advance, written notice to the other.
- O. This MoC is effective and enters into force upon the date of the signature of both Participants and remains in effect until 30 September 2015.
- P. The MoC is prepared in duplicate, each of which is deemed to be a counterpart original.

IN WITNESS WHEREOF, the Participants, each acting through their duly authorized representatives, have caused this MoC to be signed in their names and delivered as of this 6th day of June 2012.

COMMONWEALTH OF AUSTRALIA

[Redacted Signature]

By: _____

[Redacted Signature]

AusAID

GOVERNMENT OF THE UNITED STATES OF AMERICA

[Redacted Signature]

By: _____

[Redacted Signature]

USAID

ANNEX 1: PREVENT ACTIVITY DESCRIPTION

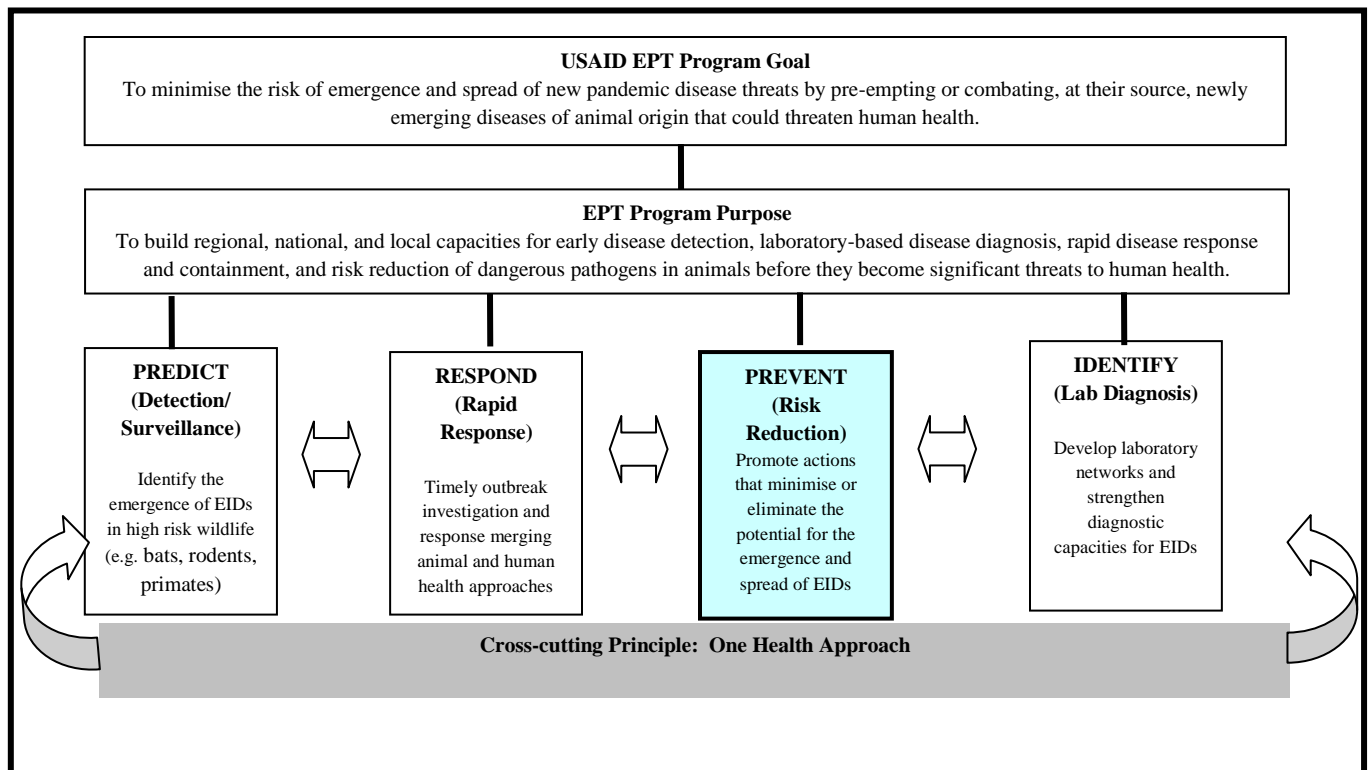
USAID Emerging Pandemic Threats (EPT) Program

In October 2009, USAID launched a five-year global Emerging Pandemic Threats (EPT) program that builds on the successes of USAID’s long-standing programs in disease surveillance, training, and outbreak response, particularly those addressing avian and pandemic influenza. The EPT program is a comprehensive intervention package implemented through four interconnected projects, namely: PREVENT, PREDICT, RESPOND, and IDENTIFY.

The **goal** of the EPT Program is to minimise the risk of emergence and spread of new pandemic disease threats by pre-empting or combating, at their source, newly emerging diseases of animal origin that could threaten human health.

The **purpose** of the EPT Program is to build regional, national, and local capacities for early disease detection, laboratory-based disease diagnosis, rapid disease response and containment, and risk reduction of dangerous pathogens in wildlife before they become significant threats to human health.

EPT seeks to produce better predictive models for early identification of EID threats from wildlife. Efforts are targeted at a limited number of regional resource-poor EID hot spots where new disease threats have emerged in the past. This include: Congo Basin of East and Central Africa, Mekong region of Southeast Asia, Amazon region of South America, and the Gangetic Plain of South Asia. The EPT program logic is illustrated below.



Description of the PREVENT Activity

The PREVENT activity is focused on emerging zoonotic transmission from wildlife due to increasing frequency and dynamics of animal-human contacts in rural, urban, and peri-urban areas. EPT recognises the important role of wildlife as unknown reservoirs of EIDs, an issue left unaddressed by the previous global focus on avian influenza.

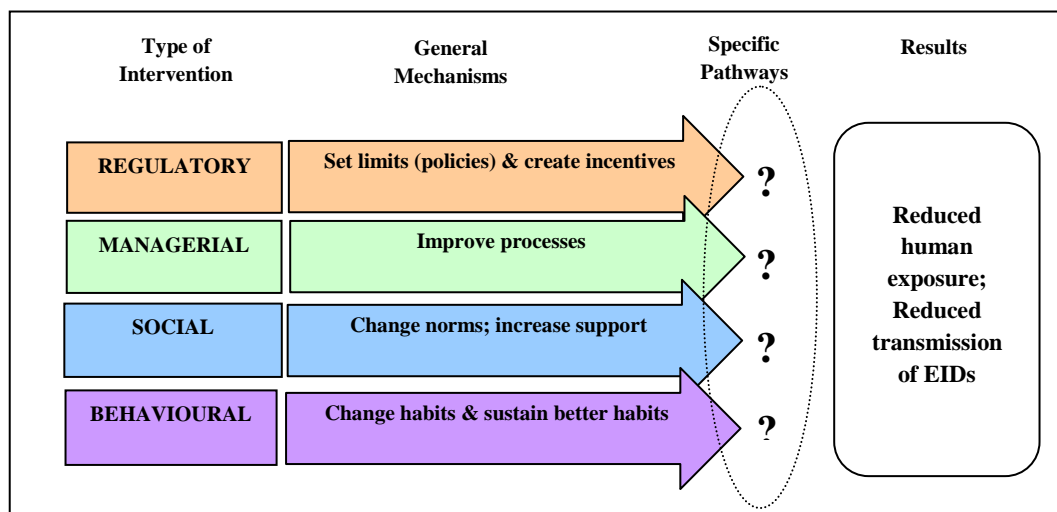
PREVENT's project **goal** is to build local capacities in reducing risks of disease transmission from dangerous pathogens in wildlife before they become significant threats to human health. Because behaviours are at the centre of the animal-human contact dynamics, PREVENT's project **purpose** is to apply a social and behavioural change approach in developing and introducing interventions for improved disease prevention practices across multiple levels (e.g. individual, community, policy).

Interventions are assessed to be effective to the extent that they led to a decrease in the prevalence of high risk habits among exposed/high risk populations, and to an increase in the short-term prevalence of tested preventive practices. Successful interventions are then documented with clear identification and analysis of context-specific factors and motivations that enabled behaviour change. This will then inform the development of a Behavioural Change and Communication Framework of risk reduction for EIDs.

By the end of its 5-year implementation, PREVENT expects to provide and deliver :

- a) A clearer evidence base for specific social and behavioural factors that affect the risk of emerging pandemic threats (e.g. characterisation of risky and protective practices and a better understanding of how specific policies and organisational choices create contexts that enhance or decrease risks);
- b) An evidence-based contribution to a global strategic framework for prevention and mitigation of emerging pandemic threats; and
- c) Tested strategies for preventing emerging pandemic threats at the community-level.

PREVENT is implemented by FHI360 from 30 September 2009 to 29 September 2014 and is based on lessons learned from USAID's previous experience implementing community-based avian influenza interventions at the country, regional, and global levels. PREVENT's approach to reducing the risk of emerging pandemic threats is to identify the specific pathways through which different types of intervention can affect exposure and risk of EID transmission. This can be illustrated as follows:



PREVENT's implementation approach include:

- a) Development of a validated behaviour change and communication (BCC) strategic framework on risk reduction for emerging zoonotic diseases;
- b) Characterisation of high risk practices of individuals and organisations, including social and behavioural determinants, that enable transmission of novel diseases from animal hosts to humans and between humans;
- c) Identification of high risk groups who are most vulnerable to exposure and infection by emerging zoonotic diseases;
- d) Development and validation of effective BCC interventions that raise awareness among the public and policy makers on risks and appropriate actions needed to minimise human infection by emerging zoonotic diseases; and
- e) Implementation of behaviour change activities among high risk populations that aim to lower the risk of transmission of novel pathogens from animals to humans and between humans.

PREVENT activities will:

- a) At the population level
 - Assess existing interventions, and then adapt/improve and scale up those that are effective
 - Obtain better information about behavioural differences between infected and uninfected populations
 - Conduct formative research in high-risk populations to identify safer alternative practices and understand actual and perceived benefits and barriers to adopting them
 - Work with partners to develop a hot spot community alert system for unusual events in animals and humans
 - Apply best practices behaviour change and communication approaches
 - Expand approaches by engaging people at a social level (through social organisations, other networks) and using technologies such as mobile phones where feasible.
- b) At the policy/organisational level
 - Work with a wide range of partners to develop a risk reduction/primary prevention framework
 - Conduct formative research with policy makers and other key stakeholders to understand barriers and benefits for acting with a "One Health" perspective
 - Support advocacy activities
 - Identify all stakeholders and ensure that they have an opportunity to participate
 - Build and support connections between stakeholders
 - Work with stakeholders to identify ways of working together to their mutual benefit.

Geographic Coverage

As part of a global program, PREVENT is implemented across select areas in the Gangetic Plain, the Amazon River Basin, the Congo River Basin, and in South East Asia. For the latter, PREVENT activities are focused in the Mekong (e.g. Cambodia, Laos, Vietnam) and in Thailand and Indonesia. PREVENT, like other EPT components, does not have any current activities in Burma.

+ END +