

# Access Point Service Provider Deed Poll

**By**

**[Insert full legal name of Access Point Service Provider]**

**(Access Point Service Provider)**

**In favour of**

**Accreditation Body**

**AND**

**Digital Business Council**

**AND**

**Commonwealth of Australia** as represented by the **Australian Taxation  
Office's Australian Business Register**

**(Individually and jointly the Accreditation Body)**

Version 2.0

14<sup>th</sup> March 2017

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DRAFT

**THIS DEED POLL** is made on **[insert date]**

**BY**

**[INSERT FULL LEGAL NAME OF ACCESS POINT SERVICE PROVIDER]** ABN  
**[INSERT]**

of **[Address]**

**[email]**

**(‘Access Point Service Provider’)**

**IN FAVOUR OF**

**Accreditation Body**

of **[Address]**

**[email]**

**AND**

**Digital Business Council**

of **[Address]**

**[email]**

**(‘Council’)**

**AND**

**COMMONWEALTH OF AUSTRALIA** represented by the Australian Taxation Office’s  
Register of Small Business ABN 51 824 753 556

of **[Address]**

**[email]**

**(‘ATO’)**

**(Individually and together the ‘Accreditation Body’)**

## Background

- A. The Access Point Service Provider wishes to provide Access Point services to Clients under the Accreditation Body's eInvoicing Interoperability Framework (**Framework**).
- B. The Framework details the procedures, standards and guidelines for the electronic exchange of Business Documents between participants under the Framework.
- C. The intent of the Framework is to provide a national framework to allow the entire business community to have access to a range of competitive solutions that are able to exchange information digitally. To do this the Access Point Service Provider must conform to the minimum operating and technical standards required by this Deed Poll. While commencing with eInvoicing it is intended that the types of transactions implemented will expand over time to include other aspects of the procure to pay life cycle.
- D. The Accreditation Body oversees and may audit the services provided by the Access Point Service Provider, to ensure that they are provided and maintained in accordance with the Framework.
- E. The Access Point Service Provider is Accredited to access and adopt the Framework on the terms and conditions set out in this Deed Poll.

## This Deed Poll witnesses as follows

### 1 Definitions and Interpretation

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#### 1.1 Definitions

For the purposes of this Deed Poll unless otherwise specified:

**Access Point or AP** means a software messaging service which sends and receives electronic Messages and which can be implemented internally by an organisation or business or provided by an external provider to a Client.

**Access Point Service Provider** means a provider of Access Point services to a Client.

**Access Point Service Provider Contact** means the contact point appointed by the Access Point Service Provider and notified in writing to the Accreditation Body to be the Access Point Service Provider's contact for the purposes of this Deed Poll and with the responsibility to fulfil the Access Point Service Provider's obligations under clause 8.6(b).

**Accreditation or Accredited** means the approval to operate an Access Point service, granted by the Accreditation Body to an Access Point Service Provider, upon the



Access Point Service Provider committing to adhere to the standards specified under the Framework and to the requirements in this Deed Poll.

**Accreditation Body** means the Council, the ATO or both and includes their successors.

**Accreditation Body's Website** means the Accreditation Body's Website accessible at: <http://digitalbusinesscouncil.com.au>

**Accreditation Fee** means the fee payable by the Access Point Service Provider to the Accreditation Body as set by the Accreditation Body and notified on the Accreditation Body's Website to be considered for Accreditation under the Framework by the Accreditation Body.

**Available** means with respect to an Access Point, being capable of receiving and sending electronic Messages in accordance with the Framework.

**Binding Implementation Practice Note** means a notification issued by the Accreditation Body that outlines operational guidance on methods or practices for implementing the Framework.

**Business Day** means any day other than a Saturday, Sunday or public holiday in Canberra, Australian Capital Territory.

**Business Hours** means anytime between 9am and 5pm (local time) on a Business Day.

**Business Documents** means Accreditation Body endorsed documents used by the business in its day-to-day activities such as invoicing.

**Client** means a business, organisation or any other entity, for which the Access Point Service Provider provides its Access Point services.

**Confidential Information** of a Party means:

- (a) information, know-how, ideas, concepts and technology of a confidential nature relating to or developed in connection with the business or affairs of the Party which is disclosed to, learnt by, or which otherwise comes to the knowledge of or into the possession of the other Party;
- (b) information designated by that Party as confidential; or
- (c) information regarding clients, customers, employees, contractors of or other persons doing business with that Party,

but does not include information:

- (d) which is or becomes generally available in the public domain, other than through any breach of confidence;

- (e) rightfully received by the other Party from a third person who is under no obligation of confidentiality in relation to the information and who has not obtained that information either directly or indirectly as a result of a breach of any duty of confidence owed to the first Party; or
- (f) that has been independently developed by the other Party.

**Contingency** means any Disabling Event.

**Corporations Act** means the *Corporations Act 2001* (Cth).

**Council** means the Digital Business Council in what ever legal form it may be in and which constitutes the industry representatives, representing business interests.

**Deed Poll** means this Deed Poll made by the Access Point Service Provider in favour of the Accreditation Body, the Council and the ATO comprising the following:

- (a) any Binding Implementation Practice Note issued by the Accreditation Body;
- (b) the clauses in the body of this Deed Poll;
- (c) the paragraphs in the body of the Schedules;
- (d) the Rules;
- (e) the Implementation Guide; and
- (f) the Framework.

**Defect** means any characteristic that makes the whole or any part of an Access Point inoperable or inconsistent with the requirements of this Deed Poll including any Binding Implementation Practice Note issued by the Accreditation Body, the clauses in the body of this Deed Poll, the Implementation Guide, the paragraphs in the body of the Schedules or the Framework.

**Digital Capability Locator** is a service for looking up the location of the Digital Capability Publisher for a Participant.

**Digital Capability Publisher or DCP** means a store of the details of the capabilities of Participants and includes the scenarios they can process, the data formats they support and the delivery address for their Business Documents..

**Disabling Event** means any:

- (a) processing, communications or other failure of a technical nature;
- (b) inaccessibility (total or partial) of facilities by means of which exchanges are conducted; or
- (c) manifestation of industrial action, which affects, or may affect, the ability of an Access Point Service Provider to participate to the normal and usual extent in the electronic exchange of Business Documents.

**Domain of Responsibility** means an Access Point Service Provider's function and maintenance of its services, required for interacting within the scope of the Framework.

**Effective Date** means the date from which this Deed Poll takes effect, which is the day on which the Access Point Service Provider signs it.

**Force Majeure Event** means any circumstance not within the reasonable control of the affected Party, to the extent that:

- (a) the circumstance cannot be avoided, prevented or remedied despite the exercise of reasonable diligence by the Party;
- (b) the circumstance materially affects the ability of the Party to perform its obligations under this Deed Poll; and
- (c) the Party has taken all reasonable precautions to avoid the effect of the circumstance on the Party's ability to perform its obligations under this Deed Poll and to mitigate the consequences thereof.

**Framework** means the Accreditation Body's Interoperability Framework which details the procedures and guidelines for the electronic exchange of Business Documents between its Participants as modified from time to time and which is accessible at: <http://digitalbusinesscouncil.com.au>

**GST** has the meaning given to that term in the GST law.

**GST Law** has the meaning given to that term in the *A New Tax System (Goods and Services Tax) Act 1999* (Cth).

**Harmful Code** means any computer program, trojan, virus or other code which is not intended to serve a legitimate purpose and which is harmful, destructive or disabling or which assists in or enables theft, alteration, denial of service, unauthorised access to or disclosure, destruction or corruption of information, data or software.

**Implementation Guide** means documents published by the Accreditation Body that outline and describe a set of rules and guidelines on the use of the standards.

**Insolvency Event** in relation to the Access Point Service Provider (**Insolvent Party**) means the happening of any one or more of the following events:

- (a) the Insolvent Party ceases, or takes steps to cease, to conduct its business in the normal manner;
- (b) the Insolvent Party enters into or resolves to enter into any arrangement, composition or compromise with or assignment for the benefit of its creditors or any class of them;
- (c) the Insolvent Party is unable to pay its debts when they are due or is deemed under the *Corporations Act 2001* (Cth) to be insolvent;

- (d) a liquidator or provisional liquidator is appointed to the Insolvent Party or a receiver, receiver and manager, official manager, trustee or similar official is appointed over any of the assets or undertakings of the Insolvent Party;
- (e) an application or order is made or a resolution is passed for the winding up of the Insolvent Party;
- (f) being an individual is declared bankrupt, seeks a composition of creditors, suspends payments or in any other way is deemed to be insolvent; or
- (g) any act or event analogous or having a substantially similar effect to any of the events specified in paragraphs (a) to (f) of this definition.

**Key Operating Staff** means Personnel directly responsible for overseeing and maintaining the services provided by an Access Point under the Framework and includes all directors, the secretary, the chief executive officer, the chief operating officer, the chief financial officer, chief information officer, chief technology officer, and all equivalents in an organisation, partnership, trust or company.

**Law** means any law including any common law, equity, statute, regulation, proclamation, ordinance, by-law, mandatory code of conduct, writ, judgment and any award or other industrial instrument.

**Loss** means loss, damage, liability, charge, expense, outgoing, payment or cost of any nature or kind, including all legal and other professional costs on a full indemnity basis.

**Message** means an electronic message or signal sent or received by the Participants under the Framework.

**Participant** means the Accreditation Body, Accredited Access Point Service Providers, Digital Capability Publisher Service Providers and Digital Capability Locator Service Providers and the businesses, organisations and other entities who have adopted the Framework.

**Party** means:

- (a) the Access Point Service Provider;
- (b) the Accreditation Body;
- (c) the Council;
- (d) the ATO; or
- (e) any combination of them as may be relevant in the circumstances.

**Personal Information** means:

- (a) information or an opinion about an identified individual, or an individual who is reasonably identifiable, whether the information or opinion is true or not

and whether the information or opinion is recorded in a material form or not;  
or

- (b) information or a document that relates to the affairs or personal particulars of another person (such as a company or a business),

which is received or learnt by the Access Point Services Provider from any source as a consequence of or in the performance of its rights and obligations under this Deed Poll.

**Personnel** means in respect of a Party, employees, secondees, directors, officers, contractors, professional advisers and agents of that Party, and in relation to the Access Point Service Provider includes such individuals of its subcontractors.

**Privacy Laws** means the *Privacy Act 1988* (Cth), the *Spam Act 2003* (Cth), the *Telecommunications Act 1997* (Cth), any registered Australian Privacy Principles Code that binds the Access Point Services Provider, the Privacy Policy issued by the Accreditation Body (available at: <http://digitalbusinesscouncil.com.au/privacy/>), and any other Laws, industry codes and policies relating to the handling of Personal Information.

**Related Body Corporate** has the meaning given to that term in section 9 of the *Corporations Act 2001* (Cth).

**Rules** means the logo use rules which form Annexure A of this Deed Poll.

**Service Provider** means an Access Point Service Provider, a Digital Capability Publisher Service Provider or Digital Capability Locator or any combination of them as appropriate to the circumstances.

**Term** means the period described in clause 3.

**Testing Requirement** means the requirements under clauses 4.1 and 6.2 as set out in more detail in Schedule 3.

**Warning Note** means a written notice directed to the Access Point Service Provider describing an issue of concern or complaint and a timeframe to rectify the issue of concern or complaint.

## 1.2 Interpretation

In this document:

- (a) headings are for convenience only and do not affect interpretation;
- (b) the singular includes the plural and vice versa;
- (c) a gender includes every other gender;
- (d) where a word or phrase is defined, its other grammatical forms have a corresponding meaning;

- (e) a reference to a Party to this Deed Poll includes the Party's successors and permitted assignees;
- (f) a reference to a person includes a firm, a body corporate, an unincorporated association or an authority and vice versa;
- (g) a reference to this Deed Poll or another document includes any variation, novation, replacement or supplement to any of them from time to time;
- (h) a reference to a part, clause, annexure, exhibit, appendix or schedule is a reference to a part of, clause of, an annexure, exhibit, appendix or schedule to this Deed Poll and a reference to this Deed Poll includes any annexure, exhibit, appendix and schedule;
- (i) a reference to a right or obligation of two or more persons confers that right, or imposes that obligation, as the case may be, jointly and severally;
- (j) a reference to any legislation or to any provision of any legislation includes any modification or re-enactment of it, any legislative provision substituted for it and any regulations and statutory instruments issued under it;
- (k) a reference to conduct includes any omission, representation, statement or undertaking, whether or not in writing;
- (l) mentioning anything after 'includes' or 'including' does not limit what else might be included;
- (m) no rule of construction applies to the disadvantage of a Party because that Party was responsible for the preparation of this document;
- (n) a reference to dollars or \$ is to Australian currency;
- (o) all references to time are to Canberra time; and
- (p) all references to accounting and financial terms have the meaning commonly given to them in accordance with the accounting principles generally accepted in Australia.

### **1.3 Relationship with the Framework**

This Deed Poll refers to, and is to be read in conjunction with the Framework, published by the Accreditation Body on its website at:

<http://digitalbusinesscouncil.com.au>

### **1.4 Precedence of documents**

The following documents comprising this Deed Poll must be read in the following order of precedence:

- (a) Binding Implementation Practice Note;
- (b) the paragraphs in the body of the Schedules;

- (c) the clauses in the body of this Deed Poll;
- (d) the Rules;
- (e) the Implementation Guide; and then
- (f) the Framework.

## **2 Declarations**

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- (a) The Access Point Service Provider declares that this Deed Poll is for the benefit of:
  - (i) the Commonwealth of Australia as represented by the Australian Taxation Office's Australian Business Register and any successors in title;
  - (ii) the Digital Business Council whether as an unincorporated body or as an incorporated body, whether called the Digital Business Council Limited or similar and any successors in title;
  - (iii) the Accreditation Body in whatever form it may be including as operated or directed or controlled by the Commonwealth of Australia or the Digital Business Council, or both.
- (b) To the extent applicable, each declaration, undertaking, acknowledgement, promise and agreement of the Access Point Service Provider described in this Deed Poll is restated by the Access Point Service Provider at the time of any further submission of material or any other thing to the Accreditation Body or to the Council or to the Commonwealth or to any of them by the Access Point Service Provider.

## **3 Term of this Deed Poll**

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### **3.1 When Deed Poll Commences**

This Deed Poll commences on the date it is executed by the Access Point Service Provider which is set out in the execution page.

### **3.2 When Deed Poll Ends**

This Deed Poll will end according to clause 22.

## **4 Eligibility**

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### **4.1 Eligibility to be Accredited as an Access Point Service Provider under the Framework**

The Access Point Service Provider will be eligible to obtain the Accreditation Body's Accreditation to provide Access Point services and participate under the Framework as an Accredited Access Point Service Provider when it completes all of the following:

- (a) it successfully satisfies the Testing Requirements set out in Schedule 3 and in accordance with the processes and requirements of this Deed Poll and the Framework, and submits to the Accreditation Body the signed declaration as required by clause 4.4;
- (b) it completes a Threat and Risk Assessment [derived from the National Institute of Standards and Technology Standards] and completes an annual review of this assessment;
- (c) it commits to cooperating as a Participant under the Framework by signing this Deed Poll;
- (d) its Key Operating Staff are all fit and proper persons as demonstrated by those persons:
  - (i) being competent to operate an Access Point Service Provider business (as demonstrated by the person's knowledge, skills and experience);
  - (ii) having the attributes of good character, diligence, honesty, integrity and judgement;
  - (iii) not being disqualified by law from performing their role for the Access Point Service Provider or by way of:
    - (A) becoming convicted of the equivalent of a Serious Commonwealth Offence as defined in section 15 GE of the *Crimes Act 1914* (Cth) against:
      - (1) a law of the Commonwealth of Australia or of a state or territory of Australia; or
      - (2) a law of a parliament of another country;
    - (B) determined not to be a fit and proper person as prescribed by any law of the Commonwealth of Australia or of a state or territory of Australia or another country;
    - (C) ever becoming bankrupt, applying to take the benefit of a law for the benefit of bankrupt or insolvent debtors, having compounded with creditors or assigned remuneration for the benefit of creditors; and
  - (iv) either having no conflict of interest in performing their role for the Access Point Service Provider, or if any conflict exists it will not create a material risk that the person will fail to properly perform their role for the Access Point Service Provider under the Framework;
- (e) it makes a declaration in accordance with clauses 4.3 and 4.4;

**Comment [MO1]:** To be determined by the DBC Digital Capability Locator Working Group



- (f) it provides the Access Point Service Provider services within eighteen (18) months of signing of this Deed Poll; and
- (g) it pays the Accreditation Fee as set by the Accreditation Body from time to time.

#### **4.2 Eligibility to Remain Accredited as an Access Point Service Provider under the Framework**

- (a) The Access Point Service Provider will continue to remain Accredited to provide Access Point services under the Framework and to participate under the Framework as a Participant provided it continues to satisfy the requirements of clause 4.1.
- (b) The Access Point Service Provider must immediately notify the Accreditation Body of any material change or expected material change to the matters contained in clause 4.1.

#### **4.3 Accreditation Process**

The Access Point Service Provider agrees and acknowledges that the process an Access Point Service Provider must follow to obtain Accreditation and become a Participant under the Framework is as follows:

- (a) Step 1 Downloading the Testing Requirements from the Accreditation Body's Website;
- (b) Step 2 Testing its software against the Testing Requirements described in clause 4.1 and recording the results;
- (c) Step 3 Uploading the test results into the Accreditation Body's Website and ensure that the test results are stored in a form that can be audited by the Accreditation Body in accordance with clause 18 for a period of not less than two (2) years;
- (d) Step 4 Uploading the declaration providing the information required by clauses 4.1(b) and 4.1(d) in the form required by clause 4.4 and stating which, if any, of the Access Point service levels (bronze, silver or gold) specified in Schedule 2 it will provide to its Clients;
- (e) Step 5 Signing this Deed Poll and by doing so undertaking to comply with the Rules and uploading the signed copy of this Deed Poll to the Accreditation Body's website;
- (f) Step 6 The Accreditation Body will notify the Access Point Service Provider with confirmation of Accreditation or will request more information; and
- (g) Step 7 The Access Point Service Provider is Accredited once it has received a written notice of confirmation from the Accreditation Body in accordance with clause 5.1.

#### **4.4 Evidence**

The Access Point Service Provider must, when applying to the Accreditation Body for Accreditation, provide the Accreditation Body with a declaration of self assessment in the form required by the Accreditation Body's Website.

### **5 Assessment and Appeals**

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#### **5.1 Accreditation Body Assessment**

The Accreditation Body will assess the Access Point Service Provider's information provided under clause 4 against the eligibility and testing requirements in clause 4 and Schedule 3 and determine in its sole discretion whether the Access Point Service Provider will be admitted as an Accredited Access Point Service Provider under the Framework.

#### **5.2 Appeals**

If the Access Point Service Provider is not satisfied with the outcome of its application to obtain Accreditation, it may appeal the Accreditation Body's decision in accordance with the appeal procedures issued by the Accreditation Body from time to time.

### **6 Testing**

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#### **6.1 Provision of Current Test Results**

- (a) The Access Point Service Provider must, when requested by the Accreditation Body, submit the current test results for its Access Point to the Accreditation Body for review covering the most recent build or configuration of the Access Point Service Provider's system within five (5) Business Days of the request.
- (b) If unable to produce the required test results within the timeframe specified in 6.1 (a) the Accreditation Body may request the Access Point Service Provider to retest its Access Point in accordance with the Testing Requirements and provide those results with a further five (5) Business Days to remain eligible as an Accredited Access Point Service Provider.

#### **6.2 Testing requirements**

The Testing Requirements with which the Access Point Service Provider must comply are contained in Schedule 3. These testing requirements may be updated at any time by the Accreditation Body. Following an update, the Accreditation Body will notify the Access Point Service Provider, if it determines that the changes to the testing requirements are significant enough to undertake reassessment and retesting pursuant to clauses 5 and 6 respectively.

### **6.3 Logical Separation of environments**

The Access Point Service Provider must ensure that an appropriate level of logical separation is enforced between its internal applications, particularly between its testing environment and its production environment. As a minimum, the Access Point Service Provider must ensure that an unauthorised business document (i.e. a test version) is not accidentally or otherwise accepted into the Access Point Service Provider's production system.

## **7 Access Point Service Provider's Obligations**

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### **7.1 General obligations**

The Access Point Service Provider must:

- (a) provide the Access Point services relevant to its role as an Access Point Service Provider as set out in this Deed Poll including, in particular, the requirements of Schedule 2 and the Framework;
- (b) commence the provision of the services described in clause 6.1 (a) within eighteen (18) months of the Effective Date;
- (c) ensure that its Access Point services are provided and maintained in a reliable manner including as set out in Schedule 2;
- (d) comply with the Rules;
- (e) as far as it is possible, without violating confidentiality commitments to third parties or Privacy Laws, the Access Point Service Provider must make available to other Participants relevant information held by it which is needed by those Participants for providing and maintaining their services;
- (f) protect its own data systems against illicit use, Harmful Code, malicious code, viruses, computer intrusions, infringements and illegal tampering of data and other comparable actions by third parties;
- (g) use reasonable endeavours to avoid the transmission of any Harmful Code, viruses, time bombs, worms or similar items or any computer programming routines that may adversely affect any other Participant's computer systems;
- (h) notify all relevant Participants within sixty (60) minutes if they observe disruption of service or an infrastructure failure as specified in Schedule 2 within its Domain of Responsibility which may endanger the fulfilling of agreed tasks under the Framework;
- (i) promptly inform the Accreditation Body in writing if there is any material change in any of the circumstances or requirements referred to in clause 4.1;
- (j) if unable to fulfil its obligations under this Deed Poll, promptly inform the Accreditation Body in writing; and

- (k) ensure that it has sufficient resources for the delivery of the Access Point services and for the maintenance of its own software systems.

## **7.2 Disputes between Accredited Access Point Service Providers and between Accredited Digital Capability Publisher Service Providers**

Any dispute between Accredited Access Point Service Providers or between an Accredited Access Point Service Provider and Digital Capability Publisher Service Providers must be:

- (a) resolved amicably by negotiations between the Accredited Access Point Service Providers or between the Accredited Access Point Service Provider and the Digital Capability Publisher Service Provider within fifteen (15) days following notice from one provider to the other regarding the dispute;
- (b) escalated to the Accreditation Body if not resolved within fifteen (15) days, in which case the providers must agree on whether the decision from the Accreditation Body, or from one or more technical experts appointed by the Accreditation Body, will be considered binding or only advisory (as a basis for further negotiations); or
- (c) when none of the other options provides a satisfactory solution within thirty (30) days following notice from one provider to the other the providers may pursue other alternatives for resolution, including but not limited to, mediation or court proceedings.

## **8 Access Point Interoperability**

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### **8.1 Access Point Connectivity**

The Access Point Service Provider must ensure that:

- (a) its Access Point is able to connect to the Digital Capability Locator and the relevant Digital Capability Publisher, as a part of locating the digital address of other Access Points;
- (b) its Client is notified at the Access Point Service Provider's earliest convenience if it becomes aware that one of its Clients' business identifiers is not valid;
- (c) its Access Point is able to establish and maintain a Messaging connection with the other Access Point once the digital address of that Access Point Service Provider is located; and
- (d) its Access Point supports and conforms to any connectivity standards set out in the Implementation Guide published by the Accreditation Body.

### **8.2 Access Point Availability**

The Access Point Service Provider must ensure that in relation to its Access Point:

- (a) the Access Point availability requirements set out in clause 7.1(a) and, if applicable, Schedule 2 are met;
- (b) that it notifies all accredited Service Providers and the Accreditation Body of any non-availability due to any issues for a planned period of time prior to the non-availability; and
- (c) if its Access Point does not receive an acknowledgement of receipt from any other Accredited Access Point it must follow the retry protocol outlined in the Implementation Guide published by the Accreditation Body.

### **8.3 Access Point Processing**

The Access Point Service Provider must ensure that its Access Point:

- (a) adheres to the interoperability standards detailed in the Implementation Guide published by the Accreditation Body; and
- (b) follows the processing requirements set out in Schedule 2.

### **8.4 Messaging Service Infrastructure and Security Protocols**

The Access Point Service Provider must comply with the most recent Messaging services infrastructure and security protocols as set out in the Implementation Guide published by the Accreditation Body.

### **8.5 Problem and Error Management**

- (a) The Access Point Service Provider must comply with all applicable error management protocols and procedures set out in the Implementation Guide, including technical retry processes and procedures.
- (b) If, when the Access Point of the Access Point Service Provider has sent another Accredited Access Point Service Provider a Message and
  - (i) a success notification is not achieved within the timeframe set out in Schedule 3 after sending the original Message; and
  - (ii) all retry protocols have been exhausted, as set out in the Implementation Guide

the Access Point Service Provider, at its earliest convenience, must notify this issue to the Client on whose behalf the original Message was sent.

### **8.6 Service Support**

- (a) The Access Point Service Provider's infrastructure and support arrangements for their Access Point must meet the availability requirements set out in clause 8.2 of this Deed Poll.
- (b) The Access Point Service Provider must ensure that it has a current nominated Access Point Service Provider Contact with the Accreditation Body.

## **8.7 Contingency and Cooperation**

- (a) The Access Point Service Provider must cooperate with other Access Point Service Providers in resolving any Access Point service difficulties including due to or during a Contingency.
- (b) To the extent that this cooperation does not adversely affect its own processing environment, an Access Point Service Provider receiving a request for assistance from another Access Point Service Provider may not unreasonably withhold that assistance.

## **9 Disconnections**

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### **9.1 Notice of Disconnection required**

Before the Access Point Service Provider may be permitted to, or may implement, any disconnection of its connectivity or systems to its Access Point and maintain its Accreditation under the Framework, it must provide no less than fifteen (15) Business Days prior written notice to accredited Service Providers and the Accreditation Body of the disconnection.

### **9.2 Revocation of Accreditation if Notice of Disconnection not provided**

Where the Access Point Service Provider does not provide the relevant accredited Service Providers and the Accreditation Body with a notice of disconnection as required by clause 9.1, the Accreditation Body may revoke the Access Point Service Provider's Accreditation to participate under the Framework.

## **10 Costs and Charges**

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- (a) The Access Point Service Provider must;
  - (i) pay the Accreditation Fee specified in clause 4.1(g);
  - (ii) bear its own development and operation costs relating to its own data systems and procedures as required to fulfil its obligations under this Deed Poll and under the Framework;
  - (iii) not charge the Accreditation Body or Access Point Service Provider for any service whatsoever, unless specifically agreed in a separate agreement; and
  - (iv) not charge for exchanging Business Documents between Access Points.
- (b) The Access Point Service Provider may freely and independently determine the pricing it charges to its Clients for the services it provides to a Client.

## 11 Goods and Services Tax (GST)

### 11.1 Recovery of GST

If one Party (**Supplying Party**) makes a taxable supply and the consideration for that supply does not expressly include GST, the Party that is liable to provide the GST-exclusive consideration (**Receiving Party**) must also pay an amount (**GST amount**) equal to the GST payable in respect of that supply.

### 11.2 Time for payment of GST amount

Subject to first receiving a tax invoice or adjustment note as appropriate, the Receiving Party must pay the GST amount when it is liable to provide the GST-exclusive consideration.

### 11.3 Indemnity and reimbursement payments

If one Party must indemnify or reimburse another Party (**Payee**) for any loss or expense incurred by the Payee, the required payment does not include any amount which the Payee (or an entity that is in the same GST group as the Payee) is entitled to claim as an input tax credit or would have been entitled to claim as an input tax credit had the other Party registered for GST if it was required or entitled to do so, but will be increased under clause 11.1 if the payment is consideration for a taxable supply.

### 11.4 Adjustment events

If an adjustment event arises in respect of a taxable supply made by a Supplying Party, the GST amount payable by the Receiving Party under clause 11.1 will be recalculated to reflect the adjustment event and a payment will be made by the Receiving Party to the Supplying Party, or by the Supplying Party to the Receiving Party, as the case requires.

### 11.5 Time limit on payment of the GST amount

A Receiving Party is not required to pay the GST amount referred to in clause 11.1 unless it has received a tax invoice in respect of the supply (or, if section 156-5(1) of the GST Act applies to the supply, the periodic or progressive component of the supply) from the Supplying Party within three years and 11 months after the end of:

- (a) the first calendar month in which any of the GST-exclusive consideration for the supply (or the periodic or progressive component of the supply) is provided; or
- (b) if an invoice is issued prior to the provision of any of the GST-exclusive consideration for the supply (or the periodic or progressive component of the supply), the calendar month in which the invoice is issued.

## **12 Subcontracting**

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The Access Point Service Provider remains responsible for any Access Point services subcontracted by it.

## **13 Data Ownership**

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### **13.1 Message data owned by Client**

The Access Point Service Provider acknowledges that the content of the Messages and their associated metadata is owned by the Client.

### **13.2 Client's permission to publish metadata**

- (a) The Access Point Service Provider must ensure that the Client has given its acceptance to publish the Client's metadata to both the Digital Capability Publisher Service Provider and the Digital Capability Locator.
- (b) If the registration is done by a third party and not the Access Point Service Provider who has the commercial arrangement with the Client, the Access Point Service Provider must ensure it is able to provide evidence of any transfer of responsibility.

### **13.3 Updates of metadata**

If a Client's or a Participant's metadata is updated, the third party requesting the update must maintain an audit trail pertaining to the authorisation by the Client or Participant to carry out the update. The authorisation may be obtained by email.

## **14 Confidentiality and Privacy**

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### **14.1 Confidentiality Obligations**

The Parties:

- (a) must keep confidential any data, documents or other material that they have received from the other Party or otherwise in relation to the execution of their responsibilities and services under this Deed Poll which are Confidential Information;
- (b) must only use or reproduce the other Party's Confidential Information for the purposes of this Deed Poll; and
- (c) must take all steps reasonably necessary to:
  - (i) maintain the confidentiality of the other Party's Confidential Information;
  - (ii) ensure that any person who has access to Confidential Information of the other Party through it or on its behalf does not use, reproduce or



disclose that Confidential Information other than in accordance with this Deed Poll; and

- (iii) enforce the confidentiality obligations imposed or required to be imposed by this Deed Poll, including diligently prosecuting at its cost any breach or threatened breach of such confidentiality obligations by a person to whom it has disclosed Confidential Information of another Party.

#### **14.2 Disclosure of Confidential Information**

Each Party who receives Confidential Information of the other Party may not disclose that Confidential Information to any person except:

- (a) to its Personnel who need to know the Confidential Information for the purposes of this Deed Poll and subject to the receiving Party taking reasonable steps to ensure that any such Personnel are fully aware of the confidential nature of the Confidential Information of the disclosing Party before the disclosure is made;
- (b) as required to be disclosed by Law or the listing rules of any stock exchange where the receiving Party's securities are listed or quoted;
- (c) if the disclosing Party has given its consent to the disclosure or use; or
- (d) as expressly permitted by this Deed Poll.

#### **14.3 A Party may Disclose the existence of service contracts**

For the avoidance of doubt, a Party may disclose information related to the existence of Access Point contracts within their Domain of Responsibility.

#### **14.4 Injunctive relief**

In addition to other remedies, a Party may seek injunctive relief for breach or threatened breach of the other Party's obligations of confidentiality under this Deed Poll.

#### **14.5 Privacy**

The Parties must protect the personal data they receive, collect and process according to the requirements of the Privacy Laws and any guidelines issued by the Accreditation Body.

#### **14.6 Survival**

The obligations of confidentiality and privacy in this clause 14 survive termination of this Deed Poll.

## **15 Logging**

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### **15.1 Requirement to keep logs**

The Access Point Service Provider must log all Message activity handled by its Access Point for reporting requirements to the Accreditation Body. These logs must be kept for at least two (2) years or for the period of time prescribed by any applicable Law.

### **15.2 Requirement to give Accreditation Body access to logs**

The Access Point Service Provider must, on request from the Accreditation Body, give access to relevant data from the logs to the Accreditation Body, provided the data is not subject to a duty of confidentiality, in which case the prior written consent of the Client or other data owner must be obtained.

## **16 Suspension and Revocation of Services**

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### **16.1 Accreditation Body may issue Warning Note**

If the Access Point Service Provider does not fulfil its responsibilities and obligations under this Deed Poll (including the Framework, Implementation Guide, Schedules and Binding Implementation Note but not the Rules or clause 7.1(c) ) or if fraud, spam or other misconduct by the Access Point Service Provider are identified, the Accreditation Body may issue a Warning Note to the Access Point Service Provider specifying the nature of the problem or issue, the actions required to rectify the issue, the timeframe in which the Access Point Service Provider is to rectify the problem or issue, and the consequences of not rectifying the issue within the timeframe indicated.

### **16.2 Suspension**

If the problem or issue is not rectified by the Access Point Service Provider within the timeframe and in accordance with the requirements specified in the Warning Notice the Accreditation Body may suspend the Access Point Service Provider from participation under the Framework. During suspension, the Access Point Service Provider cannot engage in any Access Point Provider transactions under the Framework.

### **16.3 Revocation**

If the problem or issue is serious or persistent and it is not rectified by the Access Point Service Provider within the timeframe and in accordance with the requirements specified in the Warning Notice the Accreditation Body may take action under clause 22.2.

### **16.4 Publishing Information about Suspension or Revocation**

The Accreditation Body may publish the details of a suspension or revocation of the Access Point Service Provider on the Accreditation Body's Website.

## 17 Liability

### 17.1 Indemnities

The Access Point Service Provider (**Indemnifying Party**) indemnifies the Accreditation Body, the Council, the ATO and any combination of them (**Indemnified Party**) and their Personnel (together **Indemnified Persons**) against all Loss suffered or incurred by the Indemnified Persons arising in connection with:

- (a) any fraudulent or unlawful act or omission of the Indemnifying Party or its Personnel;
- (b) any damage to real or personal property caused or contributed to by any act or omission of the Indemnifying Party or its Personnel;
- (c) any breach of confidentiality and privacy obligations by the Indemnifying Party or its Personnel; or
- (d) any Claim by a third party that use of any material in accordance with this Deed Poll infringes the Intellectual Property Rights of that third party,

except to the extent that the Loss is directly attributable to the negligence or wrongful act or omission of the Indemnified Person.

### 17.2 Exclusion of Consequential Loss

- (a) Subject to clause 17.3 the Indemnifying Party is not liable for any Loss suffered or incurred by the Indemnified Persons in connection with a breach of this Deed Poll by the Indemnifying Party that does not arise naturally (that is, according to the usual course of things) from that breach including loss of opportunity, income or profits (**Consequential Loss**).
- (b) The Parties acknowledge that the following are not Consequential Loss:
  - (i) costs of assessing or remedying a Defect or a breach of this Deed Poll;
  - (ii) costs of undertaking workarounds or other steps to mitigate the effects of a Defect or breach of this Deed Poll;
  - (iii) costs of notifying, communicating or compensating Clients or other third parties affected by a Defect or a breach of this Deed Poll;
  - (iv) costs of recovering or recreating data or records which have been lost, destroyed, deleted or corrupted as a result of a Defect or breach of this Deed Poll; or
  - (v) fines or penalties resulting from any breach of Law as a result of a breach of this Deed Poll by the Access Point Service Provider.

### 17.3 Exceptions

The limitations and exclusions in clause 17.2 do not apply to an Indemnified Party's liability for Loss suffered or incurred in respect of:

- (a) fraud or other unlawful acts;
- (b) damage to real or personal property;
- (c) breach of an obligation of confidentiality under this Deed Poll; and
- (d) breach of an obligation of privacy under this Deed Poll.

#### **17.4 Survival**

This clause 17 survives the expiration or earlier termination of this Deed Poll.

### **18 Insurance**

#### **18.1 Requirement to take out insurance**

The Access Point Service Provider must have and maintain valid and enforceable insurance policies for the following:

##### **Type of insurance**

Professional indemnity insurance to the value of \$5 million per claim and in the annual aggregate.

Public liability insurance (on an occurrence basis) for not less than \$20 million per claim.

Products liability insurance for not less than \$10 million in the annual aggregate.

Workers compensation insurance in accordance with the statutory requirements of the relevant jurisdiction in which the obligations of this agreement are carried out.

##### **Duration of insurance**

From the commencement date specified in clause 3.1 until no less than 3 years after the termination or expiry of this Deed Poll.

During the Term.

During the Term.

During the Term.

#### **18.2 Claims made policy requirements**

If the Access Point Services Provider takes out a 'claims made policy', which requires all claims and any fact situation or circumstance that might result in a claim to be notified within the period of insurance, the Access Point Service Provider must maintain the policy during the Term and a policy in like terms for seven years after the expiry or earlier termination of this Deed Poll.

### 18.3 Occurrence policy requirements

If the Access Point Service Provider takes out an 'occurrence' policy, which requires the circumstances to which a claim relates to occur during the period of insurance whilst the notification of the event can occur at any time subsequently, the Access Point Service Provider must maintain the policy during the Term.

### 18.4 Provision of copies or certificates of currency

The Access Point Service Provider must, on request, promptly provide to the Accreditation Body, the Council and the ATO any relevant insurance policies or certificates of currency for inspection.

### 18.5 Survival

This clause 18 survives the expiration or earlier termination of this Deed Poll.

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## 19 Audit

On the Accreditation Body's written request, the Access Point Service Provider must allow the Accreditation Body or an independent third Party nominated by the Access Point Service Provider and approved by the Accreditation Body (each an **Auditor**) to verify the Access Point Service Provider's compliance with the requirements of clauses 4, 6, 7, 8, and 9 of this Deed Poll in order to verify and, if necessary, audit the Access Point Service Provider's compliance with this Deed Poll. In relation to those audits:

- (a) the Accreditation Body may request audits at its discretion;
- (b) the Accreditation Body will not request an audit more than once in any 12 month period, unless an audit occurring in the preceding 12 month period identified a material non-conformance;
- (c) the Accreditation Body will give at least ten (10) Business Days' notice of any audit unless it reasonably suspects there is a serious non-compliance in which case it may require an audit on one (1) Business Day notice;
- (d) where there is demonstrable cause for the audit, the Access Point Service Provider must reimburse the Accreditation Body's reasonable costs of the audit;
- (e) the Access Point Service Provider must provide, and must ensure that its Personnel provide, the Auditor the full records relating to the subject matter of the audit;
- (f) the Access Point Service Provider is not required to disclose any information that:
  - (i) if disclosed, would result in the Access Point Service Provider being in breach of its confidentiality obligations to any person; or

- (ii) relates to the Access Point Service Provider's profit margins;
- (g) the Access Point Service Provider must provide reasonable co-operation, information and assistance to the Auditor in connection with an audit; and
- (h) if a subcontractor or Related Body Corporate of the Access Point Service Provider is involved in the provision of the Access Point or the performance of the Access Point Service Provider's other obligations under this Deed Poll or under the Framework, then the Access Point Service Provider must require that person to provide access to its applicable information consistent with this clause 19.

## 20 Force Majeure

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- (a) The Access Point Services Provider will not be liable for any failure or delay in the performance of its obligations under this Deed Poll (other than any obligations in relation to business continuity, back-up or disaster recovery) to the extent that the failure or delay is caused, directly or indirectly, by a Force Majeure Event, provided:
  - (i) the failure or delay could not have been prevented by reasonable precautions, or could not have reasonably been circumvented by the Access Point Services Provider by means of alternate sources, workarounds or other means;
  - (ii) the Access Point Services Provider promptly advises the Accreditation Body of the details of the Force Majeure Event, and its likely effect on its obligations under this Deed Poll; and
  - (iii) the Access Point Services Provider takes all steps reasonably necessary to recommence performance and minimise the delay caused by the Force Majeure Event.
- (b) If any Force Majeure Event has the result that the Access Point Service Provider is not able to provide the Access Point services, no fees or charges will be payable in respect of those services.
- (c) If the Force Majeure Event continues for thirty (30) Business Days, the Access Point Services Provider may terminate this Deed Poll by giving ten (10) Business Days written notice to the Accreditation Body.

## 21 Dispute Resolution

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### 21.1 Dispute Notice required

If a Party considers that a dispute has arisen in connection with this Deed Poll (**Dispute**), it may issue a notice to the other Party, setting out reasonable details of the Dispute (**Dispute Notice**).

## **21.2 Good Faith First Level Discussions**

After a Dispute Notice has been issued:

- (a) the Parties must promptly hold good faith discussions between the Access Point Service Provider representative (or its nominee) and the Accreditation Body representative (or its nominee), to attempt to resolve the Dispute (**First Level Discussions**); and
- (b) each Party must provide the other Party with information relating to the Dispute which is appropriate in connection with its resolution.

## **21.3 Good Faith Second Level Discussions**

If the Dispute has not been resolved within twenty (20) Business Days after the First Level Discussions started, the Parties must each nominate a senior representative who must hold good faith discussions to attempt to resolve the Dispute (**Second Level Discussions**).

## **21.4 Mediation**

If the Dispute has not been resolved within (20) Business Days after the Second Level Discussions started (**Second Level Discussions Period**) the Dispute is by this clause submitted to mediation. The mediation must be conducted at Canberra in the Australian Capital Territory. The Institute of Arbitrators and Mediators Australia Mediation and Conciliation Rules (at the date of this Deed Poll) as amended by this clause 21 apply to the mediation, except where they conflict with this clause 21.

## **21.5 Failure to agree Mediator or Mediator's remuneration**

If the Parties have not agreed upon the mediator and the mediator's remuneration within (5) Business Days after the end of the Second Level Discussions Period:

- (a) the mediator is the person appointed by; and
- (b) the remuneration of the mediator is the amount or rate determined by; the Chair of the Australian Capital Territory Chapter of the Institute of Arbitrators and Mediators Australia (**Principal Appointor**) or the Principal Appointor's nominee, acting on the request of any Party to the Dispute.

## **21.6 Costs of Mediation**

The Parties must pay the mediator's remuneration in equal shares. Each Party must pay its own costs of the mediation.

## **21.7 Requirement to continue to fulfil obligations**

Until resolution of a Dispute, the Parties will continue to perform their respective obligations under this Deed Poll.

## **21.8 Legal Proceedings not to be commenced**

A Party must not commence legal proceedings other than for urgent injunctive or declaratory relief in relation to any Dispute unless the dispute resolution procedures set out in this clause 21 have been followed.

## **22 Termination**

### **22.1 Termination by three month notice**

This Deed Poll continues in force until terminated by one of the Parties giving the other Party three (3) months written notice.

### **22.2 Termination for Cause**

- (a) The Accreditation Body may terminate this Deed Poll immediately by written notice if the Access Point Services Provider:
  - (i) commits a material breach of any of the following provisions of this Deed Poll that is capable of remedy, which is not remedied within twenty (20) Business Days after receipt of written notice of the breach:
    - (A) clause 4 (Eligibility);
    - (B) clause 6 (Testing);
    - (C) clause 7 (Access Point Service Provider's Obligations);
    - (D) clause 8 (Access Point Interoperability);
    - (E) clause 9 (Disconnections);
    - (F) clause 10 (Costs and Charges);
    - (G) clause 14 (Confidentiality and Privacy);
    - (H) clause 15 (Logging);
    - (I) clause 16 (Suspension and Revocation of Services);
    - (J) clause 17 (Liability);
    - (K) clause 18 (Insurance); and
    - (L) clause 19 (Audit);
  - (ii) commits a material breach of any of the clauses set out in clause 22.2(a)(i) of this Deed Poll that is not capable of remedy; or
  - (iii) suffers an Insolvency Event.

### **22.3 Consequences of Termination**

- (a) The Access Point Services Provider is obliged to inform third parties that are affected by the termination of this Deed Poll that this Deed Poll has been terminated by the giving of a written notice.



- (b) The Access Point Service Provider will immediately cease use of the Accreditation Body's logo and name.
- (c) If a termination notice is given, the Parties must amicably negotiate in good faith on the procedures relating to the ending of the cooperation under this Deed Poll, in order to avoid any unnecessary disturbances in Client relationships.

## **23 Notices**

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### **23.1 Form of Notice**

Any demand, notice, consent, approval or other communication under this Deed Poll may be made or given by a Party or the solicitor for that Party provided that it:

- (a) is in legible writing, in English and addressed to the intended recipient; and
- (b) is signed by the sender (if an individual) or by an authorised representative of the sender; and
- (c) is given to the addressee by:
  - (i) delivery in person; or
  - (ii) post to, or leaving at, that Party's address for service; or
  - (iii) sending by email to the Party's email address; and
- (d) is regarded as being given by the sender and received by the addressee:
  - (i) if by delivery in person or by being left at the Party's address for service, upon delivery;
  - (ii) if by post, three (3) Business Days from and including the date of posting by ordinary prepaid post in respect of an address for service within the Commonwealth of Australia and twenty one (21) Business Days in respect of other any address; or
  - (iii) if by email, when legibly received by the addressee, with receipt being evidenced by sending;

but if the delivery or receipt occurs on a day which is not a Business Day or at a time after 5.00 pm (both the day and time being in the place of receipt) it is regarded as having been received at 9.00am on the next following Business Day.

### **23.2 Address for service**

- (a) For the purposes of this clause 23, a Party's address for service shall be:
  - (i) if clause 23.2(b) does not apply, the Party's postal address or email address set out at the head of this Deed Poll; or

- (ii) if that Party has notified the sender of a change of postal address, or changed email address, the address or email address last so notified.
- (b) If the Party is a company, its address for service shall also include its registered office.

## **24 Amendment**

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Any amendments to this Deed Poll (for the avoidance of doubt, including the Rules) must be in writing and will have no effect unless signed by the duly authorised representatives of the Parties.

## **25 Relationship of the Parties**

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- (a) The Parties must not represent themselves, and must ensure that their officers, employees, agents and subcontractors do not represent themselves, as being an officer, employee, partner or agent of the other Party, or as otherwise able to bind or represent the other Party.
- (b) This Deed Poll does not create a relationship of employment, agency or partnership between the Parties.

## **26 Governing Law and Jurisdiction**

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### **26.1 Governing Law**

This Deed Poll will be interpreted under and is governed by the Laws of the Australian Capital Territory.

### **26.2 Jurisdiction**

Each Party irrevocably submits to the non-exclusive jurisdiction of the courts exercising jurisdiction in the Australian Capital Territory and courts of appeal from them in respect of any proceedings arising in connection with this Deed Poll.

## **27 When Deed Poll binds**

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This Deed Poll binds the Access Point Service Provider when it has been executed by that Party.

## **28 Consideration**

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This Deed Poll is made in consideration of \$1.00 payable to the Access Point Service Provider if demanded.

**EXECUTED** and **delivered** by the Access Point Services Provider as a **Deed Poll** on the  
[insert eg 20<sup>th</sup>] day of [insert month] 2017

**SIGNED SEALED AND DELIVERED** by [insert  
Access Point Service Provider legal name]  
ABN [insert ABN] in accordance with section  
127(1) of the Corporations Act 2001

\_\_\_\_\_  
Signature of Director

\_\_\_\_\_  
Signature of Director / Company Secretary  
(delete as applicable)

\_\_\_\_\_  
Name of Director  
(Please print)

\_\_\_\_\_  
Name of Director / Company Secretary  
(Please print)

**SIGNED SEALED AND DELIVERED** by [insert  
name of sole trader] trading as [insert trading  
name] ABN [insert ABN]

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Signature of Witness

\_\_\_\_\_  
Name  
(Please print)

\_\_\_\_\_  
Name of Witness

**SIGNED SEALED AND DELIVERED** by **[insert  
Access Point Service Provider legal name]**  
ABN **[insert ABN]** by its Attorney under  
Power of Attorney Registered No **[insert]** and  
I declare I have no notice of revocation of the  
power of attorney.

---

Signature of Attorney

---

Signature of Witness

---

Name of attorney  
(Please print)

---

Name of Witness

---

Office held

**SIGNED SEALED AND DELIVERED** by the  
**[insert partnership name]** ABN **[insert ABN]**  
by its partners **[insert names of all partners]**

---

Signature of Partner

---

Signature of Witness

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Name of Partner  
(Please print)

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Name of Witness

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Signature of Partner

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Signature of Witness

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Name of Partner  
(Please print)

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Name of Witness

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Signature of Partner

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Signature of Witness

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Name of Partner  
(Please print)

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Name of Witness

## **Schedule 1: Access Point Service Provider Accreditation Process**

Described below are the steps a candidate Service Provider must follow to obtain the Accreditation Body's accreditation. It should be noted that the testing required for this process is essentially a 'self-testing' exercise that is expected to be conducted by the candidate Service Provider. The candidate Service Provider is expected to store and upload the test results to the Accreditation Body's website for review and assessment. Outlined below is a detailed description of each step a potential Service Provider needs to perform/undergo to be accredited by the Accreditation Body.

### ***Step 1 - Download the testing resources from the Accreditation Body's website.***

The candidate Service Provider must download all the relevant testing resources published on the Accreditation Body's website. These documents will outline the testing requirements and instructions for recording the test results.

### ***Step 2 - Test the solution against the testing requirements and record test results.***

The necessary test cases must be developed by the candidate Service Provider on the basis of the test assertions provided. The candidate Service Provider is expected to 'self-test' their solution thoroughly against the test assertions. The candidate Service Provider will be expected to conduct testing exercises with testing partners (i.e. other Service Providers) and these testing partners will be determined by the Accreditation Body (based on a roster).

### ***Step 3 - Upload the test results, fit and proper person's declaration and the Deed Poll to the Accreditation Body's website.***

Upon the completion of the 'self-testing' exercise of its solution and recording the test results in the required format, the candidate Service Provider is required to upload the test results to the Accreditation Body's website (as per the instructions provided on the website). The candidate Service Provider must also sign and upload the relevant Deed Poll and the fit and proper person's declaration (as required by the relevant clause(s) in the Service Provider Deed Poll).

### ***Step 4 - Notification by the Accreditation Body.***

The Accreditation Body will provide a notification to the candidate Service Provider with either a confirmation of successful accreditation or a request for more information following its assessment of the candidate Service Provider's application.

## Schedule 2: Service Level Agreements

Providers are encouraged to indicate their service levels for information purposes. Providers can choose to provide from one of the three levels service i.e. Bronze, Silver, or Gold. The following tables outline the examples of service level requirements within each tier of service.

No.	Service Level	Description	Bronze Standard	Silver Standard	Gold Standard
1.	Availability.	AP Availability.	98.5% (06:00 to 21:00) 94.0% (remaining period)	98.5% (all day) 94.0% (remaining period)	99.95% (7 days per week)
2.	Response Times.	Maximum AP message processing response time.	(120) seconds	(20) seconds	(4) seconds
3.	AP Provider Reporting of down time to Accreditation Body.	Minimum down time required to be reported to Accreditation Body (in aggregated monthly report).	(4) hours	(1) hour	(5) minutes
4.	Incident Response.	Response time for incidents.	(3) business days	(1) working day	(1) hour (at any time of day)
5.	Incident resolution time reporting.	Monthly report of resolution time of incidents (open and closed).	n/a	n/a	(1) report per month
6.	Critical resolution time.	Maximum threshold for incident	(60) business days	(30) business	(2) working days

No.	Service Level	Description	Bronze Standard	Silver Standard	Gold Standard
		resolution.		days	
7.	Additional service levels	Adherence to the recommended service levels.	None	None	All additional service levels.

The Access Point Service Provider can choose to provide from one of the three levels service i.e. Bronze, Silver, or Gold.

The following tables outline the service level requirements within each tier of service.



## Access Point Service Levels (Bronze Standard)

No	Service	Description	Clause	Requirement	Notes
1.	Availability.	AP Availability.	7.2(a)	1. APs exposed to other APs must be available on average: <ul style="list-style-type: none"> <li>98.5% of the time from Monday to Friday from 06:00 to 21:00 (AEST/AEDST); and</li> <li>94.0% of the remaining period.</li> </ul>	
2.	Response Times.	AP Response Time.	7.2 (c) 7.5 (b)	A receiving AP must send a receipt of acknowledgement to the sending AP within a maximum of one hundred and twenty (120) seconds after having received the message.	
3.	Reporting.	AP Provider Reporting.	n/a	1. In the case of a major system failure causing a more than four (4) hour down time, the Accreditation Body must be notified by the AP Provider.  2. AP Providers are required to provide documentation on service levels on a monthly basis to the Accreditation Body.	
4.	Incident. Response.	Response time for reported incidents.	n/a	1. Any incident reported to the AP Provider Contact must be responded to within three (3) Business Days.  2. AP Provider must maintain a mailing list for subscription to the service messages (e.g. service windows).	
5.	Incident resolution time	To ensure the capability of the	n/a	The Accreditation Body must be provided with a list of open and closed incidents that impact service operation	This would be only to check

No	Service	Description	Clause	Requirement	Notes
	reporting.	provider is mature.		and the number of days each incident has been open or, where closed, the number of days taken to resolve it. Data must be aggregated and/or anonymous so as not to identify a particular client or customer.	the below requirement.
6.	Incident resolution time.	Maximum threshold for incident resolution to maintain status.	n/a	An incident's resolution time must not exceed (50) business days in the Incident resolution time report or Bronze status will be revoked by the Accreditation Body and the provider have accreditation revoked.	This check could be automated in an upload of this data.

## Exceptions

An AP Provider does not have to fulfil the service levels (Bronze Standard) in the following situations:

1. The AP Provider is under a denial of service (DoS) attack; or
2. Special conditions apply and the Accreditation Body has approved lowering the service levels for a specific time period and under specific conditions.

Regardless of the situation, the AP Provider must always document the reasons for not fulfilling the service levels.

## Access Point Service Levels (Silver Standard)

No.	Service	Description	Clause	Requirement	Notes
1.	Availability	AP Availability	7.2(a)	1. APs exposed to other APs must be available on average: <ul style="list-style-type: none"> <li>98.5% of the time from Monday to Friday; and</li> <li>94.0% of the remaining period.</li> </ul>	The figures used in the requirement for this service are for illustration purposes only.
2.	Response Times	AP Response Time.	7.2 (c) 7.5 (b)	1. A receiving AP must send a receipt of acknowledgement to the sending AP within a maximum of twenty (20) seconds after having received the message.	The figures used in the requirement for this service are for illustration purposes only.
3.	Reporting	AP Provider Reporting.	n/a	1. In the case of a major system failure causing a more than one (1) hour down time, the Accreditation Body must be notified by the AP Provider.  2. AP Providers are required to provide documentation on service levels on a monthly basis to the Accreditation Body.	
4.	Incident Response	Response time for reported incidents.	n/a	1. Any incident reported to the AP Provider Contact must be responded to within one (1) working day.  2. AP Provider must maintain a mailing list for subscription to the service messages (e.g. service windows)	The figures used in the minimum requirement for this service are for illustration purposes only.

No.	Service	Description	Clause	Requirement	Notes
5.	Incident resolution time reporting.	To ensure the capability of the provider is mature.	n/a	The Accreditation Body must be provided with a list of open and closed incidents that impact service operation and the number of days each incident has been open or, where closed, the number of days taken to resolve it. Data must be aggregated and/or anonymous so as not to identify a particular client or customer.	This would be only to check the below requirement.
6.	Incident resolution time.	Maximum threshold for incident resolution to maintain status.	n/a	An incident's resolution time must not exceed 30 business days in the Incident resolution time report or Silver status will be revoked by the Accreditation Body and the provider downgraded to Bronze status.	This check could be automated in an upload of this data.

## Exceptions

An AP Provider does not have to fulfil the service levels (Silver Standard) in the following situations:

1. The AP Provider is under a denial of service (DoS) attack; or
2. Special conditions apply and the Accreditation Body has approved lowering the service levels for a specific time period and under specific conditions.

Regardless of the situation, the AP Provider must always document the reasons for not fulfilling the service levels.

## Access Point Service Levels (Gold Standard)

No.	Service	Description	Clause	Requirement	Notes
1.	Availability	AP Availability	7.2(a)	1. APs exposed to other APs must be available on average: <ul style="list-style-type: none"> <li>99.95% of the time (7 days per week).</li> </ul>	The figures used in the requirement for this service are for illustration purposes only.
2.	Response Times	AP Response Time	7.2 (c) 7.5 (b)	1. A receiving AP must send a receipt of acknowledgement to the sending AP within a maximum of four (4) seconds after having received the message.	The figures used in the requirement for this service are for illustration purposes only.
3.	Reporting	AP Provider Reporting	n/a	1. In the case of a major system failure causing a more than five (5) minutes down time, the Accreditation Body must be notified by the AP Provider.  2. AP Providers are required to provide documentation on service levels on a monthly basis to the Accreditation Body.	
4.	Incident Response	Response time for reported incidents	n/a	1. Any incident reported to the AP Provider Contact must be responded to within fifteen (15) minutes.  2. AP Provider must maintain a mailing list	The figures used in the minimum requirement for this service are for illustration purposes only.

No.	Service	Description	Clause	Requirement	Notes
				for subscription to the service messages (e.g. service windows).	
5.	Additional Service Levels.	Mandatory requirements for Gold.	n/a	All recommended Access Point additional service levels must be implemented.	
6.	Incident resolution time reporting.	To ensure the capability of the provider is mature.	n/a	The Accreditation Body must be provided with a list of open and closed incidents that impact service operation and the number of days each incident has been open or, where closed, the number of days taken to resolve it. Data must be aggregated and/or anonymous so as not to identify a particular client or customer.	This would be only to check the below requirement.
7.	Incident resolution time.	Maximum threshold for incident resolution to maintain status.	n/a	An incident's resolution time must not exceed 2 working days in the Incident resolution time report or Gold status will be revoked by the Accreditation Body and the provider downgraded to Silver status.	This check could be automated in an upload of this data.

## Exceptions

An AP Provider does not have to fulfil the service levels (Gold Standard) in the following situations:

1. The AP Provider is under a denial of service (DoS) attack; or

2. Special conditions apply and the Accreditation Body has approved lowering the service levels for a specific time period and under specific conditions.

Regardless of the situation, the AP Provider must always document the reasons for not fulfilling the service levels.

## Access Point Additional Services

This is a list of additional services that an Access Point (AP) Provider could provide in additional to the services it offers. These should appear on the AP Provider's 'profile page/section' on the Accreditation Body's website.

No.	Service	Description	Clause	Requirement	Notes
1.	BCP	Business Continuity Plan.	n/a	There should be an option for the AP Provider to list its ability of providing a Business Continuity Plan whilst creating/updating their profile on the Accreditation Body's website.	This is an additional service that an AP Provider can choose to deliver and hence should be able to be displayed on the Provider's profile on the Accreditation Body's website.
2.	DRP	Disaster Recovery Plan.	n/a	There should be an option for the DCP Provider to list its ability of providing a 'Disaster Recovery Plan' whilst creating/updating their profile on the Accreditation Body's	This is an additional service that an AP Provider can choose to deliver and hence should be able to be displayed on the Provider's profile on the Accreditation Body's website.

No.	Service	Description	Clause	Requirement	Notes
				website.	
3.	Disconnections Notice.	This is a disconnection notice provided to the Accreditation Body.	8	There should be an option for the AP Provider to list its ability to provide a 'disconnection notice' on its profile on the Accreditation Body's website.	Disconnection notice is the timeframe given by an AP Provider to its Client prior to disconnecting its services. E.g. 'Disconnection notice = 20 business days'.
4.	Known Error Database.	A database containing all incidents or problems documenting the root cause and possible workaround(s) available to its clients.	n/a	There should be an option for an AP Provider to list its ability of providing a Known Error Database (that also contains a list of workarounds) whilst creating/updating their profile on the Accreditation Body's website.	It is not envisaged this would be available publicly, but only to the clients of the Service Provider.
5.	Incident/Problem Database.	A database containing all incidents and/or problems available to its clients.	n/a	There should be an option for the AP Provider to list its ability of providing a Problem/Incident database whilst creating/updating their profile on the Accreditation Body's website.	It is not envisaged that this would be available publicly, but only to the clients of the Service Provider.



No.	Service	Description	Clause	Requirement	Notes
6.	Performance Dashboard.	A public facing web page containing performance of the service against the Accreditation Body's service levels.	n/a	There should be an option for the AP Provider to list its ability of providing a performance dashboard whilst creating/updating its profile on the Accreditation Body's website.	
7.	User Acceptance Test (UAT) environment.	An environment where dummy message exchanges can be simulated by a client's software or for use by another access point.	n/a	There should be an option for the DCP Provider to list its ability of providing a UAT environment whilst creating/updating their profile on the Accreditation Body's website.	

## **Annexure A - Logo Use Rules**

# **Logo Use Rules**

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## Background

- A. The Accreditation Body is the exclusive owner of the right, title, interest and goodwill in the Logo.
- B. The Access Point Service Provider has been accredited by the Accreditation Body in connection with its Services in Australia pursuant to the Deed Poll.
- C. The Accreditation Body has authorised the Access Point Service Provider to use the Logo on the terms and conditions set out in these Rules, in addition to the Deed Poll.

## Terms and Conditions

### 1 Definitions

#### 1.1 Deed Poll

A term defined in the Deed Poll has the same meaning in these Rules unless it is defined differently in these Rules.

#### 1.2 Definitions

In these Rules unless the context otherwise requires:

- (a) **ACCC** means Australian Competition and Consumer Commission;
- (b) **Business** means the business carried out by the Access Point Service Provider in Australia, as specified in **Item 3**;
- (c) **Competition and Consumer Act** means *Competition and Consumer Act 2010* (Cth);
- (d) **Item** means an item in the Schedule of these Rules;
- (e) **Logo** means the logo set out in **Item 1**;
- (f) **Party** means the Accreditation Body, the Council, or the ATO, or any combination of them or the Access Point Service Provider as the context requires and **Parties** is a reference to both;
- (g) **Personnel** means agents, contractors, directors, employees, subcontractors and officers;
- (h) **Rules** means these rules and includes the Schedule to it;
- (i) **Services** mean any and all of the classes of services specified in **Item 2**; and
- (j) **Term** means the term set out in **rule 2**.

#### 1.3 Interpretation

Unless the context suggests otherwise:

- (a) the interpretation provisions of the Deed Poll apply to these Rules; and
- (b) a reference to a clause is a reference to a clause of the Deed Poll, and a reference to a rule is a reference to a rule of these Rules.

## **2 Term**

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### **2.1 Term**

- (a) These Rules shall commence on the Effective Date, and operate until any such time as the Deed Poll is terminated pursuant to clause 20 of the Deed Poll or otherwise comes to an end.
- (b) If the Access Point Service Provider has its participation under the Framework suspended pursuant to clause 15.2 of the Deed Poll, the licence granted by **rule 3.1** shall be suspended until such time, if any, as the suspension is lifted.

## **3 Licence**

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### **3.1 Licence**

Subject to the terms of these Rules, the Accreditation Body grants to the Access Point Service Provider for the Term a non-exclusive, non-assignable, royalty-free licence to use the Logo in Australia for its Business in relation to the Services.

### **3.2 Access Point Service Provider is independent**

The business of the Access Point Service Provider is independent from the business of the Accreditation Body and the Deed Poll and these Rules do not constitute, and shall not be interpreted as, an agency, partnership, joint venture or franchise arrangement between the Access Point Service Provider and the Accreditation Body.

### **3.3 Unauthorised representations**

The Access Point Service Provider must not represent that it has the authority to act on behalf of the Accreditation Body either in the capacity of a partner or agent, nor that either Party is a joint venturer, employer or fiduciary of the other.

## **4 Access Point Service Provider's obligations and acknowledgements**

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### **4.1 Use of Logo**

The Access Point Service Provider agrees to use the Logo solely in accordance with the terms of the Deed Poll and these Rules.

### **4.2 Accreditation Body's Title**

The Access Point Service Provider acknowledges the Accreditation Body's title to the Logo in Australia and undertakes not to take any action which would or might:

- (a) invalidate, challenge, oppose or otherwise put in dispute the Accreditation Body's title to the Logo;
- (b) assert any right to or over the Logo in any manner inconsistent with the Access Point Service Provider's rights under the Deed Poll or these Rules;
- (c) take or appropriate the Logo as its own;
- (d) put the Accreditation Body's rights into disrepute; or
- (e) cause, permit or assist any other person directly or indirectly in the acts described in **rules 4.2(a) to 4.2(d)**.

#### **4.3 Identical or similar marks**

The Access Point Service Provider undertakes not to register or attempt to register any trade marks that are substantially identical or deceptively similar to the Logo.

#### **4.4 Maintenance of value**

The Access Point Service Provider must use its best endeavours to preserve the value, validity, integrity and reputation of the Logo and in particular must:

- (a) endeavour to create, promote and retain the goodwill in the Accreditation Body relating to the supply or provision of the Services;
- (b) use the Logo in the same form as shown in the Schedule; and
- (c) not act in any manner or engage in any conduct that may adversely affect the reputation of the Accreditation Body or its services provided.

#### **4.5 Accreditation Body's directions**

The Access Point Service Provider shall comply with any reasonable directions of the Accreditation Body regarding the use of the Logo.

#### **4.6 Sublicensing**

The Access Point Service Provider shall not grant or sublicense any of its rights under these Rules to a third party. This includes, but is not limited to, sponsorship and partnership arrangements.

#### **4.7 No additions**

- (a) The Access Point Service Provider shall not make any additions to the form of the Logo.
- (b) Notwithstanding **rule 4.7(a)**, if any additions are made to the Logo, the rights and title in the additions shall vest in the Accreditation Body.

#### **4.8 Proprietary statements**

The Access Point Service Provider shall ensure that:

- (a) if the Logo is a registered trade mark with IP Australia, all uses of the Logo include the registered trade mark symbol (®); and
- (b) if the Logo is not a registered trade mark with IP Australia, all uses of the Logo include the unregistered trade mark symbol (™).

#### **4.9 Compliance with laws**

The Access Point Service Provider shall ensure that no material using the Logo contravenes any laws in force, including but not limited to the Competition and Consumer Act or similar legislation in any jurisdiction, or guidelines produced by the ACCC.

#### **4.10 Termination of Deed Poll**

If the Deed Poll is terminated or ends:

- (a) the Access Point Service Provider must immediately cease all use of:
  - (i) the Logo; and
  - (ii) any material which bears the Logo; and
- (b) the Accreditation Body may require the Access Point Service Provider to destroy any material bearing the Logo, at the Access Point Service Provider's cost.

## 5 Quality Control of Services

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- (a) From time to time, but in any case not less than once every six (6) months throughout the Term, the Access Point Service Provider must, at its own expense, submit to the Accreditation Body samples of any and all promotional material, advertising, products and/or stationery in or on which the Logo is used that have not been previously provided to the Accreditation Body.
- (b) For the avoidance of doubt, **rule 5(a)** does not extend to any material that has only been used internally and has not been exposed to the public or third parties.
- (c) For the purposes of **rule 5(a)**, where the same template has been used for more than one piece of material, with the use of the Logo remaining the same and only other details changed, it is acceptable to only provide the template.

## 6 Infringement Proceedings

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### 6.1 Protection

The Access Point Service Provider undertakes to the Accreditation Body that it shall do all things reasonably necessary to protect the Logo against deregistration or infringement, as well as to maintain the integrity of the Logo.

### 6.2 Receipt of notice

- (a) In the event that:
  - (i) the Access Point Service Provider receives notice of any infringement or threatened infringement of the Logo or any common law passing off by reason of imitations or otherwise; or
  - (ii) any third party alleges or claims that the Logo is liable to cause deception or confusion to the public,then the Access Point Service Provider must immediately notify the Accreditation Body, giving particulars and providing all information and assistance to the Accreditation Body in the event that the Accreditation Body commences or defends proceedings in relation to the above claims or infringements. Any such proceedings will be under the control and at the expense of the Accreditation Body.
- (b) The Access Point Service Provider shall not commence any legal action towards infringement or threatened infringement of the Logo unless otherwise agreed to in a written document signed by the Parties.

## 7 Indemnity

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### 7.1 Access Point Service Provider must keep Accreditation Body indemnified

The Access Point Service Provider must at all times keep the Accreditation Body or its Personnel, or both, indemnified from and against all claims, demands, actions, proceedings or prosecutions:

- (a) which may be brought, commenced or prosecuted against the Accreditation Body or its Personnel, or both; or

- (b) in which the Accreditation Body or its Personnel, or both may be involved in consequence of or relating to the breach of these Rules by the Access Point Service Provider.

## **7.2 Costs, damages and expenses**

The indemnity in this **rule 7** shall extend to all costs, damages and expenses incurred by the Accreditation Body or its Personnel, or both, whether direct or indirect, as a result of the Access Point Service Provider's breach of these Rules.

## **8 Breach**

### **8.1 Notice to Rectify Breach**

- (a) If the Access Point Service Provider commits a breach of these Rules, the Accreditation Body may serve it with a written notice to rectify the breach.
- (b) A notice under **rule 8.1(a)** must:
  - (i) state that it is a notice given under **rule 8.1(a)**;
  - (ii) specify the alleged breach with reasonable details;
  - (iii) require the Access Point Service Provider to rectify the breach; and
  - (iv) specify a date (which must not be fewer than ten (10) Business Days after the notice is served) by which the Access Point Service Provider must rectify it.

### **8.2 The Accreditation Body may Terminate**

If the Access Point Service Provider, after receiving a notice under **rule 8.1(a)**, fails to rectify the breach within the time specified in the notice, the Accreditation Body may, by further written and signed notice, terminate the licence given under **rule 3.1** immediately.

### **8.3 Termination Without Notice for Revocation**

If the Deed Poll is terminated pursuant to clause 20 of the Deed Poll or otherwise ends, the licence given under **rule 3.1** shall be terminated immediately.

### **8.4 Suspension**

If the Access Point Service Provider is suspended from participation in the Framework pursuant to clause 15.2 of the Deed Poll, the licence given under **rule 3.1** shall be suspended until any such time as the suspension from participation in the Framework is lifted.

## **9 Dispute Resolution**

Any disputes arising in connection with these Rules shall be dealt with pursuant to clause 19 of the Deed Poll.

## Schedule 1      Particulars

No.	Item	Particulars
1.	Logo (Clause 1.2(e))	
2.	Services (Clause 1.2(i))	
3.	Business description (Clause 1.2(b))	

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