

|                           |   |         |         |         |         |   |         |
|---------------------------|---|---------|---------|---------|---------|---|---------|
| 3 2 1<br>Q <sub>n</sub> M | <b>Extramural funding for Research (Grants sponsored by non-government sources such as industry, corporate houses, international bodies for research projects), endowments, Chairs in the University during the last five years (INR in Lakhs)</b>  |         |         |         |         | 5 |         |
|                           | 3 2 1 1: Total Grants for research projects sponsored by non-government sources such as industry, corporate houses, international bodies, endowments, Institution of Chairs in the institution year-wise during the last five years (INR in Lakhs)  |         |         |         |         |   |         |
|                           | Year  | 2016-17 | 2017-18 | 2018-19 | 2019-20 |   | 2020-21 |
|                           | INR in Lakhs  | 315 22  | 315 03  | 148 64  | 133 51  |   | 20 80   |
|                           | Data for the last five years:(As per Data Template) <ul style="list-style-type: none"><li>• Name of the Project/ Endowments, Chairs</li><li>• Name of the Principal Investigator</li><li>• Department of Principal Investigator</li><li>• Year of Award</li><li>• Funds provided</li><li>• Duration of the project</li></ul> <b>File Description (Upload)</b> <ul style="list-style-type: none"><li>• Any additional information</li><li>• e-copies of the grant/award letters for research projects sponsored by non-government agencies</li><li>• Provide the List of project and grant details (Data Template as of 3 1 6)</li></ul> |         |         |         |         |   |         |

#### Data Template

| Sl  | Name of the Project/ Endowments, Chairs  | Name of the Principal Investigator | Name of the Funding agency  | Type (Government/ Non-Government) | Department of Principal Investigator | Year of Award | Funds Provided (INR in lakhs) | Duration of the Project |
|-----|--|------------------------------------|---|-----------------------------------|--------------------------------------|---------------|-------------------------------|-------------------------|
| NG1 | Scaling SCP Learning and Outreach through Awareness-raising among Key                                    | Shaleen Singhal                    | The United Nations Environment Programme (UNEP)                       | Non-Government                    | Department of Policy Studies         | 2016-2017     | 96,54,101                     | 2016-2017               |
| NG2 | Economic Value of Biodiversity Conservation Provided by Forest and Agro Forest Ecosystem in Kodagu Distt | Kavita Sardana                     | South Asia Network of Economic Research Institutes                    | Non-Government                    | Department of Policy Studies         | 2016-2017     | 2,29,025                      | 2014-2016               |
| NG3 | Strengthening Water and Sanitation in Urban Settings   | Arun Kansal                        | The United States Agency for International Development (USAID)        | Non-Government                    | Department of Regional Water Studies | 2016-2017     | 1,39,67,500                   | 2014-2017               |
| NG4 | Students to Work in Upper Ganga River Basin, India   | Kamna Sachdeva                     | The International Centre for Integrated Mountain Development (ICIMOD) | Non-Government                    | Department of Energy and Environment | 2016-2017     | 9,54,792                      | 2015-2017               |
| NG5 | GCFSI Innovation Grant   | Chubamenla Jamir                   | Michigan State University   | Non-Government                    | Department of Energy and Environment | 2016-2017     | 2,97,559                      | 2016-2017               |
| NG6 | The Distribution   | Eshita Gupta                       | South Asia Network of   | Non-Government                    | Department of Policy Studies         | 2016-2017     | 2,74,323                      | 2015-2017               |

|      |  |                               |   |                |                                      |           |           |           |
|------|--|-------------------------------|---|----------------|--------------------------------------|-----------|-----------|-----------|
|      | Implications of Solar Water Pumping Program for Ground Water Irrigation in Rajasthan   |                               | Economic Research Institutes  |                |                                      |           |           |           |
| NG7  | Posper Net Young Researcher School : Sustainable energy for transforming Lives : Aailability, Accessibility, Affordability   | Arun Kansal & Fawzia Tarannum | United Nations University   | Non-Government | Department of Regional Water Studies | 2016-2017 | 3,39,923  | 2015-2016 |
| NG8  | Adressing land issues for utility scale renewable energy development   | Sapan Thapar                  | Shakti Foundation   | Non-Government | Department of Energy and Enviroment  | 2016-2017 | 38,21,498 | 2016-2018 |
| NG9  | Local Coordinator for the UNU-IAS case study in Lucknow on "Low Carbon Urban Water Environment Project"                      | Chander Kumar Singh           | United Nations University (UNU)                                       | Non-Government | Department of Energy and Enviroment  | 2016-2017 | 7,83,217  | 2016-2017 |
| NG10 | Landscape Approach for Land-Water-Community Security   | Arun Kansal & Fawzia Tarannum | Solidaridad Network Asia Limited                                      | Non-Government | Department of Regional Water Studies | 2016-2017 | 12,00,000 | 2016-2018 |
| NG11 | Students Field Placement   | Prashant Kumar Singh          | The Trustee's of Coloumbia University                                 | Non-Government | Department of Policy Studies         | 2017-2018 | 12,55,400 | 2017-2017 |
| NG12 | Nutritional and Livelihood security of subsistence farmer in the hilly and mountain areas of the Hindu Kush Himalayan region | Chubamenla Jamir              | The International Centre for Integrated Mountain Development (ICIMOD) | Non-Government | Department of Energy & Environment   | 2017-2018 | 5,50,205  | 2017-2018 |
| NG13 | Delivery of short course on Gender, Equity and Water Management  | Arun Kansal                   | WaterEd Australia Pty Ltd. (ICEWaRM)                                  | Non-Government | Department of Regional Water Studies | 2017-2018 | 17,21,447 | 2018-2019 |
| NG14 | Developing and Implementing Smart Grids in India   | Amit Kumar                    | Technische Universsiteit  | Non-Government | Department of Energy & Environment   | 2017-2018 | 6,03,280  | 2015-2018 |
| NG15 | Local Coordinator for the UNU-IAS case study in Lucknow on   | Chander Kumar Singh           | United Nations University (UNU)                                       | Non-Government | Department of Energy & Environment   | 2017-2018 | 7,47,089  | 2016-2017 |



|      |  |                               |  |                |                                      |           |             |           |
|------|--|-------------------------------|--|----------------|--------------------------------------|-----------|-------------|-----------|
|      | "Low Carbon Urban Water Environment Project"   |                               |  |                |                                      |           |             |           |
| NG16 | Rejuvenating the Ganga: Investigating the Potential for Decentralized Institutions, Technologies and Governance to Meet the Wastewater Challenge | Sukanya Das                   | AUBURN University  | Non-Government | Department of Policy Studies         | 2017-2018 | 3,15,670    | 2016-2020 |
| NG17 | Nutritional and Livelihood security of subsistence farmer in the hilly and mountain areas of the Hindu Kush Himalayan region                     | Chubamenla Jamir              | The United Nations Environment Programme (UNEP)                | Non-Government | Department of Energy & Environment   | 2017-2018 | 4,48,000    | 2017-2018 |
| NG18 | Services of a Local Forestry Specialist (LFS)  | Sudipta Chatterjee            | The United States Agency for International Development (USAID) | Non-Government | Department of Natural Resources      | 2017-2018 | 4,16,990    | 2017-2018 |
| NG19 | Strengthening Water and Sanitation in Urban Settings   | Arun Kansal                   | The United States Agency for International Development (USAID) | Non-Government | Department of Regional Water Studies | 2017-2018 | 2,11,91,500 | 2014-2017 |
| NG20 | Support the Implementation of Lao P's Sustainable Consumption and Production Policy mainstreaming programme                                      | Shaleen Singhal               | The United Nations Environment Programme (UNEP)                | Non-Government | Department of Energy & Environment   | 2017-2018 | 12,83,750   | 2017-2017 |
| NG21 | 7 days Challenge Programme   | Leena Srivastava              | Embassy of Sweden  | Non-Government | Department of Policy Studies         | 2017-2018 | 4,00,000    | 2017-2018 |
| NG22 | Geotyping of the Four SNP's based on Either Agarose Gel Electro Phorisis or real time PCR  | Shashi Bhushan Tripathi       | Nirmal Seeds Private Limited                                   | Non-Government | Department of Biotechnology          | 2017-2018 | 57,500      | 2017-2018 |
| NG23 | Landscape Approach for Land-Water-Community Security   | Arun Kansal & Fawzia Tarannum | Solidaridad Network Asia Limited                               | Non-Government | Department of Regional Water Studies | 2017-2018 | 9,00,000    | 2017-2017 |
| NG24 | Research on Indian Future Energy Policy  | Atul Kumar                    | Toyota Kirloskar Motors Private                                | Non-Government | Department of Energy & Environment   | 2017-2018 | 16,12,500   | 2017-2018 |

|      |  |                    |   |                |                                      |           |           |           |
|------|--|--------------------|---|----------------|--------------------------------------|-----------|-----------|-----------|
|      | in line with the technical assistance agreement executed between TKM and TMC for production and sales of Toyota Vehicles in India                  |                    | Limited   |                |                                      |           |           |           |
| NG25 | Students Research Grant  | Smriti Das         | The Trustee's of Coloumbia University                                 | Non-Government | Department of Policy Studies         | 2018-2019 | 6,90,000  | 2019-2019 |
| NG26 | Studentship Stipend for Ms Charu Bhanot, CEH NEC06802  | Sudipta Chatterjee | NERC-CEH Edinburg, United Kingdom                                     | Non-Government | Department of Natural Resources      | 2018-2019 | 4,59,212  | 2018-2018 |
| NG27 | Delivery of short course on Gender, Equity and Water Management  | Arun Kansal        | WaterEd Australia Pty Ltd. (ICEWaRM)                                  | Non-Government | Department of Regional Water Studies | 2018-2019 | 9,60,993  | 2018-2019 |
| NG28 | Cities on Women : Uncovering the relationship between Gender, Land-use and Livelihoods for Embedding Climate Change Resilience in Himalayan Cities | Abhijit Datey      | The International Centre for Integrated Mountain Development (ICIMOD) | Non-Government | Department of Energy & Environment   | 2018-2019 | 12,28,571 | 2018-2019 |
| NG29 | Recycling Plastics in Asian City Environments (RePLACE)  | Arun Kansal        | RMIT University   | Non-Government | Department of Regional Water Studies | 2018-2019 | 1,87,600  | 2018-2018 |
| NG30 | Transboundary water governance and role of institution to enhance the capacities of marginalized community in Mahakali River Basin                 | Arun Kansal        | Tribhuvan University  | Non-Government | Department of Regional Water Studies | 2018-2019 | 2,41,500  | 2019-2019 |
| NG31 | Global Summit 2018   | Smriti Das         | The Trustee's of Coloumbia University                                 | Non-Government | Department of Policy Studies         | 2018-2019 | 12,07,260 | 2018-2018 |
| NG32 | Nutritional and Livelihood security of subsistence farmer in the hilly and mountain areas  | Chubamenla Jamir   | The International Centre for Integrated Mountain Development (ICIMOD) | Non-Government | Department of Energy & Environment   | 2018-2019 | 67,313    | 2017-2018 |

|      |  |                               |   |                |                                      |           |           |           |
|------|--|-------------------------------|---|----------------|--------------------------------------|-----------|-----------|-----------|
|      | of the Hindu Kush Himalayan region   |                               |   |                |                                      |           |           |           |
| NG33 | Development of a framework for local implementation of the SDGs - Prosper NET  | Smriti Das                    | Keio University, United Nations University      | Non-Government | Department of Policy Studies         | 2018-2019 | 2,04,000  | 2018-2019 |
| NG34 | Nutritional and Livelihood security of subsistence farmer in the hilly and mountain areas of the Hindu Kush Himalayan region | Chubamenla Jamir              | The United Nations Environment Programme (UNEP) | Non-Government | Department of Energy & Environment   | 2018-2019 | 5,92,450  | 2017-2018 |
| NG35 | Hi-aware sub project TU  | Kamna Sachdeva                | The Energy and Resource Institute (TERI)        | Non-Government | Department of Energy & Environment   | 2018-2019 | 40,00,000 | 2015-2018 |
| NG36 | A journey from climate apathy to empathy - Climate Jamboree  | Leena Srivastava              | Coca Cola India Private Limited                 | Non-Government | Department of Policy Studies         | 2018-2019 | 25,00,000 | 2018-2019 |
| NG37 | Evaluation of CO2 Emission Reduction by Mobility Electrification & Alternative Fuels (Biofuels/CNG) Introduction in India    | Atul Kumar                    | Toyota Kirloskar Motors Private Limited         | Non-Government | Department of Energy & Environment   | 2018-2019 | 16,25,000 | 2018-2019 |
| NG38 | Landscape Approach for Land-Water-Community Security   | Arun Kansal & Fawzia Tarannum | Solidaridad Network Asia Limited                | Non-Government | Department of Regional Water Studies | 2018-2019 | 9,00,000  | 2017-2017 |
| NG39 | Forest Impacts on Nitrogen Pollution   | Sudipta Chatterjee            | Centre For Ecology & Hydrology, United Kingdom  | Non-Government | Department of Natural Resources      | 2019-2020 | 64,25,983 | 2019-2025 |
| NG40 | Executive Programme on Human Security and Policy in Afghanistan  | Gopal Krishna Sarangi         | Swansea University                              | Non-Government | Department of Policy Studies         | 2019-2020 | 36,58,622 | 2019-2020 |
| NG41 | Service Agreement - Delivery of short course on Gender, Equity and Water Management  | Arun Kansal                   | Watered Australia Pty Limited                   | Non-Government | Department of Regional Water Studies | 2019-2020 | 4,52,505  | 2018-2019 |
| NG42 | Cities on Women : Uncovering the   | Abhijit Datey                 | The International Centre for                    | Non-Government | Department of Energy & Environment   | 2019-2020 | 4,75,168  | 2018-2019 |

|      |  |  |  |                |                                      |           |           |           |
|------|--|--|--|----------------|--------------------------------------|-----------|-----------|-----------|
|      | relationship between Gender, Land-use and Livelihoods for Embedding Climate Change Resilience in Himalayan Cities                                |  | Integrated Mountain Development (ICIMOD)                           |                |                                      |           |           |           |
| NG43 | Transboundary water governance and role of institution to enhance the capacities of marginalized community in Mahakali River Basin               | Arun Kansal  | Tribhuvan Univeristy   | Non-Government | Department of Regional Water Studies | 2019-2020 | 2,43,368  | 2019-2019 |
| NG44 | Developing and Implementing Smart Grids in India   | Amit Kumar   | Technische Universiteit  | Non-Government | Department of Energy & Environment   | 2019-2020 | 6,17,920  | 2015-2018 |
| NG45 | Success stories in urban climate action : Building the economic evidence base (the "Project") World Resources Institute-funded research project  | Abhijit Datey  | University of Leeds  | Non-Government | Department of Energy & Environment   | 2019-2020 | 3,54,680  | 2018-2019 |
| NG46 | Rejuvenating the Ganga: Investigating the Potential for Decentralized Institutions, Technologies and Governance to Meet the Wastewater Challenge | Sukanya Das  | AUBURN University  | Non-Government | Department of Policy Studies         | 2019-2020 | 1,18,742  | 2016-2020 |
| NG47 | Addressing the problems of ground water depletion, water scarcity, flooding and hence water mis-management in Gurugram District of Haryana       | Fawzia Tarannum                                      | District Administration, Gurugram : Guru-Jal                       | Non-Government | Department of Regional Water Studies | 2019-2020 | 10,03,750 | 2019-2019 |
| NG48 | India's ambitions and possibilities of becoming a global green leader  | Manish Kumar Srivastava, Sapan Thapar and Atul Kumar | CICERO Senter for klimaforskning (Center for International Climate | Non-Government | Department of Energy and Environment | 2020-2021 | 7,64,387  | 2020-2024 |

|      |  |   |  |                |                                      |           |          |           |
|------|--|---|--|----------------|--------------------------------------|-----------|----------|-----------|
|      | (INDGREEN)   |   | Research)                                  |                |                                      |           |          |           |
| NG49 | Development of a framework for the local implementation of the SDG's - Phase II        | Smriti Das  | Chulalongkorn University                   | Non-Government | Department of Policy Studies         | 2020-2021 | 73,916   | 2020-2022 |
| NG50 | Societe Generale - TERI SAS - Research Sponsorship Program                             | Gopal Sarangi and Sapan Thapar                          | Societe Generale Securities India (P) Ltd. | Non-Government | Department of Policy Studies         | 2020-2021 | 2,68,625 | 2021-2025 |
| NG51 | Blue Green Interventions for addressing flooding between Sectors 56 and 26 in Gurugram | Ms Ranjana Ray Chaudhuri, Fawzia Tarannum and Sherly MA | I Am Gurgaon, Gurugram                     | Non-Government | Department of Regional Water Studies | 2020-2021 | 5,00,000 | 2020-2021 |
| NG52 | Engaging DoWRS for content development and training on 'Land based water pollution'    | Fawzia Tarannum   | The DHAN Academy                           | Non-Government | Department of Regional Water Studies | 2020-2021 | 4,73,000 | 2020-2021 |

### DVV requirement

#### Documents Needed

☐☐☐☐☐☐ List of Extramural funding received for research, endowments, chairs revied during last five-year along with the nature of award, the awarding agency and the amount

☐☐ E-copies of the letters of awards for research, endowments, chairs sponsored by non- government sources [Annexure 3.2.1.A](#).

#### Specific instruction to HEI

Sanction letter of grants by the funding agency's mandatory to support the claim and the source of funding should be from non- governmental organizations

The duration of the grant period should align with the last five-year period

#### Avoid the following while uploading data

Grants given by their own trust / sister institutions are not to be included

Grants in the form of Equipment's/software's/skill development centers will not be considered



2015.0 P03/A

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POW 2015-2016

Sub-programme: Resource Efficiency

Expected Accomplishment(s): EA(a)

Output(s): Output 2

Title of the approved PRC project:

614.2: Mainstreaming resource efficiency aspects into sustainable development planning, policies and regulatory frameworks

BP No.: 1500009827

Grant: ML-32CPL-000148

WBS Element: SB-000675.10.02

Cost Centre: 11266

Functional Area: 14AC0005

## SMALL SCALE FUNDING AGREEMENT (SSFA)

BETWEEN

THE UNITED NATIONS ENVIRONMENT PROGRAMME (UNEP)

AND

TERI University

for

Scaling SCP learning and outreach through Awareness-raising among Key SWITCH-Asia Target Audiences

WHEREAS UNEP is an international intergovernmental organization established by the UN General Assembly, as represented by Sustainable Lifestyles, Consumption and Industry Branch, having its office at 1 rue Miollis, Building VII - 75015 Paris, France;

WHEREAS the TERI University (hereinafter referred to as "TERI U"), a non-governmental academic institution represented by Dr. Rajiv Seth and having its office at "Vasant Kunj, New Delhi India", affirms that it is a not-for-profit public institution and has the capacities to carry out the activities outlined in this Small Scale Funding Agreement (SSFA); and that it shall carry out the activities under this SSFA without discrimination of any nature;

WHEREAS UNEP and TERI U (collectively referred to as the "Parties" and individually as "Party") have developed, as part of the SWITCH-Asia Regional Policy Support Component under Project 614.2: *Mainstreaming resource efficiency aspects into sustainable development planning, policies and regulatory frameworks*, a Budget and Implementation Plan for this SSFA, attached as Annex 1. The Parties wish to stipulate in this SSFA the rights and duties relating to the execution of the Budget and Implementation Plan;

UNEP AND TERI U HAVE AGREED TO COOPERATE UNDER THIS SSFA AS FOLLOWS:

## Article 1

## Interpretation

1. Any Annex to this SSFA shall be considered an integral part of this SSFA. References to this SSFA shall be construed as including any Annexes, as varied or amended in accordance with the terms of this SSFA.

Parties' initials:





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2. This SSFA represents the complete understanding between the Parties and supersedes all other agreements, communications and representations, whether oral or written, concerning the activities of this SSFA.
3. UNEP's failure to request implementation of a provision of this SSFA shall not constitute a waiver of that or any other provision of this SSFA.

#### Article 2

##### Duration

1. This SSFA shall be effective upon the last date of signature of the approving officials and remain in force until 30 November 2016, unless terminated in accordance with Article 9. TERI U is not entitled to UNEP funds for any expenditure it makes after this SSFA has expired.
2. Should it become evident during implementation that an extension of this SSFA beyond the date of expiry stipulated in Article 2.1 is required to achieve this SSFA's objectives, the Parties shall consult with each other on the nature and duration of such an extension. TERI U must provide UNEP a minimum of two weeks' notice of the need for an extension. Upon reaching agreement on the extension and the new expiry date of this SSFA, the Parties shall immediately conclude, and prior to this SSFA's expiry, an amendment in accordance with Article 11.

#### Article 3

##### Purpose

1. Based on the goals of the EU-funded SWITCH-Asia Programme under Project G14.2: *Mainstreaming resource efficiency aspects into sustainable development planning, policies and regulatory frameworks* (PoW 2014-2015), UNEP and TERI U are entering into this SSFA with the overall objective of implementing specific policy support and awareness raising activities to implement Components 2 and 4 of the 2016 SWITCH-Asia Regional Policy Support Component Workplan in the Indian and South Asian contexts especially.
2. Under the context of the SWITCH-Asia Programme's Regional Policy Support Component, the agreement is part of a broader workstream for national policy support to eligible countries under the EU-funded SWITCH-Asia Programme, where India is such a country and South Asia is a priority sub-region.
3. The agreement will specifically support the following five policy support activities:

##### *Activity 1 – Strengthening of national SCP curricula development with South Asian expertise*

This activity will support the costs of involving sub-regional policymakers and broader Asian expertise in SCP Curriculum development at TERI University in 2016 to ensure the curriculum developed for University level students is replicable in other institutions regionally and relevant for a national policymaking context.

##### *Activity 2 – Series of Mini BLISS schools on Sustainable Development to engage TERI U students in the practical application of Sustainable Development learning while simultaneously increasing the awareness of children and youth in lowest-income school areas of Delhi*

The activity involves organization of a minimum of 30 Mini BLISS School sessions. The objective is to engage TERI University Post-Graduate and PhD students in the practical application of Sustainable Development in urban India while simultaneously increasing the awareness of children and youth in lowest-income school areas. Their learning from the existing academic curriculum and activities shall

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be complemented through participation in UNEP – TU Mini Building Learning in Sustainability Science (BLISS) School. The goal of these schools will be to bring this annual TERI U event towards a wider and younger audience exposing them to local solutions in confronting the challenges and opportunities for sustainable development. A second goal will be to *practically implement Sustainable Development learning and increase awareness on in an urban low-income context*. This activity will also engage local governments in India to increase their awareness of Sustainable Development Goals and other stakeholders as well. Each low-income school targeted will accommodate around 30 students leading to a total of 90 students/teachers. Each participating student shall be provided with a solar lantern and school bag from participation. The solar lantern and the bag shall bear the logos of UNEP, EU SWITCH-Asia Programme and TERI University. The learning from this joint initiative shall be documented with the objective of inspiring policymakers and higher education institutions within India and other countries from South Asia to adapt the model and advance it for the benefit to their respective local education contexts and communities.

This activity shall also include an outreach campaign that will include - preparation of print material, brochure, posters etc. for schools; and outreach in popular media (such as website's, television etc.). The main aim of the outreach would be to generate awareness about the Mini BLISS's commitment to implementing the SDGs - especially key targets education, appropriate green technology and SCP.

**Activity 3 –Special Event on SCP during World Sustainable Development Summit**

In October 2016, the World Sustainable Development Summit will be hosted at The Energy Resources Institute (TERI) including heads of state, CEOs, many leaders and high level delegations will attend based on the 2015 event standard set. <http://wsdf.teriin.org/>. As SCP is a central sub-theme of the event again, TERI U and SWITCH-Asia will host a special event on "SDG 12, behavioral change and education policies for SCP" with a policy brief relating to higher education for SCP, to be distributed to key decision makers.

**Activity 4 - Awareness raising short films on SDG 12 for national policy advocacy on SCP**

The activity involves developing 2 awareness raising short films focusing on SDG 12 in the Indian context. These will be educational films of around 5 minutes each and will serve to raise awareness towards SCP issues such as the need for behavioral change, education for sustainable consumption and livelihoods values, water efficiency in the agricultural sector, sustainable tourism and/ or other relevant issues. The short films shall then be used as an effective medium for policy advocacy with South Asian stakeholders - especially policymakers.

**Activity 5 - Young Researchers' South Asian Symposium on Sustainable Development Goals (SDGs) 2016 during World Sustainable Development Summit**

In October 2016, as part of the World Sustainable Development Summit, TERI University shall organise the Young Researchers' South Asian Symposium on Sustainable Development Goals (SDGs). This symposium aims to expand the community of likeminded researchers and academicians working to promote advance research on sustainable development concerns in South Asia. In particular the symposium shall bring together doctoral and postdoctoral researchers working in the area relating to 'SDG 12: Sustainable Consumption and Production' to exchange outputs of their individual research while being exposed to a wider range of advance research on synergistic thematic areas within the region.

4. This SSFA sets forth the rights and duties of the Parties for the execution of the Budget and Implementation Plan set out in Annex 1.

**Article 4  
Cooperation**

1. The Parties shall carry out their respective responsibilities in accordance with the provisions of this SSFA. The Parties agree to cooperate with each other at all times and maintain close working

Parties' Initials: X



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relationships in order to achieve the objectives of the Budget and Implementation Plan.

2. The Parties' focal points for this SSFA shall be:

For UNEP:

Mrs. Sara Castro  
Programme Officer, 10YFP/SWITCH-Asia  
Sustainable Consumption, Lifestyles and Industry Branch,  
Division of Technology Industry and Economics (DTIE),  
UNEP,  
Tel: 00 33 1 4437 3035  
Emails: [sara.castro@unep.org](mailto:sara.castro@unep.org)

For TERI U:

Dr Shaleen Singhal  
Head of the Department of Policy Studies  
TERI University  
Vasant Kunj  
New Delhi - 110070  
India  
Tel: 00 91 71802222  
Email: [ssinghal@teri.res.in](mailto:ssinghal@teri.res.in)

3. The Parties shall keep each other informed of all activities pertaining to this SSFA and shall consult at a minimum once every two weeks on issues that may affect the achievement of the objectives of the Budget and Implementation Plan.
4. The Parties shall cooperate with each other in obtaining any licenses and permits required by national laws, where appropriate and necessary for the execution of the Budget and Implementation Plan. The Parties shall also cooperate in the preparation of any reports, statements or disclosures required by Member States/States Parties or national law.
5. TERI U shall not seek nor accept instructions regarding the activities under this SSFA from any Government or other authority external to UNEP. Likewise, TERI U shall refrain from any conduct that would adversely reflect on the United Nations and shall not engage in any activity that is incompatible with the aims and objectives of the United Nations or the mandate of UNEP.
6. Before disclosing internal documents, or documents that by virtue of their content or the circumstances of their creation or communication must be deemed confidential, of the other Party to third parties, each Party shall obtain the express, written consent of the other Party. However, a Party's disclosure of another Party's internal and/or confidential documents to an entity the disclosing Party controls or with which it is under common control, or to an entity with which it has a confidentiality agreement, shall not be considered a disclosure to a third party, and shall not require prior authorization. For UNEP, a principal or subsidiary organ of the United Nations established in accordance with the Charter of the United Nations shall be deemed to be a legal entity under common control.

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7. UNEP shall own any intellectual property that can be protected and that is created in relation to a particular activity developed by TERI U with UNEP's financial support under this SSFA. UNEP shall grant TERI U a non-exclusive, non-assignable worldwide license to use the intellectual property for an indefinite period to distribute/promote this intellectual property in a lawful manner, with the prior approval of UNEP, provided such publication or deliverable is for non-commercial purposes and that UNEP is acknowledged within such publication pursuant to Article 4.8.
8. Any publications or communications tools resulting from this SSFA shall give prominent and appropriate credit to UNEP. A Party may use the other's name, emblem and/or logo, with the other Party's prior written approval in each instance, on publications, including documents, presentations, press releases and webpages, relating to the Budget and Implementation Plan.


#### Article 5 Status of Partner and its Personnel

1. TERI U's personnel, employees, agents and contractors working on the execution of this SSFA or otherwise (hereinafter referred to as "Personnel") are not employees of the United Nations or UNEP. TERI U's Personnel are not covered by the privileges and immunities applying to the United Nations, UNEP, and their personnel pursuant to the Convention on the Privileges and Immunities of the United Nations.
2. TERI U shall be solely and completely responsible and accountable for all services performed by its Personnel for this SSFA.
3. TERI U shall ensure that its Personnel meet the highest standards of qualification and technical and professional competence necessary for the achievement of the objectives and results of the SSFA, and that decisions on employment related to this SSFA shall be free of discrimination of any nature. TERI U shall ensure that all Personnel are free from any conflicts of interest relative to this SSFA.

#### Article 6 Fund Management and Record-Keeping Obligations

1. In accordance with the activity-based Budget in Annex 1, UNEP shall make available to TERI U funds up to the maximum amount of US\$ 177,848 (*One hundred seventy seven thousand and eight hundred forty eight US dollars*).

UNEP shall advance the first instalment of US\$ 88,924 (*eighty eight thousand and nine hundred twenty four United States Dollars*) to TERI U as soon as possible, but no sooner than 15 days after this SSFA's effective date as per Article 2.1. UNEP shall pay the second and subsequent instalments to TERI U in accordance with the schedule below, but no sooner than 15 days after the TERI U's submission of documentation required by Article 7 and UNEP's acceptance thereof as satisfactory management and use of UNEP's resources.

Parties' Initials: 

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| Installment No. | Deliverable as per Budget and Implementation Plan   | Amount (USD)   | Expected Date of Payment   |
|-----------------|---|--|--|
| 1               | Upon signature.   | US\$ 88,924 (eighty eight thousand and nine hundred twenty four United States Dollars) | As soon as possible but no sooner than 15 days after this SSFA's effective date. |
| 2               | Upon submission of financial and narrative report and completion of all deliverables (no later than 15 November 2016) | US\$ 88,924 (eighty eight thousand and nine hundred twenty four United States Dollars) | Upon submission and approval of final deliverables.                              |

The funds shall be deposited in:

**Bank Name and Address:**

HDFC Bank Limited  
Site No.2, OCF Pocket C, Vasant Kunj  
New Delhi - 110 070

**Account Title and Number:**

TERI University  
Bank Account No.: 00031170000088


**Wire Instructions:**

Bank Swift Code: HDFCINBB  
Bank IFSC Code: HDFC0000273  
RTGS Code: HDFC0000273  
Bank Account Type: Saving

**Signatories:**

Dr. Rajiv Seth and  
Mr. Dhanraj Singh

2. TERI U agrees to utilize the funds provided by UNEP in strict compliance with the Budget and Implementation Plan, and shall promptly notify UNEP of any expected variations. TERI U shall be authorized to make variations not exceeding 10 (ten) per cent on any one component item of the Budget provided that the total budget allocated by UNEP therein is not exceeded. Any variations exceeding 10 (ten) per cent on any one component item that may be necessary for the proper and successful implementation of this SSFA, shall be subject to prior consultations with and written approval of UNEP.
3. In its procedures for procurement of any goods, services or other requirements with funds made available by UNEP under this SSFA, TERI U shall ensure that, when awarding contracts, it shall safeguard the principles established by the UN Secretariat for procurement, unless otherwise agreed in writing by UNEP. The principles established by the UN Secretariat for procurement are as follows:
  - a. Allowable procurement methods are established unambiguously at an appropriate hierarchical level along with the associated conditions under which each method may be used, including a requirement for approval by an official that is held accountable;
  - b. Competitive procurement is the default method of procurement;
  - c. Fractioning of contracts to limit competition is prohibited;
  - d. Appropriate standards for international competitive tendering are specified and are consistent with international standards;

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- e. The responsibilities are distinct and provide for segregation of duties so as to avoid conflict of interest and external interference in procurement transactions; and
  - f. Principles of best value for money, fairness, integrity, and transparency shall be given due consideration in the exercise of procurement functions.
4. TERI U shall keep accurate and up-to-date records in respect of all expenditures incurred with the funds made available by UNEP to ensure that all expenditures are in conformity with the provisions of the Budget and Implementation Plan. For each disbursement, full and complete supporting documentation shall be maintained, including original invoices, bills, and receipts pertinent to the transaction(s). UNEP shall not be liable for the payment of any costs, expenses, fees, tolls or any other financial cost not outlined in the Budget, unless UNEP has explicitly agreed in writing to do so prior to TERI U's expenditure. TERI U shall maintain records relating to this SSFA for a period of at least three years following the expiry or termination of this SSFA. UNEP shall have the right, at its own expense, to audit or review such activity related books and records as it may require. Such review process shall entail the submission of documentation (payment receipts, invoices and proof of expenditures) of TERI U to UNEP to support the expenditures in its financial expenditure report. TERI U shall cooperate with UNEP's audit or review, and make available to UNEP original invoices, bills, and receipts for transactions related to the SSFA.
  5. TERI U shall return any unspent funds within 30 (thirty) days of the completion of the Budget and Implementation Plan, or expiry or notice of termination of this SSFA, whichever occurs earlier.

#### Article 7 Reporting Requirements

1. Pursuant to the schedule in Art. 7.5, TERI U shall provide UNEP where appropriate with narrative Progress Reports, based on the template attached as Annex 2, on the execution of this SSFA. The Progress Reports shall include the status of activities; outputs delivered; results; an assessment of whether the execution is in accordance with this SSFA; and a description of any obstacles to full and timely execution that have been identified, along with measures taken (for the reporting period) and proposed measures (for the coming reporting period) to address such obstacles.
2. TERI U shall also submit Financial Reports and Cash Requests, as per the schedule in Art. 7.5, in accordance with the following requirements:
  - (a) TERI U shall prepare a Financial Report regarding the expenditures from UNEP's contribution and TERI U's co-finance (cash or in-kind contribution) for activities under this SSFA, based on the template attached as Annex 3. A duly authorized official of TERI U shall certify the Financial Report.
  - (b) The Financial Report shall list the disbursements incurred in the execution of this SSFA, by budgetary component on a quarterly basis. TERI U shall credit any refund received from suppliers as a reduction of disbursements on the component to which it relates.
  - (c) TERI U shall prepare the Financial Report to reflect the transactions on a "cash basis", not an accrual basis. TERI U shall thus only report on its disbursements, and not on its unliquidated obligations or commitments. Nonetheless, TERI U shall provide in the Financial Report an indication of the level of unliquidated obligations or commitments, for budgetary purposes.
  - (d) In the Cash Request, TERI U shall request UNEP's cash advance for the next period, based on a cash statement and a cash forecast (an itemized budget of expected disbursements) that supports the planned deliverables triggering the amount of funds requested, in line with the Budget and Implementation Plan.

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3. The timely submission of Progress and Financial Reports are a prerequisite to UNEP's continuing funding of this SSFA. In accordance with Article 6.1, UNEP shall advance funds to TERI U after this SSFA becomes effective and then only once it has received the Progress and Financial Reports, and has accepted them as satisfactory management and use of UNEP's resources.
4. Within 30 (thirty) days of the completion of the Budget and Implementation Plan, or the expiry or notice of termination of this SSFA or, whichever occurs earlier, TERI U shall submit a Final Progress Report and a Final Financial Report (based on template in Annex 4 and 5, respectively) on the use of UNEP funds.
5. Schedule of Progress and Financial Reports:

| Submission Dates | Relevant Reports   |
|------------------|--|
| 15 November 2016 | Final Progress Report and certified Final Expenditure Report for the period up to the completion of the Budget and Implementation Plan |

6. TERI U shall draw UNEP's attention to any findings in its audited statutory financial statements and related audit opinion that may concern UNEP funding. Independent of the foregoing, UNEP may request from TERI U submission to UNEP a copy of its audited statutory financial statements and related audit opinion, issued by an independent audit authority and as presented to and endorsed by TERI U's governing body, for any and all fiscal years covered by the duration of this SSFA.

#### Article 8 Responsibility for Claims

1. TERI U shall be solely responsible for any salaries, wages, insurance and benefits due or payable to its Personnel, including without limitation, any severance, termination, or disability payments to such Personnel. TERI U shall be solely responsible for any claims for death, bodily injury, disability, damage to property or other hazards that may be suffered by TERI U's Personnel as a result of their work for this SSFA. The United Nations and UNEP shall entertain no claims and have no liability whatsoever in respect of TERI U's Personnel.
2. TERI U shall indemnify, save and hold harmless, and defend at its own expense, the United Nations and UNEP, their officials and other personnel, from and against all suits, claims, demands and liability of any nature and kind, including their cost and expenses, arising out of the actions or omissions of TERI U or its Personnel.

#### Article 9 Suspension and Termination

1. UNEP shall consult with TERI U if any circumstances arise that, in UNEP's judgment, interfere or threaten to interfere with the successful execution of this SSFA, or the accomplishment of its purposes. These include, but are not limited to, any failures by the TERI U to meet its obligations under the terms of this SSFA. Likewise, TERI U shall promptly inform UNEP of any circumstances that may interfere with the execution of this SSFA, that come to its attention. The Parties shall cooperate towards the rectification or elimination of the circumstances in question and shall exert all reasonable efforts to that end, including prompt corrective steps by TERI U, where such circumstances are attributable to it or within its responsibility or control.

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2. UNEP may within 30 (thirty) days after learning of the circumstances in question, and following consultations with TERI U, suspend this SSFA, by written notice to TERI U, without prejudice to the initiation or continuation of any of the joint measures envisaged in Article 9.1. UNEP may indicate to TERI U the conditions under which it is prepared to authorize TERI U's execution of this SSFA, to resume. The suspension of this SSFA shall have the effect of holding in abeyance UNEP's payment of cash installments and TERI U's disbursement of UNEP funds paid to it under this SSFA.
3. If the circumstances triggering the suspension are not rectified or eliminated within 30 (thirty) days after giving TERI U notice of suspension, UNEP may, by written notice within 30 (thirty) days thereafter during the continuation of such circumstances: either (a) terminate this SSFA and the Budget and Implementation Plan; or (b) terminate this SSFA and entrust the execution of the Budget and Implementation Plan, to another Institution.
4. Subject to Article 9.3(b), TERI U may terminate this SSFA where a circumstance has arisen that impedes TERI U from performing its duties under this SSFA, even following discussions held with UNEP as per Article 9.1. In such cases, TERI U must give UNEP written notice of its termination of this SSFA.
5. Upon notice of termination by either Party under this Article, the Parties shall take immediate steps to wind up activities under this SSFA in a prompt and orderly manner, so as to minimize losses and/or further expenditures. TERI U shall undertake no forward commitments, and shall return to UNEP all unspent funds and, as applicable, Assets, in accordance with Articles 6.5 and 9.6, respectively. UNEP shall reimburse TERI U only for those costs incurred to execute this SSFA, in conformity with the express terms of this SSFA. Any such reimbursements, when added to amounts previously remitted to TERI U by UNEP for the execution of this SSFA, shall not exceed the total UNEP contribution for this SSFA. UNEP shall make any such reimbursements within 60 (sixty) days of notice of termination.
6. In the event of transfer of TERI U's responsibilities for the execution of the Budget and Implementation Plan, to another Institution, TERI U shall cooperate with UNEP and the other Institution in the orderly transfer of such responsibilities.
7. The obligations under Articles 4.7, 6.4-6.5, 7, 8, 10, and 12 shall survive the expiry or termination of this SSFA.

#### Article 10

##### United Nations Privileges and Immunities

1. Nothing in or relating to this Agreement shall be deemed a waiver, express or implied, of any of the privileges and immunities of the United Nations, including its subsidiary organs.

#### Article 11

##### Amendments

1. The Parties may amend this SSFA, including its Annexes, by mutual written agreement.

#### Article 12

##### Dispute Settlement

1. The Parties shall use their best efforts to settle amicably any dispute, controversy or claim arising out of this SSFA.

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*[Handwritten initials]*




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Without prejudice to Article 9, any dispute, controversy or claim between the Parties arising out of this SSFA which is not settled amicably may be referred by either Party to arbitration under the UNCITRAL Arbitration Rules then in force. The arbitral tribunal shall have no authority to award punitive damages. The Parties shall be bound by any arbitration award rendered as a result of such arbitration as the final adjudication of any such dispute, controversy, or claim.

IN WITNESS WHEREOF, the duly authorized representatives of the Parties affix their signatures below.

For UNEP

For TERI U

  
 Name: Ligia Noronha  
 Title: Director, DTIE  
 Date: 29/6/16

  
 Name: Dr Rajiv Seth  
 Title: Acting Vice-Chancellor, TERI U  
 Date: 8/7/16

ANNEX 1: Budget and Implementation Plan  
 ANNEX 2: Interim Progress Report  
 ANNEX 3: Expenditure Report  
 ANNEX 4: Final Expenditure Report  
 ANNEX 5: Final Progress Report

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## Annex 1 – Budget and Implementation Plan

## Part A – Implementation Plan

## Background

This SSFA will enable the implementation of policy support activities from UNEP to India under the EU-funded and UNEP managed SWITCH-Asia Regional Policy Support Component (RPSC). The SWITCH-Asia RPSC includes 4 main components: i) policy assessment, ii) capacity-building, iii) policy dialogue and iv) institution building. Under the capacity-building component, UNEP will support 9 countries on specific SCP policy development on a demand-driven basis. India is one of the 9 countries that has requested SCP policy support. A needs analysis involving consultation workshops was conducted for India in 2012, and identified a number of potential areas for SCP activities. UNEP has since then recommenced consultations with the Government of India in 2014 in order to prioritize the implementation of SCP activities that have been identified already and develop a formal agreement and implementation plan as such.

The current United Nations Development Action Framework (UNDAF) for India from 2013-2017<sup>1</sup> explicitly denotes UNEP's mission in India as follows: "The United Nations Environment Programme (UNEP) will focus on supporting a green economy through *resource efficiency (sustainable production and consumption)*."

UNEP's activities through this SSFA will directly contribute to the completion of SWITCH-Asia Programme RPSC Action description deliverable under Work Package 2 on Capacity Development for SCP. Specifically, A\_2\_2 (page 17) "Train Current and Future Decisionmakers" and the deliverables on embedding SCP into tertiary curricula with "leading national policy schools". The activities in this SSFA will lead to the completion of the first two priority activities in the current SWITCH-Asia RPSC workplan's Work Package 2 titled: Supporting curricula development for tertiary education institutions.

This project and SSFA activities are directly relevant to UNEP's Programme of Work (POW) 2014-2015, Sub-Programme on Resource Efficiency (including Green economy and Sustainable Consumption and Production). This project contributes to the EU-funded SWITCH-Asia Regional Policy Support Component, which UNEP manages under the 2014-2015 Programme of Work Project 614.2 "Mainstreaming resource efficiency aspects into sustainable development planning, policies and regulatory frameworks".

The outputs of the projects will provide India country specific support to the component 3 and 4 of the Project 614.2; to mainstream SCP objectives in national development plans and strategies and promote demonstration and awareness-raising activities to support general knowledge, attitudinal changes and voluntary measures for SCP practices and a transition to a Green Economy.

In India, the leading national policy school identified for embedding SCP into existing curricula and post-graduate programmes under these SWITCH-Asia deliverables is TERI University. Through the partnership with a national and sub-regional leading policy school such as TERI University, the specific agreement outputs will contribute to increased capacities, integration of SCP into learning curricula to ensure behavioral change and the creation of "SCP policy champions" in India's and South Asia's future policymakers.

The partner of this SSFA is TERI University whose academic programmes are focused around the challenges of providing for a rising global population with a limited and degraded natural resource base. In moving towards sustainability, the implicit understanding is that there is no panacea or straight road, with recognized

<sup>1</sup> UNDAF for India 2013-2017 can be found online at: <http://www.undg.org/docs/13035/India---UNDAF-2013-2017-sgn-EN.pdf>

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and established methodologies, tools or specializations leading to such development. The solutions therefore do not lie in a specific subject discipline, but must be appropriate and relevant to the context or the practical problem being addressed. Developing such an understanding among its students is best achieved through exposure to a variety of subjects, tools, and methodologies offered in interdisciplinary mode. This has been the guiding philosophy behind the programmes offered by the TERI University and is practised by building a theoretical understanding in courses covering a variety of traditional disciplines, such as ecology, natural and social sciences, governance, policy, law, and engineering.

Apart from doctoral research, the TERI University offers MSc degree programmes in Environmental Studies and Resource Management, Environmental and Resource Economics, Geoinformatics, Climate Science and Policy, and Plant Biotechnology; MBA programmes in Infrastructure and in Business Sustainability; and MTech programmes in Renewable Energy Engineering and Management, and Urban Development and Management.

The University offers two MA programmes, one in Public Policy and Sustainable Development, and the other in Sustainable Development Practice. TERI University is one of a select group of 22 institutions chosen worldwide by the MacArthur Foundation, USA, to run the Sustainable Development Practice programme. The University uses modern pedagogical tools, richly supplemented by field visits, live industry projects, and hands-on applications. It provides the very best in equipment and instruments, which includes state-of-the-art computer facilities, well-equipped laboratories, video-conferencing facilities, and access to South Asia's most comprehensive library on energy and environment.

TERI University has established excellent partnerships and collaborative arrangements with a number of institutions overseas, including Yale University, USA; The Freie University of Germany; Utrecht University, The Netherlands; North Carolina State University, USA; and University of Technology, Australia.

#### Objective of the SSFA

The ever-growing asset of knowledge for sustainable development created by TERI University through teaching and learning and continual engagement of Post-Graduate and PhD students' needs to be disseminated across all sections of society in India and South Asia. Realising this need, TERI University, with support from the UNEP and EU under the SWITCH-Asia programme, proposes to engage the Post-Graduate and Doctoral students in the practical application of Sustainable Development in urban India while simultaneously increasing the awareness of children and youth in lowest-income school areas of Delhi. The activities under this SSFA will also engage the local government in Delhi as well as other stakeholders to increase their awareness of Sustainable Development Goals.

A host of government schools with access to limited resources demonstrate strong rationale for complementing the learning through academic curriculum and activities, with challenges and opportunities for sustainable development. Simultaneously, the motivation and enthusiasm of TERI University Post-Graduate/PhD students for engaging with the lower income sections of society needs to be formally recognized and channelized for meaningful outcomes. Integration of the two calls for launching the series of 'Mini BLISS School on Sustainable Development' that will focus on a cluster of SDG's relating to needs of urban communities in emerging economies.

Within the scope of this agreement it is envisaged that a minimum of 20 Mini BLISS schools on SD shall be organised at TERI University campus to engage TERI U Post-Graduate and PhD students in the practical application of Sustainable Development in urban India while simultaneously increasing the awareness of children and youth in lowest-income school areas of Delhi. Each school shall constitute of around 30 students to attend the half day Mini BLISS School led by TERI University Post-Graduate/PhD students, under guidance of faculty members from across the departments. A follow up mechanism shall be established to sustain the interest and to document the feedback of participating students.

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Given the potential value-added and impact of this joint initiative by UNEP-EU and TERI University, a mechanism for outreach shall be established with the objective of inspiring higher education institutions, within India and other countries from South Asia to adapt the model and advance it for the benefit to their respective communities. The process shall also contribute to strengthening the vision of addressing sustainable development goals by UNEP and TU.

#### Description of Activities

##### Activity 1 – Strengthening of national SCP curricula development with South Asian expertise

This activity will support the costs of involving sub-regional policymakers and broader Asian expertise in SCP Curriculum development for a new SCP Masters Course at TERI University in 2016. It will ensure the curriculum developed for University level students is replicable in other institutions regionally and relevant for a national policymaking context. This activity also supports the travel and inclusion of South Asian policymakers as beneficiaries from training during the course delivery.


| Deliverables   | Delivery date |
|--|---------------|
| Participation of at least 11 South Asian and broader regional experts in curriculum development and curriculum delivery meetings | August 2016   |

##### Activity 2 – Series of Mini Bliss schools on Sustainable Development to engage TERI U students in the practical application of Sustainable Development learning while simultaneously increasing the awareness of children and youth in lowest-income school areas of Delhi

The activity involves organization of a minimum of 30 Mini BLISS Schools. The objective is to engage TERI University Post-Graduate and PhD students in the practical application of Sustainable Development in urban India while simultaneously increasing the awareness of children and youth in lowest-income school areas. Their learning from the existing academic curriculum and activities shall be complemented through participation in UNEP – TERI U Mini BLISS School for a wider exposure to challenges and opportunities for sustainable development – to practically implement Sustainable Development learning and increase awareness on its value added in an urban low-income context. This activity will also engage local government in India to increase their awareness of Sustainable Development Goals and other stakeholders as well. Each low-income school targeted will accommodate around 30 students and teachers leading to a total of 900 students/teachers. Each participating student shall be provided with a solar lantern and school bag from participation. The solar lantern and the bag shall bear the logos of UNEP, EU SWITCH-Asia Programme and TERLU. The learning from this joint initiative shall be documented with the objective of inspiring policymakers and higher education institutions within India and other countries from South Asia to adapt the model and advance it for the benefit to their respective local communities.

This activity shall also include an outreach campaign that will include - preparation of print material, brochure, posters etc. for schools; and outreach in popular media (such as website's, television etc.). The main aim of the outreach would be to generate awareness about the Mini BLISS's commitment to implementing the Sustainable Development Goals - especially targets on education, green technology access and SCP.

| Deliverables  | Delivery date   |
|---|-----------------|
| Delivery of lessons plan for the Mini BLISS Schools and confirmation of schools to be involved and dates of delivery          | 3 August 2016   |
| Delivery of 30 Mini BLISS School sessions with successful feedback from students, schools personnel and external stakeholders | 31 October 2016 |

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**Activity 3 - Special Event on SCP during World Sustainable Development Summit**

From October 5-8 2016, the World Sustainable Development Summit will be hosted at The Energy Resources Institute (TERI) India Habitat Centre including heads of state, CEOs, and high level delegations attending (<http://wsdf.teriin.org>). As SCP is a central sub-theme of the event again, as during the first 2015 event, TERI U and SWITCH-Asia will host a special event on "SDG 12, behavioral change and education policies for SCP" with a policy brief relating to higher education for SCP, to be distributed to key decision makers. Given the focus, the event will involve eminent experts and national policymakers on higher education and environment curricula. The target audience will be higher education delivery and policymaking community, including representatives from other prominent Indian and South Asian universities and policymakers from both Ministries of Education and Environment, Forests and Climate Change.

| Deliverables   | Delivery date   |
|--|-----------------|
| Draft policy brief and event agenda shared for comments  | 30 June 2016    |
| Final policy brief and event agenda materials developed  | 31 August 2016  |
| Event hosted successfully and policy brief disseminated (online and in print) with positive comments from stakeholders present | 8 October, 2016 |

**Activity 4 - Awareness raising short films on SDG 12 for national policy advocacy on SCP**

The activity involves developing 2 awareness raising short films focusing on SDG 12 in the Indian context. These will be educational films of around 5 minutes each and will serve to raise awareness towards SCP issues such as the need for behavioral change, education for sustainable consumption and livelihoods values, water efficiency in the agricultural sector, sustainable tourism and/or other relevant issues. The short films shall then be used as an effective medium for policy advocacy with South Asian stakeholders - especially policymakers.

| Deliverables   | Delivery date     |
|--|-------------------|
| 2 Videos script and format presentation  | 1 July 2016       |
| 2 Videos draft for comments and final production                                     | 29 July 2016      |
| Final cut of 2 videos launched and disseminated online and formally at WSDS in Delhi | 30 September 2016 |

**Activity 5 - Young Researchers' South Asian Symposium on Sustainable Development Goals (SDGs) 2016 during World Sustainable Development Summit**

In October 2016, as part of the World Sustainable Development Summit, TERI University shall organise the Young Researchers' South Asian Symposium on Sustainable Development Goals (SDGs) for up to 8 selected South Asian researchers (two per South Asian Country). This symposium aims to expand the community of likeminded researchers and academicians working to promote advance research on sustainable development concerns in South Asia. In particular the symposium shall bring together doctoral and postdoctoral researchers working in the area relating to 'SDG 12: Sustainable Consumption and Production' to exchange outputs of their individual research while being exposed to a wider range of advance research on synergistic thematic areas within the region.

| Deliverables  | Delivery date |
|---|---------------|
| Symposium agenda and Research competition announced | 30 June, 2016 |

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|   |                |
|---|----------------|
| Final Researchers selected from each South Asian Countries (two per country - 16) | 31 August 2016 |
| Symposium held under WSDS Delhi   | 8 October 2016 |

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## Part B - Budget

## Budget Summary

| Budget Summary by budget classes |                                       |             |
|----------------------------------|---------------------------------------|-------------|
| Class                            | Budget class for implementing partner | 2016 in USD |
| 500000                           | IP - Staff and other personnel        | 45,702      |
| 500001                           | IP - Travel                           | 35,664      |
| 500002                           | IP - Contractual services             | 96,482      |
| TOTAL                            |                                       | 177,848     |

## Activity based budget:

| Budget  |  |                      |            |                 |                  |
|---|--|----------------------|------------|-----------------|------------------|
| Budget class  | Activity   | Quantity             | Unit       | Unit Cost (USD) | Total Cost (USD) |
| <b>1. Activity 1: Travel and catering to host international and regional experts contributions for Curriculum workshops (1&amp;2) and BLISS Summer School on SCP event</b>  |  |                      |            |                 |                  |
| 500001  | SCP Curriculum workshop 1<br>Travel for regional/international participants  | 3                    | 2 days     | 263             | 1,578            |
| 500001  | SCP Curriculum workshop 2<br>Travel for regional/international participants  | 2                    | 2 days     | 376             | 1,503            |
| 500001  | BLISS SCP School Travel and Stay – South Asian participants<br><br>Travel and Stay - National participants additional-outside (Delhi/NCR) participants | 11<br>(9)<br><br>(2) | Per expert | 1,137           | 12,507           |
| 500002  | Catering charges for 11 sessions, including two tea sessions and lunches over five days  | 11                   | 5 days     | 37.58           | 2,067            |
|   | Subtotal for Activity 1  |                      |            |                 | 17,655           |
| <b>Activity 2: Mini BLISS School on SDGs and SDG 12 for children and youth led by TERI U graduate students</b><br>For 30 Mini BLISS School @ 30 students and Teachers in each Mini BLISS School) = 30*(30) = 900 participants |  |                      |            |                 |                  |
|   | Mini BLISS Schools   |                      |            |                 |                  |
| 500002  | Local travel by bus, contracted service  | 30                   | sessions   | 105.23          | 3,157            |
| 500002  | Catering for 30 participants (students/teachers) (\$12.78 per participant)   | 30                   | sessions   | 383.40          | 11,502           |

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|  |   |     |   |          |        |
|--|---|-----|---|----------|--------|
| 500002   | Solar Lanterns and school kits for 30 participants (students/teachers)  | 30  | session                                 | 1020     | 30,600 |
| 500002   | Communications and Outreach campaign for activity (organizing outreach events, print materials brochures, and media distribution) | 30  | session                                 | 600      | 18,000 |
| 500000   | Faculty and Associate Professor costs to supervise activity during agreement  | 100 | days                                    | 289.25   | 28,925 |
| 500000   | Administrative support, logistical and IT support staff, and Mini BLISS manager   | 30  | sessions                                | 225.50   | 6,765  |
|  | Sub-total for Activity 2  |     |   |          | 98,949 |
| <b>Activity 3: Special Event on SCP at WSDF - "SDG 12, behavioral change and education policies for SCP" with a policy brief relating to higher education for SCP, to be distributed to key decision makers.</b> |   |     |   |          |        |
| 500002   | Cost of organising the Special event at WSDF (Including venue, audio/visual, local transport services, etc.)                      | 1   | event                                   | 11,123   | 11,123 |
| 500001   | Travel of 10 International participants for WSDF and roundtable (@ 50,000 INR per participant)                                    | 10  | Per person                              | 751.65   | 7,516  |
|  | Sub-total for Activity 3  |     |   |          | 18,639 |
| <b>Activity 4: Awareness raising short films on SDG 12 for national policy advocacy on SCP</b>   |   |     |   |          |        |
| <b>Short films on SDG 12</b>   |   |     |   |          |        |
| 500002   | Cost of preparing 2 video films Including professional cost for shooting, editing and logistic arrangements                       | 2   | Per video                               | 7,516.54 | 15,033 |
| 500000   | Professional time for research Inputs and story line preparation  | 2   | Per video                               | 3006.61  | 6,012  |
|  | Sub-total for Activity 4  |     |   |          | 21,045 |
| <b>Activity 5: Young Researchers' South Asian Symposium on Sustainable Development Goals with a focus on SDG12 - Sustainable Consumption and Production</b>  |   |     |   |          |        |
| 500002   | Event cost of organising the Symposium (Including venue services, etc.)   | 1   | Per event                               | 5,000    | 5,000  |
| 500000   | Professional time cost for coordinating symposium and researchers development   | 1   | Per coordinator (1 assistant professor) | 4,000    | 4,000  |

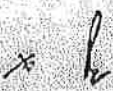
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|        |  |    |           |     |         |
|--------|--|----|-----------|-----|---------|
|        | during duration of agreement activity  |    |           |     |         |
| 500001 | Cost of regional travels for young researchers selected including honorarium for food expenses | 16 | Peritavel | 785 | 12,560  |
|        | Sub-total for Activity 5   |    |           |     | 21,560  |
|        | <u>Total Cost to UNEP</u>  |    |           |     | 177,848 |
| 500000 | In-kind support from TERI U Operational and Administrative cost                                |    |           |     | 19,564  |
|        | <u>Total</u>   |    |           |     | 197,412 |

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## ANNEX 2: Interim Progress Report (Template)

## 1. Identification:

Budget lines: 11266 SB-000675.10.02 14AC0006 32CPL M1-32CPL-000148

Amount: US\$ 177,848

POW 2016

Sub-programme: Resource Efficiency

Expected Accomplishment(s): EA(a)

Output(s): POW output 2

Title of the approved PRC project: 614.2: Mainstreaming resource efficiency aspects into sustainable development planning, policies and regulatory frameworks

SSFA starting date:

Completion date:

## 2. Summary of Status:

*Brief description of the main achievements, main implementation challenges and lessons learned towards achieving SSFA's objective*

## 3. Activity delivery status

| Activity     | Description of work undertaken during reporting period | Deliverables | Delivery date | Status of Activity (completed or not completed) | If activity not completed, please describe the reason why and indicate mitigation actions that were taken. |
|--------------|--|--------------|---------------|---|--|
| Activity 1 - |  |              |               |   |  |
| Activity 2 - |  |              |               |   |  |
| Activity 3 - |  |              |               |   |  |
| Activity 4 - |  |              |               |   |  |
| Activity 5 - |  |              |               |   |  |


## 4. List of attached documents

*(for example, publications, meeting reports, participants list, workshop reports, etc.)*

Signature:

Date:

Name and title of signing officer:

Parties' Initials: 



DTIE16-SC018

## Annex 3 -Expenditure Report (Template)

Budget lines: 11266 SB-000675.10.02 14AC0006 32CPL M1-32CPL-000148

Amount: US\$ 177,848

POW 2016

Sub-programme: Resource Efficiency

Expected Accomplishment(s): EA(a)

Output(s): POW output 2

Title of the approved PRC project: 614.2: Mainstreaming resource efficiency aspects into sustainable development planning, policies and regulatory frameworks

SSFA starting date:

Completion date:

Cumulative amount already transferred from UNEP to the Partner as of this reporting date: USD.....

Interim:

| Activity   | Original Budget (USD) | Total Expenditures (USD) | Comments (if the expenditures were different from what was originally planned, please provide a short explanation) |
|------------|-----------------------|--------------------------|--|
| Activity 1 |                       |                          |  |
| Sub-total  |                       |                          |  |
| Activity 2 |                       |                          |  |
| Sub-total  |                       |                          |  |
| Activity 3 |                       |                          |  |
| Sub-total  |                       |                          |  |
| Activity 4 |                       |                          |  |
| Sub-total  |                       |                          |  |
| Activity 5 |                       |                          |  |
| Sub-total  |                       |                          |  |
| Total Cost |                       |                          |  |

Signature of a duly Authorized officer:

Name :

Position :

Date:

Parties' Initials: 

DTIE16-SC018

## Annex 4 – Final Expenditure Report (Template)

Budget lines: 11266 SB-000675.10.02 14AC0006 32CPL M1-32CPL-000148

Amount: US\$ 177,848

POW 2016

Sub-programme: Resource Efficiency

Expected Accomplishment(s): EA(a)

Output(s): POW output 2

Title of the approved PRC project: 614.2: Mainstreaming resource efficiency aspects into sustainable development planning, policies and regulatory frameworks

SSFA starting date:

Completion date:

| Activity   | Original Budget (USD) | Total Expenditures (USD) | Comments (if the expenditures were different from what was originally planned, please provide a short explanation) |
|------------|-----------------------|--------------------------|--|
| Activity 1 |                       |                          |  |
| Sub-total  |                       |                          |  |
| Activity 2 |                       |                          |  |
| Sub-total  |                       |                          |  |
| Activity 3 |                       |                          |  |
| Sub-total  |                       |                          |  |
| Total Cost |                       |                          |  |

Signature of a duly Authorized officer:

Name :

Position :

Date:

Parties' Initials: 



DTIE16-SC018

## ANNEX 5: Final Progress Report (Template)

## 1. Identification:

Budget lines: 11266 SB-000675.10:02 14AC0006 32CPL-M1-32CPL-000148

Amount: US\$ 177,848

POW 2016

Sub-programme: Resource Efficiency

Expected Accomplishment(s): EA(a)

Output(s): POW output 2

Title of the approved PRC project: 614.2: Mainstreaming resource efficiency aspects into sustainable development planning, policies and regulatory frameworks

SSFA starting date:

Completion date:

## 2. Summary of Status:

*Brief description of the main achievements, main implementation challenges and lessons learned towards achieving SSFA's objective*

## 3. Activity delivery status

| Activity     | Description of work undertaken during reporting period | Deliverables | Delivery date | Status of Activity (completed or not completed) | If activity not completed, please describe the reason why and indicate mitigation actions that were taken. |
|--------------|--|--------------|---------------|---|--|
| Activity 1 – |  |              |               |   |  |
| Activity 2 – |  |              |               |   |  |
| Activity 3 – |  |              |               |   |  |

## 4. List of attached documents

*(for example, publications, meeting reports, participants list, workshop reports, etc.)*

Signature:

Date:

Name and title of signing officer:

Parties' Initials: 

## SANDEE RESEARCH GRANT AWARD AGREEMENT

With

KAVITA SARDANA

SANDEE

## INSTRUCTIONS

Please find enclosed SANDEE's Grant Award Agreement (the 'Agreement').

Thank you for reading each page carefully and providing all information requested to expedite the process. Please notify all project team members, as well as your institution's financial and administrative staff, of the obligations described in this Agreement.

- Initial each page at the bottom right to indicate your agreement.
- Sign and put your institutional stamp on pages 3 and 7.
- Complete the bank transfer information on page 8.

**Return two original, countersigned copies of this Agreement and your request for the first Installment (Appendix II) by FedEx/DHL to:**

Neesha Pradhan  
 SANDEE/ICIMOD  
 Khumaltar, Lalitpur, Nepal  
 Tel: 977-1-5003222 / 552 6391  
 Fax: 977-1-553 6786

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## SANDEE RESEACH GRANT AWARD AGREEMENT

Ref.: Research Grant No. SANDEE / 2014-13

The South Asian Network for Development and Environmental Economics (SANDEE) approved a grant:

In the amount of (Local Currency): 1,528,500

USD equivalent (as on September 2014): 25,475

To principal investigator: Kavita Sardana

For research proposal: **Economic Value of Biodiversity Conservation provided by Forest and Agro-forest Ecosystems in Kodagu District**

For 24 months from: September 30, 2014

The above grant fund will be used as described and budgeted in the final, revised proposal submitted to SANDEE (see Appendix I).

The recipient (hereafter 'grantee') agrees that the payment of any funds under this grant is subject to compliance with the conditions set out in this Agreement, including Attachments A, B, C, D, E, F, and the Appendices.

## ADMINISTERING INSTITUTION

The technical aspect of the project work conducted under this grant will be monitored at SANDEE by Dr. Priya Shyamsundar, Executive Director, or anyone else designated by SANDEE. Ms. Neesha Pradhan, Programme Associate, will be the first point of contact at the SANDEE administrative office.

The address for the above contacts is as follows:

SANDEE/ICIMOD

P.O Box: 8975, EPC-1056

Khumaltar, Lalitpur, Nepal

Tel: 977 500 3222 / 552 6391

Fax: 977 553 6786

Email: [priyas@sandeeonline.org](mailto:priyas@sandeeonline.org)

[neeshap@sandeeonline.org](mailto:neeshap@sandeeonline.org)



## RECIPIENT AND AFFILIATED INSTITUTION

**Principal Investigator ('Grantee')**

Name: Kavita Sardana

Address: Department of Policy Studies, TERI University Plot No. 10, Institutional Area,  
Vasant Kunj, New Delhi 110070, India

Phone: +91-11-26122 222, 2613 9110, 2613 9011, 9818564760 (M)

Email: kavita.sardana@teriuniversity.ac.in

I acknowledge that, as the Grantee, I am responsible for all technical issues and  
completing the research project within the timeframe.

Grantee's Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Name of Grantee's Affiliate Institution:

Seal of Grantee's Affiliate Institution:

**Head of Grantee's Department/Organization ('Director')**

Name:

Title:

Email address or Fax number:

Director's Signature:

Date:

\_\_\_\_\_

\_\_\_\_\_

Financial Representative of Grantee's Department/Organization (Chief Financial Officer (CFO) or Accountant)

Name: Mr. Dhanraj Singh

Title: Finance officer

Email address or Fax number: dhanraj.singh@teri.res.in

SANDEE reserves the right to conduct an internal audit of this grant. By signing this contract, the CFO and Grantee hereby agree to provide access to all accounts related to the grant.

CFO's Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Initials: \_\_\_\_\_

### AVAILABILITY OF THE GRANT

- This Grant is subject to the availability of sufficient funding from SANDEE donors during the course of the grant.
- The commencement date of the grant shall be September 30, 2014 and the completion date shall be September 29, 2016. For grant deadlines, please see Attachment B - Project Deadlines and Payments.
- The Grant offer will expire within 3 months of the date of issue of this agreement. If signed copies of the grant agreement are not received within this time, the grant will be cancelled automatically.

### GRANT INSTALLMENTS

Payment of the grant funds will be made in three installments.

- **First Installment** (35% of the total grant amount): Issued after SANDEE receives two completed and countersigned copies of this Grant Award Agreement, along with your request for disbursement (see Appendix II).
- **Second Installment** (50% of the total grant amount) released on these conditions:
  - SANDEE's Advisors approve your research progress.
  - You submit biannual progress reports and participate at SANDEE's biannual Research and Training workshops (see Attachment D).
  - Your institution submits a financial report (see Attachment C) that shows a major portion of the first installment has been spent.
  - You submit a second formal disbursement request (see Appendix II).
- **Third Installment** (15% of total grant amount) released on these conditions:
  - Your institution audits the financial accounts of the first two installments (85% of the total grant amount), and submits that audit to SANDEE.
  - You present your final research findings at a SANDEE biannual research workshop, and SANDEE Advisors approve your work.
  - You submit a draft manuscript and data from the SANDEE grant, if your study involves primary/secondary data collection.
  - You submit a third formal disbursement request (see Appendix II).
- **Closure of Grant** occurs upon successful completion of these conditions:
  - You submit a manuscript for a SANDEE working paper after review and approval by SANDEE's Executive Director.
  - You submit consolidated financial accounts for the entire grant, i.e. all three installments (see Attachment C).



## SPECIAL TERMS AND CONDITIONS

- **Late Submission of Final Report/manuscript:** In rare and unavoidable circumstances, if the final report is unlikely to be submitted within the three months after the grant period, then the Grantee will need to send a no-cost extension letter to SANDEE indicating the reasons for the delay and presenting a new timetable. SANDEE will approve such extension requests only if there are very legitimate exogenous reasons.
- **Failed Projects:** For all failed projects, the Grantee and host institution's Director will be informed, unspent funds will need to be refunded to SANDEE, the Grantee will be ineligible for SANDEE services (training, sponsorship to conferences etc.) and SANDEE's donors may be notified. A project will be classified as 'Failed' if any of the conditions below are not met.
  - You must submit Progress and Final Reports within the agreed deadlines.
  - You must submit a consolidated financial statement of all three installments within three months of the grant completion date.
  - You must attend and participate in SANDEE's biannual Research and Training Workshops. Failure to attend two consecutive biannual research workshops without the prior approval of SANDEE may result in forfeiting your grant.
- **Internal Audit:** SANDEE reserves the right to conduct an internal audit of this grant at any time. By signing this contract, the Grantee, CFO, and Director of the recipient institution hereby agree to provide access to all accounts related to the grant.

## AGREEMENT AMENDMENTS

This agreement may be modified by a written amendment between SANDEE and the Grantee.


## SIGNATURE OF GRANT AGREEMENT ACCEPTANCE

The Grantee accepts the grant as of the date indicated:

\_\_\_\_\_  
Grantee

\_\_\_\_\_  
Date

Signed on behalf of SANDEE:

  
\_\_\_\_\_  
Mani Nepal, PhD  
Research Program Manager

  
\_\_\_\_\_  
Date



## ATTACHMENT A: BANK TRANSFER INFORMATION

Information required for wire-transfer of funds

Full Name of Recipient:

TERI University

Institution's Account No.:

000 3117 00000 88

Name of Bank:

HDFC Bank Limited

Branch Name:

Vasant Kunj, New Delhi

SWIFT (details, if any):

HDFC INBB

IFSC code (if applicable):

HDFC0000273

Full Address of Branch:

Connaught Place,A-3/4, Surya Kiran Building, B-2/4  
19, K.A. Marg, New Delhi - 110001

Telephone No.:

915628584

Fax No.:

N.A

E-mail address:

abhaya.singh@hdfc bank.com

## ATTACHMENT B: PROJECT DEADLINES AND PAYMENTS

| Milestone                           | Due Date                          | Submitted by | Payment Percent |
|-------------------------------------|-----------------------------------|--------------|-----------------|
| Project Commencement                | September 30, 2014                | n/a          | 35%             |
| First Progress Report               | November 1, 2014/<br>May 15, 2015 | Grantee      |                 |
| Second Payment                      | Need-based                        | Grantee      | 50%             |
| Second/Third Progress Report        | May 15, 2015/<br>November 1, 2015 | Grantee      |                 |
| Final Report (Draft Manuscript)     | May 1, 2016                       | Grantee      |                 |
| Final Manuscript                    | August 30, 2016                   | Grantee      |                 |
| Final Payment                       | July 31, 2016                     |              | 15%             |
| Final Consolidated Financial Report | September 28, 2016                | Grantee      |                 |

Note: First progress report may be submitted either for December R&T or for June R&T.



## ATTACHMENT C: FINANCIAL REPORTING TEMPLATE

## Financial Reporting

South Asian Network for Development and Environmental Economics (SANDEE)

|                |  |
|----------------|--|
| Project Period |  |
| Reporting Date |  |

Reporting Currency (LCY) e.g. NPR

Table 1 : Expenses

| A                         | B                              | C                                   | D                                   | E                                   | F                               | G                       |
|---------------------------|--------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------------------------------|-------------------------|
| Budget Details            | Total Budget for the Agreement | Expenditure for the 1st installment | Expenditure for the 2nd installment | Expenditure for the 3rd installment | Accumulated Expenditure (C+D+E) | Unutilised Budget (B-F) |
| Research                  |                                |                                     |                                     |                                     | 0.00                            | 0.00                    |
| Equipment and Accessories |                                |                                     |                                     |                                     | 0.00                            | 0.00                    |
| Other Travel Cost         |                                |                                     |                                     |                                     | 0.00                            | 0.00                    |
| IT & Communication        |                                |                                     |                                     |                                     | 0.00                            | 0.00                    |
| Dissemination             |                                |                                     |                                     |                                     | 0.00                            | 0.00                    |
| <b>Sub Total</b>          | <b>0.00</b>                    | <b>0.00</b>                         | <b>0.00</b>                         | <b>0.00</b>                         | <b>0.00</b>                     | <b>0.00</b>             |
| Contingencies (2.5%)      | 0.00                           | 0.00                                | 0.00                                | 0.00                                | 0.00                            | 0.00                    |
| Overhead (10%)            | 0.00                           | 0.00                                | 0.00                                | 0.00                                | 0.00                            | 0.00                    |
| <b>Total</b>              | <b>0.00</b>                    | <b>0.00</b>                         | <b>0.00</b>                         | <b>0.00</b>                         | <b>0.00</b>                     | <b>0.00</b>             |

Table 2: Income

| H   | I           | J                   |
|---|-------------|---------------------|
| Funds Transferred From SANDEE (Date)      | Amount      | Fund Position (I-F) |
| First Installment (e.g Jan 31 2011)       |             |                     |
| Second Installment                        |             |                     |
| Third Installment                         |             |                     |
| Interest earned if any, from SANDEE Funds |             |                     |
| <b>Total</b>                              | <b>0.00</b> | <b>0.00</b>         |

Signed by:

( )  
Head of The Institution

( )  
Chief financial officer

( )  
Grantee



Initials: \_\_\_\_\_

## ATTACHMENT D: SCHEDULE OF FINANCIAL MILESTONES

| Milestone   | Due Date                                   | Deliverable  | Payment Amount (INR) |
|---|--|--|----------------------|
| First Payment (35% of the total grant amount)           | Within 45 days of signing of the agreement | Duly signed Grant Award Letter and a disbursement request (Appendix II) signed by the grantee.   | 571,900              |
| Second Payment (50% of the total grant amount)          | Need-based                                 | Financial report (see Attachment C) signed by the organization's head and financial representative, along with a disbursement request (Appendix II) signed by the grantee. | 817,000              |
| Third and Final Payment (15% of the total grant amount) | By July 31, 2016                           | Audit report from the affiliated institution for the first two installments and a disbursement request (Appendix II) signed by the grantee.                                | 245,100              |
| Closure of Grant  | By September 14, 2016                      | Submission of final manuscript and consolidated financial accounts for the entire grant (Attachment C).  |                      |

SANDIE



20140w21

**USAID | INDIA**  
FROM THE AMERICAN PEOPLE

September 30, 2014

Dr. Rajiv Seth  
TERI University  
10, Institutional Area  
Vasant Kunj  
New Delhi – 110070

**Subject: Fixed Obligation Grant (FOG) Award No. AID-386-F-14-00002 to TERI University for Program Titled: Strengthening Water and Sanitation in Urban Settings**

Dear Dr. Seth,

Pursuant to the authority contained in the U. S. Foreign Assistance Act of 1961, as amended, the U.S. Agency for International Development (hereinafter referred to as "USAID"), hereby awards to TERI University (hereinafter referred to as "Recipient"), the sum of U.S. Dollars \$708,279 payable in local currency INR42,497,000 to provide support for the program entitled "Strengthening Water and Sanitation in Urban Settings" according to the Milestone Budget shown in the Schedule, Attachment 1, to support the subject award, as more fully described in the Program Description, Attachment 2.

This agreement is effective from **November 01, 2014** and an obligation of U.S. Dollars \$703,642 is made as of the date of this letter and shall apply to expenditures made by the Recipient in furtherance of program objectives during the period beginning **November 01, 2014 and ending on October 31, 2017**. USAID shall not be liable for reimbursing the Recipient for any costs in excess of the obligated amount.

By signing this Grant Agreement, Recipient agrees that:

1. The recipient will comply with the terms and conditions as set forth in the attachments listed following the signature below, which are incorporated as part of the Grant Agreement.
2. Recipient will maintain records of transactions related to the Grant Agreement for at least three years after payment of the final milestone. After the end of the agreement, USAID retains the right, at its discretion, to examine all or a sample of the recipient's records or transactions related to the Grant Agreement where concerns of implementation irregularities arise.
3. USAID is not liable for reimbursing the recipient for any amount in excess of the obligated amount, or outside of the Grant Period, as provided in the Schedule.

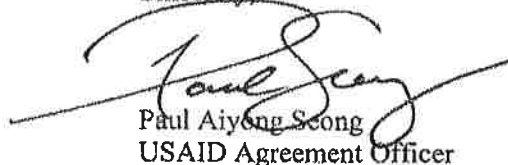




4. Unless otherwise provided in the Schedule, title to any equipment or personal property purchased to accomplish any milestones under this Agreement vests in the recipient upon acquisition, with the condition that the recipient must use the equipment or property for the grant as long as it is needed for such.
5. Recipient will obtain the USAID Agreement Officer's (AO) written approval prior to any changes to: 1) the activities being supported by this Grant; 2) the fixed amount of this grant; 3) the milestones; or 4) change in the Grant Agreement completion date.
6. USAID will conduct monitoring of the grant program, including site visits as appropriate.
7. On submission of the voucher for payment for the final milestone, the Recipient must certify that the grant is completed and the Recipient will make no further claim against the grantor after final payment.
8. This award may be terminated by either party at any time, in whole or in part, 30 calendar days after receipt of written notification by the other party. If USAID terminates this award, the Recipient may submit a claim within 90 calendar days of such termination for any costs incurred in performance of any unpaid or incomplete milestones. The Agreement Officer must determine the amount(s) to be paid by USAID to the recipient under such claim in accordance with the legally applicable Cost Principles.
9. Any dispute under this award will be decided by the AO. Notwithstanding any other term of this award, subawardees and contractors have no right to submit claims directly to USAID and USAID assumes no liability for any third party claims against the recipient.

Please sign the original and each copy of this letter to acknowledge receipt and confirm acceptance of the Grant Agreement, and return the original and all but one copy to the Agreement Officer.

Sincerely,



Paul Aiyong Seong  
USAID Agreement Officer

Attachments:

1. Schedule
2. Program Description
3. Standard Provisions

ACKNOWLEDGED BY: **TERI University**

Signature: \_\_\_\_\_

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Phone: \_\_\_\_\_

Email: \_\_\_\_\_

Date: \_\_\_\_\_

**ACCOUNTING DATA:**

BBFY: 2014 EBFY: 2015 Fund: GH-C OP: INDIA Prog Area: A11 Dist Code: 386-M Prog  
Elem: A052 Prog Sub-elem: A0216 Team/Div: INDIA BGA: 386 SOC:4100200

**PAYMENT OFFICE:**

Regional Financial Management Office  
USAID/India  
American Embassy, Shanti Path  
Chanakyapuri  
New Delhi, 110021 India  
e-mail : [indiarfmo@usaid.gov](mailto:indiarfmo@usaid.gov)



## **ATTACHMENT 1**

### **SCHEDULE**

#### **A. PURPOSE OF GRANT**

The purpose of this grant is to provide support for the program described in Attachment 2, Program Description.

#### **B. GRANT PERIOD**

The effective date of this grant is November 01, 2014. The completion date of the grant is October 30, 2017.

#### **C. AMOUNT OF AWARD AND PAYMENT**

1. USAID hereby awards the amount of USD \$708,279 for purposes of this grant and an initial obligation of \$703,642 is made as of the date of this award.
2. Payment will be to the Grantee upon presentation to the USAID Controller at USAID/India an original and two copies of a properly prepared voucher using the SF-1034, with a certification that the Milestone being billed has been completed and providing any other documentation required by USAID specified with each milestone. Each voucher will be identified by the award number, specify the Milestone that is being billed, and the fixed amount associated with that Milestone. Payment shall be within 30 days after receipt of a proper voucher or the verification by USAID of milestone completion for which payment is requested, whichever is later. USAID reserves the right to withhold payment subject to milestone completion verification. The Recipient is encouraged to submit the above referenced payment documentation as e-mail attachments to the e-mail address provided for the Payment Office. Payment documentation may also be submitted in hard copy paper form to the Payment Office.

#### **D. GRANT AGREEMENT BUDGET**

1. Following is the Schedule of Milestones associated with the program which has been agreed upon between the USAID and the Recipient, for funding under this Grant Agreement.
2. The accomplishment of each Milestone will be based on the successful submittal or completion of the tasks or deliverables delineated for that Milestone (see table below).
3. The Recipient agrees to Leverage an amount and/or resources not less than \$708,279 from non-federal funds and partners.

The recipient must be able to demonstrate whether leveraged contributions have been obtained as proposed in program implementation in order to determine whether the desired impacts from the alliances are being achieved. USAID has the ability to revise or withdraw from the agreement

### 3.2.1.NG.3.

when contributions are not forthcoming as originally proposed. The Recipient is required to report leveraging in its Financial Reports.

Within 60 days of award date the recipient must, to the extent that the contributions are being proposed as "resource leveraging," provide: 1) annual benchmarks that include proposed results and 2) annual timelines that include percentages or amounts depending on the structure of the program.



Milestone Table:

| Objective  | Activity                   | Description of Milestone  | Required Deliverable   | INR Amount | USD Amount |
|--|----------------------------|---|--|------------|------------|
| Objective 1:<br>Conduct a comprehensive WASH related risk analysis and human health impacts in a cluster of slums in <u>Kolkata and Chennai.</u> | 1.1 Work Plan              | - Work Plan   | Approved Work Plan   | 3,000,000  | \$50,000   |
|  | 1.2 Water quality analysis | <ul style="list-style-type: none"> <li>- Sampling of study areas, selection of slum-communities) are accomplished, in consultation with local municipal corporation</li> <li>- a quick survey on households health status conducted (in order to know epidemiology of the selected slum community)</li> <li>- Water quality data in the area surrounding the urban slum community (both supply and waste) collected (profiling of drinking water used for other domestic purposes are conducted, for the selected slum communities</li> <li>- At least, 50 water samples in each city analyzed for relevant water quality parameters</li> <li>- Correlation between water quality and community health status researched and established</li> </ul> | <p>Brief summary of the sample study</p> <ul style="list-style-type: none"> <li>- Survey report</li> </ul> <p>- Final report on :</p> <ul style="list-style-type: none"> <li>a) Quality data on supply and waste</li> <li>b) Analysis data on relevant water quality parameters</li> <li>c) Correlation data between water quality and community health status</li> <li>d) Intervention data on strategies identified</li> </ul> | 612,500    | \$10,208   |

|  |  |   |  |           |          |
|--|--|---|--|-----------|----------|
|  |  | - Intervention strategies identified  |  |           |          |
| 1.3 Socio-economic-behavioral assessment                         |  | <ul style="list-style-type: none"> <li>- Document on social fabric of the urban slum community, including social relationships, power dynamics, vulnerabilities and livelihood patterns prepared</li> <li>- Dynamics/position of women in slums researched and a paper prepared. This would include the research that relates to the eight key questions (Pg 5 of the proposal), which is a first research of this kind in India</li> </ul> | -Document on social fabric of the urban slum community<br><br>- Final Gender paper   | 3,752,000 | \$62,533 |
| 1.4 Health risk assessment and estimation of burden of diseases  |  | <ul style="list-style-type: none"> <li>- Priority listing of risk factors</li> <li>- Socio economic demographic profile of the community established</li> <li>- Critical health problems of the community and their causes are identified (focus on WASH related)</li> <li>- Behavioral changes that can lead to improvements in health of urban slum dwellers are identified</li> </ul>  | -Briefing summary including list of :<br>a) Risk factors<br>b) Profile of community<br>c) Health challenges<br>d) Identified Behavioral changes. | 1,717,500 | \$28,625 |
| Objective 2:<br>Develop and implement participatory intervention |  |   |  |           |          |
| 2.1 Engagement of stakeholders                                   |  | <ul style="list-style-type: none"> <li>- Stakeholder mapping done and documented</li> <li>- Project beneficiaries identified</li> <li>- Inputs from stakeholders for Urban</li> </ul>   | -Document on Stakeholder mapping<br>-List of final beneficiaries<br>-Document of the Inputs from the   | 1,212,500 | \$20,208 |

|              |                                     | WASH schemes is documented   | stakeholders   |            |           |
|--------------|-------------------------------------|--|--|------------|-----------|
|              |                                     | <ul style="list-style-type: none"> <li>Sensitization on authorities and responsibilities on urban WASH done.</li> </ul>  | <ul style="list-style-type: none"> <li>- Number of meetings/ interaction/ workshop minutes and stakeholders list shared with AOR</li> </ul>  |            |           |
|              | 2.2 Implementation of interventions | <ul style="list-style-type: none"> <li>- At least Two films each of about 15 minutes duration on urban WASH interventions geared to make behavioral changes and impact on health and ultimately bear the impact particularly on women and children produced</li> <li>- Formation of two community based institutions (one in each city) on urban WASH and their capacity building done</li> <li>- Preparation of <i>Standard Operating Procedure</i> for WASH infrastructure in urban slums in consonance with proposed National Urban Development Mission</li> <li>- Preparation of a model contract for O&amp;M of WASH infrastructure</li> <li>- Interventions that have immediate health impacts such as repair of soak pits, drains, hand-pumps etc implemented.</li> </ul> | <ul style="list-style-type: none"> <li>Digital Video Disk (DVD) of the films.</li> <li>-Sharing of final 'scope of work' of the two community based institutions</li> <li>- Finalized Standard Operating Procedure</li> <li>-Copy of model contract</li> <li>-List of interventions implemented</li> </ul> | 11,832,500 | \$197,208 |
| Objective 3: |                                     |  |  |            |           |



|  |  |   |  |           |          |
|--|--|---|--|-----------|----------|
| Creating enabling conditions through capacity building at various levels | 3.1 WASH curriculum in higher education      | <ul style="list-style-type: none"> <li>- 25 different stakeholders engaged</li> <li>- Model curriculum, structure and pedagogy on WASH developed</li> <li>- Adoption of curriculum in various teaching programs of TERI University</li> <li>- Dissemination of curriculum in various universities offering higher education in South-East Asia</li> </ul> | <ul style="list-style-type: none"> <li>-List of Stakeholders</li> <li>-Copy of final Curriculum</li> <li>-List of teaching programs of TERI Who have adopted WASH curriculum</li> <li>-List of South-East Asian universities that were reached out for WASH</li> </ul>   | 1,280,000 | \$21,333 |
|  | 3.2 Institutionalized seminar series on WASH | <ul style="list-style-type: none"> <li>- 45 lectures by experts from various organizations working in the sector</li> <li>- Dissemination of lectures through social media</li> <li>- 45 hours of high quality recorded lectures on DVDs circulated in 50 libraries</li> </ul>  | <ul style="list-style-type: none"> <li>-Sign-in sheet of lectures</li> <li>-List of social media</li> <li>- On completion of 15 lectures and submission of records/DVDs in year one</li> <li>- On completion of 15 lectures and submission of records/DVDs in year two</li> <li>- On completion of 15 lectures and submission of records/DVDs in year three</li> </ul> | 210,000   | \$3,500  |
|  |  |   |  | 210,000   | \$3,500  |
|  |  |   |  | 250,000   | \$4,166  |
|  | 3.3 Conducting summer school on WASH         | <ul style="list-style-type: none"> <li>- 3 summer schools on WASH aspects conducted: one in each year</li> <li>- At least 200 students (including mid-career professionals from government particularly MoUD, ULBs and youth)</li> </ul>  | <ul style="list-style-type: none"> <li>-Brief summery after completion of first summer school</li> <li>- Brief summery after completion of the second summer school</li> </ul>   | 540,000   | \$9,000  |
|  |  |   |  | 540,000   | \$9,000  |

|   |  |  |  |  |  |   |
|---|--|--|--|--|--|---|
|   |  | benefitted.  |  | - Brief summary after completion of the third summer school  | 590,000  | \$9,833   |
| 3.4 Training of Trainers on WASH  |  | <ul style="list-style-type: none"> <li>- Total six training programs conducted : 2 in each year</li> <li>- 150 school teachers benefitted for catalyzing behavioral changes in slum children on WASH</li> </ul> <p>(This will have a multiplier benefit of educating 7500 children particularly girls)</p> |  | <ul style="list-style-type: none"> <li>-Curriculum of the program</li> <li>-List of attendees for first training programme</li> <li>-List of attendees for second training programme</li> <li>-List of attendees for third training programme</li> <li>-List of attendees for fourth training programme</li> <li>-List of attendees for fifth training programme</li> <li>-List of attendees for sixth training programme</li> </ul> | 498,000<br>498,000<br>498,000<br>498,000<br>498,000<br>510,000 | \$8300<br>\$8300<br>\$8300<br>\$8300<br>\$8300<br>\$8,500 |
| 3.5 National competition on water resources management (including sanitation) |  | <ul style="list-style-type: none"> <li>- Participation of 75 colleges from various parts of India</li> <li>- Engagement of different stakeholders on WASH from various cities</li> <li>- Participation of about 350 students in the competition on WASH</li> </ul>   |  | <ul style="list-style-type: none"> <li>- Summary brief of the application stage process</li> <li>- Summary brief of the regional stage process along with list of participant</li> <li>- Summary brief of the national competition along with training materials and full list of participants</li> </ul>  | 1,650,000<br>1,650,000<br>1,700,000                            | \$27,500<br>\$27,500<br>\$28,333                          |
| 3.6 State of water report (including  |  | <ul style="list-style-type: none"> <li>- Publication of a unique report , first of its kind in India, covering current</li> </ul>  |  | -Copy of the report  | 7,450,000  | \$124,166   |

|                               |   |  |            |           |
|-------------------------------|---|--|------------|-----------|
| WASH)                         | state of affairs on WASH, governance, institutional, policy and technological challenges, solution space and policy advocacy,   | - Agenda and list of conference attendees  |            |           |
|                               | <ul style="list-style-type: none"> <li>- An International (regional) conference for mass dissemination of the information.</li> <li>- 500 copies printed for dissemination</li> <li>- Short communication briefs (complying to information used for State of Water Report), written in vernacular languages for circulation among the inhabitants and local stakeholders</li> </ul> | - Advance copy of communication brief  |            |           |
| 3.7 Incubating WASH challenge | <ul style="list-style-type: none"> <li>- 12 researchers engaged for dedicated research to address WASH challenges in developing countries</li> <li>- 5 innovative solutions to WASH challenges mentored and developed</li> </ul>  | <ul style="list-style-type: none"> <li>- List of organizations and concepts received</li> <li>- Concurrence provided on the list by the AOR</li> </ul> | 1,300,000  | \$21,666  |
| <b>Total</b>                  |   |  | 42,497,000 | \$708,279 |

[Milestones are not necessarily in sequential order.]



## ATTACHMENT 2

**PROGRAM DESCRIPTION:****Strengthening Water and Sanitation in Urban Settings****Project Overview**

|                              |  |
|------------------------------|--|
| <b>Project Goals</b>         | Enabling conditions for achieving sanitation targets for India and generation of demand for sanitation in urban India through Education, Engagement and Human Resources Development.   |
| <b>Project Outcome</b>       | Enhanced capacity of people to choose appropriate sanitation options, health and social structure of urban communities in which they operate, and a model for scaling up activities to a national scale.   |
| <b>Objectives</b>            | <p>1. <u>Conduct</u> a comprehensive WASH related risk analysis and human health impacts in a cluster of slums in <u>Kolkata</u> and in <u>Chennai</u>. Analysis to include:</p> <ul style="list-style-type: none"> <li>▪ A comprehensive cross-sectional WASH related health risk analysis including the living, social, gender-related variables and occupational conditions.</li> <li>▪ A baseline evaluation of the WASH profile which is part of communities' life surrounding a slum of the urban areas.</li> </ul> <p>These analyses will serve as the basis for developing and designing appropriate models for capacity building, development of effective outreach, communications and participation strategies, with special focus on Women and Children.</p> <p>2. <u>Develop and implement</u> participatory intervention strategies in the selected urban areas that engage all potential stakeholders and incorporate a variety of disciplines. These strategies will be designed to facilitate adoption of measures to reduce WASH related risks, trigger behavioural changes, and support long-term participatory interaction among stakeholders.</p> <p>3. <u>Build and catalyse</u> requisite capacities in faculty, students, and decision makers to help address the challenges related to sanitation and health and their engagement in action research with the intent of finding replicable solutions to the sanitation problem. This will include:</p> <ul style="list-style-type: none"> <li>▪ Develop a model curriculum of sanitation related subjects and integrate it into the curricula of relevant programs of TERI University and its dissemination for adoption by other Universities for both an immediate and a long term impact on the sector.</li> <li>▪ Engage nation-wide student community to facilitate action and research to provide innovative sanitation solutions and reduction of related health risks.</li> <li>▪ Sensitize mid-career professionals engaged with this sector to more systemic approaches to dealing with the challenges of delivering effective sanitation services.</li> <li>▪ Inform policy influencing community on the potential solutions and alternative business models for providing sanitation services.</li> </ul> |
| <b>Summary of activities</b> | <ul style="list-style-type: none"> <li>▪ WASH risk assessment, intervention strategies and support long-term participatory interactions among stakeholders.</li> <li>▪ Strengthening WASH component in higher education programme</li> <li>▪ Design &amp; conduct stakeholder engagement process through institutionalise seminar series on WASH, summer school, <i>Training of Trainers</i> program</li> <li>▪ National competition on Water Resources Management (including Sanitation)</li> <li>▪ India's State of Water Report (Including WASH)</li> <li>▪ Incubating a WASH challenge for innovation and action by Youth.</li> </ul>  |

### 3.2.1.NG.3.

|                                       |   |
|---------------------------------------|---|
| <b>Principal Partner Institutions</b> | <ul style="list-style-type: none"><li>▪ TERI University (TERI U), New Delhi</li><li>▪ Coca-Cola India (CCI)</li><li>▪ TERI, New Delhi</li></ul> |
| <b>Specific area</b>                  | Kolkata, Chennai, New Delhi   |
| <b>Time</b>                           | 3 years   |
| <b>Budget</b>                         | INR 42,497,000  |

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## ANNEXURES

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Annexure II: Topographic map of the TERI Zone of influence and project area of concentration

Annexure III: A brief profile

Enclosure: Letters of association from TERI, Coca Cola India, and Splash, Kolkata, letter from Sarva Siksha Mission, Kolkata



## 1.0 BACKGROUND

### 1.1 WATER, SANITATION AND HEALTH CHALLENGES IN INDIA AND THE REGION

India, as other South Asian Countries, is heading towards a freshwater crisis mainly due to improper management and use of water resources and environmental degradation. Depletion and overexploitation of fresh water resources is threatening the very existence of life on earth. There is an urgent need to make society responsible partners in solving the problems related to water – with youth and teachers in the young countries of South Asia being an extremely important constituency for this movement.

The stress on human populations and ecosystems from this depleting water situation is further aggravated by a rapidly declining quality – in particular in urban areas. While the challenges on better water management remain huge, the situation on sanitation is much worse. Beyond the issue of infrastructure is the fact that the per capita water supply itself, being inadequate and less than 140 to 200 lpcd (liters per capita per day), is an impediment as these are estimated to be the minimum flows required for a sewerage system to function properly. Due to this limitation, thinking about underground drainage schemes is out of question in a majority of places except in major towns and metropolis. Also, considering the costs of providing proper sanitation facilities, the state of public finances in most governments and the lack of skill sets available do not allow states to do justice to the sector of sanitation.

For protecting valuable drinking water from contamination, one of the key steps is to break the vicious cycle of inadequate water supply and concentrated water pollution through proper collection, treatment and hygienic disposal of sewage. If sewage is eliminated, bacteriological contamination would end and so would water borne diseases. Therefore, these two aims- water supply and sanitation- need to be synchronized by planners at policy formulation as well as at operational levels.

Health benefits, unfortunately, are not considered to be commensurate with the investments made in community water supply and sanitation sector – largely due to a lack of good quality data. Drinking water supply or underground drainage schemes do not have indicators like cost-benefit ratio (as in irrigation projects) or valuation of results in financial terms; but the efficacy of the schemes can certainly be evaluated in terms of saving in loss of man hours due to water borne diseases and an overall improvement in health status, productivity etc. An integrated and community based approach, providing appropriate importance to water quality and availability, excreta disposal, personal hygiene, etc needs to be developed through effective inter-sectoral co-ordination and active community participation.

Focusing on *water, sanitation and hygiene (WASH)* in many ways leads to the definition of purpose for policy makers, designers and implementers. Health issues bring in the critical human element in water supply schemes, which are as crucial as pipes or filters. They demand a change in mind-set towards conceiving, implementing and operating water systems - in a people based format. **Capacity building and involvement of stakeholders such as medical doctors, health workers, educators, women and social scientists is needed here to facilitate behavioural change and help evolve WASH programs which are effective and improve ground realities.**

## 2.0 PROJECT OVERVIEW

### 2.1 GOALS, PARTNERS, OUTCOME AND COST

The project aims to contribute towards Government of India (GoI) efforts in achieving sanitation targets, through enhancement of people's capacity to choose appropriate options. The activities of the project is in alignment with the approach of GoI flagship programme 'Nirmal Bharat Abhiyaan' and 'Nirmal Shahar Puruskar' which among other measures emphasizes on

Information, Education and Communication, Human Resource Development to increase awareness among people and generation of demand for sanitary facilities. Although these schemes have been implemented with full vigour, however, only marginal improvement in the availability of appropriate sanitation facilities is observed in urban India.

So far, India has performed poorly on WASH related issues, which is not only costing it dearly (nearly \$54 billion a year)<sup>1</sup> but lack of access to sanitation facilities is also creating gender disparity, with women being more severely affected. **Poor sanitation in particular has significant impacts on the safety, well-being and educational prospects of women.** Girls' lack of access to a clean, safe toilet (especially during menstruation), perpetuates risk, shame and fear. Most of the WASH programs grossly neglect the menstrual health issue (WaterAid 2010) It has been estimated that on a global scale sanitation would make 1.25 billion women's lives safer and healthier (WaterAid, 2013).

With gaps in the performance of current WASH schemes and the urgent need for action to improve the life of large group of population, the project envisages capacity building and raising awareness among various stakeholders, including the younger generation. The project activities are escalated to new levels through its 'Training of Trainers' (ToT) component, where the trainers are expected to take learning from the program to their respective institutions/ universities and thus, spread the cause beyond the program duration. We expect a long term sustained impact of the project activities as India now has greater political stability, reasonable economic growth and water and sanitation projects provides big economic opportunity (could be a \$152 billion market)<sup>1</sup>. India has vast pool of educated workforce with demonstrated capacity for technological innovation, which can lead the world in sanitation innovation.

Coca-Cola India, TERI University and TERI, New Delhi has joined hand in establishing a *Department of Regional Water Studies* that has the mandate of building core competencies amongst students, researchers, policy makers and professionals to face the challenges of managing water resources. It aims to bring together government, business and civil society with academia to find solutions to water management. The proposed project will strengthen this Department which will incorporate water, sanitation and hygiene (WASH) in its teaching programme and generate a wide, multi-stakeholder understanding of the need for addressing WASH issues in India. The Department will explore and develop linkages with urban local bodies (ULBs), WASH related initiatives of Gol, and existing sanitation networks (such as WES-Net India etc) so as to engage a wider and influential audience. The members of these stakeholder groups will be invited to participate in the workshop, ToT, engagement in wider student community activities like - action research, inter-university competition, publically advertised talks, media exposure etc.

Potential benefits of activities proposed in the project includes- a) comprehensive understanding of the community dynamics and behaviour; b) Develop awareness campaigns and training materials for teachers (trainers) in nearby community schools c) increased awareness, excellence in research and practices in India in the WASH area, including expertise, services, knowledge and innovation in sanitation; d) Increased Institutional contacts between Universities, several government agencies, NGOs and Industry; e) awareness of good WASH practices at home and workplace; f) long-term knowledge transfer gained from student –faculty led research in water and sanitation sector; and g) a major national contribution to providing solutions to a pressing and highly relevant global problem.

The proposed project is of 3 year duration. The overall summary of the budget and contributions are:

<sup>1</sup> World Bank. (2014). Water and sanitation programme. Retrieved July 29, 2014, from <http://www.wsp.org/about>



|  |                |
|--|----------------|
| Contribution of Coca-Cola in 2014:           | INR 450 Lakhs. |
| Contribution from TERI University (in kind): | INR 1900 Lakhs |
| Contribution requested from USAID:           | INR 425 Lakhs  |

## 2.2 RELEVANCE OF THE PROPOSED PROJECT ACTIVITIES

It is noteworthy that in spite of considerable work and awareness on the WASH issue, India has performed poorly. Within South Asia, India fares worse in meeting the sanitation targets in its MDG goals, compared to Bangladesh, Nepal, Bhutan and Sri Lanka. In fact, in India improved sanitation facilities coverage for urban and rural areas has been 25%-50% which is comparable to coverage in Afghanistan, Pakistan and Nepal, however, is way behind Bangladesh and Bhutan (51%-75%) and Sri Lanka (75%-100%) (Paul, 2011). In fact, perusing through the rural sanitation data reveals that India's performance has been poorest with only 19% of the population having access to improved sanitation (Rout, 2010). Almost half (49.8%) of India's 1.27 million population is forced to openly defecate in the country as there are total lack of sanitation facilities. Only 46.9% of the 246.6 million households have a toilet and only 3.2% people use public toilets, as revealed in data from Census of India 2011.

These numbers ought to be a cause of concern, as India has greater political stability and economic growth compared to its neighbours. Moreover, the Indian federal government has been committed to improve access to water and sanitation of its population (Paul, 2011). To elaborate, despite water being a state subject, rural water supply and sanitation has been a national priority and at present Gol is spending more than USD one billion on the sector (Kingdom, Misra, Prevost, & Gambrell, 2012). Furthermore, the central government initiated 'Total Sanitation for All' program more than a decade ago, which also illustrates its commitment. Moreover, globally India is considered to possess adequate well trained human resources in most fields, and this would imply that the country would have achieved higher rate of success in increasing access to water and sanitation both in urban and rural area to be seen under the MDG program. However, as indicated above it lags behind several South Asian countries (Paul, 2011).

Thus, despite all this funding, and programs there are more than a billion people without access to safe drinking water and sanitation which impacts people's health and well-being (WHO & UNICEF, 2014). It is noteworthy that lack of access to sanitation facilities has gendered impact on wellbeing of population and the most affected are women, adolescent girls, children and infant (Chambers, 2009). Lack of access to basic sanitation is not only a health and hygiene issue for these groups but also a security issue. As is evident from the recent reports on sexual violence and assault against girls in Badaun, Uttar Pradesh and in other parts of the country, wherein lack sanitation facilities is forcing millions of women, adolescent girls and children to step out of the safety of their homes under cover of darkness for open defecation. Further, considering that globally 1.5 million children under the age of 5 could be saved through safe sanitation and also considering that diarrhoea is the leading cause of under-5 deaths in India, the WASH related activities could have a significant positive impact on infants and children.

Acknowledging the current social and institutional milieu, Government of India, World Bank and United national have started a campaign "No Toilet, No Bride" to bring awareness on the subject (Stopnitzky, 2012; United Nations, 2013a, 2013b). This campaign challenges the established practice and norm of open defecation. This also needs to be read as a plea to break this normalised and accepted public imagery of toilet culture. Notably, recent research has outlined that mere growing investment in water supply, sanitation and hygiene has not been able to address the threat from infectious water-related diseases (Saravanan & Gondhalekar, 2014). Implementation of water policies needs greater introspection and clarity on complexity at the intermediate and local level, where state institutions and actors interface with the population at large.



What becomes evident from the above discussion is that a mere commitment or investment has not been able to make significant change at the grass-root level. Hence, the project envisages capacity building and raising awareness among various stakeholders, including the younger generation who can make a perceptible dent in the existing system. For e.g. a **comprehensive program to improve water, sanitation and hygiene in schools in Kenya resulted in nearly 50% reduction in diarrheal illness (Freeman et.al., 2012)**. Thus, it is clear that targeted intervention in WASH programs could definitely provide tangible improvements immediately at the grass-root level. The program would be escalated to new levels through its 'Training of Trainers' component, where the trainers are expected to take learning from the program to their respective institutions/ universities and thus, spread the cause beyond the program duration. Through its engagement of academia and students with local communities, urban local bodies, government and other stakeholders, the proposed program intends to excite all stakeholders in taking a joint action towards WASH objectives.

### 3.0 PROJECT OBJECTIVES

1. Conduct a comprehensive WASH related risk analysis and human health impacts in a cluster of slums in Kolkata and in Chennai. Analysis to include:
  - A comprehensive cross-sectional WASH related health risk analysis including the living, social, gender-related variables and occupational conditions.
  - A baseline evaluation of the WASH profile which is part of communities' life surrounding a slum of the urban areas.
2. Develop and implement participatory intervention strategies in the selected urban areas that engage all potential stakeholders and incorporate a variety of disciplines. These strategies will be designed to facilitate adoption of measures to reduce WASH related risks, trigger behavioural changes, and support long-term participatory interaction among stakeholders.
3. Build and catalyse requisite capacities in faculty, students, and decision makers to help address the challenges related to sanitation and health and their engagement in action research with the intent of finding replicable solutions to the sanitation problem. This will include:
  - Develop a model curriculum of sanitation related subjects and integrate it into the curricula of relevant programs of TERI University and its dissemination for adoption by other Universities for both an immediate and a long term impact on the sector.
  - Engage nation-wide student community to facilitate action and research to provide innovative sanitation solutions and reduction of related health risks.
  - Sensitize mid-career professionals engaged with this sector to more systemic approaches to dealing with the challenges of delivering effective sanitation services.
  - Inform policy influencing community on the potential solutions and alternative business models for providing sanitation services.

One of the most important aspects about this project is the partnership among the participating organizations and the manner in which this partnership supports a more integrated and strategic outcome. There are three primary organisations participating in this project: TERI University, Coca-Cola India, and TERI. Each organization brings a specific combination of expertise, staff experience and outlook to the project. A single discipline approach (or even a multi-disciplinary approach in which each element produces separate deliverables) cannot produce results that adequately address the complex and inter-related nature of both the problems and potential solutions. This only can be accomplished by a true trans-disciplinary approach in which the work of the various elements is thoughtfully integrated. In the end this approach benefits the project, the targeted population and the funding organisation by providing a better project outcome and precedent for other projects.

#### 4.0 METHODOLOGY

Successfully achieving the primary project goal in the urban communities, especially targeted to those living in slums, requires accurate profiling of the information and socio-economic, environmental and health data relevant to WASH activities. This is because, as the geographic scale decreases, specificity increases, and the availability of pre-existing or routinely collected information decreases. In addition to providing baseline and measurement tools for intervention, the information derived from this data will serve as the basis for successful outreach, communication and interaction strategies. It will ensure that the resources are used efficiently to effectively deliver project elements to achieve targeted outcomes. Various activities to achieve the project objectives have been outlined in the following sections:

#### 4.1 OBJECTIVE 1: Conduct a comprehensive WASH related risk analysis and human health impacts in a cluster of slums in Kolkata and in Chennai. Analysis to include:

- A comprehensive cross-sectional WASH related health risk analysis including the living, social, gender-related variables and occupational conditions.
- A baseline evaluation of the WASH profile which is part of communities' life surrounding a slum of the urban areas.

##### 4.1.1 General WASH assessment in select slum in Kolkatta and Chennai: to establish baseline status

Activity 1.1: Preparation of a detailed work plan in consultation with city government

Activity 1.2: Water quality analysis

Samples from various locations will be collected and analysed, following relevant BIS/APHA protocols, for a set of key drinking water quality parameters. After listing all the categories of drinking water sources, both at cluster and household level, the sampling coverage would take into account a few selected number of drinking water sources. The parameters that show exceedance will explain the prevailing hygiene practices of the community. The results will be correlated with health status of the community particularly women and children. The focus of the parameters that is to be analyzed would be mainly to enable the project team to devise effective strategies of the project as defined in subsequent objectives.

##### Expected Outputs/Milestones

1. Sampling of study areas, selection of slum-communities are accomplished, in consultation with local municipal corporation
2. A quick survey on households health status conducted (in order to know epidemiology of the selected slum community)
3. Water quality data in the area surrounding the urban slum community (both supply and waste) collected (profiling of drinking water used for other domestic purposes are conducted, for the selected slum communities)
4. At least 50 water samples in each city analysed for relevant water quality parameters
5. Correlation between water quality and community health status researched and established
6. Intervention strategies identified

Activity 1.3: Socio-economic-behavioural assessment

Understanding the social determinants of health and illness is imperative for designing intervention packages. In the research process, this will include understanding in detail of the social fabric of the community, including social relationships, power dynamics, vulnerabilities and livelihood patterns. Focus will be on to understand the dynamics/position of women. Understanding will be developed on how gender relations and gender inequalities impact health and influence responses to illness in these communities. Gender research, focusing on the differential roles which men and women play, differences in their bargaining power, decision making etc. and the understanding of the social norms will help to understand the problem accurately and to identify solutions, training needs to impact behavioural changes. Mechanisms by which gender and socio-economic factors interact to intensify the disadvantages experienced by the vulnerable groups will also be looked into.

The kinds of questions that the team would attempt to answer in the project are:

- How does class, age or education influence the power to make decisions about one's own healthcare?
- Do young women and poorer women have the same access to information about health services? Does it differ with other social groups (men, rich women, old women etc)?
- Do women have any say in the decision making process? What kind of decisions do women take within the household/ community?
- Who controls funds derived from income generating opportunities? How is income used and spend within the household? Who makes decisions regarding the household budget and the expenses?
- What is the situation of women in the slum? What are the problems they face? How do the community respond to women WASH needs? How do they feel that things can be changed?
- What kind of activities are men, women involved in? How the activities of men and women effect their health?
- How do the men (old, young) prioritize their own health and women's health? How do the women themselves prioritize their health concerns? How they respond to ill health?
- What roles do male/female children play in the household? How much of their time is spend in securing access to WASH facilities?

The tools used for socio-economic assessments will be:

#### *Participatory Rural Appraisal (PRA)*

Participatory Rural Appraisal emphasizes local knowledge and enables local people to make their own appraisal, analysis, and plans that use group animation and exercises to facilitate information sharing, analysis, and action among stakeholders. The same shall be used to understand the social, cultural, political and economic conditions in which the communities operate. Semi structured interviews, Focused Group Discussions, Mapping and Rankings will be done to gather information.

#### *Group Discussions*

These will primarily be used to analyse and design strategies to address the gender dimensions. Seasonal calendars for health problems and planning of delivery of different services will also be extensively used.

#### **Expected Outputs/Milestones**



1. Document on social fabric of the urban slum community, including social relationships, power dynamics, vulnerabilities and livelihood patterns prepared
2. Dynamics/position of women in slums researched and a paper prepared. This would include the research that relates to the critical questions in the subject area, first such research in India

#### Activity 1.4 Health risk assessments and estimation of burden of disease

The second component seeks to perform a health risk assessment using the methodology developed by the World Health Organisation. The method assesses and compares the burden of disease due to select risk factors. Based on the performance of review of requirements for various risk factors used in the Global Burden of Disease (GBD) exercise, project team will identify risk factors for which reasonable data on exposure prevalence and levels of exposures can be collected locally.

Briefly the risk assessment methodology aims at mapping alternative population health scenarios to changes in distribution of exposure to the select risk factors over time. This has been termed as a "counterfactual approach" in which the contribution of one or a group of diseases, injuries or risk factors to a summary measure of population health is estimated by comparing the current or future levels of the summary measure with the levels that would be expected under some alternative hypothetical scenario, including the absence of or reduction in the disease(s) or risk factor(s) of interest. When combined with the intervention analysis, it provides a robust and health-centric framework for a cost-effectiveness analysis. The basic statistic obtained in this approach is the population attributable fraction (PAF) for a specific risk factor- defined as the proportional reduction in disease or death that would occur if exposure to the risk factor were reduced to zero. With several categories of exposures (n) possible PAF is defined as:

$$PAF = \frac{\sum_{i=1}^n P_i (RR_i - 1)}{\sum_{i=1}^n P_i (RR_i - 1) + 1}$$

Where  $P_i$  = population at exposure level  $i$ ;  
 $RR_i$  = relative risk at exposure level  $i$

Thus, the comprehensive exposure assessments planned for this project will enable generation of better local estimates as well as aid extrapolation perhaps at the city/state levels.

#### Expected Outputs/Milestones

1. Priority listing of risk factors
2. Socio economic demographic profile of the community established
3. Critical health problems of the community and their causes are identified (focus on WASH)
4. Behavioural changes that can lead to improvements in health of urban slum dwellers are identified

- 4.2 OBJECTIVE 2:** Develop and implement participatory intervention strategies in the selected urban areas that engage all potential stakeholders and incorporate a variety of disciplines. These strategies will be designed to facilitate adoption of measures to reduce WASH related risks, trigger behavioural changes, and support long-term participatory interaction among stakeholders.

### Activity 2.1 Stakeholder engagement process

Different stakeholders have different roles and shoulder different responsibilities. As an illustration, various categories of the stakeholders and their relative importance are shown in Table 1. These stakeholders need to be engaged for different purposes and using different approaches. A thorough understanding of their powers and responsibilities would be a prerequisite to involve them optimally and to maximum effect. In order to identify which stakeholders are to be engaged when and for what purpose, an exercise (shown in Table 2) will be done. To make sure that the benefits reach the intended beneficiaries, an assessment of what needs to be done will be conducted and the various stakeholders to be involved in this process will be identified. These stakeholders shall be engaged at different stages of the project implementation process either separately or in groups. The expected responsibilities that each category of stakeholder will have will be identified.

**Table 1: Illustration of stakeholder mapping**

|            | Low Influence  | High Influence   |
|------------|--|--|
| Low stake  | Financial Institutions<br>Research community<br>Private physicians | MoH<br>MoUD<br>MoDWS<br>NGOs   |
| High stake | Households<br>Women<br>Children                                    | PHED<br>Schools<br>Education Department<br>City Development Authority<br>Municipal Corporation<br>Health Department<br>Department of Child and women welfare |

Table 2: Example of Stakeholders to be engaged

| Project Beneficiaries | How the project will benefit?  | What needs to be changed / done for the purpose?   | Who else needs to be involved (The other stakeholders)?  |
|-----------------------|--|--|--|
| Urban Communities     | <ul style="list-style-type: none"> <li>Access to clean and healthy environment</li> <li>Greater role in decision making process</li> <li>Basket of livelihood opportunities</li> </ul> | <ul style="list-style-type: none"> <li>Improvement in sanitation infrastructure</li> <li>Sensitisation on importance of and measures for improved health and hygiene</li> <li>Provision of options for improved water quantity and quality</li> <li>Formation of community based institutions</li> <li>Credit intensification</li> <li>Establishment of micro-enterprises</li> </ul> | <ul style="list-style-type: none"> <li>Members of municipal council</li> <li>City Development Authority</li> <li>NGOs</li> <li>Banks and Financial Institutions</li> </ul> |
| Government Bodies     | <ul style="list-style-type: none"> <li>Improvement in capacity to discharge responsibilities</li> <li>Greater visibility due to improved performance</li> </ul>                        | <ul style="list-style-type: none"> <li>Sensitisation on authorities and responsibilities</li> <li>Capacity building of personnel</li> <li>Good implementation of pilot interventions</li> </ul>  |  |

**Expected Outputs/Milestone**

1. Stakeholder mapping done and documented
2. Project beneficiaries identified
3. Inputs from stakeholders for Urban WASH schemes is documented
5. Sensitization on authorities and responsibilities on urban WASH done.

The verifiable indicator would be number of meetings/ interaction/ workshop sessions with stakeholders.

**Activity 2.2 Plans for implementing intervention**

Prior experience of project partners suggests a need for some basic kinds of interventions to kick-start the process. Based on elaborate research (Objective 1), more interventions will be identified and designed in a participatory manner. These relate to those made in the community, and capacity building of the health service providers. These will be implemented after the three year duration of the research process. Following are some examples of the interventions:



i. *Films on Urban WASH interventions*

Professional film production illustrating through case studies about Urban WASH interventions, behavioural changes and health benefits particularly on women and children for wider dissemination.

ii. *Formation of Community Based Institutions*

During the course of project implementation, Community Based Institutions like Self Help Groups (SHGs) will be formed with the aim to promote and sustain WASH activities and bringing about attitudinal changes.

iii. *Capacity building of the community based institutions*

Capacity building of these community based institutions is yet another important intervention that will be carried out during the project implementation process. Capacity building process is a mix of training and cross visits and / or exposure visits to successful models.

iv. *Identification and implementation of interventions for immediate health impact:*

Interventions that bring about immediate positive impact on health will be identified and shall be implemented as one of the interventions. Such interventions could be one or more amongst the followings:

- a. Repair of hand pumps and wells
- b. Construction of soak pits to control water logging near water sources
- c. Construction of drains alongside street

These interventions will be implemented with community contribution either in cash or in kind. This may also be considered as incentive to the community for their participation in the research process.

**Expected Outputs/Milestone**

1. At least two films each of about 15 minutes duration on urban WASH interventions geared to make behavioural changes produced
2. Formation of two community based institutions (one in each city) on urban WASH and their capacity building done
3. Preparation of Standard Operating Procedure for WASH Infrastructure in urban slums in consonance with proposed National Urban Development Mission
4. Preparation of a model contract for O&M of WASH infrastructure.
5. Interventions that have immediate health impacts such as repair of soak pits, drains, hand-pumps etc implemented

The training material and handbook is part of the effort to make the project sustainable and transferable to other areas in India.

- 4.3 OBJECTIVE 3:** Build and catalyse requisite capacities in faculty, students, and decision makers to help address the challenges related to sanitation and health and their engagement in action research with the intent of finding replicable solutions to the sanitation problem. This will include:

- Develop a model curriculum of sanitation related subjects and integrate it into the curricula of relevant programs of TERI University and its dissemination for adoption by other Universities for both an immediate and a long term impact on the sector.
- Engage nation-wide student community to facilitate action and research to provide innovative sanitation solutions and reduction of related health risks.
- Sensitize mid-career professionals engaged with this sector to more systemic approaches to dealing with the challenges of delivering effective sanitation services.
- Inform policy influencing community on the potential solutions and alternative business models for providing sanitation services.

There will be a two way exchange of information/inputs from the lessons learned from activities defined under objectives 1 and 2 with the activities defined under this objective.

#### Activity 3.1 Stakeholder consultation workshop for infusing WASH curriculum in higher education

In the present situation, water, sanitation and hygiene components are addressed within umbrella of environmental subjects that too in a rudimentary fashion with the major focus being on water related issues. However, recognizing the scale and impact of the poor sanitation situation in the country, there exists a huge potential to enhance the learning outcomes of some of the existing academic programs in Universities by including a strong exposure to sanitation and health courses and research. The TERI University, with its focus on multi-disciplinary research and teaching, is well positioned to adopt and strengthen its curriculum to reflect sanitation and health issues appropriately and ensure an effective delivery of such courses/programs. This activity would undertake a curriculum design workshop and engage relevant experts to share their knowledge with a broad spectrum of students at the TERI University over a 5 year period.

The proposed workshop will be held with the aim to start the development of a model WASH curriculum, so that the final output is customized according to the capacities and needs of policymakers, managers and practitioners in the region. The main objectives of the proposed workshop would be:

- (a) To develop model curriculum, structure and pedagogy on the WASH
- (b) To generate consensus amongst participating universities on key details of the operational framework for integrating WASH curriculum in the regular degree programmes

It is expected that the proposed workshop will also bring out an executive plan of action with clear identification of the role and responsibilities of various stakeholders and its dissemination among universities in their region. The findings of the workshop will be shared with key officials of Ministries/Departments in order to have their feedback and engage them in this initiative on a long-term basis.

#### Expected Outputs/Milestone

1. 25 different stakeholders engaged
2. Model curriculum, structure and pedagogy on WASH developed
3. Adoption of curriculum in various teaching programs of TERI University
4. Dissemination of curriculum in various universities offering higher education in South-East Asia

#### Activity 3.2 Institutionalise seminar series on WASH

A seminar series with expert lectures will be launched at TERI University for sensitizing students, policy makers and a wider community in the areas of WASH. The seminar series will bring in lead-thinkers/practitioners/innovators working within and outside India to discuss the current scenario of WASH, its health impacts, innovative solutions and possible directions. The seminars, similar to the usual practice at TERI University, will be broadcasted through websites and other electronic means for reaching a larger audience. About 15 lectures will be held and broadcasted in a year. In the 5 year duration we expect to have about 70 hours of high quality recorded lectures from eminent speakers which can be broadcasted through YouTube and circulated to library of various universities.

#### **Expected Outputs/Milestone**

1. 45 lectures by experts from various organizations working in the sector
2. Dissemination of lectures through social media
3. 45 hours of high quality recorded lectures on DVDs circulated in 50 libraries

#### **Activity 3.3 Conducting summer school on WASH**

A Summer School on "Health risk mitigation from WASH" will be designed and delivered for both students within the University as well as interested stakeholders from outside. This summer school would be offered in both face-to-face as well as online modes for maximizing reach. The summer school will be held during June-July every year starting from 2015. This period will be suitable for students in various universities and for in-service professionals to enroll in the programme. The summer school will have components of model course curriculum developed under activity 4.3.1 of this project. It is expected that every year about 50 students will benefit from this activity.

#### **Expected Outputs/Milestone**

1. Three summer schools on WASH aspects conducted: one in each year
2. Atleast 200 students (including mid-career professionals from government particularly MoUD, ULBs and youth) benefitted.

#### **Activity 3.4 Training of trainers program on WASH**

Special training for teachers and students will be planned in the school/colleges located in metropolitan cities of Chennai and Kolkata, to generate specific awareness and teaching capacity in the domains on WASH and its impact for improved health. The efforts will help mobilize private sector engagement, public sector integration and development partners for WASH efforts in the cities. The training programme details, pedagogy and resource materials will be worked out during the workshop proposed under the activity 4.1.1, 4.1.2 and 4.3.1 of this project.

#### **Expected Outputs/Milestone**

1. Total six training programs conducted : 2 in each year
2. 150 school teachers benefitted for catalysing behavioural changes in slum children on WASH (This will have a multiplier benefit of educating 7500 children particularly girls)

#### **Activity 3.5 National competition on Water Resources Management (including Sanitation)**



Colleges and universities, as leaders of innovation in academic society, have the potential to demonstrate several sustainable principles around their campuses. Such potential needs to be mobilized to engage faculty and students with the wider communities that they are part of so that they can provide a road map for water management. It is with this in mind, that this concept of an 'Inter-University Competition on Water Resources Management (Including Sanitation)' will be carried out. This activity while engaging youth in positive action will also serve as a platform to acknowledge and reward colleges who design innovative, inclusive, systemic and practical approaches to manage water resources in their vicinity. This competition under the USAID supported project will have the focus on strengthening the sanitation and health components while at the same time enhancing the resource pool of experts available to guide student teams on these aspects. Innovative solutions/ ideas for WASH would be an essential part of this competition. **The team composition criteria for participation in this competition would be expanded to include representation from a Medical college/public health program to allow knowledge sharing opportunity on clinical aspects of health issues related with water and sanitation.**

A two-step process would be adopted for selection of best proposals – one at a regional level (5 regions- North, South, West, East, and Central) and the other that would invite the top two or three teams from each region to compete at a national level. Regional selection of best projects will be done through regional juries who are well versed with the locale specific WASH issues. Regional media will be approached for partnership to have a strong promotional campaign linked at strategic points of the program such as launch, announcement of competitions, regional selections, success of field level projects, and selection of the National finalists.

TERI University faculty/staff will be actively involved with the team and will act as the Master trainers on WASH. Regular contact with the faculty members will be maintained for adequate hand holding to the students for conceptualization of their projects. Sustainability and scalability of the chosen interventions will be a strong component of evaluation criteria while grading the presentations made by students. Engagement plan of relevant stakeholder groups in the proposals will be encouraged.

#### **Expected Outputs/Milestone**

1. Participation of 75 colleges from various parts of India
2. Engagement of different stakeholders on WASH from various cities
3. Participation of about 350 students in the competition on WASH

#### **Activity 3.6 State of Water report (including WASH)**

India's State of Water report with special focus on WASH will be published to describe the current scenario, underlying causes of the state of affairs in the sector, and present practical solutions for Industry, Government and Public at large.

#### **Expected Outputs/Milestone**

1. Publication of a unique report , first of its kind in India, covering current state of affairs on WASH, governance, institutional, policy and technological challenges, solution space and policy advocacy,
2. An International (regional) conference for mass dissemination of the information.
3. 500 copies printed for dissemination
4. Short communication briefs (complying to information used for State of Water Report), written in vernacular languages for circulation among the inhabitants and local stakeholders

### Activity 3.7 Incubating a WASH challenge

Students of the TERI University, at the master's level, are encouraged to come up with innovative ideas which can be transformed into small businesses / small start-ups. It is proposed to institutionalize limited numbers of grants for studying new ideas, and doing pilot implementations especially across the components of WASH in Kolkata and Chennai, by students under the supervision of the faculty members and Coca-Cola. Efforts will complement Coca Cola SMS programs in the two cities of Kolkata and Chennai and help establish at least one city to city academic linkage (e.g. TERI University, Delhi & St. Xaviers College, Kolkata) on Urban WASH governance.

#### Expected Outputs/Milestone

1. 12 researchers engaged for dedicated research to address WASH challenges in developing countries
2. 5 innovative solutions to WASH challenges mentored and developed

## 5.0 MONITORING AND EVALUATION

Regular monitoring and evaluation of the project will be carried out in order to assess the milestones achieved as per the desired plan. During the project, on-going monitoring and evaluation will be integrated into the strategy as part of an iterative and reflective process. Information from systematic monitoring of the process, methods and intermediate results will be used to refine the project processes. Monitoring will primarily focus:

- Changes in attitudes, actions and relationships of various stakeholder/target groups.
- Number of members of target groups participated in project activities, openness to ideas.
- Reach of the interventions/capacity to generate projects.
- Strategies employed for project processes and implementation.
- Involvement of the target groups as co-researchers (women and vulnerable group).
- Implementing pilot scale interventions (whether interventions systematically planned, resources deployed and leveraged, acceptance and ownership of the interventions etc.).
- Functioning of the team as an organizational unit
- Skill up-gradation of researchers, number of inter-institutional trainings held.
- Monitoring systems put in place/beneficiary assessment (*Feedback forms, write-ups of informal interactions, refinements of project methodology due to learning*)

The research process being a participatory process, qualitative analysis will be as useful as quantitative analyses in assessing the performance. This will also be done on a half-yearly basis and evaluated in the Project Co-ordination Committee and Technical Advisory Group meetings to extract "learning" and design the future course of action for the project. At the end it will generate a series of 'lessons learned' to serve as precedents for future programme.

## 6.0 OUTPUTS & OUTCOMES

### 6.1 OUTPUTS

This will include an exposure matrix and determination of the differential impact on the sexes and different age groups.

#### Community level outputs



- Baseline health, WASH and socio-economic profile of the urban community including a list of risk factors and their estimated relative impacts on the health of the community.
- Vulnerable social groups identified and health risks prioritized.
- Participatory intervention model designed and tested in the communities to enhance awareness and initiate action on improving sanitation practices, and other priorities identified during the research.
- A preliminary slum and economically weaker urban section WASH behaviour plan prepared.
- A set of community and WASH indicators relevant for slums developed.
- Local community sensitized and empowered to a level where they demand entitlements and services and take collective steps to improve their lives.
- Relationships and understanding between various stakeholders matured to co-ordinate their activities to maximize effect.
- Capacity of the community is built to participate proactively in designing and sustaining interventions relating to WASH and resource management through collective decision making, investing and leveraging resources and acquiring management skills.
- Communities have access to sanitation facilities, formal and non-formal education etc.
- Partnerships with other stakeholders (both government and non-government) formed to synchronise and accelerate developmental efforts

#### Policy level outputs

- Evaluation of participatory intervention model, lessons learned and next steps.
- Policy makers provided with requisite evidence and tools to frame guidelines and norms that minimize WASH related health risks.
- Planning authorities provided with better tools to plan city wide WASH campaigns.
- Policies at the regional and national scale influenced to integrate WASH related health framework in decision making.

#### *Plans to influence policy*

Using the project results, policy advocacy will be done through policy dialogues, and policy awareness meetings with concerned departments/ institutions. The objectives of this will be:

- **To influence existing State/City plans on WASH** in an easily implementable way. Towards this end, an attempt will be made to influence policies in the state for making WASH related surveillance mandatory in future.
- **To influence status of WASH related compliance.** Through key stakeholder dialogue and pilot demonstration of WASH intervention in slums, the project team would strive to enhance the compliance status in the study area. Outside of the study area efforts also will be made to government schemes.
- **To dovetail WASH provisions in city planning.** Lack of concerted approach on WASH has meant that city infrastructure planning do not have adequate guidelines for provision and siting WASH facilities throughout the city geographical area. This project can try and look at use of this policy for better decision making in future, especially for urban WASH guidelines (like the guidelines prepared for Municipal Solid Waste Management by MoUD).
- **To reinforce the existing public policies for mutual advantage.** Decentralized WASH intervention offers a huge scope in terms of environmental improvement and livelihood creation. Biogas (generated from anaerobic waste treatment) could be used effectively for cooking and hence improve indoor air quality. From TERI's past studies it is understood that the need is to seek strong waste utilization policies in all urban residential colonies and slums.

## 6.2 OUTCOME

It is clear that India is struggling to meet its MDG targets, including the total sanitation and hygiene measure. Through the financial aid requested by USAID, the program partners expect to



make a perceptible change in the thinking of various stakeholders, including policy planners and grass-root level implementers. The change implemented through the program goes a long way beyond the project duration through cascading impact, as other universities learn and replicate the coursework in their respective curriculum, thus creating awareness and capacity building catering to a larger audience.

The scale of India's WASH challenges are such that the outcomes of this project – in terms of capacity building, participative problem solving, dispersed wide scale engagement of all stakeholders – should necessarily be built upon further. Undoubtedly, the learning from this initiative will inform/refine the nature of future engagement but the program partners would like to see this as a long term effort. Once established, synergies with existing networks and programs on WASH in the country would be explored and possible linkages would be developed.

## 7.0 PROJECT MANAGEMENT

One of the most important aspects about this project is the partnership among the participating organizations and the manner in which this partnership supports a more integrated and strategic outcome. This is extremely important to really coalesce the multiple skill sets into a trans-disciplinary action plan, upon which the success of the project depends. The operational structure of the project has been designed keeping this in view. This is shown in *Figure 1*.

The core of the whole structure is the Project Co-ordination team (PCT) which comprises representatives from the various technical teams. This team co-ordinates with the core team (comprising senior most persons from each partnering institution and select members of the project team) on one hand and with the subject specialist teams on the other hand. The Technical Advisory Group (TAG) (comprising of senior people from State Government, ULBs, experts, and Ministry officials) has been formed to guide the PCT on crucial issues related to design of the research process and ensuring long term sustainability of the outputs and outcomes. An Ethical Committee comprising eminent people from the relevant fields has been formed to ensure that the project activities protect the dignity, rights and wellbeing of the potential project participants. The roles and responsibilities of different teams are given in Table 3.

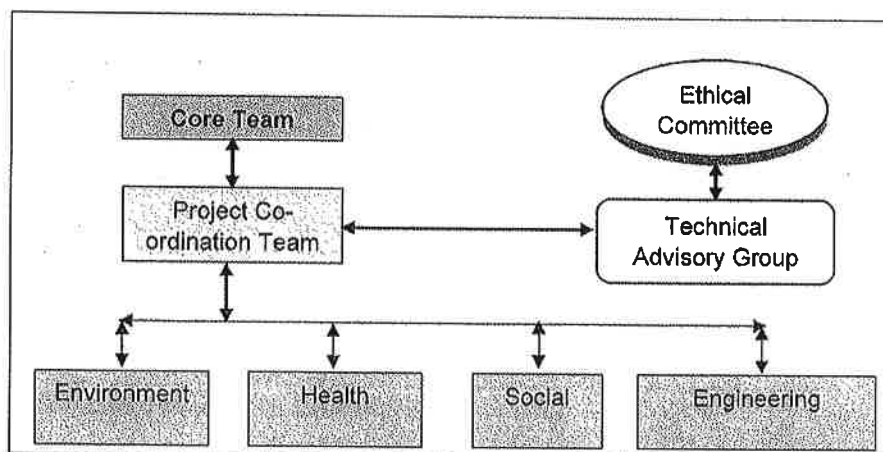


Figure 1: Project Operational Structure

## 8.0 COMMUNICATION/DISSEMINATION OF PROJECT

To share "learning" from the project activities with stakeholders (urban community, experts and the policy makers) the project process and the results will be communicated and disseminated through several media. For different stakeholders, different kinds of dissemination mechanisms will be utilized. These are:

- Urban Community: Formal and informal interactions, designing and implementing interventions even after the project duration.
- Local Level Government Departments: Individual and group interactions, training of health care personnel, newsletter articles.
- Policy Makers: Policy dialogues, presentations/participation in workshop, newsletter articles, strategy notes based on results (if required).
- Development organisations: Technical reports on urban WASH situation; interactions through dialogues, website postings, newsletter articles.
- Scientific Community: Involvement in peer reviews; publish articles in reputed national and international journals; presentations in external events such as workshops and conferences; website postings.

Besides targeted dissemination, the research results will also be widely disseminated through individual websites of the partner organizations. In addition, annual newsletter will be used to disseminate the "learning" from the research processes and findings. Key personnel of participating institutions being proactively involved in policy advocacy and framing guidelines, experience from this research process will be utilized and shared, wherever suitable.

Table 3: Responsibilities of project team

| Team                     | Responsibility  | Frequency of meeting  |
|--------------------------|---|---|
| Core team                | Support project through guidance, influence and leveraging resources<br>Mobilisation of relevant stakeholders, design & refine interventions  | Will meet whenever required, the maximum time being after each 6 months |
| PCT                      | Ensure that project outputs of high standards are delivered within assigned timelines, by<br>Ensuring proper communication processes are in place, are functional & regular.<br>Co-ordinating activities of technical teams<br>Consolidating and critically analysing outputs of each research team<br>Balancing differences in thoughts, perceptions, opinions and priorities amongst the technical teams.<br>Reporting to TAG for inputs and guidance | Every 4 months  |
| TAG                      | Advice and guide the Technical Co-ordination Team on implications of various activities in a longer term perspective.   | Once in a year  |
| Ethical team             | Ensure that the project processes comply with the principles of informed consent, privacy etc. and protect the dignity, rights and wellbeing of the potential project participants.<br>Guide on Risk communication strategies   | Once in a year  |
| Subject specialist teams |   |   |
| Environment              | Water Quality Monitoring<br>Risk assessment<br>Estimation of WASH related risk factors<br>Providing technical inputs for interventions  |   |
| Health                   | Health Status Monitoring/check ups<br>Capacity Assessment of Medical Facilities<br>Prevalence rate of WASH related diseases in the community and prioritizing them.   |   |
| Social                   | Engaging the community for project activities<br>Engaging the local stakeholders through individual interactions/ dialogues/interviews<br>Designing social interventions with the community<br>Implement the interventions along with the community using technical inputs from other teams.  |   |



|             |   |  |
|-------------|---|--|
|             | Mapping of the socio-ecological problem dynamic                                   |  |
| Engineering | Research on & demonstration of intervention projects<br>Capacity building program |  |

## 9.0 SUSTENANCE OF PROJECT BEYOND USAID FUNDING

Sustaining the benefits is fundamental to this project's success. WASH objectives can be accomplished through a combination of technological, behavioural and institutional measures. These measures can fall in the categories of short-, medium- or long-term. Efforts will be directed strategically to harness CSR funds of corporates, and linking it with activities of Government of India programmes like 'Smart Cities', 'Swatchh Bharat Abhiyaan', river cleaning programme etc. and other Donors programs. The proposed project will strengthen the Department of Regional Water Studies in TERI University which will incorporate WASH in its teaching programme and generate a wide, multi-stakeholder understanding of the need for addressing WASH issues in India. The Department will continue to develop linkages with urban local bodies, and sanitation networks so as to engage a wide and influential audience. The project team will constantly be seeking other platforms to enlarge and sustain the impact of this project over the longer term such as international conferences, peer reviewed journal articles, social media presence etc.

## 10.0 ASSUMPTIONS IN PROJECT OUTCOME

- Increased resource allocation by central and state governments to the WASH sector.
- Increased capacity of city governments in absorbing technical and managerial inputs to deliver WASH services specially targeting urban poor.
- Increased convergence between various stakeholder organisations.
- Increased involvement and investment by private sector for decentralised urban WASH interventions and initiatives.
- Cooperation by urban local authorities.

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### ACTIVITY PLAN

Indicative Work plan\*

| Activity | Year 1 (time in quarter year) |   |   |   | Year 2 (time in quarter year) |   |   |   | Year 3 (time in quarter year) |    |    |    |
|----------|-------------------------------|---|---|---|-------------------------------|---|---|---|-------------------------------|----|----|----|
|          | 1                             | 2 | 3 | 4 | 5                             | 6 | 7 | 8 | 9                             | 10 | 11 | 12 |
| 1.1      |                               |   |   |   |                               |   |   |   |                               |    |    |    |
| 1.2      |                               |   |   |   |                               |   |   |   |                               |    |    |    |
| 1.3      |                               |   |   |   |                               |   |   |   |                               |    |    |    |
| 2.1      |                               |   |   |   |                               |   |   |   |                               |    |    |    |
| 2.2      |                               |   |   |   |                               |   |   |   |                               |    |    |    |
| 3.1      |                               |   |   |   |                               |   |   |   |                               |    |    |    |
| 3.2      |                               |   |   |   |                               |   |   |   |                               |    |    |    |
| 3.3      |                               |   |   |   |                               |   |   |   |                               |    |    |    |
| 3.4      |                               |   |   |   |                               |   |   |   |                               |    |    |    |
| 3.5      |                               |   |   |   |                               |   |   |   |                               |    |    |    |
| 3.6      |                               |   |   |   |                               |   |   |   |                               |    |    |    |
| 3.7      |                               |   |   |   |                               |   |   |   |                               |    |    |    |

\*shade of the colour reflects the intensity of activity during the period. A detailed work plan will be submitted on the commencement of the project.



### ATTACHMENT 3

#### MANDATORY STANDARD PROVISIONS FOR FIXED OBLIGATION GRANTS TO NONGOVERNMENTAL ORGANIZATIONS

##### M1. SUBMISSIONS TO THE DEVELOPMENT EXPERIENCE CLEARINGHOUSE AND DATA RIGHTS (JUNE 2012)

###### a. Submissions to the Development Experience Clearinghouse (DEC).

- 1) The recipient must provide the Agreement Officer's Representative one copy of any Intellectual Work that is published, and a list of any Intellectual Work that is not published.
- 2) In addition, the recipient must submit Intellectual Work, whether published or not, to the DEC, either on-line (preferred) or by mail. The recipient must review the DEC Web site for submission instructions, including document formatting and the types of documents to submit. Submission instructions can be found at: <https://dec.usaid.gov>
- 3) For purposes of submissions to the DEC, Intellectual Work includes all works that document the implementation, evaluation, and results of international development assistance activities developed or acquired under this award, which may include program and communications materials, evaluations and assessments, information products, research and technical reports, progress and performance reports required under this award (excluding administrative financial information), and other reports, articles and papers prepared by the recipient under the award, whether published or not. The term does not include the recipient's information that is incidental to award administration, such as financial, administrative, cost or pricing, or management information.
- 4) Each document submitted should contain essential bibliographic information, such as 1) descriptive title; 2) author(s) name; 3) award number; 4) sponsoring USAID office; 5) development objective; and 6) date of publication.
- 5) The recipient must not submit to the DEC any financially sensitive information or personally identifiable information, such as social security numbers, home addresses and dates of birth. Such information must be removed prior to submission. The recipient must not submit classified documents to the DEC.

###### b. Rights in Data

- 1) Data means recorded information, regardless of the form or the media on which it may be recorded, including technical data and computer software, and includes Intellectual Work, defined in a. above.
- 2) Unless otherwise provided in this provision, the recipient may retain the rights, title and interest to Data that is first acquired or produced under this award. USAID reserves a royalty-free, worldwide, nonexclusive, and irrevocable right to use, disclose, reproduce, prepare

derivative works, distribute copies to the public, and perform publicly and display publicly, in any manner and for any purpose, and to have or permit others to do so.

c. Copyright. The recipient may copyright any books, publications or other copyrightable materials first acquired or produced under this award. USAID reserves a royalty-free, worldwide, nonexclusive, and irrevocable right to use, disclose, reproduce, prepare derivative works, distribute copies to the public, and perform publicly and display publicly, in any manner and for any purpose, and to have or permit others to do so.

d. The recipient will provide the U.S. Government, on request or as otherwise provided in this award, a copy of any Data or copyrighted material to which the U.S. Government has rights under paragraphs b. and c. of this provision. The U.S. Government makes no representations or warranties as to title, right to use or license, or other legal rights or obligations regarding any Data or copyrighted materials.

[END OF PROVISION]

## M2. MARKING AND PUBLIC COMMUNICATIONS UNDER USAID-FUNDED ASSISTANCE (AUGUST 2013)

a. The USAID Identity is the official marking for USAID, comprised of the USAID logo and brandmark with the tagline "from the American people." The USAID Identity is on the USAID Web site at [transition.usaid.gov/branding](http://transition.usaid.gov/branding). Recipients must use the USAID Identity, of a size and prominence equivalent to or greater than any other identity or logo displayed, to mark the following:

- (1) Programs, projects, activities, public communications, and commodities partially or fully funded by USAID;
- (2) Program, project, or activity sites funded by USAID, including visible infrastructure projects or other physical sites;
- (3) Visual productions, public service announcements, Web visual productions, public service announcements, Web sites/Internet activities, promotional, informational, media, or communications products funded by USAID;
- (4) Commodities, equipment, supplies, and other materials funded by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs; and
- (5) Events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities. If the USAID Identity cannot be displayed, the recipient is encouraged to otherwise acknowledge USAID and the support of the American people.

b. The recipient must implement the requirements of this provision following the approved Marking Plan in the award.

c. The AO may require a preproduction review of program materials and "public communications" (documents and messages intended for external distribution, including but not limited to correspondence; publications; studies; reports; audio visual productions; applications; forms; press; and promotional materials) used in connection with USAID-funded programs, projects or activities, for compliance with an approved Marking Plan.

d. The recipient is encouraged to give public notice of the receipt of this award and announce progress and accomplishments. The recipient must provide copies of notices or announcements to Agreement Officer's Representative (AOR) and to USAID's Office of Legislative and Public Affairs in advance of release, as practicable. Press releases or other public notices must include a statement substantially as follows:

"The U.S. Agency for International Development administers the U.S. foreign assistance program providing economic and humanitarian assistance in more than 80 countries worldwide."

e. Any "public communication," in which the content has not been approved by USAID, must contain the following disclaimer:

"This study/report/audio/visual/other information/media product (specify) is made possible by the generous support of the American people through the United States Agency for International Development (USAID). The contents are the responsibility of [insert recipient name] and do not necessarily reflect the views of USAID or the United States Government."

(5) Events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities. If the USAID Identity cannot be displayed, the recipient is encouraged to otherwise acknowledge USAID and the support of the American people.

b. The recipient must implement the requirements of this provision following the approved Marking Plan in the award.

c. The AO may require a preproduction review of program materials and "public communications" (documents and messages intended for external distribution, including but not limited to correspondence; publications; studies; reports; audio visual productions; applications; forms; press; and promotional materials) used in connection with USAID-funded programs, projects or activities, for compliance with an approved Marking Plan.

d. The recipient is encouraged to give public notice of the receipt of this award and announce progress and accomplishments. The recipient must provide copies of notices or announcements to Agreement Officer's Representative (AOR) and to USAID's Office of Legislative and Public Affairs in advance of release, as practicable. Press releases or other public notices must include a statement substantially as follows:



"The U.S. Agency for International Development administers the U.S. foreign assistance program providing economic and humanitarian assistance in more than 80 countries worldwide."

e. Any "public communication," in which the content has not been approved by USAID, must contain the following disclaimer:

"This study/report/audio/visual/other information/media product (specify) is made possible by the generous support of the American people through the United States Agency for International Development (USAID). The contents are the responsibility of TERI University and do not necessarily reflect the views of USAID or the United States Government."

"As a condition of receipt of this subaward, marking with the USAID Identity of a size and prominence equivalent to or greater than the recipient's, subrecipient's, other donor's, or third party's is required. In the event the recipient chooses not to require marking with its own identity or logo by the subrecipient, USAID may, at its discretion, require marking by the subrecipient with the USAID Identity."

[END OF PROVISION]

#### M3. DRUG TRAFFICKING AND DRUG-FREE WORKPLACE (JUNE 2012)

In the event the recipient or any of its employees, subrecipients, or contractors are found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR 140, USAID reserves the right to terminate this award, in whole or in part, or take any other appropriate measures including, without limitation, refund or recall of any award amount. Additionally, the recipient must make a good-faith effort to maintain a drug-free workplace and USAID reserves the right to terminate or suspend this award if the recipient materially fails to do so.

[END OF PROVISION]

#### M4. DEBARMENT AND SUSPENSION (JUNE 2012)

a. The recipient must not transact or conduct business under this award with any individual or entity listed on the Excluded Parties List System ([www.epls.gov/](http://www.epls.gov/)) unless prior approval is received from the Agreement Officer. The list contains those individuals and entities that the U.S. Government has suspended or debarred based on misconduct or a determination by the U.S. Government that the person or entity cannot be trusted to safeguard U.S. Government funds. Suspended or debarred entities or individuals are excluded from receiving any new work or any additional U.S. Government funding for the duration of the exclusion period. If the recipient has any questions about listings in the system, these must be directed to the Agreement Officer.

b. The recipient must comply with Subpart C of 2 CFR Section 180, as supplemented by 2 CFR 780, USAID may disallow costs, annul or terminate the transaction, debar or suspend the recipient, or take other remedies as appropriate, if the recipient violates this provision. Although

doing so is not automatic, USAID may terminate this award if a recipient or any of its principals meet any of the conditions listed in paragraph c. below. If such a situation arises, USAID will consider the totality of circumstances—including the recipient's response to the situation and any additional information submitted—when USAID determines its response.

c. The recipient must notify the Agreement Officer immediately upon learning that it or any of its principals, at any time prior to or during the duration of this award:

- (1) Are presently excluded or disqualified from doing business with any U.S. Government entity;
- (2) Have been convicted or found liable within the preceding three years for committing any offense indicating a lack of business integrity or business honesty such as fraud, embezzlement, theft, forgery, bribery or lying;
- (3) Are presently indicted for or otherwise criminally or civilly charged by any governmental entity for any of the offenses enumerated in paragraph c.(2); or
- (4) Have had one or more U.S.-funded agreements terminated for cause or default within the preceding three years.

d. Principal means—

- (1) An officer, director, owner, partner, principal investigator, or other person within a participant with management or supervisory responsibilities related to a covered transaction; or
  - (2) A consultant or other person, whether or not employed by the participant or paid with Federal funds, who—
    - (i) Is in a position to handle Federal funds;
    - (ii) Is in a position to influence or control the use of those funds; or,
    - (iii) Occupies a technical or professional position capable of substantially influencing the development or outcome of an activity required to perform the covered transaction.
- e. The recipient must include this provision in its entirety except for paragraphs c.(2)-(4) in any subagreements, including subawards or contracts, entered into under this award.

[END OF PROVISION]

#### M5. PREVENTING TERRORIST FINANCING (AUGUST 2013)

a. The recipient must not engage in transactions with, or provide resources or support to, individuals and organizations associated with terrorism, including determines its response.

c. The recipient must notify the Agreement Officer immediately upon learning that it or any of its principals, at any time prior to or during the duration of this award:

- (1) Are presently excluded or disqualified from doing business with any U.S. Government entity;

(2) Have been convicted or found liable within the preceding three years for committing any offense indicating a lack of business integrity or business honesty such as fraud, embezzlement, theft, forgery, bribery or lying;

(3) Are presently indicted for or otherwise criminally or civilly charged by any governmental entity for any of the offenses enumerated in paragraph c.(2); or

(4) Have had one or more U.S.-funded agreements terminated for cause or default within the preceding three years.

d. Principal means—

(1) An officer, director, owner, partner, principal investigator, or other person within a participant with management or supervisory responsibilities related to a covered transaction; or

(2) A consultant or other person, whether or not employed by the participant or paid with Federal funds, who—

(i) Is in a position to handle Federal funds;

(ii) Is in a position to influence or control the use of those funds; or,

(iii) Occupies a technical or professional position capable of substantially influencing the development or outcome of an activity required to perform the covered transaction.

e. The recipient must include this provision in its entirety except for paragraphs c.(2)-(4) in any subagreements, including subawards or contracts, entered into under this award.

[END OF PROVISION]

#### M6. TRAFFICKING IN PERSONS (JUNE 2012)

a. USAID is authorized to terminate this award, without penalty, if the recipient or its employees, or any subrecipient or its employees, engage in any of the following conduct:

(1) Trafficking in persons (as defined in the Protocol to Prevent, Suppress, and Punish Trafficking in Persons, especially Women and Children, supplementing the UN Convention against Transnational Organized Crime) during the period of this award;

(2) Procurement of a commercial sex act during the period of this award; or

(3) Use of forced labor in the performance of this award.

b. For purposes of this provision, "employee" means an individual who is engaged in the performance of this award as a direct employee, consultant, or volunteer of the recipient or any subrecipient.



c. The recipient must include in all subagreements, including subawards and contracts, a provision prohibiting the conduct described in a(1)-(3) by the subrecipient, contractor or any of their employees.

[END OF PROVISION]

#### M7. VOLUNTARY POPULATION PLANNING ACTIVITIES – MANDATORY REQUIREMENTS (MAY 2006)

##### a. Requirements for Voluntary Sterilization Programs

(1) Funds made available under this award must not be used to pay for the performance of involuntary sterilization as a method of family planning or to coerce or provide any financial incentive to any individual to practice sterilization.

##### b. Prohibition on Abortion-Related Activities:

(1) No funds made available under this award will be used to finance, support, or be attributed to the following activities: (i) procurement or distribution of equipment intended to be used for the purpose of inducing abortions as a method of family planning; (ii) special fees or incentives to any person to coerce or motivate them to have abortions; (iii) payments to persons to perform abortions or to solicit persons to undergo abortions; (iv) information, education, training, or communication programs that seek to promote abortion as a method of family planning; and (v) lobbying for or against abortion. The term "motivate," as it relates to family planning assistance, must not be construed to prohibit the provision, consistent with local law, of information or counseling about all pregnancy options.

(2) No funds made available under this award will be used to pay for any biomedical research which relates, in whole or in part, to methods of, or the performance of, abortions or involuntary sterilizations as a means of family planning. Epidemiologic or descriptive research to assess the incidence, extent, or consequences of abortions is not precluded.

[END OF PROVISION]

#### M8. EQUAL PARTICIPATION BY FAITH-BASED ORGANIZATIONS (JUNE 2012)

##### a. Faith-Based Organizations Encouraged.

Faith-based organizations are eligible to compete on an equal basis as any other organization to participate in USAID programs. Neither USAID nor entities that make and administer subawards of USAID funds will discriminate for or against an organization on the basis of the organization's religious character or affiliation. A faith-based organization may continue to carry out its mission, including the definition, practice, and expression of its religious beliefs, within the limits contained in this provision. More information can be found at the USAID Faith-Based and Community Initiatives Web site: <http://www.usaid.gov> and 22 CFR 205.1.

##### b. Inherently Religious Activities Prohibited.

- (1) Inherently religious activities include, among other things, worship, religious instruction, prayer, or proselytization.
  - (2) The recipient must not engage in inherently religious activities as part of the programs or services directly funded with financial assistance from USAID. If the recipient engages in inherently religious activities, it must offer those services at a different time or location from any programs or services directly funded by this award, and participation by beneficiaries in any such inherently religious activities must be voluntary.
  - (3) These restrictions apply equally to religious and secular organizations. All organizations that participate in USAID programs, including religious ones, must carry out eligible activities in accordance with all program requirements and other applicable requirements governing USAID-funded activities.
  - (4) These restrictions do not apply to USAID-funded programs where chaplains work with inmates in prisons, detention facilities, or community correction centers, or where USAID funds are provided to religious or other organizations for programs in prisons, detention facilities, or community correction centers, in which such organizations assist chaplains in carrying out their duties.
  - (5) Notwithstanding the restrictions of b(1) and (2), a religious organization that participates in USAID-funded programs or services
    - (i) Retains its independence and may continue to carry out its mission, including the definition, practice, and expression of its religious beliefs, provided that it does not use direct financial assistance from USAID to support any inherently religious activities,
    - (ii) May use space in its facilities, without removing religious art, icons, scriptures, or other religious symbols, and
    - (iii) Retains its authority over its internal governance, and it may retain religious terms in its organization's name, select its board members on a religious basis, and include religious references in its organization's mission statements and other governing documents.
- c. Construction of Structures Used for Inherently Religious Activities Prohibited. The recipient must not use USAID funds for the acquisition, construction, or rehabilitation of structures to the extent that those structures are used for inherently religious activities, such as sanctuaries, chapels, or other rooms that the recipient uses as its principal place of worship. Except for a structure used as its principal place of worship, where a structure is used for both eligible and inherently religious activities, USAID funds may not exceed the cost of those portions of the acquisition, construction, or rehabilitation that are attributable to eligible activities.
- d. Discrimination Based on Religion Prohibited. The recipient must not discriminate against any beneficiary or potential beneficiary on the basis of religion or religious belief as part of the programs or services directly funded with financial assistance from USAID.

e. A religious organization's exemption from the Federal prohibition on employment discrimination on the basis of religion, set forth in Sec. 702 (a) of the Civil Rights Act of 1964, 42 U.S.C. 2000e-1 is not forfeited when the organization receives financial assistance from USAID.

f. The Secretary of State may waive the requirements of this section in whole or in part, on a case-by-case basis, where the Secretary determines that such waiver is necessary to further the national security or foreign policy interests of the United States.

[END OF PROVISION]

M9. USAID Implementing Partner Notices (IPN) Portal for Assistance (July 2014)

#### USAID IMPLEMENTING PARTNER NOTICES (IPN) PORTAL FOR ASSISTANCE

For use in all solicitations and resulting awards. Please refer to ADS 303, Section 303.3.31, "USAID Implementing Partner Notices (IPN) Portal For Assistance" for additional guidance.

##### (a) Definitions

"USAID Implementing Partner Notices (IPN) Portal for Assistance ("IPN Portal)" means the single point where USAID posts proposed universal bilateral amendments for USAID awards, which can be accessed electronically by registered USAID recipients. The IPN Portal is located at <https://sites.google.com/site/usaidipnforassistance/>.

"IPN Portal Administrator" means the USAID official designated by the Director, M/OAA, who has overall responsibility for managing the USAID Implementing Partner Notices Portal for Assistance.

"Universal bilateral amendment" means those amendments with revisions or new requirements or provisions that affect all awards or a designated class of awards, as specified in the Agency notification of such revisions or new requirements. (b) By submission of an application and execution of an award, the Applicant/Recipient acknowledges the requirement to:

(1) Register with the IPN Portal if awarded an assistance award resulting from this solicitation, and

(2) Receive universal bilateral amendments to this award and general notices via the IPN Portal.

(c) Procedure to register for notifications.

Go to <https://sites.google.com/site/usaidipnforassistance/> and click the "Register" button at the top of the page. Recipient representatives must use their official organization email address when subscribing, not personal email addresses.



(d) Processing of IPN Portal Amendments

The Recipient may access the IPN Portal at any time to review all IPN Portal amendments; however, the system will also notify the Recipient by email when the USAID IPN Portal Administrator posts a universal bilateral amendment for Recipient's review and signature. Proposed USAID IPN Portal amendments distributed via the IPN Portal are applicable to all awards, unless otherwise noted in the proposed amendment.

Within 15 calendar days from receipt of the notification email from the IPN Portal, the Recipient must do one of the following:

(1) (a) verify applicability of the proposed amendment for their award(s) per the instructions provided with each amendment; (b) download the amendment and incorporate the following information on the amendment form: award number, organization name, and organization mailing address as it appears in the basic award; (c) sign the hardcopy version; and (d) send the signed amendment (by email or hardcopy) to the AO for signature. The Recipient must not incorporate any other changes to the IPN Portal amendment. Bilateral amendments provided through the IPN Portal are not effective until the both the Recipient and the AO sign the amendment;

(2) Notify the AO in writing if the amendment requires negotiation of additional changes to terms and conditions of the award; or

(3) Notify the AO that the Recipient declines to sign the amendment.

Within 30 calendar days of receipt of a signed amendment from the Recipient, the AO must provide the fully executed amendment to the Recipient or initiate discussions with the Recipient.

[End of Provision]

[END OF MANDATORY PROVISIONS]

[END OF AGREEMENT]

2015/01/04

# ICIMOD

## Institutional Contract

between

International Centre for Integrated Mountain Development  
and  
TERI University

Contract No:.....

**Purpose** : MSc Scholarships for five fulltime students to work in Upper Ganga River Basin, India

**Effective date** : November 1, 2015

**End date** : April 30, 2018

THIS INSTITUTIONAL CONTRACT [Contract] is made on 9 October 2015, by and between the INTERNATIONAL CENTRE FOR INTEGRATED MOUNTAIN DEVELOPMENT ["ICIMOD"], Nepal and the TERI University (TU), New Delhi, India ("the Collaborator") for the purpose of providing MSC Scholarships to the students.

WHEREAS, the ICIMOD desires to engage the Collaborator to acquire services for the hereinabove mentioned purpose on the terms and conditions hereinafter set forth,

WHEREAS, the Collaborator is willing to provide these services and has accepted to undertake the tasks on the agreed terms and conditions,

NOW THEREFORE, ICIMOD and TU (hereafter referred to as Parties) agree to enter into this Institutional Contract to achieve the agreed objectives under this cooperation.

NOW THEREFORE THE PARTIES hereby agree as follows:

### 1. Roles and Responsibilities

- The Collaborator shall provide the services specified in Terms of Reference (ToR) as in Annex-I which is an integral part of this Contract.
- The Collaborator shall be responsible for the professional and technical services of highest quality for the implementation of this contract.
- The Collaborator shall notify immediately to ICIMOD in writing if any situation or circumstances that may cause delays, prevent or influence during the course of implementation of the assignment.
- The Collaborator shall deliver a final report which shall set forth in detail, all the work done as per the ToR within the time of the Contract.
- The Collaborator will be responsible for taking out, at his or her own expenses, medical and personal accidental insurance covering the period of this Contract as the Collaborator may consider advisable.

### 2. General Conditions

- The Collaborator shall not assign, transfer, pledge or make other disposition of this Contract or any other parts thereof or rights, claims or obligations under this contract, without prior written approval of ICIMOD.

- b. During the duration of this Contract, the Collaborator shall not provide goods, works or services (other than services that would not give rise to a conflict of interest) to other organizations without ICIMOD's consent.
- c. Any related documents, reports, estimates or any data compiled or received by the Collaborator under this Contract is the property of ICIMOD, shall be treated as confidential and shall be delivered only to the duly authorized officials of ICIMOD. Under no circumstances shall the contents of such documents or data be made known to any unauthorized person/organization without the prior permission of ICIMOD. The permission to use the data shall not be considered the waiver of copyright or proprietary right of ICIMOD, wherever applicable.

### 3. Budget and Disbursement

- a. The total amount payable to the Collaborator under this Contract is US\$ 35,000 (Thirty-Five Thousands US Dollars). This amount has been established based on the understanding that it includes all of the Collaborator's costs and any tax obligation that may be imposed on the Collaborator.
- b. The Collaborator shall not engage in any work, provide equipment, materials or supplies; or perform any other services which may result in any change in excess of the above mentioned amounts without the prior written consent of ICIMOD.
- c. ICIMOD will disburse agreed amount to the Collaborator on the basis of the deliverables received. The fund disbursement shall be made as follows:

| S/N | Deliverables  | Due date          | Payment     |
|-----|---|-------------------|-------------|
| 1   | Upon signing of Contract<br>Start of first Batch<br>(Details of three students) | November 15, 2015 | US\$ 21,000 |
| 2   | Start of Second batch<br>(Details of two students)                              | August 1, 2016    | US\$ 14,000 |

- d. To request a disbursement, the Collaborator shall submit:
  - i. For the first disbursement, the amount will be released on the basis of this Contract. However, the Collaborator needs to submit a payment request for the installment.
  - ii. For the disbursement of second and last installment, a progress and financial report along with deliverables (Outputs) together with the payment request are to be submitted by Collaborator.
  - iii. Certified copy of all the actual supporting documents for the expenditure claimed by the partner for that particular period. The actual supporting documents should be retained by the Collaborator till the end of the required period (refer. Clause 3.g) for necessary audit by ICIMOD or the donor. Photocopies of the actual supporting documents have to be certified by the Head of finance of the partner organization for submission to ICIMOD. Without the certified financial statement in the agreed format and the certified copies of all the supporting documents for the expenditure claimed, there will be no financial disbursements. The liquidation of final disbursement should be made by submission of the required financial report and the supporting documents within 1 month after the completion of the contract.
- e. Payment shall be made within 30 days after receipt of verified and approved deliverables by ICIMOD for which payment is requested. ICIMOD reserves the right to withhold payment subject to deliverables completion verification.
- f. Payment shall be made to the Collaborator by the Account Payee Cheque or through bank transfer.
- g. The Partner shall maintain accounting books, records, documents and other evidence relating to the Agreement, adequate to show, without limitation, all costs incurred and revenues earned by the Partner for the project and the overall progress toward completion of the project. It shall maintain



project books and records in accordance with the generally accepted accounting standards. Project books and records must be kept in the possession of the Partner for at least up to **31 September 2023** which will be required for ICIMOD or donor specific audit.

- h. The accounts of this activities under the Institutional Contract will be subject to financial audit by ICIMOD anytime during the period of the agreement. If deemed necessary, ICIMOD might also assign an external auditor to do the final audit. Similarly, there may also be requests from the project sponsors/donors for a specific audit. In such cases, the audit schedule will be provided to the Partner in advance and the Partner without any demur shall comply with this provision.

#### 4. Taxation

The Collaborator shall be responsible for compliance with local tax laws including withholding tax, Income and other indirect taxes (like custom, excise, VAT etc) for the activities funded through this Contract. Any taxes or other government liabilities arising out of any payments made from this Contract will be the responsibility of the Collaborator. ICIMOD is in no case be liable for any such taxes or liabilities.

#### 5. Administration

ICIMOD and Collaborator designate the following as respective focal persons who will be responsible for the coordination of activities under this Contract. The ICIMOD focal person will also be responsible for receiving and approving deliverables and invoices for the payment.

| ICIMOD   | TERI University  |
|--|--|
| Name : Anjal Prakash                             | Name : Kamna Sachdeva  |
| Designation : Programme Coordinator,<br>HI-AWARE | Designation : Assistant Professor  |
| Address : PO Box: 3226, Khumaltar,<br>Nepal      | Address : TERI University, 10, Institutional Area<br>Vasant Kunj, Delhi-110070 |
| Tel : +9771500322                                | Tel : +91-9891065393   |
| Email : anjal.prakash@icimod.org                 | Email : kamna.sachdeva@teri.res.in;<br>sachdevakamna@gmail.com                 |

#### 6. Arbitration

Any dispute arising out of or in connection with this Contract shall be settled amicably. In the event of failure of mutual reconciliation the same shall be submitted for arbitration to three arbitrators. Each party shall appoint one arbitrator each. The two appointed arbitrators thus appointed shall agree on the third one. The arbitrators shall rule on the costs which may be divided between the Parties. The decision rendered in the arbitration shall constitute the final decision of the dispute.]

#### 7. Amendment

Any modification or change to this Contract shall require an amendment in writing between both Parties duly signed by the authorized representatives of ICIMOD and the Collaborator.

#### 8. Termination

- a. If the Collaborator has not met the applicable conditions required for disbursement in the ToR by the applicable deadline(s), or if the Collaborator fails to abide by all the conditions stipulated in this Agreement, or if the Collaborator fails to achieve the programmatic targets set forth in this Contract within the periods set forth therein, ICIMOD may, at any time, and in its sole discretion, terminate or suspend this Contract, in whole or in part, by written notice to the Collaborator.
- b. Either Party may terminate this Contract upon 30 days prior written notice to the other Party. In the event of such termination the Collaborator shall be compensated for the actual amount of work performed to the satisfaction of ICIMOD on a pro-rata basis. The Collaborator shall also, within 7 days of demand by ICIMOD, return any unspent balance or savings with any interest accrued from the deposit to ICIMOD upon closure or termination of this agreement.

## 9. Entry Into Force

This Contract between TERI University and ICIMOD shall enter into force upon signature by the Parties. Each Party will hold a copy of the signed Contract in the English language and having equal validity.

The duly authorized representatives of the Parties affix their signatures below,

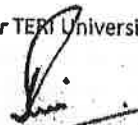
For ICIMOD



Dr. David Molden  
Director General

Date and Seal:

For TERI University



Dr. Rajiv Seth  
Acting Vice Chancellor

Date and Seal:

Gp Capt. Rajiv Seth (Retd.), Ph.D  
Actg Vice-Chancellor  
TERI University  
10, Institutional Area  
Vasant Kunj, New Delhi - 110 070

## **ANNEX I: Terms of Reference**

---

### **HI-AWARE MSC Scholarships to work in Upper Ganga River Basin in India**

#### **Background**

The International Centre for Integrated Mountain Development (ICIMOD) is a regional intergovernmental learning and knowledge sharing centre serving the eight regional member countries of the Hindu Kush Himalayan (HKH) region – Afghanistan, Bangladesh, Bhutan, China, India, Myanmar, Nepal, and Pakistan. Our aim is to influence policy and practices to meet environmental and livelihood challenges emerging in the HKH region. To do this we bring together researchers, practitioners, and policy makers from the region and around the globe to generate and share knowledge, support evidence-based decision making, and encourage regional collaboration. ICIMOD delivers impact through its six Regional Programmes of Adaptation to Change, Transboundary Landscapes, River Basins, Cryosphere and Atmosphere, Mountain Environment Regional Information System, and Himalayan University Consortium (emerging). These regional programmes are supported by the four Thematic Areas of Livelihoods, Ecosystem Services, Water and Air, and Geospatial Solutions and underpinned by Knowledge Management and Communication. ICIMOD seeks to reduce poverty and vulnerability and improve the lives and livelihoods of mountain women and men, now and for the future.

HI-AWARE is a 5 year research initiative aiming at developing climate change adaptation approaches and increasing the resilience of the poorest and most vulnerable women, men, and children in the mountains and plains of the Hindu Kush Himalayan (HKH) region. The HI-AWARE consortium is conducting integrative research across scales on the biophysical, socioeconomic, gender, and governance drivers and conditions leading to vulnerability in order to understand climate change impacts and to identify critical moments for adaptation. It will focus on the Indus, Ganges, and Brahmaputra river basins, where the impacts of climate change on the livelihoods of the poor are uncertain but likely to be severe. Adaptation policies and practices, based on robust evidence, are urgently required in these basins to increase the resilience of the poorest and most vulnerable populations and improve their livelihoods in a quickly changing climate.

#### **Objective**

The main purpose of this contract is to provide full MSC scholarships to TERI University (TU) India with which to support research on climate change adaptation in the three HI-AWARE Study Areas defined in the Upper Ganga Basin. At least half the recipients of a scholarship need to be female.

#### **Eligibility**

Students must be registered as a full-time, regular student in Masters Programme at TU during the term of the award.

#### **Programs Supported**



The scholarship will be awarded to three fulltime student for first year (2015-2017) and two fulltime student for the second year (2016-2018). The scholarship will be for pursuing research-based graduate degrees, subject to climate change adaptation being the focus of research. The specific topics of the MPhil thesis research needs to be discussed and approved by the HI-AWARE team.

#### Fellowship Amount per student and Time Frame

The full time scholarship amount will be US\$ 7,000 per student for 2 years. The Scholarship will be non-transferable. The students will be given monthly stipend @ of 12000/- (twelve thousand per month) and above the research support at the time of the field work for the completion of Master's thesis work. The details of budget are as follows:

| Description          | Year 1-2015 (US\$) | Year 2 – 2016 (US\$) |
|----------------------|--------------------|----------------------|
| Full time fellowship | 21,000             | 14,000               |
| Total                | 21,000             | 14,000               |

#### Deliverable and Payment

| S/N | Deliverables   | Due date          | Payment  |
|-----|--|-------------------|--|
| 1   | Upon signing of Contract<br>Start of first Batch (Details of three students) | November 15, 2015 | US\$ 21,000 [full scholarship amount for three students] |
| 2   | Start of Second batch<br>(Details of two students)                           | August 1, 2016    | US\$ 14,000 [full scholarship amount for two students]   |

#### Reporting and Supervisor

The graduate student award recipient is responsible for submitting a final report (MSc thesis) to TU and HI-AWARE at the completion of the scholarship period. At an earlier stage, TU is to share the research proposals of the supported students with the HI-AWARE team and after start of research activities, regular quarterly progress reports.

#### Information, Publications and Intellectual Property

Every student should publish at least an article in peer reviewed journal of repute, where he/she has to acknowledge the financial support during his/her research work. The article fee (if applicable) will be supported by HI-AWARE Initiative (ICIMOD).

2015 ON08

**MICHIGAN STATE UNIVERSITY** | Global Center for  
Food Systems Innovation

November 20, 2015

Diwakar K. C.  
Department of Natural Sciences  
TERI University  
New Delhi, India

Dear Diwakar K.C.,

Congratulations! It is our pleasure to inform you that the Global Center for Food Systems Innovation (GCFSI) has completed the review of your application submitted for the 2014-2015 GCFSI Student Innovation Grants, and your application has been selected.

You will be receiving additional information regarding the award from us very soon. This will include follow-up questions and revisions on your work plan and budget, which must be addressed to finalize a sub-award with your organization. The award contact staff are Kurt Richter and Jessica McFarland. Please make sure that you can receive e-mail from [housej@isp.msu.edu](mailto:housej@isp.msu.edu) and from [gcfsi@isp.msu.edu](mailto:gcfsi@isp.msu.edu).

If you have any questions, please contact us at [gcfsi@isp.msu.edu](mailto:gcfsi@isp.msu.edu) or 517-884-8500.

Thank you again for participating in this competition, and we look forward to working with you.

Sincerely,

  
Kurt Richter, Assistant Director  
Global Center for Food Systems Innovation



International  
Studies and  
Programs

Global Center for  
Food Systems  
Innovation

Michigan State University  
1405 S. Harrison Rd. Room 308  
East Lansing, MI 48823

517-884-8500  
[gcfsi@isp.msu.edu](mailto:gcfsi@isp.msu.edu)





**Student Innovation Challenges Award****Between****MICHIGAN STATE UNIVERSITY****And****TERI University**

This Student Innovation Challenges Award, hereafter referred to as "Award," is between Michigan State University, Global Center for Food Systems Innovation, 1405 S. Harrison Rd, East Lansing, Michigan, 48823, hereafter referred to as "MSU" and The Energy and Resource Institute "TERI University", 10 Institutional Area, Vasant kunj, New Delhi-110070, India, hereafter referred to as "Recipient."

Whereas, MSU received funding under USAID Agreement No. AID-OAA-A-13-00006, "The Global Center for Food Systems Innovation" (GCFSI).

Whereas, Recipient agrees to participate as set forth in this Award, the Student Innovation Challenges Request for Application dated May 22, 2015, and the Recipient's proposal along with any additions or clarifications to that proposal.

Now therefore, the parties mutually agree to the following terms.

**ARTICLE I - PERIOD OF PERFORMANCE**

The effective date of this Award is January 1, 2016 with completion, and a final report, by December 31, 2016.

**ARTICLE II - COMPENSATION**

The amount of this Award is Eight Thousand Nine hundred dollars (\$8,900) for the activities described in Recipient's proposal.

**ARTICLE III - PAYMENT**

Payment will be made in accordance with the following:

Once this Award is fully executed, a payment of \$4,450 will be made upon receipt of a signed invoice.

A payment of \$4,450 will be made upon the receipt and acceptance of the final progress report and a signed invoice.







Invoices should be submitted to:

Jessica McFarland  
Global Center for Food Systems Innovation  
Fiscal Officer  
Michigan State University  
1405 S. Harrison Rd  
308 Manly Miles Bldg.  
East Lansing, MI 48823  
Email : [housej@msu.edu](mailto:housej@msu.edu)  
Phone: (517) 884-8503

#### ARTICLE IV - PROGRESS REPORTS

Recipient will coordinate with Kurt Richter on submission of all progress reports. Written reports providing an update on the status of the project will be due April 1 and September 1.

Reports shall be submitted to:

Kurt Richter, [kurtr@msu.edu](mailto:kurtr@msu.edu)

#### ARTICLE V - LIABILITY

Each party to this Award must seek its own legal representative and bear its own costs, including judgments, in any litigation that may arise from performance of this Award. It is specifically understood and agreed that neither party will indemnify the other party in such litigation.

#### ARTICLE VI - TERMINATION

Either party may terminate this Award for convenience by delivery of thirty (30) days advance written notice to the other party. Final payment, or refund due to MSU, will be dependent on deliverables produced.

#### ARTICLE VII - AMENDMENTS

All changes to this Award must be processed through the MSU Contract and Grant Administration Office at the following address:

Stacy Salisbury  
Contract and Grant Manager  
Michigan State University  
Contract and Grant Administration  
426 Auditorium Road, Room 2  
East Lansing, Michigan 48824  
[salisbury@cga.msu.edu](mailto:salisbury@cga.msu.edu)



Award No. RC102194 (Diwakar)

ARTICLE VIII - RECORDS

All records, books, documents and papers related to the project conducted under this Award shall be reasonably available for inspection by MSU and the Federal Government or their authorized representatives. These records will be retained for a period of three (3) years, with the following qualifications.

- A. If any litigation, claim, negotiation, audit or other action involving the records has been started before the end of the three-year period, the records shall be kept until all issues are resolved, or until the end of the regular three-year period, whichever is later.
- B. The retention period starts from the date of the submission of Recipient's final invoice.

ARTICLE IX - COMPLIANCE WITH LAWS

The Recipient agrees to comply with all laws, statutes, regulations, rulings, or enactments of any Government authority that are applicable to this Award.

ARTICLE X - ENTIRE AGREEMENT

It is expressly agreed by the parties hereto that for the work hereunder, this Award constitutes the entire and only agreement between the parties.

IN WITNESS THEREOF, the authorized representatives of MSU and Recipient have executed this Award.

MICHIGAN STATE UNIVERSITY

TERI University

*Stacy Salisbury* 2016.01.18  
 17:11:05 -05'00'  
 Stacy Salisbury  
 Contract & Grant Manager

*[Signature]*  
 Gp. Capt. Rajiv Seth (Retd), Ph.D  
 Acting Vice Chancellor

Date: \_\_\_\_\_

Date: 14 Jan 2016

2015 QP2 0.03  
21/03/15

SANDEE

## SANDEE RESEARCH GRANT AWARD AGREEMENT

With

Eshita Gupta

## INSTRUCTIONS

Please find enclosed SANDEE's Grant Award Agreement (the 'Agreement').

Thank you for reading each page carefully and providing all information requested to expedite the process. Please notify all project team members, as well as your institution's financial and administrative staff, of the obligations described in this Agreement.

- Initial each page at the bottom right to indicate your agreement.
- Sign and put your institutional stamp on pages 3 and 7.
- Complete the bank transfer information on page 8.

**Return two original, countersigned copies of this Agreement and your request for the first Installment (Appendix II) by FedEx/DHL to:**


Neesha Pradhan  
SANDEE/ICIMOD  
Khumaltar, Lalitpur, Nepal  
Tel: 977-1-5003222 / 552 6391  
Fax: 977-1-553 6786

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1



Initials:   
South Asian Network for Development  
and Environmental Economics  
P.O. Box 5975, EPC 1056, Lalitpur, Nepal  
Tel: +977-1-5003222 / +9751009272  
Fax: +977-1-5003277  
Info@sandeonline.org / www.sandeonline.org

ECONOMICS &amp; THE ENVIRONMENT



09/08/2015  
21/08/2015  
06/09/2015

SANDEE

## SANDEE RESEACH GRANT AWARD AGREEMENT

Ref.: Research Grant No. SANDEE / 2015-02

The South Asian Network for Development and Environmental Economics (SANDEE) approved a grant:

In the amount of (INR): 1,849,156  
USD equivalent (as on August 2015): 29,084

To principal investigator: Eshita Gupta, Assistant Professor, Teri University

For research proposal: The Distributional Implications of Solar Water Pumping Program for Ground Water Irrigation in Rajasthan.

For 16 months from: September 1, 2015

The above grant fund will be used as described and budgeted in the final, revised proposal submitted to SANDEE (see Appendix I).

The recipient (hereafter 'grantee') agrees that the payment of any funds under this grant is subject to compliance with the conditions set out in this Agreement, including Attachments A, B, C, D, E, F, and the Appendices.

### ADMINISTERING INSTITUTION

The technical aspect of the project work conducted under this grant will be monitored at SANDEE by Dr. E. Somanathan, Executive Director, or anyone else designated by SANDEE. Ms. Neesha Pradhan, Programme Associate, will be the first point of contact at the SANDEE administrative office.

The address for the above contacts is as follows:

SANDEE/ICIMOD

P.O Box: 8975, EPC-1056

Khumaltar, Lalitpur, Nepal

Tel: 977 500 3222 / 552 6391

Fax: 977 553 6786

Email: [som@sandeeonline.org](mailto:som@sandeeonline.org)

[neeshap@sandeeonline.org](mailto:neeshap@sandeeonline.org)





## RECIPIENT AND AFFILIATED INSTITUTION

Principal Investigator ('Grantee')

Name: Eshita Gupta

Address: Teri University, New Delhi, India

Phone: +98115343430

Email: egupta13@gmail.com

I acknowledge that, as the Grantee, I am responsible for all technical issues and completing the research project within the timeframe.

Grantee's Signature: Eshita GuptaDate: 17/8/15Name of Grantee's Affiliate Institution: TERI UNIVERSITY

Seal of Grantee's Affiliate Institution:

Head of Grantee's Department/Organization ('Director')Name: Gp Capt. Rajiv Seth (Retd.), Ph.D  
Actg Vice-ChancellorTitle: TERI University  
10, Institutional Area  
Vasant Kunj, New Delhi - 110 070

Email address or Fax number:

Director's Signature: Rajiv SethDate: 17/8/15

SANDEE

**Financial Representative of Grantee's Department/Organization (Chief Financial Officer (CFO) or Accountant)**

Name: Dhanraj Singh  
Finance Officer  
TERI University  
10, Institutional Area  
Title: Vasant Kunj, New Delhi-110 070

Email address or Fax number: dhanraj.singh@teri.res.in.  
Fax No- 91-11-2612-2874

SANDEE reserves the right to conduct an internal audit of this grant. By signing this contract, the CFO and Grantee hereby agree to provide access to all accounts related to the grant.

CFO's Signature: \_\_\_\_\_

Dhanraj Singh  
Finance Officer  
TERI University

Date: \_\_\_\_\_

17/08/2015

**AVAILABILITY OF THE GRANT**

- This Grant is subject to the availability of sufficient funding from SANDEE donors during the course of the grant.
- The commencement date of the grant shall be September 1, 2015 and the completion date shall be December 31, 2016. For grant deadlines, please see Attachment B - Project Deadlines and Payments.
- The Grant offer will expire within 3 months of the date of issue of this agreement. If signed copies of the grant agreement are not received within this time, the grant will be cancelled automatically.

Initials: \_\_\_\_\_

## GRANT INSTALLMENTS

Payment of the grant funds will be made in three installments.

- **First Installment** (35% of the total grant amount): Issued after SANDEE receives two completed and countersigned copies of this Grant Award Agreement, along with your request for disbursement (see Appendix II).
- **Second Installment** (50% of the total grant amount) released on these conditions:
  - SANDEE's Advisors approve your research progress.
  - You submit biannual progress reports and participate at SANDEE's biannual Research and Training workshops (see Attachment D).
  - Your institution submits a financial report (see Attachment C) that shows a major portion of the first installment has been spent.
  - You submit a second formal disbursement request (see Appendix II).
- **Third Installment** (15% of total grant amount) released on these conditions:
  - Your institution audits the financial accounts of the first two installments (85% of the total grant amount), and submits that audit to SANDEE.
  - You present your final research findings at a SANDEE biannual research workshop, and SANDEE Advisors approve your work.
  - You submit a draft manuscript and data from the SANDEE grant, if your study involves primary/secondary data collection.
  - You submit a third formal disbursement request (see Appendix II).
- **Closure of Grant** occurs upon successful completion of these conditions:
  - You submit a manuscript for a SANDEE working paper after review and approval by SANDEE's Executive Director.
  - You submit consolidated financial accounts for the entire grant, i.e. all three installments (see Attachment C).



09/08/2015

SANDEE

**SPECIAL TERMS AND CONDITIONS**

- **Late Submission of Final Report/manuscript:** In rare and unavoidable circumstances, if the final report is unlikely to be submitted within the three months after the grant period, then the Grantee will need to send a request for a no-cost extension letter to SANDEE indicating the reasons for the delay and presenting a new timetable. SANDEE will approve such extension requests only if there are very legitimate exogenous reasons.
- **Failed Projects:** For all failed projects, the Grantee and host institution's Director will be informed, unspent funds will need to be refunded to SANDEE, the Grantee will be ineligible for SANDEE services (training, sponsorship to conferences etc.) and SANDEE's donors may be notified. A project will be classified as 'Failed' if any of the conditions below are not met.
  - You must submit Progress and Final Reports within the agreed deadlines.
  - You must submit a consolidated financial statement of all three installments within three months of the grant completion date.
  - You must attend and participate in SANDEE's biannual Research and Training Workshops. Failure to attend two consecutive biannual research workshops without the prior approval of SANDEE may result in forfeiting your grant.
- **Internal Audit:** SANDEE reserves the right to conduct an internal audit of this grant at any time. By signing this contract, the Grantee, CFO, and Director of the recipient institution hereby agree to provide access to all accounts related to the grant.

**AGREEMENT AMENDMENTS**

This agreement may be modified by a written amendment between SANDEE and the Grantee.

## SIGNATURE OF GRANT AGREEMENT ACCEPTANCE

The Grantee accepts the grant as of the date indicated:



Grantee

12/08/2015

Date

Signed on behalf of SANDEE:



Mani Nepal, PhD  
Research Program Manager

12/08/2015

Date

Initials: 

2009  
21/08/09  
523

SANDEE

## ATTACHMENT A: BANK TRANSFER INFORMATION

Information required for wire-transfer of fundsFull Name of Recipient: TERI UNIVERSITYInstitution's Account No.: 000 3117 0000 088Name of Bank: HDFC Bank LimitedBranch Name: C-Block, Vasant Kums, New Delhi - 110070SWIFT (details, if any): HDFC INBBIFSC code (if applicable): HDFC 0000 273Full Address of Branch: Site No 2, OCF Pocket  
Sector - C, Vasant Kums, New Delhi - 110070Telephone No.: 1800 221819Fax No.: —E-mail address: Support@hdfcbank.com.

8

Initials: Ashita Gupta



2009  
2/8/10  
6/5/10  
5/3/10

SANDEE

# ATTACHMENT B: PROJECT DEADLINES AND PAYMENTS

| Milestone                              | Due Date                       | Submitted by | Payment Percent  |
|--|--------------------------------|--------------|--|
| Project Commencement                   | September 1, 2015              | n/a          | 35% (after receiving signed copy of Grant Award Letter and Request for disbursement) |
| First Progress Report                  | November 1, 2015               | Grantee      |  |
| Second Progress Report                 | June 1, 2016                   | Grantee      |  |
| First Financial Report                 | No later than February 1, 2016 | Grantee      |  |
| Second Disbursement Request            | No later than February 1, 2016 | Grantee      | 50%  |
| Final Report (Draft Manuscript)        | November 1, 2016               | Grantee      |  |
| Final Disbursement Request             | November 1, 2016               | Grantee      | 15%  |
| Audit Report on first two installments | November 1, 2016               | Grantee      |  |
| Final Manuscript                       | December 15, 2016              | Grantee      |  |
| Final Consolidated Financial Report    | December 31, 2016              | Grantee      |  |
|  |                                |              |  |

Initials: LSH/TA

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SANDEE

## ATTACHMENT C: FINANCIAL REPORTING TEMPLATE

**Financial Reporting**  
South Asian Network for Development and Environmental Economics (SANDEE)

Project Period: \_\_\_\_\_  
Reporting Date: \_\_\_\_\_

Reporting Currency (LCY) e.g. NPR: \_\_\_\_\_

**Table 1: Expenses**

| Budget Details            | Total Budget for the Agreement | Expenditure for the 1st Installment | Expenditure for the 2nd Installment | Expenditure for the 3rd Installment | Accumulated Expenditure (C+D+E) | Unutilised Budget (B-F) |
|---------------------------|--------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------------------------------|-------------------------|
| Research                  |                                |                                     |                                     |                                     | 0.00                            | 0.00                    |
| Equipment and Accessories |                                |                                     |                                     |                                     | 0.00                            | 0.00                    |
| Other Travel Cost         |                                |                                     |                                     |                                     | 0.00                            | 0.00                    |
| IT & Communication        |                                |                                     |                                     |                                     | 0.00                            | 0.00                    |
| Dissemination             |                                |                                     |                                     |                                     | 0.00                            | 0.00                    |
| <b>Sub Total</b>          | 0.00                           | 0.00                                | 0.00                                | 0.00                                | 0.00                            | 0.00                    |
| Contingencies (2.5%)      | 0.00                           | 0.00                                | 0.00                                | 0.00                                | 0.00                            | 0.00                    |
| Overhead (10%)            | 0.00                           | 0.00                                | 0.00                                | 0.00                                | 0.00                            | 0.00                    |
| <b>Total</b>              | 0.00                           | 0.00                                | 0.00                                | 0.00                                | 0.00                            | 0.00                    |

**Table 2: Income**

| Funds Transferred From SANDEE (Date)      | Amount | Fund Position (I-F) |
|---|--------|---------------------|
| First Installment (e.g. Jan 31 2011)      |        |                     |
| Second Installment                        |        |                     |
| Third Installment                         |        |                     |
| Interest earned if any, from SANDEE Funds |        |                     |
| <b>Total</b>                              | 0.00   | 0.00                |

Signed by: \_\_\_\_\_

Head of The Institution: \_\_\_\_\_ Chief financial officer: \_\_\_\_\_ Grantee: \_\_\_\_\_

①

Initials: ASHPA Gudm

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SANDEE

## ATTACHMENT D: SCHEDULE OF FINANCIAL MILESTONES

| Milestone   | Due Date   | Deliverable   | Payment Amount (INR) |
|---|--|---|----------------------|
| First Payment (35% of the total grant amount)           | Within 45 days of signing of the agreement           | Duly signed Grant Award Letter  | 647,205              |
| Second Payment (50% of the total grant amount)          | Need based but before February 28 <sup>th</sup> 2016 | a. Disbursement request (Appendix II)<br>b. Financial report for first payment (Attachment C) signed by Head, Accounts Department, the Institutional Head and the, Grantee.<br>c. Disbursement Request and Financial Report to be received by February 1 <sup>st</sup> 2016 | 924,578              |
| Third and Final Payment (15% of the total grant amount) | By November 15 <sup>th</sup> , 2016                  | a) Audit report from the affiliated institution for the first two installments<br>b) Signed disbursement request (Appendix II)<br>c) Audit report and disbursement request to be received by November 1 <sup>st</sup> , 2016.   | 277,373              |
| Closure of grant  | By December 31 <sup>st</sup> , 2016                  | a) final manuscript<br>b) Consolidated financial accounts for the entire grant (Attachment C)   |                      |

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SANDEE

## ATTACHMENT E: RESEARCH-RELATED TERMS AND CONDITIONS

1. **Purpose:** This grant is made only for achieving the objectives, as described in the accepted proposal. These funds shall not be used for any other purpose, whatsoever.
2. **Plagiarism:** Plagiarism is unauthorized use of other people's work, ideas and/or writings and giving the notion that this work is one's own. Plagiarism in any form in a SANDEE sponsored project products, including proposals, progress reports, policy notes, working papers, presentations etc. will lead to appropriate action including, and not limited to, withdrawal of grant support.
3. **Ethical Issues in Research:** SANDEE would like to ensure that any research supported by SANDEE maintains international academic ethical standards. By countersigning this grant letter/agreement, you hereby agree to maintain high ethical standards while carrying out your research. Guidelines are provided in Appendix III.
4. **Dissemination and Acknowledgement:**
  - a) SANDEE, the financial support of its donors', and the technical assistance from its Advisors and Secretariat must be duly acknowledged in presentations, discussions and publications from this research. The following sentence or some variant of it should be included in all publications: *"This work has been undertaken with the financial support of the South Asian Network for Development and Environmental Economics (SANDEE) and its sponsors. Technical support and guidance has been provided by several SANDEE Advisors and peers during the course of this research. The author(s) also acknowledge comments from the anonymous reviewers."*
  - b) SANDEE provides funding for dissemination activities. Dissemination can be undertaken in the form of conference presentations, seminars, information brochures for distribution in local languages, a course module and so on. A final one-page report on the dissemination activity and any publications/photographs related to this should be sent to SANDEE.
5. **Monitoring and Evaluation:**
  - a) SANDEE reserves the right to monitor and conduct an evaluation of operations and activities under this grant. The main method of evaluating grantee progress is through SANDEE's biannual Research and Training Workshops, where grantees are expected to present progress to SANDEE's Advisors. The Principal or co-Principal Investigator is required to attend 2 or more of SANDEE's biannual research and training meetings.
  - b) SANDEE is building a database of its grantees in order to monitor capacity-building outcomes. SANDEE will conduct regular surveys of its grantees as part of this effort. Researchers are required to respond and to update SANDEE with professional progress, including dissemination activities, professional achievements, publications and teaching and presentations related to the grant.
6. **Deliverables:**

*J*

*egwita*

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SANDEE

- a) **Progress Reports:** Researchers are required to furnish a written progress report (Appendix IV) to SANDEE every six months. Grantees will be invited to the biannual Research and Training Workshops based on a review of this report.
- b) **Manuscript:** The final deliverable to SANDEE is a research manuscript (see Attachment B for deadlines). Detailed guidelines on the final report/manuscript are attached as Appendix V. The manuscript will go through a peer-review process and will be accepted only after the researcher complies with all reasonable comments.
- c) **Photographs:** Researchers are requested to provide at least two high quality photographs with the manuscript. These can include, but are not limited to, the study area (landscape/industry/village/farm) and study community (households, workers, commuters, farmers) preferably in some form of activity.
- d) **Data:** SANDEE would like to archive the data collected during the course of this research. Thus, any data collected in your research project will be owned by SANDEE with the idea that this data will be made available in the public domain 24 months after the publication of your SANDEE working paper or completion of your study, whichever comes later. Primary and secondary data collected under this project should be sent to SANDEE when requesting the release of the 3<sup>rd</sup> and final installment of the grant. Please include these items:
  - i) STATA.dta file containing all the raw data collected for the study and the STATA.do file that was used for managing and analyzing the data.
  - ii) Excel file containing names of the variables in the data file and linking the data file with the questions in the questionnaires.
  - iii) Questionnaires used in the study and the manual.
  - iv) Detailed qualitative description of the study area, sampling strategy, and data.
  - v) Collection process and a text file containing the computer codes or programs and any econometric results of the relevant models used in your analysis.

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## ATTACHMENT F: FINANCIAL AND ADMINISTRATIVE CONDITIONS

1. The grant will be used for the proposed research with you as the Principal Investigator. The grant cannot be used by any other person or other Investigators.
2. If you as Principal Investigator leave your current home institution, any unspent part of the grant money (with complete accounts of the expenditures, if any) shall be returned to SANDEE. If you move to a new institution, the grant may be transferred to the new institution only after seeking prior written approval from SANDEE's Executive Director.
3. These grant funds shall only be used in accordance with the approved budget (Appendix I). Any variances in budget line amounts of more than 15% shall be made only with prior written approval of SANDEE. The total amount of the research grant will remain unchanged unless approved by SANDEE.
4. While travelling, the rates for DSA will be applicable as per the affiliate organization's rules and regulations.
5. Any staff members that are hired or funds that are disbursed for research purposes from the money obtained from this grant will need your approval as the Principal Investigator.
6. If any part of the grant funds and/or income earned from it is not expended or committed for the purposes of the grant, then it shall be returned to SANDEE.
7. Any asset, e.g. computer and accessories, bought from the SANDEE grant fund will be considered a SANDEE asset and at the end of the project, SANDEE has the option to take the asset back or donate it to researcher's institute.
8. SANDEE grant funds must be accounted for separately. All expenses from this grant should be based on an actual-expenditure basis only.
9. Accounting and procurement practices should meet high international standards and be acceptable to SANDEE's host organization ICIMOD. ICIMOD's policies on accounting and procurement are available at:  
<http://apps.icimod.org/wiki/index.php/Budget>  
[http://apps.icimod.org/wiki/index.php/Procurement\\_Procedures](http://apps.icimod.org/wiki/index.php/Procurement_Procedures)
10. All accounts will be maintained using general accounting practices. However all expenditures will be booked on a cash-basis only, i.e. only those expenditure for which payment has already been made may be booked in the books of accounts.
11. Grantee will submit audited financial accounts from the affiliate institute for the first two installments when requesting for final payment.
12. The Grantee will submit all original receipts, bills, vouchers, invoices, etc. supporting the expenditures, with the financial statement to SANDEE, if the affiliate institute is unable to do the audit.



05/08/2013

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13. SANDEE is entitled to audit the accounts of the grantee with respect to the use of its grant funds.
14. For the closure of the grant, the Grantee will have to submit consolidated financial accounts for the entire grant.
15. All unused funds shall be returned to SANDEE, including any unused interest accrued on grant funds.

*[Handwritten signature]*

Initials: *ashraf*

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## APPENDIX I: APPROVED BUDGET

|    | DESCRIPTION <sup>3</sup>   | Expenses<br>(INR)  | Amount<br>(INR)  | Amount (USD)   |
|----|--|--------------------|------------------|----------------|
| 1. | <b>A. RESEARCHER ALLOWANCE</b>   |                    |                  |                |
| 1  | ( PI, Co-PI/Consultant )@ INR 33000 x 3 months   |                    | 99000            | 1557.1         |
| 2  | Research Assistant (I) @ INR 23,400 x 12 months  |                    | 280800           | 4416.5         |
|    | <b>Sub-total</b>   |                    | <b>379,800</b>   | <b>5973.6</b>  |
| 2. | <b>B. SUPPORT</b>  |                    |                  |                |
| 4  | Stationary and Communications (Rs. x no. of months)  | Lumpsum            | 20000            | 314.6          |
| 5  | Books, Journals and Articles   | Lumpsum            | 20000            | 314.6          |
| 6  | Travel expenses (PI) (before the project started for collecting information from the field.)   |                    | 9000             | 141.7          |
| 7  | Travel expenses (PI) – no. of trips or days  | Lumpsum            | 10000            | 157.3          |
| 8  | Initial field visits for FGDs – 5 days (RA/PI)(INR 2500/person/day)  | Lumpsum            | 25000            | 393.2          |
| 9  | Computer and technical/field equipment   | Lumpsum            | 76200            | 1200.0         |
| 10 | 2 tablets (@ 150 dollars each), 2 voice recorders for data collection(@ 100 dollars) both will be returned to SANDEE after the completion of survey. |                    | 31750            | 500            |
|    | <b>Sub-total</b>   |                    | <b>191,950</b>   | <b>3019.0</b>  |
| 3. | <b>C. Focus Group/PILOT STUDY</b>  |                    |                  |                |
| 11 | Travel expense for FGD/pilot study (7 days)  |                    | 25000            | 393.2          |
| 12 | Enumerator's salaries (15 man days @ Rs 1500./ person/per day)   |                    | 22500            | 353.9          |
| 13 | Logistic for FGDs/pilot study (enumerators and PI travel + food) – 7 days  |                    | 25000            | 393.2          |
|    | <b>Sub-total</b>   |                    | <b>72,500</b>    | <b>1140.3</b>  |
| 4. | <b>D. DATA COLLECTION</b>  |                    |                  |                |
| 14 | Questionnaire printing (1000)  | Rs./ questionnaire | 2000             | 31.5           |
| 15 | Travel expense for survey (120 days @ 2000 Rs./day)  |                    | 240000           | 3774.8         |
| 16 | PI and RA travel and logistics (25 x 2500 (for logistics)+25000 (travel))  |                    | 87500            | 1376.2         |
| 17 | Enumerator's salaries (130 man days @ 1500 Rs./ per day)   |                    | 195000           | 3067.0         |
| 18 | Logistics for Enumerators (130 man days @ 1500) – for survey (e.g., food)  |                    | 195000           | 3067.0         |
| 19 | Secondary Data Collection / Testing / Purchase   |                    | 20000            | 314.6          |
|    | <b>Sub-total</b>   |                    | <b>739,500</b>   | <b>11631.0</b> |
| 5. | <b>E. DISSEMINATION AND DIALOGUE</b>   |                    |                  |                |
| 20 | Inception seminar/meetings   |                    | 25000            | 393.2          |
| 21 | Local Dissemination Seminar (s)  |                    | 30000            | 471.8          |
| 22 | Travel for dissemination and dialogue (local/regional/international) <sup>4</sup>  |                    | 130,000          | 2044.7         |
| 23 | Local Language Translation   |                    | 5000             | 78.6           |
|    | <b>Sub-total</b>   |                    | <b>190,000</b>   | <b>2988.4</b>  |
|    | <b>F. TOTAL</b>  |                    | <b>1,573,750</b> | <b>24752.3</b> |
| 24 | Contingency (2.5%)   |                    | 39,344           | 618.8          |
| 25 | Institutional overhead (15%)   |                    | 236,063          | 3712.8         |
|    | <b>G. GRAND TOTAL</b>  |                    | <b>1,849,156</b> | <b>29,084</b>  |

**APPENDIX II: SAMPLE GRANT DISBURSEMENT REQUEST LETTER**

*Note: All letters must be on official institutional letterhead.*

**1. Sample Letter for First Installment**

Date: .....

Neesha Pradhan  
SANDEE/ICIMOD  
Khumaltar, Lalitpur, Nepal  
Tel: 977-1-5003222 / 552 6391  
Fax: 977-1-553 6786

Dear Madam:

Re: Release of First Installment

Grant Award Ref. No .....

As per your instructions in the Grant Award Agreement, I am attaching two countersigned copies of the Grant Agreement. Please release the first installment of the above-mentioned grant at your earliest. The mailing address and bank details are in the Grant Agreement for your reference.

Thanks for your cooperation.

Sincerely yours,

(Signature)

Name:

Name of Affiliate Organization:

Title:





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## 2. Sample Letter for Second Installment

*Note: If bank details have changed, please provide us with the new information.*

Neesha Pradhan  
SANDEE/ICIMOD  
Khumaltar, Lalitpur, Nepal  
Tel: 977-1-5003222 / 552 6391  
Fax: 977-1-553 6786

Dear Madam:

Re: Release of Second Installment

Grant Award Ref. No .....

As per your instructions in the Grant Award Agreement, I am attaching a Financial Statement demonstrating the utilization of the first installment of funds. Please release the second installment of the above-mentioned grant at your earliest. The mailing address and bank details are already with you.

Thanks for your cooperation.

Sincerely yours,  
(Signature)

Name:

Name of Affiliate Organization:

Title:



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### 3. Sample Letter for Final Installment

*Note: If bank details have changed, please provide us with the new information.*

Neesha Pradhan  
SANDEE/ICIMOD  
Khumaltar, Lalitpur, Nepal  
Tel: 977-1-5003222 / 552 6391  
Fax: 977-1-553 6786

Dear Madam:

Re: Release of Final Installment

Grant Award Ref. No .....

As per your instructions in the Grant Award Agreement, I am attaching the draft manuscript, data and audit report demonstrating the completion of the project and the utilization of the first and second installment of funds. Please release the final installment of the above-mentioned grant at your earliest. The mailing address and bank details are already with you.

Thanks for your cooperation.

Sincerely yours,

(Signature)

Name:

Name of Affiliate Organization:

Title:

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### APPENDIX III: ETHICAL GUIDELINES FOR RESEARCH

SANDEE encourages all researchers to maintain high ethical standards while conducting research supported directly or indirectly by SANDEE. Our sponsors expect this from us, and from any research project sponsored by us. In view of this, SANDEE suggests the following ethical considerations that SANDEE Grantees maintain and give due consideration while conducting the research project. These guidelines are adopted from IDRC Canada's Ethical Consideration for Research.

#### *Ethical Considerations while conducting a SANDEE Research Project*

Any research work involving human subjects or animals should be carried out in accordance with high ethical standards. The signature of the Grant Recipient on the Grant Award Agreement (Special Terms and Conditions) means that the Grantee fully agrees and will comply with these standards.

The Grantee will report to the SANDEE Secretariat any difficulties she/he encounters in complying with the ethical standards described below. As mentioned under the Special Terms and Conditions section of the Grant Award Agreement, when submitting the final report, the Grantee will describe how she/he complied with the ethical standards in carrying out the project in question.

#### *Information Gathering*

The Grantee agrees to comply with the following principles which aim at protecting the privacy of individual(s), who, have been subject to the research carried out under the project in question, and those who have been requested to provide valuable information (personal or otherwise) about him/herself or others:

1. Prior to asking an individual to become a subject of research, she/he will be clearly and in an understanding manner be notified:
  - about the aims, objectives, methods, anticipated benefits and potential hazards of the research project in question
  - with an explanation of his/her/their right not to participate in the research project (fully or partially) and his/her/their right to terminate at any time participation in the project, and
  - regarding the confidential nature of his/her/their responses and the remaining of such during and after the research project.
2. No individual will be asked to become a subject of the research project unless she/he is given prior notice referred to in the preceding paragraphs and until she/he provides a freely willing consent to participate. Undue pressure of any kind (material, social and or psychological) should not be applied to encourage an individual to participate in the research project.
3. The identity of individual(s) subject to the research project should be kept strictly confidential and should not be revealed without prior written consent. At the completion of the research, information that may reveal the identity of individual(s) who were subjects of the research project should be destroyed.
4. No information revealing the identity of any individual should be included in the final report or in any other communication prepared in the course of the research, unless the individual concerned has consented in writing to its inclusion in advance.



6/20/2015

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5. Special care should be taken in case children are engaged in the research project in question. In addition to the considerations and requirements mentioned above, and to ensure that their participation is undertaken in accordance with high ethical standards, participation of children should be strictly subject to the following:
- parents and/or guardians of children under question have been consulted and a prior written consent received with respect to the children's participation
  - parents and/or guardians have given their free, explicit, and informed consent to the participation of the children in the research, and
  - parents and/or guardians have the explicit right to withdraw their children from the research at any time.

K



- What are the key research dilemmas you are currently facing? What kind of help do you need at this Research and Training Workshop? Please list these items. (500 words)
- Please present a work plan and timeline for the next six months. (500 words)

### B. Draft Manuscript:

Depending on your research stage, you will submit a draft manuscript. You develop your manuscript starting from the first progress report. Tentative guidelines for developing your preliminary manuscript are given below:

#### i) Progress Report 1: Literature Review and Revised Study Plan (6 pages max)

- Include a revised literature review. The literature review should include all studies that have findings to which you will compare your findings. You should not miss any relevant studies, but do not include studies that are not directly relevant. In addition to studies that ask the same or similar questions, cover methodological issues related to your research and include literature from outside your country or study area if it is relevant. We expect a 2-5 page, appropriately revised literature review that will become part of your final manuscript. Thus, it should be written as part of a manuscript. See the Guidelines for SANDEE Working Paper in Appendix V regarding relevance of literature.
- Identify with full citations 3-4 key references that you will be following in undertaking your analyses. Please bring hard copies of the key references with you to EACH workshop. This will tell the resource person how you plan to undertake your analyses and allow them to suggest alternate options.
- Present a revised study plan based on the literature review. The review may result in some changes in research questions, in methodology, and in data collection. A new succinct study plan should be provided.
- Attach a data sampling plan and data collection strategy if you are planning on collecting data in the next few months.
- Attach a DRAFT questionnaire and manual as an *Appendix*. Our website has questionnaires that previous Grantees have used and some sample questionnaires. We also have links to well-used questionnaires (LSMS and DHS) from around the world.  
*Please do not submit a questionnaire or manual before reviewing these. Questionnaires that do not build on these existing global questionnaires will NOT be reviewed.*

#### ii) Progress Report 2: Data, Questionnaires and Study Site Description

- Beginning with the second progress report, write your report as a manuscript. Please consult SANDEE working papers at [www.sandeeonline.com](http://www.sandeeonline.com) for manuscript format and read the Guidelines for SANDEE Working Paper in Appendix V. Write the required Background, Progress, and Research Issues for the first few pages as you did for the first progress report, and then begin your preliminary draft manuscript. The manuscript will improve over time as your work progresses.
- In some cases the data collection process may not get started until your second progress report. If that is the case, now is the time to present a revised study plan based on the literature review. The review may result in some changes in research



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questions, in methodology, and in data collection. Provide a new succinct study plan. Attach a data sampling plan and data collection strategy if you are planning on collecting data in the next few months.

- In other cases, the second progress report is the time to discuss preliminary results from the field and pilot results from testing of questionnaires. Please present a narrative and summary tables from data gathered from the field.
- If there is secondary data collected, please report summary tables, and discuss your preliminary results.
- Please attach a one-page description of the study site. This too should be written as if it is part of a complete paper. Attach any secondary data table or primary information at the end of the narrative description of the study area.
- The sampling plan and data collection strategy needs to be discussed carefully in one page. Again write this as if you were writing it for the final report.
- Please attach the final questionnaire and manual as an *Appendix*.

### iii) Progress Report 3: Data Analyses and Methods

- Your third progress report should be built on your preliminary draft manuscript that you prepare as a part of second progress report. The first few pages of your third progress report will address the Background, Progress, and Research Issues, just like you did for the first progress report. The rest will be a more advance manuscript draft.
- By the third progress report you are expected to have collected your data and undertaken preliminary analyses.
- Please bring all raw data on a memory stick to the workshop.
- We also need to see an outline / table of contents of the final manuscript. Please develop and attach an outline. Please be as detailed as you can in developing this table of contents.
- In your draft manuscript, you should have discussion of the methods you are using in your analyses. This will become part of your final manuscript and should be appropriately written with full references.
- In your draft manuscript, you should have a 2-page discussion of your data. Present summary statistics and discuss this table as appropriate. Define all key variables that are being constructed or used in your econometric analyses. Present a table of variables to be used in any econometric analyses and discuss summary statistics. Place all tables together after the reference section.
- Discuss results of preliminary econometric analyses. Remember, this is your draft manuscript. So, make sure that you discuss your results in the context of findings in other relevant studies. Highlight any preliminary policy findings. Present tables after the list of references, not in the text.

### 8. Outline and Final Manuscript<sup>1</sup>

- At this stage, you should have completed analyzing your data, and have your results ready to be presented in the workshop. Please develop and include the complete manuscript, along with your final progress report.

<sup>1</sup> Some of you may be able to finish your project while submitting the third progress report. In this case, the third progress report becomes your final report/manuscript.



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- Follow the Guidelines for SANDEE Working Paper in developing your manuscript. It is okay if the manuscript has gaps, but it would be useful to see the whole piece in the framework within which it will be finally presented.
- Please send your report to Neesha Pradhan, Programme Associate, SANDEE at [neeshap@sandeeonline.org](mailto:neeshap@sandeeonline.org)



Initials: neesha pradhan

2018/03/26

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## APPENDIX V: GUIDELINES FOR SANDEE WORKING PAPER

### 1. We want a publishable “Manuscript” and not a report.

- Do not write a report, write a scientific article.
- You can have more than one article from your study – you do not need to use every piece of data in your first article.
- The paper you submit will be:
  - reviewed by your advisor
  - reviewed by the SANDEE technical editors after you make the changes suggested by your advisor
  - finalized by you based on comments
  - It may be edited for English if needed
  - It may be peer reviewed by an external expert if needed
  - finalized by you again if needed
  - published as a working paper if all of the above steps are completed

**This process is meant to help you produce a polished paper that can (a) be circulated prior to publication in a journal to raise its visibility, (b) greatly increase the probability of acceptance when submitted to a peer-reviewed journal.**

### 2. Overall Structure: Front Layout

- Cover Page:
  - Title
  - Name of Principal Investigator, Institution, and Date (Note: Please change the date after each revision.)
- Abstract (about 200 words):
  - Please provide six key words or phrases under the abstract.
  - Sample:

This study estimates the recreational benefits accruing from the Margalla Hills National Park in Pakistan. Willingness to pay for park visitation is estimated using the individual travel cost model. Travel cost, household income, substitute price, and the quality of the park are significant determinants of willingness to pay. The study shows that the annual benefits from park management are considerable – total annual consumer surplus obtained from recreation in the park is approximately Rs. 23 million (US\$ 0.4 million) and total recreational benefits from the Park amount to Rs. 200 million (US\$ 3.47 million) per year. If certain improvements were made to enhance the quality of the recreational experience in the park, consumer surplus and total recreational value are estimated to increase by 38% and 4.5%, respectively. The study recommends an entrance fee of Rs.20 per person per visit, which would generate almost Rs. 11 million annually in revenues to the Government. This is a large amount of money that could be utilized for improving park management.

*Key Words: Environmental valuation, willingness to pay, total recreational value, consumer surplus, environmental resources, national parks in Pakistan.*



- Table of Contents (TOC): Use the TOC feature of MS Word while creating the TOC. The TOC should be in the following format:
  - Headings/Subheadings (Note: Please try to minimize the use of sub-headings since it breaks down the flow of writing.)
    - First-level heading
      - First-level subheading
    - First-level heading
      - First-level subheading
- Acknowledgements
- References
- 
- Tables
- Figures
- Appendix

### 3. Structure of Manuscript Text: Main Layout

- Introduction with Literature Review (2-4 pages)
  - Statement of the problem: What is the issue under consideration and why is it important? Policy context in your country: What is the specific context in your country that makes this study useful and interesting?
  - What are your main findings? State these briefly but clearly. It is always better to give the magnitudes of the results, not just the direction. Briefly compare your findings with those of the most relevant previous studies. Do your findings confirm previous results from other places and times? How are your findings different from previous findings in the literature?
  - Literature: What is already known about this question from previous studies? What does your study add to this? What is new about your study? The only purpose of the literature review is to explain to your reader what is new about your study. Therefore, you should provide only enough information about previous studies to make it clear what your study adds.
  - **Briefly** describe the methods used to reach your conclusions. If these differ in important ways from the previous literature, state how and why this matters.
  - Road map for the rest of the paper: What can the reader expect from the rest of the paper?
  - Please do not use sub-headings in the introduction.
- Study Area (0.5 pages)
  - Include the reason for your choice of study area
  - Give a brief description of the area in one paragraph only, in order to explain why you chose it. Do **NOT** include too many details such as full weather patterns, longitude/latitude, all agricultural crops, biodiversity, etc.
  - Please provide a map where possible.
- Data
  - Discuss secondary data if you use secondary data in the study or to provide some information about the study area.
  - Describe clearly the sampling and data collection strategy.
  - Describe the types of data collected, i.e. describe your questionnaire succinctly in one paragraph only.



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- Give a summary of important data variables in a table(s) or graph(s). When presenting any such table or graph of summary statistics, USE EASILY UNDERSTANDABLE VARIABLE NAMES in the tables you present. NEVER use abbreviations. Do not provide a table of variable names with abbreviations for later use. It is better to provide descriptive statistics here in the data section and use the results section to provide analytical results.

Here is an example of a situation where a graph works much better than a table. This is a table showing trends in primary forest area by climatic domain.

| Primary Forest Area by climatic domain (million ha) |           |             |        |          |
|---|-----------|-------------|--------|----------|
| Year  | Temperate | Subtropical | Boreal | Tropical |
| 1990  | 102       | 47          | 451    | 603      |
| 2000  | 104       | 43          | 467    | 575      |
| 2005  | 106       | 42          | 464    | 563      |
| 2010  | 107       | 42          | 482    | 550      |
| 2015  | 108       | 42          | 481    | 541      |

(Note: Countries that did not report in all years are excluded from the domain totals in this table). The consistently reporting countries included in the domain totals accounted for about 88-89% of the global forest area in each year. (Source: Morales-Hidalgo et al (2015)).

This is the corresponding graph. Notice that all the information in the table is still in the graph, but in addition the trends can be seen and compared at a glance.

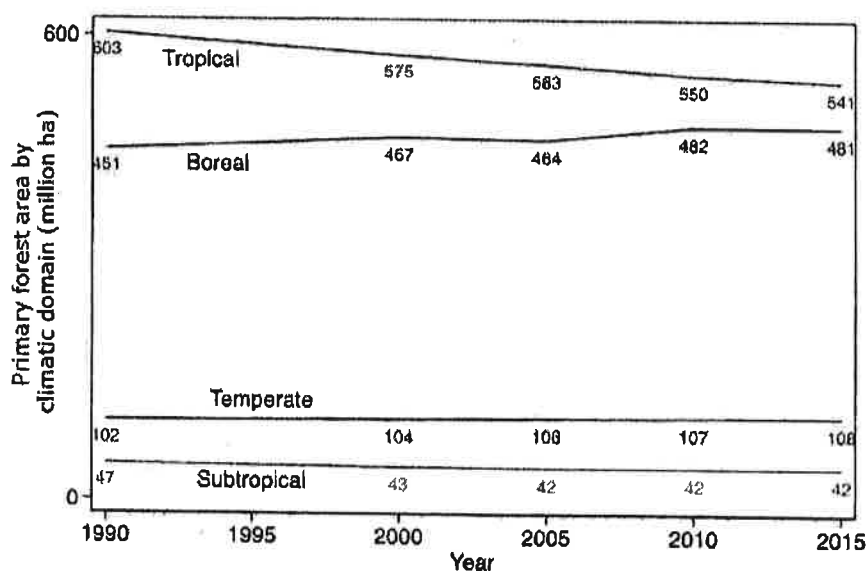


Figure : Trends in primary forest area by climatic domain (Countries that did not report in all years are excluded from the domain totals in this figure). The consistently reporting countries included in the domain totals accounted for about 88-89% of the global forest area in each year. (From Morales-Hidalgo et al (2015)).

- Model and Estimation Methods (2 pages or more)
  - This section can sometimes precede the Study Area and Data section.
  - Briefly identify research questions.
  - Describe the Theory/Empirical techniques used. If more than one technique is used, you may utilize sub-headings.
  - Describe each sub-component or method related to EACH research question SEPARATELY:
    - theory/methods
    - hypotheses
    - analytical tools/techniques
    - data used
    - empirical formulation of regression equations if any, and
    - discussion of choice of functional form.

Note that wherever you use well-known methods described in textbooks, you should not provide an explanation. Just state the method used.

#### 4. Results and Discussions (3- 4 pages)

**Main results** (you may provide a sub-heading, if necessary):

If you are conducting regression analyses, USE EASILY UNDERSTANDABLE VARIABLE NAMES in the tables you present. Do not use abbreviations.

Describe the main results first, that is, the answers to the main research questions. When you discuss regression analyses, focus on the magnitude of the point estimate, as well as the extent of uncertainty in the estimate as given by the confidence interval. It is not enough to merely say that a particular variable is statistically significant.

When you are testing a specific hypothesis or theory, refer to the prediction of the theory when describing the result, whether and to what extent the evidence is consistent with the hypothesis or whether it refutes it.

It is important to compare your results with those in the previous literature. Are they the same or different? Why?

Discuss each sub-component/question. Link to other studies where possible; discuss caveats. In the regression analyses, table, summary statistics and regression results table, variables should be presented and discussed in the SAME ORDER. Any abbreviations used should be identical in all tables and discussions.

**Robustness Check/Heterogeneity** (you can use appropriate sub-heading, if necessary):

Identify distributional issues (the poverty-environment link) where possible, including:

- simple analyses with tables that categorize your sample in landed/landless, rich/poor or female-headed/male-headed, etc.
- reinforcement of any such simple analyses with regression results (use asset index, consumption-expenditure, rich-poor dummies, income, etc. as RHS variables), and
- not categorizing or discussing data by village or taluka unless there is a specific reason to do so.



**Discussion** (you may add sub-heading, if necessary): Testing Policy Hypothesis and Discussion (1-2 pages)

- Does your regression test specify a policy hypothesis? E.g. Household education affects collective action is not a useful policy hypothesis. Awareness program affects hand-washing behavior is very useful if the awareness program is a government activity.
  - Can you simulate and identify outcomes from changing policy variables? In CBA or CGE models, for example, you can impose a change (a tax) and see what happens to outcomes.
  - Can you aggregate over a larger population and does that offer any interesting insights?
  - Have you tried to graph demand curves? Sometimes graphical analyses of final results can be extremely insightful. Please see if you can convert some of your tables into graphs.
  - When discussing your hypothesis:
    - Have you discussed the main findings from different sub-components?
    - Do your findings reinforce or challenge other findings/studies?
    - Have you put your empirical results in a larger context? Can you compare your numbers with secondary data? For example:  
If you estimate health benefits of air quality improvements, contrast this with government estimates of cost benefits of some specific clean air initiatives.
- OR-
- Compare the results of improved health from clean stoves to improved health as a result of access to doctors.
- What needs to be done to improve your analyses? What are the next steps?

**5. Conclusions and Policy Recommendations (max 1 page)**

- A "stand-alone" set of conclusions is useful here.
- Have an introductory sentence that summarizes the main issue addressed in the paper.
- Reinforce/reiterate the main (NOT ALL) quantitative findings.
- Place your results in the context of specific on-going policy debates, e.g. state the valuation of the number you have found, note other people's estimation, then compare these numbers with annual income, GNP, etc.
- Identify any specific policy implications of your study.
- DO NOT make general recommendations.
- If you make specific recommendations, then state what further needs to happen for those recommendations to be implemented.
- Acknowledge the limitations of your study and the implications for further research, if any.

**6. Acknowledgements (150 words)**

- Acknowledgements should not be more than 150 words.
- The section should be at the end of the report, before the References page.

**7. References**

- The References should contain ONLY those publications that are cited in the paper.
- All references cited in the paper should be in the References section. Double check all references.
- Reference citations should follow the Environmental and Development Economics (EDE) format. Examples below (please refer to recent SANDEE working paper or latest issue of EDE):

Amacher, G. S., W. F. Hyde and K. P. R. Kanel (1996), 'Household fuel -- wood demand and supply in Nepal's Terai and mid-hills: Choice between cash outlays and labor opportunity', *World Development* 24 (11): 1725 – 1736.

Gockowski, J., B. Nkamleu and J. Wendt (2001), 'Impact of resource use intensification for the environment and sustainable technology systems in the central African rainforests', in D. R. Lee and C. B. Barret (eds.), *Tradeoffs or Synergies: Agricultural Intensification, Environment and Economic Development*, Wallingford, UK: CAB International Publishing.

Alcantara, A.J. and R. G. Donald (1996), 'Management of Livestock Waste in the Laguna Lake Watershed, Philippines', *ERMP Report No. 29*, Delos Reyes Printing Press, Los Banos.

## 8. Tables and Figures

- The tables, graphs, maps and figures of the report should be placed at the end of the report after References and before Appendices.
- Notes about Tables:
  - All tables need titles. Use MS Word caption feature. Table titles should be at the top of the table.
  - All tables, figures and graphs should be left aligned.
  - Add notes at the bottom of the tables where necessary.
  - Use portrait orientation for tables if need be. Tables should fit onto one page.
  - Use the same format for all tables. Layout, spacing and font size should be uniform in all tables.
  - In addition, please also send original MS Excel files of graphs with the relevant data AS A SEPARATE FILE since this helps with editing.
  - Please use no more than 2 decimal points in all tables. When you create numbers, e.g. the cost of illness, based on statistical tables, round off these numbers. We do not need to provide these numbers in decimal points.
  - If you have regressions, please include:
    - a Table with a definition of variables and hypothesized signs of coefficients, summary statistics (n, min, max, mean, sd) of variables used in regression, and Tables of results with t-stats, star significant coefficients (\*\* = 1%, \* = 5 and \* = 10%)
    - The order of variables should be identical in all tables.
    - A discussion of results should follow the same order.
    - Generally restrict discussion to that of significant coefficients.
- Notes about Figures:
  - If maps are used, please send well-labeled maps as a separate file (300dpi).
  - Figure titles should be placed below as captions.




- # SANDEE

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- Initials: ms nfa Gupta

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- Initials: ms nfa Gupta

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- Initials: ms nfa Gupta





United Nations University  
63-70 Jingumae 6-chome  
Shibuya-ku Tokyo 150-8926  
Japan

### Institutional Contractual Agreement

| Organizational Unit  | Contract ID                  | Amendment # |
|--|------------------------------|-------------|
| UNU-IAS  | 611UU-0000000000000000000082 | 0           |
| <p>Contract entered into between the United Nations University and Name (hereinafter referred to as the Contractor)</p> <p>Name : Rajiv Seth</p> <p>Address : Teri University<br/>10 Institutional Area, Vasant Kunj<br/>New Delhi, Delhi 110070<br/>India</p> <p>Nationality: India</p> <p>Telephone : +911126122222</p> <p>Fax : +911126122874</p> <p>Email : rseth@teri.res.in</p>  |                              |             |
| <p><b>Terms of Reference or Work Assignment</b></p> <p>Under the guidance of the Education for Sustainable Development (ESD) Programme of the United Nations University Institute for the Advanced Study of Sustainability (UNU-IAS), which serves as the Secretariat of the Promotion of Sustainability in Postgraduate Education and Research Network (ProSPER.Net), TERI University will make the necessary arrangements in relation to and part of the ProSPER.Net Project on "ProSPER.Net Young Researchers' School: "Sustainable energy for transforming lives: Availability, Accessibility, Affordability", to be held from 1 to 12 February 2016, as follows:</p> <ol style="list-style-type: none"> <li>1. In consultation with UNU-IAS, design, plan, coordinate and deliver a two-week programme for the YRS to be conducted from 1 to 12 February 2016, that involves securing faculty members both in-house and experts from industry, government, and other relevant institutions and preparing and planning specific field trips what includes transportation and meals.</li> <li>2. Make necessary logistic arrangements including: <ul style="list-style-type: none"> <li>• Compiling logistic information to support students' stay in Delhi;</li> <li>• Assisting with visa procedures by issuing letters;</li> <li>• Providing facilities and necessary equipment for the operation and conduct of the School and preparing necessary materials, refreshments, breakfast, lunch and dinner for the participants during the School;</li> <li>• Arranging accommodations for students and resource persons; airport transfer in Delhi; and daily transportation between the designated hotel and the venue for participants.</li> </ul> </li> <li>3. Providing manpower to support the overall work related to the delivery of the School to carry out other necessary tasks required for the operation of/management for the School;</li> <li>4. Prepare cash envelopes for the participants for the reimbursement of visa fee and transportation expenses to and from the airport in their home countries, which shall be distributed to participants upon arrival and registration;</li> <li>5. If appropriate, follow up with the participants;</li> <li>6. Submit a programme report, evaluation of the activities conducted as well as other resource materials (PowerPoints used for the lectures, photos, case study modules, session summaries, etc.) to UNU-IAS;</li> <li>7. Submit a short article which highlights the activities and outcomes of the YRS to be published on the UNU and/or UNU-IAS website; and</li> <li>8. Submit an expenditure statement with copies of receipts, duly certified by TERI University's accountant.</li> </ol> <p>The cost related to the items above are described in the Budget Plan (Annex 1) which is part of this contract. Any change in the amounts shall be agreed between the parties before the expenses are incurred. If such agreement is not made in writing, UNU-IAS will not be responsible for these expenses.</p> |                              |             |

Revision Date: 08-Dec-2015

Page: 1 of 2

Name: Rajiv Seth



## CONDITIONS OF SERVICE

## 1. LEGAL STATUS

Institutions engaged under an institutional contractual agreement shall be considered as having the legal status of an independent contractor. Agents or employees of the contractor shall not be considered in any respect as being officials or staff members of the United Nations University.

## 2. OBLIGATIONS

The Contractor shall neither seek nor accept instructions from any authority external to the United Nations University in connection with the performance of its services under this agreement. The contractor shall refrain from any action which may adversely affect the United Nations University and shall fulfill its commitments with fullest regard for the interests of the United Nations University. The contractor shall not advertise or otherwise make public the fact that it is a contractor with the United Nations University. Also the contractor shall, in no other manner whatsoever use the name, emblem or official seal of the United Nations University or any abbreviation of the name of the United Nations University in connection with its business or otherwise. The contractor may not communicate at any time to any other person, Government or authority external to the United Nations University any information known to the contractor by reason of its association with the United Nations University which has not been made public, except in the course of its duties or by authorization of the Rector of the United Nations University or his designate; nor shall the contractor at any time use such information to private advantage. These obligations do not lapse upon cessation of the contractor's service with the United Nations University.

## 3. TITLE RIGHTS

(a) The United Nations University shall be entitled to all property rights, including but not limited to patents, copyrights and trademarks, with regard to material which bears a direct relation to, or is made in consequence of, the services provided to the United Nations University by the contractor. Any material published by, or on behalf of, the contractor in this regard shall contain appropriate reference to the United Nations University, and a copy of such published material shall be provided to the United Nations University. At the request of the United Nations University, the contractor shall assist in securing such property rights and transferring them to the United Nations University in compliance with the requirements of the applicable law. At the request of the United Nations University, the contractor shall take all necessary steps, execute all necessary documents and generally assist in securing such property rights and transferring them to the United Nations University in compliance with the requirements of the applicable law.

(b) Title to any equipment and supplies which may be furnished by the United Nations University shall rest with the United Nations University, and any such equipment shall be returned to the United Nations University at the conclusion of this agreement or when no longer needed by the contractor. Such equipment, when returned to the United Nations University, shall be in the same condition as when delivered to the contractor, subject to normal wear and tear.

## 4. TERMINATION OF AGREEMENT

(a) This institutional contractual agreement may be terminated by either party before the expiry date of the agreement by giving notice in writing to the other party. The period of notice shall be five days in the case of agreements for a total period of less than two months and fourteen days in the case of agreements for a longer period.

(b) In the event of the agreement being terminated prior to its due expiry date in this way, the contractor shall be compensated on a *pro rata* basis for no more than the actual amount of work performed to the satisfaction of the United Nations University. Additional costs incurred by the United Nations University resulting from the termination of the agreement by the contractor may be withheld from any amount otherwise due to the contractor from the United Nations University.

## 5. ASSIGNMENT OF PERSONNEL

The contractor shall not assign any persons other than those accepted by the United Nations University for work performed under this agreement.

## 6. INDEMNIFICATIONS AND INSURANCE

(a) The contractor shall indemnify, hold and save harmless and defend at its own expense the United Nations University, its officers, agents and employees from and against all suits, claims demands and liability of any nature or kind, including costs and expenses, arising out of acts or omissions of the contractor or its employees in the performance of services under this agreement.

(b) The contractor shall provide and thereafter maintain for the duration of this agreement and any extension thereof all appropriate workmen's compensation insurance and furnish proof to the satisfaction of the United Nations University of adequate liability insurance.

## 7. PRIVILEGES AND IMMUNITIES

Nothing in or relating to this agreement shall be deemed a waiver of any of the privileges and immunities of the United Nations University.

## 8. ARBITRATION

Any controversy or claim arising out of, or in accordance with this agreement or any breach thereof, shall, unless it is settled by direct negotiation, be settled in accordance with the UNICITRAL Arbitration Rules as at present in force. The party shall be bound by any arbitration award rendered as a result of such arbitration as the final adjudication of any such controversy or claim.

## 9. AMENDMENTS AND ASSIGNMENTS

No change in or modification of this agreement shall be made, except by prior written agreement between the authorized/certifying officer of the United Nations University and the contractor. The contractor shall not assign, transfer, pledge, sub-contract or make other disposition of this agreement or any part thereof, or of any of the contractor's rights, claims or obligations under this agreement except with the prior written consent of the United Nations University.

## 10. OFFICIALS NOT TO BENEFIT

The contractor represents and warrants that no official of the United Nations University has been, or shall be, admitted by the contractor to any direct or indirect benefit arising from this agreement or the award thereof. The contractor agrees that a breach of this provision is a breach of an essential term of this agreement.



## 11. OTHER PROVISIONS

Unless otherwise provided herein, the contractor shall bear all expenses of carrying out the work. The contractor shall not be entitled to any compensation or reimbursements except as explicitly provided in the present agreement, nor is the contractor authorized to commit the United Nations University to any expenditure or other obligations.





## Institutional Contractual Agreement

| Organizational Unit  | Contract ID                   | Amendment # |
|--|-------------------------------|-------------|
| UNU-IAS  | 611UU-00000000000000000000882 | 0           |
| <b>Duration of Contract:</b><br>This contract shall commence on 08-Dec-2015 and shall expire on the satisfactory completion of the services described above, but not later than 31-May-2016, unless sooner terminated under the terms of this contract. This contract is subject to the conditions attached.   |                               |             |
| <b>Consideration</b><br>As full consideration for the services performed by the Contractor under the terms of this contract, the United Nations University shall pay the Contractor upon certification that the services have been satisfactorily performed.<br><br><div style="display: flex; justify-content: space-between;"> <span>Currency:</span> <span>USD</span> </div> <div style="display: flex; justify-content: space-between;"> <span>Fee:</span> <span>21,073.80</span> </div> <div style="display: flex; justify-content: space-between;"> <span>Expenses:</span> <span>0.00</span> </div> <div style="display: flex; justify-content: space-between;"> <span>Total Amount:</span> <span>21,073.80</span> </div> <p>The fee is payable on satisfactory completion of the contract. For payment in installments, certification of satisfactory performance at each phase is required. Expenses, as agreed, are reimbursed upon submission of receipt as evidence of payment.</p> |                               |             |
| <b>Schedule and Conditions of Payment</b><br>50% initial payment will be made upon conclusion of this Agreement and submission of the budget proposal and work plan. (Expected in December 2015).<br><br>50% final payment will be made after the completion of the YRS according to actual expenses as demonstrated in the expenditure statement, and upon satisfaction of all the tasks described above. (Expected in Feb/Mar 2016)  |                               |             |
| <b>Acknowledgement</b><br>I acknowledge that I have read and accept the conditions set out on the attached. <div style="display: flex; justify-content: space-around; margin-top: 20px;"> <div style="text-align: center;"> <br/>             _____<br/>             Gp Capt Rajiv Sethi (Retd.), Ph.D<br/>             Signature of Authorized Representative of Contractor<br/>             TERI University           </div> <div style="text-align: center;"> <u>10 Dec 2015</u><br/>             _____<br/>             Date           </div> </div>  |                               |             |
| <b>Certifying Officer</b><br>10, Institutional Area<br>Vasant Vihar, New Delhi - 110 070<br>Kazuhiko Takemoto, Director, Office of the United Nations University <div style="display: flex; justify-content: space-around; margin-top: 20px;"> <div style="text-align: center;"> <br/>             _____<br/>             Signature           </div> <div style="text-align: center;"> <u>10 Dec 2015</u><br/>             _____<br/>             Date           </div> </div>  |                               |             |



## YRS 2016 Budget Sheet

1-12 February 2016

TERI University, India

Annex 1  
as of 8 Dec

USD1=INR65.31

(unit: USD)

| Items  | Unit cost |        | Q'ty | Days/<br>Times | Sub Total          | Remarks  |
|--|-----------|--------|------|----------------|--------------------|--|
|  | RMB       | USD    |      |                |                    |  |
| <b>Allowance for participants<br/>(terminal expenses and visa)</b> |           |        |      |                |                    |  |
| Visa processing fee  |           | 100.00 | 18   | 1              | 1,800.00           | 18 participants x USD100   |
| Terminal expenses  |           | 50.00  | 18   | 1              | 900.00             | 18 participants x USD50  |
|  |           |        |      |                | <b>\$2,700.00</b>  | The figures are only indicative and claim shall be made as per actual  |
| <b>Field Trip</b>  |           |        |      |                |                    |  |
| Chartered Bus (Field Trip 1)                                       |           | 350.00 | 1    | 1              | 350.00             | 18 participants + 5 UNU Staff + 2 TERI University staff + 1 Admin Staff = 26 participants in total               |
| Chartered Bus (Field Trip 2)                                       |           | 525.00 | 1    | 2              | 1,050.00           |  |
| Train and Chartered Bus/cars (Field Trip 3)                        |           | 500.00 | 1    | 1              | 500.00             |  |
| Chartered Bus/Cars (Field Trip 3)                                  |           | 500.00 | 1    | 1              | 500.00             |  |
| Accommodation for Field Trip 2                                     |           | 92.00  | 8    | 1              | 736.00             | Hotel accomodation for UNU and TU staff during field trip to Agra. Inclusive of all applicable government taxes. |
| Meals for Field Trip 2   |           | 10.00  | 26   | 2              | 520.00             | Lunch for two days for 26 people   |
|  |           |        |      |                | <b>\$3,656.00</b>  |  |
| <b>Materials</b>   |           |        |      |                |                    |  |
| Materials (printing, copying)                                      |           | 70.00  | 1    | 1              | 70.00              |  |
| Memento for participants   |           | 14.00  | 18   | 1              | 252.00             |  |
|  |           |        |      |                | <b>\$322.00</b>    |  |
| <b>Accommodation<br/>(Hotel Red Fox)</b>                           |           |        |      |                |                    |  |
| Twln   |           | 97.00  | 8    | 13             | 10,088.00          | 8 rooms in total (31 Jan- 13 Feb)  |
| Single   |           | 92.00  | 2    | 13             | 2,392.00           | 2 rooms in total (31 Jan- 13 Feb)  |
|  |           |        |      |                | <b>\$12,480.00</b> | Inclusive of all applicable government taxes   |
| <b>Contingency</b>   |           |        |      |                |                    |  |
| 10% Contingency  |           |        |      |                | 1,915.80           |  |
|  |           |        |      |                | <b>\$1,915.80</b>  |  |
| <b>Total</b>   |           |        |      |                | <b>\$21,073.80</b> |  |

Note: The accomodation cost for resource persons from UNU has not been included except for one night stay in Agra.

A 10% contingency fee will be used in case the exchange rate fluctuates at the time of payment and/or the actual expenditure exceeds the budgeted amount.



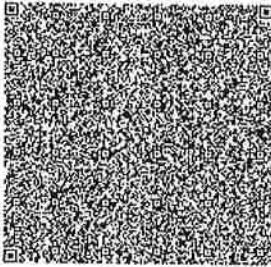
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## INDIA NON JUDICIAL

## Government of National Capital Territory of Delhi

## e-Stamp

|                           |  |
|---------------------------|--|
| Certificate No.           | : IN-DL369446720855800                 |
| Certificate Issued Date   | : 11-Apr-2016 01:33 PM                 |
| Account Reference         | : IMPACC (IV)/ dl924403/ DELHI/ DL-DLH |
| Unique Doc. Reference     | : SUBIN-DL924403728793304169580        |
| Purchased by              | : SHAKTI SUSTAINABLE ENERGY FOUNDATION |
| Description of Document   | : Article 5 General Agreement          |
| Property Description      | : Not Applicable                       |
| Consideration Price (Rs.) | : 0<br>(Zero)                          |
| First Party               | : SHAKTI SUSTAINABLE ENERGY FOUNDATION |
| Second Party              | : TERI UNIVERSITY                      |
| Stamp Duty Paid By        | : SHAKTI SUSTAINABLE ENERGY FOUNDATION |
| Stamp Duty Amount(Rs.)    | : 150<br>(One Hundred And Fifty only)  |



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Geeany

Gp. Capt. Rajiv Seth (Retd.), Ph.D.  
Pro Vice Chancellor  
TERI University  
10, Institutional Area, Vasant Kunj  
New Delhi - 110 070

## Statutory Alert:

The authenticity of this Stamp Certificate should be verified at "www.shclstamp.com". Any discrepancy in the details on this Certificate and as mentioned on the website renders it invalid.

The responsibility of checking the legitimacy is on the users of the certificate.

In case of any discrepancy please inform the Competent Authority **3.2.1.135**







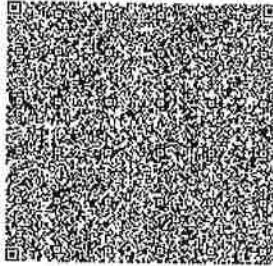
सत्यमेव जयते

# INDIA NON JUDICIAL

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| Description of Document   | : Article 5 General Agreement          |
| Property Description      | : Not Applicable                       |
| Consideration Price (Rs.) | : 0<br>(Zero)                          |
| First Party               | : SHAKTI SUSTAINABLE ENERGY FOUNDATION |
| Second Party              | : TERI UNIVERSITY                      |
| Stamp Duty Paid By        | : SHAKTI SUSTAINABLE ENERGY FOUNDATION |
| Stamp Duty Amount(Rs.)    | : 150<br>(One Hundred And Fifty only)  |



.....Please write or type below this line.....



*Rajiv Seth*

*[Signature]*

Gp. Capt. Rajiv Seth (Retd.), Ph.D.  
Pro Vice Chancellor  
TERI University  
10, Institutional Area, Vasant Kunj  
New Delhi - 110 070

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- The onus of checking the legitimacy is on the users of the certificate.
- In case of any discrepancy please inform the Competent Authority **3.2.1.137**



On Non Judicial e-Stamp paper of Rs. 150/-  
Certificate No. IN-DL369446720855800 dated 11<sup>th</sup> April 2016

**Funding agreement between  
Shakti Sustainable Energy Foundation  
And  
TERI University**

**Summary**

|                                       |  |
|---------------------------------------|--|
| Project Title:                        | Addressing land issues for utility scale renewable energy deployment |
| Project Number; Program; Sub-program: | G16 SSEF-204 Under Clean Power-Renewable Energy                      |
| Project start date:                   | 16 <sup>th</sup> May 2016  |
| Project end date:                     | 31 <sup>st</sup> March 2017  |
| Project In-charge at SSEF             | Deepak Gupta   |
| Project In-charge at TERI University  | Amit Kumar   |
| Amount in INR:                        | INR 3,821,498/-  |

**1 Introduction**

This funding agreement ("Agreement") is entered into by **TERI University**, with its registered office at **TERI University, 10, Institutional Area, Vasant Kunj, New Delhi** (hereinafter may also be referred to as the "**Grantee**") and Shakti Sustainable Energy Foundation with its registered office at The Capital Court, 104B/2, Fourth Floor Munirka Phase III, New Delhi – 110067 (hereinafter referred to as "**SSEF**" which expression shall, unless repugnant to the context or meaning thereof, be deemed to include its successors and permitted assigns) on this **2<sup>nd</sup> day of May 2016**. Grantee and SSEF (collectively known as "**Parties**" and individually as "**Party**") now desires to enter into this Agreement based on the discussions and understanding that how the relationship of the Parties will work including what non-financial support SSEF will bring under this Agreement. SSEF and Grantee also have a shared understanding about all project deliverables and SSEF's and Grantee's roles and responsibilities in achieving the project outcomes, as attached herewith as Annexure 1 and forms an integral part of this Agreement.

**2 Objectives**

SSEF and Grantee, through this project are working to secure the future of clean energy in India by aiding the design and implementation of policies that encourage energy efficiency and renewable resources.

**a. Specific use to which designated funds from SSEF are to be put to:**

SSEF has approved a grant of **Rs. 3,821,498/- (Rupees Thirty Eight Lakhs Twenty One Thousand Four Hundred and Ninety Eight Only)** from **16<sup>th</sup> May 2016** to **31<sup>st</sup> March 2017**.

The purpose of the grant is described in the proposal dated **31<sup>st</sup> March 2016** received from **TERI University** and accepted by **SSEF** and attached herewith as **Annexure 2**. The said proposal is considered to be an integral part of this Agreement, and the Grantee agrees and undertakes that all funds will be used exclusively for the purposes detailed in the proposal.

Efforts will be made by the Grantee to complete all activities in the agreed project proposal within the time frame stated above.



G L  
Gp. Capt. Rajiv Seth (Retd.), Ph.D.  
Pro Vice Chancellor  
TERI University  
10, Institutional Area, Vasant Kunj  
New Delhi - 110 070



**b. The objectives of the project are:**

- 1) To identify solutions that mitigate challenges to land use/ procurement for RE projects.
- 2) To make the project development processes inclusive and efficient, towards facilitating large-scale deployment of RE.
- 3) To develop model guidelines on land use/procurement for states towards facilitating use of different land types, fair compensation mechanisms and maintenance of land databases for RE projects

Any proposed changes to the project objectives, implementation and/or any consequent budget changes must be formally agreed in writing between Grantee and SSEF.

**3 SSEF's responsibilities**

- a. SSEF will support the Grantee in the following
  - i. Capacity building on technical and professional skills.
  - ii. Consultative Monitoring
  - iii. Evaluation of the project

**b. The disbursement schedule of the grant is given below:**

| Date (approx.)            | Instalments | Amount              | Contingency  |
|---------------------------|-------------|---------------------|--|
| 25 <sup>th</sup> May 2016 | First       | INR 1,910,749 (50%) | Upon receipt of the signed Agreement from the Grantee  |
| 9 <sup>th</sup> Dec 2016  | Second      | INR 1,910,749 (50%) | Upon submission of FCRA Renewal certificate and upon submission and approval of Interim Narrative and Financial Report from 16 <sup>th</sup> May 2016 to 31 <sup>st</sup> October 2016 |

Grantee agrees to acknowledge the receipt of all funds by issuing a printed, signed and stamped receipt as used by the Grantee or through the official stationery of the Grantee.

**4. Grantee's Responsibilities**

- a. The Grantee confirms that there shall be no change in its status of nonprofit body/entity and it shall at all times have or maintain registration with DIT (Exemptions), registration with Ministry of Home Affairs under Foreign Contribution Regulation Act, 2010 , registration with other competent authorities like the Sub-Registrar for Trusts / Registrar of Societies / Registrar of Companies (u/s.25 only)/ Charity Commissioner, as the case may be, having jurisdiction over charitable organization.
- b. In addition, this Agreement specifically prohibits use of the grant funds for any of the following purposes in India:
  - i. carrying on, directly or indirectly, any voter registration drive;
  - ii. intervening in any election for public office on behalf of, or in opposition to, any candidate;
  - iii. giving sub-grants to other organizations unless the Grantee receives the prior written approval of SSEF and ensures necessary compliance under different provisions of various statutes, as may be applicable.
  - iv. making grants to individuals for travel, study, research, or similar purposes unless the Grantee receives prior written approval from SSEF. This does not preclude paying for travel expenses for work performed for the Grantee as part of this project.
- c. That the grant is made by SSEF only for the purpose stated in this Agreement and the proposal document submitted by Grantee and accepted by SSEF and subsequent discussions held in connection therewith and it is understood that this grant will be used for such purpose only, and in accordance with Annexure 2 of this Agreement.



Op. Capt. Rajiv Seth (Retd.), Ph.D.  
 Vice Chancellor  
 TERI University  
 10, Institutional Area, Vasant Kunj  
 New Delhi - 110 070

- d. It is also agreed by the Grantee that variance exceeding 10% between the agreed budget lines will be made only with the SSEF's prior approval. In all such cases, before incurring of expenditure prior permission must be sought from SSEF and a written sanction should be obtained. If a sanction is not obtained, the amount in question will be deemed ineligible.
- e. That Grantee shall implement its actions/project with requisite care, efficiency, transparency and diligence in line with the best practice in the field concerned and in compliance with this Agreement.
- f. The Grantee will ensure that the appropriate and adequate Accounting/Financial Systems and procedures will be in place. The Grantee must be capable of sharing and proving that there is no duplication for expenditure relating to the SSEF's grant and there is no claim from another source.
- g. Any grant funds not expended or committed for the purposes of the grant or within the period stated earlier, will be returned to the SSEF within one month from the date of receipt of notice from SSEF. Cost overruns, if any, for any of the budget line items shall be borne by the Grantee. Any changes in the time frame of the project as given in the project proposal must be brought to the notice of the SSEF and written approval should be obtained from SSEF.
- h. The Grantee shall provide a list of all assets of value exceeding Rs. 5000/- per item and all equipment which are deemed attractive (e.g. cameras/flash drives/hard disks/printers/mobile phones even if their value is below Rs. 5000/-). Further the Grantee will not sell or dispose off the property / assets obtained from these grant funds without obtaining prior permission in writing from SSEF.
- i. SSEF shall approve the personnel to be employed on the project at the start of the project and any change in personnel will have to have SSEF's prior approval in writing. SSEF's liability is only as per the budget agreed and these personnel have no other lien on SSEF. Any outsourcing of any part of the project to any third party shall be in accordance with the proposal submitted by the Grantee. In case the Grantee desires to outsource any part of the project to any third party not specified in proposal, the Grantee shall obtain prior approval of SSEF, in writing.
- j. In case the Grantee is not able to continue the project or the project is wound up prematurely or is completed before the stipulated time, any unspent funds, assets, etc. lying with the Grantee shall be returned to SSEF subject to 4h above.
- k. The fund if specified is from foreign sources, the Grantee cannot transfer funds received from SSEF to any other account except the approved FCRA account. Similarly if projects are funded by local donations these cannot be mixed with FCRA approved bank account. (Refer to the Summary at the beginning under "Funded By").
- l. Financial commitment of SSEF as agreed in this Agreement is subject to performance of the Grantee as per the targets agreed.
- m. Interest earned on idle funds lying with Grantee shall be used for the project itself and SSEF retains the right to adjust this with the last payment in case the Grantee is unable to use the funds. Grantee will apportion the interest on all heads in proportion to the budget agreed but cannot adjust it fully on overheads or staff costs.
- n. The Grantee shall submit to SSEF progress reports and financial statement of income and expenditure according to the budget heads agreed. The reports should outline how programme/project objectives are being/have been achieved, and financial reports should be signed by a responsible officer of the Grantee in finance.



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| Date (approx.) | Type of Report   |                                     |
|----------------|--|-------------------------------------|
| 30/11/2016     | Interim Narrative Report covering the period from 16 <sup>th</sup> May 2016 to 31 <sup>st</sup> October 2016 |                                     |
| 30/11/2016     | Interim Financial Report covering the period from 1 <sup>st</sup> May 2016 to 31 <sup>st</sup> October 2016  | Signed by CEO and CFO or equivalent |
| 20/04/2017     | Final Narrative Report covering the entire period of Grant   |                                     |
| 20/04/2017     | Audited Utilisation certificate covering Financial Year 2016-17  | Signed by an Independent Auditor    |

## 5 Requirement of a report from the partner on the use of grant funds

- Grantee must keep financial records of the project in line with the project description, according to standard accounting practices, and must meet the (relevant) government's statutory and legal requirements for accounts, audit, annual reports and annual returns and the regulations under the FCRA if the funding is being met by SSEF from foreign sources.
- Each year, Grantee will share with SSEF the following year the following documents:
  - Auditors Report
  - Copy of acknowledged FC-6 return or any other return as may be applicable and submitted to the Ministry of Home Affairs, Govt. of India. (if supported by foreign funds)

## 6. SSEF's right to use Products/Outcomes of the Project

The Grantee agrees that SSEF shall have the right to obtain, reproduce, publish or otherwise use any the products/outcomes of this. Grantee hereby agrees to make available soft copies of all the products/outcomes created under this Agreement to SSEF upon the creation. SSEF agrees to acknowledge the Grantee for the work done under this Agreement in respect of use of any such products/ outcomes.

## 7 SSEF's right to check on the use and the expenditure of the funds

SSEF reserves the right to monitor and evaluate activities implemented by the Grantee. In order to do this, SSEF's authorized representatives may from time to time visit the project, normally at times agreed in advance, to see the progress of the project and review financial records and accounts. SSEF however reserve the right to visit without prior notice if believed to be necessary.

SSEF reserves the right to examine all financial records and materials purchased with SSEF funds, and to audit use of funds with reference to the budget proposal.

Grantee agrees to return to SSEF any funds not utilized for the agreed project. If the agreed project objectives and conditions are not met, SSEF may reclaim the disbursed funds, either wholly or in part.

## 8 SSEF's right to terminate or suspend the grant

Failure to comply with the terms of this Agreement may result in immediate cessation of funding and/or support from SSEF. SSEF has the right to terminate the grant early and stop all payments if:



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- i. Grantee fails to comply with any of the terms and conditions of this Agreement; or
- ii. SSEF is required by local or central government or court to suspend or terminate the grant; or
- iii. geographical, security or other conditions prevent the Grantee from using the grant in accordance with the project proposal or SSEF from carrying out the checks in this Agreement; or
- iv. Grantee no longer carries on activities of the kind in the project proposal, or loses its approval from any administrative or other governmental authorities for conducting this kind of activity including the approvals mentioned in clause 4a above; or
- v. this grant is funded by a back donor and the said donor requests or requires SSEF to suspend or terminate the grant;

In the case of a multi-year grant (i.e. grant disbursements over more than one SSEF financial year), SSEF reserves the right to cancel or postpone disbursements if the Grantee cannot demonstrate that the objectives for the first year or subsequent years have been achieved.

SSEF shall have a right to terminate this Agreement without assigning any reason by giving one month advance notice in writing to the other Party.

In case of termination of this Agreement for any reason, any unspent funds, assets, etc. lying with the Grantee shall be returned to SSEF promptly and this clause shall survive the termination of this Agreement.

## 9 Procurement

If the budget permits Grantee to buy goods or services then the Grantee shall ensure there is a procurement process in place, which demonstrates probity and value for money. If the Grantee does not have a procurement process in place, then it shall have a policy in place prior to receipt of any grant from SSEF. All assets purchased shall remain the property of SSEF till such time that the ownership is passed on vide an official letter explicitly stating as such from SSEF to the Grantee. However, such letter from SSEF would also be subject to the approval from the donor from whom such funds have been received by SSEF. All asset disposals need prior approval from SSEF.

## 10 The activities are legal

The Grantee agrees to comply with all applicable laws in India. Grantee shall indemnify SSEF for any or all, direct or indirect, loss, damage, penalty, interest, charges, cost including reasonable attorney's fee incurred by it or by any of its employees and/ or officials due to any contravention, default or non-compliance of any of the applicable laws by the Grantee.

## 11 Anti-terrorism and money laundering

The Grantee agrees to ensure that it will not promote or engage in violence, terrorism, or money laundering, nor will it make sub-grants to any entity that engages in these activities.

## 12 Branding

The Grantee agrees to be bound by Annex 4 which lays down communication from SSEF on branding for activities supported from the fund given by SSEF.



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**13 Communication and resolution of problems**

Both SSEF and the Grantee agree to communicate openly, transparently and constructively and resolve any issues locally. If either the Grantee or SSEF feels that communication is not open, transparent or constructive or feels that it cannot resolve an issue with the named project managers, then issues shall be discussed with the CEO of SSEF. The decision of the CEO shall be final and binding on the Parties.

**14 Confidentiality**

The Grantee shall not disclose the terms and conditions of this Agreement including the annexures attached to it to any third party except as permitted by SSEF in writing or in case the Grantee is required by any government authority to disclose such terms and conditions. This clause shall survive the termination of this Agreement.

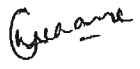

**15 General**

All correspondences in relation to this Agreement shall be addressed to the respective Parties at the address mentioned in description of Parties in this Agreement.

**Conclusion**

This is the entire Agreement along with the attached annexures, schedules, amendment, if any, between the Grantee and SSEF concerning this grant, and may be modified or waived only by a written agreement between the Parties. The Grantee acknowledges that it is not relying on any representation of SSEF, except as set forth in this Agreement, and this Agreement supersedes any prior verbal or written representations.

Your acceptance of this Agreement and the requirements should be indicated below by your signature. Please return one executed original of this Agreement to SSEF. Please also return the enclosed wire transfer information form Annex 5; you can expect payment within 10 business days of receipt of your signed Agreement.

| For Shakti Sustainable Energy Foundation   | For TERI University  |
|--|--|
| Signature:  | Signature:  |
| Name: <b>Chinmaya Acharya</b>  | Name: <b>Rajiv Seth</b>  |
| Designation: <b>Chief of Programs</b>  | Designation: <b>Pro Vice Chancellor</b>  |
| Date:  | Date:  |

**Enclosures:**

*Annex 1 – Project Deliverables and Roles & Responsibilities*

*Annex 2 – Grant Proposal and Budget*

*Annex 3 – Financial Reporting Formats*

*Annex 4 – Shakti Branding Requirements*

*Annex 5 – Wire Transfer Information Form*



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**Project Deliverables and Roles & Responsibility**

The following activities will be undertaken:

- Assessment of central and state level land and RE policies, census data, and project development practices to better understand time, cost, and the socio-economic impacts related attributes for land-use for the RE sector.
- Site visits to the identified RE resource-rich states to gather data on land procurement under various processes and conditions.
- Review of community supported clean energy projects in other countries such as Germany and Denmark.
- Consultation with stakeholders such as local communities, land owners, project developers, financiers and investors, lawyers, policymakers, implementation agencies to better understand various aspects related to land use for RE.
- Development of innovative business models on land procurement together with an assessment of the stakeholder acceptance.
- Development of model guidelines on land procurement and use for states to facilitate the use of different land types, fair compensation mechanisms and maintenance of land databases.

The work plan, outcome map for different deliverables and goal for the above activities is given in the detailed proposal under **Annexure 2**.



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**SHAKTI SUSTAINABLE ENERGY FOUNDATION**

**Shakti Sustainable Energy Foundation (SSEF)**  
Financial Budget Template for Project/Program Grant Proposals

Grantee Name TERI University

Budget sheet prepared by (Name & email id) Sapan Thapar (sapan.thapar@teri.res.in)

Project Name Addressing land issues for utility scale renewable energy deployment

INR

**Funding Sources**

Amount requested from the SSEF: INR 3,821,498

Amount expected or secured from other sources:

|                |     |                                  |               |
|----------------|-----|----------------------------------|---------------|
| Foundation 1   | \$0 | <input type="checkbox"/> awarded | [x] = awarded |
| foundation x   | \$0 | <input type="checkbox"/> awarded |               |
| Name of Funder |     | <input type="checkbox"/> awarded |               |

Total Project/Program Budget Rs. 3,821,498

**Proposed Project Budget**

|  | Start: May 2016<br>End: Mar 2017<br>Year 1 | Start:<br>End:<br>Year 2 | Start:<br>End:<br>Year 3 |
|--|--|--------------------------|--------------------------|
| Salaries (1)   | 1,560,808                                  |                          |                          |
| Payroll Taxes & Employee Benefits                                      | 368,686                                    |                          |                          |
| Re-grants to other organizations (2)                                   | 300,000                                    |                          |                          |
| Other Professional Services (3)  | 280,000                                    |                          |                          |
| Travel, Conferences & Meetings (4)                                     | 912,004                                    |                          |                          |
| Other Direct Expenses- e.g. postage, office supplies, etc. (5)         | 100,000                                    |                          |                          |
| Overhead (6)   | 300,000                                    |                          |                          |
| Total Project/Program Budget (total should tie to total funding above) | 3,821,498                                  | 0                        | 0                        |
| Lobbying Expenses included in Total Project Budget (7)                 | 0  | 0                        | 0                        |

**Additional Instructions:**

(1) Salaries - Please provide detail for full compensation costs in the format provided below. Add or delete rows as necessary. Please ensure total salaries in the detailed schedule ties to salaries in the proposal narrative and budget proposal

| People Working on Project/Program | Full Time Employment (FTE) Compensation | % Time on Project (Months) | Annual Project Salary Cost |
|-----------------------------------|---|----------------------------|----------------------------|
| Prof Amit Kumar                   | 2,710,824                               | 17%                        | 451,804                    |
| Mr MV Shiju                       | 1,565,652                               | 13%                        | 195,707                    |
| Dr Soumendu Sarkar                | 1,565,652                               | 8%                         | 130,471                    |
| Mr Sapan Thapar                   | 1,565,652                               | 50%                        | 782,826                    |
| Total Salary Cost                 | na                                      | na                         | Rs. 1,560,808              |

(2) Re-grants to Other Organizations - Please provide details below and explain in the proposal narrative.

| Grantee                     | Purpose   | Amount      |
|-----------------------------|---|-------------|
| IIT Delhi (Dr Soema Sharma) | 200,000 developing Socio-economic business models | 200,000     |
| TERI (Mr Ankit Narula)      | 100,000 Review of Project level Practices         | 100,000     |
| Total Grant Awards          |   | Rs. 300,000 |

(3) Other Professional Services - Please provide details below and explain in the proposal narrative.

| Service Provider  | Purpose                            | Amount  |
|---|------------------------------------|---------|
| External Experts  | 200,000 Legal consultancy services | 200,000 |
| Internship to Students TERI Univ (2 Nos for 2 months @ Rs 20000 pm) | 80,000 Site survey                 | 80,000  |
| Service Provider  |                                    | -       |
| Service Provider  |                                    | -       |
| Service Provider  |                                    | -       |
| All Others  |                                    | -       |
| Service Provider  |                                    | 0       |
| Total Other Professional Services                                   |                                    | 280,000 |



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(4) Travel, Conference, Meetings - Please provide details below and explain in the proposal narrative.  
Provide details for each meeting / conference in terms of costs related to travel, hotel, venue etc.

| Travel or Meeting or Conference Name              | Purpose   | Amount  |
|---|---|---------|
| Travel to 5 project sites across different states | site visits to Solar & wind projects for analyzing land related issues and socio-impact asses | 350,000 |
| Organizing 4 workshops (2 in NCR & 2 outstation)  | stakeholder consultation  | 532,004 |
| Local Travel                                      | meetings with stakeholders  | 30,000  |
| Total Travel, Meetings, Conferences               |   | 912,004 |

Note that non-U.S. grantees can not use funds from their grant for travel to or from the United States or for activities conducted in the United

(5) Other Direct Expenses -

| Other Direct Expenses       | Purpose  | Amount      |
|-----------------------------|--|-------------|
| Consummables                | printing of brochures, reports, questionnaires, surveys etc. | 100,000     |
| Total Other Direct Expenses |  | Rs. 100,000 |

(6) Overhead - Overhead typically includes occupancy (rent, utilities, etc.), information technology, and wireless / telecommunications costs. It can also represent overhead allocations of common costs.  
Please explain what is included in overhead in the proposal narrative.

| Overhead Expenses       | Purpose                        | Amount      |
|-------------------------|--------------------------------|-------------|
| Expense Line Item       | office space, utility services | 300,000     |
| Total Overhead Expenses |                                | Rs. 300,000 |



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## **Proposal to Shakti Sustainable Energy Foundation**

**ORGANISATION:** TERI University

**CONTACT:** Mr Sapan Thapar

**ADDRESS:** 10, Institutional Area, Vasant Kunj, New Delhi

**WEB SITE:** [www.teriuniversity.ac.in](http://www.teriuniversity.ac.in)

**PHONE:** +91 11 718 00 222

**EMAIL:** [sapan.thapar@teri.res.in](mailto:sapan.thapar@teri.res.in)

1. **Proposal cover page:** Annexure E

2. **Narrative proposal**

- a. **Organizational Details:** The genesis of TERI University is rooted in the comprehensive research, consultancy and outreach activities of TERI. In the year 1999, the University was granted "Deemed to be University" status by the University Grants Commission. The University offers Master's and Doctoral programmes in the disciplines of Law, Public Policy, Business Sustainability, Climate Science, Environmental Studies, Geoinformatics, Biotechnology, Water Science, Renewable Energy and Urban Development. TERI University has been awarded Grade "A" accreditation by NAAC and all its programmes are approved by UGC / AICTE / DEC. In the 2015 academic year, 173 doctoral students and 573 master's students were on its rolls. TERI University has been awarded the "Greenest University and Research Institution" as part of the RTCC 2013 Climate Change Awarded for having the "Most Innovative Curriculum" at the India Today Aspire Education Summit Awards, 2012.
- b. **Background of the Proposed Project:** The government of India is promoting renewable energy (RE) as an effective tool to mitigate climate change besides enhancing energy security and enabling energy access. It has set an ambitious target of 175 GW RE capacity to be achieved by 2022. This includes 100-GW of solar energy (60 GW ground mounted plants), 60 GW of wind power and remaining from other renewable technologies (small hydro and biomass). The annual capacity addition would need to be accentuated by 5 times (20 GW against the existing addition of about 4 GW) to realize these targets.

RE technologies like wind and solar are land intensive, with a megawatt of project requiring about 2 hectares of land. It is estimated that based on current trends, over 2,00,000 hectare land area (equivalent to a field of 20 X 20 square km) would be required for setting up 35 GW of wind and 60 GW of ground mounted solar projects. Land procurement has been identified as a key issue in execution of RE projects, taking a lot of time owing to permissions, change in usage and title. Moreover, the cost of land is a



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substantial part of the overall project cost. As a result, many projects experience slippages (delays) in project implementation.

A need has been felt to undertake a comprehensive study encompassing different aspects of land procurement: review of existing regulations & field practices, issues confronted by project developers and assimilating views of different stakeholders. This exercise should aim at suggesting model guidelines on land procurement for RE projects, which can be adopted by appropriate government agencies as well as project developers. The study should further examine the socio-economic impact of RE projects, with an endeavour to develop alternate business models having a better acceptability among masses.

**c. Project Overview:**

1) *Intended outcome of this project* – Accelerated deployment of renewable energy capacity, through widely acceptable developmental models

2) *Main outcomes to be achieved under the project* –

- Model guidelines are developed on land procurement/ use for setting up renewable energy projects (focusing on solar & wind sectors)
- best practices with respect to land procurement/ use followed in RE projects are disseminated
- Innovative business models for RE are developed so that socio-economic impacts of RE development are minimum.

3) *Main tactics* –

Assessment: The study shall commence by examining the wind & solar energy policies/ programs of identified states (4 states shall be examined in detail) and relevant orders of respective regulatory commissions. This shall be supplemented by analyzing the applicable land regulations (including the relevant sections of the Land Acquisition Act). Subsequently, review shall be made of the practices followed towards land procurement by RE project developers; this shall include the mode of procurement, type of land, cost of procurement and the time taken. Examination of lease and equity participation schemes shall help in understanding the other revenue sharing models. The above analysis shall be complemented by evaluating the socio-economic status of the land users/ owners, including their earnings from the land and alternate livelihood opportunities. This may require peruse of secondary data from the Ministry of Agriculture, NSSO, Census, local government bodies and other agencies. Community clean energy models as vogue in Germany and Denmark shall be studied for identifying the scheme of things in these countries.

Site Visits: It is proposed to undertake visit to a few wind and solar projects in order to get a first-hand account of the project implementation practices (including land procurement) and its socio-economic impact(s). The sites shall be selected across the identified states (as mentioned above) based on set criteria and after consulting some stakeholders (consultative process) – land profile & usage pattern, project proponent, implementation practices (few good and bad examples).

During site visits, the information on socio-economic impacts (of both operational and proposed projects) shall be captured by way of focused group discussions and



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administration of questionnaire to the community. This shall help in summarizing the practices & business models being followed across projects in order to come out with guidelines. In order to ensure access to project sites, project developers shall be consulted beforehand / taken on board at the inception stage itself.

The following states have been identified for site visits as per the rationale (tentative, to be finalised after discussions)

1. Rajasthan – Multiple types of land use, leading state in terms of solar installations
2. Madhya Pradesh – Multiple types of land use, upcoming state in terms of solar & wind installations
3. Andhra Pradesh – upcoming Solar Park and attractive wind policy
4. Punjab – Promoting solar under land leasing scheme

Stakeholder Consultation: Discussions with stakeholders shall be carried out to get their views (buy-in), understand their concerns and crowd source ideas towards developing appropriate models. These can include policy makers (MNRE, state nodal agencies, NITI Aayog, regulatory commissions, RECI and concerned state agencies/ departments), land users (owners, farmers, inhabitants), project developers, bankers, syndicators and other experts. The information shall be captured by way of both personal interactions and workshops (tentatively planned at Delhi, Hyderabad, and Bhopal/ Jaipur). With multiple legislations/ regulations in vogue with regard to land usage and its procurement, help of legal experts shall be obtained towards framing of the guidelines.

- a) Organisation positioning to conduct this activity - Though many research studies have been undertaken in the area of renewable energy, project level assessment with an interdisciplinary approach seems to be missing. In this regard, the services of faculty members across different departments of TERI University (Policy, Law, Economics Natural Resources and Energy) shall be leveraged to design guidelines. Students shall also be involved in field survey and research work. We have tied up with experts from IIT Delhi, to help conceptualize pragmatic socio-economic business models. With regard to validity / applicability of guidelines, experts from the legal fraternity shall be hired as consultants in the assignment.
- b) Indicators of success - Acceptability of guidelines and business models by the stakeholders and (probable) reorientation of policies
- d. **Project Outcome Map:** Annexure A
- e. **Venue Analysis**  
Land, being a state subject, and energy being under the concurrent list, the views of the policy makers shall be sought with an objective to effect appropriate changes in the policies/ programmes. The possible set of stakeholders can include NITI Aayog, central government (MNRE, MoRD, MoAgr, RECI), state government (SNA, land and other concerned departments) and regulatory commissions. The other state of stakeholders shall be investors, project developers, multilateral /bilateral agencies, and consultants who can share insights about the practices being followed in implementing projects (land procurement) and the acceptance of proposed business model(s). To ensure acceptability of the proposed business model(s) among the financial community, views of banks, financial institutions and syndicators shall be sought with respect to



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commercial viability, as availability capital is a critical requirement for deploying RE projects.

**f. Detailed quarterly work plan: Annexure B**

**g. Potential risks and obstacles:**

Land, being a regulated subject, with multiple agencies to administer and with a range of users, it would be a challenge to develop universally acceptable solutions. In this regard, rigorous consultative process shall be adopted by way of meetings, discussions and workshops at all stages of the study.

It may not be easy to capture frank views of project developers and investors. As such, one-to-one interactions, besides the proposed workshops, shall be attempted. This shall also help in identifying prospective project sites to be studied. Team members from TERI shall help in coordinating with project developers.

As project evaluation at sites (for assessing socio-economic indicators) is a time consuming process, students of TERI University shall be involved as part of their summer internship.

With limited time & resources, it may not be possible to study all the Indian states. As such, four states shall be analysed, to be identified after the initial discussions with the stakeholders. .

For the expertise not available within the project team (fields like law, business etc.), services of external experts shall be sourced.

**h. Budget**

Refer to budget sheet as *Attachment 2*).

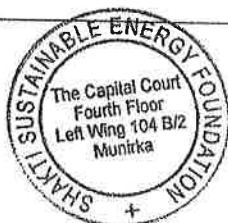
The budget has 3 sub-components: manpower cost (including external experts & internship for students), site visits to projects, and stakeholder workshops; CVs provided at *Annexure E*



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**Outcome Map: Annexure A**

| Activities   | Outputs  | Indicators   | By whom/when  |
|--|--|--|---|
| <ul style="list-style-type: none"> <li>Review of policies &amp; regulations</li> <li>Analyzing project implementation practices</li> </ul> | <ul style="list-style-type: none"> <li>Identification of key issues impacting RE project development</li> </ul>        | Q1   | <ul style="list-style-type: none"> <li>Model guidelines on land procurement (which can be adopted/ adapted by government agencies as well as project developers)</li> </ul> |
| <ul style="list-style-type: none"> <li>Site visits/ surveys for ground truthing on socio-economic impact assessment</li> </ul>             | Paper showcasing best practices with respect to land procurement   | Q2 <ul style="list-style-type: none"> <li>Participation of local community</li> </ul>        |   |
| <ul style="list-style-type: none"> <li>Stakeholder Consultations and dissemination of findings and recommendations</li> </ul>              | Consolidated report on findings of the surveys, stakeholder consultations and proposed models/frameworks and solutions | Q 1, 2 and 3 <ul style="list-style-type: none"> <li>Participation of stakeholders</li> </ul> |   |



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## Work Plan: Annexure B

| Program Work Plan<br>Land Issues in RE Sector |  |  |       |
|---|--|--|-------|
| Quarter                                       | Tactics  | Outputs  | Notes |
| 1   | Review of Policies & Guidelines                | Report on land issues confronted by RE Project developers and practices being adopted                                  |       |
|   | Review of National and International Practices |  |       |
| 2   | Site visits & surveys                          | Paper on best practices & Lessons Learnt   |       |
| 3   | Stakeholder consultation                       | Model Guidelines   |       |
|   |  | Consolidated report on findings of the surveys, stakeholder consultations and proposed models/frameworks and solutions |       |



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## Curriculum Vitae

## a) Amit Kumar (RE Policy Expert): Dean, TERI University

Mr Kumar has over three decades of experience in the field of clean energy. He is presently working as Dean at the TERI University, besides leading the SE4All's global Capacity Building Hub. Previously, he has worked as a Director at TERI. He is a recipient of gold medal from IIT Roorkee, from where he completed M.E. (Applied Thermoscience). He has been responsible for research activities in the fields of renewable energy and other clean technologies; including dealing with transnational partners. *In the proposed study, he shall act as the overall advisor to the project team and provide necessary guidance at all stages of the study.*

## b) Sapan Thapar (RE Finance): Department of Energy &amp; Environment, TERI University

Sapan has over 14 year experience in the area of Energy (including Renewable Energy & Energy efficiency). He is a BEE certified Energy Manager, with a Masters in Energy Management from IIT Delhi. Presently, he is a doctoral student at IIT Delhi, pursuing research in the area of socio-economic business models to accelerate deployment of Renewable energy. He has earlier worked with IREDA, where he was responsible towards RE project financing and design of innovative financial tools. He has several articles to his credit in the areas of RE policy assessment and community business models. *In the proposed study, he shall be leading the project team. Besides coordinating among project partners, he shall be involved with review of RE project implementation practices, socio-economic impact assessment, stakeholder consultations and design of appropriate business models.*

## c) MV Shiju (Law &amp; Regulations): Department of Policy Studies, TERI University

Shiju completed his LL.B. and LL.M. (Maritime Law and Labour Law) from Kerala. He did his M.Phil in International Law from Jawaharlal Nehru University in the area Competition Law in India. He is teaching Environmental Law and Policy, Biotechnology Regulation and Management, and Infrastructure Law. He has a number of articles to his credit and is engaged in a number of projects in the field of environmental law and policy. He is a member of the Green Growth and the Law Research Committee of the Green Growth Knowledge Platform – A joint initiative of the Global Green Growth Institute, OECD, World Bank and UNEP. He is also on the editorial board of the Indian Journal of International Law. *In the proposed study, he shall provide expert advice on land regulations and suggest best practices which can be adopted.*

## d) Seema Sharma (Socio-Economic Impact): Associate Professor, Department of Management Studies, IIT Delhi

Dr. Seema Sharma has done Ph.D from IIT Delhi. The areas of her research include productivity and efficiency analysis. She has published her research in National and International refereed Journals of high repute.



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*In the proposed study, she shall facilitate socio-economic impact analysis of RE projects*

- e) Soumendu Sarkar (Land Procurement Models): Department of Policy Studies, TERI University

Soumendu has completed his Ph.D in Quantitative Economics from the Indian Statistical Institute, with an MA in Economics from Viswa Bharati. Currently he is working on market design for land acquisition. His research interests include Auctions, Mechanism Design, Game Theory and Contract Theory.

*In the proposed study, he shall provide expert advice on land acquisition models.*

- f) Ankit Narula (RE Project Implementation): Research Associate, Renewable Energy Technology Applications , TERI

Ankit is graduate in Environmental Engineering (GGSIPIU) with specialization in Renewable Energy Engineering and Management (TERI University). He has domain expertise is in solar energy, towards system design, technology solutions, and feasibility assessments of projects. Besides working on technology front, he has been working on policy dimension and tendering related activities for both solar thermal and wind power.

*In the proposed study, he shall provide inputs on the issues confronting RE project development, besides facilitating access to project sites.*



*G L*

Gp. Capt. Rajiv Seth (Retd.), Ph.D.  
Pro Vice Chancellor  
TERI University  
10, Institutional Area, Vasant Kunj  
New Delhi - 110 070



## Annex 3A

| Interim Financial Report (on letterhead of the organization)   |                                  |                 |             |         |
|--|----------------------------------|-----------------|-------------|---------|
| Agreement No. & Date _____   |                                  |                 |             |         |
| Title of the Project: _____  |                                  |                 |             |         |
| Period of Grant _____  |                                  |                 |             |         |
| Period of Reporting _____  |                                  |                 |             |         |
| Budget Vs Actual Expenditure (All amounts in Indian Rupees)  |                                  |                 |             |         |
| S No   | Details                          | Budget Approved | Utilisation | Balance |
| 1  | Salaries (Including Benefits)    |                 |             |         |
| 2  | Re-grants to other organizations |                 |             |         |
| 3  | Professional Services            |                 |             |         |
| 4  | Travel, Conferences & Meetings   |                 |             |         |
| 5  | Staff Capacity Building          |                 |             |         |
| 6  | Other Direct Expenses            |                 |             |         |
| 7  | Overhead                         |                 |             |         |
|  | Total SSEF Funded                | 0               | 0           |         |
| Total grant received during this period  |                                  |                 |             |         |
| Add: Interest earned during Reporting Period   |                                  |                 |             |         |
| Total funds available  |                                  |                 |             | 0       |
| Less: Amount spent during this period (As above)   |                                  |                 |             | 0       |
| Closing balance of grant Funds as on (date)  |                                  |                 |             | 0       |
| <p>For (Name of Organization)</p><br><p>(Name and Designation of person signing the report)</p> <p>Date : _____</p> <p>Place : _____</p> |                                  |                 |             |         |



Gp. Capt. Rajiv Seth (Retd.), Ph.D.  
 Pro Vice Chancellor  
 TERI University  
 10, Institutional Area, Vasant Kunj  
 New Delhi - 110 068





Annex 3B

**Part A of Final Financial Report**

*(to be submitted on Chartered Accountant's letterhead)*

To

Shakti Sustainable Energy Foundation (SSEF)  
104B/2, The Capital Court  
Munirka Phase III  
New Delhi – 110067

**UTILIZATION CERTIFICATE**

I/ We [legal name of the audit firm] have verified the utilization of funds of (name of Grantee) and hereby certify that:

- a. The information declared in the Financial Statement appended herewith, in connection with the Project (project reference and title) has been verified by me/us and found to be correct.
- b. I/We confirm that the audit was carried out in accordance with generally accepted accounting standards and certify that (name of the Grantee) has complied with the provisions of the referenced agreement.
- c. I/We have examined (name of Grantee) books of accounts, accounting records and supporting documentation and have obtained reasonable assurance on the following –
  - i. That the expenditure reflected in the financial statement for the period (mention whole period of the grant) has been incurred for the Project referred to above.
  - ii. That the expenditure has been incurred in the period covered by the financial statement and there is no prior period or post period expenses are included.
  - iii. That the financial statement does not contain any non-eligible costs as per the terms of the agreement.
  - iv. That the financial statement does not cover any notional costs but only actual costs incurred by the organization on the Project.
  - v. That the provisions of the Foreign Contribution Regulation Act 2010, Rules and subsequent amendments have been complied with in respect of this project. *(Auditor is requested to delete this clause if this is not a FCRA project)*
  - vi. That necessary explanations/clarifications have been obtained as necessary from the management of the Grantee.
- d. The expenditure reported for the given period does not contain any item for which provision has been created. All expenses/liabilities on this project have been paid and there is no transaction related to this project pending on the reconciliation as on the date of this certificate.
- e. We confirm that we have no exception to report either on our scrutiny of records nor in terms of compliance with SSEF's agreement. [If there are exceptions please include information here]

Date:



Gp. Capt. Rajiv Seth (Retd.), Ph.D.  
Pro Vice Chancellor  
TERI University  
10, Institutional Area, Vasant Kunj  
New Delhi - 110 070

Name [CA]  
Membership No.



Financial Statement of Utilization – Part B  
[Grantee Name]  
(Project Reference No. & title)

| A. Expenditure (All amounts in Indian Rupees) |                                  |                    |             |          |                  |
|---|----------------------------------|--------------------|-------------|----------|------------------|
| S.N<br>o.                                     | Details                          | Budget<br>Approved | Utilization | Variance | Variance<br>%age |
| 1   | Salaries (Including Benefits)    |                    |             |          | 0                |
| 2   | Re-grants to other organizations |                    |             |          | 0                |
| 3   | Professional Services            |                    |             |          | 0                |
| 4   | Travel, Conferences & Meetings   |                    |             |          | 0                |
| 5   | Staff Capacity Building          |                    |             |          |                  |
| 6   | Other Direct Expenses            |                    |             |          | 0                |
| 7   | Overheads                        |                    |             |          | 0                |
|   | <b>Total SSEF Funded</b>         | <b>0</b>           | <b>0</b>    |          | <b>0</b>         |

| B. Unspent Funds (amounts in Rupees)            |      |        |   |
|---|------|--------|---|
| Total grant received during project period      |      |        |   |
| S.No  | Date | Amount |   |
| 1   |      |        |   |
| 2   |      |        |   |
| Add : Interest earned during reporting period   |      |        |   |
| Less: Amount spent (SSEF funded only) (Table A) |      |        | 0 |
| Unspent balance of grant Funds as on (date)     |      |        | 0 |

Place

Name [CA]

Date:

Membership No.

Grantee's Section

- Reasons for variances greater than 10% for each detail head is placed below
  - 
  -
- Unspent balance is being refunded separately vide cheque or request that this be adjusted with ongoing project no. \_\_\_\_\_.
- Expenditure greater than the budget agreed has been met from interest earned/other sources and will not be claimed from Shakti Sustainable Energy Foundation.

Place

Date

 Finance Head  
[Grantee Name]


Gp. Capt. Rajiv Seth (Retd.), Ph.D.  
Pro Vice Chancellor  
TERI University  
10, Institutional Area, Vasant Kunj  
New Delhi - 110070



Annex 3C

(To be provided by the Chartered Accountant on their letterhead)

To  
 Chief Functionary  
 Shakti Sustainable Energy Foundation  
 104B/2, The Capital Court  
 Left Wing, Fourth Floor  
 Munirka Phase III  
 New Delhi – 110067

## UTILIZATION CERTIFICATE

I/ We have verified the utilization of funds of ..... (name of association and its full address), for the year ended 31st March, XXXX in respect of the grant received from Shakti Sustainable Energy Foundation (SSEF) for the project ..... (Title of the project) under Grant Reference No. .... (grant number as per award agreement) with the books of accounts and other records. Based on our verification we certify as under:

- a) The brought forward unutilised grant excluding any interest earned by the Association at the beginning of the year ..... was Rs. .... (If there was no opening balance as on April 1, XXXX mention NIL)
- b) Grant received under this project during the period specified above was Rs. ....
- c) Grant utilized excluding expenditure from the interest component for the purpose stated in the award agreement was Rs. .... for the period specified above.
- d) The balance of unutilized fund excluding interest earned as on March 31, XXXX was Rs. ....

Place  
 [CA]  
 Date:  
 No.

Name

Membership



Gp. Capt. Rajiv Seth (Retd.), Ph.D.  
 Pro Vice Chancellor  
 TERI University  
 10, Institutional Area, Vasant Kunj  
 New Delhi - 110 070



### COMMUNICATION AND BRANDING GUIDELINES:

These guidelines have been drawn up to ensure that projects that are wholly or partially funded by Shakti Sustainable Energy Foundation (SSEF), acknowledge the support. These are binding on all contractors, sub-contractors and grantee partners.

#### GENERAL GUIDELINES:

1. All deliverables, under a Shakti grant or contract, must display the Shakti logo prominently, unless otherwise requested by SSEF. This includes all technical documents, papers, collaterals and other materials.
2. The logo is as follows:



3. The contractor/grantee is required to share all documents/designs with the SSEF point person at the draft stage and obtain a signed copy as an indication of approval to use the logo. The onus to collect the correct logo file from Shakti lies with the grantee/contractor. All print and production work must only commence subsequently.
4. SSEF reserves the right to use the products created under its grants either in full or in parts, without soliciting the permission of the contractor/grantee.

#### LOGO GUIDELINES

The SSEF logo is the graphic representation of the organisation, its use connotes association and in this context the following are binding for the contractor/grantees:

- The SSEF logo cannot be used without written permission.
- It cannot be reproduced from any source other than the one given to the grantee by SSEF.

#### TECHNICAL DOCUMENT GUIDELINES

Technical documents refer to studies, reports and papers that SSEF may fund/commission from time to time. The contractors /grantees are mandated to:

- Use the correct SSEF logo
- Display the logo prominently on the cover page, giving it the same weight as others in the space.
- Describe SSEF thus in the acknowledgement section: *Shakti Sustainable Energy Foundation works to strengthen the energy security of India by aiding the design and implementation of policies that support energy efficiency and renewable energy.*
- Feature the following disclaimer on the inside of the front cover or the inside of the back cover: *The views and analyses represented in the documents do not necessarily reflect that of Shakti. The company accepts no liability for the content of this document, or for the consequences of any actions taken on the basis of the information provided.*



Gp. Capt. Rajiv Seth (Retd.), Ph.D.  
Pro Vice Chancellor  
TERI University  
10, Institutional Area, Vasant Kunj  
New Delhi - 110 070 3.2.1.161

### EVENT GUIDELINES

Any workshop, consultation, roundtable or dissemination event under the scope of a grant or contract, qualifies as an event. The following are binding on the contractor/grantee organising the same :

- The Shakti logo must be displayed prominently on the backdrop in the same proportions as those around it.
- All collaterals given out must have the SSEF logo.
- The invitees must include at least one journalist from a relevant beat.
- There should be at least one press release prepared for the event and the same must mention the SSEF association. The release must be shared with the Shakti point person before being sent to the press.
- Shakti reserves the right to use the forum for its own communication dissemination, in addition to the agenda of the event.

### LANGUAGE & TONE AND MANNER

All documents, produced under the purview of a SSEF grant must follow the guidelines listed below:

- UK English
- Minimum jargon
- Brevity of construction
- Limited use of acronyms
- Minimal superlatives
- Neutral, non-judgemental tone and manner
- Objective




Gp. Capt. Rajiv Seth (Retd.), Ph.D.  
Pro Vice Chancellor  
TERI University  
10, Institutional Area, Vasant Kunj  
New Delhi - 110 070

**WIRE TRANSFER FORM**  
**Beneficiary & Bank Information**

|  |   |
|--|---|
| Name of Beneficiary<br><b>TERI University</b>  | Bank Name<br><b>HDFC Bank Limited</b>   |
| Beneficiary's Street Address<br><b>TERI University<br/>10, Institutional Area<br/>Vasant Kunj, New Delhi</b> | Bank Address<br><b>Site No. 2, OCF Pocket C, Vasant Kunj,<br/>New Delhi – 110 070</b> |
| Beneficiary's City, State<br><b>New Delhi, Delhi</b>   | Bank City, State<br><b>New Delhi, Delhi</b>   |
| Account Number<br><b>00031170000088</b>  | NEFT Code<br><b>HDFC0000273</b>   |
| Account Type: Savings/Current  | <b>Savings</b>  |
| Account Nature: FCRA/Local   | <b>FCRA</b>   |



  
 Gp. Capt. Rajiv Seth (Retd.), Ph.D.  
 Pro Vice Chancellor  
 TERI University  
 10, Institutional Area, Vasant Kunj  
 New Delhi - 110 070





## COMMUNICATION AND BRANDING GUIDELINES:

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3. The contractor/grantee is required to share all documents/designs with the SSEF point person at the draft stage and obtain a signed copy as an indication of approval to use the logo. The onus to collect the correct logo file from Shakti lies with the grantee/contractor. All print and production work must only commence subsequently.
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- Display the logo prominently on the cover page, giving it the same weight as others in the space.
- Describe SSEF thus in the acknowledgement section: *Shakti Sustainable Energy Foundation works to strengthen the energy security of India by aiding the design and implementation of policies that support energy efficiency and renewable energy.*
- Feature the following disclaimer on the inside of the front cover or the inside of the back cover: *The views and analyses represented in the documents do not necessarily reflect that of Shakti. The company accepts no liability for the content of this document, or for the consequences of any actions taken on the basis of the information provided.*



Gp. Capt. Rajiv Seth (Retd.), Ph.D.  
Pro Vice Chancellor  
TERI University  
10, Institutional Area, Vasant Kunj  
New Delhi - 110 070 3.2.1.165

### EVENT GUIDELINES

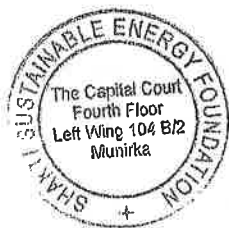
Any workshop, consultation, roundtable or dissemination event under the scope of a grant or contract, qualifies as an event. The following are binding on the contractor/grantee organising the same :

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- Shakti reserves the right to use the forum for its own communication dissemination, in addition to the agenda of the event.

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- Brevity of construction
- Limited use of acronyms
- Minimal superlatives
- Neutral, non-judgemental tone and manner
- Objective



②

h

Gp. Capt. Rajiv Seth (Retd.), Ph.D.  
Pro Vice Chancellor  
TERI University  
10, Institutional Area, Vasant Kunj  
New Delhi - 110 070



**WIRE TRANSFER FORM**  
**Beneficiary & Bank Information**

|  |   |
|--|---|
| Name of Beneficiary<br><b>TERI University</b>  | Bank Name<br><b>HDFC Bank Limited</b>   |
| Beneficiary's Street Address<br><b>TERI University<br/>10, Institutional Area<br/>Vasant Kunj, New Delhi</b> | Bank Address<br><b>Site No. 2, OCF Pocket C, Vasant Kunj,<br/>New Delhi – 110 070</b> |
| Beneficiary's City, State<br><b>New Delhi, Delhi</b>   | Bank City, State<br><b>New Delhi, Delhi</b>   |
| Account Number<br><b>00031170000088</b>  | NEFT Code<br><b>HDFC0000273</b>   |
| Account Type: Savings/Current  | <b>Savings</b>  |
| Account Nature: FCRA/Local   | <b>FCRA</b>   |



Gp. Capt. Rajiv Seth (Retd.), Ph.D.  
 Pro Vice Chancellor  
 TERI University  
 10, Institutional Area, Vasant Kunj  
 New Delhi - 110 070



20160103



**United Nations University**  
53-70 Jingumae 5-chome  
Shibuya-ku Tokyo 150-8925  
Japan  
**Institutional Contractual Agreement**

| Organizational Unit | Contract ID                   | Amendment # |
|---------------------|-------------------------------|-------------|
| UNU-IAS             | 611UU-00000000000000000001055 | 0           |

Contract entered into between the United Nations University and Name (hereinafter referred to as the Contractor)

Name : TERI University

Address : 10 Institutional Area, Vasant Kunj  
New Delhi Delhi (UT) 110070  
India

Telephone : +911126122222

Fax : +911126122874

Email : reeth@teri.res.in

**Terms of Reference or Work Assignment**

Under the general guidelines of the Director of UNU Institute for the Advanced Study of Sustainability (UNU-IAS) and under the direct coordination of Dr. Pankaj Kumar, Postdoctoral Fellow and Yoshifumi Masago, Research Fellow, UNU-IAS, the contractor will act as the Local Coordinator for the case study in Lucknow, India of the UNU-IAS "Low Carbon Urban Water Environment Project". The project is supported by Ministry of Environment, Japan and led by the Water and Urban Initiative of the UNU-IAS.

The funds provided in this contract will be used for the following activities and for the expenditures for the period from 01 September 2016 to 28 February 2017. The work plan for this period is attached as Annex 2.

- 1) Literature review and interviews
  - 1.1 Review and check existing reports, studies and documentation for: institutional/ policies/ laws/ management set-up for different sectoral water uses; social/ local wisdom on water uses; land use planning; wastewater treatment facilities; water resources management; existing condition of the urban environment; plans of the urban development
  - 1.2 Public perception and participation on water management and water uses, etc.
- 2) Secondary data collection and data entry of water and soil parameters collected in the study area as listed in Annex 1
  - 2.1 Water quality (at least for past 15-20 years)
  - 2.2 Soil parameters
  - 2.3 Hydro-meteorological data (from 1980 to most recent)
  - 2.4 Existing reports, studies and documentation
  - 2.5 Water systems (current and future plan)
  - 2.6 Population Projection
- 3) Digitations, GIS processing and satellite imagery interpretations as listed in Annex 1
- 4) Establish contacts with governments and research institutes at both national and local level in charge of wastewater management and flood control in Lucknow and organize a stakeholder workshop in close coordination with UNU-IAS

Duration of contract: from 01 September 2016 to 28 February 2017.

The contractor shall submit to UNU-IAS the required reports according to the following schedule:

- (1) A final project report (by 28 February 2017)
- (2) All original data and other documents collected (as soon as each becomes available)
- (3) A financial report certified by the authorized financial official of the organization, substantiated with supporting documents such as receipts and an invoice (by 28 February 2017)

Budget estimation (see Annex2 for details)

- 1) Literature review and interviews
  - 1.1 Review and check existing reports, studies and documentation: US\$1,325
  - 1.2 Public perception and participation on water management and water uses, etc.: US\$1,500
- 2) Secondary data collection and data entry of water and soil parameters collected in the study area
  - 2.1 Water quality: US\$3,600





| Organizational Unit  | Contract ID                    | Amendment # |            |     |      |          |           |           |               |           |
|--|--------------------------------|-------------|------------|-----|------|----------|-----------|-----------|---------------|-----------|
| UNU-IAS  | 611UU-000000000000000000001055 | 0           |            |     |      |          |           |           |               |           |
| <p>2.2 Soil parameters:US\$1,550</p> <p>2.3 Hydro-meteorological data:US\$2,400</p> <p>2.4 Existing reports, studies and documentation:US\$4,150</p> <p>2.5 Water systems:US\$1,500</p> <p>2.6 Population Projection:US\$1,126</p> <p>3) Digitations, GIS processing and satellite Imagery Interpretations:US\$2,550</p> <p>4) Establish contacts with governments and research institutes and organize a stakeholder workshop:US\$1,000</p> <p>5) Institutional overhead (15%):US\$3,105</p> <p>Total amount:US\$23,805</p> <p>Any unspent balance of the provision (expense) shall be returned to UNU-IAS.</p>   |                                |             |            |     |      |          |           |           |               |           |
| <p><b>Duration of Contract</b></p> <p>This contract shall commence on <u>01-Sep-2016</u> and shall expire on the satisfactory completion of the services described above, but not later than <u>28-Feb-2017</u>, unless sooner terminated under the terms of this contract. This contract is subject to the conditions attached.</p>   |                                |             |            |     |      |          |           |           |               |           |
| <p><b>Consideration</b></p> <p>As full consideration for the services performed by the Contractor under the terms of this contract, the United Nations University shall pay the Contractor upon certification that the services have been satisfactorily performed:</p> <table> <tr> <td>Currency :</td><td>USD</td></tr> <tr> <td>Fee:</td><td>3,105.00</td></tr> <tr> <td>Expenses:</td><td>20,700.00</td></tr> <tr> <td>Total Amount:</td><td>23,805.00</td></tr> </table> <p>The fee is payable on satisfactory completion of the contract. For payment in installments, certification of satisfactory performance at each phase is required. Expenses, as agreed, are reimbursed upon submission of receipt as evidence of payment.</p> |                                |             | Currency : | USD | Fee: | 3,105.00 | Expenses: | 20,700.00 | Total Amount: | 23,805.00 |
| Currency :   | USD                            |             |            |     |      |          |           |           |               |           |
| Fee:   | 3,105.00                       |             |            |     |      |          |           |           |               |           |
| Expenses:  | 20,700.00                      |             |            |     |      |          |           |           |               |           |
| Total Amount:  | 23,805.00                      |             |            |     |      |          |           |           |               |           |
| <p><b>Schedule and Conditions of Payment</b></p> <p>1. US\$11,903 (50% of total amount), upon signature of the contract, September 2016 (tentative).</p> <p>2. US\$11,902 (Up to 50% max balance of total amount), March 2017 (tentative), upon satisfactory completion of work assignment by 28 February 2017, and submission of a final project report, a financial report and an invoice considered satisfactory by UNU-IAS. A financial report shall be substantiated with supporting documents or receipts.</p> <p>Any unspent balance of the provision (expenses) shall be returned to UNU-IAS.</p>  |                                |             |            |     |      |          |           |           |               |           |



53-70 Jingumae 5-chome  
Shibuya-ku Tokyo 150-8925  
Japan

[illegible]



20160204

# Solidaridad

Network Asia


Solidaridad Network Asia Limited  
Room 1318-20 Hollywood Plaza, 610 Nathan Road  
Mong Kok, Kowloon, Hong Kong

Partner Agreement dated 01<sup>st</sup> February, 2017 ("Effective Date")

|     |  |
|-----|--|
| 1.  | Principal: <b>Solidaridad Network Asia Limited</b> , hereafter referred to as " <b>SNAL</b> ", legally represented for this purpose by <b>Dr Shatadru Chattopadhyay</b> , Managing Director.   |
| 2.  | Partner: <b>TERI University</b> , hereafter referred to as the " <b>Partner</b> " legally represented for this purpose by <b>Dr Rajiv Seth</b> , Pro Vice-Chancellor   |
| 3.  | Project reference: the Project is recorded under Solidaridad Project number <b>1462</b>  |
| 4.  | <p>Project purpose: the Project is intended to "<b>Landscape Approach for Land-Water-Community Security</b></p> <p>The white paper is developed in order to establish the need of embedding landscape approach in the River Basin Management. The broad objectives of the project are as follows:</p> <ol style="list-style-type: none"> <li>1. Understanding pressures -To analyze the land-water-community nexus in the mid Gangetic river basin.</li> <li>2. Institutions and governance -To identify the governance structure and its sphere of influence with reference to mid-Gangetic river basin.</li> <li>3. Gender -To understand gender roles in decision making and its implication for resource sustainability in the basin.</li> <li>4. "Landscape Approach" as an investable proposition to thrive the business forward</li> <li>5. Designing a framework for adopting the Landscape Model in the Mid-Ganga Basin.</li> </ol> |
| 5.  | Project description: a detailed Project description entitled " <b>SLM in Ganga Basin</b> ", dated 21 <sup>st</sup> December, 2016 and corresponding budget of <b>INR 30,00,000/-</b> , is attached to this agreement as Annex B (" <b>Project Description</b> ")   |
| 6.  | Contract reference: the Contract is recorded under Solidaridad Contract number <b>SNAL/2017/1462/714</b>   |
| 7.  | Partner Agreement commencement: the Project shall commence on <u><b>1<sup>st</sup> February'2017</b></u>   |
| 8.  | Partner Agreement end date: the Project shall end on <u><b>30<sup>th</sup> September'2017</b></u>  |
| 9.  | Countries: the project shall be performed in the following countries: <b>India</b>   |
| 10. | Commodities: the Project shall cover the following commodities: <b>Sugarcane; Livestock</b>  |
| 11. | Third party contributors <sup>2</sup> : the following external financiers or private donors will contribute funds - either directly or through Solidaridad - to the Project ("Third Party Contributors"): <b>N/A</b>   |



|     |  |                      |   |                    |
|-----|--|----------------------|---|--------------------|
| 12. | Budget: Solidaridad and/or the Third Party Contributors and/or the Partner, if any, will contribute - subject to availability of funds - up to a maximum of <b>INR 30,00,000</b> /- to the Partner for the implementation of the Project. The amount will be made available to the Partner in accordance with the following payment schedule:  |                      |   |                    |
|     | <b>Payment number</b>  | <b>Amount in INR</b> | <b>When</b>   | <b>Contributor</b> |
|     | Payment no. 1  | 12,00,000            | After signing of the agreement by both parties  | SNAL               |
|     | Payment no. 2  | 9,00,000             | In third month after first review meeting ( <b>Note:</b> Release of fund only after a presentation and a documented progress report, with verification documents like attendance sheets, photographs etc. of the primary research by TERI University) | SNAL               |
|     | Payment no. 3  | 6,00,000             | In the sixth month after second review meeting ( <b>Note:</b> Release of fund only after a presentation, with draft version of the white paper by TERI University)  | SNAL               |
|     | Payment no. 4  | 3,00,000             | On final submission of the white paper ( <b>Note:</b> Only after the final release of the paper in the workshop)  | SNAL               |
| 13. | <b>The Partner</b> shall ensure it has adequate and in any event general liability insurance and professional liability insurance and any insurance required by applicable laws for the staff or consultant engage in the Project activities in place in relation to the performance of its obligations under this Agreement. On the request of <b>SNAL</b> , <b>Partner</b> shall provide proof of such insurance cover to the extent that such request relates to the <b>Partner's</b> own insurance obligations."   |                      |   |                    |
| 14. | The funds will be transferred to a bank account of which the bank details will be provided in a Payment Request, for which a template is provided in Annex C.  |                      |   |                    |
| 15. | Reporting, monitoring and auditing: the Partner will adhere to Solidaridad's reporting, monitoring and auditing guidelines as set out in Annex D to this agreement:  |                      |   |                    |
| 16. | Annexes: the parties acknowledge and accept the terms of this agreement, including all referenced Annexes which are hereby incorporated in and made a part hereof, and have executed this agreement as of the date set out at the beginning of this agreement. This agreement is made of this Cover sheet ("Cover Sheet") as well as:<br><br>Annex A: Special Terms and Conditions<br>Annex B: Project Description and corresponding budget<br>Annex C: Format request for payment<br>Annex D: Solidaridad Financial Reporting and Auditing Guidelines<br>Annex E: Solidaridad's Code of Conduct and Good Practices<br><br>and all other documents, exhibits and attachments expressly referenced and incorporated herein. |                      |   |                    |

|     |   |  |
|-----|---|--|
| 17. | This agreement has been entered into on the date stated at the beginning of it. |  |
|     | On behalf of the Partner  | On behalf of <b>Solidaridad Network Asia Limited</b>   |
|     | <br><br><br><b>Dr Rajiv Seth</b><br>Pro Vice-Chancellor, TERI University        | <br><br><br><br><b>Shatadru Chattopadhyay</b><br>Managing Director |
|     | Place:<br>Date:   | Place:<br>Date:  |



*Annex A - Special Terms and Conditions***1. PURPOSE AND SCOPE**

- 1.1 Solidaridad and the Partner will cooperate in the implementation of the Project, in accordance with the agreed upon Project Description, the approved budget and, where applicable, additional agreements and documents.
- 1.2 The Project Description and approved budget are attached to this agreement as Annex B and form an integral part of this agreement.

**2. DURATION**

- 2.1 The duration of the Project is set out in paragraphs 7 and 8 of the Cover Sheet.
- 2.2 The Project shall commence on the date set out in paragraph 7 of the Cover Sheet and shall continue unless and until terminated:
  - 2.2.1 as provided by the terms of this agreement; or
  - 2.2.2 by Solidaridad giving to the Partner not less than 2 weeks' prior written notice.

**3. BUDGET**

- 3.1 Solidaridad has analysed the proposal and approved the financial contribution to the Project as reflected in this agreement.
- 3.2 Solidaridad and/or, if applicable, Third Party Contributors will - subject to availability of funds - contribute up to the amount set out in paragraph 12 of the Cover Sheet for the implementation of the Project. The amount will be made available to the Partner in accordance with the payment Annex set out in paragraph 12 of the Cover Sheet.
- 3.3 All payments subsequent to the payments set out in clause 3.2 above, if applicable, will be subject to the reports and plans received and approved by Solidaridad and as set out Annex D to this Agreement. Any payment requests made by the Partner shall comply with the requirements as set out in Annex C to this Agreement. Where Solidaridad has not received or cannot approve the above reports from the Partner, the Partner will not be entitled to subsequent payments and cannot claim compensation or indemnification from Solidaridad and/or, if applicable, any Third Party Contributors on the grounds of non-compliance by Solidaridad and/or, if applicable, any Third Party Contributors, with the payment schedule as set out above.
- 3.4 In case of any payments to be made directly by the Third Party Contributors to the Partner as part of the Project, the Partner shall submit any payment requests directly to the Third Party Contributor, provided that said payment request shall comply with the requirements set out herein.
- 3.5 The Partner will send a confirmation of receipt within 1 month of receipt of each payment made to it pursuant to this agreement.
- 3.6 The Partner will have to present a receipt or other applicable documentation of each transaction.



- 3.7 The Partner is responsible for taking the necessary measures to deal with the risk of currency fluctuations and inflation. Currency losses cannot be paid for by Solidaridad. The Partner shall immediately contact Solidaridad if the implementation of the Project is endangered as a consequence of currency losses or severe inflation.
- 3.8 If:
- 3.8.1 contributions by Third Party Contributors within the framework of the Project activities by Solidaridad are stopped or reduced for any reason; or
- 3.8.2 Solidaridad no longer has funds available for the Project;
- thereby affecting the liquidity of Solidaridad in such a way that Solidaridad can no longer meet its obligations as stated in this agreement, Solidaridad reserves the right to delay payments, suspend the Project or, if necessary, terminate this agreement with immediate effect. Should this occur, Solidaridad cannot be held responsible for any losses that might ensue from delayed payments or termination of the agreement nor can Solidaridad be held to cover the shortfall of contributions as pledged by the Third Party Contributors. Solidaridad will do this only after informing and consulting the Partner in advance.
- 3.9 The Partner shall ensure that funds made available to it pursuant to this agreement:
- 3.9.1 remain, to the extent practicable, in a bank account which bears interest at a reasonable commercial rate available in the country where the Partner is established or where the Project is performed until they are expended for Project purposes; and
- 3.9.2 are deposited in a bank that is fully compliant with all applicable local and international banking standards and regulations, including capital adequacy requirements.
- 3.10 Any interest on funds disbursed to the Partner under this agreement shall be accounted for and used solely for Project purposes.
- 3.11 Any revenues earned by the Partner from Project activities, including but not limited to revenues from "social marketing" activities, shall be accounted for and used solely for Project purposes. In case of any currency gains as a result of funds made available to the Partner pursuant to this agreement the Partner shall be obligated to forthwith report these currency gains to Solidaridad. The parties shall in good faith discuss the allocation of the currency gains, provided that Solidaridad shall have the right to apply currency gains at its discretion should the parties fail to reach an agreement on the allocation of said currency gains.

#### 4. TAXES

- 4.1 The Partner is strongly encouraged to ensure that this agreement and the purchase of any goods or service using any of the funds made available to the Partner pursuant to this agreement shall be free from taxes and duties imposed under laws in effect in the country where the Partner is established or where the Project is performed. The Partner shall, not later than 90 days after the Effective Date, inform

Solidaridad of the status of the exemption from taxes and duties that may be accorded to assistance under this agreement.

- 4.2 Unless otherwise agreed between the parties, the Partner shall be responsible for all taxes applicable in the country where the Partner is established or where the Project is performed which are incurred as a result of this agreement and the services being provided. The Partner shall indemnify Solidaridad against any losses incurred by Solidaridad arising from any failure by the Partner to comply with its tax obligations tax or any failure by the Partner to comply with this clause 4.2.

## **5. PARTNER'S DUTIES**

- 5.1 The Partner shall manage and complete or provide the Project, and deliver the results of a Project, if any, in accordance with the Project Description and the timelines set out therein, and shall allocate sufficient resources to the Project to enable it to comply with this obligation.
- 5.2 During the term of this agreement, the Partner shall:
- 5.2.1 perform its obligations pursuant to this agreement with all due care, skill and ability and use his best endeavours to promote the interests of Solidaridad and/or any Third Party Contributors;
  - 5.2.2 promptly give to Solidaridad all such information and reports as it may reasonably require in connection with matters relating to the performance of this agreement and/or the execution of the Project.
- 5.3 The Partner shall use reasonable endeavours to ensure that it is available at all times on reasonable notice to provide such assistance or information as Solidaridad may require.
- 5.4 The Partner is not authorized to vary from the Project Description or approved budget without prior written consent from Solidaridad, Solidaridad shall be entitled to cease all payments until both parties have agreed upon the modification and continuation of the Project.
- 5.5 Unless specifically authorised to do so by Solidaridad in writing, the Partner shall not:
- 5.5.1 have any authority to incur any expenditure in the name of or for the account of Solidaridad; or
  - 5.5.2 hold itself out as having authority to bind Solidaridad.
- 5.6 The Partner shall comply with all reasonable standards of safety and comply with the health and safety procedures from time to time in force at the premises where the Project is performed and report to Solidaridad any unsafe working conditions or practices.
- 5.7 The Partner shall comply with Solidaridad's Code of Good Conduct and Practices as set out in more detail in Annex E to this agreement as Solidaridad may update unilaterally and at its discretion from time to time.
- 5.8 The Partner shall:

- 5.8.1 comply with all applicable laws, regulations, codes and sanctions relating to anti-bribery and anti-corruption including but not limited to the Bribery Act 2010 (Relevant Requirements);
- 5.8.2 promptly report to Solidaridad any request or demand for any undue financial or other advantage of any kind received by the Partner in connection with the performance of this agreement;

## 6. **CONFIDENTIALITY AND PUBLICITY<sup>3</sup>**

- 6.1 Each party undertakes that it shall not at any time disclose to any person any confidential information concerning the business, affairs, customers, clients, funders, contributors or suppliers of the other party, except as permitted by this clause 6.
- 6.2 Each party may disclose the other party's confidential information:
  - (a) to its employees, officers, representatives or advisers ("**Representatives**") who need to know such information for the purposes of carrying out the party's obligations under this agreement, provided that each party ensures that its Representatives to whom it discloses the other party's confidential information comply with this clause 6; and
  - (b) as may be required by law, court order or any governmental or regulatory authority. In addition to the foregoing, Solidaridad shall at times be entitled to disclose confidential information to its Supervisory Board. Neither party shall use any other party's confidential information for any purpose other than to perform its obligations under this agreement.
- 6.3 At the request of a party to this agreement, the other party shall:
  - 6.3.1 destroy or return to the disclosing party all documents and materials (and any copies) containing, reflecting, incorporating, or based on the disclosing party's confidential information; and
  - 6.3.2 erase all the disclosing party's confidential information from its computer systems or which is stored in electronic form (to the extent possible).
- 6.4 Solidaridad carries out publicity and informative activities within the framework of its objectives, either under its own name, or together with other Partners, Third Party Contributors or companies. The Partner agrees to cooperate with this type of activity by making available the necessary information or other material and cooperating with possible field visits, when requested by Solidaridad. If requested to do so, the Partner will carry out a baseline assessment at the start of the Project. Solidaridad will make the necessary budget available to the Partner for this purpose.
- 6.5 Either party may publicize the existence of this agreement and inform interested third parties of its purposes, provided that neither party shall disclose, advertise, or publish the terms and conditions of this agreement or any other confidential information as set out in clause 6.1 of this agreement, without the prior written consent of the other party. Parties shall give each other a reasonable period of time to review any communication materials containing references to this agreement and the Project.



- 6.6 The obligations set out in this clause 6 will survive any termination or expiration of this agreement and shall remain in effect for a period of three years from the termination of this agreement.

## **7. INTELLECTUAL PROPERTY**

- 7.1 The Partner hereby assigns to Solidaridad and/or its licensors all existing and future intellectual property rights in any software programs, materials or tools developed or invented by Partner specifically for Solidaridad or Solidaridad's third party licensors or Third Party Contributors ("Bespoke Materials") under this agreement to the fullest extent permitted by law. The Partner undertakes to execute all documents, make all applications, give all assistance and do all acts and things, at the expense of Solidaridad and at any time either during or after the term of this agreement, as may, in the opinion of Solidaridad, be necessary or desirable to vest the intellectual property rights in, and register or obtain trade marks, patents or registered designs in, the name of Solidaridad and otherwise to protect and maintain the intellectual property rights in the Bespoke Materials. The Partner represents and warrants that any individual working on its behalf have given written undertakings in the same terms to the Partner.
- 7.2 The Partner agrees to indemnify Solidaridad or Solidaridad's third party licensors and Third Party Contributors (collectively: "**Indemnified Parties**") and keep the Indemnified Parties indemnified at all times against all or any costs, claims, damages or expenses incurred by the Indemnified Parties, or for which the Indemnified Parties may become liable, with respect to any intellectual property infringement claim or other claim relating to any works or Bespoke Materials supplied by the Partner to the Indemnified Parties during the course of the performance of this agreement and/or the Project.

## **8. INDEMNITY AND INSURANCE**

- 8.1 The Partner shall have liability for and shall indemnify the Indemnified Parties for any loss, liability, costs (including reasonable legal costs), damages or expenses arising from any breach by the Partner of the terms of this agreement including any negligent or reckless act, omission or default in the performance of the Project.
- 8.2 The Partner shall maintain in force during the duration of the Project full and comprehensive insurance policies. The Partner shall ensure that the insurance policies are taken out with reputable insurers acceptable to Solidaridad and that the level of cover and other terms of insurance are acceptable to and agreed by the Solidaridad. The Partner shall on request supply to Solidaridad copies of the insurance policies and evidence that the relevant premiums have been paid.
- 8.3 The Partner shall comply with all terms and conditions of the insurance policies at all times. If cover under the insurance policies shall lapse or not be renewed or be changed in any material way or if the Partner is aware of any reason why the cover under the insurance policies may lapse or not be renewed or be changed in any material way, the Partner shall notify Solidaridad without delay.

## **9. TERMINATION**

- 9.1 This agreement can be terminated with or without juridical intervention by one of the parties if:
- 9.1.1 the other party commits a breach of any term of this agreement which breach is irremediable or (if such breach is remediable) fails to remedy that breach within a period of 30 days after being notified in writing to do so;
  - 9.1.2 when fraud or abuse of the funds by the Partner is observed and ascertained.
- 9.2 Furthermore the agreement can be dissolved if:
- 9.2.1 and as soon as one of the parties is declared bankrupt;
  - 9.2.2 if and as soon as one of the parties is granted a moratorium in respect of its debts;
  - 9.2.3 a creditor or encumbrancer of the other party attaches or takes possession of, or a distress, execution, sequestration or other such process is levied or enforced on or sued against, the whole or any part of the other party's assets and such attachment or process is not discharged within 14 days; or
  - 9.2.4 any event occurs, or proceeding is taken, with respect to the other party in any jurisdiction to which it is subject that has an effect equivalent or similar to any of the events mentioned in this clause 9.2.
- 9.3 In the event of termination by Solidaridad for any reason whatsoever, the Partner shall, within 6 weeks after termination, or any other date as agreed to in writing by Solidaridad, transfer back to Solidaridad any remaining funds at the specific stage of the Project at which the termination of this agreement occurs into the bank account as designated by Solidaridad.
- 9.4 After termination or expiry of the Project and notwithstanding the provisions of clause 9.3, Solidaridad shall be entitled to claim back any remaining Project funds. The Partner will transfer any remaining Project funds to Solidaridad within 6 weeks of the approval of the final report, to the bank account as designated by Solidaridad.
- 9.5 All provisions of this agreement which may reasonably be interpreted or construed as surviving the expiration or termination of this agreement shall survive the expiration or termination of this agreement.

## 10. **DISPUTE RESOLUTION**

- 10.1 In the event a party has a dispute or claim arising out of or relating to this agreement ("**Dispute**"), such party shall first request a meeting between the parties to attempt to resolve the Dispute. If the parties are unable to resolve the Dispute within 10 days after the first meeting, then either party may request that the Dispute be escalated to senior management within each party. If the senior management of the parties cannot resolve the Dispute within 10 days after their first meeting, then either party may submit the Dispute to mediation as set out in clause 10.2.

- 10.2 For the purposes of resolution of each and any dispute that has arisen or might arise further to the present agreement, or any further agreements resulting from the same, the parties shall - or the most diligent party shall - file a request for mediation with a reputable national mediation institute in accordance with the institute's Mediation Rules. If such request fails to result in a comprehensive resolution of the dispute by execution of a settlement agreement, by means of an arbitral award on agreed terms, or by means of a combination of both, the dispute - or at any rate any part thereof not resolved in any of the aforesaid manners - shall be resolved exclusively in accordance with the provisions of clause 111 of this agreement.

#### 11. GOVERNING LAW AND JURISDICTION

- 11.1 This agreement and any dispute or claim arising out of or in connection with it or its subject matter or formation (including non-contractual disputes or claims) shall be governed by and construed in accordance with the laws of the country Solidaridad resides in.
- 11.2 The parties irrevocably agree that the competent court of the country that Solidaridad resides in, shall have exclusive jurisdiction to settle any dispute or claim that arises out of or in connection with this agreement or its subject matter or formation (including non-contractual disputes or claims).

#### 12. MISCELLANEOUS


- 12.1 This document contains the entire agreement between the parties with respect to the subject matter hereof and supersedes all prior understandings with respect thereto.
- 12.2 Any failure to enforce any provision of this agreement shall not constitute a waiver thereof or of any other provision hereof. Additionally, if any provision of this agreement shall be prohibited by or invalid under applicable law, such provision shall be ineffective to the extent of such prohibition or invalidity without invalidating the remainder of such provision or the remaining provisions of this agreement.
- 12.3 This agreement may not be amended, nor any obligation waived, except by a written agreement signed by both parties hereto.
- 12.4 This agreement is not intended, nor shall create, express or imply, any legal relationship between the parties that may be construed as an agency, legal partnership, or otherwise and no party shall be authorized to bind the other party or to act in its name.

|         |   |                            |
|---------|---|----------------------------|
| Annex B | Project description and corresponding budget            | Free template              |
| Annex C | Format request for payment                              | Refer to separate template |
| Annex D | Solidaridad Financial Reporting and Auditing Guidelines | Refer to separate template |
| Annex E | Solidaridad's Code of Conduct and Good Practices        | Refer to separate template |



**PAYMENT REQUEST SOLIDARIDAD**

*The undersigned hereby requests the following payment:*

|  |                                       |
|--|---------------------------------------|
| Name of the organisation / Consultant :  | TERI University                       |
| Contract number and name of the project  | SNAL/2017/1462/714                    |
| Responsible staff member Solidaridad   | Mr. Prashant Pastore                  |
| Currency (EUR/USD), amount: INR  | 12,00,000                             |
| Tranche number x of x  | 1 of 4                                |
| Name and function undersigned:   | Dr. Rajiv Seth<br>Pro Vice Chancellor |
| Email address of undersigned   | rseth@teri.res.in                     |
| Signature:  |                                       |
| Place and date: New Delhi 09 February 2017   |                                       |

| BANK INFORMATION                         |   |
|--|---|
| IBAN number:                             |   |
| Account by name of:                      | TERI University   |
| Account Number:                          | 00031170000088  |
| Bank name:                               | HDFC Bank   |
| SWIFT code or BIC:                       | HDFCIN88  |
| IFSC Code                                | HDFC0000003   |
| PAN Number                               | AAATT4778L  |
| Address of the Organisation / Consultant | TERI University, Plot No. 10, Institutional Area, Vasant Kunj, New Delhi - 110070 |





To be completed by SNAL

**Name and signature responsible staff member:**

Name and signature Managing Director:**Place and date**Place and date





TERI University  
Plot No. 10, Institutional Area,  
Vasant Kunj,  
New Delhi, 110070, India

This is an AGREEMENT between The Trustees of Columbia University in the City of New York, a non-profit New York corporation, for its Center for Sustainable Development of the Earth Institute ("Columbia"), and the school identified above (the "Home School").

#### Background

Columbia provides various resources to institutions of higher education throughout the world that are interested in developing and maintaining Masters degree programs in Development Practice ("MDP"). Columbia's resources include hosting an open-source, virtual library for course-related materials and organizing workshops and conferences on sustainable development. Although Columbia and other institutions offer resources and information to help enable schools to establish and operate MDP programs, each school retains sole responsibility for the design, launch, operation, and administration of its degree programs, including sole authority for, among other things, academic standards and curricula, accreditation, and its employment of faculty and staff.

Columbia has entered into an agreement with The International Fund for Agricultural Development ("IFAD") that will enable IFAD and its implementing partners and funding recipients ("IFAD Partners") to publicize research opportunities that may serve as field practicums for MDP students in various countries. Columbia is hosting a website under which IFAD and IFAD Partners (collectively, the "IFAD Sponsors") may post opportunities, and allow students to identify and apply to the IFAD host organizations for field work of their choosing (the "Website").

The Home School offers a Masters degree in Development Practice, and wishes to enable its students to seek field placements offered by the IFAD Sponsors.

This Agreement sets forth the terms and conditions between Columbia and the Home School regarding the field placements and use of the Website.

1. Field Placements. The Home School acknowledges and agrees that Columbia has no control over and does not guarantee the existence, quality, safety, or legality of the field placements posted on the Website. Columbia does not attempt to screen or conduct any review whatsoever of the field placements. Accordingly, the Home School is solely responsible for:

- (a) determining whether the field placements posted on the Website will fulfill any academic requirements of its MDP program, and setting any terms and conditions with its students, faculty, and staff for their participation in the placements;
- (b) conducting any review of the field placement as the Home School deems appropriate, including, but not limited to, assessing the quality of the offered opportunity, and the safety and adequacy of the placement site and on-the-ground resources offered by the IFAD Sponsors;
- (c) making arrangements directly with the IFAD Sponsors regarding the placement in accordance with the provisions of this Agreement;
- (d) counselling students regarding all applicable safety, health, and academic issues; and

- (e) requiring participating students to meet all program requirements that are set by this Agreement, the Home School, and the IFAD Sponsors.

The Home School will determine in its professional judgment the means and manner for fulfilling each of the general requirements set forth in this Section.

2. Financial Support. For those students who meet IFAD's requirements, IFAD provides Columbia with funding of \$5,000 (U.S.) that can be allocated to each student to help meet personal expenses for travel and other costs of participation in the field placement. IFAD's conditions for the funding are set forth on the Website, as may be updated from time to time. Where a participating student is eligible for the funding, Columbia will provide the \$5,000 (U.S.) in one lump-sum to the Home School, and the Home School will convey the funding, without any deduction (except as may be required by law), directly to the student under arrangements set by the Home School in accordance with its routine practices. Columbia's provision of any funding is conditioned upon Columbia's timely receipt of funding from IFAD. Columbia will have no obligation to provide any other financial or other support to participating students or the Home School, and the cost and expense of travel, accommodation, and other placement activities will be borne solely by the student, the Home School, and the IFAD Sponsor, as they separately determine. All payments by Columbia under this Agreement will be calculated and made in U.S. dollars. The student or Home School, as applicable, will be responsible for any taxes, use, excise, value-added, income, or other levies, duties, and fees of any nature imposed by any governmental, fiscal or other authority. The Home School understands and agrees that not all students will be eligible for the \$5,000 funding.

3. Support. In addition to the requirements set forth elsewhere in this Agreement:

(a) The Home School will provide academic supervision to each student participating in a placement, through a qualified professor based in the Home School. Each student will be responsible for the development of study or other work product ("Student Work Product") as determined by the IFAD Sponsor. The scope and requirements for the placement and Student Work Product will be coordinated by the student, the Home School's academic supervisor, the IFAD Sponsor, and the Columbia administrator for this program prior to the start of the placement. The Home School will support its students in the development of proposed Work Product. The Home School will require participating students to review draft and final Student Work Product with the IFAD Sponsor and the Home School's academic supervisor from time to time as reasonably determined by the IFAD Sponsor.

(b) The Home School will provide other appropriate supervision and support to the students during their field placements, including logistical and administrative support. The Home School will monitor the students' activities and provide support throughout the life cycle of their participation in the program, from initial application, planning, deployment, performance of the field placement, and post-return activities. The Home School will ensure that the students are covered by appropriate insurance during the field placements, including health and medical insurance, and, where appropriate, emergency services and evacuation and repatriation services coverage. The Home School or the student will have sole responsibility for identifying and making arrangements for any appropriate immunizations. In addition, the student or Home School will have sole responsibility for making all necessary arrangements regarding flights, lodging, and other aspects of his or her participation in the field placement.



(c) The Home School will confer with participating students to confirm that their participation in the field placement program is consistent with Home School's own policies and procedures. The Home School will require the students to comply with applicable law and any additional rules and procedures established by the IFAD Sponsor, including confidentiality and treatment of any personally-identifiable information. The Home School acknowledges and agrees (and will ensure that the participating students acknowledge and agree) that the IFAD Sponsors reserve the right at any time (i) to make changes to the field placement (or to cancel or postpone the field placement in part or in whole) at any time and for any reason, with or without notice and (ii) to require withdrawal of a student at any time, including, without limitation, if his or her performance proves unacceptable for any reason.

(d) The Home School will assure that participating students remain a student solely of the Home School during his or her participation in the field placement, and will not be considered a student, agent or employee of Columbia. The student will not be offered any academic credit at Columbia for participation or completion of the field placement.

#### 4. Publication of Results.

(a) Columbia, the Home School, and the IFAD Sponsors will have the right to freely publish all Student Work Product, through websites, e-documents, papers, books, conferences, and any other media or means as Columbia, the Home School or the IFAD Sponsor may deem appropriate in their sole discretion from time to time. The Home School, Columbia and the IFAD Sponsors have the nonexclusive, worldwide, perpetual, irrevocable, royalty-free, fully-paid-up, transferable (with the right to sublicense) right and license to freely use, make, have made, reproduce, disseminate, publish, display, perform and create derivative works based on the Student Work Product in all media of any type, whether electronic or otherwise, whether now known or hereafter devised. Without limitation, Columbia, the Home School and the IFAD Sponsors may use, reproduce, exhibit, distribute, broadcast, and digitize the participating students' and Home School's (including participating faculties' and employees') Student Work Product, images, voices, and other personal characteristics in photographs or in videotapes, audiotapes, or other media in connection with the exercise of the license and rights granted hereunder. The Home School will ensure that all participating students from its institution grant rights and licenses as set forth in this Agreement, as a condition to their participation in any placement. All rights and licenses will be granted without any further payment or other additional consideration on the part of Columbia or the IFAD Sponsors.

(b) IFAD desires to recognize outstanding student work product arising from the student placements each year. The Home School will cooperate with the IFAD Sponsor and Columbia (if requested by Columbia from time to time) to help in the selection of the best qualified work product from students at its institution. Selected work product may be published and made available on-line at Columbia's virtual Masters in Development Practice and on an IFAD website. Students judged by IFAD and Columbia to have produced among the top 10% of work product may be invited by IFAD to its headquarters to receive career development coaching and also may be invited to attend an International Conference on Sustainable Development to make a presentation. The Home School understands that the selection of students will be across all participating schools meeting IFAD's criteria, and there should be no expectation that any students from the Home School will necessarily be among those selected.

(c) Students participating in the field placements will be assessed both by the Home School and the IFAD Sponsor. The Home School shall assure that a copy of all assessments and

evaluations (including student self-evaluations and comments) will be provided to the Columbia administrator for the program.

5. Warranties; Other Obligations.

(a) Each of the Home School and Columbia warrants that it has the requisite power and authority to enter into and perform its obligations under this Agreement. Home School warrants that it is not debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any governmental department or agency.

(b) The Home School will obtain all required consents and approvals from the participating students and (if applicable) any governmental or other authority as required to fulfill all the requirements of this Agreement.

(c) Except for Columbia's express warranties set forth in this Section, COLUMBIA EXPRESSLY DISCLAIMS ALL WARRANTIES, EXPRESS, IMPLIED, STATUTORY OR OTHERWISE, WITH RESPECT TO THE WEBSITE, THE FIELD PLACEMENTS, OR OTHERWISE RELATING TO THIS AGREEMENT, INCLUDING BUT NOT LIMITED TO, ANY IMPLIED WARRANTIES OF MERCHANTABILITY, FITNESS FOR A PARTICULAR PURPOSE, TITLE, NONINFRINGEMENT, OR ARISING FROM A COURSE OF DEALING OR USAGE OF TRADE. COLUMBIA DOES NOT PROMISE THAT ANY DESCRIPTION OF THE FIELD PLACEMENT OR OTHER INFORMATION ON THE WEBSITE IS ACCURATE, COMPLETE, OR UP-TO-DATE, NOR DOES COLUMBIA MAKE ANY REPRESENTATION, WARRANTY, OR COMMITMENT REGARDING THE EXISTENCE, QUALITY, SAFETY, OR LEGALITY OF THE FIELD PLACEMENTS. ACCORDINGLY, STUDENTS AND THE HOME SCHOOL ARE REQUIRED TO CONDUCT ALL APPROPRIATE DUE DILIGENCE BEFORE MAKING USE OF THE WEBSITE OR PARTICIPATING IN ANY FIELD PLACEMENT.

TO THE FULLEST EXTENT PERMISSIBLE UNDER LAW: IN NO EVENT WILL COLUMBIA'S AGGREGATE POTENTIAL LIABILITY TO THE HOME SCHOOL, THE STUDENTS, OR ANY OTHER PERSON ARISING FROM OR RELATED TO THIS AGREEMENT, INCLUDING WITHOUT LIMITATION, IN CONNECTION WITH THE FIELD PLACEMENTS OR USE OF THE WEBSITE, EXCEED \$15,000 (U.S.) IN TOTAL FOR ALL MATTERS TAKEN TOGETHER. UNDER NO CIRCUMSTANCES WILL COLUMBIA BE LIABLE FOR ANY CONSEQUENTIAL, INDIRECT, SPECIAL, EXEMPLARY, PUNITIVE OR INCIDENTAL DAMAGES, OR ANY SIMILAR DAMAGES REGARDLESS HOW CHARACTERIZED (INCLUDING, BUT NOT LIMITED TO, LOSS OF REVENUE, PROFIT, BUSINESS OR GOODWILL, OR PROCUREMENT OF SUBSTITUTE GOODS OR SERVICES) ARISING UNDER OR RELATED TO THIS AGREEMENT, INCLUDING WITHOUT LIMITATION, IN CONNECTION WITH THE FIELD PLACEMENTS OR USE OF THE WEBSITE, EVEN IF COLUMBIA HAS BEEN ADVISED OF THE POSSIBILITY OF SUCH POTENTIAL LOSS OR DAMAGE. THE FOREGOING LIMITATION OF LIABILITY AND EXCLUSION OF CERTAIN DAMAGES WILL APPLY REGARDLESS OF THE SUCCESS OR EFFECTIVENESS OF OTHER REMEDIES.

(d) To the fullest extent permissible by applicable law: The Home School will indemnify, hold harmless and defend Columbia, its trustees, officers, faculty, students, agents, and employees, and their sponsors, subcontractors, and affiliates, against any and all damages, suits, claims, liabilities, judgments, costs and expenses (collectively, "Claims") arising out of or relating to (i) the Home School's breach of any provision of this Agreement or (ii) any Claims of any nature

whatsoever brought or asserted by the Home School's students, faculty, trustees, employees, officers, agents, subcontractors, sponsors, and affiliates, related to their use of the Website, participation in a field placement, or otherwise related to this Agreement, including, but not limited to, Claims for personal or bodily injury (including death) or other damage of any nature.

6. Use of Name. Columbia may use the Home School's name, insignia, and symbols solely for the purpose of publicly acknowledging the Home School's participation in the school placement program or otherwise to meet obligations to the IFAD Sponsor. Other uses must be approved in writing by the Home School. Any use of the name, insignia, and symbols of Columbia, IFAD or the IFAD Sponsors, or their affiliates, or the name of any director, employee, or officer of such parties, for any purpose whatsoever, must be approved in writing in advance by Columbia.

7. Records and Reports.

(a) The Home School will maintain accurate and current accounting, program, and financial records concerning its activities under this Agreement for at least six years following termination of this Agreement. Columbia or its designated representatives will have the right to receive copies of, and review or audit (at Columbia's expense), the Home School's pertinent books and records to confirm compliance with its obligations under this Agreement.

(b) The Home School will provide timely and complete status and other programmatic and (if applicable) financial reports to Columbia at least once every 12 months or as otherwise reasonably requested by Columbia from time to time. Status reports will identify anticipated or actual program delays or issues in reasonable detail.

8. Term and Termination.

(a) The term of this Agreement will begin on the day this Agreement is signed by the last signing party, and will end when the Home School and Columbia have completed their obligations hereunder, unless otherwise terminated in accordance with this Section. Columbia makes no commitment to sustain the Website or the field placement program for any minimal period, and may terminate its activities related to the Website or field placement program at any time without advance notice.

(b) Either party may terminate this Agreement in whole or in part at any time without cause upon at least 90 days written notice. In addition, Columbia may immediately terminate this Agreement upon written notice to the Home School if its agreement with IFAD is terminated for any reason; and either party may immediately terminate this Agreement upon notice if it determines that its continued participation would violate any laws, regulations, policies, or rules applicable to such Party, jeopardize the health or safety of its faculty, students, or staff, or adversely affect its accreditation, licenses, or tax status.

(c) Either the Home School or Columbia may terminate this Agreement for the other party's breach upon at least 60 days written notice, unless during such notice period the party fully cures the breach to the other party's reasonable satisfaction.

(d) In the event of any termination, regardless of cause, or otherwise upon Columbia's request, the parties will cooperate regarding an orderly close of program activities, including arrangements for return of participating students or, if mutually agreeable to the students, Home



School, Columbia, and the IFAD Sponsor, permitting the students to complete their current placements. The Home School will promptly convey to Columbia any reports, Student Work Product then in progress or completed, and other information as may be reasonably requested by Columbia. Within 60 days from any termination of this Agreement (whether for or without cause), the Home School will return to Columbia any unexpended portion of the \$5,000 funding for each participating student provided by Columbia (if such funding was provided).

(e) Any provision of this Agreement (including, but not limited to, license, reporting, and indemnity obligations) that by their nature extend beyond termination will remain in effect in accordance with their terms.

9. Notices.

(a) Notices to the Home School will be sent to the address appearing at the top of this Agreement.

(b) All progress reports and any other written notices to be delivered to Columbia shall be addressed to:

Sponsored Projects Administration  
Columbia University  
615 West 131st street, 6th floor, MC 8752  
New York, NY 10027-7922  
Email: ms-grants-office@columbia.edu

10. Anti-Bribery; Anti-Terrorism.

(a) **Anti-Bribery:** Each of Columbia and Home School agrees that in connection with this Agreement it will not offer or provide money, gifts, or any other things of value directly or indirectly to anyone in order to improperly influence any act or decision relating to the performance of this Agreement, including but not limited to, by assisting any party to secure an improper advantage.

(b) **Anti-Terrorism:** The Home School will not use funds provided under this Agreement, directly or indirectly, in support of activities (a) prohibited by U.S. laws related to combatting terrorism; (b) with or related to parties on the List of Specially Designated Nationals ([www.treasury.gov/sdn](http://www.treasury.gov/sdn)); or (c) with or related to countries against which the U.S. maintains a comprehensive embargo (currently, Cuba, Iran, (North) Sudan, Syria, and North Korea), unless such activities are fully authorized by the U.S. government under applicable law and specifically approved by Columbia in its sole discretion.

11. Other.

(a) The Home School may not assign this Agreement, in whole or in part, without the prior written consent of Columbia. Any attempt to assign without consent is void.

(b) Each of the Home School and Columbia will perform this Agreement in accordance with all applicable laws, rules and regulations, including equal employment opportunity. The Home School will be solely responsible for its compliance with all laws, regulations, and rules regarding its students, employees, and agents.

(c) The Home School is solely responsible for obtaining any consents or permissions from its students, faculty, and staff to enable the transfer of personally identifiable information to Columbia, IFAD and the IFAD Sponsors, and as otherwise reasonably required for the performance of this Agreement.

(d) If Columbia in its discretion permits other organizations other than the IFAD Sponsors to post placement opportunities on the Website, all references to the "IFAD Sponsors" in this Agreement will be deemed to apply with equal force to the additional organizations as if they were specifically named in this Agreement.

(e) If any provision of this Agreement is held to be invalid or unenforceable, but would be valid and enforceable if appropriately modified, then such provision will apply with the modification necessary to make it valid and enforceable in accordance with its objectives. In any case, the remaining provisions of this Agreement will remain in full force and effect.

(f) The failure or delay of either party to insist on strict performance of any term or condition, or to exercise any right or remedy in this Agreement, is not intended, and will not be construed as, a waiver of any such right or remedy.

(g) Nothing in this Agreement constitutes the parties as partners, joint-venturers, co-owners or otherwise as participants in a joint or common undertaking, or allows either party to create or assume any obligation on behalf of the other party for any purpose whatsoever.

(h) This Agreement, together with its attachments (if any), is the complete agreement between Columbia and the Home School regarding its subject matter, and replaces any prior oral or written communications between them. Any modification to this Agreement must be made in writing and signed by authorized representatives of both parties. Any variance from or addition to the terms and conditions of this Agreement in any present or future invoice or other document delivered by the Home School will be void and of no effect unless agreed to in writing by an authorized representative of Columbia. There are no intended third-party beneficiaries to this Agreement; without limitation, no student will be deemed to be a third-party beneficiary.


(i) The parties will make good faith efforts to resolve any dispute concerning this Agreement prior to commencing litigation. Recognizing the international scope of the engagement, for convenience, the parties agree that the laws of the State of New York will govern all rights, duties, and obligations arising from or relating in any manner to this Agreement, without regard to conflict of laws principles. Any dispute, controversy or claim arising out of this Agreement, or the breach, termination or validity thereof shall be settled by final and binding arbitration in New York City in accordance with the UNCITRAL Arbitration rules. However, in the event of a litigation or arbitration commenced by an IFAD Sponsor, the Home School may be required by Columbia to become a party to such dispute in the forum required by such sponsor. The Home School will provide reasonable information and cooperation to Columbia, at the Home School's expense, with respect to any dispute, inquiry, or issue brought by any IFAD Sponsor. This Agreement constitutes a waiver of any right to sovereign immunity from the enforcement of any term, condition, or provision, service of process, suit, jurisdiction, execution, attachment (whether in aid of execution, before judgment or award or otherwise) or other legal or judicial process to which any party might otherwise be entitled, including with respect to the enforcement of any award rendered by an arbitral tribunal constituted pursuant to this Agreement.

(j) In case of a conflict between the provisions set forth above and any attachment to this Agreement, the provisions set forth above will govern, unless otherwise specifically agreed in writing by both parties.

(k) Except as may be prohibited by applicable law or regulation, this Agreement and any amendment may be signed in counterparts, by facsimile, PDF, or other electronic means, each of which will be deemed an original and all of which when taken together will constitute one agreement.

Each of the parties has caused this Agreement to be executed on its behalf by its duly authorized representative.

[ **TERI University, India**]

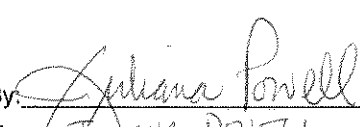
By:  \_\_\_\_\_

Name: **RAJIV SETH**

Title: **PRO VICE CHANCELLOR**

Date: **11 Dec '17**

**The Trustees of Columbia University in the City of New York**

By:  \_\_\_\_\_

Name: **JULIANA POWELL**

Title: **ASSOCIATE DIRECTOR OF OPERATIONS, MS**

Date: **12/12/2017**

University Name:



# ICIMOD

## Institutional Contract

between  
International Centre for Integrated Mountain Development  
and  
TERI University, India

Contract No: CONIS00237

**Purpose** : Nutritional and livelihood security of subsistence farmer in the hilly and Mountain areas of the Hindu Kush Himalayan region  
**Effective date** : 1 August 2017  
**End date** : 30 April 2018

THIS INSTITUTIONAL CONTRACT [Contract] is made on 1 August 2017, by and between the INTERNATIONAL CENTRE FOR INTEGRATED MOUNTAIN DEVELOPMENT ["ICIMOD"], Nepal and TERI University, New Delhi, India ("the Collaborator") to provide seed grants fund for the proposed activities as per the attached ToR.

WHEREAS, the ICIMOD desires to engage the Collaborator to implement the agreed project on the terms and conditions hereinafter set forth,

WHEREAS, the Collaborator is willing to implement the agreed activities and has accepted to undertake the tasks on the agreed terms and conditions,

NOW THEREFORE, ICIMOD and TERI University (hereafter referred to as Parties) agree to enter into this Institutional Contract to achieve the agreed objectives under this cooperation.

NOW THEREFORE THE PARTIES hereby agree as follows:

### 1. Roles and Responsibilities

- The Collaborator shall provide the services specified in Terms of Reference (ToR) as in Annex-I which is an integral part of this Contract.
- The Collaborator shall be responsible for the professional and technical services of highest quality for the implementation of this contract.
- The Collaborator shall notify immediately to ICIMOD in writing if any situation or circumstances that may cause delays, prevent or influence during the course of implementation of the assignment.
- The Collaborator shall deliver a final report which shall set forth in detail, all the work done as per the ToR within the time of the Contract.

### 2. General Conditions

Institutional Contract Between ICIMOD and TERI University

11/12/18

- a. The Collaborator shall not assign, transfer, pledge or make other disposition of this Contract or any other parts thereof or rights, claims or obligations under this contract, without prior written approval of ICIMOD.
- b. During the duration of this Contract, the Collaborator shall not provide goods, works or services [other than services that would not give rise to a conflict of interest] to other organizations without ICIMOD's consent.
- c. Any related documents, reports, estimates or any data compiled or received by the Collaborator under this Contract is the property of ICIMOD, shall be treated as confidential and shall be delivered only to the duly authorized officials of ICIMOD. Under no circumstances shall the contents of such documents or data be made known to any unauthorized person/organization without the prior permission of ICIMOD.
- d. The Collaborator will be responsible for taking out, at its own expenses, medical and personal accidental insurance covering the period of this Contract.

### 3. Budget and Disbursement

- a. The total amount payable to the Collaborator under this Contract is USD 10,000 [in words USD Ten Thousand only]. The details of the budget are provided in the Annex II. This amount has been established based on the understanding that it includes all of the Collaborator's costs and any tax obligation that may be imposed on the Collaborator.

- b. The Collaborator shall not engage in any work, provide equipment, materials or supplies; or perform any other services which may result in any change in excess of the above mentioned amounts without the prior written consent of ICIMOD.

- c. ICIMOD will disburse agreed amount to the Collaborator on the basis of the deliverables received and the fund will be disbursed in two installments, as follows:

| S/N | Deliverables   | Due date      | Payment   |
|-----|--|---------------|---|
| 1   | Upon signing of Contract   |               | US\$ 7,000 [70 % of total budget]                     |
| 2   | • Grant completion report (Annex II)<br>• Final financial report | 30 April 2018 | US\$ 3,000 [30 % of total budget] (Final installment) |

- d. To request a disbursement, the Collaborator shall submit:
- For the first disbursement, the amount will be released on the basis of this Contract, However, the Collaborator needs to submit an advance request with necessary bank details.
  - For the final disbursement, agreed deliverables (Outputs) together with the financial report and supporting documents are to be submitted by the Collaborator.
  - Certified copy of all the actual supporting documents for the expenditure claimed by the collaborator for that particular period. The actual supporting documents should be retained by the collaborator till the end of the required period (refer. Clause 3.g) for necessary audit by ICIMOD or the donor. Photocopies of the actual supporting documents have to be certified by the Head of finance of the collaborator organization for submission to ICIMOD. Without the certified financial statement in the agreed format and the certified copies of all the supporting documents for the expenditure claimed, there will be no financial disbursements. The liquidation of final disbursement should be made by submission of the required financial report and the supporting documents within 1 month after the completion of the contract.
- e. Payment shall be made within 30 days after receipt of verified and approved deliverables by ICIMOD for which payment is requested. ICIMOD reserves the right to withhold payment subject to deliverables completion verification.

- f. Payment shall be made to the Collaborator by an Account Payee Cheque or through bank transfer.
- g. The Collaborator shall maintain accounting books, records, documents and other evidence relating to the Agreement, adequate to show, without limitation, all costs incurred and revenues earned by the Collaborator for the project and the overall progress toward completion of the project. It shall maintain project books and records in accordance with generally accepted accounting standards. Project books and records must be kept in the possession of the Collaborator at least up to 30 April 2024.
- h. The accounts of activities under this Institutional Contract will be subject to financial audit by ICIMOD anytime during the period of the agreement. If deemed necessary, ICIMOD might also assign an external auditor to do the final audit. Similarly, there may also be requests from the project sponsors/donors for a specific audit. In such cases, the audit schedule will be provided to the Collaborator in advance and the Collaborator without any demur shall comply with this provision.

4. Taxation

The Collaborator themselves shall be responsible for compliance with tax laws including withholding tax, income and other indirect taxes for the activities funded through this Contract. Any taxes or other government liabilities arising out of any payments made from this Contract will be the responsibility of the collaborator. ICIMOD is in no case liable for any such taxes or liabilities.

5. Administration

ICIMOD and the Collaborator designate the following as respective focal persons who will be responsible for the coordination of activities under this Contract. The ICIMOD focal person will also be responsible for receiving and approving deliverables and invoices for the payment.

| ICIMOD   | TERI University  |
|--|--|
| Name: HUC Secretariat<br>Address: GPO Box 3226, Kathmandu, Nepal<br>Tel: 977 01 5003222<br>Email: huc@icimod.org | Name: Chubamenla Jamir<br>Designation: Assistant Professor<br>Address: TERI University, New Delhi, India<br>Tel: 91 9990738814<br>Email: chubamenla.jamir@teriuniversity.ac.in |

6. Arbitration

Any dispute arising out of or in connection with this Contract which cannot be settled by mutual agreement shall be submitted for arbitration to three arbitrators. Each party shall appoint one arbitrator each. The two appointed arbitrators thus appointed shall agree on the third one. The arbitrators shall rule on the costs which may be divided between the Parties. The decision rendered in the arbitration shall constitute the final decision of the dispute.

7. Amendment

Any modification or change to this Contract shall require an amendment in writing between both Parties duly signed by the authorized representatives of ICIMOD and the Collaborator.



## 8. Termination

- a. If the Collaborator has not met the applicable conditions required for disbursement in the ToR by the applicable deadline(s), or if the Collaborator fails to achieve the programmatic targets set forth in this Contract within the periods set forth herein, ICIMOD may, at any time, and at its sole discretion, terminate or suspend this Contract, in whole or in part, by written notice to the Collaborator.
- b. Either Party may terminate this Contract upon 30 days prior written notice to the other if it considers termination justified on the grounds that no further purpose would be served by continuing with the activity/project. In the event of such termination the Collaborator shall be compensated for the actual amount of work performed to the satisfaction of ICIMOD on a pro-rata basis. Such notice of termination will only be given by either Party after full discussion with the other Party of the reasons for the proposal to give such notice.

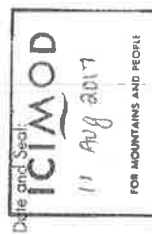
## 9. Entry into Force

This Contract between ICIMOD and TERI University shall enter into force upon signature by the Parties. Each Party will hold a copy of the signed Contract in the English language and having equal validity.

The duly authorized representatives of the Parties affix their signatures below,

For ICIMOD

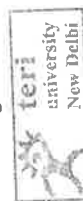
  
**Dr David Molden**  
 Director General



For TERI University

  
**Capt Pradeep Padhy**  
 Registrar

Date and Seal: 21 Aug 17



## Annex I: Terms of Reference (ToR)

### 1. Grant title:

Nutritional and livelihood security of subsistence farmer in the hilly and Mountain areas of the Hindu Kush Himalayan region.

### 2. Grant Period:

1 August 2017 - 30 April 2018

### 3. Partnership Composition:

| Partner Organisation<br>Partner)  | Key contact                                  | Key Roles   |
|---|--|---|
| <b>India</b><br>TERI University, New Delhi (Lead Partner)   | Dr. Chubamenla Jamir                         | Overall project coordinator   |
| <b>Afghanistan</b><br>National Agriculture Education College (NAEC) Kabul, Samtse College of Education, RUB, Bhutan | Dr Hameedullah Ahmadzai<br>Dr. Kinzang Dorji | Project implementation in Afghanistan<br>Project implementation in Bhutan |
| <b>Nepal</b><br>Nepal Agricultural Research Council (NARC)  | Dr. Tek Bahadur Gurung                       | Project implementation in Nepal   |
| <b>Pakistan</b><br>Peshawar Agriculture University,   | Dr. Mohammad Nauman Ahmad                    | Project implementation in the hill and mountain region of Pakistan.       |

### 4. Grant background:

The lead partners, in addition to their expertise in the agriculture and food security in their region, has been selected based on the following criteria:

1. Activities related to agriculture in the HKH region
2. The expertise will complement each other.
  - TERI University – main expertise on agriculture, climate change and food security, SDGs
  - NAEC- Agriculture and soil science
  - Samtse, RUB- Education and training and livelihood (e.g., GNH)
  - NARC, Nepal – Fisheries and livestock
  - PAU, Pakistan – Agriculture, chemistry and nutrition

### 5. Grant Purpose:

The aim of this proposal is to use the seed funding for facilitating interaction and exchange of knowledge between the partner institutes in the HKH region for research and developing pathways for ensuring nutritional security and enhancing livelihood among the subsistence farmers in the Hindu-Kush region. This will involve building partnership between the partner institutes. The project will take a systemic and lifecycle thinking approach in addressing the research questions.

### 6. Proposed Activities:

The Proposed project will have two broad activities:

- Travel of the Project leads for a joint meeting
- Project delivery

### 7. Expected outputs:

- Output 1: Directory of researchers and research expertise working on nutritional security in the HKH region (This includes from existing and potential HUC member Universities)
- Output 2: Compendium of best case studies on nutritional security (or papers) from the researchers in the HKH region identification of key food crops in the region that are major contribution of nutrition
- Output 3: List of research priorities on nutritional security of Hill communities in HKH region
- Output 4: Pathways for research on nutritional security in the region
- Output 5: Policy brief on nutritional and livelihood security in the Hindu Kush region

### 8. Expected outcomes and longer term impact:

- Strengthened partnership among partner institutes
- Roadmap for improving nutritional and livelihood security
- Policy brief – this will serve as a benchmark for policy development in the hill and mountain regions

### 9. Grant Objectives:

The overarching aim of this project is to build a network of researchers and build partnership for developing research pathways on nutritional security of the hill communities in the HKH region.

- The specific objectives are as follows;  
Objective 1: To identify researchers (network building) working on nutritional security in the HKH region

6 | P a g e



WaterEd Australia Pty Ltd ABN 13 112 314 780 trading as the International Centre of Excellence in Water Resources Management (ICE WaRM) of Level 4, 33 King William Street, Adelaide, SA 5000

### Service Agreement – Delivery of short course on Gender, Equity and Water Management

#### 1. Service Provision

You will provide the Services in the timeframe set out in the Schedule, unless agreed otherwise.

We confirm that **Arun Kansal** must be the person who either performs or directly supervises the Services.

If requested by us, you must arrange for each of your staff who is involved in providing the Services to sign a deed of undertaking in a form approved by us, in which the employee agrees to:

- maintain the confidentiality of any Confidential Information (described below);
- do all that is necessary to ensure that intellectual property rights in any technological know-how that you produce or acquire in relation to the provision of the Services to us ("Works") vest in us upon creation; and
- waive any right to claim an infringement of the employee's moral rights in the Works.

For the purposes of this letter, "Confidential Information" includes information which:

- (a) is by its nature confidential;
- (b) is designated by us or our shareholders as confidential; or
- (c) you know or ought to know is confidential,

but it does not include information which:

- (d) is or becomes public knowledge other than by breach of this document or by any other unlawful means;
- (e) is in your possession (and is not held subject to any restriction on disclosure) before the date you receive that information from us or our shareholders; or
- (f) you have independently developed or acquired.

#### 2. Contractor Relationship

We confirm that we do not intend to be in a partnership or joint venture relationship with you, and are not currently in either of these relationships with you.

Unless you otherwise advise us in writing, we are entitled to assume that the persons providing the Services are either your employees or your contractors. To be clear, any persons involved in providing the Services are not our employees.

#### 3. Intellectual Property

You agree to assign all intellectual property rights in the Works to us, or as directed by us. If requested by us, you also agree to do all things required to assign these rights, and agree to ensure that your employees will also do all things required to assign these rights, such as the execution of documents.

We confirm that nothing in this letter affects intellectual property rights that exist prior to the commencement of this contract, **except** where we require the use of, or access to, any of these pre-existing rights in order to gain the benefit of the Services and/or the intellectual property rights in the Works. In this circumstance, you agree to grant us a perpetual and non-exclusive licence for which no royalties will be payable in respect of these rights.

#### 4. Your Obligations

You agree to:

- provide the Services:
  - with due diligence;
  - with expedition;
  - at our direction;
  - to our reasonable satisfaction; and
  - with the degree of skill, care, foresight and prudence that could reasonably be expected from an organisation proficient in providing such services;
- act in good faith and in our best interests;
- ensure that the Services meet quality standards as we reasonably require;



- ensure that your employees, in providing the Services:
  - collaborate with people, as required by us;
  - use all proper and appropriate skills that they possess;
  - comply with any relevant legislation (especially occupational health and safety requirements and anti-discrimination legislation);
  - disclose and provide particulars of any actual, potential or possible conflict of interest arising in connection with the provision of the Services;
  - comply with any applicable policies and procedures determined by us;
  - ensure that the Services are undertaken in accordance with applicable laws; and
  - provide Services within the scope specified in the Schedule.

You must not assign or sub-contract any of your obligations under this contract without our written consent, which we will not unreasonably withhold.

#### 5. Our Obligations

Upon your request, we agree to request that our shareholders, associates and supporters (particularly the education provider shareholders) provide you with cooperation and assistance that you reasonably require.

We also agree to promptly respond to any reasonable request made by you for information.

#### 6. Payment

We will pay you in accordance with the arrangements described in the Schedule.

In order to receive payment for work done, you must send us an invoice by the end of each month. We will pay the amount invoiced within 30 days, unless we notify you in writing that we believe that the Services have not been satisfactorily provided. In this notice, we will also specify matters requiring rectification.

We will reimburse expenses incurred in connection with this contract and detailed in the Schedule, provided that we have first approved your expenditure and receipts accompany the request for reimbursement. Requests for reimbursement and the accompanying receipts should be received by the end of each month.

#### 7. Good and Services Tax

If you are required to pay GST for a supply made to us, we will pay you an amount equal to that GST payment ("GST Payment"), upon you giving us a tax invoice.

If we are required to pay GST for a supply made to us, you must pay us an amount equal to that GST Payment, upon us giving you a tax invoice.

#### 8. Termination

Either we or you can terminate this contract for any reason, or no reason at all, provided we or you give 30 days' notice in writing. If we terminate this contract in this manner, you are entitled to retain:

- all previous instalments of payments made to you; and
- a proportion of the next instalment, equivalent to the proportion of work that you have already carried out.

If you terminate this contract in this manner, we are entitled to retain:

- a proportion of any unpaid instalment, equivalent to the cost of any rework that we may incur.

We have the right to terminate this contract immediately if:

- you have failed to uphold any of your obligations under this contract; and
  - we have given you notice in writing that this default must be remedied within 14 days; and
  - the default is not remedied in that 14-day period; or
- you commit a serious or persistent breach of any provision of this contract; or
- a petition is lodged, an order is made or a resolution is passed for the winding up of you as a company; or
- you appoint a receiver, or a receiver is appointed for you.

Upon termination, you must return all of our property, all media containing Confidential Information in your possession or control, and all of the Works to us.

#### 9. Force Majeure Event

If performance of an obligation under this contract (either by us or by you) is prevented by any event or circumstance beyond our, or your, control, and which the exercise of reasonable care could not



## SCHEDULE

### PROJECT

*To deliver a short course in Gender, Equity and Water Management*

**Name** Arun Kansal

*Dean, Research and Relationships*

*Professor and Head, Coca-Cola Department of Regional Water Studies*

*TERI University, New Delhi*

*Telephone +91 9968875742*

### SCOPE OF WORK

This agreement relates to the 2-day short course developed by TERI University through a previous agreement with ICE WaRM. Both TERI University and ICE WaRM may deliver this course as they see fit. The current agreement provides support for four offerings for the course.

Under this agreement, TERI University agrees to provide the course as detailed in their proposal of July 2017, attached herewith.

### TIME FOR DELIVERY

The course will be delivered as follows:

| S.No. | Location  | Date              |
|-------|-----------|-------------------|
| 1.    | Guwahati  | 14-16 March 2018  |
| 2.    | Hyderabad | 22-23 August 2018 |
| 3.    | Jodhpur   | 08-09 Dec 2018    |
| 4.    | Delhi     | 13-14 July 2019   |

### PAYMENT ARRANGEMENTS:

The fee for this service will be AUD \$62,200 to be payable as follows:

- 40% at the time of signing the contract
- 15% at the end of each programme.

### EXPENSES TO BE REIMBURSED

Additional expenses to be reimbursed subject to prior agreement with ICE WaRM.



reasonably prevent or overcome ("Force Majeure Event"):

- we, or you, will be excused from performance, and will not be liable for that non-performance, to the extent that that performance is prevented; and
- the time for performance of that obligation affected by the Force Majeure Event will be extended.

We, or you, must use all reasonable efforts to mitigate the Force Majeure Event and resume performance as soon as possible.

If the Force Majeure Event prevents performance of either your obligations or our obligations for more than 1 month, and the Force Majeure Event continues, either you or we may terminate this contract by giving at least 5 business days' notice in writing, without prejudice to any antecedent rights.

#### 10. Alternative Dispute Resolution

In the event of a dispute, the party requiring the dispute to be resolved (either you or we) must promptly give the other party written notice providing details of the dispute

Within 5 business days' of receiving this notice, appropriately authorised representatives of each of us and of you must meet and attempt in good faith to resolve the dispute by negotiation.

If we do not reach a resolution, either party may notify the other party that it seeks to resolve the dispute by mediation. Within 5 days of receiving this notice, the parties must refer the matter to a mutually agreed mediator or, if no agreement is reached, to a mediator appointed at either party's request by the President of the Law Society of South Australia.

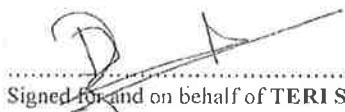
The mediator will determine the procedures to be followed and how the costs will be paid.



Signed by WaterEd Australia Pty Ltd

IAN REID

The terms and conditions set out in this Service Agreement are agreed and accepted:



Signed for and on behalf of TERI School of Advanced Studies

Print Name

**Capt. Pradeep K Padhy (Retd.)**

**Registrar**

**TERI School of Advanced Studies**

**10, Institutional Area, Vasant Kunj**

**New Delhi-110070**

Nothing in this section denies either party the right to seek injunctive relief where failure to obtain this relief would cause irreparable damage to the party.

These provisions regarding alternative dispute resolution do not impair, delay or prejudice the exercise by a party of its rights in this letter (including the right to terminate this contract).

#### 11. Confidentiality

You must not use or disclose any Confidential Information except:

- in the proper performance of your obligations contained in this letter;
- to make a disclosure to such of your officers, employees and advisers that have a legitimate interest in the Confidential Information;
- as may be required by applicable law (in which case, prior to disclosure, the Contractor must consult with us about the form and content of such disclosure); or
- as we may otherwise agree in writing.

#### 12. Entire Agreement

This document contains the entire agreement between you and us.

#### 13. Variation

The terms and conditions set out in this letter can only be effectively varied if the variation is made in writing and is executed by you and us.

#### 14. Jurisdiction and Choice of Law

The law of this contract is the law of South Australia and we both agree to submit to the non-exclusive jurisdiction of South Australian courts.

8 JAN 2018

Dated

22 Dec 2017

Dated

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## CONSORTIUM AGREEMENT

The undersigned:

- (1) Technische Universiteit Eindhoven, Den Dolech 2, 5612 AZ Eindhoven, the Netherlands ("TU/e");
- (2) TERI University, Plot No. 10, Institutional Area, Vasant Kunj, New Delhi - 110 070, India ("TERI University");
- (3) Power Research Electronics B.V., Minervum 7073, 4817 ZK Breda, the Netherlands ("PRE");
- (4) Rural Spark Energy India Pvt Ltd, Registered Office: 90/31B, First Floor, Malviya Nagar, New Delhi-110017 ("RSE");

Whereas:

- (a) The Subsidy Donor has approved a proposal submitted by the Parties to the Subsidy Donor within the framework of the Programme for the execution of the Project, which proposal has been approved by the Subsidy Donor;
- (b) The Parties will collaborate in the execution of the Project;

Agree as follows:

## Article 1 - Definitions

1.1 In the Agreement the following are defined as:

**Project:** Developing and Implementing Smart Grids in India  
**Programme:** Maatschappelijk verantwoord innoveren (MVI)  
**Subsidy Donor:** NWO  
**Coordinator:** TU/e

1.2 Furthermore, the following terms in this Agreement are defined as:

'Access Rights' non-exclusive licences and user rights to Foreground or Background

'Affiliate' any one or more business entities, which is (are) directly or indirectly: (i) owned or controlled by a Party, (ii) owning or controlling a Party, or (iii) owned or controlled by the business entity owning or controlling a Party, at the relevant time. For the purposes of this definition, a business entity shall be deemed to own and/or to control another entity if more than 50% (fifty per cent) of the voting stock of the latter business entity, ordinarily entitled to vote in the election of directors (or, if there is no such stock, more than 50% (fifty per cent) of the ownership of or control in the latter business entity) is held by and consolidated in the annual accounts of the owning and/or controlling business entity.

'Background': Information (other than Foreground) which is held by the Parties prior to their accession to this Agreement as well as copyrights or other intellectual property rights pertaining to such Information, the application for which has been filed before their accession to this Agreement and which is needed for carrying out the Project or for using Foreground.

'Confidential Information' all information of whatever nature or form disclosed by a Party (the 'Disclosing Party') to any other Party (the 'Receiving Party') in connection with the Project after the Commencement Date, and which (a) if disclosed in tangible form, was marked as "Confidential" at the time of such disclosure, or (b) if disclosed orally, was identified as confidential at the time of such disclosure and confirmed in writing within 30 days after disclosure.

'End date': the end date of the Project according to the Subsidy Decision.

'Commencement Date': the date on which the Project may start as approved by the Subsidy Donor in the Subsidy Decision.

'Foreground': results, including information, whether or not they can be protected, which are generated in the Project.

'Intellectual Property Rights' or 'IPR': patent, patent applications and other statutory rights in inventions; copyrights (including without limitation copyrights in Software); registered design

rights, applications for registered design rights, unregistered design rights and other statutory rights in designs; and other similar or equivalent forms of statutory protection, wherever in the world arising or available; but excluding rights in Confidential Information or trade secrets.

'Parties': the parties to this agreement.

'Party' a party to this Agreement

'Agreement': this Agreement and its appendices.

'PCC': the Project Coordination Committee as stipulated in Article 4.

'Project': the project stated in Article 1.1 as defined in the Project Proposal and Subsidy Decision respectively and further specified in the Project Plan.

'Project plan': the plan established by the Parties in which the Project, the budgeting of the Project of each party are described.

'Project Proposal': the proposal for the Project as submitted by or on behalf of the Parties to the Subsidy Donor.

'Project Share' for each Party, that Party's share of the total cost of the Project as initially set out in the Project Proposal and in the Subsidy Decision, unless otherwise agreed by all Parties.

'Programme': the research, development and/or demonstration programme, including later changes and supplements as stated in Article 1.1.

'Subsidy Decision': the decision by the Subsidy Donor in which a financial contribution by the Subsidy Donor with regard to the execution of the Project to the Parties is extended, as well as every agreement with and every decision of the Subsidy Donor that supplements or executes this, including later changes and supplements.

## Article 2 – Aim and duration

- 2.1 The Parties work together for the purpose of executing the Project Proposal.
- 2.2 This Agreement takes effect on the Commencement Date and legally ends after the Parties have fully completed all their obligations to the Subsidy Decision and this Agreement.
- 2.3 If the Subsidy Donor extends the subsidy only as a supplement to the Programme to which one or more conditions or requirements are bound, each Party that as a consequence thereof cannot in all reasonableness be required to execute the Project has the right to dissolve this Agreement in writing with immediate effect with respect to the other Parties, without prejudice to that stipulated in Article 7.1.

## Article 3 - Coordinator

The Coordinator is empowered and charged to be responsible for:

- (a) contacts and correspondence with the Subsidy Donor;
- (b) administration, reporting and chairmanship of the meetings of the PCC and executing the decisions of the PCC;
- (c) supervising the progress of the Project;
- (d) collecting the documents to be delivered by the Parties, such as reports, invoices and cost statements, and submitting these to the Subsidy Donor;
- (e) the timely payments as stated in article 6.2.

## Article 4 - Project Coordination Committee & Valorisation Panel

- 4.1 As quickly as possible after the Commencement Date, the Parties will draw up the composition of a Project Coordination Committee (PCC) comprised of one or two representative of each Party. Once the other Parties have been informed of this, each Party may replace its representative and/or designate a coordinatorised representative. Each representative has a fixed deputy.
- 4.2 Each Party has one vote. Decisions will be made, within or outside a meeting, on the basis of a majority of the votes of all Parties, with the understanding that decisions are approved by the Party whose rights and/or obligations are changed by the decision, all with the exception of a Party that is in default.



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- 4.3 The PCC will be chaired by the representative of the Coordinator. The PCC will decide on the frequency and location of its meetings. In calling a PCC meeting the chairman will send an agenda at least seven (7) calendar days in advance. Minutes will be sent immediately to the representatives of the Parties and will be deemed approved if none of the Parties make a written objection to the Coordinator within fifteen (15) calendar days after receipt.
- 4.4 The PCC is charged with:
- (a) supervision of the Project;
  - (b) making proposals to the Parties concerning:
    - (i) change to the Project plan and the End Date;
    - (ii) notice of default of a Party.
    - (iii) entry of a new Party to the Project and approval of the settlement of the modalities and conditions of the accession of such new Party
- 4.5 Any decision by the PCC may also be taken without a meeting by circulating to all members of the PCC a written document, which is then unanimously confirmed by all members of the PCC. The written document may be sent by the Coordinator by e-mail.
- 4.6 A new Party enters the Project upon signature of the Accession Document by the new Party and the Coordinator. Such accession shall have effect from the date identified in the Accession Document ('Accession Date'). The Accession Document is attached to this Agreement as Attachment 1.
- 4.7 In accordance with the Project Proposal a Valorisation Panel will be set up. If needed or upon request of a Party, any member of the Valorisation Panel will have to sign a confidentiality statement with terms at least as stringent as the confidentiality terms under this Agreement.

#### Article 5 – Responsibilities of the Parties

- 5.1 Each Party shall promptly provide all information reasonably required by a Party or the PCC to carry out its tasks. Furthermore each Party undertakes to notify the other Parties about any significant information, fact, problem or delay likely to affect the Project.
- 5.2 Each Party will to the best of its ability:
- (a) execute in good time the tasks ascribed to it, whether or not together with others, in accordance with the Project Plan, and make available in good time information to the other Parties in accordance with the Subsidy Decision and this Agreement;
  - (b) immediately inform the Coordinator and each of the other Parties about any delay in the execution of its tasks;
  - (c) draw up the reports that have to be submitted to the Subsidy Donor according to the Subsidy Decision with the requirements as contained in the Subsidy Decision such that this can be submitted in good time by the Coordinator to the Subsidy Donor.
- 5.3 Notwithstanding that stipulated in Article 8, each Party will (a) to the best of its ability advance the correctness and suitability of the information and materials (including Background and Foreground) to be furnished to the other Parties and immediately rectify any error therein of which they have knowledge; and (b) not consciously use the rights of third parties as part of the Foreground without being empowered to do so, but a Party is not deemed to have given any guarantee concerning the sufficiency, correctness or suitability of such information or materials nor the absence of any violation of the rights of third parties that may result from the use of such information or materials.

#### Article 6 – Costs and Payments

- 6.1 Notwithstanding everyone's Project Share, each Party contributes its own costs that derive from drawing up the Project Proposal, consultation with the Subsidy Donor and execution of the Project.

- 6.2 All payments shall be made without undue delay by the Coordinator after receipt of funds from the Subsidy Donor in accordance with the accepted budget by the Subsidy Donor and the following payment schedule:

After the start of the project € 8.000,-- will be paid to TERI University. Subsequently, with commencement of the second and with commencement of the third year another € 8.000,-- will be paid to TERI. After approval by the Coordinator of the final report to be provided by TERI University, another € 3.000,-- will be paid. The remainder of € 3.000,-- will be paid after final and full approval of the Project by the Subsidy Donor.

- 6.3 PRE will contribute € 47.000,-- (forty seven thousand EURO) in cash to the Project. This contribution will be spent by PRE on materials to be used for the Project. PRE will provide the Coordinator with copies of the invoices. If PRE spends less than € 47.000,--, the remainder will be paid to the Coordinator without undue delay.
- 6.4 The Coordinator is entitled to withhold any payments due to a Party identified by the PCC to be in breach of its obligations under this Agreement or the Subsidy Decision or to a party, which has not yet signed this Consortium Agreement.

#### Article 7 – Confidentiality and Publications

- 7.1 Each Receiving Party will:
- (a) not use the Confidential Information for any other purpose than in accordance with the Subsidy Decision and this Agreement; and
  - (b) keep the Confidential Information secret and not make it known to a third party without prior written permission from the Disclosing Party;

provided that the aforementioned obligations do not apply to information whereby a Party is able to show that this:

- (i) was published or otherwise made publicly available at the moment of receipt;
- (ii) was published or otherwise made publicly available after receipt through no fault of the Receiving Party;
- (iii) was already without any restriction in possession of the Receiving Party;
- (iv) was legally obtained from a third party;
- (v) was developed by the Receiving Party without any use whatsoever having been made of the information of the other Party;
- (vi) must be extended in accordance with the Subsidy Decision to the Subsidy Donor.

If any Party becomes aware that it will be required, or is likely to be required, to disclose Confidential Information in order to comply with applicable laws or regulations or with a court or administrative order, it shall, to the extent it is lawfully able to do so, prior to any such disclosure: (i) notify the Disclosing Party; and (ii) comply with the Disclosing Party's reasonable instructions to protect the confidentiality of the information.

- 7.2 A copy of the proposed publication in connection with or relating to the Project shall be sent to the Parties at the earliest time possible. Any of the Parties may object to the publication within 14 days after receipt of a copy of the proposed publication on any of the following grounds: (i) that they consider that the protection of the objecting Party's Foreground and/or Background would be adversely affected by the proposed publication or (ii) that the proposed publication includes Confidential Information of the objecting Party.

The proposed publication shall not take place until the expiry of the above period of 14 days. In the absence of any written objection within the above mentioned period, it is deemed that the Parties agree to the proposed publication. In the event that an objection is raised on any of the above defined grounds within the above period of 14 days, the Party proposing the publication and the Party objecting shall seek in good faith to agree a solution on a timely basis whereby such objection is resolved and the scientific quality is

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maintained. The Parties undertake to cooperate to allow the timely submission, examination, publication, defence of any dissertation or thesis for a degree.

The publication may be postponed for a maximum period of six (6) months, as from the date the request for publication was made, in order for the protection of Intellectual Property Rights.

- 7.3 Submissions of papers to conferences with peer review, submissions of papers to journals with peer review, submissions of theses for review, etc. are not considered to be dissemination, and do not require advance notice, if both of the following conditions apply:
- a) The submitting Party has obtained reasonable assurance that the review procedure respects the confidentiality requirements applied in typical scientific review processes.
  - b) At the same time as submission for review, or earlier, the submitting Party makes a copy of the submission available to the other Parties and notifies the other Parties of this availability and, if applicable the date of the conference with peer review to the paper is submitted or the expected publication date of the journal. Any other party may object after this notification, as per the procedures of Article 7.2.
- 7.4 The secrecy obligations in this article shall be valid for the duration of this Agreement and for a period of 5 (five) years after termination of this Agreement.

#### Article 8 – Liability and Indemnity

- 8.1 Liability by each Party towards the other Parties is limited to once that Party's Project Share, except in case of wilful act or gross negligence. In no event shall any Party be liable in connection with this Agreement for any of the following, however caused or arising, on any theory of liability and even if such Party was informed or aware of the possibilities thereof:
- (a) Loss of profits, revenue, income, interest, savings, shelf-space, production and business opportunities;
  - (b) Lost contracts, goodwill and anticipated savings;
  - (c) Loss of or damage to reputation or to data;
  - (d) Costs or recall of products;
  - (e) Any type of indirect, incidental, punitive, special or consequential loss or damage.
- 8.2 Insofar as the Subsidy Donor in accordance with the Subsidy Decision makes claim to a repayment of the Subsidy, indemnity or damages on behalf of one or more Parties, each Party against whom a claim can be attributed for a shortcoming or that Project Share to which that claim relates indemnifies each of the other Parties against that, on the understanding that the liability of that Party is at all times restricted to its Project Share. The excess will be borne by the other Parties in proportion to their Project Share. Insofar as it cannot be established that the claim can be attributed to the shortcoming of one or more Parties, the amount to which the Subsidy Donor in accordance with the Subsidy Decision makes a claim will be borne by all Parties in proportion to their Project Share.
- 8.3 Should a Party make use of any Foreground or apply such or give third parties the opportunity to use such or have it used or apply it, that Party shall indemnify the other Parties for claims made on its behalf or any claims of third parties with regard to any such damage.

#### Article 9 - Background and Foreground

- 9.1 Background remains exclusive to the Party to whom this belongs.
- 9.2 The Party who carried out the work generating the Foreground, or on whose behalf such work was carried out, has a right of first refusal to obtain ownership on such Foreground. That Party is entitled to obtain a patent or any other IPR available to protect its Foreground.

If the work generating particular Foreground is carried out by or on behalf of more than one Party (each such Party being a "Contributor" and such Parties together being the "Contributors"), and if the contributions to or features of such Foreground form an indivisible part thereof, such that

under applicable law it is not possible to separate them for the purpose of applying for, obtaining and/or maintaining and/or owning a patent or any other IPR protecting or available to protect such Foreground, the Contributors agree that, subject as expressly provided to the contrary in this Section 9.2, all patents and other registered IPRs issued thereon, and any other IPRs protecting such Foreground, shall be jointly owned by the Contributors.

Unless otherwise agreed between the Contributors:

1. Each Contributor shall be entitled to use the joint Foreground for research and educational purposes on a royalty free basis.
  2. Each Contributor shall be entitled to use the joint Foreground for commercial purposes with prior written consent and paying a fair and reasonable compensation to the other Contributors.
- 9.3 If the Party/ies generating the Foreground is/are not interested to obtain protection or any other IPR available, the other Parties have the right to obtain a patent or any other IPR available to protect such Foreground against fair and reasonable compensation to be agreed upon between the Party/ies generating the Foreground and the Party protecting the Foreground.
  - 9.4 Each Party is entitled to use the Background and Foreground of each of the other Parties to execute the Project. This right is without charge, non-exclusive, non-transferable and does not contain the right to extend sub-licences to third parties.
  - 9.5 Insofar as necessary for the Use of its own Foreground and subject to the rights of third parties, each Party is entitled on the basis of fair and reasonable conditions to be agreed upon to obtain Access Rights from each of the other Parties for the use of their Foreground.
  - 9.6 Each Party may use the Foreground on royalty free conditions for research and educational purposes.
  - 9.7 A request for Access Rights can be made up to 6 months after termination of the Project.
  - 9.8 The following shall apply in respect of new Parties joining the Project:
    - (a) Each Party joining the Project in accordance with the provisions of this Collaboration Agreement after the Commencement Date will be granted access rights, except as set out in paragraph (b) below, as provided for in articles 9.1 to 9.4 above, effective as from the Accession Date.
    - (b) In respect of Foreground arising from work carried out under the Project before the Accession Date, each such Party shall enjoy access rights for execution of the Project and for use outside the Project as the access rights to Background provided for in articles 9.1 to 9.4 above.

#### **Article 10 – No transfer and outsourcing; Liability for Group Companies**

- 10.1 Without prior written permission from the other Parties, a Party is not empowered, with the exception of an Affiliate, to:
  - (a) transfer in full or in part the rights and/or obligations that it derives from this Agreement;
  - (b) to outsource in full or in part the performance of any of the work based on this Agreement.
- 10.2 Each Party remains liable for fulfilling the obligations for its Affiliates that derive from the Subsidy Decision and this Agreement.
- 10.3 If and as soon as a Affiliate no is longer an Affiliate of a Party, the rights of the Affiliate become null and void as stipulated Article 9.2- 9.6 , but the rights of the Parties as stated in the stipulations remain.

#### **Article 11 – No exclusiveness**

Notwithstanding the obligations that derive for the Parties from the Subsidy Decision and this Agreement, each Party is free at all times whether by assignment, with subsidy or in cooperation with a



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third party to operate in the same area with a third party as the same area to which the Project relates and in any other area.

#### Article 12 – Termination

12.1 Notwithstanding that stipulated in this Agreement, none of the Parties is empowered to terminate this Agreement or its participation in the Project unless the Party has obtained the prior written approval of the other Parties and the Subsidy Donor.

12.2 If and when:

- (a) a Party is culpable of failing to fulfil its obligations under this Agreement or the Subsidy Decision and is unable to rectify this shortcoming within sixty (60) days after being considered, in writing, to be in default by the other Parties; or
- (b) a Party is declared bankrupt or has been given a suspension of payment or application for such has been submitted to the court,
- (c) has transferred control of the Party or its business directly or indirectly to a third party;
- (d) the business of a Party has been shut down or liquidated; or
- (e) the Subsidy Decision has been withdrawn by the Subsidy Donor on behalf of a Party;

the other Parties have the joint right to dissolve this Agreement in writing and with immediate effect in full or in part on behalf of that Party.

12.3 If and insofar as this Agreement is dissolved on behalf of a Party on the grounds of Article 12.2:

- (a) the other Parties are entitled, subject to approval by the Subsidy Donor, to take over the rights and obligations of that Party from the Subsidy Decision and this Agreement, to redistribute and/or transfer to a third party the Project Share and to receive the payments from the Subsidy Donor relating thereto; and
- (b) the rights of that Party and its Affiliates become null and void as stated in Article 9 but the rights of the other Parties as stated in the stipulations remain.

#### Article 13 – Whole agreement; changes

13.1 Everything that has been agreed among the Parties before or on the Commencement Date concerning the subject of this Agreement has been established exclusively in this Agreement. This Agreement may only be changed or supplemented by virtue of a written agreement legally signed by the Parties.

13.2 In the event of mutual conflict the following prevail, in this order: (1) the Programme; (2) the Subsidy Decision; (3) this Agreement; (4) the Project Plan.

13.3 If any stipulation of this Agreement is, in the opinion of the competent court or institution, null and void, not binding, invalid, prohibited or not executable, the other stipulations of this Agreement will insofar as possible remain fully effective and the Parties will attempt to reach agreement on an alternative stipulation to replace the stipulation considered null and void, not binding, invalid, prohibited or not executable.

#### Article 14 – Disputes and Applicable Law

14.1 All disputes that may arise pursuant to this Agreement, or to further agreements that may be the consequence thereof, will be arbitrated by the competent court in the Netherlands.

14.2 Dutch law applies to this Agreement.

As drawn up and signed in five copies,

(1) Technische Universiteit Eindhoven

name : drs. ing. J. Hermus

position : Managing Director Department of Industrial Engineering & Innovation Sciences


signature:

date : .....

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(2) TERI University

name : Rajiv Seth  
position : Registrar

signature:   
Gp Capt. Rajiv Seth (Retd.), Ph.D  
Dean (Admin) and Registrar  
TERI University  
131, Indraprastha Area  
Vasant Vihar, New Delhi-110070

date : 01 June 2015

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(3) Power Research Electronics B.V.

name : Menno Kardolus  
position : Chief Executive Officer

signature:

date : .....



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(4) Rural Spark Energy India Pvt Ltd

name : Evan Mertens

position : Director of Technical Innovation

signature:

date : .....

Name - SAGAR BAI  
Bank - ICICI Bank Limited  
Branch - Sabzi Mandi, Kota. (Fayaz Khan)  
A/c no - 688301500091  
IFSC - ICIC0006883.

201601203



**United Nations University**  
53-70 Jingumae 5-chome  
Shibuya-ku Tokyo 150-8925  
Japan  
**Institutional Contractual Agreement**

| Organizational Unit | Contract ID                    | Amendment # |
|---------------------|--------------------------------|-------------|
| UNU-IAS             | 611UU-000000000000000000001055 | 0           |

Contract entered into between the United Nations University and Name (hereinafter referred to as the Contractor)

Name : TERI University

Address : 10 Institutional Area, Vasant Kunj  
New Delhi Delhi (UT) 110070  
India

Telephone : +911126122222

Fax : +911126122874

Email : reeth@teri.res.in

**Terms of Reference or Work Assignment**

Under the general guidelines of the Director of UNU Institute for the Advanced Study of Sustainability (UNU-IAS) and under the direct coordination of Dr. Pankaj Kumar, Postdoctoral Fellow and Yoshifumi Masago, Research Fellow, UNU-IAS, the contractor will act as the Local Coordinator for the case study in Lucknow, India of the UNU-IAS "Low Carbon Urban Water Environment Project". The project is supported by Ministry of Environment, Japan and led by the Water and Urban Initiative of the UNU-IAS.

The funds provided in this contract will be used for the following activities and for the expenditures for the period from 01 September 2016 to 28 February 2017. The work plan for this period is attached as Annex 2.

- 1) Literature review and interviews
  - 1.1 Review and check existing reports, studies and documentation for: institutional/ policies/ laws/ management set-up for different sectoral water uses; social/ local wisdom on water uses; land use planning; wastewater treatment facilities; water resources management; existing condition of the urban environment; plans of the urban development
  - 1.2 Public perception and participation on water management and water uses, etc.
- 2) Secondary data collection and data entry of water and soil parameters collected in the study area as listed in Annex 1
  - 2.1 Water quality (at least for past 15-20 years)
  - 2.2 Soil parameters
  - 2.3 Hydro-meteorological data (from 1980 to most recent)
  - 2.4 Existing reports, studies and documentation
  - 2.5 Water systems (current and future plan)
  - 2.6 Population Projection
- 3) Digitations, GIS processing and satellite imagery interpretations as listed in Annex 1
- 4) Establish contacts with governments and research institutes at both national and local level in charge of wastewater management and flood control in Lucknow and organize a stakeholder workshop in close coordination with UNU-IAS

Duration of contract: from 01 September 2016 to 28 February 2017.

The contractor shall submit to UNU-IAS the required reports according to the following schedule:

- (1) A final project report (by 28 February 2017)
- (2) All original data and other documents collected (as soon as each becomes available)
- (3) A financial report certified by the authorized financial official of the organization, substantiated with supporting documents such as receipts and an invoice (by 28 February 2017)

Budget estimation (see Annex 2 for details)

- 1) Literature review and interviews
  - 1.1 Review and check existing reports, studies and documentation: US\$1,325
  - 1.2 Public perception and participation on water management and water uses, etc.: US\$1,500
- 2) Secondary data collection and data entry of water and soil parameters collected in the study area
  - 2.1 Water quality: US\$3,600



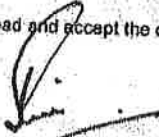
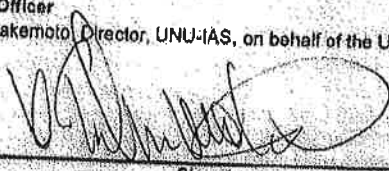


| Organizational Unit  | Contract ID                    | Amendment # |            |     |      |          |           |           |               |           |
|--|--------------------------------|-------------|------------|-----|------|----------|-----------|-----------|---------------|-----------|
| UNU-IAS  | 611UU-000000000000000000001055 | 0           |            |     |      |          |           |           |               |           |
| <p>2.2 Soil parameters:US\$1,550</p> <p>2.3 Hydro-meteorological data:US\$2,400</p> <p>2.4 Existing reports, studies and documentation:US\$4,150</p> <p>2.5 Water systems:US\$1,500</p> <p>2.6 Population Projection:US\$1,126</p> <p>3) Digitations, GIS processing and satellite Imagery Interpretations:US\$2,550</p> <p>4) Establish contacts with governments and research institutes and organize a stakeholder workshop:US\$1,000</p> <p>5) Institutional overhead (15%):US\$3,105</p> <p>Total amount:US\$23,805</p> <p>Any unspent balance of the provision (expense) shall be returned to UNU-IAS.</p>   |                                |             |            |     |      |          |           |           |               |           |
| <p><b>Duration of Contract</b></p> <p>This contract shall commence on <u>01-Sep-2016</u> and shall expire on the satisfactory completion of the services described above, but not later than <u>28-Feb-2017</u>, unless sooner terminated under the terms of this contract. This contract is subject to the conditions attached.</p>   |                                |             |            |     |      |          |           |           |               |           |
| <p><b>Consideration</b></p> <p>As full consideration for the services performed by the Contractor under the terms of this contract, the United Nations University shall pay the Contractor upon certification that the services have been satisfactorily performed:</p> <table> <tr> <td>Currency :</td><td>USD</td></tr> <tr> <td>Fee:</td><td>3,105.00</td></tr> <tr> <td>Expenses:</td><td>20,700.00</td></tr> <tr> <td>Total Amount:</td><td>23,805.00</td></tr> </table> <p>The fee is payable on satisfactory completion of the contract. For payment in installments, certification of satisfactory performance at each phase is required. Expenses, as agreed, are reimbursed upon submission of receipt as evidence of payment.</p> |                                |             | Currency : | USD | Fee: | 3,105.00 | Expenses: | 20,700.00 | Total Amount: | 23,805.00 |
| Currency :   | USD                            |             |            |     |      |          |           |           |               |           |
| Fee:   | 3,105.00                       |             |            |     |      |          |           |           |               |           |
| Expenses:  | 20,700.00                      |             |            |     |      |          |           |           |               |           |
| Total Amount:  | 23,805.00                      |             |            |     |      |          |           |           |               |           |
| <p><b>Schedule and Conditions of Payment</b></p> <p>1. US\$11,903 (50% of total amount), upon signature of the contract, September 2016 (tentative).</p> <p>2. US\$11,902 (Up to 50% max balance of total amount), March 2017 (tentative), upon satisfactory completion of work assignment by 28 February 2017, and submission of a final project report, a financial report and an invoice considered satisfactory by UNU-IAS. A financial report shall be substantiated with supporting documents or receipts.</p> <p>Any unspent balance of the provision (expenses) shall be returned to UNU-IAS.</p>  |                                |             |            |     |      |          |           |           |               |           |





## Institutional Contractual Agreement

|   |                                |                               |
|---|--------------------------------|-------------------------------|
| <b>Organizational Unit</b>  | <b>Contract ID</b>             | <b>Amendment #</b>            |
| UNU-IAS   | G11UU-000000000000000000001055 | 0                             |
| <b>Acknowledgement</b>  |                                |                               |
| I acknowledge that I have read and accept the conditions set out on the attached.   |                                |                               |
| <br>_____<br><b>Signature of Authorized Representative of Contractor</b> |                                | <u>16 August 2016</u><br>Date |
| <b>Certifying Officer</b>   |                                |                               |
| Kazuhiro Takemoto, Director, UNU-IAS, on behalf of the United Nations University  |                                |                               |
| <br>_____<br><b>Signature</b>   |                                | <u>15 August 2016</u><br>Date |

# Auburn University Professional Services Contract

AU Department Contact : Alice Carroll, Phone : 8442793, Email : carroma@auburn.edu, PSC : PC026916

1. The Contractor, acting in support of Contract, **NSF Award #1628014 - Dept. contribution**, at Auburn University will provide the following professional services:

Will collaborate with the PI Kelly Alley on creation of survey, will hire and monitor students in field research in India, and will assist in recruitment and monitoring of graduate student for project.

2. The rendering of services will provide: (opinion, report, recommendation, etc):

Data collected from field research and production of production of reports and publications from data analysis.

3. The Contractor will provide the above services on the following dates or time period:

Start Date: 08/14/2017, End Date: 08/31/2018

4. The Contractor will provide the above services at the following location(s):

Delhi, India

5. The Contractor will be compensated by Auburn University for the above services at the rate:

\$2500 per year.

6. The Contractor will receive compensation for services provided according to the following schedule:

1st payment: 2500, August 2017 and 2nd payment: 2500, January, 2018.

7. The Contractor will **not** be reimbursed for travel expenses.

If travel expenses are to be paid to the contractor, a signed statement of expenses including an itemization of the actual transportation, lodging, meals and miscellaneous expenses with appropriate receipts is to be submitted by the Contractor.

## Statement of Disclosure of Public Relationships

In accordance with Alabama State law Act 2001-955, Section 4(a)(1)(2), and (3) Auburn University policy requires the disclosure of certain information regarding vendors and their relationships with the University.

By submitting your bid, contract, proposal, or grant, you affirm under oath that no such relationships exist. If such relationships do exist and the contract value will exceed \$5000, you will be required to submit a more detailed form in association with this Bid/Proposal/Contract/Grant available on <http://www.auburn.edu/pps>. In the case of competitive bids, this disclosure is only required from the person receiving the contract. The contract will not be awarded to any person refusing to disclose the required information if relationships do exist.

## Equal Opportunity/Non-Discrimination

Both parties of this contract will comply with all applicable federal and state regulations, rules, and laws, including Executive Order 11246, 504 ADA, and 38 USC 4212 relative to equal opportunity and non-discrimination, unless this agreement is exempted under the rules, regulations, or orders of the Secretary of Labor.

This contract has been reviewed and accepted by the undersigned contractor:



Sukanya Das



SSFA/2017/AsiaPacific/TERI University

POW 2016-2017: Sub-programme: Resource Efficiency – Sustainable Consumption and Production

Expected Accomplishment(s): C - Enabling conditions for promoting more sustainable consumption choices and lifestyles are enhanced

Output(s): 3. Life-cycle based information tools and methodologies such as ecolabelling, certification, and product sustainability indicators developed with, and provided to, governments, businesses and other stakeholders

Title of the approved PRC project: Internationally recognized information tools to enable individual and institutional consumers to make informed choices

Grant: M1-32ECL-000008 WBS Element: SB-000939.04.02  
Functional Area: 14AC0006 Cost Centre: 11228  
Cost: \$17,000. -

Small-Scale Funding Agreement

THIS SMALL SCALE FUNDING AGREEMENT (SSFA) and its annexes (this "Agreement") is made on 03 August 2017

BETWEEN:

United Nations Environment Programme (hereinafter referred to as "UNEP" represented by the Regional Office for Asia and Pacific), an international inter-governmental organisation established by the General Assembly of the United Nations.

AND:

TERI UNIVERSITY (hereinafter referred to as "TERI U"), a non-profit making organization having its office at Plot No. 10, Institutional Area, Vasant Kunj, New Delhi, Pin- 110070, India,

UNEP agrees to co-operate with TERI U with respect to the pilot project "Application of life cycle thinking approach for enhancing the fruits and vegetables supply chain: A pilot study from Nagaland, India" in India. Annexes to this Agreement, including the attached Project Document/Implementation Plan (Annex-A) and Budget (Annex-B) are part of this agreement.

1. Project/Programme objectives to which the small-scale funding contributes:  
To improve sustainability of the vegetables and fruits supply chain in Nagaland, India, by employing a life cycle thinking approach.
2. Activity or activities to be carried out with the support of the small-scale funding
  - Mapping the vegetable supply chain in Nagaland and identify sustainability hotspots.
  - Identifying measures/strategies/practices for enhancing the environmental and socio-economic sustainability.

DT

PP



- Conducting a pilot study to build capacity and evaluate the potential benefits of ensuring SCP through a LC thinking approach in the fruit and vegetable supply chain.

3. Expected results/outputs to be achieved:

- Report on fruit and vegetable supply chain mapping
- Report of the hotspot analysis, including details description of actors and related activities per hotspot
- Report on indicators for assessment of the pilot study
- Report on capacity building and training workshop for value chain actors
- Report on capacity building workshop for local governments and other stakeholders
- Final outcome report and recommendations for policy makers

4. Starting and ending dates for implementation of the activities:

|            |                        |
|------------|------------------------|
| Start date | Date of last signature |
| End date   | 30 November 2018       |

5. UNEP shall provide *TERI U* with funds up to a maximum amount of **US \$ 17,000**. The resources provided by UNEP will only be used by *TERI U* in pursuit of the project/programme objectives and for the activities to achieve the results as agreed to in 1 – 3 above. Funds will be made available in *two instalments* as indicated below and upon receipt of a payment request in *USD*, as follows:

Schedule of payments

Date

| Instalment N. | Deliverable as per Budget and Implementation Plan  | Amount (USD)  | Expected Date of Payment   |
|---------------|--|---|--|
| 1             | Upon submission of work plan   | US\$ 8,500 (eight thousand five hundred US dollars) | As soon as possible but no sooner than 15 days after this SSFA's effective date  |
| 2             | Upon validation of deliverables 2.3, 2.4, 3.1, 3.2, and final progress report and expenditure report | US\$ 8,500 (eight thousand five hundred US dollars) | No sooner than 15 days after submission and acceptance of the relevant progress and final expenditure reports (expected: 15 December 2018) |



The funds shall be deposited in:

**Bank Name and Address**

Name: State Bank of India  
Address: Pragati Vihar (20511),  
Ground Floor, Core 6, Scope Complex,  
Lodi Road, New Delhi – 110 003

**Swift code:**

SBHYINBB012

**Account:**

Account name: TERI UNIVERSITY  
Account number: 52142908571

**Signatories:**

Capt. Pradeep Padhy, Registrar,  
TERI University

6. Within 1 month upon expiry of this Agreement, *TERI U* shall refund to UNEP any unspent balance of the above funds.

7. UNEP and *TERI U* will cooperate to monitor the progress of this project/programme. *TERI U* shall submit to UNEP, substantive progress reports; financial reports and a final report at or near the given dates below:

Reports

Date

| Submission Dates | Relevant Reports   |
|------------------|--|
| 10 December 2017 | Interim Progress and Expenditure Reports (Annex 2 and 3) |
| 15 March 2018    | Interim Progress Reports (Annex 2)                       |
| 30 November 2018 | Final Progress and Expenditure Reports (Annex 5 and 6)   |

All administrative work related to the project should be communicated to the Registrar, TERI University while all the communications related to research and the pilot will be communicated the project Principal Investigator (PI).

The Project Principal Investigator (PI) will be Dr Chubamenla Jamir and the Project Co-PI will be Dr Suresh Jain, Department of Energy and Environment TERI University.

8.a. *TERI U* shall submit financial statements on the use of funds provided, as per UNEP's required format and within the agreed timeframe.

8.b. *TERI U* shall keep accurate and up-to-date records and documents in respect of all expenditures incurred with the funds made available by UNEP under this Agreement, to ensure that all expenditures are in conformity with the provisions of this Agreements and its annexes thereto.

8.c. Upon completion of the Project/or Termination of this Agreement, *TERI U* shall maintain the records for a period of at least 3 years unless otherwise agreed upon between the Parties.

8.d. UNEP has the right, at its own expense, to have the records of *TERI U* related to this cooperation reviewed and audited.

9.a. *TERI U* shall consult with UNEP regarding the Intellectual Property Rights as appropriate.



- 9.b. TERI U shall only use the UNEP name, logo and emblem in connection with the Project/Programme with the prior written consent of UNEP.
- 9.c. In no event will authorization of the UNEP name or emblem, or any abbreviation thereof, be granted for commercial purposes.
10. This agreement can only be changed through an agreed modification in writing.
11. Either party may terminate this Agreement upon serving a written notice to the other party at least 1 month prior to such termination.
12. TERI U shall comply with all the above mentioned provisions and agrees that UNEP reserves the right to withhold any payment due to TERI U's non-compliance with any of the provisions mentioned hereinabove.
13. Any dispute arising out of or in connection with this Agreement shall be settled amicably between UNEP and TERI U. Should attempts at amicable negotiation fail, any such dispute shall, upon request by either party, be referred to arbitration in accordance with the UNCITRAL arbitration rules. The parties shall be bound by any arbitration award rendered as a result of such arbitration as the final adjudication of any such controversy, claim or dispute.
14. This Agreement shall enter into force upon signature by the Parties being effective from the date of the latest signature, and shall remain valid for a period of **24 months**, unless terminated earlier pursuant to clause 11 above.
15. The Parties shall carry out their respective responsibilities in accordance with the provisions of the Agreement. The Parties shall determine and communicate to each other their respective focal points, having the responsibility for the Project implementation on its behalf.
- 16.a. TERI U shall be solely and completely responsible and accountable for all services performed by its personnel, agents, employees, or contractors (hereinafter referred to as "Personnel").
- 16.b. TERI U shall be considered as having the legal status of an independent contractor. Personnel of TERI U, its contractors or anyone else working for TERI U in the execution of the Project or otherwise, are not employees of UNEP and are not covered by the privileges and immunities applying to UNEP and its staff pursuant to the Convention on the Privileges and Immunities of the United Nations. UNEP shall not accept any liability for claims arising out of the activities performed under the Agreement, or any claims for death, bodily injury, disability, damage to property or other hazards that may be suffered by TERI U's Personnel as a result of their work pertaining to the activities under this Agreement.
- 16.c. TERI U shall ensure that its personnel meet the highest standards of qualification and technical and professional competence necessary for the achievement of the objectives and results of the Project, and that decisions on employment related to the Project shall be free of discrimination of any nature. TERI U shall ensure that all personnel are free from any conflicts of interest relating to the Project activities.
- 17.a. TERI U shall not seek nor accept instructions regarding the activities under the present Agreement from any Government or other authority external to UNEP.

17.b. TERI U shall refrain from any conduct that would adversely reflect on the United Nations and shall not engage in any activity which is incompatible with the aims and objectives of the United Nations or the mandate of UNEP.

18. Nothing in or relating to this Agreement shall be deemed a waiver, express or implied, of any of the privileges and immunities of the United Nations and UNEP.

19. This Agreement or its Annexes may be modified or amended only by written agreement between the Parties.

For UNEP

By:  \_\_\_\_\_

Name: Dechen Tsering

Title: Regional Director and Representative  
for UN Environment in Asia and the Pacific  
Date:

For TERI University

By:  \_\_\_\_\_

Name: Capt. Pradeep Padhy

Title: Registrar, TERI University,  
New Delhi  
Date:

- Annex 1. Budget and implementation plan
- Annex 2. Interim progress report
- Annex 3. Interim expenditure reports
- Annex 5. Final progress report
- Annex 6. Final expenditure report



**Annex 1 – Budget and Implementation Plan**  
**Part A – Implementation Plan**

**1. Background**

A Green Economy requires measuring and managing environmental impacts throughout the life cycle of products. Following this framework, Life Cycle Thinking (LCT) provides a conceptual approach to reducing environmental impacts in a holistic manner. Such approaches integrate resource efficiency considerations into global value chains. This is particularly important given the complexities of increasingly globalized products' value chains, which stretch beyond national boundaries and connect fragmented markets, different production systems, regulatory frameworks, and consumers.

The Resource Efficiency through Application of Life cycle thinking (REAL) project is part of UN Environment's work on Life Cycle Thinking. The overall goal of REAL is to integrate resource efficiency in global value chains by using life cycle data on environmental impacts. The REAL project aims to develop global capacities for LCT while demonstrating value from the approach. The desired outcome of the REAL project is private and public organisations utilizing LCT approaches to make informed choices towards sustainable consumption and production patterns (SCP).

In February 2017, the REAL project sought proposals from Non-Government Organisations (NGOs), Not-for-Profit Organisations (NPOs), National Centres for Cleaner Production (NCPC) and similar organisations located in Asia and Pacific developing and transitioning nations. Pilot projects were asked to demonstrate application of life cycle thinking and tools for government, industry or consumers to generate value. Examples of such tools and approaches include hotspot analysis, LCA, environmental footprint, Life Cycle Management Capability Maturity Model (LCM-CMM), or eco-innovation strategy building. The pilot projects are expected to identify the change in practices by government, industry or consumer as a result of applying the LCA tools and approaches. Altogether, UN Environment received 40 proposals when submissions were closed on 17 March 2017. Following extensive review of all proposals by the project team, two proposals were selected for funding. One of the selected projects is the application of life cycle thinking approach for enhancing the fruits and vegetables supply chain in India by TERI University. The projects have both been allocated \$17,000 to spend in the coming eighteen months, with a series of deliverables matched to the proposed project activities.

Specifically, this pilot project aims to improve sustainability of the vegetables and fruits supply chain in Nagaland, India by employing life cycle thinking approach. Achieving this goal will contribute towards the SWITCH-Asia Programme for ensuring sustainable consumption and production (SCP) along a product value chain. Further, it will also contribute towards the realization of SDG targets specifically under the SDG 2 and 12.

**2. Objective of the SSFA**

The objective of the SSFA between UN ENVIRONMENT and TERI U is to take a life cycle thinking approach to improve the efficiency of the food supply chain as follows:

Objective 1: To map the vegetable supply chain in Nagaland and identify sustainability hotspots.

Objective 2: To identify measures/strategies/practices for enhancing the environmental and socio-economic sustainability.

Objective 3: To conduct a pilot study to build capacity and evaluate the potential benefits of ensuring SCP through a LC thinking approach in the fruit and vegetable supply chain.

**3. Activities**

Under this SSFA, the implementation of the pilot project has three components, consisting of the activities as follows:



**Component 1: Scoping study**

**Activity 1.1: Mapping of fruit and vegetable supply chain:** A comprehensive review of the fruits and vegetable production systems through existing literature, pre-processing of existing database, questionnaire survey, stakeholder consultation. This activity will be an exploratory exercise that will utilise resource in the form of information and data collected from/ through local NGOs, SMEs, Self-help groups, and local bodies (both formal and informal) and expert consultations.

**Activity 1.2: Hotspot analysis:** A systemic assessment of environmental and socio-economic impacts of the fruit and vegetable supply chain through a life cycle thinking approach, questionnaire survey, technical experts' perspectives, stakeholder consultation. The activity will have the following work elements:

- i. Data collection, pre-processing and analysis
- ii. Identification of hotspots
- iii. Identification of actors within the hotspots and related activities for the pilot study. Examples can be drawn from the UNEP's studies on the best practices of lifecycle thinking approach in Asia

**Activity 1.3: Development of indicators for assessment of the pilot study**

| Deliverables   | Delivery date     |
|--|-------------------|
| 1.1 Report on fruit and vegetable supply chain mapping   | 15 September 2017 |
| 1.2 Report of the hotspot analysis, including details description of actors and related activities per hotspot | 30 September 2017 |
| 1.3 Report on indicators for assessment of the pilot study   | 31 October 2017   |

**Component 2: Pilot study**

**Activity 2.1: Capacity building and training workshop for value chain actors:** The workshop will be conducted with the various actors identified in the hotspot analysis to train them on the identified best practices.

**Activity 2.2: Implementation of the selected activities in the identified hotspots:** The results of step iii of the hotspot analysis (Identification of actors within the hotspots and related activities for the pilot study) will be piloted in the identified hotspots to evaluate the potential benefits of LC thinking in enhancing sustainability of the fruits and vegetable supply chain. The activities will be implemented with the support of local NGOs, SMEs, Self-help groups, and local bodies (both formal and informal).

**Activity 2.3: Monitoring and evaluation of the pilot study:** A detailed monitoring and evaluation will be carried out on the effectiveness of the pilot study. The monitoring and evaluation framework will consist of detailed analysis of the indicators related to inputs, outputs, process, and performance of the pilot study.

| Deliverables  | Delivery date    |
|---|------------------|
| 2.1 Report on capacity building and training workshop for value chain actors            | 30 November 2017 |
| 2.2 Interim report on implementation of activities in the hotspots                      | 15 March 2018    |
| 2.3 Report on implementation of activities in the hotspots                              | 15 July 2018     |
| 2.4 Monitoring and evaluation report on the effectiveness of the pilot study activities | 31 August 2018   |

**Component 3: Further capacity building and recommendations**

**Activity 3.1: Capacity building workshop for local governments and other stakeholders:** A capacity building workshop will be organized based on the outcomes and learnings from the pilot study to build capacities of the stakeholders and local governments and organizations. Other

stakeholders to be trained in sustainable value chain management in the fruit and vegetable sector will be a wider group of local government official, fruit and vegetable farmers and traders, and food processing industries. This will ensure continuity in ensuring Sustainable Consumption and Production along the fruit and vegetable supply chain.

Activity 3.2: Drafting of recommendations for policy makers and value chain actors.

| Deliverables  | Delivery date     |
|---|-------------------|
| 3.1 Report on capacity building workshop for local governments and other stakeholders | 30 September 2018 |
| 3.2 Final outcome report and recommendations for policy makers and value chain actors | 30 November 2018  |

#### 4. Summary – Implementation period

|            |                        |
|------------|------------------------|
| Start date | Date of last signature |
| End date   | 30 November 2018       |



## Annex 1 – Budget and Implementation Plan

## Part B – Activity Based Budget

| Budget Summary by budget classes |  |               |               |        |
|----------------------------------|--|---------------|---------------|--------|
| Class                            | Budget Classes for Implementing Partners | 2017 in USD\$ | 2018 in USD\$ | Total  |
| 500000                           | IP-Staff and other personnel             | 5,500         | 8,500         | 14,000 |
| 500001                           | Travel of project coordinators           | 2,000         | 1,000         | 3,000  |
| TOTAL BUDGET                     |  | 7,500         | 9,500         | 17,000 |

In-kind contribution from TERI U amounts to 5,000 US dollars, corresponding to staff time for coordination of the tasks with UN Environment and expert input into the deliverables of the SSFA.

| Budget  |  |          |      |                    | Breakdown by year |               |               | In kind from implementing Partner |               |
|---|--|----------|------|--------------------|-------------------|---------------|---------------|-----------------------------------|---------------|
| Budget classes  | Cost Category (Activity)               | Quantity | Unit | Unit cost in USD\$ | Total in USD\$    | 2017 in USD\$ | 2018 in USD\$ | 2017 in USD\$                     | 2018 in USD\$ |
| Component 1: Scoping study  |  |          |      |                    |                   |               |               |                                   |               |
| Activity 1.1: Mapping of vegetable supply chain                                       |  |          |      |                    |                   |               |               |                                   |               |
| Activity 1.2: Hotspot analysis  |  |          |      |                    |                   |               |               |                                   |               |
| Activity 1.3: Development of Indicators for assessment of the pilot study             |  |          |      |                    |                   |               |               |                                   |               |
|   | Project personnel component            |          |      |                    |                   |               |               |                                   |               |
| 500000  | Project coordinator and administration | 30       | days | 100                | 3,000             | 3,000         |               | 1,500                             |               |
|   | Component total                        |          |      |                    | 3,000             | 3,000         |               | 1,500                             | 0             |
| COMPONENT 1: TOTAL BUDGET   |  |          |      |                    | 3,000             | 3,000         |               | 1,500                             | 0             |
| Component 2: Pilot study  |  |          |      |                    |                   |               |               |                                   |               |
| Activity 2.1: Capacity building and training workshop for value chain actors          |  |          |      |                    |                   |               |               |                                   |               |
| Activity 2.2: Implementation of the selected activities in the identified hotspots    |  |          |      |                    |                   |               |               |                                   |               |
| Activity 2.3: Monitoring and evaluation of the pilot study                            |  |          |      |                    |                   |               |               |                                   |               |
|   | Project personnel component            |          |      |                    |                   |               |               |                                   |               |
| 500000  | Project coordinator and administration | 70       | days | 100                | 7,000             | 2,500         | 4,500         | 500                               | 2,000         |
| 500001  | Travel of project coordinators         | 10       | days | 200                | 2,000             | 2,000         |               |                                   |               |
|   | Component total                        |          |      |                    | 9,000             | 4,500         | 4,500         | 500                               | 2,000         |
| COMPONENT 2: TOTAL BUDGET   |  |          |      |                    | 9,000             | 4,500         | 4,500         | 500                               | 2,000         |
| Component 3: Further capacity building and recommendations                            |  |          |      |                    |                   |               |               |                                   |               |
| Activity 3.1: Capacity building workshop for local governments and other stakeholders |  |          |      |                    |                   |               |               |                                   |               |
| Activity 3.2: Drafting of recommendations for policy makers and value chain actors    |  |          |      |                    |                   |               |               |                                   |               |
|   | Project personnel component            |          |      |                    |                   |               |               |                                   |               |
| 500000  | Project coordinator and administration | 40       | days | 100                | 4,000             |               | 4,000         |                                   | 1,000         |
| 500001  | Travel of project coordinators         | 5        | days | 200                | 1,000             |               | 1,000         |                                   |               |
|   | Component total                        |          |      |                    | 5,000             |               | 5,000         | 0                                 | 1,000         |
| COMPONENT 3: TOTAL BUDGET   |  |          |      |                    | 5,000             |               | 5,000         | 0                                 | 1,000         |
| TOTAL BUDGET  |  |          |      |                    | 17,000            | 7,500         | 9,500         | 2,000                             | 3,000         |

## Annex 2 – Interim Progress Report (to be submitted together with the Interim Financial Report at the end of the calendar year)

### 1. Identification:

Partners Name: TERI University

Budget line: BAC Grant: M1-32ECL-000008, WBS Element: SB-000939.04.02, Functional Area: 14AC0006, Cost Centre: 11228

POW 2016-2017: Sub-programme: Resource Efficiency – Sustainable Consumption and Production

Expected Accomplishment(s): C - Enabling conditions for promoting more sustainable consumption choices and lifestyles are enhanced

Output(s): 3. Life-cycle based information tools and methodologies such as ecolabelling, certification, and product sustainability indicators developed with, and provided to, governments, businesses and other stakeholders

Title of the approved PRC project: Internationally recognized information tools to enable individual and institutional consumers to make informed choices

SSFA starting date: DD/MM/YYYY

Reporting period: from DD/MM/YYYY to 31/12/YYYY

### 2. Summary of Status:

*Brief description of the status of implementation of the SSFA at the line of reporting and progress towards achieving SSFA's objective*

#### Activity delivery status

| Activity                      | Description of work undertaken during reporting period | Deliverables | Delivery date | Status of Activity (complete/ on-going/ delayed) | Comments - brief description of implementing challenges, strategy/actions which have been adopted to address these challenges and planned actions to mitigate any identified risks |
|-------------------------------|--|--------------|---------------|--|--|
| Activity 1 – name of activity |  |              |               |  |  |
|                               |  |              |               |  |  |
|                               |  |              |               |  |  |

### 3. List of attached documents

*(for example, publications, meeting reports, participants list, reports of workshops, etc.)*

Signature:

Date:

Name and title of signing officer:

pp



**Annex 3 and Annex 6 – Interim and Final Expenditure Reports (Interim expenditure report to be submitted at the end of the calendar year and final expenditure report to be submitted upon completion of the SSFA)**

Partners Name: TERI University

Budget line: BAC Grant: M1-32ECL-000008, WBS Element: SB-000939.04.02, Functional Area: 14AC0006, Cost Centre: 11228

POW 2016-2017: Sub-programme: Resource Efficiency – Sustainable Consumption and Production

Expected Accomplishment(s): C - Enabling conditions for promoting more sustainable consumption choices and lifestyles are enhanced

Output(s): 3. Life-cycle based information tools and methodologies such as ecolabelling, certification, and product sustainability indicators developed with, and provided to, governments, businesses and other stakeholders

Title of the approved PRC project: Internationally recognized information tools to enable individual and institutional consumers to make informed choices

SSFA starting date: DD/MM/YYYY

Reporting period: from DD/MM/YYYY to 31/12/YYYY

Cumulative amount already transferred from UNEP to TERI University as of this reporting date: USD

| Activity             | Original Budget (USD) | Expenditures in (2017) (USD) | Expenditures incurred in (2018) (USD) | Total Expenditures (USD) | Comments (if the expenditures were different from what was originally planned, please provide a short explanation) |
|----------------------|-----------------------|------------------------------|---------------------------------------|--------------------------|--|
| Activity 1           |                       |                              |                                       |                          |  |
| Sub-total Activity 2 |                       |                              |                                       |                          |  |
| Sub total Activity 3 |                       |                              |                                       |                          |  |
| Sub-total            |                       |                              |                                       |                          |  |
| Total Cost           |                       |                              |                                       |                          |  |

Signature of a duly Authorized officer: \_\_\_\_\_

Name :

Position :

Date:

## Annex 5 – Final Progress Report

## 1. Identification:

Partners Name: TERI University

Budget line: BAC Grant: M1-32ECL-000008, WBS Element: SB-000939.04.02, Functional Area: 14AC0006, Cost Centre: 11228

POW 2016-2017: Sub-programme: Resource Efficiency – Sustainable Consumption and Production

Expected Accomplishment(s): C - Enabling conditions for promoting more sustainable consumption choices and lifestyles are enhanced

Output(s): 3. Life-cycle based information tools and methodologies such as ecolabelling, certification, and product sustainability indicators developed with, and provided to, governments, businesses and other stakeholders

Title of the approved PRC project: Internationally recognized information tools to enable individual and institutional consumers to make informed choices

SSFA starting date:

Completion date:

## 2. Summary of Status:

*Brief description of the main achievements, main implementation challenges and lessons learned towards achieving SSFA's objective*

## 3. Activity delivery status

| Activity                      | Description of work undertaken during reporting period | Deliverables | Delivery date | Status of Activity (completed or not completed) | If activity not completed, please describe the reason why and indicate mitigation actions that were taken. |
|-------------------------------|--|--------------|---------------|---|--|
| Activity 1 – name of activity |  |              |               |   |  |
|                               |  |              |               |   |  |
|                               |  |              |               |   |  |

## 4. List of attached documents

*(for example, publications, meeting reports, participants list, workshop reports, etc.)*

Signature:

Date:

Name and title of signing officer





## PURCHASE ORDER

**Supplier:**  
TERI University  
10 Institutional Area  
Vasant Kunj, New Delhi 110070

**Ship To:**  
Social Impact  
Attention: Dominick Margiotta  
2300 Clarendon Blvd, Suite 1000  
Arlington, VA  
22201  
dmargiotta@socialimpact.com

**Purchase Order Number:**

**Effective Date:** 10/19/17

**End Date:** 12/22/17

**Delivery Incoterm:** N/A

**Payment Terms:** Net 30 Days

**Bill To:**  
Social Impact  
Attention: Dominick Margiotta  
2300 Clarendon Blvd, Suite 1000  
Arlington, VA  
22201  
dmargiotta@socialimpact.com


| Line Item                                     | Description  | Unit | Qty | Unit Price | Total Price       |
|---|--|------|-----|------------|-------------------|
| 1   | Completion of field work, including typed notes of all data collected (such as key informant interviews, focus group discussions, direct observation sheets, and/or surveys) | 1    | 1   | \$3,279.22 | \$3,279.22        |
| 2   | Submission and approval of the final outbrief presentation and final evaluation report to USAID-India  | 1    | 1   | \$3,279.22 | \$3,279.22        |
| 3   |  |      |     |            |                   |
| 4   |  |      |     |            |                   |
| Subtotal:                                     |  |      |     |            | \$6,558.44        |
| Shipping:                                     |  |      |     |            | \$0.00            |
| <b>Total Purchase Order Amount (U.S. \$):</b> |  |      |     |            | <b>\$6,558.44</b> |

### Additional Notes:

- This purchase order is issued by Social Impact, Inc.
- This project is being implemented in India.
- The authorized USAID Geographic Code for this purchase order is Geographic Code 937.
- The terms and conditions (Attachment 1) found in the following pages are incorporated into and form an integral part of this purchase

### Authorization of Purchase Order:

Name: Kimberley Atsalinos  
Title: Sr. Director, Contracts  
Date: 10.19.17

  
signature

### Supplier Acceptance of Purchase Order:

Name: Sudipta Chatterjee  
Title: Associate Prof & Head  
Date: 28 October 2017

  
signature

20140w21

**USAID | INDIA**  
FROM THE AMERICAN PEOPLE

September 30, 2014

Dr. Rajiv Seth  
TERI University  
10, Institutional Area  
Vasant Kunj  
New Delhi – 110070

**Subject: Fixed Obligation Grant (FOG) Award No. AID-386-F-14-00002 to TERI University for Program Titled: Strengthening Water and Sanitation in Urban Settings**

Dear Dr. Seth,

Pursuant to the authority contained in the U. S. Foreign Assistance Act of 1961, as amended, the U.S. Agency for International Development (hereinafter referred to as "USAID"), hereby awards to TERI University (hereinafter referred to as "Recipient"), the sum of U.S. Dollars \$708,279 payable in local currency INR42,497,000 to provide support for the program entitled "Strengthening Water and Sanitation in Urban Settings" according to the Milestone Budget shown in the Schedule, Attachment 1, to support the subject award, as more fully described in the Program Description, Attachment 2.

This agreement is effective from **November 01, 2014** and an obligation of U.S. Dollars \$703,642 is made as of the date of this letter and shall apply to expenditures made by the Recipient in furtherance of program objectives during the period beginning **November 01, 2014 and ending on October 31, 2017**. USAID shall not be liable for reimbursing the Recipient for any costs in excess of the obligated amount.

By signing this Grant Agreement, Recipient agrees that:

1. The recipient will comply with the terms and conditions as set forth in the attachments listed following the signature below, which are incorporated as part of the Grant Agreement.
2. Recipient will maintain records of transactions related to the Grant Agreement for at least three years after payment of the final milestone. After the end of the agreement, USAID retains the right, at its discretion, to examine all or a sample of the recipient's records or transactions related to the Grant Agreement where concerns of implementation irregularities arise.
3. USAID is not liable for reimbursing the recipient for any amount in excess of the obligated amount, or outside of the Grant Period, as provided in the Schedule.

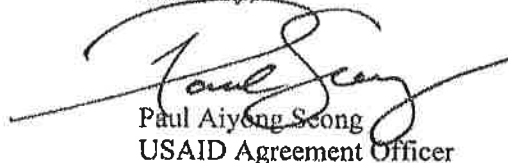




4. Unless otherwise provided in the Schedule, title to any equipment or personal property purchased to accomplish any milestones under this Agreement vests in the recipient upon acquisition, with the condition that the recipient must use the equipment or property for the grant as long as it is needed for such.
5. Recipient will obtain the USAID Agreement Officer's (AO) written approval prior to any changes to: 1) the activities being supported by this Grant; 2) the fixed amount of this grant; 3) the milestones; or 4) change in the Grant Agreement completion date.
6. USAID will conduct monitoring of the grant program, including site visits as appropriate.
7. On submission of the voucher for payment for the final milestone, the Recipient must certify that the grant is completed and the Recipient will make no further claim against the grantor after final payment.
8. This award may be terminated by either party at any time, in whole or in part, 30 calendar days after receipt of written notification by the other party. If USAID terminates this award, the Recipient may submit a claim within 90 calendar days of such termination for any costs incurred in performance of any unpaid or incomplete milestones. The Agreement Officer must determine the amount(s) to be paid by USAID to the recipient under such claim in accordance with the legally applicable Cost Principles.
9. Any dispute under this award will be decided by the AO. Notwithstanding any other term of this award, subawardees and contractors have no right to submit claims directly to USAID and USAID assumes no liability for any third party claims against the recipient.

Please sign the original and each copy of this letter to acknowledge receipt and confirm acceptance of the Grant Agreement, and return the original and all but one copy to the Agreement Officer.

Sincerely,



Paul Aiyong Seong  
USAID Agreement Officer

Attachments:

1. Schedule
2. Program Description
3. Standard Provisions

ACKNOWLEDGED BY: **TERI University**

Signature: \_\_\_\_\_

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Phone: \_\_\_\_\_

Email: \_\_\_\_\_

Date: \_\_\_\_\_

**ACCOUNTING DATA:**

BBFY: 2014 EBFY: 2015 Fund: GH-C OP: INDIA Prog Area: A11 Dist Code: 386-M Prog  
Elem: A052 Prog Sub-elem: A0216 Team/Div: INDIA BGA: 386 SOC:4100200

**PAYMENT OFFICE:**

Regional Financial Management Office  
USAID/India  
American Embassy, Shanti Path  
Chanakyapuri  
New Delhi, 110021 India  
e-mail : [indiarfmo@usaid.gov](mailto:indiarfmo@usaid.gov)



## **ATTACHMENT 1**

### **SCHEDULE**

#### **A. PURPOSE OF GRANT**

The purpose of this grant is to provide support for the program described in Attachment 2, Program Description.

#### **B. GRANT PERIOD**

The effective date of this grant is November 01, 2014. The completion date of the grant is October 30, 2017.

#### **C. AMOUNT OF AWARD AND PAYMENT**

1. USAID hereby awards the amount of USD \$708,279 for purposes of this grant and an initial obligation of \$703,642 is made as of the date of this award.
2. Payment will be to the Grantee upon presentation to the USAID Controller at USAID/India an original and two copies of a properly prepared voucher using the SF-1034, with a certification that the Milestone being billed has been completed and providing any other documentation required by USAID specified with each milestone. Each voucher will be identified by the award number, specify the Milestone that is being billed, and the fixed amount associated with that Milestone. Payment shall be within 30 days after receipt of a proper voucher or the verification by USAID of milestone completion for which payment is requested, whichever is later. USAID reserves the right to withhold payment subject to milestone completion verification. The Recipient is encouraged to submit the above referenced payment documentation as e-mail attachments to the e-mail address provided for the Payment Office. Payment documentation may also be submitted in hard copy paper form to the Payment Office.

#### **D. GRANT AGREEMENT BUDGET**

1. Following is the Schedule of Milestones associated with the program which has been agreed upon between the USAID and the Recipient, for funding under this Grant Agreement.
2. The accomplishment of each Milestone will be based on the successful submittal or completion of the tasks or deliverables delineated for that Milestone (see table below).
3. The Recipient agrees to Leverage an amount and/or resources not less than \$708,279 from non-federal funds and partners.

The recipient must be able to demonstrate whether leveraged contributions have been obtained as proposed in program implementation in order to determine whether the desired impacts from the alliances are being achieved. USAID has the ability to revise or withdraw from the agreement

when contributions are not forthcoming as originally proposed. The Recipient is required to report leveraging in its Financial Reports.

Within 60 days of award date the recipient must, to the extent that the contributions are being proposed as "resource leveraging," provide: 1) annual benchmarks that include proposed results and 2) annual timelines that include percentages or amounts depending on the structure of the program.

Milestone Table:

| Objective  | Activity                   | Description of Milestone  | Required Deliverable   | INR Amount | USD Amount |
|--|----------------------------|---|--|------------|------------|
| Objective 1:<br>Conduct a comprehensive WASH related risk analysis and human health impacts in a cluster of slums in <u>Kolkata and Chennai.</u> | 1.1 Work Plan              | - Work Plan   | Approved Work Plan   | 3,000,000  | \$50,000   |
|  | 1.2 Water quality analysis | <ul style="list-style-type: none"> <li>- Sampling of study areas, selection of slum-communities) are accomplished, in consultation with local municipal corporation</li> <li>- a quick survey on households health status conducted (in order to know epidemiology of the selected slum community)</li> <li>- Water quality data in the area surrounding the urban slum community (both supply and waste) collected (profiling of drinking water used for other domestic purposes are conducted, for the selected slum communities</li> <li>- At least, 50 water samples in each city analyzed for relevant water quality parameters</li> <li>- Correlation between water quality and community health status researched and established</li> </ul> | <p>Brief summary of the sample study</p> <ul style="list-style-type: none"> <li>- Survey report</li> </ul> <p>- Final report on :</p> <ul style="list-style-type: none"> <li>a) Quality data on supply and waste</li> <li>b) Analysis data on relevant water quality parameters</li> <li>c) Correlation data between water quality and community health status</li> <li>d) Intervention data on strategies identified</li> </ul> | 612,500    | \$10,208   |



|  |   |  |           |          |  |
|--|---|--|-----------|----------|--|
|  | - Intervention strategies identified  |  |           |          |  |
| 1.3 Socio-economic-behavioral assessment                         | <ul style="list-style-type: none"> <li>- Document on social fabric of the urban slum community, including social relationships, power dynamics, vulnerabilities and livelihood patterns prepared</li> <li>- Dynamics/position of women in slums researched and a paper prepared. This would include the research that relates to the eight key questions (Pg 5 of the proposal), which is a first research of this kind in India</li> </ul> | -Document on social fabric of the urban slum community<br><br>- Final Gender paper   | 3,752,000 | \$62,533 |  |
| 1.4 Health risk assessment and estimation of burden of diseases  | <ul style="list-style-type: none"> <li>- Priority listing of risk factors</li> <li>- Socio economic demographic profile of the community established</li> <li>- Critical health problems of the community and their causes are identified (focus on WASH related)</li> <li>- Behavioral changes that can lead to improvements in health of urban slum dwellers are identified</li> </ul>  | -Briefing summary including list of :<br>a) Risk factors<br>b) Profile of community<br>c) Health challenges<br>d) Identified Behavioral changes. | 1,717,500 | \$28,625 |  |
| Objective 2:<br>Develop and implement participatory intervention |   |  |           |          |  |
| 2.1 Engagement of stakeholders                                   | <ul style="list-style-type: none"> <li>- Stakeholder mapping done and documented</li> <li>- Project beneficiaries identified</li> <li>- Inputs from stakeholders for Urban</li> </ul>   | -Document on Stakeholder mapping<br>-List of final beneficiaries<br>-Document of the Inputs from the   | 1,212,500 | \$20,208 |  |

|              |                                     | WASH schemes is documented   | stakeholders   |            |           |
|--------------|-------------------------------------|--|--|------------|-----------|
|              |                                     | <ul style="list-style-type: none"> <li>Sensitization on authorities and responsibilities on urban WASH done.</li> </ul>  | <ul style="list-style-type: none"> <li>- Number of meetings/ interaction/ workshop minutes and stakeholders list shared with AOR</li> </ul>  |            |           |
|              | 2.2 Implementation of interventions | <ul style="list-style-type: none"> <li>- At least Two films each of about 15 minutes duration on urban WASH interventions geared to make behavioral changes and impact on health and ultimately bear the impact particularly on women and children produced</li> <li>- Formation of two community based institutions (one in each city) on urban WASH and their capacity building done</li> <li>- Preparation of <i>Standard Operating Procedure</i> for WASH infrastructure in urban slums in consonance with proposed National Urban Development Mission</li> <li>- Preparation of a model contract for O&amp;M of WASH infrastructure</li> <li>- Interventions that have immediate health impacts such as repair of soak pits, drains, hand-pumps etc implemented.</li> </ul> | <ul style="list-style-type: none"> <li>Digital Video Disk (DVD) of the films.</li> <li>-Sharing of final 'scope of work' of the two community based institutions</li> <li>- Finalized Standard Operating Procedure</li> <li>-Copy of model contract</li> <li>-List of interventions implemented</li> </ul> | 11,832,500 | \$197,208 |
| Objective 3: |                                     |  |  |            |           |

|  |  |   |  |           |          |
|--|--|---|--|-----------|----------|
| Creating enabling conditions through capacity building at various levels | 3.1 WASH curriculum in higher education      | <ul style="list-style-type: none"> <li>- 25 different stakeholders engaged</li> <li>- Model curriculum, structure and pedagogy on WASH developed</li> <li>- Adoption of curriculum in various teaching programs of TERI University</li> <li>- Dissemination of curriculum in various universities offering higher education in South-East Asia</li> </ul> | <ul style="list-style-type: none"> <li>-List of Stakeholders</li> <li>-Copy of final Curriculum</li> <li>-List of teaching programs of TERI Who have adopted WASH curriculum</li> <li>-List of South-East Asian universities that were reached out for WASH</li> </ul>   | 1,280,000 | \$21,333 |
|  | 3.2 Institutionalized seminar series on WASH | <ul style="list-style-type: none"> <li>- 45 lectures by experts from various organizations working in the sector</li> <li>- Dissemination of lectures through social media</li> <li>- 45 hours of high quality recorded lectures on DVDs circulated in 50 libraries</li> </ul>  | <ul style="list-style-type: none"> <li>-Sign-in sheet of lectures</li> <li>-List of social media</li> <li>- On completion of 15 lectures and submission of records/DVDs in year one</li> <li>- On completion of 15 lectures and submission of records/DVDs in year two</li> <li>- On completion of 15 lectures and submission of records/DVDs in year three</li> </ul> | 210,000   | \$3,500  |
|  |  |   |  | 210,000   | \$3,500  |
|  |  |   |  | 250,000   | \$4,166  |
|  | 3.3 Conducting summer school on WASH         | <ul style="list-style-type: none"> <li>- 3 summer schools on WASH aspects conducted: one in each year</li> <li>- At least 200 students (including mid-career professionals from government particularly MoUD, ULBs and youth)</li> </ul>  | <ul style="list-style-type: none"> <li>-Brief summery after completion of first summer school</li> <li>- Brief summery after completion of the second summer school</li> </ul>   | \$540,000 | \$9,000  |
|  |  |   |  | 540,000   | \$9,000  |



|   |  |  |  |  |   |
|---|--|--|--|--|---|
|   | benefitted.  |  | - Brief summary after completion of the third summer school  | 590,000  | \$9,833   |
| 3.4 Training of Trainers on WASH  | <ul style="list-style-type: none"> <li>- Total six training programs conducted : 2 in each year</li> <li>- 150 school teachers benefitted for catalyzing behavioral changes in slum children on WASH</li> </ul> <p>(This will have a multiplier benefit of educating 7500 children particularly girls)</p> |  | <ul style="list-style-type: none"> <li>-Curriculum of the program</li> <li>-List of attendees for first training programme</li> <li>-List of attendees for second training programme</li> <li>-List of attendees for third training programme</li> <li>-List of attendees for fourth training programme</li> <li>-List of attendees for fifth training programme</li> <li>-List of attendees for sixth training programme</li> </ul> | 498,000<br>498,000<br>498,000<br>498,000<br>498,000<br>510,000 | \$8300<br>\$8300<br>\$8300<br>\$8300<br>\$8300<br>\$8,500 |
| 3.5 National competition on water resources management (including sanitation) | <ul style="list-style-type: none"> <li>- Participation of 75 colleges from various parts of India</li> <li>- Engagement of different stakeholders on WASH from various cities</li> <li>- Participation of about 350 students in the competition on WASH</li> </ul>   |  | <ul style="list-style-type: none"> <li>- Summary brief of the application stage process</li> <li>- Summary brief of the regional stage process along with list of participant</li> <li>- Summary brief of the national competition along with training materials and full list of participants</li> </ul>  | 1,650,000<br>1,650,000<br>1,700,000                            | \$27,500<br>\$27,500<br>\$28,333                          |
| 3.6 State of water report (including  | <ul style="list-style-type: none"> <li>- Publication of a unique report , first of its kind in India, covering current</li> </ul>  |  | -Copy of the report  | 7,450,000  | \$124,166   |

|                               |   |   |            |           |
|-------------------------------|---|---|------------|-----------|
| WASH)                         | state of affairs on WASH, governance, institutional, policy and technological challenges, solution space and policy advocacy,   | - Agenda and list of conference attendees     |            |           |
|                               | <ul style="list-style-type: none"> <li>- An International (regional) conference for mass dissemination of the information.</li> <li>- 500 copies printed for dissemination</li> <li>- Short communication briefs (complying to information used for State of Water Report), written in vernacular languages for circulation among the inhabitants and local stakeholders</li> </ul> | - Advance copy of communication brief         |            |           |
| 3.7 Incubating WASH challenge | <ul style="list-style-type: none"> <li>- 12 researchers engaged for dedicated research to address WASH challenges in developing countries</li> <li>- 5 innovative solutions to WASH challenges mentored and developed</li> </ul>  | - List of organizations and concepts received | 1,300,000  | \$21,666  |
| <b>Total</b>                  |   |   | 42,497,000 | \$708,279 |

[Milestones are not necessarily in sequential order.]

## ATTACHMENT 2

**PROGRAM DESCRIPTION:****Strengthening Water and Sanitation in Urban Settings****Project Overview**

|                              |  |
|------------------------------|--|
| <b>Project Goals</b>         | Enabling conditions for achieving sanitation targets for India and generation of demand for sanitation in urban India through Education, Engagement and Human Resources Development.   |
| <b>Project Outcome</b>       | Enhanced capacity of people to choose appropriate sanitation options, health and social structure of urban communities in which they operate, and a model for scaling up activities to a national scale.   |
| <b>Objectives</b>            | <p>1. <u>Conduct</u> a comprehensive WASH related risk analysis and human health impacts in a cluster of slums in <u>Kolkata</u> and in <u>Chennai</u>. Analysis to include:</p> <ul style="list-style-type: none"> <li>▪ A comprehensive cross-sectional WASH related health risk analysis including the living, social, gender-related variables and occupational conditions.</li> <li>▪ A baseline evaluation of the WASH profile which is part of communities' life surrounding a slum of the urban areas.</li> </ul> <p>These analyses will serve as the basis for developing and designing appropriate models for capacity building, development of effective outreach, communications and participation strategies, with special focus on Women and Children.</p> <p>2. <u>Develop and implement</u> participatory intervention strategies in the selected urban areas that engage all potential stakeholders and incorporate a variety of disciplines. These strategies will be designed to facilitate adoption of measures to reduce WASH related risks, trigger behavioural changes, and support long-term participatory interaction among stakeholders.</p> <p>3. <u>Build and catalyse</u> requisite capacities in faculty, students, and decision makers to help address the challenges related to sanitation and health and their engagement in action research with the intent of finding replicable solutions to the sanitation problem. This will include:</p> <ul style="list-style-type: none"> <li>▪ Develop a model curriculum of sanitation related subjects and integrate it into the curricula of relevant programs of TERI University and its dissemination for adoption by other Universities for both an immediate and a long term impact on the sector.</li> <li>▪ Engage nation-wide student community to facilitate action and research to provide innovative sanitation solutions and reduction of related health risks.</li> <li>▪ Sensitize mid-career professionals engaged with this sector to more systemic approaches to dealing with the challenges of delivering effective sanitation services.</li> <li>▪ Inform policy influencing community on the potential solutions and alternative business models for providing sanitation services.</li> </ul> |
| <b>Summary of activities</b> | <ul style="list-style-type: none"> <li>▪ WASH risk assessment, intervention strategies and support long-term participatory interactions among stakeholders.</li> <li>▪ Strengthening WASH component in higher education programme</li> <li>▪ Design &amp; conduct stakeholder engagement process through institutionalise seminar series on WASH, summer school, <i>Training of Trainers</i> program</li> <li>▪ National competition on Water Resources Management (including Sanitation)</li> <li>▪ India's State of Water Report (Including WASH)</li> <li>▪ Incubating a WASH challenge for innovation and action by Youth.</li> </ul>  |



### 3.2.1.NG.19.

|                                       |   |
|---------------------------------------|---|
| <b>Principal Partner Institutions</b> | <ul style="list-style-type: none"><li>▪ TERI University (TERI U), New Delhi</li><li>▪ Coca-Cola India (CCI)</li><li>▪ TERI, New Delhi</li></ul> |
| <b>Specific area</b>                  | Kolkata, Chennai, New Delhi   |
| <b>Time</b>                           | 3 years   |
| <b>Budget</b>                         | INR 42,497,000  |

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## ANNEXURES

Annexure I: Project design

Annexure II: Topographic map of the TERI Zone of influence and project area of concentration

Annexure III: A brief profile

Enclosure: Letters of association from TERI, Coca Cola India, and Splash, Kolkata, letter from Sarva Siksha Mission, Kolkata

## 1.0 BACKGROUND

### 1.1 WATER, SANITATION AND HEALTH CHALLENGES IN INDIA AND THE REGION

India, as other South Asian Countries, is heading towards a freshwater crisis mainly due to improper management and use of water resources and environmental degradation. Depletion and overexploitation of fresh water resources is threatening the very existence of life on earth. There is an urgent need to make society responsible partners in solving the problems related to water – with youth and teachers in the young countries of South Asia being an extremely important constituency for this movement.

The stress on human populations and ecosystems from this depleting water situation is further aggravated by a rapidly declining quality – in particular in urban areas. While the challenges on better water management remain huge, the situation on sanitation is much worse. Beyond the issue of infrastructure is the fact that the per capita water supply itself, being inadequate and less than 140 to 200 lpcd (liters per capita per day), is an impediment as these are estimated to be the minimum flows required for a sewerage system to function properly. Due to this limitation, thinking about underground drainage schemes is out of question in a majority of places except in major towns and metropolis. Also, considering the costs of providing proper sanitation facilities, the state of public finances in most governments and the lack of skill sets available do not allow states to do justice to the sector of sanitation.

For protecting valuable drinking water from contamination, one of the key steps is to break the vicious cycle of inadequate water supply and concentrated water pollution through proper collection, treatment and hygienic disposal of sewage. If sewage is eliminated, bacteriological contamination would end and so would water borne diseases. Therefore, these two aims- water supply and sanitation- need to be synchronized by planners at policy formulation as well as at operational levels.

Health benefits, unfortunately, are not considered to be commensurate with the investments made in community water supply and sanitation sector – largely due to a lack of good quality data. Drinking water supply or underground drainage schemes do not have indicators like cost-benefit ratio (as in irrigation projects) or valuation of results in financial terms; but the efficacy of the schemes can certainly be evaluated in terms of saving in loss of man hours due to water borne diseases and an overall improvement in health status, productivity etc. An integrated and community based approach, providing appropriate importance to water quality and availability, excreta disposal, personal hygiene, etc needs to developed through effective inter-sectoral co-ordination and active community participation.

Focusing on *water, sanitation and hygiene (WASH)* in many ways leads to the definition of purpose for policy makers, designers and implementers. Health issues bring in the critical human element in water supply schemes, which are as crucial as pipes or filters. They demand a change in mind-set towards conceiving, implementing and operating water systems - in a people based format. **Capacity building and involvement of stakeholders such as medical doctors, health workers, educators, women and social scientists is needed here to facilitate behavioural change and help evolve WASH programs which are effective and improve ground realities.**

## 2.0 PROJECT OVERVIEW

### 2.1 GOALS, PARTNERS, OUTCOME AND COST

The project aims to contribute towards Government of India (GoI) efforts in achieving sanitation targets, through enhancement of people's capacity to choose appropriate options. The activities of the project is in alignment with the approach of GoI flagship programme 'Nirmal Bharat Abhiyaan' and 'Nirmal Shahar Puruskar' which among other measures emphasizes on



Information, Education and Communication, Human Resource Development to increase awareness among people and generation of demand for sanitary facilities. Although these schemes have been implemented with full vigour, however, only marginal improvement in the availability of appropriate sanitation facilities is observed in urban India.

So far, India has performed poorly on WASH related issues, which is not only costing it dearly (nearly \$54 billion a year)<sup>1</sup> but lack of access to sanitation facilities is also creating gender disparity, with women being more severely affected. **Poor sanitation in particular has significant impacts on the safety, well-being and educational prospects of women.** Girls' lack of access to a clean, safe toilet (especially during menstruation), perpetuates risk, shame and fear. Most of the WASH programs grossly neglect the menstrual health issue (WaterAid 2010) It has been estimated that on a global scale sanitation would make 1.25 billion women's lives safer and healthier (WaterAid, 2013).

With gaps in the performance of current WASH schemes and the urgent need for action to improve the life of large group of population, the project envisages capacity building and raising awareness among various stakeholders, including the younger generation. The project activities are escalated to new levels through its 'Training of Trainers' (ToT) component, where the trainers are expected to take learning from the program to their respective institutions/ universities and thus, spread the cause beyond the program duration. We expect a long term sustained impact of the project activities as India now has greater political stability, reasonable economic growth and water and sanitation projects provides big economic opportunity (could be a \$152 billion market)<sup>1</sup>. India has vast pool of educated workforce with demonstrated capacity for technological innovation, which can lead the world in sanitation innovation.

Coca-Cola India, TERI University and TERI, New Delhi has joined hand in establishing a *Department of Regional Water Studies* that has the mandate of building core competencies amongst students, researchers, policy makers and professionals to face the challenges of managing water resources. It aims to bring together government, business and civil society with academia to find solutions to water management. The proposed project will strengthen this Department which will incorporate water, sanitation and hygiene (WASH) in its teaching programme and generate a wide, multi-stakeholder understanding of the need for addressing WASH issues in India. The Department will explore and develop linkages with urban local bodies (ULBs), WASH related initiatives of Gol, and existing sanitation networks (such as WES-Net India etc) so as to engage a wider and influential audience. The members of these stakeholder groups will be invited to participate in the workshop, ToT, engagement in wider student community activities like - action research, inter-university competition, publically advertised talks, media exposure etc.

Potential benefits of activities proposed in the project includes- a) comprehensive understanding of the community dynamics and behaviour; b) Develop awareness campaigns and training materials for teachers (trainers) in nearby community schools c) increased awareness, excellence in research and practices in India in the WASH area, including expertise, services, knowledge and innovation in sanitation; d) Increased Institutional contacts between Universities, several government agencies, NGOs and Industry; e) awareness of good WASH practices at home and workplace; f) long-term knowledge transfer gained from student –faculty led research in water and sanitation sector; and g) a major national contribution to providing solutions to a pressing and highly relevant global problem.

The proposed project is of 3 year duration. The overall summary of the budget and contributions are:

<sup>1</sup> World Bank. (2014). Water and sanitation programme. Retrieved July 29, 2014, from <http://www.wsp.org/about>

|  |                |
|--|----------------|
| Contribution of Coca-Cola in 2014:           | INR 450 Lakhs. |
| Contribution from TERI University (in kind): | INR 1900 Lakhs |
| Contribution requested from USAID:           | INR 425 Lakhs  |

## 2.2 RELEVANCE OF THE PROPOSED PROJECT ACTIVITIES

It is noteworthy that in spite of considerable work and awareness on the WASH issue, India has performed poorly. Within South Asia, India fares worse in meeting the sanitation targets in its MDG goals, compared to Bangladesh, Nepal, Bhutan and Sri Lanka. In fact, in India improved sanitation facilities coverage for urban and rural areas has been 25%-50% which is comparable to coverage in Afghanistan, Pakistan and Nepal, however, is way behind Bangladesh and Bhutan (51%-75%) and Sri Lanka (75%-100%) (Paul, 2011). In fact, perusing through the rural sanitation data reveals that India's performance has been poorest with only 19% of the population having access to improved sanitation (Rout, 2010). Almost half (49.8%) of India's 1.27 million population is forced to openly defecate in the country as there are total lack of sanitation facilities. Only 46.9% of the 246.6 million households have a toilet and only 3.2% people use public toilets, as revealed in data from Census of India 2011.

These numbers ought to be a cause of concern, as India has greater political stability and economic growth compared to its neighbours. Moreover, the Indian federal government has been committed to improve access to water and sanitation of its population (Paul, 2011). To elaborate, despite water being a state subject, rural water supply and sanitation has been a national priority and at present GoI is spending more than USD one billion on the sector (Kingdom, Misra, Prevost, & Gambrell, 2012). Furthermore, the central government initiated 'Total Sanitation for All' program more than a decade ago, which also illustrates its commitment. Moreover, globally India is considered to possess adequate well trained human resources in most fields, and this would imply that the country would have achieved higher rate of success in increasing access to water and sanitation both in urban and rural area to be seen under the MDG program. However, as indicated above it lags behind several South Asian countries (Paul, 2011).

Thus, despite all this funding, and programs there are more than a billion people without access to safe drinking water and sanitation which impacts people's health and well-being (WHO & UNICEF, 2014). It is noteworthy that lack of access to sanitation facilities has gendered impact on wellbeing of population and the most affected are women, adolescent girls, children and infant (Chambers, 2009). Lack of access to basic sanitation is not only a health and hygiene issue for these groups but also a security issue. As is evident from the recent reports on sexual violence and assault against girls in Badaun, Uttar Pradesh and in other parts of the country, wherein lack sanitation facilities is forcing millions of women, adolescent girls and children to step out of the safety of their homes under cover of darkness for open defecation. Further, considering that globally 1.5 million children under the age of 5 could be saved through safe sanitation and also considering that diarrhoea is the leading cause of under-5 deaths in India, the WASH related activities could have a significant positive impact on infants and children.

Acknowledging the current social and institutional milieu, Government of India, World Bank and United national have started a campaign "No Toilet, No Bride" to bring awareness on the subject (Stopnitzky, 2012; United Nations, 2013a, 2013b). This campaign challenges the established practice and norm of open defecation. This also needs to be read as a plea to break this normalised and accepted public imagery of toilet culture. Notably, recent research has outlined that mere growing investment in water supply, sanitation and hygiene has not been able to address the threat from infectious water-related diseases (Saravanan & Gondhalekar, 2014). Implementation of water policies needs greater introspection and clarity on complexity at the intermediate and local level, where state institutions and actors interface with the population at large.



What becomes evident from the above discussion is that a mere commitment or investment has not been able to make significant change at the grass-root level. Hence, the project envisages capacity building and raising awareness among various stakeholders, including the younger generation who can make a perceptible dent in the existing system. For e.g. a **comprehensive program to improve water, sanitation and hygiene in schools in Kenya resulted in nearly 50% reduction in diarrheal illness (Freeman et.al., 2012)**. Thus, it is clear that targeted intervention in WASH programs could definitely provide tangible improvements immediately at the grass-root level. The program would be escalated to new levels through its 'Training of Trainers' component, where the trainers are expected to take learning from the program to their respective institutions/ universities and thus, spread the cause beyond the program duration. Through its engagement of academia and students with local communities, urban local bodies, government and other stakeholders, the proposed program intends to excite all stakeholders in taking a joint action towards WASH objectives.

### 3.0 PROJECT OBJECTIVES

1. Conduct a comprehensive WASH related risk analysis and human health impacts in a cluster of slums in Kolkata and in Chennai. Analysis to include:
  - A comprehensive cross-sectional WASH related health risk analysis including the living, social, gender-related variables and occupational conditions.
  - A baseline evaluation of the WASH profile which is part of communities' life surrounding a slum of the urban areas.
2. Develop and implement participatory intervention strategies in the selected urban areas that engage all potential stakeholders and incorporate a variety of disciplines. These strategies will be designed to facilitate adoption of measures to reduce WASH related risks, trigger behavioural changes, and support long-term participatory interaction among stakeholders.
3. Build and catalyse requisite capacities in faculty, students, and decision makers to help address the challenges related to sanitation and health and their engagement in action research with the intent of finding replicable solutions to the sanitation problem. This will include:
  - Develop a model curriculum of sanitation related subjects and integrate it into the curricula of relevant programs of TERI University and its dissemination for adoption by other Universities for both an immediate and a long term impact on the sector.
  - Engage nation-wide student community to facilitate action and research to provide innovative sanitation solutions and reduction of related health risks.
  - Sensitize mid-career professionals engaged with this sector to more systemic approaches to dealing with the challenges of delivering effective sanitation services.
  - Inform policy influencing community on the potential solutions and alternative business models for providing sanitation services.

One of the most important aspects about this project is the partnership among the participating organizations and the manner in which this partnership supports a more integrated and strategic outcome. There are three primary organisations participating in this project: TERI University, Coca-Cola India, and TERI. Each organization brings a specific combination of expertise, staff experience and outlook to the project. A single discipline approach (or even a multi-disciplinary approach in which each element produces separate deliverables) cannot produce results that adequately address the complex and inter-related nature of both the problems and potential solutions. This only can be accomplished by a true trans-disciplinary approach in which the work of the various elements is thoughtfully integrated. In the end this approach benefits the project, the targeted population and the funding organisation by providing a better project outcome and precedent for other projects.



#### 4.0 METHODOLOGY

Successfully achieving the primary project goal in the urban communities, especially targeted to those living in slums, requires accurate profiling of the information and socio-economic, environmental and health data relevant to WASH activities. This is because, as the geographic scale decreases, specificity increases, and the availability of pre-existing or routinely collected information decreases. In addition to providing baseline and measurement tools for intervention, the information derived from this data will serve as the basis for successful outreach, communication and interaction strategies. It will ensure that the resources are used efficiently to effectively deliver project elements to achieve targeted outcomes. Various activities to achieve the project objectives have been outlined in the following sections:

#### 4.1 OBJECTIVE 1: Conduct a comprehensive WASH related risk analysis and human health impacts in a cluster of slums in Kolkata and in Chennai. Analysis to include:

- A comprehensive cross-sectional WASH related health risk analysis including the living, social, gender-related variables and occupational conditions.
- A baseline evaluation of the WASH profile which is part of communities' life surrounding a slum of the urban areas.

##### 4.1.1 General WASH assessment in select slum in Kolkatta and Chennai: to establish baseline status

Activity 1.1: Preparation of a detailed work plan in consultation with city government

Activity 1.2: Water quality analysis

Samples from various locations will be collected and analysed, following relevant BIS/APHA protocols, for a set of key drinking water quality parameters. After listing all the categories of drinking water sources, both at cluster and household level, the sampling coverage would take into account a few selected number of drinking water sources. The parameters that show exceedance will explain the prevailing hygiene practices of the community. The results will be correlated with health status of the community particularly women and children. The focus of the parameters that is to be analyzed would be mainly to enable the project team to devise effective strategies of the project as defined in subsequent objectives.

##### Expected Outputs/Milestones

1. Sampling of study areas, selection of slum-communities are accomplished, in consultation with local municipal corporation
2. A quick survey on households health status conducted (in order to know epidemiology of the selected slum community)
3. Water quality data in the area surrounding the urban slum community (both supply and waste) collected (profiling of drinking water used for other domestic purposes are conducted, for the selected slum communities)
4. At least 50 water samples in each city analysed for relevant water quality parameters
5. Correlation between water quality and community health status researched and established
6. Intervention strategies identified

Activity 1.3: Socio-economic-behavioural assessment

Understanding the social determinants of health and illness is imperative for designing intervention packages. In the research process, this will include understanding in detail of the social fabric of the community, including social relationships, power dynamics, vulnerabilities and livelihood patterns. Focus will be on to understand the dynamics/position of women. Understanding will be developed on how gender relations and gender inequalities impact health and influence responses to illness in these communities. Gender research, focusing on the differential roles which men and women play, differences in their bargaining power, decision making etc. and the understanding of the social norms will help to understand the problem accurately and to identify solutions, training needs to impact behavioural changes. Mechanisms by which gender and socio-economic factors interact to intensify the disadvantages experienced by the vulnerable groups will also be looked into.

The kinds of questions that the team would attempt to answer in the project are:

- How does class, age or education influence the power to make decisions about one's own healthcare?
- Do young women and poorer women have the same access to information about health services? Does it differ with other social groups (men, rich women, old women etc?)
- Do women have any say in the decision making process? What kind of decisions do women take within the household/ community?
- Who controls funds derived from income generating opportunities? How is income used and spend within the household? Who makes decisions regarding the household budget and the expenses?
- What is the situation of women in the slum? What are the problems they face? How do the community respond to women WASH needs? How do they feel that things can be changed?
- What kind of activities are men, women involved in? How the activities of men and women effect their health?
- How do the men (old, young) prioritize their own health and women's health? How do the women themselves prioritize their health concerns? How they respond to ill health?
- What roles do male/female children play in the household? How much of their time is spend in securing access to WASH facilities?

The tools used for socio-economic assessments will be:

#### *Participatory Rural Appraisal (PRA)*

Participatory Rural Appraisal emphasizes local knowledge and enables local people to make their own appraisal, analysis, and plans that use group animation and exercises to facilitate information sharing, analysis, and action among stakeholders. The same shall be used to understand the social, cultural, political and economic conditions in which the communities operate. Semi structured interviews, Focused Group Discussions, Mapping and Rankings will be done to gather information.

#### *Group Discussions*

These will primarily be used to analyse and design strategies to address the gender dimensions. Seasonal calendars for health problems and planning of delivery of different services will also be extensively used.

#### **Expected Outputs/Milestones**

1. Document on social fabric of the urban slum community, including social relationships, power dynamics, vulnerabilities and livelihood patterns prepared
2. Dynamics/position of women in slums researched and a paper prepared. This would include the research that relates to the critical questions in the subject area, first such research in India

#### Activity 1.4 Health risk assessments and estimation of burden of disease

The second component seeks to perform a health risk assessment using the methodology developed by the World Health Organisation. The method assesses and compares the burden of disease due to select risk factors. Based on the performance of review of requirements for various risk factors used in the Global Burden of Disease (GBD) exercise, project team will identify risk factors for which reasonable data on exposure prevalence and levels of exposures can be collected locally.

Briefly the risk assessment methodology aims at mapping alternative population health scenarios to changes in distribution of exposure to the select risk factors over time. This has been termed as a "counterfactual approach" in which the contribution of one or a group of diseases, injuries or risk factors to a summary measure of population health is estimated by comparing the current or future levels of the summary measure with the levels that would be expected under some alternative hypothetical scenario, including the absence of or reduction in the disease(s) or risk factor(s) of interest. When combined with the intervention analysis, it provides a robust and health-centric framework for a cost-effectiveness analysis. The basic statistic obtained in this approach is the population attributable fraction (PAF) for a specific risk factor- defined as the proportional reduction in disease or death that would occur if exposure to the risk factor were reduced to zero. With several categories of exposures (n) possible PAF is defined as:

$$PAF = \frac{\sum_{i=1}^n P_i (RR_i - 1)}{\sum_{i=1}^n P_i (RR_i - 1) + 1}$$

Where  $P_i$  = population at exposure level  $i$ ;  
 $RR_i$  = relative risk at exposure level  $i$

Thus, the comprehensive exposure assessments planned for this project will enable generation of better local estimates as well as aid extrapolation perhaps at the city/state levels.

#### Expected Outputs/Milestones

1. Priority listing of risk factors
2. Socio economic demographic profile of the community established
3. Critical health problems of the community and their causes are identified (focus on WASH)
4. Behavioural changes that can lead to improvements in health of urban slum dwellers are identified

- 4.2 OBJECTIVE 2:** Develop and implement participatory intervention strategies in the selected urban areas that engage all potential stakeholders and incorporate a variety of disciplines. These strategies will be designed to facilitate adoption of measures to reduce WASH related risks, trigger behavioural changes, and support long-term participatory interaction among stakeholders.



### Activity 2.1 Stakeholder engagement process

Different stakeholders have different roles and shoulder different responsibilities. As an illustration, various categories of the stakeholders and their relative importance are shown in Table 1. These stakeholders need to be engaged for different purposes and using different approaches. A thorough understanding of their powers and responsibilities would be a prerequisite to involve them optimally and to maximum effect. In order to identify which stakeholders are to be engaged when and for what purpose, an exercise (shown in Table 2) will be done. To make sure that the benefits reach the intended beneficiaries, an assessment of what needs to be done will be conducted and the various stakeholders to be involved in this process will be identified. These stakeholders shall be engaged at different stages of the project implementation process either separately or in groups. The expected responsibilities that each category of stakeholder will have will be identified.

**Table 1: Illustration of stakeholder mapping**

|            | Low Influence  | High Influence   |
|------------|--|--|
| Low stake  | Financial Institutions<br>Research community<br>Private physicians | MoH<br>MoUD<br>MoDWS<br>NGOs   |
| High stake | Households<br>Women<br>Children                                    | PHED<br>Schools<br>Education Department<br>City Development Authority<br>Municipal Corporation<br>Health Department<br>Department of Child and women welfare |

Table 2: Example of Stakeholders to be engaged

| Project Beneficiaries | How the project will benefit?  | What needs to be changed / done for the purpose?   | Who else needs to be involved (The other stakeholders)?  |
|-----------------------|--|--|--|
| Urban Communities     | <ul style="list-style-type: none"> <li>Access to clean and healthy environment</li> <li>Greater role in decision making process</li> <li>Basket of livelihood opportunities</li> </ul> | <ul style="list-style-type: none"> <li>Improvement in sanitation infrastructure</li> <li>Sensitisation on importance of and measures for improved health and hygiene</li> <li>Provision of options for improved water quantity and quality</li> <li>Formation of community based institutions</li> <li>Credit intensification</li> <li>Establishment of micro-enterprises</li> </ul> | <ul style="list-style-type: none"> <li>Members of municipal council</li> <li>City Development Authority</li> <li>NGOs</li> <li>Banks and Financial Institutions</li> </ul> |
| Government Bodies     | <ul style="list-style-type: none"> <li>Improvement in capacity to discharge responsibilities</li> <li>Greater visibility due to improved performance</li> </ul>                        | <ul style="list-style-type: none"> <li>Sensitisation on authorities and responsibilities</li> <li>Capacity building of personnel</li> <li>Good implementation of pilot interventions</li> </ul>  |  |

**Expected Outputs/Milestone**

1. Stakeholder mapping done and documented
2. Project beneficiaries identified
3. Inputs from stakeholders for Urban WASH schemes is documented
5. Sensitization on authorities and responsibilities on urban WASH done.

The verifiable indicator would be number of meetings/ interaction/ workshop sessions with stakeholders.

**Activity 2.2 Plans for implementing intervention**

Prior experience of project partners suggests a need for some basic kinds of interventions to kick-start the process. Based on elaborate research (Objective 1), more interventions will be identified and designed in a participatory manner. These relate to those made in the community, and capacity building of the health service providers. These will be implemented after the three year duration of the research process. Following are some examples of the interventions:

i. *Films on Urban WASH interventions*

Professional film production illustrating through case studies about Urban WASH interventions, behavioural changes and health benefits particularly on women and children for wider dissemination.

ii. *Formation of Community Based Institutions*

During the course of project implementation, Community Based Institutions like Self Help Groups (SHGs) will be formed with the aim to promote and sustain WASH activities and bringing about attitudinal changes.

iii. *Capacity building of the community based institutions*

Capacity building of these community based institutions is yet another important intervention that will be carried out during the project implementation process. Capacity building process is a mix of training and cross visits and / or exposure visits to successful models.

iv. *Identification and implementation of interventions for immediate health impact:*

Interventions that bring about immediate positive impact on health will be identified and shall be implemented as one of the interventions. Such interventions could be one or more amongst the followings:

- a. Repair of hand pumps and wells
- b. Construction of soak pits to control water logging near water sources
- c. Construction of drains alongside street

These interventions will be implemented with community contribution either in cash or in kind. This may also be considered as incentive to the community for their participation in the research process.

**Expected Outputs/Milestone**

1. At least two films each of about 15 minutes duration on urban WASH interventions geared to make behavioural changes produced
2. Formation of two community based institutions (one in each city) on urban WASH and their capacity building done
3. Preparation of Standard Operating Procedure for WASH Infrastructure in urban slums in consonance with proposed National Urban Development Mission
4. Preparation of a model contract for O&M of WASH infrastructure.
5. Interventions that have immediate health impacts such as repair of soak pits, drains, hand-pumps etc implemented

The training material and handbook is part of the effort to make the project sustainable and transferable to other areas in India.

- 4.3 OBJECTIVE 3:** Build and catalyse requisite capacities in faculty, students, and decision makers to help address the challenges related to sanitation and health and their engagement in action research with the intent of finding replicable solutions to the sanitation problem. This will include:



- Develop a model curriculum of sanitation related subjects and integrate it into the curricula of relevant programs of TERI University and its dissemination for adoption by other Universities for both an immediate and a long term impact on the sector.
- Engage nation-wide student community to facilitate action and research to provide innovative sanitation solutions and reduction of related health risks.
- Sensitize mid-career professionals engaged with this sector to more systemic approaches to dealing with the challenges of delivering effective sanitation services.
- Inform policy influencing community on the potential solutions and alternative business models for providing sanitation services.

There will be a two way exchange of information/inputs from the lessons learned from activities defined under objectives 1 and 2 with the activities defined under this objective.

#### Activity 3.1 Stakeholder consultation workshop for infusing WASH curriculum in higher education

In the present situation, water, sanitation and hygiene components in addressed within umbrella of environmental subjects that too in a rudimentary fashion with the major focus being on water related issues. However, recognizing the scale and impact of the poor sanitation situation in the country, there exist a huge potential to enhance the learning outcomes of some of the existing academic programs in Universities by including a strong exposure to sanitation and health courses and research. The TERI University, with its focus on multi-disciplinary research and teaching, is well positioned to adopt and strengthen its curriculum to reflect sanitation and health issues appropriately and ensure an effective delivery of such courses/programs. This activity would undertake a curriculum design workshop and engage relevant experts to share their knowledge with a broad spectrum of students at the TERI University over a 5 year period.

The proposed workshop will be held with the aim to start the development of a model WASH curriculum, so that the final output is customized according to the capacities and needs of policymakers, managers and practitioners in the region. The main objectives of the proposed workshop would be:

- (a) To develop model curriculum, structure and pedagogy on the WASH
- (b) To generate consensus amongst participating universities on key details of the operational framework for integrating WASH curriculum in the regular degree programmes ,

It is expected that the proposed workshop will also bring out an executive plan of action with clear identification of the role and responsibilities of various stake holders and its dissemination among universities in their region. The findings of the workshop will be shared with key officials of Ministries/Departments in order to have their feedback and engage them in this initiative on a long-term basis.

#### Expected Outputs/Milestone

1. 25 different stakeholders engaged
2. Model curriculum, structure and pedagogy on WASH developed
3. Adoption of curriculum in various teaching programs of TERI University
4. Dissemination of curriculum in various universities offering higher education in South-East Asia

#### Activity 3.2 Institutionalise seminar series on WASH

A seminar series with expert lectures will be launched at TERI University for sensitizing students, policy makers and a wider community in the areas of WASH. The seminar series will bring in lead-thinkers/practitioners/innovators working within and outside India to discuss the current scenario of WASH, its health impacts, innovative solutions and possible directions. The seminars, similar to the usual practice at TERI University, will be broadcasted through websites and other electronic means for reaching a larger audience. About 15 lectures will be held and broadcasted in a year. In the 5 year duration we expect to have about 70 hours of high quality recorded lectures from eminent speakers which can be broadcasted through YouTube and circulated to library of various universities.

#### **Expected Outputs/Milestone**

1. 45 lectures by experts from various organizations working in the sector
2. Dissemination of lectures through social media
3. 45 hours of high quality recorded lectures on DVDs circulated in 50 libraries

#### **Activity 3.3 Conducting summer school on WASH**

A Summer School on "Health risk mitigation from WASH" will be designed and delivered for both students within the University as well as interested stakeholders from outside. This summer school would be offered in both face-to-face as well as online modes for maximizing reach. The summer school will be held during June-July every year starting from 2015. This period will be suitable for students in various universities and for in-service professionals to enroll in the programme. The summer school will have components of model course curriculum developed under activity 4.3.1 of this project. It is expected that every year about 50 students will benefit from this activity.

#### **Expected Outputs/Milestone**

1. Three summer schools on WASH aspects conducted: one in each year
2. Atleast 200 students (including mid-career professionals from government particularly MoUD, ULBs and youth) benefitted.

#### **Activity 3.4 Training of trainers program on WASH**

Special training for teachers and students will be planned in the school/colleges located in metropolitan cities of Chennai and Kolkata, to generate specific awareness and teaching capacity in the domains on WASH and its impact for improved health. The efforts will help mobilize private sector engagement, public sector integration and development partners for WASH efforts in the cities. The training programme details, pedagogy and resource materials will be worked out during the workshop proposed under the activity 4.1.1, 4.1.2 and 4.3.1 of this project.

#### **Expected Outputs/Milestone**

1. Total six training programs conducted : 2 in each year
2. 150 school teachers benefitted for catalysing behavioural changes in slum children on WASH (This will have a multiplier benefit of educating 7500 children particularly girls)

#### **Activity 3.5 National competition on Water Resources Management (including Sanitation)**

Colleges and universities, as leaders of innovation in academic society, have the potential to demonstrate several sustainable principles around their campuses. Such potential needs to be mobilized to engage faculty and students with the wider communities that they are part of so that they can provide a road map for water management. It is with this in mind, that this concept of an 'Inter-University Competition on Water Resources Management (Including Sanitation)' will be carried out. This activity while engaging youth in positive action will also serve as a platform to acknowledge and reward colleges who design innovative, inclusive, systemic and practical approaches to manage water resources in their vicinity. This competition under the USAID supported project will have the focus on strengthening the sanitation and health components while at the same time enhancing the resource pool of experts available to guide student teams on these aspects. Innovative solutions/ ideas for WASH would be an essential part of this competition. **The team composition criteria for participation in this competition would be expanded to include representation from a Medical college/public health program to allow knowledge sharing opportunity on clinical aspects of health issues related with water and sanitation.**

A two-step process would be adopted for selection of best proposals – one at a regional level (5 regions- North, South, West, East, and Central) and the other that would invite the top two or three teams from each region to compete at a national level. Regional selection of best projects will be done through regional juries who are well versed with the locale specific WASH issues. Regional media will be approached for partnership to have a strong promotional campaign linked at strategic points of the program such as launch, announcement of competitions, regional selections, success of field level projects, and selection of the National finalists.

TERI University faculty/staff will be actively involved with the team and will act as the Master trainers on WASH. Regular contact with the faculty members will be maintained for adequate hand holding to the students for conceptualization of their projects. Sustainability and scalability of the chosen interventions will be a strong component of evaluation criteria while grading the presentations made by students. Engagement plan of relevant stakeholder groups in the proposals will be encouraged.

#### **Expected Outputs/Milestone**

1. Participation of 75 colleges from various parts of India
2. Engagement of different stakeholders on WASH from various cities
3. Participation of about 350 students in the competition on WASH

#### **Activity 3.6 State of Water report (including WASH)**

India's State of Water report with special focus on WASH will be published to describe the current scenario, underlying causes of the state of affairs in the sector, and present practical solutions for Industry, Government and Public at large.

#### **Expected Outputs/Milestone**

1. Publication of a unique report , first of its kind in India, covering current state of affairs on WASH, governance, institutional, policy and technological challenges, solution space and policy advocacy,
2. An International (regional) conference for mass dissemination of the information.
3. 500 copies printed for dissemination
4. Short communication briefs (complying to information used for State of Water Report), written in vernacular languages for circulation among the inhabitants and local stakeholders



### Activity 3.7 Incubating a WASH challenge

Students of the TERI University, at the master's level, are encouraged to come up with innovative ideas which can be transformed into small businesses / small start-ups. It is proposed to institutionalize limited numbers of grants for studying new ideas, and doing pilot implementations especially across the components of WASH in Kolkata and Chennai, by students under the supervision of the faculty members and Coca-Cola. Efforts will complement Coca Cola SMS programs in the two cities of Kolkata and Chennai and help establish at least one city to city academic linkage (e.g. TERI University, Delhi & St. Xaviers College, Kolkata) on Urban WASH governance.

#### Expected Outputs/Milestone

1. 12 researchers engaged for dedicated research to address WASH challenges in developing countries
2. 5 innovative solutions to WASH challenges mentored and developed

## 5.0 MONITORING AND EVALUATION

Regular monitoring and evaluation of the project will be carried out in order to assess the milestones achieved as per the desired plan. During the project, on-going monitoring and evaluation will be integrated into the strategy as part of an iterative and reflective process. Information from systematic monitoring of the process, methods and intermediate results will be used to refine the project processes. Monitoring will primarily focus:

- Changes in attitudes, actions and relationships of various stakeholder/target groups.
- Number of members of target groups participated in project activities, openness to ideas.
- Reach of the interventions/capacity to generate projects.
- Strategies employed for project processes and implementation.
- Involvement of the target groups as co-researchers (women and vulnerable group).
- Implementing pilot scale interventions (whether interventions systematically planned, resources deployed and leveraged, acceptance and ownership of the interventions etc.).
- Functioning of the team as an organizational unit
- Skill up-gradation of researchers, number of inter-institutional trainings held.
- Monitoring systems put in place/beneficiary assessment (*Feedback forms, write-ups of informal interactions, refinements of project methodology due to learning*)

The research process being a participatory process, qualitative analysis will be as useful as quantitative analyses in assessing the performance. This will also be done on a half-yearly basis and evaluated in the Project Co-ordination Committee and Technical Advisory Group meetings to extract "learning" and design the future course of action for the project. At the end it will generate a series of 'lessons learned' to serve as precedents for future programme.

## 6.0 OUTPUTS & OUTCOMES

### 6.1 OUTPUTS

This will include an exposure matrix and determination of the differential impact on the sexes and different age groups.

#### Community level outputs

- Baseline health, WASH and socio-economic profile of the urban community including a list of risk factors and their estimated relative impacts on the health of the community.
- Vulnerable social groups identified and health risks prioritized.
- Participatory intervention model designed and tested in the communities to enhance awareness and initiate action on improving sanitation practices, and other priorities identified during the research.
- A preliminary slum and economically weaker urban section WASH behaviour plan prepared.
- A set of community and WASH indicators relevant for slums developed.
- Local community sensitized and empowered to a level where they demand entitlements and services and take collective steps to improve their lives.
- Relationships and understanding between various stakeholders matured to co-ordinate their activities to maximize effect.
- Capacity of the community is built to participate proactively in designing and sustaining interventions relating to WASH and resource management through collective decision making, investing and leveraging resources and acquiring management skills.
- Communities have access to sanitation facilities, formal and non-formal education etc.
- Partnerships with other stakeholders (both government and non-government) formed to synchronise and accelerate developmental efforts

#### Policy level outputs

- Evaluation of participatory intervention model, lessons learned and next steps.
- Policy makers provided with requisite evidence and tools to frame guidelines and norms that minimize WASH related health risks.
- Planning authorities provided with better tools to plan city wide WASH campaigns.
- Policies at the regional and national scale influenced to integrate WASH related health framework in decision making.

#### *Plans to influence policy*

Using the project results, policy advocacy will be done through policy dialogues, and policy awareness meetings with concerned departments/ institutions. The objectives of this will be:

- **To influence existing State/City plans on WASH** in an easily implementable way. Towards this end, an attempt will be made to influence policies in the state for making WASH related surveillance mandatory in future.
- **To influence status of WASH related compliance.** Through key stakeholder dialogue and pilot demonstration of WASH intervention in slums, the project team would strive to enhance the compliance status in the study area. Outside of the study area efforts also will be made to government schemes.
- **To dovetail WASH provisions in city planning.** Lack of concerted approach on WASH has meant that city infrastructure planning do not have adequate guidelines for provision and siting WASH facilities throughout the city geographical area. This project can try and look at use of this policy for better decision making in future, especially for urban WASH guidelines (like the guidelines prepared for Municipal Solid Waste Management by MoUD).
- **To reinforce the existing public policies for mutual advantage.** Decentralized WASH intervention offers a huge scope in terms of environmental improvement and livelihood creation. Biogas (generated from anaerobic waste treatment) could be used effectively for cooking and hence improve indoor air quality. From TERI's past studies it is understood that the need is to seek strong waste utilization policies in all urban residential colonies and slums.

## 6.2 OUTCOME

It is clear that India is struggling to meet its MDG targets, including the total sanitation and hygiene measure. Through the financial aid requested by USAID, the program partners expect to



make a perceptible change in the thinking of various stakeholders, including policy planners and grass-root level implementers. The change implemented through the program goes a long way beyond the project duration through cascading impact, as other universities learn and replicate the coursework in their respective curriculum, thus creating awareness and capacity building catering to a larger audience.

The scale of India's WASH challenges are such that the outcomes of this project – in terms of capacity building, participative problem solving, dispersed wide scale engagement of all stakeholders – should necessarily be built upon further. Undoubtedly, the learning from this initiative will inform/refine the nature of future engagement but the program partners would like to see this as a long term effort. Once established, synergies with existing networks and programs on WASH in the country would be explored and possible linkages would be developed.

## 7.0 PROJECT MANAGEMENT

One of the most important aspects about this project is the partnership among the participating organizations and the manner in which this partnership supports a more integrated and strategic outcome. This is extremely important to really coalesce the multiple skill sets into a trans-disciplinary action plan, upon which the success of the project depends. The operational structure of the project has been designed keeping this in view. This is shown in *Figure 1*.

The core of the whole structure is the Project Co-ordination team (PCT) which comprises representatives from the various technical teams. This team co-ordinates with the core team (comprising senior most persons from each partnering institution and select members of the project team) on one hand and with the subject specialist teams on the other hand. The Technical Advisory Group (TAG) (comprising of senior people from State Government, ULBs, experts, and Ministry officials) has been formed to guide the PCT on crucial issues related to design of the research process and ensuring long term sustainability of the outputs and outcomes. An Ethical Committee comprising eminent people from the relevant fields has been formed to ensure that the project activities protect the dignity, rights and wellbeing of the potential project participants. The roles and responsibilities of different teams are given in Table 3.

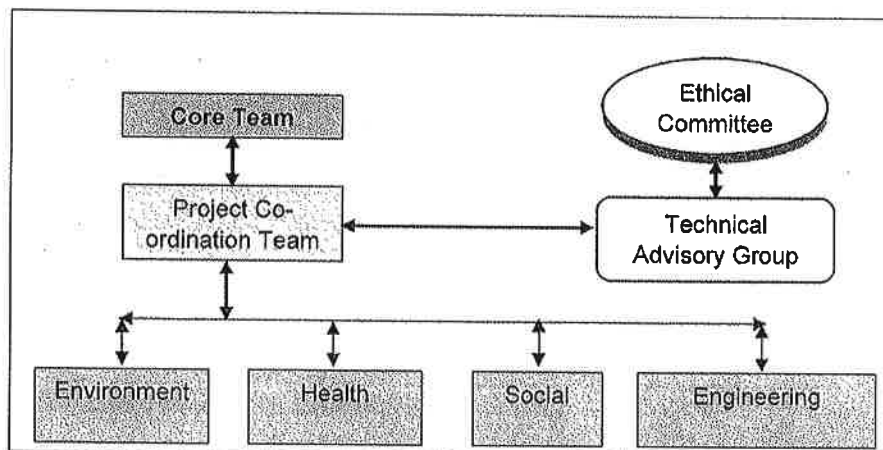


Figure 1: Project Operational Structure

## 8.0 COMMUNICATION/DISSEMINATION OF PROJECT



To share "learning" from the project activities with stakeholders (urban community, experts and the policy makers) the project process and the results will be communicated and disseminated through several media. For different stakeholders, different kinds of dissemination mechanisms will be utilized. These are:

- Urban Community: Formal and informal interactions, designing and implementing interventions even after the project duration.
- Local Level Government Departments: Individual and group interactions, training of health care personnel, newsletter articles.
- Policy Makers: Policy dialogues, presentations/participation in workshop, newsletter articles, strategy notes based on results (if required).
- Development organisations: Technical reports on urban WASH situation; interactions through dialogues, website postings, newsletter articles.
- Scientific Community: Involvement in peer reviews; publish articles in reputed national and international journals; presentations in external events such as workshops and conferences; website postings.

Besides targeted dissemination, the research results will also be widely disseminated through individual websites of the partner organizations. In addition, annual newsletter will be used to disseminate the "learning" from the research processes and findings. Key personnel of participating institutions being proactively involved in policy advocacy and framing guidelines, experience from this research process will be utilized and shared, wherever suitable.

Table 3: Responsibilities of project team

| Team                     | Responsibility  | Frequency of meeting  |
|--------------------------|---|---|
| Core team                | Support project through guidance, influence and leveraging resources<br>Mobilisation of relevant stakeholders, design & refine interventions  | Will meet whenever required, the maximum time being after each 6 months |
| PCT                      | Ensure that project outputs of high standards are delivered within assigned timelines, by<br>Ensuring proper communication processes are in place, are functional & regular.<br>Co-ordinating activities of technical teams<br>Consolidating and critically analysing outputs of each research team<br>Balancing differences in thoughts, perceptions, opinions and priorities amongst the technical teams.<br>Reporting to TAG for inputs and guidance | Every 4 months  |
| TAG                      | Advice and guide the Technical Co-ordination Team on implications of various activities in a longer term perspective.   | Once in a year  |
| Ethical team             | Ensure that the project processes comply with the principles of informed consent, privacy etc. and protect the dignity, rights and wellbeing of the potential project participants.<br>Guide on Risk communication strategies   | Once in a year  |
| Subject specialist teams |   |   |
| Environment              | Water Quality Monitoring<br>Risk assessment<br>Estimation of WASH related risk factors<br>Providing technical inputs for interventions  |   |
| Health                   | Health Status Monitoring/check ups<br>Capacity Assessment of Medical Facilities<br>Prevalence rate of WASH related diseases in the community and prioritizing them.   |   |
| Social                   | Engaging the community for project activities<br>Engaging the local stakeholders through individual interactions/ dialogues/interviews<br>Designing social interventions with the community<br>Implement the interventions along with the community using technical inputs from other teams.  |   |

|             |   |  |
|-------------|---|--|
|             | Mapping of the socio-ecological problem dynamic                                   |  |
| Engineering | Research on & demonstration of intervention projects<br>Capacity building program |  |

## 9.0 SUSTENANCE OF PROJECT BEYOND USAID FUNDING

Sustaining the benefits is fundamental to this project's success. WASH objectives can be accomplished through a combination of technological, behavioural and institutional measures. These measures can fall in the categories of short-, medium- or long-term. Efforts will be directed strategically to harness CSR funds of corporates, and linking it with activities of Government of India programmes like 'Smart Cities', 'Swatchh Bharat Abhiyaan', river cleaning programme etc. and other Donors programs. The proposed project will strengthen the Department of Regional Water Studies in TERI University which will incorporate WASH in its teaching programme and generate a wide, multi-stakeholder understanding of the need for addressing WASH issues in India. The Department will continue to develop linkages with urban local bodies, and sanitation networks so as to engage a wide and influential audience. The project team will constantly be seeking other platforms to enlarge and sustain the impact of this project over the longer term such as international conferences, peer reviewed journal articles, social media presence etc.

## 10.0 ASSUMPTIONS IN PROJECT OUTCOME

- Increased resource allocation by central and state governments to the WASH sector.
- Increased capacity of city governments in absorbing technical and managerial inputs to deliver WASH services specially targeting urban poor.
- Increased convergence between various stakeholder organisations.
- Increased involvement and investment by private sector for decentralised urban WASH interventions and initiatives.
- Cooperation by urban local authorities.

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### ACTIVITY PLAN

Indicative Work plan\*

| Activity | Year 1 (time in quarter year) |   |   |   | Year 2 (time in quarter year) |   |   |   | Year 3 (time in quarter year) |    |    |    |
|----------|-------------------------------|---|---|---|-------------------------------|---|---|---|-------------------------------|----|----|----|
|          | 1                             | 2 | 3 | 4 | 5                             | 6 | 7 | 8 | 9                             | 10 | 11 | 12 |
| 1.1      |                               |   |   |   |                               |   |   |   |                               |    |    |    |
| 1.2      |                               |   |   |   |                               |   |   |   |                               |    |    |    |
| 1.3      |                               |   |   |   |                               |   |   |   |                               |    |    |    |
| 2.1      |                               |   |   |   |                               |   |   |   |                               |    |    |    |
| 2.2      |                               |   |   |   |                               |   |   |   |                               |    |    |    |
| 3.1      |                               |   |   |   |                               |   |   |   |                               |    |    |    |
| 3.2      |                               |   |   |   |                               |   |   |   |                               |    |    |    |
| 3.3      |                               |   |   |   |                               |   |   |   |                               |    |    |    |
| 3.4      |                               |   |   |   |                               |   |   |   |                               |    |    |    |
| 3.5      |                               |   |   |   |                               |   |   |   |                               |    |    |    |
| 3.6      |                               |   |   |   |                               |   |   |   |                               |    |    |    |
| 3.7      |                               |   |   |   |                               |   |   |   |                               |    |    |    |

\*shade of the colour reflects the intensity of activity during the period. A detailed work plan will be submitted on the commencement of the project.

### ATTACHMENT 3

#### MANDATORY STANDARD PROVISIONS FOR FIXED OBLIGATION GRANTS TO NONGOVERNMENTAL ORGANIZATIONS

##### M1. SUBMISSIONS TO THE DEVELOPMENT EXPERIENCE CLEARINGHOUSE AND DATA RIGHTS (JUNE 2012)

###### a. Submissions to the Development Experience Clearinghouse (DEC).

- 1) The recipient must provide the Agreement Officer's Representative one copy of any Intellectual Work that is published, and a list of any Intellectual Work that is not published.
- 2) In addition, the recipient must submit Intellectual Work, whether published or not, to the DEC, either on-line (preferred) or by mail. The recipient must review the DEC Web site for submission instructions, including document formatting and the types of documents to submit. Submission instructions can be found at: <https://dec.usaid.gov>
- 3) For purposes of submissions to the DEC, Intellectual Work includes all works that document the implementation, evaluation, and results of international development assistance activities developed or acquired under this award, which may include program and communications materials, evaluations and assessments, information products, research and technical reports, progress and performance reports required under this award (excluding administrative financial information), and other reports, articles and papers prepared by the recipient under the award, whether published or not. The term does not include the recipient's information that is incidental to award administration, such as financial, administrative, cost or pricing, or management information.
- 4) Each document submitted should contain essential bibliographic information, such as 1) descriptive title; 2) author(s) name; 3) award number; 4) sponsoring USAID office; 5) development objective; and 6) date of publication.
- 5) The recipient must not submit to the DEC any financially sensitive information or personally identifiable information, such as social security numbers, home addresses and dates of birth. Such information must be removed prior to submission. The recipient must not submit classified documents to the DEC.

###### b. Rights in Data

- 1) Data means recorded information, regardless of the form or the media on which it may be recorded, including technical data and computer software, and includes Intellectual Work, defined in a. above.
- 2) Unless otherwise provided in this provision, the recipient may retain the rights, title and interest to Data that is first acquired or produced under this award. USAID reserves a royalty-free, worldwide, nonexclusive, and irrevocable right to use, disclose, reproduce, prepare



derivative works, distribute copies to the public, and perform publicly and display publicly, in any manner and for any purpose, and to have or permit others to do so.

c. Copyright. The recipient may copyright any books, publications or other copyrightable materials first acquired or produced under this award. USAID reserves a royalty-free, worldwide, nonexclusive, and irrevocable right to use, disclose, reproduce, prepare derivative works, distribute copies to the public, and perform publicly and display publicly, in any manner and for any purpose, and to have or permit others to do so.

d. The recipient will provide the U.S. Government, on request or as otherwise provided in this award, a copy of any Data or copyrighted material to which the U.S. Government has rights under paragraphs b. and c. of this provision. The U.S. Government makes no representations or warranties as to title, right to use or license, or other legal rights or obligations regarding any Data or copyrighted materials.

[END OF PROVISION]

## M2. MARKING AND PUBLIC COMMUNICATIONS UNDER USAID-FUNDED ASSISTANCE (AUGUST 2013)

a. The USAID Identity is the official marking for USAID, comprised of the USAID logo and brandmark with the tagline "from the American people." The USAID Identity is on the USAID Web site at [transition.usaid.gov/branding](http://transition.usaid.gov/branding). Recipients must use the USAID Identity, of a size and prominence equivalent to or greater than any other identity or logo displayed, to mark the following:

- (1) Programs, projects, activities, public communications, and commodities partially or fully funded by USAID;
- (2) Program, project, or activity sites funded by USAID, including visible infrastructure projects or other physical sites;
- (3) Visual productions, public service announcements, Web visual productions, public service announcements, Web sites/Internet activities, promotional, informational, media, or communications products funded by USAID;
- (4) Commodities, equipment, supplies, and other materials funded by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs; and
- (5) Events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities. If the USAID Identity cannot be displayed, the recipient is encouraged to otherwise acknowledge USAID and the support of the American people.

b. The recipient must implement the requirements of this provision following the approved Marking Plan in the award.

c. The AO may require a preproduction review of program materials and "public communications" (documents and messages intended for external distribution, including but not limited to correspondence; publications; studies; reports; audio visual productions; applications; forms; press; and promotional materials) used in connection with USAID-funded programs, projects or activities, for compliance with an approved Marking Plan.

d. The recipient is encouraged to give public notice of the receipt of this award and announce progress and accomplishments. The recipient must provide copies of notices or announcements to Agreement Officer's Representative (AOR) and to USAID's Office of Legislative and Public Affairs in advance of release, as practicable. Press releases or other public notices must include a statement substantially as follows:

"The U.S. Agency for International Development administers the U.S. foreign assistance program providing economic and humanitarian assistance in more than 80 countries worldwide."

e. Any "public communication," in which the content has not been approved by USAID, must contain the following disclaimer:

"This study/report/audio/visual/other information/media product (specify) is made possible by the generous support of the American people through the United States Agency for International Development (USAID). The contents are the responsibility of [insert recipient name] and do not necessarily reflect the views of USAID or the United States Government."

(5) Events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities. If the USAID Identity cannot be displayed, the recipient is encouraged to otherwise acknowledge USAID and the support of the American people.

b. The recipient must implement the requirements of this provision following the approved Marking Plan in the award.

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e. Any "public communication," in which the content has not been approved by USAID, must contain the following disclaimer:

"This study/report/audio/visual/other information/media product (specify) is made possible by the generous support of the American people through the United States Agency for International Development (USAID). The contents are the responsibility of TERI University and do not necessarily reflect the views of USAID or the United States Government."

"As a condition of receipt of this subaward, marking with the USAID Identity of a size and prominence equivalent to or greater than the recipient's, subrecipient's, other donor's, or third party's is required. In the event the recipient chooses not to require marking with its own identity or logo by the subrecipient, USAID may, at its discretion, require marking by the subrecipient with the USAID Identity."

[END OF PROVISION]

#### M3. DRUG TRAFFICKING AND DRUG-FREE WORKPLACE (JUNE 2012)

In the event the recipient or any of its employees, subrecipients, or contractors are found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR 140, USAID reserves the right to terminate this award, in whole or in part, or take any other appropriate measures including, without limitation, refund or recall of any award amount. Additionally, the recipient must make a good-faith effort to maintain a drug-free workplace and USAID reserves the right to terminate or suspend this award if the recipient materially fails to do so.

[END OF PROVISION]

#### M4. DEBARMENT AND SUSPENSION (JUNE 2012)

a. The recipient must not transact or conduct business under this award with any individual or entity listed on the Excluded Parties List System ([www.epls.gov/](http://www.epls.gov/)) unless prior approval is received from the Agreement Officer. The list contains those individuals and entities that the U.S. Government has suspended or debarred based on misconduct or a determination by the U.S. Government that the person or entity cannot be trusted to safeguard U.S. Government funds. Suspended or debarred entities or individuals are excluded from receiving any new work or any additional U.S. Government funding for the duration of the exclusion period. If the recipient has any questions about listings in the system, these must be directed to the Agreement Officer.

b. The recipient must comply with Subpart C of 2 CFR Section 180, as supplemented by 2 CFR 780, USAID may disallow costs, annul or terminate the transaction, debar or suspend the recipient, or take other remedies as appropriate, if the recipient violates this provision. Although



doing so is not automatic, USAID may terminate this award if a recipient or any of its principals meet any of the conditions listed in paragraph c. below. If such a situation arises, USAID will consider the totality of circumstances—including the recipient's response to the situation and any additional information submitted—when USAID determines its response.

c. The recipient must notify the Agreement Officer immediately upon learning that it or any of its principals, at any time prior to or during the duration of this award:

- (1) Are presently excluded or disqualified from doing business with any U.S. Government entity;
- (2) Have been convicted or found liable within the preceding three years for committing any offense indicating a lack of business integrity or business honesty such as fraud, embezzlement, theft, forgery, bribery or lying;
- (3) Are presently indicted for or otherwise criminally or civilly charged by any governmental entity for any of the offenses enumerated in paragraph c.(2); or
- (4) Have had one or more U.S.-funded agreements terminated for cause or default within the preceding three years.

d. Principal means—

- (1) An officer, director, owner, partner, principal investigator, or other person within a participant with management or supervisory responsibilities related to a covered transaction; or
  - (2) A consultant or other person, whether or not employed by the participant or paid with Federal funds, who—
    - (i) Is in a position to handle Federal funds;
    - (ii) Is in a position to influence or control the use of those funds; or,
    - (iii) Occupies a technical or professional position capable of substantially influencing the development or outcome of an activity required to perform the covered transaction.
- e. The recipient must include this provision in its entirety except for paragraphs c.(2)-(4) in any subagreements, including subawards or contracts, entered into under this award.

[END OF PROVISION]

#### M5. PREVENTING TERRORIST FINANCING (AUGUST 2013)

a. The recipient must not engage in transactions with, or provide resources or support to, individuals and organizations associated with terrorism, including determines its response.

c. The recipient must notify the Agreement Officer immediately upon learning that it or any of its principals, at any time prior to or during the duration of this award:

- (1) Are presently excluded or disqualified from doing business with any U.S. Government entity;

(2) Have been convicted or found liable within the preceding three years for committing any offense indicating a lack of business integrity or business honesty such as fraud, embezzlement, theft, forgery, bribery or lying;

(3) Are presently indicted for or otherwise criminally or civilly charged by any governmental entity for any of the offenses enumerated in paragraph c.(2); or

(4) Have had one or more U.S.-funded agreements terminated for cause or default within the preceding three years.

d. Principal means—

(1) An officer, director, owner, partner, principal investigator, or other person within a participant with management or supervisory responsibilities related to a covered transaction; or

(2) A consultant or other person, whether or not employed by the participant or paid with Federal funds, who—

(i) Is in a position to handle Federal funds;

(ii) Is in a position to influence or control the use of those funds; or,

(iii) Occupies a technical or professional position capable of substantially influencing the development or outcome of an activity required to perform the covered transaction.

e. The recipient must include this provision in its entirety except for paragraphs c.(2)-(4) in any subagreements, including subawards or contracts, entered into under this award.

[END OF PROVISION]

#### M6. TRAFFICKING IN PERSONS (JUNE 2012)

a. USAID is authorized to terminate this award, without penalty, if the recipient or its employees, or any subrecipient or its employees, engage in any of the following conduct:

(1) Trafficking in persons (as defined in the Protocol to Prevent, Suppress, and Punish Trafficking in Persons, especially Women and Children, supplementing the UN Convention against Transnational Organized Crime) during the period of this award;

(2) Procurement of a commercial sex act during the period of this award; or

(3) Use of forced labor in the performance of this award.

b. For purposes of this provision, "employee" means an individual who is engaged in the performance of this award as a direct employee, consultant, or volunteer of the recipient or any subrecipient.

c. The recipient must include in all subagreements, including subawards and contracts, a provision prohibiting the conduct described in a(1)-(3) by the subrecipient, contractor or any of their employees.

[END OF PROVISION]

**M7. VOLUNTARY POPULATION PLANNING ACTIVITIES – MANDATORY REQUIREMENTS (MAY 2006)**

**a. Requirements for Voluntary Sterilization Programs**

(1) Funds made available under this award must not be used to pay for the performance of involuntary sterilization as a method of family planning or to coerce or provide any financial incentive to any individual to practice sterilization.

**b. Prohibition on Abortion-Related Activities:**

(1) No funds made available under this award will be used to finance, support, or be attributed to the following activities: (i) procurement or distribution of equipment intended to be used for the purpose of inducing abortions as a method of family planning; (ii) special fees or incentives to any person to coerce or motivate them to have abortions; (iii) payments to persons to perform abortions or to solicit persons to undergo abortions; (iv) information, education, training, or communication programs that seek to promote abortion as a method of family planning; and (v) lobbying for or against abortion. The term "motivate," as it relates to family planning assistance, must not be construed to prohibit the provision, consistent with local law, of information or counseling about all pregnancy options.

(2) No funds made available under this award will be used to pay for any biomedical research which relates, in whole or in part, to methods of, or the performance of, abortions or involuntary sterilizations as a means of family planning. Epidemiologic or descriptive research to assess the incidence, extent, or consequences of abortions is not precluded.

[END OF PROVISION]

**M8. EQUAL PARTICIPATION BY FAITH-BASED ORGANIZATIONS (JUNE 2012)**

**a. Faith-Based Organizations Encouraged.**

Faith-based organizations are eligible to compete on an equal basis as any other organization to participate in USAID programs. Neither USAID nor entities that make and administer subawards of USAID funds will discriminate for or against an organization on the basis of the organization's religious character or affiliation. A faith-based organization may continue to carry out its mission, including the definition, practice, and expression of its religious beliefs, within the limits contained in this provision. More information can be found at the USAID Faith-Based and Community Initiatives Web site: <http://www.usaid.gov> and 22 CFR 205.1.

**b. Inherently Religious Activities Prohibited.**



- (1) Inherently religious activities include, among other things, worship, religious instruction, prayer, or proselytization.
  - (2) The recipient must not engage in inherently religious activities as part of the programs or services directly funded with financial assistance from USAID. If the recipient engages in inherently religious activities, it must offer those services at a different time or location from any programs or services directly funded by this award, and participation by beneficiaries in any such inherently religious activities must be voluntary.
  - (3) These restrictions apply equally to religious and secular organizations. All organizations that participate in USAID programs, including religious ones, must carry out eligible activities in accordance with all program requirements and other applicable requirements governing USAID-funded activities.
  - (4) These restrictions do not apply to USAID-funded programs where chaplains work with inmates in prisons, detention facilities, or community correction centers, or where USAID funds are provided to religious or other organizations for programs in prisons, detention facilities, or community correction centers, in which such organizations assist chaplains in carrying out their duties.
  - (5) Notwithstanding the restrictions of b(1) and (2), a religious organization that participates in USAID-funded programs or services
    - (i) Retains its independence and may continue to carry out its mission, including the definition, practice, and expression of its religious beliefs, provided that it does not use direct financial assistance from USAID to support any inherently religious activities,
    - (ii) May use space in its facilities, without removing religious art, icons, scriptures, or other religious symbols, and
    - (iii) Retains its authority over its internal governance, and it may retain religious terms in its organization's name, select its board members on a religious basis, and include religious references in its organization's mission statements and other governing documents.
- c. Construction of Structures Used for Inherently Religious Activities Prohibited. The recipient must not use USAID funds for the acquisition, construction, or rehabilitation of structures to the extent that those structures are used for inherently religious activities, such as sanctuaries, chapels, or other rooms that the recipient uses as its principal place of worship. Except for a structure used as its principal place of worship, where a structure is used for both eligible and inherently religious activities, USAID funds may not exceed the cost of those portions of the acquisition, construction, or rehabilitation that are attributable to eligible activities.
- d. Discrimination Based on Religion Prohibited. The recipient must not discriminate against any beneficiary or potential beneficiary on the basis of religion or religious belief as part of the programs or services directly funded with financial assistance from USAID.

e. A religious organization's exemption from the Federal prohibition on employment discrimination on the basis of religion, set forth in Sec. 702 (a) of the Civil Rights Act of 1964, 42 U.S.C. 2000e-1 is not forfeited when the organization receives financial assistance from USAID.

f. The Secretary of State may waive the requirements of this section in whole or in part, on a case-by-case basis, where the Secretary determines that such waiver is necessary to further the national security or foreign policy interests of the United States.

[END OF PROVISION]

M9. USAID Implementing Partner Notices (IPN) Portal for Assistance (July 2014)

#### USAID IMPLEMENTING PARTNER NOTICES (IPN) PORTAL FOR ASSISTANCE

For use in all solicitations and resulting awards. Please refer to ADS 303, Section 303.3.31, "USAID Implementing Partner Notices (IPN) Portal For Assistance" for additional guidance.

##### (a) Definitions

"USAID Implementing Partner Notices (IPN) Portal for Assistance ("IPN Portal)" means the single point where USAID posts proposed universal bilateral amendments for USAID awards, which can be accessed electronically by registered USAID recipients. The IPN Portal is located at <https://sites.google.com/site/usaidipnforassistance/>.

"IPN Portal Administrator" means the USAID official designated by the Director, M/OAA, who has overall responsibility for managing the USAID Implementing Partner Notices Portal for Assistance.

"Universal bilateral amendment" means those amendments with revisions or new requirements or provisions that affect all awards or a designated class of awards, as specified in the Agency notification of such revisions or new requirements. (b) By submission of an application and execution of an award, the Applicant/Recipient acknowledges the requirement to:

(1) Register with the IPN Portal if awarded an assistance award resulting from this solicitation, and

(2) Receive universal bilateral amendments to this award and general notices via the IPN Portal.

(c) Procedure to register for notifications.

Go to <https://sites.google.com/site/usaidipnforassistance/> and click the "Register" button at the top of the page. Recipient representatives must use their official organization email address when subscribing, not personal email addresses.

(d) Processing of IPN Portal Amendments

The Recipient may access the IPN Portal at any time to review all IPN Portal amendments; however, the system will also notify the Recipient by email when the USAID IPN Portal Administrator posts a universal bilateral amendment for Recipient's review and signature. Proposed USAID IPN Portal amendments distributed via the IPN Portal are applicable to all awards, unless otherwise noted in the proposed amendment.

Within 15 calendar days from receipt of the notification email from the IPN Portal, the Recipient must do one of the following:

(1) (a) verify applicability of the proposed amendment for their award(s) per the instructions provided with each amendment; (b) download the amendment and incorporate the following information on the amendment form: award number, organization name, and organization mailing address as it appears in the basic award; (c) sign the hardcopy version; and (d) send the signed amendment (by email or hardcopy) to the AO for signature. The Recipient must not incorporate any other changes to the IPN Portal amendment. Bilateral amendments provided through the IPN Portal are not effective until the both the Recipient and the AO sign the amendment;

(2) Notify the AO in writing if the amendment requires negotiation of additional changes to terms and conditions of the award; or

(3) Notify the AO that the Recipient declines to sign the amendment.

Within 30 calendar days of receipt of a signed amendment from the Recipient, the AO must provide the fully executed amendment to the Recipient or initiate discussions with the Recipient.

[End of Provision]

[END OF MANDATORY PROVISIONS]

[END OF AGREEMENT]



SSFA/2017/TERI University/002

POW 2016-2017: Sub-programme: Resource Efficiency –  
Sustainable Consumption and Production

Grant: GMNR 64ROA WBSE Element: SB-000304.02

Functional Area: 14AC0004 Cost Centre: 11228

Cost: \$ 20,000. -



### Small-Scale Funding Agreement

**THIS SMALL-SCALE FUNDING AGREEMENT (SSFA)** and its annexes (this "Agreement") is made on 24 August 2017.

BETWEEN:

United Nations Environment Programme (hereinafter referred to as "UNEP" represented by the Regional Office for Asia and Pacific), an international inter-governmental organisation established by the General Assembly of the United Nations.

AND:

TERI UNIVERSITY (hereinafter referred to as "TERI U"), a non-profit making organization having its office at Plot No. 10, Institutional Area, Vasant Kunj, New Delhi, Pin- 110070, India,

UNEP agrees to co-operate with TERI U with Dr Shaleen Singhal

1. Project/Programme objectives to which the small-scale funding contributes:

To support the implementation of Lao PDR's Sustainable Consumption and Production policy mainstreaming programme.

To build current and future human resources on SCP for the future through development, integration and delivery of SCP into tertiary and vocational curricula.

Education and training on SCP are essential for any country, but in particular for countries where SCP policy development is at early stages. Capacity is a limitation for SCP policy development. Therefore this activity will focus on increasing the amount of current and future public officials with awareness about SCP, and for the first time, tertiary curricula will be developed and delivered to students at the National University of Lao PDR. Within the context of this SCP policy programme, this agreement will encompass the following duties and activities:

- In collaboration with national stakeholders develop and curriculum for Sustainable Consumption and Production for Lao PDR National University;
- Attend two national multi-stakeholder coordination meetings for the development a curriculum on SCP to monitor progress;
- Organize training of trainers "ToT" for Lao PDR academics to deliver the course on Sustainable Consumption and Production

NT

- Develop a scoping study (e.g. background paper) on Sustainable Consumption and Production for Lao PDR

2. Activity or activities to be carried out with the support of the small-scale funding:

3. Expected results/outputs to be achieved:

- SCP Curriculum for Lao National University
- SCP Scoping study (e.g. SCP Background Paper)
- One Training of Trainers (ToT) for Lao PDR National University academics
- Active participation in two coordination meetings for monitoring progress for the development of the SCP Curriculum

4. Starting and ending dates for implementation of the activities:

|             |                        |
|-------------|------------------------|
| Start date: | Date of last signature |
| End date    | 30 November 2017       |

5. UNEP shall provide *TERI U* with funds up to a maximum amount of **US \$ 20,000**. The resources provided by UNEP will only be used by *TERI U* in pursuit of the project/programme objectives and for the activities to achieve the results as agreed to in 1 – 3 above. Funds will be made available in 2 instalments as indicated below and upon receipt of a payment request in *USD*, as follows:

Schedule of payments

Date

| Instalment N. | Deliverable as per Budget and Implementation Plan | Amount (USD) | Expected Date of Payment   |
|---------------|---|--------------|--|
| 1             | Outline for draft national SCP curriculum         | US\$ 15,000  | As soon as possible but no sooner than 15 days after this SSFA's effective date  |
| 2             | Final SCP curriculum and SCP scoping study        | US\$ 5,000   | No Sooner than 15 days after submission and acceptance of the relevant progress and final expenditure reports (expected: 30 November 2017) |

The funds shall be deposited in:

**Bank Name and Address**

Name: State Bank of India  
Address: Pragati Vihar (20511),  
Ground Floor, Core 6, Scope Complex,  
Lodi Road, New Delhi – 110 003

**Account:**

Account name: TERI UNIVERSITY  
Account number: 52142908571  
Swift code: SBIN0020511

**Signatories:**

Capt. Pradeep Padhy, Registrar,  
TERI University

6. Within 1 month upon expiry of this Agreement, *TERI U* shall refund to UNEP any unspent balance of the above funds.

7. UNEP and *TERI U* will cooperate to monitor the progress of this project/programme. *TERI U* shall submit to UNEP, substantive progress reports; financial reports and a final report at or near the given dates below:

Reports

Date

| Submission Dates | Relevant Reports                                      |
|------------------|---|
| 30 November 2017 | Final Progress and Expenditure Report (Annex 5 and 6) |

8.a. *TERI U* shall submit financial statements on the use of funds provided, as per UNEP's required format and within the agreed timeframe.

8.b. *TERI U* shall keep accurate and up-to-date records and documents in respect of all expenditures incurred with the funds made available by UNEP under this Agreement, to ensure that all expenditures are in conformity with the provisions of this Agreements and its annexes thereto.

8.c. Upon completion of the Project/or Termination of this Agreement, *TERI U* shall maintain the records for a period of at least 2 years unless otherwise agreed upon between the Parties.

8.d. UNEP has the right, at its own expense, to have the records of *TERI U* related to this cooperation reviewed and audited.

9.a. *TERI U* shall consult with UNEP regarding the Intellectual Property Rights as appropriate.

9.b. *TERI U* shall only use the UNEP name, logo and emblem in connection with the Project/Programme with the prior written consent of UNEP.

9.c. In no event will authorization of the UNEP name or emblem, or any abbreviation thereof, be granted for commercial purposes.

10. This agreement can only be changed through an agreed modification in writing.



11. Either party may terminate this Agreement upon serving a written notice to the other party at least 1 month prior to such termination.

12. TERI U shall comply with all the above-mentioned provisions and agrees that UNEP reserves the right to withhold any payment due to TERI U's non-compliance with any of the provisions mentioned hereinabove.

13. Any dispute arising out of or in connection with this Agreement shall be settled amicably between UNEP and TERI U. Should attempts at amicable negotiation fail, any such dispute shall, upon request by either party, be referred to arbitration in accordance with the UNCITRAL arbitration rules. The parties shall be bound by any arbitration award rendered as a result of such arbitration as the final adjudication of any such controversy, claim or dispute.

14. This Agreement shall enter into force upon signature by the Parties being effective from the date of the latest signature, and shall remain valid for a period of **5 months**, unless terminated earlier pursuant to clause 11 above.

15. The Parties shall carry out their respective responsibilities in accordance with the provisions of the Agreement. The Parties shall determine and communicate to each other their respective focal points, having the responsibility for the Project implementation on its behalf.

16.a TERI U shall be solely and completely responsible and accountable for all services performed by its personnel, agents, employees, or contractors (hereinafter referred to as "Personnel").

16.b. TERI U shall be considered as having the legal status of an independent contractor. Personnel of TERI U, its contractors or anyone else working for TERI U in the execution of the Project or otherwise, are not employees of UNEP and are not covered by the privileges and immunities applying to UNEP and its staff pursuant to the Convention on the Privileges and Immunities of the United Nations. UNEP shall not accept any liability for claims arising out of the activities performed under the Agreement, or any claims for death, bodily injury, disability, damage to property or other hazards that may be suffered by TERI U's Personnel as a result of their work pertaining to the activities under this Agreement.

16.c. TERI U shall ensure that its personnel meet the highest standards of qualification and technical and professional competence necessary for the achievement of the objectives and results of the Project, and that decisions on employment related to the Project shall be free of discrimination of any nature. TERI U shall ensure that all personnel are free from any conflicts of interest relating to the Project activities.

17.a. TERI U shall not seek nor accept instructions regarding the activities under the present Agreement from any Government or other authority external to UNEP.

17.b. TERI U shall refrain from any conduct that would adversely reflect on the United Nations and shall not engage in any activity which is incompatible with the aims and objectives of the United Nations or the mandate of UNEP.

18. Nothing in or relating to this Agreement shall be deemed a waiver, express or implied, of any of the privileges and immunities of the United Nations and UNEP.

19. This Agreement or its Annexes may be modified or amended only by written agreement between the Parties.

**For UNEP**

By: \_\_\_\_\_

Name: Dechen Tsering

Title: Regional Director and Representative  
for UN Environment in Asia and the Pacific

Date: \_\_\_\_\_ August 2017

**For TERI University**

By: \_\_\_\_\_

Name: Capt. Pradeep Padhy, Registrar,

Title: Registrar, TERI University,  
New Delhi

Date: 24 August 2017

- Annex 1. Budget and implementation plan
- Annex 2. Interim progress report
- Annex 3. Interim expenditure reports
- Annex 5. Final progress report
- Annex 6. Final expenditure report

**Annex 1 – Budget and Implementation Plan****Part A – Implementation Plan****1. Background**

Based on an existing cooperation between UN Environment, 10YFP Secretariat and Ministry of Environment and Natural Resources (MONRE), Pollution Control Department in Lao PDR, through mobilized funds funding from the 9<sup>th</sup> tranche of the United Nations Development Account (UNDA), a SCP policy support programme will be implemented from March to November 2017. One of the elements of the programme will be to develop a curriculum at Bachelors level course on SCP that also can function as an elective course for other relevant programmes at Lao PDR National University.

The potential participants for such course will include existing students in economics, engineering and policy. The course would bring out the social, environmental and economic benefits of SCP at the regional level, but with a national focus on the Lao PDR context. It would target a systems approach to SCP, including a value chain approach.

The course would delve into how objectives of SCP are integrated into designing and implementing SCP policies, in the Lao PDR and developing country policymaking context for sustainable development and climate change challenges. Discussions would emerge on how the application of these policies would achieve results *both* in the supply side and in the demand side. Learning from case studies would form an important part of the course. More details would emerge as the detailed curriculum is developed.

**2. Objective of the SSFA**

The overall objective of the SSFA will be to provide technical support for the implementation of Lao PDR's Sustainable Consumption and Production policy mainstreaming programme through the development of an SCP curriculum and a brief SCP scoping study/SCP background paper.

**3. Activities****Activity 1 – Development of SCP curriculum**

Development of an SCP curriculum in collaboration with the Lao PDR National University

| Deliverables                            | Delivery date    |
|---|------------------|
| 1 <sup>st</sup> draft of the curriculum | 1 November 2017  |
| Final curriculum delivered              | 30 November 2017 |

**Activity 2 – SCP Scoping study (e.g. SCP background paper)**

Development of a brief SCP Scoping study (e.g. SCP Background paper) to support the national SCP mainstreaming process.

Kindly note that the cost of travel will be covered by the United Nations Environment Programme (UNEP) separate to this agreement. UNEP will also handle the travel logistics and the ticketing.

| Deliverables | Delivery date    |
|--------------|------------------|
| 1 November   | 1 November 2017  |
| 30 November  | 30 November 2017 |

**Activity 3 – Participation in SCP curriculum meetings with policy makers**



### 3.2.1.NG.20.

Participation in the national SCP meeting, the national back-to-back SCP curriculum coordination meeting and the National SCP forum.

| Deliverables  | Delivery date                    |
|---|----------------------------------|
| Participation in national SCP Meeting and coordination meeting                                  | 5-6 October 2017                 |
| Participation in National SCP Forum and Training of Trainers with Lao National University (ToT) | 1 <sup>st</sup> week of November |

#### 4. Summary – Implementation period

|            |                        |
|------------|------------------------|
| Start Date | Date of last signature |
| End Date   | 30.11.2017             |

## Annex 1 – Budget and Implementation Plan

## Part B – Activity Based Budget

| Budget  |          |  |  |  |
|---|----------|--|--|--|
| Activity  | Quantity | Unit                                       | Unit Cost (USD)                                      | Total Cost (USD)                                     |
| <b>Activity 1 – Produce an SCP curriculum for Lao National University</b> |          |  |  |  |
| Outline for draft national SCP curriculum                                 | 1        | person days                                | 300  | 300,00   |
| Technical Support and drafting of National SCP curriculum                 | 40       | person days                                | 300  | 11,700   |
|   |          |  |  |  |
| <b>Sub-total</b>  |          |  |  | <b>12,000</b>  |
| <b>Activity 2 – Produce SCP Scoping study for Lao PDR</b>                 |          |  |  |  |
| Technical Support and drafting of National SCP scoping study              | 16       | Person days                                | 300  |  |
|   |          |  |  |  |
| <b>Sub-total</b>  |          |  |  | <b>4,800</b>   |
| <b>Activity 3 – Production of Training of trainers (ToT)</b>              |          |  |  |  |
| Produce 1 Training of Trainers for Lao PDR                                | 1        | Meeting                                    | 3,000  | 3,000  |
| Travel of 1-2 technical experts to deliver Training of Trainers (ToT)     | 1        | Total travel costs (e.g. tickets and DSA ) | -<br>* cost borne by UNEP separate to this agreement | -<br>* cost borne by UNEP separate to this agreement |
| <b>Sub-total</b>  |          |  |  | <b>3,200</b>   |
| <b>Activity 3 – Participation in national meetings</b>                    |          |  |  |  |
| Travel of 2 technical experts** (2 days meeting in Vientiane, Lao PDR)    | 2        | Total travel costs (e.g. tickets and DSA ) | -<br>* cost borne by UNEP separate to this agreement | -<br>* cost borne by UNEP separate to this agreement |
| <b>Sub-total</b>  |          |  |  | <b>0,000</b>   |
| <b>Total Cost</b>   |          |  |  | <b>20,000</b>  |

Annex 2 – Interim Progress Report (to be submitted together with the Interim Financial Report at the end of the calendar year)

1. Identification:

Partners Name: TERI University  
Budget line: BAC Grant: GMNR 64ROA, WBS Element: SB- SB-000304.02, Functional Area: 14AC0006, Cost Centre: 11228  
POW 2016-2017: Sub-programme: Resource Efficiency – Sustainable Consumption and Production  
SSFA starting date: DD/MM/YYYY  
Reporting period: from DD/MM/YYYY to 31/12/YYYY

2. Summary of Status:

Brief description of the status of implementation of the SSFA at the time of reporting and progress towards achieving SSFA's objective

Activity delivery status

| Activity                      | Description of work undertaken during reporting period | Deliverables | Delivery date | Status of Activity (complete/ on-going/ delayed) | Comments - brief description of implementing challenges, strategy/actions which have been adopted to address these challenges and planned actions to mitigate any identified risks |
|-------------------------------|--|--------------|---------------|--|--|
| Activity 1 – name of activity |  |              |               |  |  |
|                               |  |              |               |  |  |
|                               |  |              |               |  |  |

3. List of attached documents

(for example, publications, meeting reports, participants list, reports of workshops, etc.)

Signature:

Date:

Name and title of signing officer:



**Annex 3 and Annex 6 – Interim and Final Expenditure Reposts** (interim expenditure report to be submitted at the end of the calendar year and final expenditure report to be submitted upon completion of the SSFA)

Partners Name: TERI University

Budget line: BAC Grant: GMNR 64ROA, WBS Element: SB- SB-000304.02, Functional Area: 14AC0006, Cost Centre: 11228

POW 2016-2017: Sub-programme: Resource Efficiency – Sustainable Consumption and Production

SSFA starting date: DD/MM/YYYY

Reporting period: from DD/MM/YYYY to 31/12/YYYY

Cumulative amount already transferred from UNEP to TERI University as of this reporting date: USD

| Budget Class   | Original Budget (USD) | Expenditures in (YYYY) (USD) post year (if SSFA goes over two calendar years) | Expenditures incurred in (YYYY) (USD) this year | Total Expenditures (USD) | Budget Balance | Comments (if the expenditures were different from what was originally planned, please provide a short explanation) |
|--|-----------------------|---|---|--------------------------|----------------|--|
| <b>Activity 1</b>                                    |                       |   |   |                          |                |  |
| Staff and other personnel costs (Class 010)          |                       |   |   | -                        | -              |  |
| Contractual Services (Class 120)                     |                       |   |   | -                        | -              |  |
| General Operating and other direct costs (Class 125) |                       |   |   | -                        | -              |  |
| Supplies Commodities and Materials (Class 130)       |                       |   |   | -                        | -              |  |
| Equipment Vehicle and Furniture (Class 135)          |                       |   |   | -                        | -              |  |
| Travel (Class 160)                                   |                       |   |   | -                        | -              |  |
| Sub-total  | -                     | -   | -   | -                        | -              |  |
| <b>Activity 2</b>                                    |                       |   |   |                          |                |  |
| Staff and other personnel costs (Class 010)          |                       |   |   | -                        | -              |  |
| Contractual Services (Class 120)                     |                       |   |   | -                        | -              |  |

[illegible]

Signature of a duly Authorized officer:

Name:

**Position :**

Date:

## Annex 5 – Final Progress Report

### 1. Identification:

Partners Name: TERI University

Budget line: BAC Grant: GMNR 64ROA, WBS Element: SB- SB-000304.02, Functional Area: 14AC0006, Cost Centre: 11228

POW 2016-2017: Sub-programme: Resource Efficiency – Sustainable Consumption and Production

SSFA starting date: DD/MM/YYYY

Completion date: DD/MM/YYYY

### 2. Summary of Status:

*Brief description of the main achievements, main implementation challenges and lessons learned towards achieving SSFA's objective*

### 3. Activity delivery status

| Activity                      | Description of work undertaken during reporting period | Deliverables | Delivery date | Status of Activity (completed or not completed) | If activity not completed, please describe the reason why and indicate mitigation actions that were taken. |
|-------------------------------|--|--------------|---------------|---|--|
| Activity 1 – name of activity |  |              |               |   |  |
|                               |  |              |               |   |  |
|                               |  |              |               |   |  |

### 4. List of attached documents

*(for example, publications, meeting reports, participants list, workshop reports, etc.)*

Signature:

Date:

Name and title of signing officer





## EMBASSY OF SWEDEN

New Delhi

### **Agreement: *Embassy of Sweden and TERI University***

#### **Parties:**

The Embassy of Sweden (herein after referred to as the "Embassy")

TERI University (herein after referred to as the "Consultant")

#### **Subject**

Agreement on the execution of the 7 day-challenge campaign under the Sweden India Nobel memorial week 2017. The 7 Day Challenge is a call to action inviting interested individuals around Delhi NCR in India to practice sustainable urban lifestyles that will potentially improve their quality of life. The challenge will consist of seven days of practical sustainable solutions focusing on three categories: Eat, Move and Live. The challenge aims to encourage both innovation and awareness about lifestyle choices that contribute to sustainability not only for 7 days but beyond for a lifetime. The challenge is part of the Embassy's Global Climate Challenge and some of the activities will be held in November by the Embassy.

This 7-day campaign will be implemented in the Delhi NCR region by TERI University, New Delhi in collaboration with Embassy of Sweden.

#### **Scope of Services**

1. The duration of the consultancy shall be from 1<sup>st</sup> November, 2017 to March 2018.
2. The Consultant shall provide the following implementation and monitoring of all communication activities such as:

##### **a. Call for Participation**

The Consultant will send invitations for participation in the Challenge which will be extended to Secondary School students (grade XI-XII) as well as undergraduate students enrolled in recognized educational institutes across Delhi and NCR. Individuals, young professionals between the age group of 16-22 years will also be eligible to participate.

##### **b. Pre-Challenge Work Lab**

The consultant will arrange a Pre-Challenge Work Lab in November or December at TERI University's campus where more than 200 selected school students and undergraduates, who have registered for the participants will come

Two handwritten signatures in black ink, one on the left and one on the right, positioned below the text of the Pre-Challenge Work Lab section.

together to officially launch the Challenge. The Work-Lab will involve informative and interactive sessions, group activities and briefing on the reporting rubrics to the participants. Selected school/college teachers will also be invited for this work lab. These teachers along with the participants of the work lab will act as Facilitators for other participants at their school/college level during the 7 Day Challenge.

c. Development of Information Material

The Consultant will develop the content for the Information and Communication material such as poster, instruction manual, handouts, etc. for promotion of the Challenge and spread awareness of the Challenge. The designing and printing will be done by the Embassy.

d. Ensure participation of students in The 7 Day Challenge

The consultant will be responsible for running 7 Day Challenge for a week in December 2017 where the participants will bring about changes in their current lifestyle and introduce some new changes under three categories: Eat, Move and Live, which are more sustainable as well as improve their own quality of life. The consultant will develop the rubrics in consultation with the Embassy of Sweden. During the Challenge, participants will constantly update their daily activities on the online Rubrics on the Challenge microsite,

e. Evaluation of participants' reports

At the end of 7 Days, reports of the participants will be generated by the consultant for the screening of best actions. The consultant will be evaluating the received entries and shortlist them for the jury to select the best entries. The jury which will include one representative from the Embassy, will be decided in consultation with the Embassy of Sweden.

f. Follow-up for further action

Following -up for further action

3. The Embassy shall implement the following activities:

a. Microsite

The Embassy will be responsible for developing a microsite, which will involve Challenge related information, registration and reporting links. The microsite will also provide a space for participants to post and highlight their new actions/



ideas. Regular updates will also be made by the participants/ organizers on the dedicated social media for this challenge. The content of the website will be prepared with the help of the Consultant.

**b. Information Material**

The Embassy will get the information material designed and printed.

**c. Media Work**

The Embassy will be responsible for the media work, including preparing and distributing press release. The Embassy will also be running the campaign on the social media.

**d. Recognition Ceremony**

The Embassy will felicitate winners at a reception at the Embassy of Sweden in January-February 2018. The winners and selected participants will also present their experiences of participating in the 7 Day Challenge. The 3 winners will receive an award from the Embassy or an opportunity for a short internship at one of the partner organization.

**4. Consultancy fee**

- a. The Embassy of Sweden will pay the Consultant a Consultancy fee of Rs 400,000/- plus applicable GST for all the services mentioned in point 2 of the Agreement.
- b. In case of any chargeable activity undertaken apart from those mentioned in this agreement, the Consultant will take prior permission from the Embassy.
- c. Embassy will pay 50% of the Consultancy Fee as advance on signing the contract
- d. Balance 50% on 31<sup>st</sup> December 2017

5. All payments to the Consultant for the services shall be made against the Consultant's invoices.
6. All bills raised by Consultant must be supported by documents and vouchers except those pertaining to Communications cost of telephone calls and faxes.
7. Tax Deduction at Source shall be deducted at source.
8. Goods and Service Tax as may be applicable from time to time will be reimbursed to the Consultant.





9. All commitments the Consultant makes on our behalf of the Embassy must have the Embassy's prior written approval and the persons authorized by us to give such approvals are:
- Josa Kärre, Counsellor
10. Press Releases and all information for media shall be provided by us and released only after due written approval in every case. The persons authorized to give such approvals on behalf of the Embassy are:
- Josa Kärre, Counsellor
  - Shuchita Mehta, PR Manager
11. Either party may terminate this agreement by giving Thirty (30) days prior written notice to the other at any time. No reasons for such termination would be required.
12. If this agreement is terminated for any reason, The Embassy shall reimburse the Consultant for its out-of-pocket costs, expenses and disbursements incurred by the consultant up to and including the date of termination of this agreement provided such expenses were previously approved by The Embassy stipulated in clauses.
13. This Agreement will be governed and interpreted in accordance with Indian law. In the event of a dispute or difficulty arising from the interpretation and/or performance of this Agreement and in the absence of an amicable settlement, the Parties attribute jurisdiction to the competent courts in Delhi.



**Josa Kärre**  
**Head of Economic Section**  
**Embassy of Sweden**



**Dr Rajiv Seth**  
**Pro Vice Chancellor**  
**TERI University**

**10 Nov 2017**

## Dhanraj Singh

---

**From:** Shashi Tripathi  
**Sent:** Thursday, March 08, 2018 3:01 PM  
**To:** Amit Sharma  
**Cc:** Anoop Anand Malik; Jagpreet Singh; IT Help (TERI University); Jitendra Bisht; Priyanka Gururani; Dhanraj Singh; Sandeep Arora  
**Subject:** RE: Quotation required

Everything is fine. The correct Project code is 2017DB02.

**From:** Amit Sharma  
**Sent:** 08 March 2018 14:19  
**To:** Shashi Tripathi <shashi.tripathi@terisas.ac.in>  
**Cc:** Anoop Anand Malik <anoopanandmalik@gmail.com>; Jagpreet Singh <jagpreet@terisas.ac.in>; IT Help (TERI University) <ithelp@teriuniversity.ac.in>; Jitendra Bisht <jitendra.bisht@terisas.ac.in>; Priyanka Gururani <priyanka.gururani@terisas.ac.in>; Dhanraj Singh <dhanraj.singh@teriuniversity.ac.in>; Sandeep Arora <sandeepa@terisas.ac.in>  
**Subject:** RE: Quotation required

Dear Sir,

As discussed, Following are the Configuration you required. Please update if anything left.

Project Code – 2017DBT02

1. Desktop  
Make – Dell  
Processor – i5  
Hard disk – 1 TB  
Ram – 16 GB  
Operating System – Windows 10 Professional  
Display Port - VGA  
TFT/LED – 19 Inch Screen  
Graphic Card – Not Required
2. External Hard Drive  
Make – Seagate / Western Digital  
Capacity – 1 TB

Thanks

Amit Sharma

**Please note my new email id:** [amit.sharma@terisas.ac.in](mailto:amit.sharma@terisas.ac.in)  
**Also, please note the new URL for our website:** [www.terisas.ac.in](http://www.terisas.ac.in)

**From:** Amit Sharma  
**Sent:** 08 March 2018 11:33  
**To:** Shashi Tripathi <shashi.tripathi@terisas.ac.in>

3.2.1.NG.22.

Cc: Anoop Anand Malik <[anoopanandmalik@gmail.com](mailto:anoopanandmalik@gmail.com)>; Jagpreet Singh <[jagpreet@terisas.ac.in](mailto:jagpreet@terisas.ac.in)>; 'IT Help (TERI University)' <[ithelp@teriuniversity.ac.in](mailto:ithelp@teriuniversity.ac.in)>; Jitendra Bisht <[jitendra.bisht@terisas.ac.in](mailto:jitendra.bisht@terisas.ac.in)>; Priyanka Gururani <[priyanka.gururani@terisas.ac.in](mailto:priyanka.gururani@terisas.ac.in)>

Subject: RE: Quotation required

Dear Sir,

Kindly share the required details...

1. Project Code –
2. Operating System – Windows / Linux ?
3. Graphic Card –  
Make -  
Configuration –

Thanks

Amit Sharma

Please note my new email id: [amit.sharma@terisas.ac.in](mailto:amit.sharma@terisas.ac.in)

Also, please note the new URL for our website: [www.terisas.ac.in](http://www.terisas.ac.in)

From: IT Help (TERI University) <[ithelp@teriuniversity.ac.in](mailto:ithelp@teriuniversity.ac.in)>

Sent: 08 March 2018 09:58

To: Jitendra Bisht <[jitendra.bisht@terisas.ac.in](mailto:jitendra.bisht@terisas.ac.in)>; Priyanka Gururani <[priyanka.gururani@terisas.ac.in](mailto:priyanka.gururani@terisas.ac.in)>

Cc: Shashi Tripathi <[shashi.tripathi@terisas.ac.in](mailto:shashi.tripathi@terisas.ac.in)>; Anoop Anand Malik <[anoopanandmalik@gmail.com](mailto:anoopanandmalik@gmail.com)>; Jagpreet Singh <[jagpreet@terisas.ac.in](mailto:jagpreet@terisas.ac.in)>; Amit Sharma <[amit.sharma@terisas.ac.in](mailto:amit.sharma@terisas.ac.in)>

Subject: Re: Quotation required

Dear Jitendra/Priyanka,

Kindly get the quotation for the below-given configuration.

Thanks

Yogesh Sharma

TERI School of Advanced Studies

Ext. 4916/7

On 7 March 2018 at 17:15, Shashi Tripathi <[shashi.tripathi@terisas.ac.in](mailto:shashi.tripathi@terisas.ac.in)> wrote:

Kindly obtain a best price quotation for a computer system with following specifications

Dell make  
i5 or i7 processor  
16 GB RAM  
1TB Hard Disk  
Graphic card  
19 inch monitor



In addition, 1 TB external portable hard disk (1 no)

Sincerely,

Shashi Bhushan Tripathi

\*\*\*\*\*

Shashi Bhushan Tripathi, PhD.

Associate Professor

Department of Biotechnology

TERI School of Advanced Studies

10 Institutional Area, Vasant Kunj

New Delhi- 110070, India

Tel. (91)-11-71800222 extn. 4809

(91)-9811870528 (Mobile)

Alternative E-mail: [sbtripathi1967@gmail.com](mailto:sbtripathi1967@gmail.com)<<mailto:sbtripathi1967@gmail.com>>

Website: <http://www.terisas.ac.in><<http://www.teriuniversity.ac.in/>>

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Please do not print this document unless absolutely necessary!

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20160204

# Solidaridad


Network Asia

Solidaridad Network Asia Limited  
Room 1318-20 Hollywood Plaza, 610 Nathan Road  
Mong Kok, Kowloon, Hong Kong

Partner Agreement dated 01<sup>st</sup> February, 2017 ("Effective Date")

|     |  |
|-----|--|
| 1.  | Principal: <b>Solidaridad Network Asia Limited</b> , hereafter referred to as " <b>SNAL</b> ", legally represented for this purpose by <b>Dr Shatadru Chattopadhyay</b> , Managing Director.   |
| 2.  | Partner: <b>TERI University</b> , hereafter referred to as the " <b>Partner</b> " legally represented for this purpose by <b>Dr Rajiv Seth</b> , Pro Vice-Chancellor   |
| 3.  | Project reference: the Project is recorded under Solidaridad Project number <b>1462</b>  |
| 4.  | <p>Project purpose: the Project is intended to "<b>Landscape Approach for Land-Water-Community Security</b></p> <p>The white paper is developed in order to establish the need of embedding landscape approach in the River Basin Management. The broad objectives of the project are as follows:</p> <ol style="list-style-type: none"> <li>1. Understanding pressures -To analyze the land-water-community nexus in the mid Gangetic river basin.</li> <li>2. Institutions and governance -To identify the governance structure and its sphere of influence with reference to mid-Gangetic river basin.</li> <li>3. Gender -To understand gender roles in decision making and its implication for resource sustainability in the basin.</li> <li>4. "Landscape Approach" as an investable proposition to thrive the business forward</li> <li>5. Designing a framework for adopting the Landscape Model in the Mid-Ganga Basin.</li> </ol> |
| 5.  | Project description: a detailed Project description entitled " <b>SLM in Ganga Basin</b> ", dated 21 <sup>st</sup> December, 2016 and corresponding budget of <b>INR 30,00,000/-</b> , is attached to this agreement as Annex B (" <b>Project Description</b> ")   |
| 6.  | Contract reference: the Contract is recorded under Solidaridad Contract number <b>SNAL/2017/1462/714</b>   |
| 7.  | Partner Agreement commencement: the Project shall commence on <u><b>1<sup>st</sup> February'2017</b></u>   |
| 8.  | Partner Agreement end date: the Project shall end on <u><b>30<sup>th</sup> September'2017</b></u>  |
| 9.  | Countries: the project shall be performed in the following countries: <b>India</b>   |
| 10. | Commodities: the Project shall cover the following commodities: <b>Sugarcane; Livestock</b>  |
| 11. | Third party contributors <sup>2</sup> : the following external financiers or private donors will contribute funds - either directly or through Solidaridad - to the Project ("Third Party Contributors"): <b>N/A</b>   |

| 12.            | <p>Budget: Solidaridad and/or the Third Party Contributors and/or the Partner, if any, will contribute - subject to availability of funds - up to a maximum of <b>INR 30,00,000</b> /- to the Partner for the implementation of the Project. The amount will be made available to the Partner in accordance with the following payment schedule:</p> <table border="1"> <thead> <tr> <th>Payment number</th> <th>Amount in INR</th> <th>When</th> <th>Contributor</th> </tr> </thead> <tbody> <tr> <td>Payment no. 1</td> <td>12,00,000</td> <td>After signing of the agreement by both parties</td> <td>SNAL</td> </tr> <tr> <td>Payment no. 2</td> <td>9,00,000</td> <td>In third month after first review meeting (<b>Note:</b> Release of fund only after a presentation and a documented progress report, with verification documents like attendance sheets, photographs etc. of the primary research by TERI University)</td> <td>SNAL</td> </tr> <tr> <td>Payment no. 3</td> <td>6,00,000</td> <td>In the sixth month after second review meeting (<b>Note:</b> Release of fund only after a presentation, with draft version of the white paper by TERI University)</td> <td>SNAL</td> </tr> <tr> <td>Payment no. 4</td> <td>3,00,000</td> <td>On final submission of the white paper (<b>Note:</b> Only after the final release of the paper in the workshop)</td> <td>SNAL</td> </tr> </tbody> </table> |   |             |  | Payment number | Amount in INR | When | Contributor | Payment no. 1 | 12,00,000 | After signing of the agreement by both parties | SNAL | Payment no. 2 | 9,00,000 | In third month after first review meeting ( <b>Note:</b> Release of fund only after a presentation and a documented progress report, with verification documents like attendance sheets, photographs etc. of the primary research by TERI University) | SNAL | Payment no. 3 | 6,00,000 | In the sixth month after second review meeting ( <b>Note:</b> Release of fund only after a presentation, with draft version of the white paper by TERI University) | SNAL | Payment no. 4 | 3,00,000 | On final submission of the white paper ( <b>Note:</b> Only after the final release of the paper in the workshop) | SNAL |
|----------------|--|---|-------------|--|----------------|---------------|------|-------------|---------------|-----------|--|------|---------------|----------|---|------|---------------|----------|--|------|---------------|----------|--|------|
| Payment number | Amount in INR  | When  | Contributor |  |                |               |      |             |               |           |  |      |               |          |   |      |               |          |  |      |               |          |  |      |
| Payment no. 1  | 12,00,000  | After signing of the agreement by both parties  | SNAL        |  |                |               |      |             |               |           |  |      |               |          |   |      |               |          |  |      |               |          |  |      |
| Payment no. 2  | 9,00,000   | In third month after first review meeting ( <b>Note:</b> Release of fund only after a presentation and a documented progress report, with verification documents like attendance sheets, photographs etc. of the primary research by TERI University) | SNAL        |  |                |               |      |             |               |           |  |      |               |          |   |      |               |          |  |      |               |          |  |      |
| Payment no. 3  | 6,00,000   | In the sixth month after second review meeting ( <b>Note:</b> Release of fund only after a presentation, with draft version of the white paper by TERI University)  | SNAL        |  |                |               |      |             |               |           |  |      |               |          |   |      |               |          |  |      |               |          |  |      |
| Payment no. 4  | 3,00,000   | On final submission of the white paper ( <b>Note:</b> Only after the final release of the paper in the workshop)  | SNAL        |  |                |               |      |             |               |           |  |      |               |          |   |      |               |          |  |      |               |          |  |      |
| 13.            | <p><b>The Partner</b> shall ensure it has adequate and in any event general liability insurance and professional liability insurance and any insurance required by applicable laws for the staff or consultant engage in the Project activities in place in relation to the performance of its obligations under this Agreement. On the request of <b>SNAL</b>, <b>Partner</b> shall provide proof of such insurance cover to the extent that such request relates to the <b>Partner's</b> own insurance obligations."</p>   |   |             |  |                |               |      |             |               |           |  |      |               |          |   |      |               |          |  |      |               |          |  |      |
| 14.            | <p>The funds will be transferred to a bank account of which the bank details will be provided in a Payment Request, for which a template is provided in Annex C.</p>   |   |             |  |                |               |      |             |               |           |  |      |               |          |   |      |               |          |  |      |               |          |  |      |
| 15.            | <p>Reporting, monitoring and auditing: the Partner will adhere to Solidaridad's reporting, monitoring and auditing guidelines as set out in Annex D to this agreement:</p>   |   |             |  |                |               |      |             |               |           |  |      |               |          |   |      |               |          |  |      |               |          |  |      |
| 16.            | <p>Annexes: the parties acknowledge and accept the terms of this agreement, including all referenced Annexes which are hereby incorporated in and made a part hereof, and have executed this agreement as of the date set out at the beginning of this agreement. This agreement is made of this Cover sheet ("Cover Sheet") as well as:</p> <p>Annex A: Special Terms and Conditions<br/> Annex B: Project Description and corresponding budget<br/> Annex C: Format request for payment<br/> Annex D: Solidaridad Financial Reporting and Auditing Guidelines<br/> Annex E: Solidaridad's Code of Conduct and Good Practices</p> <p>and all other documents, exhibits and attachments expressly referenced and incorporated herein.</p>  |   |             |  |                |               |      |             |               |           |  |      |               |          |   |      |               |          |  |      |               |          |  |      |

|     |   |  |
|-----|---|--|
| 17. | This agreement has been entered into on the date stated at the beginning of it. |  |
|     | On behalf of the Partner  | On behalf of <b>Solidaridad Network Asia Limited</b>   |
|     | <br><br><br><b>Dr Rajiv Seth</b><br>Pro Vice-Chancellor, TERI University        | <br><br><br><br><b>Shatadru Chattopadhyay</b><br>Managing Director |
|     | <br><br><br>Place:<br>Date:   | <br><br><br>Place:<br>Date:  |





*Annex A - Special Terms and Conditions***1. PURPOSE AND SCOPE**

- 1.1 Solidaridad and the Partner will cooperate in the implementation of the Project, in accordance with the agreed upon Project Description, the approved budget and, where applicable, additional agreements and documents.
- 1.2 The Project Description and approved budget are attached to this agreement as Annex B and form an integral part of this agreement.

**2. DURATION**

- 2.1 The duration of the Project is set out in paragraphs 7 and 8 of the Cover Sheet.
- 2.2 The Project shall commence on the date set out in paragraph 7 of the Cover Sheet and shall continue unless and until terminated:
  - 2.2.1 as provided by the terms of this agreement; or
  - 2.2.2 by Solidaridad giving to the Partner not less than 2 weeks' prior written notice.

**3. BUDGET**

- 3.1 Solidaridad has analysed the proposal and approved the financial contribution to the Project as reflected in this agreement.
- 3.2 Solidaridad and/or, if applicable, Third Party Contributors will - subject to availability of funds - contribute up to the amount set out in paragraph 12 of the Cover Sheet for the implementation of the Project. The amount will be made available to the Partner in accordance with the payment Annex set out in paragraph 12 of the Cover Sheet.
- 3.3 All payments subsequent to the payments set out in clause 3.2 above, if applicable, will be subject to the reports and plans received and approved by Solidaridad and as set out Annex D to this Agreement. Any payment requests made by the Partner shall comply with the requirements as set out in Annex C to this Agreement. Where Solidaridad has not received or cannot approve the above reports from the Partner, the Partner will not be entitled to subsequent payments and cannot claim compensation or indemnification from Solidaridad and/or, if applicable, any Third Party Contributors on the grounds of non-compliance by Solidaridad and/or, if applicable, any Third Party Contributors, with the payment schedule as set out above.
- 3.4 In case of any payments to be made directly by the Third Party Contributors to the Partner as part of the Project, the Partner shall submit any payment requests directly to the Third Party Contributor, provided that said payment request shall comply with the requirements set out herein.
- 3.5 The Partner will send a confirmation of receipt within 1 month of receipt of each payment made to it pursuant to this agreement.
- 3.6 The Partner will have to present a receipt or other applicable documentation of each transaction.

- 3.7 The Partner is responsible for taking the necessary measures to deal with the risk of currency fluctuations and inflation. Currency losses cannot be paid for by Solidaridad. The Partner shall immediately contact Solidaridad if the implementation of the Project is endangered as a consequence of currency losses or severe inflation.
- 3.8 If:
- 3.8.1 contributions by Third Party Contributors within the framework of the Project activities by Solidaridad are stopped or reduced for any reason; or
- 3.8.2 Solidaridad no longer has funds available for the Project;
- thereby affecting the liquidity of Solidaridad in such a way that Solidaridad can no longer meet its obligations as stated in this agreement, Solidaridad reserves the right to delay payments, suspend the Project or, if necessary, terminate this agreement with immediate effect. Should this occur, Solidaridad cannot be held responsible for any losses that might ensue from delayed payments or termination of the agreement nor can Solidaridad be held to cover the shortfall of contributions as pledged by the Third Party Contributors. Solidaridad will do this only after informing and consulting the Partner in advance.
- 3.9 The Partner shall ensure that funds made available to it pursuant to this agreement:
- 3.9.1 remain, to the extent practicable, in a bank account which bears interest at a reasonable commercial rate available in the country where the Partner is established or where the Project is performed until they are expended for Project purposes; and
- 3.9.2 are deposited in a bank that is fully compliant with all applicable local and international banking standards and regulations, including capital adequacy requirements.
- 3.10 Any interest on funds disbursed to the Partner under this agreement shall be accounted for and used solely for Project purposes.
- 3.11 Any revenues earned by the Partner from Project activities, including but not limited to revenues from "social marketing" activities, shall be accounted for and used solely for Project purposes. In case of any currency gains as a result of funds made available to the Partner pursuant to this agreement the Partner shall be obligated to forthwith report these currency gains to Solidaridad. The parties shall in good faith discuss the allocation of the currency gains, provided that Solidaridad shall have the right to apply currency gains at its discretion should the parties fail to reach an agreement on the allocation of said currency gains.

#### 4. TAXES

- 4.1 The Partner is strongly encouraged to ensure that this agreement and the purchase of any goods or service using any of the funds made available to the Partner pursuant to this agreement shall be free from taxes and duties imposed under laws in effect in the country where the Partner is established or where the Project is performed. The Partner shall, not later than 90 days after the Effective Date, inform

Solidaridad of the status of the exemption from taxes and duties that may be accorded to assistance under this agreement.

- 4.2 Unless otherwise agreed between the parties, the Partner shall be responsible for all taxes applicable in the country where the Partner is established or where the Project is performed which are incurred as a result of this agreement and the services being provided. The Partner shall indemnify Solidaridad against any losses incurred by Solidaridad arising from any failure by the Partner to comply with its tax obligations tax or any failure by the Partner to comply with this clause 4.2.

## **5. PARTNER'S DUTIES**

- 5.1 The Partner shall manage and complete or provide the Project, and deliver the results of a Project, if any, in accordance with the Project Description and the timelines set out therein, and shall allocate sufficient resources to the Project to enable it to comply with this obligation.
- 5.2 During the term of this agreement, the Partner shall:
- 5.2.1 perform its obligations pursuant to this agreement with all due care, skill and ability and use his best endeavours to promote the interests of Solidaridad and/or any Third Party Contributors;
  - 5.2.2 promptly give to Solidaridad all such information and reports as it may reasonably require in connection with matters relating to the performance of this agreement and/or the execution of the Project.
- 5.3 The Partner shall use reasonable endeavours to ensure that it is available at all times on reasonable notice to provide such assistance or information as Solidaridad may require.
- 5.4 The Partner is not authorized to vary from the Project Description or approved budget without prior written consent from Solidaridad, Solidaridad shall be entitled to cease all payments until both parties have agreed upon the modification and continuation of the Project.
- 5.5 Unless specifically authorised to do so by Solidaridad in writing, the Partner shall not:
- 5.5.1 have any authority to incur any expenditure in the name of or for the account of Solidaridad; or
  - 5.5.2 hold itself out as having authority to bind Solidaridad.
- 5.6 The Partner shall comply with all reasonable standards of safety and comply with the health and safety procedures from time to time in force at the premises where the Project is performed and report to Solidaridad any unsafe working conditions or practices.
- 5.7 The Partner shall comply with Solidaridad's Code of Good Conduct and Practices as set out in more detail in Annex E to this agreement as Solidaridad may update unilaterally and at its discretion from time to time.
- 5.8 The Partner shall:

- 5.8.1 comply with all applicable laws, regulations, codes and sanctions relating to anti-bribery and anti-corruption including but not limited to the Bribery Act 2010 (Relevant Requirements);
- 5.8.2 promptly report to Solidaridad any request or demand for any undue financial or other advantage of any kind received by the Partner in connection with the performance of this agreement;

## 6. CONFIDENTIALITY AND PUBLICITY<sup>3</sup>

- 6.1 Each party undertakes that it shall not at any time disclose to any person any confidential information concerning the business, affairs, customers, clients, funders, contributors or suppliers of the other party, except as permitted by this clause 6.
- 6.2 Each party may disclose the other party's confidential information:
  - (a) to its employees, officers, representatives or advisers ("**Representatives**") who need to know such information for the purposes of carrying out the party's obligations under this agreement, provided that each party ensures that its Representatives to whom it discloses the other party's confidential information comply with this clause 6; and
  - (b) as may be required by law, court order or any governmental or regulatory authority. In addition to the foregoing, Solidaridad shall at times be entitled to disclose confidential information to its Supervisory Board. Neither party shall use any other party's confidential information for any purpose other than to perform its obligations under this agreement.
- 6.3 At the request of a party to this agreement, the other party shall:
  - 6.3.1 destroy or return to the disclosing party all documents and materials (and any copies) containing, reflecting, incorporating, or based on the disclosing party's confidential information; and
  - 6.3.2 erase all the disclosing party's confidential information from its computer systems or which is stored in electronic form (to the extent possible).
- 6.4 Solidaridad carries out publicity and informative activities within the framework of its objectives, either under its own name, or together with other Partners, Third Party Contributors or companies. The Partner agrees to cooperate with this type of activity by making available the necessary information or other material and cooperating with possible field visits, when requested by Solidaridad. If requested to do so, the Partner will carry out a baseline assessment at the start of the Project. Solidaridad will make the necessary budget available to the Partner for this purpose.
- 6.5 Either party may publicize the existence of this agreement and inform interested third parties of its purposes, provided that neither party shall disclose, advertise, or publish the terms and conditions of this agreement or any other confidential information as set out in clause 6.1 of this agreement, without the prior written consent of the other party. Parties shall give each other a reasonable period of time to review any communication materials containing references to this agreement and the Project.



- 6.6 The obligations set out in this clause 6 will survive any termination or expiration of this agreement and shall remain in effect for a period of three years from the termination of this agreement.

## **7. INTELLECTUAL PROPERTY**

- 7.1 The Partner hereby assigns to Solidaridad and/or its licensors all existing and future intellectual property rights in any software programs, materials or tools developed or invented by Partner specifically for Solidaridad or Solidaridad's third party licensors or Third Party Contributors ("Bespoke Materials") under this agreement to the fullest extent permitted by law. The Partner undertakes to execute all documents, make all applications, give all assistance and do all acts and things, at the expense of Solidaridad and at any time either during or after the term of this agreement, as may, in the opinion of Solidaridad, be necessary or desirable to vest the intellectual property rights in, and register or obtain trade marks, patents or registered designs in, the name of Solidaridad and otherwise to protect and maintain the intellectual property rights in the Bespoke Materials. The Partner represents and warrants that any individual working on its behalf have given written undertakings in the same terms to the Partner.
- 7.2 The Partner agrees to indemnify Solidaridad or Solidaridad's third party licensors and Third Party Contributors (collectively: "**Indemnified Parties**") and keep the Indemnified Parties indemnified at all times against all or any costs, claims, damages or expenses incurred by the Indemnified Parties, or for which the Indemnified Parties may become liable, with respect to any intellectual property infringement claim or other claim relating to any works or Bespoke Materials supplied by the Partner to the Indemnified Parties during the course of the performance of this agreement and/or the Project.

## **8. INDEMNITY AND INSURANCE**

- 8.1 The Partner shall have liability for and shall indemnify the Indemnified Parties for any loss, liability, costs (including reasonable legal costs), damages or expenses arising from any breach by the Partner of the terms of this agreement including any negligent or reckless act, omission or default in the performance of the Project.
- 8.2 The Partner shall maintain in force during the duration of the Project full and comprehensive insurance policies. The Partner shall ensure that the insurance policies are taken out with reputable insurers acceptable to Solidaridad and that the level of cover and other terms of insurance are acceptable to and agreed by the Solidaridad. The Partner shall on request supply to Solidaridad copies of the insurance policies and evidence that the relevant premiums have been paid.
- 8.3 The Partner shall comply with all terms and conditions of the insurance policies at all times. If cover under the insurance policies shall lapse or not be renewed or be changed in any material way or if the Partner is aware of any reason why the cover under the insurance policies may lapse or not be renewed or be changed in any material way, the Partner shall notify Solidaridad without delay.

## **9. TERMINATION**

- 9.1 This agreement can be terminated with or without juridical intervention by one of the parties if:
- 9.1.1 the other party commits a breach of any term of this agreement which breach is irremediable or (if such breach is remediable) fails to remedy that breach within a period of 30 days after being notified in writing to do so;
  - 9.1.2 when fraud or abuse of the funds by the Partner is observed and ascertained.
- 9.2 Furthermore the agreement can be dissolved if:
- 9.2.1 and as soon as one of the parties is declared bankrupt;
  - 9.2.2 if and as soon as one of the parties is granted a moratorium in respect of its debts;
  - 9.2.3 a creditor or encumbrancer of the other party attaches or takes possession of, or a distress, execution, sequestration or other such process is levied or enforced on or sued against, the whole or any part of the other party's assets and such attachment or process is not discharged within 14 days; or
  - 9.2.4 any event occurs, or proceeding is taken, with respect to the other party in any jurisdiction to which it is subject that has an effect equivalent or similar to any of the events mentioned in this clause 9.2.
- 9.3 In the event of termination by Solidaridad for any reason whatsoever, the Partner shall, within 6 weeks after termination, or any other date as agreed to in writing by Solidaridad, transfer back to Solidaridad any remaining funds at the specific stage of the Project at which the termination of this agreement occurs into the bank account as designated by Solidaridad.
- 9.4 After termination or expiry of the Project and notwithstanding the provisions of clause 9.3, Solidaridad shall be entitled to claim back any remaining Project funds. The Partner will transfer any remaining Project funds to Solidaridad within 6 weeks of the approval of the final report, to the bank account as designated by Solidaridad.
- 9.5 All provisions of this agreement which may reasonably be interpreted or construed as surviving the expiration or termination of this agreement shall survive the expiration or termination of this agreement.

## 10. **DISPUTE RESOLUTION**

- 10.1 In the event a party has a dispute or claim arising out of or relating to this agreement ("**Dispute**"), such party shall first request a meeting between the parties to attempt to resolve the Dispute. If the parties are unable to resolve the Dispute within 10 days after the first meeting, then either party may request that the Dispute be escalated to senior management within each party. If the senior management of the parties cannot resolve the Dispute within 10 days after their first meeting, then either party may submit the Dispute to mediation as set out in clause 10.2.

- 10.2 For the purposes of resolution of each and any dispute that has arisen or might arise further to the present agreement, or any further agreements resulting from the same, the parties shall - or the most diligent party shall - file a request for mediation with a reputable national mediation institute in accordance with the institute's Mediation Rules. If such request fails to result in a comprehensive resolution of the dispute by execution of a settlement agreement, by means of an arbitral award on agreed terms, or by means of a combination of both, the dispute - or at any rate any part thereof not resolved in any of the aforesaid manners - shall be resolved exclusively in accordance with the provisions of clause 111 of this agreement.

## 11. GOVERNING LAW AND JURISDICTION

- 11.1 This agreement and any dispute or claim arising out of or in connection with it or its subject matter or formation (including non-contractual disputes or claims) shall be governed by and construed in accordance with the laws of the country Solidaridad resides in.
- 11.2 The parties irrevocably agree that the competent court of the country that Solidaridad resides in, shall have exclusive jurisdiction to settle any dispute or claim that arises out of or in connection with this agreement or its subject matter or formation (including non-contractual disputes or claims).


## 12. MISCELLANEOUS

- 12.1 This document contains the entire agreement between the parties with respect to the subject matter hereof and supersedes all prior understandings with respect thereto.
- 12.2 Any failure to enforce any provision of this agreement shall not constitute a waiver thereof or of any other provision hereof. Additionally, if any provision of this agreement shall be prohibited by or invalid under applicable law, such provision shall be ineffective to the extent of such prohibition or invalidity without invalidating the remainder of such provision or the remaining provisions of this agreement.
- 12.3 This agreement may not be amended, nor any obligation waived, except by a written agreement signed by both parties hereto.
- 12.4 This agreement is not intended, nor shall create, express or imply, any legal relationship between the parties that may be construed as an agency, legal partnership, or otherwise and no party shall be authorized to bind the other party or to act in its name.

|         |   |                            |
|---------|---|----------------------------|
| Annex B | Project description and corresponding budget            | Free template              |
| Annex C | Format request for payment                              | Refer to separate template |
| Annex D | Solidaridad Financial Reporting and Auditing Guidelines | Refer to separate template |
| Annex E | Solidaridad's Code of Conduct and Good Practices        | Refer to separate template |

**PAYMENT REQUEST SOLIDARIDAD**

*The undersigned hereby requests the following payment:*

|  |                                       |
|--|---------------------------------------|
| Name of the organisation / Consultant :  | TERI University                       |
| Contract number and name of the project  | SNAL/2017/1462/714                    |
| Responsible staff member Solidaridad   | Mr. Prashant Pastore                  |
| Currency (EUR/USD), amount: INR  | 12,00,000                             |
| Tranche number x of x  | 1 of 4                                |
| Name and function undersigned:   | Dr. Rajiv Seth<br>Pro Vice Chancellor |
| Email address of undersigned   | rseth@teri.res.in                     |
| Signature:  |                                       |
| Place and date: New Delhi 09 February 2017   |                                       |

| BANK INFORMATION                         |   |
|--|---|
| IBAN number:                             |   |
| Account by name of:                      | TERI University   |
| Account Number:                          | 00031170000088  |
| Bank name:                               | HDFC Bank   |
| SWIFT code or BIC:                       | HDFCIN88  |
| IFSC Code                                | HDFC0000003   |
| PAN Number                               | AAATT4778L  |
| Address of the Organisation / Consultant | TERI University, Plot No. 10, Institutional Area, Vasant Kunj, New Delhi - 110070 |







To be completed by SNAL

**Name and signature responsible staff member:**

**Name and signature Managing Director:**

**Place and date**Place and date



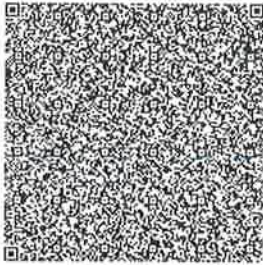


सत्यमेव जयते

# INDIA NON JUDICIAL Government of Karnataka

## e-Stamp

|                           |  |
|---------------------------|--|
| Certificate No.           | : IN-KA66578021917418P                   |
| Certificate Issued Date   | : 10-Jul-2017 12:21 PM                   |
| Account Reference         | : NONACC (FI)/ kacrsf108/ BIDADI3/ KA-RM |
| Unique Doc. Reference     | : SUBIN-KAKACRSFL0881900049114274P       |
| Purchased by              | : Toyota Kirloskar Motor Pvt Ltd         |
| Description of Document   | : Article 12 Bond                        |
| Description               | : Agreement                              |
| Consideration Price (Rs.) | : 0<br>(Zero)                            |
| First Party               | : Toyota Kirloskar Motor Pvt Ltd         |
| Second Party              | : TERI University                        |
| Stamp Duty Paid By        | : Toyota Kirloskar Motor Pvt Ltd         |
| Stamp Duty Amount(Rs.)    | : 200<br>(Two Hundred only)              |

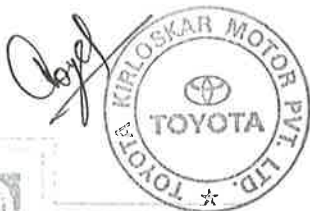


-----Please write or type below this line-----

### SERVICE AGREEMENT

This Service Agreement is entered into at Bidadi Industrial area on this the Tenth day of July Two Thousand and Seventeen (10/07/2017) made effective retrospectively from the First day of July Two Thousand and Seventeen (01/07/2017) ("Effective date")

By and Between:



#### Statutory Alert:

**3.2.1.312**

1. The authenticity of this Stamp Certificate should be verified at "www.shclsestamp.com". Any discrepancy in the details on this Certificate and as available on the website renders it invalid.
2. The onus of checking the legitimacy is on the users of the certificate.
3. In case of any discrepancy please inform the Competent Authority.





**Toyota Kirloskar Motor Private Limited**, a company incorporated under the Indian Companies Act, 1956 and having registered office at Plot No 1, Bidadi Industrial Area, Ramanagara District, Pin 562109, Karnataka, India hereinafter referred to as "TKM", which shall mean and include its successors and assigns in business on one Part;

And

**TERI University**, a Deemed to be University incorporated under the University Grant Commission Act, 1956 (3 of 1956) and having its registered office at Plot No. 10, Institutional Area, Vasant Kunj, New Delhi – 110070 hereinafter referred as "TERI University", which shall mean and include its successors and assigns in business on Other part;

Hereinafter TKM & TERI UNIVERSITY shall be referred to collectively as "Parties" and individually as "Party".

Whereas TKM a subsidiary of M/s Toyota Motor Corporation, Japan ["TMC"] and TMC have entered into an agreement for research on Indian Future Energy Policy in line with the Technical Assistance Agreement executed between TKM and TMC for Production and sale of Toyota vehicles in India.

Whereas TERI UNIVERSITY has expertise in Research on Indian Energy Policy and TKM wishes to utilize their services for the above said purpose after obtaining necessary authorizations from TMC.

NOW THEREFORE, in consideration of the forgoing premises and the mutual representations and covenants set forth herein the Parties agree as follow:

1. Scope of this Agreement:

TERI UNIVERSITY shall conduct research and deliver the agreed output (Deliverables) in accordance with terms and conditions as set for the in the Agreement including EXHIBIT A attached hereto (the aforementioned activities under this agreement shall be referred to as "Service").

2. Time Schedule

2.1 TERI UNIVERSITY acknowledges and accepts that the performance of its obligations in strict compliance with the Service schedule set forth in the EXHIBIT A is essential for the Service. If TERI UNIVERSITY anticipates any delay in its performance, it shall promptly inform TKM of the reasons for the delay, the expected duration of the delay and the remedies by TERI UNIVERSITY to cure the delay.

2.2 Upon the occurrence of any delay, TKM may cancel or terminate this Agreement in accordance with the provision of Article 11.2.

2.3 If TKM wishes to modify the specifications of the Deliverables, TKM shall discuss with TERI UNIVERSITY the possible impact of the status of the Evaluation being rendered by TERI UNIVERSITY. The Parties shall make a supplementary agreement to revise the EXHIBIT A including the amount of the fees, if applicable.



### 3. Inspection and Control

3.1 Both Parties acknowledge that an efficient and regular communication on the implementation of this Agreement is essential. TKM reserves the right to inspect from time to time.

3.2 TERI UNIVERSITY shall comply with the instructions provided by TKM from time to time and shall report at pre-designed intervals and/or at TKM's specific instruction, on the progress made in the Evaluation.

3.3 If TERI UNIVERSITY intends to utilize any patents, patent applications, utility models and copyrights in software; (1) owned by or in possession of TERI UNIVERSITY prior to the Effective Date or (2) made, developed acquired by TERI UNIVERSITY during the term of this Agreement but entirely independently of the Service (hereinafter collectively referred to as "Background IPR") in such a manner that the use of such Background IPR is necessary for TERI UNIVERSITY to practice the Result, TERI UNIVERSITY shall, within 60 days from the Effective Date or within 30 days after the effective date of any amendment to this Agreement, inform TKM thereof, TKM shall confirm in writing whether or not TKM can agree with the use of such Background IPR.

3.4 TKM has the right either to accept or to reject Deliverables and for the Deliverables, depending on whether or not they comply with the agreed specifications and/or requirements.

### 4. Payments

4.1 TKM shall pay TERI UNIVERSITY for the performance of the Service and for the Deliverables in accordance with the relevant conditions as set forth in the EXHIBIT A.

4.2 Unless otherwise agreed, the fee is definitive and all inclusive. TERI UNIVERSITY shall raise the invoice on TKM with applicable taxes which shall be reimbursed by TKM.

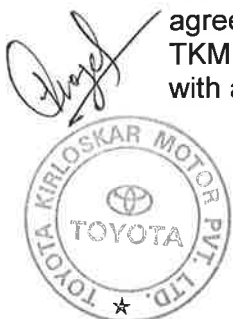
4.3 Unless otherwise agreed, the fee shall be invoiced after acceptance of the Deliverables. Invoices shall be settled within 30 days after the end of the month of receipt by TKM of a corresponding invoice.

4.4 All payments are excluding taxes which shall be deducted by TKM and balance paid to TERI UNIVERSITY. TKM will furnish requisite tax deduction certificates for the same from the concerned authorities.

### 5. Third Party Intellectual Property

5.1 TERI UNIVERSITY represents and warrants that it shall use its best efforts, in the performance of its obligations under this agreement, not to infringe any third party intellectual property rights.

5.2 If the Deliverables is held to constitute an infringement of a third party's rights, in addition to any other remedies herein provided, TERI UNIVERSITY shall, unless otherwise agreed in writing between the Parties, immediately and at its own expenses; (i) Procure for TKM the license of that portion of the Deliverables; or (ii) replace or modify the Deliverables with a non-infringing version of the Deliverables.



## 6. Subcontracting

6.1 TERI UNIVERSITY shall not be entitled to subcontract all or part of the assignments conferred upon it under this Agreement, unless it obtains prior written authorization from TKM.

6.2 The authorization referred to in Article 6.1 above shall not release or discharge TERI UNIVERSITY from any liability, whether contractual or in tort which it would otherwise have incurred as principal contractor in accordance with the terms and conditions of this Agreement. TERI UNIVERSITY shall ensure that the subcontractors shall comply with the terms and conditions of this Agreement, particularly regarding intellectual property rights and confidentiality, and with the instructions provided by TKM from time to time under the Agreement.

## 7. Results of the Evaluation

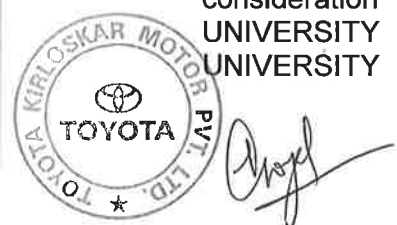
7.1 For the purpose of the Agreement, "Results" shall mean any results of the Research, including but not limited to Deliverables, Project inventions (as defined in Article 8.1 below) and all other works prepared by TERI UNIVERSITY in the course of Service, but expressly excluding Background IPRs confirmed by TKM in accordance with Article 3.3 above. All the titles including ownership rights of the Results shall solely belong to TKM and TKM shall freely use, have used or otherwise dispose of the Results without any further consideration. TERI UNIVERSITY shall, at a request of TKM, grant a license of such Background IPR to TKM under commercially reasonable terms and conditions to be discussed separately.

7.2 TKM recognizes that under TERI University's policy, the results of the Project must be publishable. TKM agrees that TERI University's researchers engaged in the Project shall be permitted to present the methods and results of the Project at symposia and international or regional professional meetings, and to publish such methods and results in journals, theses, dissertations, or otherwise of their own choosing, provided, however, that TERI University promises and agrees to provide to TKM copies of any proposed presentation, publication or other disclosure at least one (1) month in advance of the submission of such proposed presentation, publication, or other disclosure to any person outside TERI University. TERI University shall make no presentation, publication, or other disclosure of methods or results of the Project before complying with the requirements of this clause. TKM shall have twenty (20) days after receipt of each of such copies to object to such proposed presentation, publication, or other disclosure, for example, because it contains patentable subject matter which needs protection and/or the Confidential Information of TKM. In the event that TKM makes such objection, the parties hereto shall negotiate a mutually acceptable resolution of such objection before such proposed presentation, publication, or other disclosure is made to any person outside TERI University. Such presentation, publication, or other disclosure shall clearly indicate that TKM is one of the units that provided funding for the Project.

## 8 Ownership of Intellectual Property Rights

8.2 TERI UNIVERSITY shall promptly disclose to TKM any and all inventions, whether patentable or not, that are conceived or reduced to practice by it in the course of performing the Service (referred to as "Project Inventions").

8.3 TERI UNIVERSITY recognized and accepts that Project Inventions, software, database and other intellectual property rights (including copyrights) directed thereto shall irrevocably and automatically be the exclusive property of TKM. TERI UNIVERSITY also agrees that the above recognition of TKM's rights constitutes an essential part of the consideration on the basis of which TKM enters into the Agreement, and that TERI UNIVERSITY shall thus receive no additional remuneration or fees there for. TERI UNIVERSITY commits itself to enter into a valid and enforceable agreement with its





employees performing the Service/Delivering the Deliverables, imposing the above commitments on these employees.

## 9 Confidentiality

9.2 For the Purpose of this Agreement, "Confidential Information" shall mean any technical or business information disclosed from one Party to the other Party pursuant to this AGREEMENT that is in writing or other tangible form and marked as 'Confidential'. Any information disclosed orally or visually shall also be considered as Confidential Information if it is, (i) Designated as Confidential as the time of its disclosure, (ii) Reduced to writing and marked as "Confidential" and (iii) sent to the receiving Party within thirty (30) days after such oral or visual disclosure. No information shall be regarded as CONFIDENTIAL INFORMATION if the receiving Party can show by competent proof that such information:

- (1) Was known to and existed in documentary or other physical form in the possession of the receiving Party at the time of disclosure.;
- (2) Was or becomes publicly known through no fault of the receiving Party;
- (3) Subsequent to the receipt hereunder, is made available to the receiving Party by a third party which is legally entitled to make such information available; or
- (4) Is developed by or on behalf of the receiving Party independently of the disclosure hereunder.

9.3 Each party shall not, without prior written consent of the other Party, divulge any of the CONFIDENTIAL INFORMATION of the other Party to any person other than its own employees or subcontractors (if applicable) who need to know the same for the purpose of performing their obligations under the AGREEMENT nor to use the CONFIDENTIAL INFORMATION for any other purpose than the SERVICE. The foregoing sentence, however, shall not be interpreted to limit on TERI UNIVERSITY's use or otherwise dispose of Deliverables in any manner.

9.4 Neither Party shall publish or make any public statements relating to CONFIDENTIAL INFORMATION and/or this Agreement without the prior written consent of the other Party.

9.5 TERI University is allowed to list this project on its organization's website and the capability statement.

9.6 The provision of this Article 9 shall survive for three (3) years after any expiration or termination of this Agreement.

## 10 Term

This Agreement shall be effective, subject to signature by both Parties to this Agreement from EFFECTIVE DATE until the date of completion of TKM's payment pursuant to EXHIBIT A. An extension of this time period shall only be possible upon written agreement between Parties. Termination of this Agreement shall nor relieve TERI UNIVERSITY or TKM of any obligations set forth in Articles 5,6,7,8,9,12 and 13.



A handwritten signature in blue ink.



## 11 Termination

11.2 Either Party may terminate this AGREEMENT, by giving 30 days' notice by registered letter, without paying any damages for termination, if the other Party;

- a) Fails to comply with any of the obligations set forth in this AGREEMENT and has omitted to cure promptly such breach following receipt of a notice of default served by the other Party; or
- b) Sells or intends to sell, part with or cease to carry on its business or that Part of its business relating to the activities to be performed this AGREEMENT; or
- c) Transfers the legal or beneficial ownership in any of the shares in its capital; or
- d) Has failed for bankruptcy, enters into Liquidation (whether compulsory or voluntary) or compounds or makes any voluntary arrangement with its creditors or has a receiver, administrative receiver, administrator or other encumbrancer appointed of all or part of its assets or takes or suffers any similar action in consequence of debt or becomes unable to pay its debts as and when they fall due.

11.3 In the event described in Article 2.2, TKM may cancel or terminate this Agreement by giving 30 days' notice by simple registered letter to pay any damages for termination.

11.4 In the event of premature termination by TKM of this Agreement for any reason other than due to breach of contract by TERI UNIVERSITY, TKM shall be entitled to payment for all Service activities carried out upto the date of termination and for direct costs incurred by TERI UNIVERSITY, always provided that TERI UNIVERSITY shall use its best endeavors to minimize such costs.

## 12 Applicable Law – Dispute Resolution

12.2 This Agreement and transactions hereunder shall be governed by and construed in accordance with the laws of India.

12.3 In the event of any controversy, or dispute arising out of or in connection with this Agreement, or its interpretation or performance, the Parties, in good faith, shall first negotiate an amicable resolution of the controversy or dispute. If the Parties are unable to resolve the controversy or dispute within a reasonable period of time, the controversy or dispute shall be finally and exclusively resolved by arbitration as per Arbitration and Conciliation Act, 1996 and the rules made thereunder. The Arbitration proceeding shall be conducted in English Language and the seat of such arbitration shall either be Bengaluru or New Delhi, India. The Award rendered by the arbitration process shall be final and bind both Parties.

## 13 Miscellaneous

13.2 This Agreement and the rights and duties hereunder may not be assigned or otherwise transferred by either of the Parties without the prior written consent of the other Party.

13.3 If any provision of this Agreement is for any reason declared to be invalid, then the same shall not affect the validity of the other respective provisions of this Agreement.

13.4 Both the Parties can amend this Agreement at any point of time in writing after mutual consultations and the reasons for such amendment shall be recorded and signed by both the Parties.

13.5 The validity of this Agreement shall commensurate with the validity of the Service Agreement between TKM and TMC.

This Agreement is printed and signed in two sets. Each party shall retain one.



In WITNESS WHEREOF, both the Parties have executed this Agreement through their duly authorized representatives.

for **TOYOTA KIRLOSKAR MOTORS PRIVATE LIMITED,**



Signature of Representative

Name: Jitendra Goyal

Designation: General Manager

Product Design and Service, Division

for **TERI UNIVERSITY,**



Signature of Representative

Name: Pradeep Kumar Padhy

Designation: Registrar

**Exhibit A****1. Schedule**

Start date of the Development: **July 1, 2017**  
 Completion date of the Development: **March 10, 2018**

**2. Objective**

India's Energy Policy plays major role in country's Energy Security. It is influenced by many external factors like environment, economy, availability of domestic resources, import dependency etc. So it is very important to understand Government Energy Goals for the sake of understanding future vehicle market prediction and necessary action to be taken. Since TERI University has expertise on such researches, we would like to utilize their services for conducting the research and the required deliverables are explained below.

**3. Deliverables**

TERI University is responsible for submitting research results to TKM as follows;

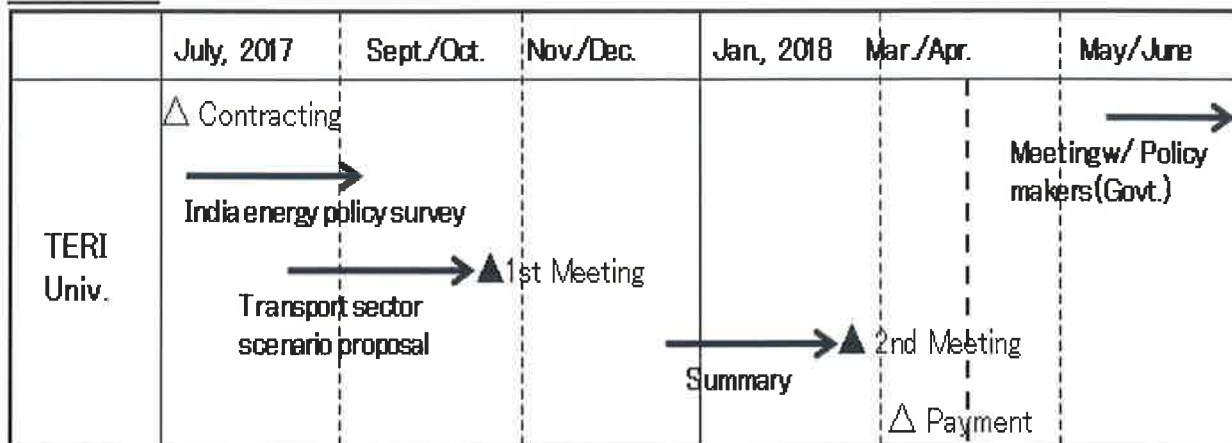
**@1st Meeting in October 2017, the following outcomes are required,**

- Explanation of India's Energy Policy framework/structure
- Transport Sector Scenario Proposal
- Suggestion of different scenarios for Model Simulation

**@2nd Meeting in February 2018, the following outcome is required,**

- Summary of Policy proposal of effective measures for achieving Government Energy Goals,  
 especially, related to Transport Sector by using Simulation data  
 (The results of Model Simulation will be provided by TKM)

**By March 2018, submit Final Summary Report** on review of the current Indian Energy Policy framework/structure and Policy proposal related to Transport Sector including Simulation results

**4. Timeline****5. Fees (Total)**

|                          |                         |
|--------------------------|-------------------------|
| Research & Reporting Fee | Rs. 16,12,500.00        |
| Taxes @ 18%              | Rs. 2,90,250.00         |
| <b>Total</b>             | <b>Rs. 19,02,750.00</b> |

**Payment terms : 50% of Project cost in Advance & 50% after Report Submission.**







| Subaward Agreement  |                           |  |
|---|---------------------------|--|
| <b>Prime Awardee</b>  |                           | <b>Subawardee</b>  |
| Institution/Organization ("PRIME RECIPIENT")  |                           | Institution/Organization ("SUBRECIPIENT")  |
| Name:   |                           | Name:  |
| The Trustees of Columbia University in the City of New York   |                           | TERI School of Advanced Studies  |
| Address:  |                           | Address:   |
| Sponsored Projects Administration<br>615 W 131 <sup>st</sup> Street, Fl 6<br>New York, New York 10027   |                           | TERI School of Advanced Studies<br>10, Institutional Area<br>Vasant Kunj<br>New Dehli – 110070 India |
| Prime Award No.   |                           | Subaward No.   |
| SDSN Association 0000148757      CU PI: Lucia Rodriguez   |                           | 1 (PG009222)      Subrecipient PI: Smriti Das  |
| Sponsor   |                           |  |
| SDSN Association  |                           |  |
| Subaward Period of Performance  | Amount Funded this Action | Est. Total (if incrementally funded)   |
| 01/01/2018 – 08/30/2018   | \$18,000                  | \$   |
| Project Title:  |                           |  |
| Proposal to Review and Update the 2008 International Commission on Education for Sustainable Development Practice Report  |                           |  |
| Reporting Requirements: A final technical report is due within 30 days after the termination of this agreement.   |                           |  |
| <p align="center"><b>Terms and Conditions</b></p> <p>1) Prime Recipient hereby awards a cost reimbursable subaward, as described above, to Subrecipient. The statement of work and budget for this subaward are as shown in Attachment 4. In its performance of subaward work, Subrecipient shall be an independent entity and not an employee or agent of Prime Recipient.</p> <p>2) Prime Recipient shall reimburse Subrecipient not more often than monthly for allowable costs. All invoices shall be submitted using Subrecipient's standard invoice, but at a minimum shall include current and cumulative costs (including cost sharing), subaward number, and certification as to truth and accuracy of invoice. <i>Invoices that do not reference Prime Recipient's subaward number shall be returned to Subrecipient.</i> Invoices and questions concerning invoice receipt or payments should be directed to the appropriate party's Financial Contact, as shown in Attachment 3.</p> <p>3) A final statement of cumulative costs incurred, including cost sharing, marked "FINAL," must be submitted to Prime Recipient's Financial Contact NOT LATER THAN thirty (30) days after subaward end date. The final statement of costs shall constitute Subrecipient's final financial report.</p> <p>4) All payments shall be considered provisional and subject to adjustment within the total estimated cost in the event such adjustment is necessary as a result of an adverse audit finding against the Subrecipient.</p> <p>5) Matters concerning the technical performance of this subaward should be directed to the appropriate party's Principal Investigator, as shown in Attachment 3. Technical reports are required as shown above, "Reporting Requirements."</p> <p>6) Matters concerning the request or negotiation of any changes in the terms, conditions, or amounts cited in this subaward agreement should be directed to the appropriate party's Administrative Contact, as shown in Attachment 3. Any such changes made to this subaward agreement require the written approval of each party's Authorized Official, as shown in Attachment 3.</p> <p>7) Each party shall be responsible for its negligent acts or omissions and the negligent acts or omissions of its employees, officers, or directors, to the extent allowed by law.</p> <p>8) Either party may terminate this agreement with thirty days written notice to the appropriate party's Administrative Contact, as shown in Attachment 3. Prime Recipient shall pay Subrecipient for all allowable, noncancellable obligations in the event of termination.</p> <p>9) No-cost extensions require the approval of the Prime Recipient. Any requests for a no-cost extension should be addressed to and received by the Administrative Contact, as shown in Attachment 3, not less than thirty days prior to the desired effective date of the requested change.</p> <p>10) The Subaward is subject to the terms and conditions of the Prime Award and other special terms and conditions, as identified in Attachments 1 and 2.</p> |                           |  |
| By an Authorized Official of Prime Recipient:   |                           | By an Authorized Official of Subrecipient:   |
| _____   |                           | _____ 31 May 2018  |
| Date  |                           | Date   |

Capt. Pradeep K Padhy (Retd.)  
 Registrar  
 TERI School of Advanced Studies  
 10, Institutional Area, Vasant Kunj  
 New Delhi-110070



Supplier: **TERI School of Advanced Studies**  
**Plot No 10 Institutional Area**  
**Vasant Kunj**  
**New Delhi**  
**110 070**  
**India**

Tel: ..  
 Fax:

## COPY

|               |                             |
|---------------|-----------------------------|
| <b>Order</b>  | <b>4060201628</b>           |
| Order Date    | 11-APR-2018                 |
| Revision      | 0                           |
| Revision Date |                             |
| Payment Terms | As per terms and conditions |

**PLEASE QUOTE THE PURCHASE ORDER NUMBER ON ALL CORRESPONDENCE.**  
**INVOICES NOT QUOTING THE PO NUMBER WILL BE RETURNED UNPAID**

For all purchase order queries, please contact  
 P2PAdmin@uksbs.co.uk  
 For all invoicing queries, please contact finance@uksbs.co.uk

Ship to: **NERC - CEH Edinburgh**  
**Centre for Ecology and Hydrology**  
**Bush Estate**  
**Penicuik**  
**Edinburgh**  
**United Kingdom**  
**EH26 0QB**

Invoice to: **UKRI**  
**C/O UK Shared Business Services Ltd**  
**Polaris House**  
**North Star Avenue**  
**Swindon**  
**United Kingdom**  
**SN2 1UH**

## NOTES TO SUPPLIER:

Email PO to Capt. Pradeep KR Padhy, Registrar at TERI School of Advanced Studies, New Delhi, India. Email:

| Line | Part Number/Description  | Delivery Date | Quantity | UOM  | Unit Price (GBP) | Tax | Net Amount (GBP) |
|------|--|---------------|----------|------|------------------|-----|------------------|
| 1    | Studentship Stipend for Charu Bhanot, TERI School of Advanced Studies. 1 June - 1 Oct 2018. CEH Project NEC06802 | 11-MAY-2018   |          | Each |                  |     | 5,200.00         |

Grand Total 5,200.00

Whenever a UKRI Contract number is cited within the narrative description of the Purchase Order that Purchase Order is subject to the Terms and Conditions relating to that Contract, otherwise, the Purchase Order is subject to the Terms and Conditions incorporated herein by this reference. For a copy of the Terms and Conditions please see <http://www.uksbs.co.uk/services/procure/Documents/SSCPOterms.pdf>

## Commercial In Confidence

|   |   |
|---|---|
| UK Research and Innovation  | VAT Registration Number GB 287 461 957      |
|   | NERC - Natural Environment Research Council |
| NERC is part of UK Research and Innovation, a non-departmental public body funded by a grant-in aid from the UK Government. More Information can be found at <a href="http://www.ukri.org">www.ukri.org</a> |   |

WaterEd Australia Pty Ltd ABN 13 112 314 780 trading as the International Centre of Excellence in Water Resources Management (ICE WaRM) of Level 4, 33 King William Street, Adelaide, SA 5000

### Service Agreement – Delivery of short course on Gender, Equity and Water Management

#### 1. Service Provision

You will provide the Services in the timeframe set out in the Schedule, unless agreed otherwise.

We confirm that **Arun Kansal** must be the person who either performs or directly supervises the Services.

If requested by us, you must arrange for each of your staff who is involved in providing the Services to sign a deed of undertaking in a form approved by us, in which the employee agrees to:

- maintain the confidentiality of any Confidential Information (described below);
- do all that is necessary to ensure that intellectual property rights in any technological know-how that you produce or acquire in relation to the provision of the Services to us ("Works") vest in us upon creation; and
- waive any right to claim an infringement of the employee's moral rights in the Works.

For the purposes of this letter, "Confidential Information" includes information which:

- (a) is by its nature confidential;
- (b) is designated by us or our shareholders as confidential; or
- (c) you know or ought to know is confidential,

but it does not include information which:

- (d) is or becomes public knowledge other than by breach of this document or by any other unlawful means;
- (e) is in your possession (and is not held subject to any restriction on disclosure) before the date you receive that information from us or our shareholders; or
- (f) you have independently developed or acquired.

#### 2. Contractor Relationship

We confirm that we do not intend to be in a partnership or joint venture relationship with you, and are not currently in either of these relationships with you.

Unless you otherwise advise us in writing, we are entitled to assume that the persons providing the Services are either your employees or your contractors. To be clear, any persons involved in providing the Services are not our employees.

#### 3. Intellectual Property

You agree to assign all intellectual property rights in the Works to us, or as directed by us. If requested by us, you also agree to do all things required to assign these rights, and agree to ensure that your employees will also do all things required to assign these rights, such as the execution of documents.

We confirm that nothing in this letter affects intellectual property rights that exist prior to the commencement of this contract, **except** where we require the use of, or access to, any of these pre-existing rights in order to gain the benefit of the Services and/or the intellectual property rights in the Works. In this circumstance, you agree to grant us a perpetual and non-exclusive licence for which no royalties will be payable in respect of these rights.

#### 4. Your Obligations

You agree to:

- provide the Services:
  - with due diligence;
  - with expedition;
  - at our direction;
  - to our reasonable satisfaction; and
  - with the degree of skill, care, foresight and prudence that could reasonably be expected from an organisation proficient in providing such services;
- act in good faith and in our best interests;
- ensure that the Services meet quality standards as we reasonably require;





- ensure that your employees, in providing the Services:
  - collaborate with people, as required by us;
  - use all proper and appropriate skills that they possess;
  - comply with any relevant legislation (especially occupational health and safety requirements and anti-discrimination legislation);
  - disclose and provide particulars of any actual, potential or possible conflict of interest arising in connection with the provision of the Services;
  - comply with any applicable policies and procedures determined by us;
  - ensure that the Services are undertaken in accordance with applicable laws; and
  - provide Services within the scope specified in the Schedule.

You must not assign or sub-contract any of your obligations under this contract without our written consent, which we will not unreasonably withhold.

#### 5. Our Obligations

Upon your request, we agree to request that our shareholders, associates and supporters (particularly the education provider shareholders) provide you with cooperation and assistance that you reasonably require.

We also agree to promptly respond to any reasonable request made by you for information.

#### 6. Payment

We will pay you in accordance with the arrangements described in the Schedule.

In order to receive payment for work done, you must send us an invoice by the end of each month. We will pay the amount invoiced within 30 days, unless we notify you in writing that we believe that the Services have not been satisfactorily provided. In this notice, we will also specify matters requiring rectification.

We will reimburse expenses incurred in connection with this contract and detailed in the Schedule, provided that we have first approved your expenditure and receipts accompany the request for reimbursement. Requests for reimbursement and the accompanying receipts should be received by the end of each month.

#### 7. Good and Services Tax

If you are required to pay GST for a supply made to us, we will pay you an amount equal to that GST payment ("GST Payment"), upon you giving us a tax invoice.

If we are required to pay GST for a supply made to us, you must pay us an amount equal to that GST Payment, upon us giving you a tax invoice.

#### 8. Termination

Either we or you can terminate this contract for any reason, or no reason at all, provided we or you give 30 days' notice in writing. If we terminate this contract in this manner, you are entitled to retain:

- all previous instalments of payments made to you; and
- a proportion of the next instalment, equivalent to the proportion of work that you have already carried out.

If you terminate this contract in this manner, we are entitled to retain:

- a proportion of any unpaid instalment, equivalent to the cost of any rework that we may incur.

We have the right to terminate this contract immediately if:

- you have failed to uphold any of your obligations under this contract; and
  - we have given you notice in writing that this default must be remedied within 14 days; and
  - the default is not remedied in that 14-day period; or
- you commit a serious or persistent breach of any provision of this contract; or
- a petition is lodged, an order is made or a resolution is passed for the winding up of you as a company; or
- you appoint a receiver, or a receiver is appointed for you.

Upon termination, you must return all of our property, all media containing Confidential Information in your possession or control, and all of the Works to us.

#### 9. Force Majeure Event

If performance of an obligation under this contract (either by us or by you) is prevented by any event or circumstance beyond our, or your, control, and which the exercise of reasonable care could not



**SCHEDULE****PROJECT**

*To deliver a short course in Gender, Equity and Water Management*

*Name Arun Kansal*

*Dean, Research and Relationships*

*Professor and Head, Coca-Cola Department of Regional Water Studies*

*TERI University, New Delhi*

*Telephone +91 9968875742*

**SCOPE OF WORK**

This agreement relates to the 2-day short course developed by TERI University through a previous agreement with ICE WaRM. Both TERI University and ICE WaRM may deliver this course as they see fit. The current agreement provides support for four offerings for the course.

Under this agreement, TERI University agrees to provide the course as detailed in their proposal of July 2017, attached herewith.

**TIME FOR DELIVERY**

The course will be delivered as follows:

| S.No. | Location  | Date              |
|-------|-----------|-------------------|
| 1.    | Guwahati  | 14-16 March 2018  |
| 2.    | Hyderabad | 22-23 August 2018 |
| 3.    | Jodhpur   | 08-09 Dec 2018    |
| 4.    | Delhi     | 13-14 July 2019   |

**PAYMENT ARRANGEMENTS:**

The fee for this service will be AUD \$62,200 to be payable as follows:

- 40% at the time of signing the contract
- 15% at the end of each programme.

**EXPENSES TO BE REIMBURSED**

Additional expenses to be reimbursed subject to prior agreement with ICE WaRM.

reasonably prevent or overcome ("Force Majeure Event"):

- we, or you, will be excused from performance, and will not be liable for that non-performance, to the extent that that performance is prevented; and
- the time for performance of that obligation affected by the Force Majeure Event will be extended.

We, or you, must use all reasonable efforts to mitigate the Force Majeure Event and resume performance as soon as possible.

If the Force Majeure Event prevents performance of either your obligations or our obligations for more than 1 month, and the Force Majeure Event continues, either you or we may terminate this contract by giving at least 5 business days' notice in writing, without prejudice to any antecedent rights.

#### 10. Alternative Dispute Resolution

In the event of a dispute, the party requiring the dispute to be resolved (either you or we) must promptly give the other party written notice providing details of the dispute

Within 5 business days' of receiving this notice, appropriately authorised representatives of each of us and of you must meet and attempt in good faith to resolve the dispute by negotiation.

If we do not reach a resolution, either party may notify the other party that it seeks to resolve the dispute by mediation. Within 5 days of receiving this notice, the parties must refer the matter to a mutually agreed mediator or, if no agreement is reached, to a mediator appointed at either party's request by the President of the Law Society of South Australia.

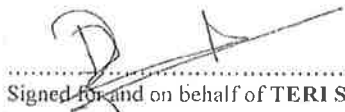
The mediator will determine the procedures to be followed and how the costs will be paid.



Signed by WaterEd Australia Pty Ltd

IAN REID

The terms and conditions set out in this Service Agreement are agreed and accepted:



Signed for and on behalf of TERI School of Advanced Studies

**Capt. Pradeep K Padhy (Retd.)**

**Registrar**

Print Name

**TERI School of Advanced Studies  
10, Institutional Area, Vasant Kunj  
New Delhi-110070**

Nothing in this section denies either party the right to seek injunctive relief where failure to obtain this relief would cause irreparable damage to the party.

These provisions regarding alternative dispute resolution do not impair, delay or prejudice the exercise by a party of its rights in this letter (including the right to terminate this contract).

#### 11. Confidentiality

You must not use or disclose any Confidential Information except:

- in the proper performance of your obligations contained in this letter;
- to make a disclosure to such of your officers, employees and advisers that have a legitimate interest in the Confidential Information;
- as may be required by applicable law (in which case, prior to disclosure, the Contractor must consult with us about the form and content of such disclosure); or
- as we may otherwise agree in writing.

#### 12. Entire Agreement

This document contains the entire agreement between you and us.

#### 13. Variation

The terms and conditions set out in this letter can only be effectively varied if the variation is made in writing and is executed by you and us.

#### 14. Jurisdiction and Choice of Law

The law of this contract is the law of South Australia and we both agree to submit to the non-exclusive jurisdiction of South Australian courts.

8 JAN 2018  
Dated

22 Dec 2017  
Dated



ICIMOD

**LETTER OF AGREEMENT**

**BETWEEN**

**INTERNATIONAL CENTRE FOR INTEGRATED MOUNTAIN DEVELOPMENT (ICIMOD)  
LALITPUR, NEPAL**

**AND**

**TERI SCHOOL OF ADVANCED STUDIES (TERI SAS)  
NEW DELHI, INDIA**

August, 2018



### Summary: Letter of Agreement

**Agreement Number** :  
**ICIMOD Programme** : HUC  
**Research Title** : Cities by Women: Uncovering the relationship between Gender, Land-use and Livelihoods for Embedding Climate Change Resilience in Himalayan cities  
**Country** : India  
**Budget** : USD 30,000  
**Cost Center** :  
**Project Period** : 15 Months  
**Effective date** : 01 August 2018    Activity completion date: 01 November 2019  
**Focal Persons** :

|                                       |                                    |
|---------------------------------------|------------------------------------|
| <i>ICIMOD</i>                         | TERI SAS                           |
| Name: Dr Chi Huyen Truong             | Name: Capt. Pradeep Padhy          |
| Designation: Program Coordinator, HUC | Designation: Registrar, TERI SAS   |
| Email: Chi.Truong@icimod.org          | Email: pradeep.padhy@terisas.ac.in |

**Agreement** : The terms and conditions are presented in multiple sections, as outlined below. All of the contents of these sections and annexes constitute the entire agreement between the Parties.

SECTION 1 : Partnership Principle  
 SECTION 2 : Scope of Work and Duration  
 SECTION 3 : Implementation  
 SECTION 4 : Financial Provisions  
 SECTION 5 : Reporting Provisions  
 SECTION 6 : Monitoring and Evaluation Provisions  
 SECTION 7 : Copyright, Intellectual Property Right and Use of Logo  
 SECTION 8 : Amendment and Termination  
 SECTION 9 : Entry into Force

The following documents, hereinafter referred to as "Annex" are hereby agreed to be an integral part of this agreement:

ANNEX I : Terms of Reference (ToR)  
 ANNEX II : Budget  
 ANNEX III : Progress Reporting Template  
 ANNEX IV : Sample grant disbursement request letter  
 ANNEX V : Financial Reporting Template

## PREAMBLE

**WHEREAS** The International Centre for Integrated Mountain Development (ICIMOD) is a regional intergovernmental learning and knowledge sharing centre serving the eight regional member countries of the Hindu Kush Himalayas – Afghanistan, Bangladesh, Bhutan, China, India, Myanmar, Nepal, and Pakistan – and based in Kathmandu, Nepal. Globalization and climate change have an increasing influence on the stability of fragile mountain ecosystems and the livelihoods of mountain people. ICIMOD aims to assist mountain people to understand these changes, adapt to them, and make the most of new opportunities, while addressing upstream-downstream issues.

We support regional transboundary programmes through partnership with regional partner institutions, facilitate the exchange of experience, and serve as a regional knowledge hub. We strengthen networking among regional and global centres of excellence. Overall, we are working to develop an economically and environmentally sound mountain ecosystem to improve the living standards of mountain populations and to sustain vital ecosystem services for the billions of people living downstream now, and for the future.

ICIMOD aims to deliver impacts through its six Regional Programmes, which are supported by the four thematic Areas of Livelihood, Ecosystem services, Water and Air and Geospatial Solutions and underpinned by Knowledge management and Communication.

Address : ICIMOD, P.O. Box 3226, Kathmandu, Nepal  
 Telephone : +977-1-5275238  
 E-mail : scu@icimod.org

**WHEREAS** TERI SAS aims to accelerate the transition towards a more sustainable world through the creation of knowledge and human capacity by becoming a globally recognized University in the sphere of sustainability studies.

Address : TERI School of Advanced Studies (TERI SAS)  
 Plot No. 10 Institutional Area, Vasant Kunj,  
 New Delhi, India, 110 070  
 Telephone : +91-11-71800222

**THEREFORE**, TERI SAS, in collaboration with Royal Thimphu College and Asian Institute of Technology (**hereafter referred to as Parties**) agree to enter into Letter of Agreement (LoA), to share their competencies and resources, and implement the activities as described in the following Sections.

The partnership is established following an offer of the HUC SDC Focus Grant as the result of a competitive selection process as announced in an open Call for Proposals dated 30 March 2018.

**Project Title:** Cities by Women: Uncovering the relationship between Gender, Land-use and Livelihoods for Embedding Climate Change Resilience in Himalayan cities

**Project Objective:**

1. To understand the unique challenges posed by urbanisation and climate change to the cities of Leh and Thimphu.
2. To identify livelihood-based issues and impact of climate change related disasters on women specifically engaged in "home based work" and "urban street vending".
3. To uncover the linkage between gender, livelihoods and land-use in the context of Leh and Thimphu.

**SECTION 1: Partnership Principle**

In order that the Parties have the best possible chance of success, ICIMOD promotes the partnership principles of **synergy, equity, transparency and mutual benefit**.

- 1.1 Synergy** means the Parties have a shared vision, bringing together diverse partners and is designed on the assumption that the sum is more than its parts.
- 1.2 Equity** means the Parties commitment to justice, fairness and even-handedness irrespective of the commitment of transaction volume where each Partner has equal right to be heard and contributes to the partnership from their areas of competence and strength.
- 1.3 Transparency** means the Parties are open and honest in its dealings with one another; will not intentionally withhold information, and will make decisions based on discussion and openness in its dealings with each other.
- 1.4 Mutual benefit** recognizes that it is important for Parties to be able to discuss and recognize each other's individual reasons for being involved in the partnership, and ensure that these are met. When mutual benefit exists, it is much more likely that, even in difficult situations, the Parties will continue to engage and work out solutions.

**SECTION 2: Scope of Work and Duration**

**2.1 Scope of Work**

The present Agreement sets forth the general terms and conditions of the partnership between the Parties in all aspects of achieving the project objectives, as set out in the Terms of Reference (ToR) (Annex I). The Parties agree to join efforts and to maintain close working relationships, in order to achieve the objectives.

**2.2 Duration**

**2.2.1** This LoA shall take effect, upon the signature of both Parties as of the effective date indicated in section 9.

**2.2.2** Should it become evident to both Parties during the implementation of the activities that an extension beyond the expiration date set out on the agreement is required, then the partner shall, without delay, inform ICIMOD in writing and shall stipulate the reasons for the delay, with a view to entering into consultations

to agree on a new termination date, to which the ICIMOD shall accordingly decide.

## **SECTION 3: Implementation**

### **3.1 Coordination**

ICIMOD and TERI SAS designates the following as respective focal persons who will be responsible for the coordination of activities under this agreement. The ICIMOD focal person will also be responsible for receiving and approving outputs/deliverables and reports.

#### **ICIMOD**

Name: Dr Chi Huyen Truong  
Designation: Program Coordinator  
Tel: 977 1 5275222  
Email: Chi.Truong@icimod.org

#### **Lead Institution's name**

Name: Dr Abhijit Datey  
Designation : Principal Investigator  
Tel: +91 11 71800222  
Email: abhijit.datey@terisas.ac.in

### **3.2 Activities, Roles and Responsibilities**

The activities shall be carried out according to the attached ToR (Annex I) and Programme Implementation Schedule (Annex II) which outlines the scope of work, deliverables, roles, and responsibilities.

## **SECTION 4: Financial Provisions**

### **4.1 Budget and Disbursements**

- 4.1.1** The total amount payable to TERI SAS under this Agreement is USD 30,000 (In words, US Dollars Thirty Thousand only). The details of the budget are provided in the Annex II.
- 4.1.2** TERI SAS shall ensure that ICIMOD contribution shall be kept separate from funds of other sponsors within TERI SAS's financial system. The bank account where funds will be transferred by ICIMOD, must be under the name of the organization as registered under the Tax Identification Number. Bank account cannot be owned or registered under an individual's name.
- 4.1.3** ICIMOD will disburse agreed funds [Agreement Obligated Ceiling] to TERI SAS on the basis of the deliverables received upon approval from the Project Leader on satisfactory completion of Project Deliverables. Generally, deliverables (programmatic and financial reports) will be issued on annual basis, unless specifically agreed by ICIMOD and TERI SAS for reporting frequency other than annual basis. The total amount payable to the Partner under this Agreement is USD 30,000. The fund disbursement shall be made as follows:



| SN | Deliverables   | Due Date        | Payment                            |
|----|--|-----------------|------------------------------------|
| 1  | Upon signing of LoA  | August 15, 2018 | US\$ 22,500 [75 % of total budget] |
| 2  | Progress Report and financial report<br>(Reporting period <b>August to November 2018</b> )   | Dec 31, 2018    | US\$ 4,500[15 % of total budget]   |
| 3  | Audited financial report<br>( <b>Audit coverage period August 2018 to May 2019</b> )   | June 30 2019    |                                    |
| 4  | Final Narrative Report<br>(Final Narrative reporting period <b>August 2018 to October 2019</b> )<br>Audited Financial report<br>(Audited Financial reporting period <b>June 2019 to October 2019</b> ) | Nov 15, 2019    | US\$ 3,000 [10 % of total budget]  |

**4.1.4** To request a disbursement, the Partner shall submit:

- a. For the first disbursement, the amount will be released on the basis of this LoA, However, the Partner needs to submit advance request for the installment with bank details.
- b. For each subsequent disbursement, agreed deliverables and financial report certified by the authorized signatory of the partner together with the advance request letter.
- c. Certified copy of all the actual supporting documents for the expenditure claimed by the partner for that particular period. The actual supporting documents should be retained by the partners till the end of the required period (refer. Clause 4.2) for necessary audit by ICIMOD or the donor. Photocopies of the actual supporting documents have to be certified by the Head of finance of the partner organization for submission to ICIMOD. Without the certified financial statement in the agreed format and the certified copies of all the supporting documents for the expenditure claimed, there will no financial disbursements. The liquidation of final disbursement should be made by submission of the required financial report and the supporting documents or an audit report within 1 month after the completion of the contract.

**4.1.5** Payment shall be made within 30 days after receipt of verified and approved deliverables/milestone by ICIMOD for which payment is requested. ICIMOD reserves the right to withhold payment subject to deliverables/milestone completion verification.

- 4.1.6** Any deviation from the approved budget requires ICIMOD's prior written approval. However, if total variance on budget line item and/or component activity is within 10%, it would be accepted with proper justification without prior written approval. Variances above 10% that are not supported by a prior written approval from ICIMOD would be disallowed and would be recovered from the partner.
- 4.1.7** Upon closure or termination of the agreement for whatsoever reason, any unspent balance or any savings shall be returned to the ICIMOD together with any interest accrued from the deposit within 7 days of demand by ICIMOD.
- 4.1.8** Unless otherwise agreed upon by the Parties in writing, ICIMOD shall not be liable for any additional costs other than agreed in this LoA incurred by the Partner. ICIMOD shall not be responsible for any losses incurred by the Partner due to delays, standard and additional bank charges arising from incomplete or inaccurate banking details submitted. The sole responsibility in this instance shall be that of the Partner.
- 4.1.9** The Partner shall be responsible for compliance with local tax laws including withholding tax, income and other indirect taxes for the project activities funded through this LoA. Any taxes or other government liabilities arising out of any payments made from this LoA will be the responsibility of the Partner. ICIMOD is in no case liable for any such taxes or liabilities.

## **4.2 Maintenance of Records**

The Partner shall maintain accounting books, records, documents and other evidence relating to the Agreement, adequate to show, without limitation, all costs incurred and revenues earned by the Partner for the project and the overall progress toward completion of the project. It shall maintain project books and records in accordance with the generally accepted accounting standards. Project books and records must be kept in the possession of the Partner at least up to 14 December 2029.

## **4.3 Audits Requirements**

- 4.3.1** The accounts of these activities under the LoA may be subject to financial audit by ICIMOD, after due agreement of Partner, anytime during the period of the agreement or within such period up to which the financial records of the project are required to be maintained by the partner. If deemed necessary, ICIMOD in consultation with Partner might also assign an external auditor to do the final audit. Similarly, there may also be requests from the project sponsors/ donors for a specific audit. In such cases, the audit schedule will be provided to the Partner in advance and Partner shall comply with this provision.
- 4.3.2** The Partner needs to keep all records for the entire agreement period and conduct its own regular audit as part of its annual statutory audit. Where annual accounts for the entire organization of partners are statutorily audited and an opinion is

given for the Partner as a whole, a schedule depicting total fund accountability pertaining to funding made by ICIMOD must also be attached separately as part of the consolidated financial statement. Such audit report needs to be submitted to ICIMOD.

**4.3.3** ICIMOD may carry out a due-diligence of the financial and other administrative management systems of the partner during the project period if deemed necessary. For this a schedule would be mutually agreed upon. Based on such due-diligence process inputs on additional measures as required in the overall programme management, financial management and other internal control systems for the organization will be identified and communicated for implementation and capacity building needs, if any, and it will be addressed through mutual agreement.

#### **4.4 Compliance with Funding Partner**

The Agreement incorporates all [Donor or funding partner] Standard Terms and Condition and Guidelines made applicable to ICIMOD as per the funding Agreement in effect on the Effective Date; provided, however, that this Letter of Agreement shall be deemed to have been amended, and the collaborator shall be automatically bound, by any changes to such Standard Terms and Conditions and Guidelines issued after the Effective Date, if and to the extent that such changes are binding on ICIMOD pursuant to the Program Funding/Agreement or otherwise. Donor's standard provisions and guidelines are available upon request from ICIMOD.

In the event of an apparent conflict or inconsistency between LoA and Guidelines of donors made applicable to ICIMOD and any specific agreement term or condition, the latter shall govern. However, in every such case, the partner shall notify ICIMOD and obtain its advice before resolving the conflict or inconsistency in question, failing which the partner shall be bound by the interpretation most favorable to ICIMOD.

### **SECTION 5: Reporting Requirements**

- 5.1** The Grantee shall submit progress report along with the financial report to receive each installment as specified in Section 4.1.3.
- 5.2** The Partner shall submit an activity completion report at the end before claiming the final installment of fund.

### **SECTION 6: Monitoring and Evaluation (M&E)**

- 6.1** Keeping in view the nature of the grant ICIMOD will monitor the progress of the research through the major activities and deliverables agreed upon against the given time period. The activities and deliverables along with the time line have been mentioned in the attached document. ICIMOD may also conduct monitoring visit to the study area to assess the quality of the research

- 6.2** ICIMOD, in its sole discretion, conduct or commission evaluations of the programme, or of specified programme activities, implementing structures or other Programme issues. ICIMOD shall specify the ToR for any evaluation and an appropriate schedule for conducting it. Exercise by ICIMOD of this right does not mitigate the obligation of the Partner to monitor and evaluate the programme.

## **SECTION 7: Copyright, Intellectual Property Right and Use of Logo**

- 7.1** ICIMOD is fully committed to open access publishing and open source deliverables and to making these deliverables fully accessible as an international public goods at no cost.
- 7.2** Copyright may be held jointly with the Partner, in which case both parties retain full rights over the material and may use it in any form without reference to the other, but the Partner must adhere to open access and open source principles and may not sell or donate the copyright to a third party. ICIMOD and the Partner will follow the Creative Commons BY-NC (Non-Commercial) license and will clearly indicate this in all its publications. This license entails that the user is free to copy, distribute and transmit the work for non-commercial purposes and requires that the user attributes the work in the manner specified by ICIMOD.
- 7.3** ICIMOD shall not be bound to publish or use deliverables delivered under this LoA. If ICIMOD decides not to publish or use these materials, the Partner may publish or use these materials in adherence with open access and open source principles.
- 7.4** The Partner shall take full responsibility to ensure that the work produced by them, or anyone whom the Partner may employ to carry out the work, respects intellectual property rights and does not use work protected by copyright law without permission prior to submitting the final report to ICIMOD.
- 7.5** The Partner and ICIMOD will have equal and free access to the data/information generated under this LoA.
- 7.6** Neither Party shall use the name, logo/emblem or trademarks of the other Party without the prior expressly written approval of the other Party in each case.

## **SECTION 8: Special Provisions**

### **8.1 Governing Law and language**

**8.1.1** The LoA will be governed by and construed in accordance with the laws of Government of Nepal.

**8.1.2** It is ICIMOD's policy that English is the official language for all agreement documents.

### **8.2 Insurance and Security**

The Partner undertakes full responsibility for all health, safety and security arrangements of its individuals, property or work (including relating to subcontractors of the partner) under this Agreement.



### **8.3 Conflict of Interest**

All partner staff involved with ICIMOD under this LoA must be free of real or apparent conflict of interest. If the Partner becomes aware of any real or potential conflict of interest, the partner shall immediately notify ICIMOD in writing.

### **8.4 Arbitration**

The Parties shall try to settle amicably through direct negotiations, any dispute, controversy or claim arising out of or relating to the present agreement, including breach and termination of the agreement. Any dispute arising out of the terms of this agreement shall be submitted to arbitration. The Parties agree that any decision rendered by the arbitrators shall be accepted as final adjudication of the dispute.

## **SECTION 9: Amendment and Termination**

- 9.1** This Agreement may only be amended in writing signed by duly authorized representatives of the Parties.
- 9.2** If the Partner has not met the applicable conditions required for disbursement in the ToR by the applicable deadline(s), or if the Partner fails to abide by all the conditions stipulated in this Agreement, or if the Partner fails to achieve the programmatic targets set forth in this Agreement within the periods set forth therein, ICIMOD may, at any time, and in its sole discretion, terminate or suspend this Agreement, in whole or in part, by written notice to the Partner.
- 9.3** Either Party may terminate this agreement upon 30 days prior written notice to the other if it considers termination justified on the grounds that no further purpose would be served by continuing with the activities. Such notice of termination will only be given by either Party after full discussion with the other Party of the reasons for the proposal to give such notice.
- 9.4** If the Partner or its staff is found to be misappropriating, or mishandling, or spending the disbursed funds against the provisions of the Agreement or ToR, ICIMOD may instantaneously terminate this Agreement and the Partner shall be liable to return such amount and remaining unspent amount within 30 days of demand by ICIMOD.

## SECTION 10: Entry into Force


This LoA between TERI SAS and ICIMOD shall enter into force upon signature by the Parties and will remain in effect from 1 August 2018 until 15 November 2019.

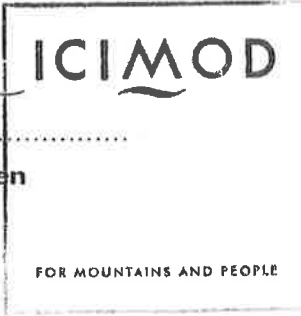
Each Party will hold a copy of the signed LoA in the English language and having equal validity.

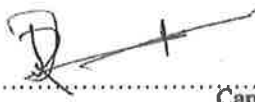
**IN WITNESS WHEREOF**, the duly authorized representatives of the Parties affix their signatures below:

For the International Centre for Integrated  
Mountain Development

For TERI School of Advanced  
Studies (TERI SAS)

  
**Dr. David Molden**  
Director General  
Date and Seal:  
13 Aug 2018



  
**Capt. Pradeep K Padhy (Retd.)**  
Registrar  
**Capt. Pradeep K Padhy**  
TERI School of Advanced Studies  
10, Institutional Area, Vasant Kunj  
New Delhi-110070  
Date and Seal:  
17 Aug 2018

## Annex I: Terms of Reference (ToR)

### 1. Grant title:

Cities by Women: Uncovering the relationship between Gender, Land-use and Livelihoods for Embedding Climate Change Resilience in Himalayan cities

### 2. Grant Period:

01 August 2018 to 15 November 2019

### 3. Partnership Composition:

| Partner Organisation             | Key contact & Email  | Key Roles              |    |
|----------------------------------|--|------------------------|----|
| TERI School of Advanced Studies  | Dr Abhijit Datey, Assistant Professor<br>abhijit.datey@terisas.ac.in | Principal Investigator | 10 |
| Royal Thimphu College            | Dr Leishipem Khamrang, Associate Professor<br>leishipem@rtc.bt       | Principal Investigator | 10 |
| 3. Asian Institute of Technology | Dr Sohee Minsun Kim, Assistant Professor<br>skim@ait.ac.th           | Expert Investigator    |    |

*Tenache budget allocation*

### 4. Resource Persons:

To ensure the quality of the deliverables, the focal person from the Lead Institution Name is expected to be in frequent contact with (a) designated Resource Person(s) of ICIMOD and (b) designated Swiss expert(s).

- a) Name: Mr Rajesh Thapa  
Designation: Capacity Building Specialist  
Organization: ICIMOD  
Email: [rajesh.thapa@icimod.org](mailto:rajesh.thapa@icimod.org)
- b) Name: Dr Sandra Eckert  
Designation: Senior Research Scientist  
Organization: Centre for Development and Environment (CDE), University of Bern  
Email: [sandra.eckert@cde.unibe.ch](mailto:sandra.eckert@cde.unibe.ch)

## 5. Project background:

The growing urbanisation in Himalayas is an inevitable reality, though it is seen more as a threat than an opportunity. Mathieu (2011) claims that by the year 2000 there were five urban settlements with more than 0.1 million population in the Himalayas compared to only 2 in the 1900s (Mathieu, 2011, p. 57). Studies have raised alarm about urbanisation in Himalayas in detail and has raised alarm about unplanned urbanisation of the hills (Datta, 2006). Very few studies have tried to look at the urban development as an opportunity to generate sustainable growth and climate change resilience in the Himalayan region. A well informed urban development policy could be beneficial for propagating sustainable tourism and enhancing the quality of livelihoods.

While urban planning deals with the issues such as finding, allocating and regulating land for various socio-economic uses the current discourse around urban planning is about issues like inclusiveness and representation of women, who at present are severely underrepresented as a part of urban policy. Moreover, neither the impacts of climate change on their life and livelihoods especially in urban informal settlements, nor their role in shaping cities or building climate resilience is well understood (Sharma, 2016).

We have selected this topic at the time when urbanisation in Himalayas is happening at a rampant speed without any masterplan to guide it. A lot of women in the Himalayan cities and towns are engaged in either street vending or home-based work which is a major type of urban livelihood for them and their concerns as a part of urban policy must be reflected for the consideration of policy makers.

TERI SAS runs an M.Tech. programme on Urban Development and Management (UDM) which has very little alignment to urbanisation in Himalayas or Gender sensitive urban planning. The findings of this research are also going to benefit the programme and would make it more comprehensive. The partnership for this research lies on specific expertise which brings urban planners, geographers and livelihood experts together to generate multi-disciplinary perspectives.

## 6. Project Objectives:

1. To understand the unique challenges posed by urbanisation and climate change to the cities of Leh and Thimphu.
2. To identify livelihood-based issues and impact of climate change related disasters on women specifically engaged in "home based work" and "urban street vending".
3. To uncover the linkage between gender, livelihoods and land-use in the context of Leh and Thimphu.

## 7. Proposed Activities:

The research would be conducted in two phases with following activities

Phase-1 would comprise of the following activities,



1. Observation Study, Networking with Existing NGOs/Institutions, Identification of Street vending sites and neighbourhoods with home-based work,
2. Collection of documents and Interviewing City Government Officials,
3. Partner meeting for finetuning methodology at Thimphu

Phase-2 would comprise of the following

Questionnaire Surveys, Group discussions/consultations, Site Visits, Mapping and Recording of Observations at Thimphu and Leh.

Data Analysis, Preparation of detailed Maps

Finalisation of Analysis, Preparation and Writing of Manuscripts

### 8. Partner Roles:

| Partner Organisation                      | Key Role   |
|---|--|
| 1. <b>TERI School of Advanced Studies</b> | TERI SAS would take the lead and would be responsible to set up the research design, methodology, compilation of data and guiding the analysis in consultation with the other partners. TERI SAS would be responsible for field work in Leh, collecting information and writing analysis. TERI SAS would be the point of contact for the funders and all the deliverables would be submitted through TERI SAS. |
| 2. <b>Royal Thimphu College</b>           | Royal Thimphu College would undertake required field work at Thimphu as per the pre-decided research methodology and design. RIT would also be responsible to undertake analysis and writing of publication with the Lead Institution.   |
| 3. <b>Asian Institute of Technology</b>   | AIT would guide the methodology part of the research and would also be sharing responsibility to co-supervise field work in one of the cities Thimphu/Leh, as per the visa feasibility.  |

**9. Proposed deliverables:**

| SN | Deliverables  | Proposed date                 |
|----|---|-------------------------------|
| 1. | Policy Brief and Recommendations  | 30th September 2019           |
| 2. | Research Publication  | 15th October 2019             |
| 3. | Course Modules on Gender and Mountain oriented Urban Development for MTech Urban Development and Management (UDM) Programme at TERI SAS | 15 <sup>th</sup> October 2019 |

**10. Expected outcomes and longer term impact:**

There would be two major outcomes of the project,

1. Enhanced knowledge of the process of urbanisation and climate change impacts in cities like Leh and Thimphu.
2. Enhanced understanding of livelihood issues of women living in urban areas of Leh and Thimphu.

The urban growth and its components specifically in the Himalayan region are not much studied in the literature. This research is based on two less studied urban areas in Himalayan region and the research would affect policy making concerned with the urban areas in the future specifically the work done by city planners and urban policy makers.

**11. Grant contribution to HUC goal:**

The challenges of urbanization in the Himalayan towns are unique. While urbanisation is irreversible and is an inevitable process, inclusive and sustainable forms of urbanisation can better the quality of life for all. Most of the urban areas in Himalayan region are growing without any masterplans and manifest a large amount of informality. Unlike cities in the plains this informality is much more difficult to be accommodated in the regions like Ladakh and Eastern Himalayas.

This project with its urban focus would be a unique addition to the large volume of research produced by HUC and ICIMOD and would contribute to the goal of generating knowledge for sustainable and inclusive mountain development

## 12. Time Line and work plan

| No.      | Output/activity description   | Period I, 2018 |        |        |        |        | Period II, 2018-19 |        |        |        |        | Period III, 2019 |        |        |        |        | Period IV, 2019 |  |  |  |  |
|----------|---|----------------|--------|--------|--------|--------|--------------------|--------|--------|--------|--------|------------------|--------|--------|--------|--------|-----------------|--|--|--|--|
|          |   | 18-Jul         | 18-Aug | 18-Sep | 18-Oct | 18-Nov | 18-Dec             | 19-Jan | 19-Feb | 19-Mar | 19-Apr | 19-May           | 19-Jun | 19-Jul | 19-Aug | 19-Sep | 19-Oct          |  |  |  |  |
| <b>1</b> | <b>Policy Brief and Recommendations</b>   |                |        |        |        |        |                    |        |        |        |        |                  |        |        |        |        |                 |  |  |  |  |
| 1.1      | Fine-tuning methodology, Literature review and Collection of Secondary Data   |                |        |        |        |        |                    |        |        |        |        |                  |        |        |        |        |                 |  |  |  |  |
| 1.2      | Liaising, Preparation and First Phase Field Work at Leh and Thimphu   |                |        |        |        |        |                    |        |        |        |        |                  |        |        |        |        |                 |  |  |  |  |
| 1.3      | Liaisoning, Preparations and Second Phase of Field Work at Leh and Thimphu  |                |        |        |        |        |                    |        |        |        |        |                  |        |        |        |        |                 |  |  |  |  |
| 1.4      | Data Analysis   |                |        |        |        |        |                    |        |        |        |        |                  |        |        |        |        |                 |  |  |  |  |
| 1.5      | Preparation of Policy Brief   |                |        |        |        |        |                    |        |        |        |        |                  |        |        |        |        |                 |  |  |  |  |
| <b>2</b> | <b>Journal Paper</b>  |                |        |        |        |        |                    |        |        |        |        |                  |        |        |        |        |                 |  |  |  |  |
| 2.2      | Writing Editing and Sending Journal Paper for Review  |                |        |        |        |        |                    |        |        |        |        |                  |        |        |        |        |                 |  |  |  |  |
| <b>3</b> | <b>Curriculum Modules for M Tech UDM, Cities and Gender, Mountain Urban Development for the existing course on City and Regional Planning and Development</b> |                |        |        |        |        |                    |        |        |        |        |                  |        |        |        |        |                 |  |  |  |  |
| 3.1      | Outlines for new modules  |                |        |        |        |        |                    |        |        |        |        |                  |        |        |        |        |                 |  |  |  |  |
| 3.2      | Preparation of Teaching Cases   |                |        |        |        |        |                    |        |        |        |        |                  |        |        |        |        |                 |  |  |  |  |

Please refer attached Annex.

ANNEX II: Budget

ANNEX III: Progress Reporting Template

ANNEX IV: Disbursement Sample

ANNEX V: Financial Reporting Template

**Template: Financial Reporting Template**

Expenditures of the committed funds from ICIMOD shall be reported in accordance with the budget details with reference to supporting details and as stated in the LoA in the prescribed in Excel format by ICIMOD both in soft and hard copy. Please note that all fund utilisation reports should be stamped and signed by the partners.





For LoA based agreement

## ICIMOD

Name of Project  
Name of Partner  
Country  
Cost Center  
Budget Period  
Contract Currency  
Partner ID

Client: Women Uncovering the Relationship between Gender, Land-use and Livelihoods for Embedding Climate Change Resilience in TERI SAS.

TERI SAS  
15349-264137  
01 APRIL - 15 SEPTEMBER  
USD

## Cost Category wise Budget Total

| Project            | Total Budget |
|--------------------|--------------|
| Staff Cost         | 11950        |
| Consultants        | 500          |
| Travel             | 13350        |
| Equipment          | 0            |
| Workshop Materials | 3000         |
| IT/Communication   | 0            |
| Supplies           | 1200         |
| Partners Overhead  | 0            |
| Total Budget       | 30000        |
| Check              | 30000        |

## Fund Disbursement Schedule

| Tranche             | Amount | Planned date |
|---------------------|--------|--------------|
| First               | 22500  | Aug-18       |
| Second              | 4500   | Jan-19       |
| Third               | 3000   | Dec-19       |
| Final Reimbursement |        |              |
| Total               | 30000  |              |

% allocation in Partners Overhead 0%

## Project Activity Plan

| Project Activity  | Cost Category    | Capital/ Non-capital | Unit (A) | no. of units (B) | Unit rate (C) | Amount in USD    |                  | Notes, if any |
|---|------------------|----------------------|----------|------------------|---------------|------------------|------------------|---------------|
|   |                  |                      |          |                  |               | Amount (A*B*C*D) | Amount (A*B*C*D) |               |
| Observation Study, Networking with Existing NGOs/institutions, Identification of Street vending sites and neighbourhoods with home based work, Collection of documents and Interviewing City Government Officials, Partner meeting for finalizing methodology | Staff Cost       | Non-Capital          |          |                  |               |                  |                  |               |
| Provide Investigator/Research Assistant/Interns   | Staff Cost       | Non-Capital          |          |                  |               | 2988             |                  |               |
| Air Travel, Local Travel, Accommodation and Food  | Travel           | Non-Capital          |          |                  |               | 4540             |                  |               |
| Stationary, Survey Costs and Contingencies  | Supplies         | Non-Capital          |          |                  |               | 300              |                  |               |
| Questionnaire Surveys, Group discussions/consultations, Site Visits, Mapping and Recording of Observations  | Non-Capital      | Non-Capital          |          |                  |               |                  |                  |               |
| Provide Investigator/Research Assistant/Interns   | Staff Cost       | Non-Capital          |          |                  |               | 2988             |                  |               |
| Air Travel, Local Travel, Accommodation and Food  | Travel           | Non-Capital          |          |                  |               | 8540             |                  |               |
| Stationary, Survey Costs and Contingencies  | Supplies         | Non-Capital          |          |                  |               | 300              |                  |               |
| Group Discussions/Consultations   | Workshop Meeting | Non-Capital          |          |                  |               | 3000             |                  |               |
| Data Analysis, Preparation of detailed Maps   | Non-Capital      | Non-Capital          |          |                  |               |                  |                  |               |
| Provide Investigator/Research Assistant/Interns   | Staff Cost       | Non-Capital          |          |                  |               | 2988             |                  |               |
| Stationary, Printing and Contingencies  | Supplies         | Non-Capital          |          |                  |               | 300              |                  |               |
| Finalization of Analysis, Preparation and Writing of Manuscripts & Final Submission   | Non-Capital      | Non-Capital          |          |                  |               |                  |                  |               |
| Provide Investigator/Research Assistant/Interns   | Staff Cost       | Non-Capital          |          |                  |               | 2988             |                  |               |
| Stationary, Printing and Contingencies  | Supplies         | Non-Capital          |          |                  |               | 300              |                  |               |
| Project Close   | Consultants      | Non-Capital          |          |                  |               | 500              |                  |               |
| Grant Total (A+B)   |                  |                      |          |                  |               | 30000            |                  |               |

For ICIMOD

Signature

Name: *Dr. Pradyumn Kumar*  
Title: *Programme Finance*

From Programme Finance

Signature

Name: *Sr. Poo. Finance*  
Title: *Sr. Poo. Finance*

For Partner

Signature

Name: *ABHINAV DUTTA*  
Title: *Partner Finance*

From Partner

Signature

Name: *Deputy Finance and Project Management Officer*  
Title: *Deputy Finance and Project Management Officer*

Deputy Finance and Project Management Officer  
TERI School of Advanced Studies  
10, Institutional Area, Vasant Kunj  
New Delhi-110070

### BILL OF SUPPLY

|  |   |                          |                           |
|--|---|--------------------------|---------------------------|
| <b>TERI School of Advanced Studies</b>   |   | <b>Invoice No.</b>       | <b>Dated</b>              |
| Plot No. 10, Institutional Area,<br>Vasant Kunj, New Delhi - 110070  |   | <b>MAY/BOS-7</b>         | <b>24-May-18</b>          |
| GSTIN/UIN : 07AAATT4778L1ZU  |   |                          | Mode/Terms of Payment     |
| State Name : Delhi, Code : 07  |   | Supplier's Ref.          | Other Reference(s)        |
| E-Mail : dhanraj.singh@terisas.ac.in   |   |                          |                           |
| <b>Buyer</b>   |   | <b>Terms of Delivery</b> |                           |
| <b>RMIT University</b>   |   |                          |                           |
| Andrew S Ball  |   |                          |                           |
| RMIT Distinguished Professor, Director,<br>Centre for Environmental Sustainability and Remediation,<br>School of Science, RMIT University  |   |                          |                           |
| PO BOX71   |   |                          |                           |
| Buundoora VIC 3083   |   |                          |                           |
| <b>S.NO</b>  | <b>PARTICULARS</b>                                      | <b>SAC CODE</b>          | <b>Amount</b><br>(In USD) |
| 1  | Recycling Plastics in Asian City Environments (RePLACE) | 998393                   | 2,800.00                  |
| <b>TOTAL</b>   |   |                          | <b>2,800.00</b>           |
| Amount Chargeable (in words)   |   |                          |                           |
| <b>\$ Two thousand eight hundred only</b>  |   |                          |                           |
| for TERI School of Advanced Studies  |   |                          |                           |
| (Authorised Signatory)   |   |                          |                           |
| <b>Mode of Payment</b>   |   |                          |                           |
| Payment may please be remitted either through Demand Draft/Cheque (A/c Payee) drawn in favour of<br><b>"TERI School of Advanced Studies"</b> payable at New Delhi or through Bank transfer as per bank details given below |   |                          |                           |
| Name of Beneficiary  | TERI School of Advanced Studies                         |                          |                           |
| Account Number   | 52142908571   |                          |                           |
| Name of the bank   | State Bank of India                                     |                          |                           |
| Address  | Scope Complex, Lodi Road, New Delhi - 110003            |                          |                           |
| Bank IFSC Code   | SBIN0020511   |                          |                           |
| Swift Code   | SBININBBH42   |                          |                           |
| <b>Please mention the Invoice number and date in the remittance advice</b>   |   |                          |                           |

**3.2.1 NC-29**

**From:** Suneel Pandey <[spandey@teri.res.in](mailto:spandey@teri.res.in)>  
**Sent:** Thursday, May 24, 2018 7:11:27 AM  
**To:** Arun Kansal  
**Cc:** Dhanraj Singh  
**Subject:** Fw: Re: Replace details

Dear Arun

Kindly do the needful, send invoice for entire amount due.

Thanks

Suneel Pandey, PhD  
Director  
Environment and Waste Management Division  
The Energy and Resources Institute (TERI)  
India Habitat Centre, Lodhi Road  
New Delhi 110 003  
Tel: 011-24682100; Fax: 011-24682144  
Cell: 9811312261

-----Forwarded by Suneel Pandey/CWM/DEL/TERI on 05/24/2018 07:10AM -----

| To: Suneel Pandey <[spandey@teri.res.in](mailto:spandey@teri.res.in)>

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From: Nagalakshmi Haleyr <[nagalakshmi.haleyr@rmit.edu.au](mailto:nagalakshmi.haleyr@rmit.edu.au)>  
Date: 05/24/2018 06:12AM  
Cc: Andy Ball <[andy.ball@rmit.edu.au](mailto:andy.ball@rmit.edu.au)>  
Subject: Re: Replace details

Dear Dr. Pandey,

A very good morning. Hope this email finds you well!

Just following up with regards to invoice. We haven't received any invoice so far. Wondering if you have sent already and we haven't received for some reason?

Also, wondering how is the literature review going on at your end. At RMIT and HCMIU, we have finished our part and we are waiting for TERI to complete. Could you please update the status of the project as the next project review is approaching soon.

Have a great day!

Regards,  
Lakshmi

---

On 2 May 2018 at 21:12, Suneel Pandey <[spandey@teri.res.in](mailto:spandey@teri.res.in)> wrote:

Dear Dr Lakshmi

Thanks for the update, we agree to your suggestions and get the work initiated. The TERI School of Advance Studies will soon send the invoice.

Regards

Suneel Pandey, PhD  
Director  
Environment and Waste Management Division **3.2.1.348**



3.2.1.349  
The Energy and Resources Institute (TERI)  
India Habitat Centre, Lodhi Road  
New Delhi 110 003  
Tel: 011-24682100; Fax: 011-24682144  
Cell: 9811312261

From: Nagalakshmi Haleyr <[nagalakshmi.haleyr@rmit.edu.au](mailto:nagalakshmi.haleyr@rmit.edu.au)>  
To: [spandey@teri.res.in](mailto:spandey@teri.res.in)  
Cc: Andy Ball <[andy.ball@rmit.edu.au](mailto:andy.ball@rmit.edu.au)>  
Date: 02-05-2018 07:04  
Subject: Replace details

---

Dear Dr. Pandey,

As promised, I have tried to provide some details about Replace project

The project will be done in 3 phases : (1) literature review (2) curriculum development and (3) Report writing.

We have HCMIU, Vietnam on board for this project along with RMIT, Melbourne. The project is about curriculum development on plastic recycling strategies in three different countries (India, Vietnam, and Delhi) and focuses on what needs to be improved/ developed for a sustainable disposal/ maintenance of plastic. TERI will handle Indian scenario and HCMIU will handle Vietnam. AT RMIT, we are working on Australian scenario.

I hereby attach the document that outlines what needs to be done during the first phase of the project. The document you generate should consist of literature review having India in mind. Could you please do sections allocated to TERI. The rest of the sections allocated to RMIT will be done by us here. In section 8, a comparative study can be done at the last after we collate the data from participating organizations. Could you please let us know as soon as the document is prepared, preferably in one month?

With regards to funds transfer, could you please raise an invoice for 2,800 USD and send it back to us at the earliest. We will then initiate the fund's transfer.

Should you have any questions/ queries please do not hesitate to contact us.

Many thanks and warm regards,

Lakshmi[attachment "literature review outline.docx" deleted by Suneel Pandey/CWM/DEL/TERI]



**TRIBHUVAN UNIVERSITY**  
**CENTRAL DEPARTMENT OF ENVIRONMENTAL SCIENCE**

Telephone : 4-332147  
4-332711

Ref: 578/2075/076



Kirtipur  
Kathmandu, Nepal

11 February 2019  
Date: .....

**Project Title:** Transboundary water governance and role of institution to enhance the capacities of marginalized community in Mahakali River Basin

**Collaboration between:**

Central department of Environmental Science, Tribhuvan University (CDES-TU), Nepal and  
TERI School of Advanced Studies, New Delhi (TERI-SAS), India

**ICIMOD Programme:** Himalayan University Consortium

**Budget:** USD 20,000

**TERI SAS budget share:** USD 7000

**Payment schedule:**

1. 50% (USD 3500) initial during initiation.
2. 40% (USD 2800) on completion of field work and submission of progress report and financial report and supporting documents to CDES-TU
3. 10% (USD 700) on submission of final and complete narrative report and financial report with supporting documents to CDES-TU

.....  
Rejina Maskey Byanju  
Head of Department  
Central Department of Environmental Science  
Tribhuvan University

CC: Himalayan University Consortium, ICIMOD, Nepal

| Subaward Agreement  |                           |  |
|---|---------------------------|--|
| <b>Prime Awardee</b>  |                           | <b>Subawardee</b>  |
| Institution/Organization ("PRIME RECIPIENT")  |                           | Institution/Organization ("SUBRECIPIENT")  |
| Name:   |                           | Name:  |
| The Trustees of Columbia University in the City of New York   |                           | TERI School of Advanced Studies  |
| Address:  |                           | Address:   |
| Sponsored Projects Administration<br>615 W 131 <sup>st</sup> Street, Fl 6<br>New York, New York 10027   |                           | TERI School of Advanced Studies<br>10, Institutional Area<br>Vasant Kunj<br>New Dehli – 110070 India |
| Prime Award No.   |                           | Subaward No.   |
| SDSN Association 0000148757      CU PI: Lucia Rodriguez   |                           | 1 (PG009222)      Subrecipient PI: Smriti Das  |
| Sponsor   |                           |  |
| SDSN Association  |                           |  |
| Subaward Period of Performance  | Amount Funded this Action | Est. Total (if incrementally funded)   |
| 01/01/2018 – 08/30/2018   | \$18,000                  | \$   |
| Project Title:  |                           |  |
| Proposal to Review and Update the 2008 International Commission on Education for Sustainable Development Practice Report  |                           |  |
| Reporting Requirements: A final technical report is due within 30 days after the termination of this agreement.   |                           |  |
| <p align="center"><b>Terms and Conditions</b></p> <p>1) Prime Recipient hereby awards a cost reimbursable subaward, as described above, to Subrecipient. The statement of work and budget for this subaward are as shown in Attachment 4. In its performance of subaward work, Subrecipient shall be an independent entity and not an employee or agent of Prime Recipient.</p> <p>2) Prime Recipient shall reimburse Subrecipient not more often than monthly for allowable costs. All invoices shall be submitted using Subrecipient's standard invoice, but at a minimum shall include current and cumulative costs (including cost sharing), subaward number, and certification as to truth and accuracy of invoice. <i>Invoices that do not reference Prime Recipient's subaward number shall be returned to Subrecipient.</i> Invoices and questions concerning invoice receipt or payments should be directed to the appropriate party's Financial Contact, as shown in Attachment 3.</p> <p>3) A final statement of cumulative costs incurred, including cost sharing, marked "FINAL," must be submitted to Prime Recipient's Financial Contact NOT LATER THAN thirty (30) days after subaward end date. The final statement of costs shall constitute Subrecipient's final financial report.</p> <p>4) All payments shall be considered provisional and subject to adjustment within the total estimated cost in the event such adjustment is necessary as a result of an adverse audit finding against the Subrecipient.</p> <p>5) Matters concerning the technical performance of this subaward should be directed to the appropriate party's Principal Investigator, as shown in Attachment 3. Technical reports are required as shown above, "Reporting Requirements."</p> <p>6) Matters concerning the request or negotiation of any changes in the terms, conditions, or amounts cited in this subaward agreement should be directed to the appropriate party's Administrative Contact, as shown in Attachment 3. Any such changes made to this subaward agreement require the written approval of each party's Authorized Official, as shown in Attachment 3.</p> <p>7) Each party shall be responsible for its negligent acts or omissions and the negligent acts or omissions of its employees, officers, or directors, to the extent allowed by law.</p> <p>8) Either party may terminate this agreement with thirty days written notice to the appropriate party's Administrative Contact, as shown in Attachment 3. Prime Recipient shall pay Subrecipient for all allowable, noncancellable obligations in the event of termination.</p> <p>9) No-cost extensions require the approval of the Prime Recipient. Any requests for a no-cost extension should be addressed to and received by the Administrative Contact, as shown in Attachment 3, not less than thirty days prior to the desired effective date of the requested change.</p> <p>10) The Subaward is subject to the terms and conditions of the Prime Award and other special terms and conditions, as identified in Attachments 1 and 2.</p> |                           |  |
| By an Authorized Official of Prime Recipient:   |                           | By an Authorized Official of Subrecipient:   |
| _____   |                           | _____ 31 May 2018  |
| Date  |                           | Date   |

Capt. Pradeep K Padhy (Retd.)  
 Registrar  
 TERI School of Advanced Studies  
 10, Institutional Area, Vasant Kunj  
 New Delhi-110070

# ICIMOD

## Institutional Contract

between  
International Centre for Integrated Mountain Development  
and  
TERI University, India

Contract No: CONIS00237

**Purpose** : Nutritional and livelihood security of subsistence farmer in the hilly and Mountain areas of the Hindu Kush Himalayan region  
**Effective date** : 1 August 2017  
**End date** : 30 April 2018

THIS INSTITUTIONAL CONTRACT [Contract] is made on 1 August 2017, by and between the INTERNATIONAL CENTRE FOR INTEGRATED MOUNTAIN DEVELOPMENT ["ICIMOD"], Nepal and TERI University, New Delhi, India ("the Collaborator") to provide seed grants fund for the proposed activities as per the attached ToR.

WHEREAS, the ICIMOD desires to engage the Collaborator to implement the agreed project on the terms and conditions hereinafter set forth,

WHEREAS, the Collaborator is willing to implement the agreed activities and has accepted to undertake the tasks on the agreed terms and conditions,

NOW THEREFORE, ICIMOD and TERI University (hereafter referred to as Parties) agree to enter into this Institutional Contract to achieve the agreed objectives under this cooperation.

NOW THEREFORE THE PARTIES hereby agree as follows:

### 1. Roles and Responsibilities

- The Collaborator shall provide the services specified in Terms of Reference (ToR) as in Annex-I which is an integral part of this Contract.
- The Collaborator shall be responsible for the professional and technical services of highest quality for the implementation of this contract.
- The Collaborator shall notify immediately to ICIMOD in writing if any situation or circumstances that may cause delays, prevent or influence during the course of implementation of the assignment.
- The Collaborator shall deliver a final report which shall set forth in detail, all the work done as per the ToR within the time of the Contract.

### 2. General Conditions

Institutional Contract Between ICIMOD and TERI University

11/12/18



- a. The Collaborator shall not assign, transfer, pledge or make other disposition of this Contract or any other parts thereof or rights, claims or obligations under this contract, without prior written approval of ICIMOD.
- b. During the duration of this Contract, the Collaborator shall not provide goods, works or services [other than services that would not give rise to a conflict of interest] to other organizations without ICIMOD's consent.
- c. Any related documents, reports, estimates or any data compiled or received by the Collaborator under this Contract is the property of ICIMOD, shall be treated as confidential and shall be delivered only to the duly authorized officials of ICIMOD. Under no circumstances shall the contents of such documents or data be made known to any unauthorized person/organization without the prior permission of ICIMOD.
- d. The Collaborator will be responsible for taking out, at its own expenses, medical and personal accidental insurance covering the period of this Contract.

### 3. Budget and Disbursement

- a. The total amount payable to the Collaborator under this Contract is USD 10,000 (In words USD Ten Thousand only). The details of the budget are provided in the Annex II. This amount has been established based on the understanding that it includes all of the Collaborator's costs and any tax obligation that may be imposed on the Collaborator.

- b. The Collaborator shall not engage in any work, provide equipment, materials or supplies; or perform any other services which may result in any change in excess of the above mentioned amounts without the prior written consent of ICIMOD.

- c. ICIMOD will disburse agreed amount to the Collaborator on the basis of the deliverables received and the fund will be disbursed in two installment, as follows:

| S/N | Deliverables   | Due date      | Payment  |
|-----|--|---------------|--|
| 1   | Upon signing of Contract   |               | US\$ 7,000 (70 % of total budget)                        |
| 2   | • Grant completion report (Annex II)<br>• Final financial report | 30 April 2018 | US\$ 3,000 (30 % of total budget)<br>(Final installment) |

- d. To request a disbursement, the Collaborator shall submit:
- For the first disbursement, the amount will be released on the basis of this Contract, However, the Collaborator needs to submit an advance request with necessary bank details.
  - For the final disbursement, agreed deliverables (Outputs) together with the financial report and supporting documents are to be submitted by the Collaborator.
  - Certified copy of all the actual supporting documents for the expenditure claimed by the collaborator for that particular period. The actual supporting documents should be retained by the collaborator till the end of the required period (refer. Clause 3.g) for necessary audit by ICIMOD or the donor. Photocopies of the actual supporting documents have to be certified by the Head of finance of the collaborator organization for submission to ICIMOD. Without the certified financial statement in the agreed format and the certified copies of all the supporting documents for the expenditure claimed, there will be no financial disbursements. The liquidation of final disbursement should be made by submission of the required financial report and the supporting documents within 1 month after the completion of the contract
- e. Payment shall be made within 30 days after receipt of verified and approved deliverables by ICIMOD for which payment is requested. ICIMOD reserves the right to withhold payment subject to deliverables completion verification.

- f. Payment shall be made to the Collaborator by an Account Payee Cheque or through bank transfer.
- g. The Collaborator shall maintain accounting books, records, documents and other evidence relating to the Agreement, adequate to show, without limitation, all costs incurred and revenues earned by the Collaborator for the project and the overall progress toward completion of the project. It shall maintain project books and records in accordance with generally accepted accounting standards. Project books and records must be kept in the possession of the Collaborator at least up to 30 April 2024.
- h. The accounts of activities under this Institutional Contract will be subject to financial audit by ICIMOD anytime during the period of the agreement. If deemed necessary, ICIMOD might also assign an external auditor to do the final audit. Similarly, there may also be requests from the project sponsors/donors for a specific audit. In such cases, the audit schedule will be provided to the Collaborator in advance and the Collaborator without any demur shall comply with this provision.

4. Taxation

The Collaborator themselves shall be responsible for compliance with tax laws including withholding tax, income and other indirect taxes for the activities funded through this Contract. Any taxes or other government liabilities arising out of any payments made from this Contract will be the responsibility of the collaborator. ICIMOD is in no case liable for any such taxes or liabilities.

5. Administration

ICIMOD and the Collaborator designate the following as respective focal persons who will be responsible for the coordination of activities under this Contract. The ICIMOD focal person will also be responsible for receiving and approving deliverables and invoices for the payment.

| ICIMOD   | TERI University  |
|--|--|
| Name: HUC Secretariat<br>Address: GPO Box 3226, Kathmandu, Nepal<br>Tel: 977 01 5003222<br>Email: huc@icimod.org | Name: Chubamenla Jamir<br>Designation: Assistant Professor<br>Address: TERI University, New Delhi, India<br>Tel: 91 9990738814<br>Email: chubamenla.jamir@teriuniversity.ac.in |

6. Arbitration

Any dispute arising out of or in connection with this Contract which cannot be settled by mutual agreement shall be submitted for arbitration to three arbitrators. Each party shall appoint one arbitrator each. The two appointed arbitrators thus appointed shall agree on the third one. The arbitrators shall rule on the costs which may be divided between the Parties. The decision rendered in the arbitration shall constitute the final decision of the dispute.

7. Amendment

Any modification or change to this Contract shall require an amendment in writing between both Parties duly signed by the authorized representatives of ICIMOD and the Collaborator.

## 8. Termination


- a. If the Collaborator has not met the applicable conditions required for disbursement in the ToR by the applicable deadline(s), or if the Collaborator fails to achieve the programmatic targets set forth in this Contract within the periods set forth herein, ICIMOD may, at any time, and at its sole discretion, terminate or suspend this Contract, in whole or in part, by written notice to the Collaborator.
- b. Either Party may terminate this Contract upon 30 days prior written notice to the other if it considers termination justified on the grounds that no further purpose would be served by continuing with the activity/project. In the event of such termination the Collaborator shall be compensated for the actual amount of work performed to the satisfaction of ICIMOD on a pro-rata basis. Such notice of termination will only be given by either Party after full discussion with the other Party of the reasons for the proposal to give such notice.

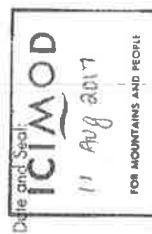
## 9. Entry into Force

This Contract between ICIMOD and TERI University shall enter into force upon signature by the Parties. Each Party will hold a copy of the signed Contract in the English language and having equal validity.

The duly authorized representatives of the Parties affix their signatures below,

For ICIMOD

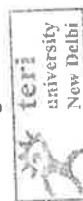
  
**Dr David Molden**  
 Director General



For TERI University

  
**Capt Pradeep Padhy**  
 Registrar

Date and Seal: 21 Aug 17



## Annex I: Terms of Reference (ToR)

### 1. Grant title:

Nutritional and livelihood security of subsistence farmer in the hilly and Mountain areas of the Hindu Kush Himalayan region.

### 2. Grant Period:

1 August 2017 - 30 April 2018

### 3. Partnership Composition:

| Partner Organisation<br>Partner)  | Key contact                                  | Key Roles   |
|---|--|---|
| <b>India</b><br>TERI University, New Delhi (Lead Partner)   | Dr. Chubamenla Jamir                         | Overall project coordinator   |
| <b>Afghanistan</b><br>National Agriculture Education College (NAEC) Kabul, Samtse College of Education, RUB, Bhutan | Dr Hameedullah Ahmadzai<br>Dr. Kinzang Dorji | Project implementation in Afghanistan<br>Project implementation in Bhutan |
| <b>Nepal</b><br>Nepal Agricultural Research Council (NARC)  | Dr. Tek Bahadur Gurung                       | Project implementation in Nepal   |
| <b>Pakistan</b><br>Peshawar Agriculture University,   | Dr. Mohammad Nauman Ahmad                    | Project implementation in the hill and mountain region of Pakistan.       |

### 4. Grant background:

The lead partners, in addition to their expertise in the agriculture and food security in their region, has been selected based on the following criteria:

1. Activities related to agriculture in the HKH region
2. The expertise will complement each other.
  - TERI University – main expertise on agriculture, climate change and food security, SDGs
  - NAEC- Agriculture and soil science
  - Samtse, RUB- Education and training and livelihood (e.g., GNH)
  - NARC, Nepal – Fisheries and livestock
  - PAU, Pakistan – Agriculture, chemistry and nutrition



### 5. Grant Purpose:

The aim of this proposal is to use the seed funding for facilitating interaction and exchange of knowledge between the partner institutes in the HKH region for research and developing pathways for ensuring nutritional security and enhancing livelihood among the subsistence farmers in the Hindu-Kush region. This will involve building partnership between the partner institutes. The project will take a systemic and lifecycle thinking approach in addressing the research questions.

### 6. Proposed Activities:

The Proposed project will have two broad activities:

- Travel of the Project leads for a joint meeting
- Project delivery

### 7. Expected outputs:

- Output 1: Directory of researchers and research expertise working on nutritional security in the HKH region (This includes from existing and potential HUC member Universities)
- Output 2: Compendium of best case studies on nutritional security (or papers) from the researchers in the HKH region identification of key food crops in the region that are major contribution of nutrition
- Output 3: List of research priorities on nutritional security of Hill communities in HKH region
- Output 4: Pathways for research on nutritional security in the region
- Output 5: Policy brief on nutritional and livelihood security in the Hindu Kush region

### 8. Expected outcomes and longer term impact:

- Strengthened partnership among partner institutes
- Roadmap for improving nutritional and livelihood security
- Policy brief – this will serve as a benchmark for policy development in the hill and mountain regions

### 9. Grant Objectives:

The overarching aim of this project is to build a network of researchers and build partnership for developing research pathways on nutritional security of the hill communities in the HKH region.

- The specific objectives are as follows;  
Objective 1: To identify researchers (network building) working on nutritional security in the HKH region

| Organizational Unit | Contract ID                    | Amendment # |
|---------------------|--------------------------------|-------------|
| UNU-IAS             | 611UU-000000000000000000001306 | 0           |

**Durallon of Contract**  
This contract shall commence on 15-Jan-2018 and shall expire on the satisfactory completion of the services described above, but not later than 14-Jan-2019, unless sooner terminated under the terms of this contract. This contract is subject to the conditions attached.

**Consideration**  
As full consideration for the services performed by the Contractor under the terms of this contract, the United Nations University shall pay the Contractor upon certification that the services have been satisfactorily performed.

|               |           |
|---------------|-----------|
| Currency :    | USD       |
| Fee:          | 0.00      |
| Expenses:     | 27,510.00 |
| Total Amount: | 27,510.00 |

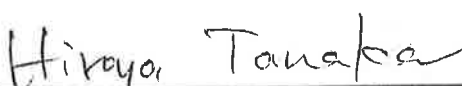
The fee is payable on satisfactory completion of the contract. For payment in installments, certification of satisfactory performance at each phase is required. Expenses, as agreed, are reimbursed upon submission of receipt as evidence of payment.

**Schedule and Conditions of Payment**  
This Agreement will commence upon signature of the parties and submission of detailed work plan, and will expire upon satisfactory completion of the work assignments described above but not later than 14 January 2019.

USD 13,755: 50% of total contract fee will be paid upon conclusion of this agreement and submission of detailed work plan (expected in January 2018).  
Up to USD 13,755: Final payment upon submission of a satisfactory final report in December 2018 (expected in January 2019).

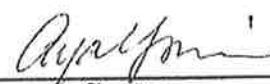
The final installments will be paid upon certification of satisfactory performance at each phase, what will be assessed through the submission of reports and expenditure statements with evidence of expenses incurred. Any unexpected funds from UNU shall be returned to UNU after completion of the work assignments.

**Acknowledgement**  
I acknowledge that I have read and accept the conditions set out on the attached.

  
 \_\_\_\_\_  
 Signature of Authorized Representative of Contractor

15 January 2018  
 \_\_\_\_\_  
 Date

**Certifying Officer**  
Kazuhiko Takemoto, Director, UNU-IAS, on behalf of the United Nations University

  
 \_\_\_\_\_  
 Signature

12 January 2018  
 \_\_\_\_\_  
 Date

26-Feb-2018

Briefing  
ProSPER.Net

|   |  |
|---|--|
| <b>Project title</b>                        | <b>Development of a framework for the local implementation of the SDGs</b>   |
| <b>Duration of Contract</b>                 | From 15-Jan-2018 to 14-Jan-2019  |
| <b>Participating institutions(Partners)</b> | TERI University<br>University of the Philippines Diliman<br>Chulalongkorn University   |
| <b>the financial assistance</b>             | USD 3,000 per partner as Conducting site visits fee  |
| <b>Financial report</b>                     | <p><b>*Deadline:30-Nov-2018</b></p> <p><b>*Required documentations:</b></p> <p><b>1.Financial report</b><br/>Please keep accounts by English with How much, Who, What, When, and to Whom.<br/>Please use the attached file, "Financial report format".</p> <p><b>2.Copies of payment certificate(receipts)</b><br/>Please give us the copies as PDF files.</p> <p><b>3.Invoice</b><br/>After we receive Invoice, we will make a payment.</p> |
| <b>Final report</b>                         | Keio University will submit Final report to UNU-IAS until the end of Dec-2018.   |

SSFA/2017/AsiaPacific/TERI University

POW 2016-2017: Sub-programme: Resource Efficiency – Sustainable Consumption and Production

Expected Accomplishment(s): C - Enabling conditions for promoting more sustainable consumption choices and lifestyles are enhanced

Output(s): 3. Life-cycle based information tools and methodologies such as ecolabelling, certification, and product sustainability indicators developed with, and provided to, governments, businesses and other stakeholders

Title of the approved PRC project: Internationally recognized information tools to enable individual and institutional consumers to make informed choices

Grant: M1-32ECL-000008 WBS Element: SB-000939.04.02  
Functional Area: 14AC0006 Cost Centre: 11228  
Cost: \$17,000. -



Small-Scale Funding Agreement

THIS SMALL SCALE FUNDING AGREEMENT (SSFA) and its annexes (this "Agreement") is made on 03 August 2017

BETWEEN:

United Nations Environment Programme (hereinafter referred to as "UNEP" represented by the Regional Office for Asia and Pacific), an international inter-governmental organisation established by the General Assembly of the United Nations.

AND:

TERI UNIVERSITY (hereinafter referred to as "TERI U"), a non-profit making organization having its office at Plot No. 10, Institutional Area, Vasant Kunj, New Delhi, Pin- 110070, India,

UNEP agrees to co-operate with TERI U with respect to the pilot project "Application of life cycle thinking approach for enhancing the fruits and vegetables supply chain: A pilot study from Nagaland, India" in India. Annexes to this Agreement, including the attached Project Document/Implementation Plan (Annex-A) and Budget (Annex-B) are part of this agreement.

1. Project/Programme objectives to which the small-scale funding contributes:  
To improve sustainability of the vegetables and fruits supply chain in Nagaland, India, by employing a life cycle thinking approach.
2. Activity or activities to be carried out with the support of the small-scale funding
  - Mapping the vegetable supply chain in Nagaland and identify sustainability hotspots.
  - Identifying measures/strategies/practices for enhancing the environmental and socio-economic sustainability.

DT

PP



- Conducting a pilot study to build capacity and evaluate the potential benefits of ensuring SCP through a LC thinking approach in the fruit and vegetable supply chain.

3. Expected results/outputs to be achieved:

- Report on fruit and vegetable supply chain mapping
- Report of the hotspot analysis, including details description of actors and related activities per hotspot
- Report on indicators for assessment of the pilot study
- Report on capacity building and training workshop for value chain actors
- Report on capacity building workshop for local governments and other stakeholders
- Final outcome report and recommendations for policy makers

4. Starting and ending dates for implementation of the activities:

|            |                        |
|------------|------------------------|
| Start date | Date of last signature |
| End date   | 30 November 2018       |

5. UNEP shall provide *TERI U* with funds up to a maximum amount of **US \$ 17,000**. The resources provided by UNEP will only be used by *TERI U* in pursuit of the project/programme objectives and for the activities to achieve the results as agreed to in 1 – 3 above. Funds will be made available in *two instalments* as indicated below and upon receipt of a payment request in *USD*, as follows:

Schedule of payments

Date

| Instalment N. | Deliverable as per Budget and Implementation Plan  | Amount (USD)  | Expected Date of Payment   |
|---------------|--|---|--|
| 1             | Upon submission of work plan   | US\$ 8,500 (eight thousand five hundred US dollars) | As soon as possible but no sooner than 15 days after this SSFA's effective date  |
| 2             | Upon validation of deliverables 2.3, 2.4, 3.1, 3.2, and final progress report and expenditure report | US\$ 8,500 (eight thousand five hundred US dollars) | No sooner than 15 days after submission and acceptance of the relevant progress and final expenditure reports (expected: 15 December 2018) |

The funds shall be deposited in:

**Bank Name and Address**

Name: State Bank of India  
Address: Pragati Vihar (20511),  
Ground Floor, Core 6, Scope Complex,  
Lodi Road, New Delhi – 110 003

**Swift code:**

SBHYINBB012

**Account:**

Account name: TERI UNIVERSITY  
Account number: 52142908571

**Signatories:**

Capt. Pradeep Padhy, Registrar,  
TERI University

6. Within 1 month upon expiry of this Agreement, *TERI U* shall refund to UNEP any unspent balance of the above funds.

7. UNEP and *TERI U* will cooperate to monitor the progress of this project/programme. *TERI U* shall submit to UNEP, substantive progress reports; financial reports and a final report at or near the given dates below:

Reports

Date

| Submission Dates | Relevant Reports   |
|------------------|--|
| 10 December 2017 | Interim Progress and Expenditure Reports (Annex 2 and 3) |
| 15 March 2018    | Interim Progress Reports (Annex 2)                       |
| 30 November 2018 | Final Progress and Expenditure Reports (Annex 5 and 6)   |

All administrative work related to the project should be communicated to the Registrar, TERI University while all the communications related to research and the pilot will be communicated the project Principal Investigator (PI).

The Project Principal Investigator (PI) will be Dr Chubamenla Jamir and the Project Co-PI will be Dr Suresh Jain, Department of Energy and Environment TERI University.

8.a. *TERI U* shall submit financial statements on the use of funds provided, as per UNEP's required format and within the agreed timeframe.

8.b. *TERI U* shall keep accurate and up-to-date records and documents in respect of all expenditures incurred with the funds made available by UNEP under this Agreement, to ensure that all expenditures are in conformity with the provisions of this Agreements and its annexes thereto.

8.c. Upon completion of the Project/or Termination of this Agreement, *TERI U* shall maintain the records for a period of at least 3 years unless otherwise agreed upon between the Parties.

8.d. UNEP has the right, at its own expense, to have the records of *TERI U* related to this cooperation reviewed and audited.

9.a. *TERI U* shall consult with UNEP regarding the Intellectual Property Rights as appropriate.



- 9.b. TERI U shall only use the UNEP name, logo and emblem in connection with the Project/Programme with the prior written consent of UNEP.
- 9.c. In no event will authorization of the UNEP name or emblem, or any abbreviation thereof, be granted for commercial purposes.
10. This agreement can only be changed through an agreed modification in writing.
11. Either party may terminate this Agreement upon serving a written notice to the other party at least 1 month prior to such termination.
12. TERI U shall comply with all the above mentioned provisions and agrees that UNEP reserves the right to withhold any payment due to TERI U's non-compliance with any of the provisions mentioned hereinabove.
13. Any dispute arising out of or in connection with this Agreement shall be settled amicably between UNEP and TERI U. Should attempts at amicable negotiation fail, any such dispute shall, upon request by either party, be referred to arbitration in accordance with the UNCITRAL arbitration rules. The parties shall be bound by any arbitration award rendered as a result of such arbitration as the final adjudication of any such controversy, claim or dispute.
14. This Agreement shall enter into force upon signature by the Parties being effective from the date of the latest signature, and shall remain valid for a period of **24 months**, unless terminated earlier pursuant to clause 11 above.
15. The Parties shall carry out their respective responsibilities in accordance with the provisions of the Agreement. The Parties shall determine and communicate to each other their respective focal points, having the responsibility for the Project implementation on its behalf.
- 16.a TERI U shall be solely and completely responsible and accountable for all services performed by its personnel, agents, employees, or contractors (hereinafter referred to as "Personnel").
- 16.b. TERI U shall be considered as having the legal status of an independent contractor. Personnel of TERI U, its contractors or anyone else working for TERI U in the execution of the Project or otherwise, are not employees of UNEP and are not covered by the privileges and immunities applying to UNEP and its staff pursuant to the Convention on the Privileges and Immunities of the United Nations. UNEP shall not accept any liability for claims arising out of the activities performed under the Agreement, or any claims for death, bodily injury, disability, damage to property or other hazards that may be suffered by TERI U's Personnel as a result of their work pertaining to the activities under this Agreement.
- 16.c. TERI U shall ensure that its personnel meet the highest standards of qualification and technical and professional competence necessary for the achievement of the objectives and results of the Project, and that decisions on employment related to the Project shall be free of discrimination of any nature. TERI U shall ensure that all personnel are free from any conflicts of interest relating to the Project activities.
- 17.a. TERI U shall not seek nor accept instructions regarding the activities under the present Agreement from any Government or other authority external to UNEP.

17.b. TERI U shall refrain from any conduct that would adversely reflect on the United Nations and shall not engage in any activity which is incompatible with the aims and objectives of the United Nations or the mandate of UNEP.

18. Nothing in or relating to this Agreement shall be deemed a waiver, express or implied, of any of the privileges and immunities of the United Nations and UNEP.

19. This Agreement or its Annexes may be modified or amended only by written agreement between the Parties.

For UNEP

By:  \_\_\_\_\_

Name: Dechen Tsering

Title: Regional Director and Representative  
for UN Environment in Asia and the Pacific  
Date:

For TERI University

By:  \_\_\_\_\_

Name: Capt. Pradeep Padhy

Title: Registrar, TERI University,  
New Delhi  
Date:

- Annex 1. Budget and implementation plan
- Annex 2. Interim progress report
- Annex 3. Interim expenditure reports
- Annex 5. Final progress report
- Annex 6. Final expenditure report



**Annex 1 – Budget and Implementation Plan**  
**Part A – Implementation Plan**

**1. Background**

A Green Economy requires measuring and managing environmental impacts throughout the life cycle of products. Following this framework, Life Cycle Thinking (LCT) provides a conceptual approach to reducing environmental impacts in a holistic manner. Such approaches integrate resource efficiency considerations into global value chains. This is particularly important given the complexities of increasingly globalized products' value chains, which stretch beyond national boundaries and connect fragmented markets, different production systems, regulatory frameworks, and consumers.

The Resource Efficiency through Application of Life cycle thinking (REAL) project is part of UN Environment's work on Life Cycle Thinking. The overall goal of REAL is to integrate resource efficiency in global value chains by using life cycle data on environmental impacts. The REAL project aims to develop global capacities for LCT while demonstrating value from the approach. The desired outcome of the REAL project is private and public organisations utilizing LCT approaches to make informed choices towards sustainable consumption and production patterns (SCP).

In February 2017, the REAL project sought proposals from Non-Government Organisations (NGOs), Not-for-Profit Organisations (NPOs), National Centres for Cleaner Production (NCPC) and similar organisations located in Asia and Pacific developing and transitioning nations. Pilot projects were asked to demonstrate application of life cycle thinking and tools for government, industry or consumers to generate value. Examples of such tools and approaches include hotspot analysis, LCA, environmental footprint, Life Cycle Management Capability Maturity Model (LCM-CMM), or eco-innovation strategy building. The pilot projects are expected to identify the change in practices by government, industry or consumer as a result of applying the LCA tools and approaches. Altogether, UN Environment received 40 proposals when submissions were closed on 17 March 2017. Following extensive review of all proposals by the project team, two proposals were selected for funding. One of the selected projects is the application of life cycle thinking approach for enhancing the fruits and vegetables supply chain in India by TERI University. The projects have both been allocated \$17,000 to spend in the coming eighteen months, with a series of deliverables matched to the proposed project activities.

Specifically, this pilot project aims to improve sustainability of the vegetables and fruits supply chain in Nagaland, India by employing life cycle thinking approach. Achieving this goal will contribute towards the SWITCH-Asia Programme for ensuring sustainable consumption and production (SCP) along a product value chain. Further, it will also contribute towards the realization of SDG targets specifically under the SDG 2 and 12.

**2. Objective of the SSFA**

The objective of the SSFA between UN ENVIRONMENT and TERI U is to take a life cycle thinking approach to improve the efficiency of the food supply chain as follows:

Objective 1: To map the vegetable supply chain in Nagaland and identify sustainability hotspots.

Objective 2: To identify measures/strategies/practices for enhancing the environmental and socio-economic sustainability.

Objective 3: To conduct a pilot study to build capacity and evaluate the potential benefits of ensuring SCP through a LC thinking approach in the fruit and vegetable supply chain.

**3. Activities**

Under this SSFA, the implementation of the pilot project has three components, consisting of the activities as follows:



**Component 1: Scoping study**

**Activity 1.1: Mapping of fruit and vegetable supply chain:** A comprehensive review of the fruits and vegetable production systems through existing literature, pre-processing of existing database, questionnaire survey, stakeholder consultation. This activity will be an exploratory exercise that will utilise resource in the form of information and data collected from/ through local NGOs, SMEs, Self-help groups, and local bodies (both formal and informal) and expert consultations.

**Activity 1.2: Hotspot analysis:** A systemic assessment of environmental and socio-economic impacts of the fruit and vegetable supply chain through a life cycle thinking approach, questionnaire survey, technical experts' perspectives, stakeholder consultation. The activity will have the following work elements:

- i. Data collection, pre-processing and analysis
- ii. Identification of hotspots
- iii. Identification of actors within the hotspots and related activities for the pilot study. Examples can be drawn from the UNEP's studies on the best practices of lifecycle thinking approach in Asia

**Activity 1.3: Development of indicators for assessment of the pilot study**

| Deliverables   | Delivery date     |
|--|-------------------|
| 1.1 Report on fruit and vegetable supply chain mapping   | 15 September 2017 |
| 1.2 Report of the hotspot analysis, including details description of actors and related activities per hotspot | 30 September 2017 |
| 1.3 Report on indicators for assessment of the pilot study   | 31 October 2017   |

**Component 2: Pilot study**

**Activity 2.1: Capacity building and training workshop for value chain actors:** The workshop will be conducted with the various actors identified in the hotspot analysis to train them on the identified best practices.

**Activity 2.2: Implementation of the selected activities in the identified hotspots:** The results of step iii of the hotspot analysis (Identification of actors within the hotspots and related activities for the pilot study) will be piloted in the identified hotspots to evaluate the potential benefits of LC thinking in enhancing sustainability of the fruits and vegetable supply chain. The activities will be implemented with the support of local NGOs, SMEs, Self-help groups, and local bodies (both formal and informal).

**Activity 2.3: Monitoring and evaluation of the pilot study:** A detailed monitoring and evaluation will be carried out on the effectiveness of the pilot study. The monitoring and evaluation framework will consist of detailed analysis of the indicators related to inputs, outputs, process, and performance of the pilot study.

| Deliverables  | Delivery date    |
|---|------------------|
| 2.1 Report on capacity building and training workshop for value chain actors            | 30 November 2017 |
| 2.2 Interim report on implementation of activities in the hotspots                      | 15 March 2018    |
| 2.3 Report on implementation of activities in the hotspots                              | 15 July 2018     |
| 2.4 Monitoring and evaluation report on the effectiveness of the pilot study activities | 31 August 2018   |

**Component 3: Further capacity building and recommendations**

**Activity 3.1: Capacity building workshop for local governments and other stakeholders:** A capacity building workshop will be organized based on the outcomes and learnings from the pilot study to build capacities of the stakeholders and local governments and organizations. Other

stakeholders to be trained in sustainable value chain management in the fruit and vegetable sector will be a wider group of local government official, fruit and vegetable farmers and traders, and food processing industries. This will ensure continuity in ensuring Sustainable Consumption and Production along the fruit and vegetable supply chain.

Activity 3.2: Drafting of recommendations for policy makers and value chain actors.

| Deliverables  | Delivery date     |
|---|-------------------|
| 3.1 Report on capacity building workshop for local governments and other stakeholders | 30 September 2018 |
| 3.2 Final outcome report and recommendations for policy makers and value chain actors | 30 November 2018  |

#### 4. Summary – Implementation period

|            |                        |
|------------|------------------------|
| Start date | Date of last signature |
| End date   | 30 November 2018       |



## Annex 1 – Budget and Implementation Plan

## Part B – Activity Based Budget

| Budget Summary by budget classes |  |               |               |        |
|----------------------------------|--|---------------|---------------|--------|
| Class                            | Budget Classes for Implementing Partners | 2017 in USD\$ | 2018 in USD\$ | Total  |
| 500000                           | IP-Staff and other personnel             | 5,500         | 8,500         | 14,000 |
| 500001                           | Travel of project coordinators           | 2,000         | 1,000         | 3,000  |
| TOTAL BUDGET                     |  | 7,500         | 9,500         | 17,000 |

In-kind contribution from TERI U amounts to 5,000 US dollars, corresponding to staff time for coordination of the tasks with UN Environment and expert input into the deliverables of the SSFA.

| Budget  |  |          |      |                    | Breakdown by year |               |               | In kind from implementing Partner |               |
|---|--|----------|------|--------------------|-------------------|---------------|---------------|-----------------------------------|---------------|
| Budget classes  | Cost Category (Activity)               | Quantity | Unit | Unit cost in USD\$ | Total in USD\$    | 2017 in USD\$ | 2018 in USD\$ | 2017 in USD\$                     | 2018 in USD\$ |
| Component 1: Scoping study  |  |          |      |                    |                   |               |               |                                   |               |
| Activity 1.1: Mapping of vegetable supply chain                                       |  |          |      |                    |                   |               |               |                                   |               |
| Activity 1.2: Hotspot analysis  |  |          |      |                    |                   |               |               |                                   |               |
| Activity 1.3: Development of Indicators for assessment of the pilot study             |  |          |      |                    |                   |               |               |                                   |               |
|   | Project personnel component            |          |      |                    |                   |               |               |                                   |               |
| 500000  | Project coordinator and administration | 30       | days | 100                | 3,000             | 3,000         |               | 1,500                             |               |
|   | Component total                        |          |      |                    | 3,000             | 3,000         |               | 1,500                             | 0             |
| COMPONENT 1: TOTAL BUDGET   |  |          |      |                    | 3,000             | 3,000         |               | 1,500                             | 0             |
| Component 2: Pilot study  |  |          |      |                    |                   |               |               |                                   |               |
| Activity 2.1: Capacity building and training workshop for value chain actors          |  |          |      |                    |                   |               |               |                                   |               |
| Activity 2.2: Implementation of the selected activities in the identified hotspots    |  |          |      |                    |                   |               |               |                                   |               |
| Activity 2.3: Monitoring and evaluation of the pilot study                            |  |          |      |                    |                   |               |               |                                   |               |
|   | Project personnel component            |          |      |                    |                   |               |               |                                   |               |
| 500000  | Project coordinator and administration | 70       | days | 100                | 7,000             | 2,500         | 4,500         | 500                               | 2,000         |
| 500001  | Travel of project coordinators         | 10       | days | 200                | 2,000             | 2,000         |               |                                   |               |
|   | Component total                        |          |      |                    | 9,000             | 4,500         | 4,500         | 500                               | 2,000         |
| COMPONENT 2: TOTAL BUDGET   |  |          |      |                    | 9,000             | 4,500         | 4,500         | 500                               | 2,000         |
| Component 3: Further capacity building and recommendations                            |  |          |      |                    |                   |               |               |                                   |               |
| Activity 3.1: Capacity building workshop for local governments and other stakeholders |  |          |      |                    |                   |               |               |                                   |               |
| Activity 3.2: Drafting of recommendations for policy makers and value chain actors    |  |          |      |                    |                   |               |               |                                   |               |
|   | Project personnel component            |          |      |                    |                   |               |               |                                   |               |
| 500000  | Project coordinator and administration | 40       | days | 100                | 4,000             |               | 4,000         |                                   | 1,000         |
| 500001  | Travel of project coordinators         | 5        | days | 200                | 1,000             |               | 1,000         |                                   |               |
|   | Component total                        |          |      |                    | 5,000             |               | 5,000         | 0                                 | 1,000         |
| COMPONENT 3: TOTAL BUDGET   |  |          |      |                    | 5,000             |               | 5,000         | 0                                 | 1,000         |
| TOTAL BUDGET  |  |          |      |                    | 17,000            | 7,500         | 9,500         | 2,000                             | 3,000         |



## Annex 2 – Interim Progress Report (to be submitted together with the Interim Financial Report at the end of the calendar year)

### 1. Identification:

Partners Name: TERI University

Budget line: BAC Grant: M1-32ECL-000008, WBS Element: SB-000939.04.02, Functional Area: 14AC0006, Cost Centre: 11228

POW 2016-2017: Sub-programme: Resource Efficiency – Sustainable Consumption and Production

Expected Accomplishment(s): C - Enabling conditions for promoting more sustainable consumption choices and lifestyles are enhanced

Output(s): 3. Life-cycle based information tools and methodologies such as ecolabelling, certification, and product sustainability indicators developed with, and provided to, governments, businesses and other stakeholders

Title of the approved PRC project: Internationally recognized information tools to enable individual and institutional consumers to make informed choices

SSFA starting date: DD/MM/YYYY

Reporting period: from DD/MM/YYYY to 31/12/YYYY

### 2. Summary of Status:

*Brief description of the status of implementation of the SSFA at the line of reporting and progress towards achieving SSFA's objective*

#### Activity delivery status

| Activity                      | Description of work undertaken during reporting period | Deliverables | Delivery date | Status of Activity (complete/ on-going/ delayed) | Comments - brief description of implementing challenges, strategy/actions which have been adopted to address these challenges and planned actions to mitigate any identified risks |
|-------------------------------|--|--------------|---------------|--|--|
| Activity 1 – name of activity |  |              |               |  |  |
|                               |  |              |               |  |  |
|                               |  |              |               |  |  |

### 3. List of attached documents

*(for example, publications, meeting reports, participants list, reports of workshops, etc.)*

Signature:

Date:

Name and title of signing officer:

pp

**Annex 3 and Annex 6 – Interim and Final Expenditure Reports (Interim expenditure report to be submitted at the end of the calendar year and final expenditure report to be submitted upon completion of the SSFA)**

Partners Name: TERI University

Budget line: BAC Grant: M1-32ECL-000008, WBS Element: SB-000939.04.02, Functional Area: 14AC0006, Cost Centre: 11228

POW 2016-2017: Sub-programme: Resource Efficiency – Sustainable Consumption and Production

Expected Accomplishment(s): C - Enabling conditions for promoting more sustainable consumption choices and lifestyles are enhanced

Output(s): 3. Life-cycle based information tools and methodologies such as ecolabelling, certification, and product sustainability indicators developed with, and provided to, governments, businesses and other stakeholders

Title of the approved PRC project: Internationally recognized information tools to enable individual and institutional consumers to make informed choices

SSFA starting date: DD/MM/YYYY

Reporting period: from DD/MM/YYYY to 31/12/YYYY

Cumulative amount already transferred from UNEP to TERI University as of this reporting date: USD

| Activity             | Original Budget (USD) | Expenditures in (2017) (USD) | Expenditures incurred in (2018) (USD) | Total Expenditures (USD) | Comments (if the expenditures were different from what was originally planned, please provide a short explanation) |
|----------------------|-----------------------|------------------------------|---------------------------------------|--------------------------|--|
| Activity 1           |                       |                              |                                       |                          |  |
| Sub-total Activity 2 |                       |                              |                                       |                          |  |
| Sub-total Activity 3 |                       |                              |                                       |                          |  |
| Sub-total Total Cost |                       |                              |                                       |                          |  |

Signature of a duly Authorized officer: \_\_\_\_\_

Name :

Position :

Date:



## Annex 5 – Final Progress Report

## 1. Identification:

Partners Name: TERI University

Budget line: BAC Grant: M1-32ECL-000008, WBS Element: SB-000939.04.02, Functional Area: 14AC0006, Cost Centre: 11228

POW 2016-2017: Sub-programme: Resource Efficiency – Sustainable Consumption and Production

Expected Accomplishment(s): C - Enabling conditions for promoting more sustainable consumption choices and lifestyles are enhanced

Output(s): 3. Life-cycle based information tools and methodologies such as ecolabelling, certification, and product sustainability indicators developed with, and provided to, governments, businesses and other stakeholders

Title of the approved PRC project: Internationally recognized information tools to enable individual and institutional consumers to make informed choices

SSFA starting date:

Completion date:

## 2. Summary of Status:

*Brief description of the main achievements, main implementation challenges and lessons learned towards achieving SSFA's objective*

## 3. Activity delivery status

| Activity                      | Description of work undertaken during reporting period | Deliverables | Delivery date | Status of Activity (completed or not completed) | If activity not completed, please describe the reason why and indicate mitigation actions that were taken. |
|-------------------------------|--|--------------|---------------|---|--|
| Activity 1 – name of activity |  |              |               |   |  |
|                               |  |              |               |   |  |
|                               |  |              |               |   |  |

## 4. List of attached documents

*(for example, publications, meeting reports, participants list, workshop reports, etc.)*

Signature:

Date:

Name and title of signing officer

**PARTNERSHIP FOR SERVICES**

**TERI Division** : Earth Sciences and Climate Change Division  
**Project Title** : HI-AWARE  
**Country** : India  
**Budget** : 6000000 INR  
**Project Period** : 3 Years  
**Effective date** : 15<sup>th</sup> January 2015  
**Completion date** : 14<sup>th</sup> January 2018  
**Focal Persons** :

*TERI**TERI University***Name: Suruchi Bhadwal****Name: Rajiv Seth**

Designation: Associate Director

Designation: Pro VC

Email: [suruchib@teri.res.in/](mailto:suruchib@teri.res.in/)Email: [rseth@teri.res.in](mailto:rseth@teri.res.in)**Name: Navarun Varma**

Designation: Associate Fellow

Email: [navarun@teri.res.in](mailto:navarun@teri.res.in)

The following documents, hereinafter referred to as "Annex" are hereby agreed to be an integral part of this agreement:

Annex I : Template for Financial Reporting



## PREAMBLE

The Energy and Resources Institute (TERI), a society registered under Societies Registration Act, 1860 is a not-for-profit organisation engaged in research in the fields of energy, environment and sustainable development with its registered office at Darbari Seth block, Indian Habitat Centre, Lodi Road, New Delhi 110003 (hereinafter referred to as "TERI")

AND

TERI University engaged in providing consulting services and having its registered office at Plot No.10, Institutional Area, Vasant Kunj, New Delhi - 110070 (hereinafter referred as "Network Partner").

Referred to as, individually, the "Party" or, collectively, the "Parties".

TERI has undertaken a project entitled 'Himalayan Adaptation, Water and Resilience (HI-AWARE) Research on Glacier and Snowpack Dependent River Basins for Improving Livelihoods' as part of the research programme entitled Collaborative Adaptation Research Initiative in Africa and Asia (CARIAS) from International Development Research Centre (IDRC) for which TERI has entered into a contract with International Development Research Centre (IDRC). The objective of this project is to enhance the adaptive capacities and climate resilience of the poorest and most vulnerable women, men and children in the mountains and plains of the glacier and snowpack dependent river basins of the Himalayan (HKH) region, through the development of robust evidence to inform people-centred and gender sensitive climate change adaptation policies and practices for improving livelihoods.

In this context, TERI wishes to engage the services of the Network Partner under this project. The Network Partner in turn has agreed to enter into an arrangement with TERI to provide technical and other inputs in the execution of the overall project sponsored by International Development Research Centre (IDRC). THEREFORE, TU and TERI (hereafter referred to as Parties) agree to enter into Letter of Agreement (LoA), to share their competencies and resources, and implement the activities as described in the following Sections.

Under this partnership arrangement, TERI and the Network Partner agree on the following terms and conditions.

## SECTION 1: Partnership Principle

In order that the Parties have the best possible chance of success, TERI promotes the partnership principles of **synergy, equity, transparency and mutual benefit** according to the HIAWARE project.

- 1.1 **Synergy** means the Parties have a shared vision, bringing together diverse partners and is designed on the assumption that the sum is more than its parts.
- 1.2 **Equity** means the Parties commitment to justice, fairness and even-handedness irrespective of the commitment of transaction volume where each Partner has equal right to be heard and contributes to the partnership from their areas of competence and strength.

- 1.3 **Transparency** means the Parties are open and honest in its dealings with one another; will not intentionally withhold information, and will make decisions based on discussion and openness in its dealings with each other.
- 1.4 **Mutual benefit** recognizes that it is important for Parties to be able to discuss and recognize each other's individual reasons for being involved in the partnership, and ensure that these are met. When mutual benefit exists, it is much more likely that, even in difficult situations, the Parties will continue to engage and work out solutions.

## SECTION 2. Services to be provided by the Sub-contractor

The Network Partner will provide following services:

- a. Engagement of atleast 8 M.Sc students for their internships during the project tenureship exposing them to work in the project areas and providing them with opportunities to engage in the field. The students will be jointly guided by the University Faculty and the Project Team at TERI. Internship fees will disbursed by TERI University in discussion with the PI and Co-PI on an agreed fee amount.
- b. TU will support 2 full time PhD positions as part of the HI-Aware project in mutually identified research topics with HI-AWARE in discussion with the PI from TERI. Disbursement of fellowship will be done by the University as per University Guidelines and availability of support amount in the project in discussion with the PI and Co-PI on an agreed fee amount. TU faculty takes responsibility for the selection of the candidates for these PhD positions and identifies supervisors who shall oversee the research of the selected candidates. The PhD students on completion of course-work will be based at TERI and work with the supervisor from TU with an identified co-supervision from the HI-AWARE team. They will be working on an agreed format and report once or twice to the guide at the University.
- c. Research Contributions to various Research Components dictated in the HI-AWARE Work Plan.

Dr Kamna Sachdeva will be the PI overseeing the progress of the work at the University. Dr. Kamna Sachdeva will be the PhD guide for Ms Divya Sharma and Dr. Arun Kansal for Ms Sudeshna Sen. They will be responsible for guiding the students for their PhD. Dr. Gopal K. Sarangi, Dr Smriti Das and Dr Papiya Mazumdar will be contributing to research in various capacities. Dr Sarangi and Dr Mazumdar will be involved in RC 3 research activities and Dr Das will be contributing to research in RC2.

Selected members from TERI project team will be included in the Student Research Committee of the PhD students along with the faculty members contributing in the project to maintain the connect of the research happening parallely at TERI on the study.

- d. Faculty responsible will report to TERI bi-annually on the expenses incurred in a format that TERI shall share with you for reporting. All related bills of expenditures shall be maintained by the

TU for record purposes and the faculty responsible shall ensure that all documentation related to HI-AWARE project expenses are in order.

e. This Partnership shall take effect, upon the signature of both Parties as of the effective date indicated in the Summary Sheet of the LoA. Should it become evident to both Parties during the implementation of the activities that an extension beyond the expiration date set out on the agreement is required, then the partner shall, without delay, inform TERI, with a view to entering into consultations to agree on a new termination date, to which TERI shall accordingly decide.

#### **Expected Outputs**

The Network Partner will provide its technical inputs in the form of

- a. Faculty for research contributions selected
- b. 8 M.Sc. internships completed
- c. 2 PhD students enrolled/ registered
- d. 2 PhD degrees submitted/ awarded

#### **Outcomes**

- a. Strengthening expertise and building capacities in related areas of research
- b. Expanding our knowledge network with linkages with academia

### **SECTION 3: Implementation**

#### **3.1 Coordination**

TERI and TU designates the following as respective focal persons who will be responsible for the coordination of activities under this agreement. The TERI focal person will also be responsible for receiving and approving outputs/deliverables and reports.

##### ***TERI***

Name: **Suruchi Bhadwal**

Designation: Associate Director

Earth Sciences and Climate Change Division  
TERI

Tel: 011-24682100/41504900

Email: [suruchib@teri.res.in/](mailto:suruchib@teri.res.in/)

##### ***Teri University***

Name: **Kamna Sachdeva**

Designation: Faculty

Tel: 91 11 71800222

Email: [Kamna.Sachdeva@teri.res.in](mailto:Kamna.Sachdeva@teri.res.in)

Name: **Navarun Varma**

Designation: Associate Fellow

Earth Sciences and Climate Change Division

TERI

Tel: 011-24682100/41504900

Email: navarun@teri.res.in

## SECTION 4: Financial Provisions

### 4.1 Budget and Disbursements

**4.1.1** The Network Partner shall be paid for conducting aforementioned activities as per the budget outline indicated below which includes service tax and covers all expenses that the Network Partner shall have to incur for providing technical inputs and also fulfilling all conditions as listed. The total amount payable to the Partner under this Agreement is 60 lakhs INR (Sixty lakhs Only).

**4.1.2** All reported expenses for this component should be kept separate from other sponsors and reporting to do. The Partner shall provide bank account number and its details to TERI for transfer of funds.

**4.1.3** The amount shall be disbursed on a yearly basis based on financial year closings starting 2015 till 2018 except for the last year when 50 % amount will be shared initially and the pending 50 % on closure of the project.

**4.1.4** The budget is distributed as follows over the three years;

| S No | Activity        | Year 1    | Year 2    | Year 3    |
|------|-----------------|-----------|-----------|-----------|
| 1    | Personnel costs | 12,20,000 | 12,20,000 | 12,20,000 |
| 2    | PhD Fellowship  | 7,80,000  | 7,80,000  | 7,80,000  |
|      | Total           | 20,00,000 | 20,00,000 | 20,00,000 |

**4.1.5** To request for release of funds, the Partner shall submit an Invoice for that period with details of the Bank. While in Year 1 this amount will be released on submission of the Invoice, Year 2 onwards the releases will be done based on submission of a narrative report and financial report together with the Invoice and a current back statement of the accounts.

**4.1.6** TERI reserves the right to withhold payment subject to deliverables/ milestone, completion verification.



4.1.7 Amount shall be released as per the schedule that TERI is bound by as contract with the client in this case IDRC. The release of payment from TERI to the Network Partner would be subject to the receipt of funding from International Development Research Centre (IDRC) and on receipt of invoices and deliverables from the Network Partner by TERI as per payment schedule given above. Payment will be made to the Network Partner in INR. Should payment to the Network Partner generate any bank transfer fees, TERI will only pay the fees charged by the originating bank, but not those that may be levied by the receiving bank. TERI will not reimburse any other costs. Invoices will be sent to Mr K Rajagopal, THE ENERGY AND RESOURCES INSTITUTE ("TERI"), Darbari Seth Block, IHC Complex, Lodhi Road, New Delhi - 110 003, India at [krajag@teri.res.in](mailto:krajag@teri.res.in).

4.1.8 Any deviation from the approved budget requires TERI's prior written approval. However, if the total variation of the line items is within 10 % it would be accepted with justification without much ado. Variances above 10 % require prior written approval.

4.1.9 Upon closure or termination TERI UNIVERSITY would need to transfer any unspent amount to TERI together with any interest accrued over the amount in this time period within a week.

#### **4.2 Taxes**

TERI will deduct income tax at source from each remittance at the prevalent rate as per the Income Tax rules of the Government of India. The sub-contractor/Consultant is not entitled to claim any other expense beyond Rs 60 lakhs, as agreed to, for fulfilling its commitments for the project. The Partner shall be responsible for compliance with local tax laws for the project activities. Any tax liabilities arising out of the payments made from this LoA will be responsibility of the Partner. TERI in no case will be liable for any such taxes or liabilities.

#### **4.3 Financial Management**

The Partner shall use the resources allocated for the purpose of solely meeting the project requirements.

#### **4.4 Maintenance of Records**

The Partner shall maintain accounting books, records, documents and other evidence relating to the Agreement, costs incurred and expenditure, including contributions to the project outputs. These records should be kept with the partner for atleast 6 years after the completion of the LoA.

#### **4.5 Audit requirements**

4.5.1 The accounts of the activities under the LoA may be subject to financial audit by TERI anytime during the period of the agreement. If deemed necessary an external auditor may be assigned for the final audit. Similarly in case there is a requirement by the client, specific audits may also be undertaken depending on circumstances.

- 4.5.2 The Partner needs to keep all records for the entire agreement period and conduct its own regular audit as part of its annual statutory audit. Where annual accounts for the entire organization of partners are statutorily audited and an opinion is given for the Partner as a whole, a schedule depicting total fund accountability pertaining to funding made by TERI must also be attached separately as part of the consolidated financial statement. Such audit report needs to be submitted to TERI.
- 4.5.3 TERI may carry out a due-diligence of the financial and other administrative management systems of the partner during the project period if deemed necessary. For this a schedule would be mutually agreed upon. Based on such due-diligence process inputs on additional measures as required in the overall programme management, financial management and other internal control systems for the organization will be identified and communicated for implementation and capacity building needs, if any, and it will be addressed through mutual agreement.
- 4.5.4 Indemnification -The Network Partner agrees to defend, indemnify, and hold harmless TERI from and against any and all loss of profits, claims, actions, causes of action, or liabilities, including reasonable attorneys' fees, arising out of or resulting from any act undertaken or committed by the Network Partner in connection with the performance of the Network Partner obligations under this Agreement. The Network Partner also agrees to defend, indemnify, and hold harmless TERI from any liability resulting from any claim, action or cause of action, which may be asserted by third parties arising out of the performance of the Network Partner obligations under this Agreement, except those actions which are due to the misconduct or negligence of TERI.

#### **4.6 Compliance with Funding Partner**

The Agreement incorporates all [Donor or funding partner] Standard Terms and Condition and Guidelines made applicable to TERI as per the funding/g Agreement in effect on the Effective Date; provided, however, that this Letter of Agreement shall be deemed to have been amended, and the collaborator shall be automatically bound, by any changes to such Standard Terms and Conditions and Guidelines issued after the Effective Date, if and to the extent that such changes are binding on TERI pursuant to the Program Funding/ Agreement or otherwise. In the event of an apparent conflict or inconsistency between LoA and Guidelines of donors made applicable to TERI and any specific agreement term or condition, the latter shall govern. However, in every such case, the Collaborator shall notify TERI and obtain its advice before resolving the conflict or inconsistency in question, failing which the Collaborator shall be bound by the interpretation most favourable to TERI.

### **SECTION 5: Reporting Requirements, Monitoring and Evaluation**

TU will be reporting to TERI on the progress of work in the study based on where so ever contributions have been agreed. They will be jointly working on reports with TERI as per their contributions and submission requirements in the contractual arrangements of Hi-Aware. They will also be submitting their financial reports to TERI in a format shared with them (Annex I)

## **SECTION 6: Copyright, Intellectual Property Right and Use of Logo**

6.1 For the purposes of this contract, Confidential Information means information of a confidential nature acquired by the Network Partner in the course of performance of this Agreement, such as government data, TERI procedures, information, publications and trade secrets and know-how which is appropriately marked, provided such information:

- (a) is not generally known or publicly available from other sources;
- (b) has not previously been made available by the owner to others without obligation
- (c) concerning its confidentiality; and
- (d) not already in the possession of TERI without obligation concerning its confidentiality.

6.2 Any faculty, student engaged in the HI-AWARE research with TERI needs to maintain the confidentiality of all Confidential Information derived from or relating to the activities of TERI which may become known to the Network Partner in the course of the negotiation or performance of this Agreement. The Network Partner shall abide by the guidelines stated for such processes and needs approval by the PI of the HI-AWARE team from TERI. Unless TERI gives prior written authorization to do so, the Network Partner will not disclose any unpublished information obtained from TERI in course of the negotiation or performance of this Agreement.

6.3 The Network Partner agrees to assign to TERI all work carried out in performance of this Agreement and the intermediate and final results thereof, as well as all copyright and other intellectual property rights arising from such work and results. Such work will be the sole property of TERI, which may dispose of it as it sees fit. The Network Partner undertakes not to use said work or results for any purpose whatsoever, including not publishing any deliverables deriving from its collaboration with TERI, either partly or entirely, except with the prior written consent of TERI. In conformity with the Universal Copyright Convention, full acknowledgement shall be given to TERI, as being the source of any material made available by TERI to the Network Partner, for carrying out the services of this Agreement. The Partner will ensure that any and all of its experts, employees, agents and representatives will also be fully bound by the terms of this Article.

6.4 The Partner and TERI will have equal and free access to the data/information generated under this LoA. All publications under this Agreement need prior review and approval of TERI.

6.5 Neither Party shall use the name, logo/emblem or trademarks of the other Party without the prior expressly written approval of the other Party in each case.

## **Section 7: Procurement and Other Requirements**

7.1 The Network Partner will not engage any subcontractor to perform its work in whole or in part under this Agreement unless prior written authorization is given by the TERI to that effect.

7.2 Neither the Network Partner, nor its expert, employees, agents or representatives will:

- a. be deemed to be officials, agents or representatives of TERI;
- b. be entitled to commit TERI to any expenditure whatsoever beyond those specifically approved by TERI; and/or
- c. be entitled to claim any consideration, recompense, refund or repayment not provided for in this Contract.

7.3 Governing Law and language will be English. TERI will also use the opportunity with TERI UNIVERSITY to produce material in the vernacular language.

7.4 The Partner shall keep TERI informed about the policies and practices that it shall use to contract for goods and services under this Agreement. For all procurements, Partner shall take prior approval from the TERI before initiating procurement process. The Partner shall keep a separate list of all non-expendable items (fixed assets) purchased under this LoA shall be made. The partner shall ensure that all goods and services and activities financed with project funds are used solely for project purposes

#### 7.5 Insurance and Security

The Partner undertakes full responsibility for all health, safety and security arrangements of its individuals, property or work (including relating to subcontractors of the partner) under this Agreement.

### SECTION 8: Amendment and termination

#### 8.1 Arbitration

The Parties shall try to settle amicably through direct negotiations, any dispute, controversy or claim arising out of or relating to the present agreement, including breach and termination of the agreement. Any dispute arising out of the terms of this agreement shall be submitted to arbitration. The Parties agree that any decision rendered by the arbitrators shall be accepted as final adjudication of the dispute.

8.2 This Agreement may only be amended in writing signed by duly authorized representatives of the Parties.

8.3 The Network Partner undertakes to conform to highest standards of quality control in its outputs as judged by experts of the HI-AWARE team. Any lack of quality may result in repeal of contract and no payment. If the Partner has not met the applicable conditions required for disbursement in the ToR by the applicable deadline(s), or if the Partner fails to abide by all the conditions stipulated in this Agreement, or if the Partner fails to achieve the programmatic targets set forth in this Agreement within the periods set forth therein,



ICIMOD may, at any time, and in its sole discretion, terminate or suspend this Agreement, in whole or in part, by written notice to the Partner.

- 8.4 Either Party may terminate this agreement upon 30 days prior written notice to the other Party.
- 8.5 If the Partner or its staff is found to be misappropriating, or mishandling, or spending the disbursed funds against the provisions of the Agreement or ToR, ICIMOD may instantaneously **terminate** this Agreement and the Partner shall be liable to return such amount and remaining unspent amount within 7 days of demand by ICIMOD.
- 8.6 In the event of unsatisfactory performance or failure by the Network Partner to comply with any obligations under this Agreement, TERI reserves the right to terminate this Agreement without any prior notice to the Network Partner and without prejudice to any rights or remedies to which TERI may be entitled. In case of termination, the work will be calculated on a pro rata basis of such termination upon presentation by the Network Partner of a written memorandum of such part of the work already performed at such date. Notwithstanding the foregoing, TERI will only be required to pay the Network Partner for high-quality work that TERI considers, in its sole judgment that the Network Partner has performed to date.

**SECTION 9: Entry into Force**

This LoA between TERI UNIVERSITY and TERI shall enter into force upon signature by the Parties and will remain in effect from 15<sup>th</sup> January 2015 until 14th January 2018.

Each Party will hold a copy of the signed LoA in the English language and having equal validity.

IN WITNESS WHEREOF, the duly authorized representatives of the Parties affix their signatures below:

For The Energy and Resources Institute

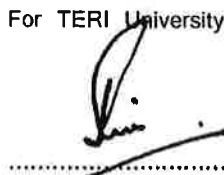
For TERI University



**Mr. K Rajagopal**

DGM (Project Monitoring), TERI

Date and Seal:

**Dr. Rajiv Seth**

Pro VC, TERI University

Date and Seal:

**Annex I. Financial reporting****1. Expenditure statement by Activities and Outputs**

| S No  | Outputs/<br>activities | Budget | Amount Spent | Balance |
|-------|------------------------|--------|--------------|---------|
| 1     |                        |        |              |         |
| 2     |                        |        |              |         |
| 3     |                        |        |              |         |
| Total |                        |        |              |         |

**2. Expenditure statement by line items**

| S No | Line Items | Year 1 Budget | Expenses | Balance | Year 2<br>Budget..... |
|------|------------|---------------|----------|---------|-----------------------|
|      |            |               |          |         |                       |

|       |                             |  |  |  |  |
|-------|-----------------------------|--|--|--|--|
| 1     | Personnel                   |  |  |  |  |
| 2     | Travel and other logistics* |  |  |  |  |
| Total |                             |  |  |  |  |

**\*All expenditure under line item 2 will have to be supported by actual bills and receipts that should be sent along with the financial statement.**



# The Energy and Resources Institute

Darbari Seth Block  
I H C Complex  
Lodhi Road  
New Delhi – 110 003

Tel. 2468 2100 or 4150 4900  
E-mail mailbox@teri.res.in  
Fax 2468 2144 or 2468 2145  
India +91 • Delhi (0) 11

## North-Eastern Regional Centre

Guwahati  
Tel. (361) 233 4790  
E-mail terine@teri.res.in  
Fax (361) 233 4869

## Southern Regional Centre

Bangalore  
Tel. (80) 2535 6590 (5 lines)  
E-mail terisrc@teri.res.in  
Fax (80) 2535 6589

## Goa

Tel. (832) 245 9306 or 245 9328  
E-mail terisrc@teri.res.in  
Fax (832) 245 9338

## Western Regional Centre

Mumbai  
Tel. (22) 2758 0021 or 4024 1615  
E-mail terimumbai@teri.res.in  
Fax (22) 2758 0022

## Himalayan Centre

Mukteshwar  
Tel. (5942) 286 433  
E-mail arana@teri.res.in  
Fax (5942) 286 460/433

## TERI North America

Tel. (+91) 9811150290  
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annapurna.vancheswaran@terina.org

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**London**  
Tel. (+44 20) 8947 9145  
E-mail rkumarrobins@gmail.com

## Antwerp

TERI-VITO  
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E-mail arun.jacob@grihaindia.org

## Utrecht

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Tel. (+31 030) 253-5801  
E-mail f.romein@uu.nl

## Nordic

University of Eastern Finland  
Tel. (+358) 40 7470711  
E-mail pradipta.halder@uef.fi

## TERI Japan

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Tel. (+81 3) 3519 8970  
E-mail teri@iges.or.jp  
Fax +81 33 5195 1084

## TERI Africa

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Tel. +251 (0) 936 56 6641  
E-mail rita.iffah@teri.res.in

## TERI Gulf

Dubai, UAE  
Tel. (+971 50) 865 0912  
E-mail meenasj@teri.res.in

Dt.05/01/2015

To

Dr Rajiv Seth  
Pro VC, Teri University  
Vasant Kunj  
New Delhi

Dear Dr Seth,

We are sending you the contract for the research proposed under the Hi-Aware study for the Upper Ganga and Teesta Basin to be duly signed and returned. We have enclosed 3 copies of the signed contract from our end and request you to sign all three, keep one copy with you and send back the other two to our mailing address.

Look forward to an early response.

Thanking you.

Yours Sincerely,

K.Rajagopal  
Dy General Manager (Project Monitoring)  
TERI, New Delhi

K. Rajagopal  
Dy. General Manager (Project Monitoring)  
The Energy and Resources Institute  
Darbari Seth Block, IHC Complex  
Lodhi Road, New Delhi-110003



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Chairman

**YES/Global Institute**

**Rana Kapoor**  
Managing Director &  
Chief Executive Officer

17<sup>th</sup> September, 2018**Dr Leena Srivastava**

Vice Chancellor, TERI School of Advanced Studies

Plot No. 10 Institutional Area, Vasant Kunj,

New Delhi - 110070

**Sub: Partnership with TERI School of Advanced Studies for Climate Jamboree 2018**

Dear

Please accept my finest compliments for your commitment towards fostering academic excellence at TERI School of Advanced Studies (TERI SAS), which is an exemplary demonstration of leveraging knowledge as a tool to fuel sustainable transformation. Your pioneering efforts aimed towards catalyzing sustainable development by unleashing the power of youth will go a long way in creating capable leaders of tomorrow.

I am pleased to apprise you that YES BANK has demonstrated a laser sharp focus for mainstreaming sustainable economy and adopted a futuristic approach towards achieving Sustainable Development Goals (SDGs), through innovative business models, products and services. The Bank has recently launched **Green Future: Deposit**, a first-of-its-kind Fixed Deposit, where YES BANK will earmark equivalent proceeds raised through this deposit towards addressing SDGs. YES BANK, through its unique flagship community engagement program, YES Community is creating mass awareness on 'Responsible Citizenship' by undertaking nation-wide 'Green Good Deeds' campaign across 1,100 branches, in line with the vision of Ministry of Environment, Forest and Climate Change (MoEFCC). The Bank is pioneering innovative pathways towards sustainable development involving internal and external stakeholders to spread 'Climate literacy' amongst youth.

To reinforce this commitment towards sustainable development and youth empowerment, I am pleased to confirm YES BANK's support towards TERI SAS Climate Jamboree 2018 as a 'Banking partner' by contributing INR 25 Lakhs. As part of the partnership, TERI SAS and YES BANK may consider channelizing and triggering the 'Sustainable Development Discourse' in India through knowledge-driven initiatives and engaging activities, involving youth to bring about social transformation. I sincerely believe that this association, under the impactful platform Climate Jamboree, would add tremendous value and create a national movement by promoting responsible citizenship.

I assure you of YES BANK's continued commitment to promote sustainability as the cornerstone of India's growth and development. My colleague **Namita Vikas**, Group President & Global Head, Climate Strategy & Responsible Banking, would be in touch with you to take this engagement forward.

Thank you.

Sincerely,

**Rana Kapoor**

CC: Shri Ashok Chawla, Chancellor, TERI School of Advanced Studies & Chairman, TERI and Dr Ajay Mathur, DG, TERI

# Partnership with TERI School of Advanced Studies for Climate Jamboree 2018

Dhanraj Singh

Tue 9/18/2018 12:01 PM

To: Devvrata Guglani <Devvrata.Guglani@terisas.ac.in>;

1 attachments (91 KB)

Letter to Dr. Leena Srivastava-Vice Chancellor - TERI School of Advanced Studies.pdf;

fyi

Please see file in Climate Jamboree file.

**From:** Leena Srivastava

**Sent:** 18 September 2018 11:59

**To:** Dhanraj Singh <dhanraj.singh@terisas.ac.in>

**Subject:** FW: Partnership with TERI School of Advanced Studies for Climate Jamboree 2018

FYI

\*\*\*\*\*

Leena Srivastava

Vice Chancellor,

TERI School of Advanced Studies

10 Institutional Area, Vasant Kunj, New Delhi - 110 070

Tel. +91 11 71800222, 26122222, 26139110, 26139011, Fax +91 11 26122874

[www.terisas.ac.in](http://www.terisas.ac.in)

Please note my new email address is [leena@terisas.ac.in](mailto:leena@terisas.ac.in)

Our new URL for TERI School of Advanced Studies is [www.terisas.ac.in](http://www.terisas.ac.in).

\*\*\*\*\*

"TERI School of Advanced Studies" (earlier TERI University)

Accredited with grade "A" by NAAC

\*\*\*\*\*



Dhanraj Singh

---

**From:** Leena Srivastava  
**Sent:** 06 July 2018 16:06  
**To:** Pradeep Padhy  
**Cc:** Dhanraj Singh  
**Subject:** FW: TERI SAS – DALMIA BHARAT CLIMATE JAMBOREE  
**Attachments:** TERI Sponsorship Deliverables July 5.docx  
**Importance:** High

\*\*\*\*\*  
Leena Srivastava  
Vice Chancellor,  
TERI School of Advanced Studies  
10 Institutional Area, Vasant Kunj, New Delhi - 110 070  
Tel. +91 11 71800222, 26122222, 26139110, 26139011, Fax +91 11 26122874  
[www.terisas.ac.in](http://www.terisas.ac.in)

Please note my new email address is [leena@terisas.ac.in](mailto:leena@terisas.ac.in)  
Our new URL for TERI School of Advanced Studies is [www.terisas.ac.in](http://www.terisas.ac.in).

\*\*\*\*\*  
"TERI School of Advanced Studies" (earlier TERI University)  
Accredited with grade "A" by NAAC  
\*\*\*\*\*

**From:** Rashika Kaul <kaul.rashika@dalmiacement.com>  
**Sent:** 06 July 2018 15:47

**To:** Leena Srivastava <leena@terisas.ac.in>; Arti Rajkumar <arti.rajkumar@terisas.ac.in>  
**Cc:** Mahendra Singhi <singhi.mahendra@dalmiacement.com>; B.K. Singh <bk.singh@dalmiacement.com>; Anupam Badola <b.anupam@dalmiacement.com>; Pooja Bharadwaj <bharadwaj.pooja@dalmiabharat.com>  
**Subject:** TERI SAS – DALMIA BHARAT CLIMATE JAMBOREE  
**Importance:** High

Dear Leena

We are pleased to associate with TERI School of Advanced Studies as a Title Sponsor for Climate Jamboree. Mutually agreed deliverables are attached.

The title sponsorship will be for a cost of Rs 1.3 crore.

We are keen to plan a long term tie up of 3 years with the First Right of Refusal.

Look forward to taking this further and making the most of our association with TERI.

Regards



Rashika

Rashika Kaul  
Head, Corporate Communications, Dalmia Bharat Group  
7<sup>th</sup> floor, Hansalaya Building, 15, Barakhamba Road, New Delhi – 110001  
Mobile: 9873411525  
Landline: 011-43631285

**From:** Rashika Kaul [mailto:[kaul.rashika@dalmiacement.com](mailto:kaul.rashika@dalmiacement.com)]  
**Sent:** 06 July 2018 15:39  
**To:** 'Leena Srivastava'; '[arti.rajkumar@terisas.ac.in](mailto:arti.rajkumar@terisas.ac.in)'  
**Cc:** B.K. Singh; Pooja Bharadwaj  
**Subject:** Climate Jamboree Sponsorship Deliverables

 Dear Leena

Thank you for your feedback.

I am agreeable to your comments. Would like to point out just one thing – please put in an interview with TERI and Mr Dalmia as part of the digital and TV tie up. This is crucial. However if the channel asks you for too much money for this that does not fit into your budget, then you can keep it aside. However please try to make it happen. It will make a world of difference to our tie up for this year and consecutive years!

Many thanks

Rashika

Rashika Kaul  
Head, Corporate Communications, Dalmia Bharat Group  
7<sup>th</sup> floor, Hansalaya Building, 15, Barakhamba Road, New Delhi – 110001  
Mobile: 9873411525  
Landline: 011-43631285

**From:** Leena Srivastava [mailto:[leena@terisas.ac.in](mailto:leena@terisas.ac.in)]  
**Sent:** 06 July 2018 13:06  
**To:** Rashika Kaul; Arti Rajkumar  
**Cc:** B.K. Singh; Pooja Bharadwaj  
**Subject:** RE: Climate Jamboree Sponsorship Deliverables

Dear Rashika,

It was indeed a pleasure to meet all of you and we are keenly looking forward to Dalmia coming on Board! 😊

I am enclosing my comments on the deliverables you sent. As you can see, we accept everything you said but did have a couple of observations that we can consider as we go along.

Look forward to hearing from you

Leena

\*\*\*\*\*  
Leena Srivastava  
Vice Chancellor,  
TERI School of Advanced Studies  
0 Institutional Area, Vasant Kunj, New Delhi - 110 070  
Tel. +91 11 71800222, 26122222, 26139110, 26139011, Fax +91 11 26122874  
[www.terisas.ac.in](http://www.terisas.ac.in)

Please note my new email address is [leena@terisas.ac.in](mailto:leena@terisas.ac.in)  
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\*\*\*\*\*  
"TERI School of Advanced Studies" (earlier TERI University)  
Accredited with grade "A" by NAAC  
\*\*\*\*\*

From: Rashika Kaul <[kaul.rashika@dalmiacement.com](mailto:kaul.rashika@dalmiacement.com)>  
Sent: 05 July 2018 16:43  
To: Leena Srivastava <[leena@terisas.ac.in](mailto:leena@terisas.ac.in)>; Arti Rajkumar <[arti.rajkumar@terisas.ac.in](mailto:arti.rajkumar@terisas.ac.in)>  
Cc: B.K. Singh <[bk.singh@dalmiacement.com](mailto:bk.singh@dalmiacement.com)>; Pooja Bharadwaj <[bharadwaj.pooja@dalmiabharat.com](mailto:bharadwaj.pooja@dalmiabharat.com)>  
Subject: Climate Jamboree Sponsorship Deliverables  
Importance: High

Dear Leena and Arti

It was good meeting you on Tuesday.

I am sending you the deliverables again incorporating our mutually agreed points.

Please approve it from your side so that we can move ahead with the partnership.

Look forward to working with you.

Regards

Rashika

Rashika Kaul  
Head, Corporate Communications, Dalmia Bharat Group  
7<sup>th</sup> floor, Hansalaya Building, 15, Barakhamba Road, New Delhi – 110001  
Mobile: 9873411525  
Landline: 011-43631285

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### 3.2.1.NG.36.

Dalmia Cement (Bharat) Ltd., 11th & 12th Floor, Hansalaya Building, 15, Barakhamba Road, New Delhi - 110001. [www.dalmiacement.com](http://www.dalmiacement.com)

We are committed to add value to our shareholders by adhering to 'OUR VALUES'

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We are committed to add value to our shareholders by adhering to 'OUR VALUES'

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#### Exhibit A

##### 1. Schedule

Start date of the Study: Dec 3, 2018  
Completion date of the Study: March 10, 2019

##### 2. Objective

India's Energy Policy plays major role in country's Energy Security. It is influenced by many external factors like environment, economy, availability of domestic resources, import dependency etc. So it is very important to understand Government Energy Goals for the sake of understanding future vehicle market prediction and necessary action to be taken. Since TERI UniversitySAS has expertise on such researches, we would like to utilize their services for conducting the research and the required deliverables are explained below.

##### 3. Activities

TERI UniversitySAS is responsible for submitting research results to TKM as follows;

1. Policy & basic information survey of the country
  - a. EV policy, Power generation policy, CNG & Biofuels policy etc.
2. Identify Govt. target for electrified vehicle introduction
  - a. Set xEVs introduction target @ for 2030 based on EV policy
3. Scenario proposal for Energy Mix Simulation
  - a. Consider all the type of xEVs (HEV/PHEV/BEV) to find out reasonable & most effective xEV mixture

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4. Evaluation of effectiveness of the xEV scenario
- In terms of reduction of oil consumption, CO<sub>2</sub> emission while using biofuels/CNG for HEV/PHEV and ICE vehicle
  - Cost for introduction of each type of xEV, incl. Infra. etc.

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**4. Deliverables**

Summary Report on review of the "Evaluation of CO<sub>2</sub> Emission Reduction by introduction of Electrification & Alternative Fuels (Biofuels/CNG) in Mobility" which should cover:

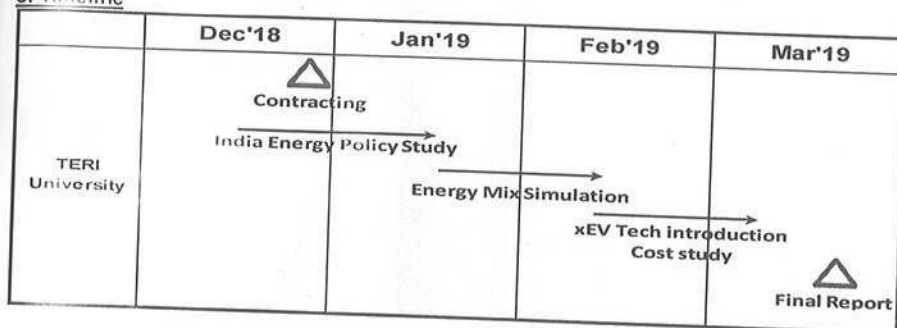
- Impact of Govt. policies & vision on Automobile Sector
- Analysis of Electrification & Alternate fuel technologies penetration in Indian Market by 2030 with references
- Impact of Electrification & Alternate fuels in CO<sub>2</sub> & Oil Consumption reduction

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**5. Timeline****5. Fees (Total)**

|                          |                  |
|--------------------------|------------------|
| Research & Reporting Fee | Rs. 16,25,000.00 |
| Taxes @ 18%              | Rs. 2,92,500.00  |
| Total                    | Rs. 19,17,500.00 |

Payment terms : 50% of Project cost in Advance & 50% after Report Submission.

20160204

# Solidaridad


Network Asia

Solidaridad Network Asia Limited  
Room 1318-20 Hollywood Plaza, 610 Nathan Road  
Mong Kok, Kowloon, Hong Kong

Partner Agreement dated 01<sup>st</sup> February, 2017 ("Effective Date")

|     |  |
|-----|--|
| 1.  | Principal: <b>Solidaridad Network Asia Limited</b> , hereafter referred to as " <b>SNAL</b> ", legally represented for this purpose by <b>Dr Shatadru Chattopadhyay</b> , Managing Director.   |
| 2.  | Partner: <b>TERI University</b> , hereafter referred to as the " <b>Partner</b> " legally represented for this purpose by <b>Dr Rajiv Seth</b> , Pro Vice-Chancellor   |
| 3.  | Project reference: the Project is recorded under Solidaridad Project number <b>1462</b>  |
| 4.  | <p>Project purpose: the Project is intended to "<b>Landscape Approach for Land-Water-Community Security</b></p> <p>The white paper is developed in order to establish the need of embedding landscape approach in the River Basin Management. The broad objectives of the project are as follows:</p> <ol style="list-style-type: none"> <li>1. Understanding pressures -To analyze the land-water-community nexus in the mid Gangetic river basin.</li> <li>2. Institutions and governance -To identify the governance structure and its sphere of influence with reference to mid-Gangetic river basin.</li> <li>3. Gender -To understand gender roles in decision making and its implication for resource sustainability in the basin.</li> <li>4. "Landscape Approach" as an investable proposition to thrive the business forward</li> <li>5. Designing a framework for adopting the Landscape Model in the Mid-Ganga Basin.</li> </ol> |
| 5.  | Project description: a detailed Project description entitled " <b>SLM in Ganga Basin</b> ", dated 21 <sup>st</sup> December, 2016 and corresponding budget of <b>INR 30,00,000/-</b> , is attached to this agreement as Annex B (" <b>Project Description</b> ")   |
| 6.  | Contract reference: the Contract is recorded under Solidaridad Contract number <b>SNAL/2017/1462/714</b>   |
| 7.  | Partner Agreement commencement: the Project shall commence on <u><b>1<sup>st</sup> February'2017</b></u>   |
| 8.  | Partner Agreement end date: the Project shall end on <u><b>30<sup>th</sup> September'2017</b></u>  |
| 9.  | Countries: the project shall be performed in the following countries: <b>India</b>   |
| 10. | Commodities: the Project shall cover the following commodities: <b>Sugarcane; Livestock</b>  |
| 11. | Third party contributors <sup>2</sup> : the following external financiers or private donors will contribute funds - either directly or through Solidaridad - to the Project ("Third Party Contributors"): <b>N/A</b>   |

|     |  |                      |   |                    |
|-----|--|----------------------|---|--------------------|
| 12. | Budget: Solidaridad and/or the Third Party Contributors and/or the Partner, if any, will contribute - subject to availability of funds - up to a maximum of <b>INR 30,00,000</b> /- to the Partner for the implementation of the Project. The amount will be made available to the Partner in accordance with the following payment schedule:  |                      |   |                    |
|     | <b>Payment number</b>  | <b>Amount in INR</b> | <b>When</b>   | <b>Contributor</b> |
|     | Payment no. 1  | 12,00,000            | After signing of the agreement by both parties  | SNAL               |
|     | Payment no. 2  | 9,00,000             | In third month after first review meeting ( <b>Note:</b> Release of fund only after a presentation and a documented progress report, with verification documents like attendance sheets, photographs etc. of the primary research by TERI University) | SNAL               |
|     | Payment no. 3  | 6,00,000             | In the sixth month after second review meeting ( <b>Note:</b> Release of fund only after a presentation, with draft version of the white paper by TERI University)  | SNAL               |
|     | Payment no. 4  | 3,00,000             | On final submission of the white paper ( <b>Note:</b> Only after the final release of the paper in the workshop)  | SNAL               |
| 13. | <b>The Partner</b> shall ensure it has adequate and in any event general liability insurance and professional liability insurance and any insurance required by applicable laws for the staff or consultant engage in the Project activities in place in relation to the performance of its obligations under this Agreement. On the request of <b>SNAL</b> , <b>Partner</b> shall provide proof of such insurance cover to the extent that such request relates to the <b>Partner's</b> own insurance obligations."   |                      |   |                    |
| 14. | The funds will be transferred to a bank account of which the bank details will be provided in a Payment Request, for which a template is provided in Annex C.  |                      |   |                    |
| 15. | Reporting, monitoring and auditing: the Partner will adhere to Solidaridad's reporting, monitoring and auditing guidelines as set out in Annex D to this agreement:  |                      |   |                    |
| 16. | Annexes: the parties acknowledge and accept the terms of this agreement, including all referenced Annexes which are hereby incorporated in and made a part hereof, and have executed this agreement as of the date set out at the beginning of this agreement. This agreement is made of this Cover sheet ("Cover Sheet") as well as:<br><br>Annex A: Special Terms and Conditions<br>Annex B: Project Description and corresponding budget<br>Annex C: Format request for payment<br>Annex D: Solidaridad Financial Reporting and Auditing Guidelines<br>Annex E: Solidaridad's Code of Conduct and Good Practices<br><br>and all other documents, exhibits and attachments expressly referenced and incorporated herein. |                      |   |                    |

|     |   |  |
|-----|---|--|
| 17. | This agreement has been entered into on the date stated at the beginning of it. |  |
|     | On behalf of the Partner  | On behalf of <b>Solidaridad Network Asia Limited</b>   |
|     | <br><br><br><b>Dr Rajiv Seth</b><br>Pro Vice-Chancellor, TERI University        | <br><br><br><br><b>Shatadru Chattopadhyay</b><br>Managing Director |
|     | Place:<br>Date:   | Place:<br>Date:  |





*Annex A - Special Terms and Conditions***1. PURPOSE AND SCOPE**

- 1.1 Solidaridad and the Partner will cooperate in the implementation of the Project, in accordance with the agreed upon Project Description, the approved budget and, where applicable, additional agreements and documents.
- 1.2 The Project Description and approved budget are attached to this agreement as Annex B and form an integral part of this agreement.

**2. DURATION**

- 2.1 The duration of the Project is set out in paragraphs 7 and 8 of the Cover Sheet.
- 2.2 The Project shall commence on the date set out in paragraph 7 of the Cover Sheet and shall continue unless and until terminated:
  - 2.2.1 as provided by the terms of this agreement; or
  - 2.2.2 by Solidaridad giving to the Partner not less than 2 weeks' prior written notice.

**3. BUDGET**

- 3.1 Solidaridad has analysed the proposal and approved the financial contribution to the Project as reflected in this agreement.
- 3.2 Solidaridad and/or, if applicable, Third Party Contributors will - subject to availability of funds - contribute up to the amount set out in paragraph 12 of the Cover Sheet for the implementation of the Project. The amount will be made available to the Partner in accordance with the payment Annex set out in paragraph 12 of the Cover Sheet.
- 3.3 All payments subsequent to the payments set out in clause 3.2 above, if applicable, will be subject to the reports and plans received and approved by Solidaridad and as set out Annex D to this Agreement. Any payment requests made by the Partner shall comply with the requirements as set out in Annex C to this Agreement. Where Solidaridad has not received or cannot approve the above reports from the Partner, the Partner will not be entitled to subsequent payments and cannot claim compensation or indemnification from Solidaridad and/or, if applicable, any Third Party Contributors on the grounds of non-compliance by Solidaridad and/or, if applicable, any Third Party Contributors, with the payment schedule as set out above.
- 3.4 In case of any payments to be made directly by the Third Party Contributors to the Partner as part of the Project, the Partner shall submit any payment requests directly to the Third Party Contributor, provided that said payment request shall comply with the requirements set out herein.
- 3.5 The Partner will send a confirmation of receipt within 1 month of receipt of each payment made to it pursuant to this agreement.
- 3.6 The Partner will have to present a receipt or other applicable documentation of each transaction.

- 3.7 The Partner is responsible for taking the necessary measures to deal with the risk of currency fluctuations and inflation. Currency losses cannot be paid for by Solidaridad. The Partner shall immediately contact Solidaridad if the implementation of the Project is endangered as a consequence of currency losses or severe inflation.
- 3.8 If:
- 3.8.1 contributions by Third Party Contributors within the framework of the Project activities by Solidaridad are stopped or reduced for any reason; or
- 3.8.2 Solidaridad no longer has funds available for the Project;
- thereby affecting the liquidity of Solidaridad in such a way that Solidaridad can no longer meet its obligations as stated in this agreement, Solidaridad reserves the right to delay payments, suspend the Project or, if necessary, terminate this agreement with immediate effect. Should this occur, Solidaridad cannot be held responsible for any losses that might ensue from delayed payments or termination of the agreement nor can Solidaridad be held to cover the shortfall of contributions as pledged by the Third Party Contributors. Solidaridad will do this only after informing and consulting the Partner in advance.
- 3.9 The Partner shall ensure that funds made available to it pursuant to this agreement:
- 3.9.1 remain, to the extent practicable, in a bank account which bears interest at a reasonable commercial rate available in the country where the Partner is established or where the Project is performed until they are expended for Project purposes; and
- 3.9.2 are deposited in a bank that is fully compliant with all applicable local and international banking standards and regulations, including capital adequacy requirements.
- 3.10 Any interest on funds disbursed to the Partner under this agreement shall be accounted for and used solely for Project purposes.
- 3.11 Any revenues earned by the Partner from Project activities, including but not limited to revenues from "social marketing" activities, shall be accounted for and used solely for Project purposes. In case of any currency gains as a result of funds made available to the Partner pursuant to this agreement the Partner shall be obligated to forthwith report these currency gains to Solidaridad. The parties shall in good faith discuss the allocation of the currency gains, provided that Solidaridad shall have the right to apply currency gains at its discretion should the parties fail to reach an agreement on the allocation of said currency gains.
- 4. TAXES**
- 4.1 The Partner is strongly encouraged to ensure that this agreement and the purchase of any goods or service using any of the funds made available to the Partner pursuant to this agreement shall be free from taxes and duties imposed under laws in effect in the country where the Partner is established or where the Project is performed. The Partner shall, not later than 90 days after the Effective Date, inform

Solidaridad of the status of the exemption from taxes and duties that may be accorded to assistance under this agreement.

- 4.2 Unless otherwise agreed between the parties, the Partner shall be responsible for all taxes applicable in the country where the Partner is established or where the Project is performed which are incurred as a result of this agreement and the services being provided. The Partner shall indemnify Solidaridad against any losses incurred by Solidaridad arising from any failure by the Partner to comply with its tax obligations tax or any failure by the Partner to comply with this clause 4.2.

## **5. PARTNER'S DUTIES**

- 5.1 The Partner shall manage and complete or provide the Project, and deliver the results of a Project, if any, in accordance with the Project Description and the timelines set out therein, and shall allocate sufficient resources to the Project to enable it to comply with this obligation.
- 5.2 During the term of this agreement, the Partner shall:
- 5.2.1 perform its obligations pursuant to this agreement with all due care, skill and ability and use his best endeavours to promote the interests of Solidaridad and/or any Third Party Contributors;
  - 5.2.2 promptly give to Solidaridad all such information and reports as it may reasonably require in connection with matters relating to the performance of this agreement and/or the execution of the Project.
- 5.3 The Partner shall use reasonable endeavours to ensure that it is available at all times on reasonable notice to provide such assistance or information as Solidaridad may require.
- 5.4 The Partner is not authorized to vary from the Project Description or approved budget without prior written consent from Solidaridad, Solidaridad shall be entitled to cease all payments until both parties have agreed upon the modification and continuation of the Project.
- 5.5 Unless specifically authorised to do so by Solidaridad in writing, the Partner shall not:
- 5.5.1 have any authority to incur any expenditure in the name of or for the account of Solidaridad; or
  - 5.5.2 hold itself out as having authority to bind Solidaridad.
- 5.6 The Partner shall comply with all reasonable standards of safety and comply with the health and safety procedures from time to time in force at the premises where the Project is performed and report to Solidaridad any unsafe working conditions or practices.
- 5.7 The Partner shall comply with Solidaridad's Code of Good Conduct and Practices as set out in more detail in Annex E to this agreement as Solidaridad may update unilaterally and at its discretion from time to time.
- 5.8 The Partner shall:

- 5.8.1 comply with all applicable laws, regulations, codes and sanctions relating to anti-bribery and anti-corruption including but not limited to the Bribery Act 2010 (Relevant Requirements);
- 5.8.2 promptly report to Solidaridad any request or demand for any undue financial or other advantage of any kind received by the Partner in connection with the performance of this agreement;

## 6. CONFIDENTIALITY AND PUBLICITY<sup>3</sup>

- 6.1 Each party undertakes that it shall not at any time disclose to any person any confidential information concerning the business, affairs, customers, clients, funders, contributors or suppliers of the other party, except as permitted by this clause 6.
- 6.2 Each party may disclose the other party's confidential information:
  - (a) to its employees, officers, representatives or advisers ("**Representatives**") who need to know such information for the purposes of carrying out the party's obligations under this agreement, provided that each party ensures that its Representatives to whom it discloses the other party's confidential information comply with this clause 6; and
  - (b) as may be required by law, court order or any governmental or regulatory authority. In addition to the foregoing, Solidaridad shall at times be entitled to disclose confidential information to its Supervisory Board. Neither party shall use any other party's confidential information for any purpose other than to perform its obligations under this agreement.
- 6.3 At the request of a party to this agreement, the other party shall:
  - 6.3.1 destroy or return to the disclosing party all documents and materials (and any copies) containing, reflecting, incorporating, or based on the disclosing party's confidential information; and
  - 6.3.2 erase all the disclosing party's confidential information from its computer systems or which is stored in electronic form (to the extent possible).
- 6.4 Solidaridad carries out publicity and informative activities within the framework of its objectives, either under its own name, or together with other Partners, Third Party Contributors or companies. The Partner agrees to cooperate with this type of activity by making available the necessary information or other material and cooperating with possible field visits, when requested by Solidaridad. If requested to do so, the Partner will carry out a baseline assessment at the start of the Project. Solidaridad will make the necessary budget available to the Partner for this purpose.
- 6.5 Either party may publicize the existence of this agreement and inform interested third parties of its purposes, provided that neither party shall disclose, advertise, or publish the terms and conditions of this agreement or any other confidential information as set out in clause 6.1 of this agreement, without the prior written consent of the other party. Parties shall give each other a reasonable period of time to review any communication materials containing references to this agreement and the Project.



- 6.6 The obligations set out in this clause 6 will survive any termination or expiration of this agreement and shall remain in effect for a period of three years from the termination of this agreement.

## **7. INTELLECTUAL PROPERTY**

- 7.1 The Partner hereby assigns to Solidaridad and/or its licensors all existing and future intellectual property rights in any software programs, materials or tools developed or invented by Partner specifically for Solidaridad or Solidaridad's third party licensors or Third Party Contributors ("Bespoke Materials") under this agreement to the fullest extent permitted by law. The Partner undertakes to execute all documents, make all applications, give all assistance and do all acts and things, at the expense of Solidaridad and at any time either during or after the term of this agreement, as may, in the opinion of Solidaridad, be necessary or desirable to vest the intellectual property rights in, and register or obtain trade marks, patents or registered designs in, the name of Solidaridad and otherwise to protect and maintain the intellectual property rights in the Bespoke Materials. The Partner represents and warrants that any individual working on its behalf have given written undertakings in the same terms to the Partner.
- 7.2 The Partner agrees to indemnify Solidaridad or Solidaridad's third party licensors and Third Party Contributors (collectively: "**Indemnified Parties**") and keep the Indemnified Parties indemnified at all times against all or any costs, claims, damages or expenses incurred by the Indemnified Parties, or for which the Indemnified Parties may become liable, with respect to any intellectual property infringement claim or other claim relating to any works or Bespoke Materials supplied by the Partner to the Indemnified Parties during the course of the performance of this agreement and/or the Project.

## **8. INDEMNITY AND INSURANCE**

- 8.1 The Partner shall have liability for and shall indemnify the Indemnified Parties for any loss, liability, costs (including reasonable legal costs), damages or expenses arising from any breach by the Partner of the terms of this agreement including any negligent or reckless act, omission or default in the performance of the Project.
- 8.2 The Partner shall maintain in force during the duration of the Project full and comprehensive insurance policies. The Partner shall ensure that the insurance policies are taken out with reputable insurers acceptable to Solidaridad and that the level of cover and other terms of insurance are acceptable to and agreed by the Solidaridad. The Partner shall on request supply to Solidaridad copies of the insurance policies and evidence that the relevant premiums have been paid.
- 8.3 The Partner shall comply with all terms and conditions of the insurance policies at all times. If cover under the insurance policies shall lapse or not be renewed or be changed in any material way or if the Partner is aware of any reason why the cover under the insurance policies may lapse or not be renewed or be changed in any material way, the Partner shall notify Solidaridad without delay.

## **9. TERMINATION**

- 9.1 This agreement can be terminated with or without juridical intervention by one of the parties if:
- 9.1.1 the other party commits a breach of any term of this agreement which breach is irremediable or (if such breach is remediable) fails to remedy that breach within a period of 30 days after being notified in writing to do so;
  - 9.1.2 when fraud or abuse of the funds by the Partner is observed and ascertained.
- 9.2 Furthermore the agreement can be dissolved if:
- 9.2.1 and as soon as one of the parties is declared bankrupt;
  - 9.2.2 if and as soon as one of the parties is granted a moratorium in respect of its debts;
  - 9.2.3 a creditor or encumbrancer of the other party attaches or takes possession of, or a distress, execution, sequestration or other such process is levied or enforced on or sued against, the whole or any part of the other party's assets and such attachment or process is not discharged within 14 days; or
  - 9.2.4 any event occurs, or proceeding is taken, with respect to the other party in any jurisdiction to which it is subject that has an effect equivalent or similar to any of the events mentioned in this clause 9.2.
- 9.3 In the event of termination by Solidaridad for any reason whatsoever, the Partner shall, within 6 weeks after termination, or any other date as agreed to in writing by Solidaridad, transfer back to Solidaridad any remaining funds at the specific stage of the Project at which the termination of this agreement occurs into the bank account as designated by Solidaridad.
- 9.4 After termination or expiry of the Project and notwithstanding the provisions of clause 9.3, Solidaridad shall be entitled to claim back any remaining Project funds. The Partner will transfer any remaining Project funds to Solidaridad within 6 weeks of the approval of the final report, to the bank account as designated by Solidaridad.
- 9.5 All provisions of this agreement which may reasonably be interpreted or construed as surviving the expiration or termination of this agreement shall survive the expiration or termination of this agreement.

## 10. **DISPUTE RESOLUTION**

- 10.1 In the event a party has a dispute or claim arising out of or relating to this agreement ("**Dispute**"), such party shall first request a meeting between the parties to attempt to resolve the Dispute. If the parties are unable to resolve the Dispute within 10 days after the first meeting, then either party may request that the Dispute be escalated to senior management within each party. If the senior management of the parties cannot resolve the Dispute within 10 days after their first meeting, then either party may submit the Dispute to mediation as set out in clause 10.2.

- 10.2 For the purposes of resolution of each and any dispute that has arisen or might arise further to the present agreement, or any further agreements resulting from the same, the parties shall - or the most diligent party shall - file a request for mediation with a reputable national mediation institute in accordance with the institute's Mediation Rules. If such request fails to result in a comprehensive resolution of the dispute by execution of a settlement agreement, by means of an arbitral award on agreed terms, or by means of a combination of both, the dispute - or at any rate any part thereof not resolved in any of the aforesaid manners - shall be resolved exclusively in accordance with the provisions of clause 111 of this agreement.

## 11. GOVERNING LAW AND JURISDICTION

- 11.1 This agreement and any dispute or claim arising out of or in connection with it or its subject matter or formation (including non-contractual disputes or claims) shall be governed by and construed in accordance with the laws of the country Solidaridad resides in.
- 11.2 The parties irrevocably agree that the competent court of the country that Solidaridad resides in, shall have exclusive jurisdiction to settle any dispute or claim that arises out of or in connection with this agreement or its subject matter or formation (including non-contractual disputes or claims).


## 12. MISCELLANEOUS

- 12.1 This document contains the entire agreement between the parties with respect to the subject matter hereof and supersedes all prior understandings with respect thereto.
- 12.2 Any failure to enforce any provision of this agreement shall not constitute a waiver thereof or of any other provision hereof. Additionally, if any provision of this agreement shall be prohibited by or invalid under applicable law, such provision shall be ineffective to the extent of such prohibition or invalidity without invalidating the remainder of such provision or the remaining provisions of this agreement.
- 12.3 This agreement may not be amended, nor any obligation waived, except by a written agreement signed by both parties hereto.
- 12.4 This agreement is not intended, nor shall create, express or imply, any legal relationship between the parties that may be construed as an agency, legal partnership, or otherwise and no party shall be authorized to bind the other party or to act in its name.

|         |   |                            |
|---------|---|----------------------------|
| Annex B | Project description and corresponding budget            | Free template              |
| Annex C | Format request for payment                              | Refer to separate template |
| Annex D | Solidaridad Financial Reporting and Auditing Guidelines | Refer to separate template |
| Annex E | Solidaridad's Code of Conduct and Good Practices        | Refer to separate template |

**PAYMENT REQUEST SOLIDARIDAD**

*The undersigned hereby requests the following payment:*

|  |                                       |
|--|---------------------------------------|
| Name of the organisation / Consultant :  | TERI University                       |
| Contract number and name of the project  | SNAL/2017/1462/714                    |
| Responsible staff member Solidaridad   | Mr. Prashant Pastore                  |
| Currency (EUR/USD), amount: INR  | 12,00,000                             |
| Tranche number x of x  | 1 of 4                                |
| Name and function undersigned:   | Dr. Rajiv Seth<br>Pro Vice Chancellor |
| Email address of undersigned   | rseth@teri.res.in                     |
| Signature:  |                                       |
| Place and date: New Delhi 09 February 2017   |                                       |

| BANK INFORMATION                         |   |
|--|---|
| IBAN number:                             |   |
| Account by name of:                      | TERI University   |
| Account Number:                          | 00031170000088  |
| Bank name:                               | HDFC Bank   |
| SWIFT code or BIC:                       | HDFCIN88  |
| IFSC Code                                | HDFC0000003   |
| PAN Number                               | AAATT4778L  |
| Address of the Organisation / Consultant | TERI University, Plot No. 10, Institutional Area, Vasant Kunj, New Delhi - 110070 |







|   |  |
|---|--|
| <b>To be completed by SNAL</b>                      |  |
| <b>Name and signature responsible staff member:</b> | <b>Name and signature Managing Director:</b> |
| <br><br><br><br><br>                                | <br><br><br><br><br>                         |
| <b>Place and date</b>                               | <b>Place and date</b>                        |





UK Research  
and Innovation



**Centre for  
Ecology & Hydrology**

NATURAL ENVIRONMENT RESEARCH COUNCIL

**Centre for Ecology & Hydrology**

Bush Estate  
Penicuik, Midlothian  
EH26 0QB  
United Kingdom

Telephone: +44 (0) 131 4454343

Main Fax: +44 (0) 131 4453943

[www.ceh.ac.uk](http://www.ceh.ac.uk)

[sanh-office@ceh.ac.uk](mailto:sanh-office@ceh.ac.uk)

DATE: 30/05/2019

Grant Ref: NE/S009019/1

Dear SANH Co-Investigator at TERI University,

This letter is provided by the Centre for Ecology and Hydrology of the Natural Environment Research Centre, as co-ordinating partner of the UKRI GCRF South Asian Nitrogen Hub project. UK Research and Innovation (UKRI) is offering a grant through the Natural Environment Research Centre towards the costs of the UKRI GCRF South Asian Nitrogen Hub.

The total allowable Full Economic Costs (i.e. FEC) of the project for your institution are listed below (in GBP):

| Partner         | Firm Budget FEC<br>(Years 1-3) | Provisional Budget FEC<br>(Years 4 & 5) |
|-----------------|--------------------------------|---|
| TERI University | 184,374                        | 122,916                                 |

Please note that as a South Asian Research Partner Organisation (RPO) the grant value (i.e. percentage of costs which can be reclaimed) is 100% of total cost (FEC).

In order to account for inflation over the term of the project, UKRI has increased the level of total allowable costs, by an indexation rate of around 2%. Please note this increase HAS been included in the above table.

Regards

Professor Mark Sutton,  
UKRI GCRF South Asian Nitrogen Hub Director





Our Ref: Research Innovation and Engagement Services  
Singleton Park, Swansea, SA2 8PP

Date: 20/09/2019

**For the Attention of**

Captain Pradeep Kumar Padhy (Retd.)  
Registrar, TERI School of Advanced Studies  
Plot No. 10, Institutional Area, Vasant Kunj, New Delhi - 110070  
Tel. +91 11 71800222, 26122222, Fax +91 11 26122874

Dear Captain Padhy,

**Executive Programme: Human Security and Drug Policy in Afghanistan (the "Project")**

Swansea University, a charitable body registered in England and Wales under registration number RC 000639, incorporated under Royal Charter and having its main administrative offices at Singleton Park, Swansea, SA2 8PP ("**University**") wishes to participate on a collaborative Project with the TERI School of Advanced Studies ("**Collaborator**").

The Project will be carried out under the direction and supervision of the principal investigator, Professor David Bewley-Taylor from the University and Dr Gopal K. Sarangi and Mr Sandeep Arora, from the Collaborator. The Collaborator and the University shall each be a "**Party**" or "**Parties**".

The Parties hereby confirm their intention to regulate their rights and subject to the terms and conditions contained in this commitment letter and accompanying schedule (the "**Agreement**"). The Parties agree to co-operate to perform the Project in accordance to the project plan attached as Part 1 of the Schedule to this letter (the "**Project Plan**"). The Project shall commence on **September 20<sup>th</sup> 2019** and shall continue for six (6) months (the "**Project Period**").

The Collaborator shall receive the total amount of **£57,456** for participation on the Project. The breakdown of the Collaborator's allocated amount by budget category is attached hereto as Part 2 of the Schedule. The sole financial obligation of the University under this Agreement shall be to forward the payments allocated to the Collaborator. Claims for payment should be sent to University in accordance with the specified payment schedule. A final statement of expenditure will be required within one month of the end of the Project Period. Payments shall be made to the Collaborator by the University within thirty days of receipt of a valid invoice.

The Parties shall retain all supporting documentation and audit trails relating to activities and expenditure associated with the Project. All such supporting documentation shall be maintained by the Parties until a date specified by the University.

Each Party agrees to comply with all reasonable requests made by the other Party to provide such information (not including Confidential Information) as the requesting Party may reasonably require to address requirements placed on them. Such Project related information may include but shall not be limited to, effects, changes or benefits to the economy, society, public policy or services, health and the environment.

Any intellectual property created in the course of the Project ("**Arising IP**") shall be owned by the Party that generates it. Each Party hereby grants to the other Parties a licence to use its Arising IP only for the Project and for academic research and teaching purposes. Nothing in this Agreement shall affect the ownership of any background intellectual property (being any intellectual property owned by a Party prior to the commencement of the Project or generated by a Party outside the scope of the Project ("**Background IP**") used in the implementation of the Project.

Each Party grants the other a royalty-free, non-exclusive licence for the duration of the Project to use its Background IP for the sole purpose of carrying out the Project. No Party may grant any sub-licence over or in respect of the other's Background IP.

With the exception of the Arising IP of the Project, the Parties undertake to keep confidential any information specified as such by another ("**Confidential Information**"), unless such information becomes public without fault of the receiving Party.

For the purpose of this Agreement Confidential Information means any and all technical, financial and/or other information which is proprietary to the disclosing Party (or which the disclosing Party is obliged to keep secret but entitled to disclose hereunder) including without limitation, information relating to Background IP, trade secrets, analyses, compilations, forecasts, studies, inventions, designs, drawings, and other material related to the same, non-public financial information including without limitation, business and marketing plans, business methods, pricing policies, product ideas, and other business, technical, marketing or operating information, whether disclosed orally or in written hard copy or electronic form or in or on any other media or format.

No Party shall incur any obligation with respect to Confidential Information which:

- Is known to the receiving Party before the start of the Project Period (as evidenced by the receiving Party's records), and not impressed already with any obligation of confidentiality to the disclosing Party; or
- Is or becomes publicly known without the fault of the receiving Party; or
- Is obtained by the receiving Party from a third party in circumstances where the receiving Party has no reason to believe that there has been a breach of an obligation of confidentiality owed to the disclosing Party; or
- Is independently developed by the receiving Party; or
- Is approved for release in writing by an authorised representative of the disclosing Party; or
- The receiving Party is specifically required to disclose in order to fulfil an order of any Court of competent jurisdiction or statutory requirement.

Each Party shall be entitled to publish articles directly arising from its sole work on the Project. Prior to the publication of articles directly arising from the work of more than one Party on the Project, the Parties shall first discuss and approve a publication strategy. Each party shall endeavour to circulate proposed publications at least 10 days in advance of publication. Each Party retains the right to seek delay of a publication in order to seek intellectual property protection for results generated in the course of the project. Such delay shall not exceed 3 months.

Each Party will ensure that its employees and students (if any) involved in the Project will comply with all applicable laws, regulations and statutes, including but not limited to those relating to data protection, anti-bribery and modern slavery.



No Party makes any representations or warranty that advice or information given by any of its employees, students, agents or appointees who work on the Project, or the content or use of any materials, works or information provided in connection with the Project, will not constitute or result in infringement of third-party rights.

No Party accepts any responsibility for any use which may be made of any work carried out or under or pursuant to this Agreement, or of the Arising IP of the Project, nor for any reliance which may be placed on such work or Arising IP nor for advice or information given in connection with them.

Although the University will use reasonable endeavours to carry out the Project in accordance with the Project Plan the University does not undertake that any research will lead to any particular result, nor does it guarantee a successful outcome to the Project.

The liability of any Party for any breach of this Agreement or arising in any other way as part of the performance of the Agreement, will not extend to loss of business profits, or to any indirect or consequential damages or losses.

#### Settlement of Disputes

If any dispute arises out of this Collaboration Agreement the Parties shall first attempt to resolve the matter informally through senior representatives of each Party to the dispute. If the Parties are not able to resolve the dispute informally within a reasonable time from the date the informal process is requested by notice in writing, they will attempt to settle it by mediation in accordance with the United Kingdom's Centre for Effective Dispute Resolution (CEDR) Model Mediation Procedure. The cost of any such mediator or expert shall be borne equally by the Parties. If mediation also fails, then parties will resort to arbitration for resolution of their disputes.

#### Arbitration clause

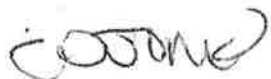
The disputes arising out of or in connection with this agreement shall be settled through Arbitration as per mutually agreed rules for arbitration. The place of arbitration shall be the place of the defending party, either London, England or New Delhi, India. The language for arbitration shall be English only. Award passed in the said arbitration shall be final and binding upon the Parties hereto.

The parties agree that execution of this Agreement by industry standard electronic signature software or by exchanging PDF signatures shall have the same legal force and effect as the exchange of original signatures, and that in any proceedings arising under or relating to this Agreement, no party shall question the validity of such execution arrangements.

Yours sincerely

**Ceri Jones, Director of REIS**  
Authorised Signatory of Swansea University

Signature: \_\_\_\_\_



APPROVED BY  
  
CONTRACTS OFFICER

Accepted for and on behalf of the TERI School of Advanced Studies

Signature:



Name:

Capt. Pradeep K Padhy (Retd.)  
Registrar

Position:

TERI School of Advanced Studies  
10, Institutional Area, Vasant Kunj  
New Delhi-110 070

Date:

24 Sep 2019



## Schedule

### Part 1

## THE PROJECT PLAN

### ***Executive Programme – Human Security and Drug Policy in Afghanistan***

In partnership with TERI School of Advanced Study, New Delhi, India, and the Global Drug Policy Observatory, Swansea University, UK, is embarking on an exciting and timely new project; an executive programme on *Human Security and Drug Policy in Afghanistan*. Lasting for one-week and delivered at TERI School of Advanced Studies, from 27th to 31st January 2020, the programme will deploy the concept of human security as an entry point to explore and critique a range of intersecting issues relating to the illicit drug market within Afghanistan.

Drawing on relevant lessons learned and best practices from around the world and approaching the topic from an evidence and rights based approach, this will include, among others: international legal frameworks (including the UN drug control regime, the human rights regime and the 2030 Sustainable Development Agenda) various facets of public health (including prevention, treatment and access to essential medicines), legislative practice and the complexities of dealing with illicit drug production within the country (including intersections between development, conflict and peacebuilding.) Teaching faculty will comprise a mix of experts from academic and non-governmental organizations from outside South and South West Asia, as well as those from within the regions.

The target audience for the Executive Programme is Afghan nationals from both civil society organizations, including academia, and government, both from within and beyond Kabul. It is the intention to engage a range of participants from across government and include those from ministries and units where aspects of drug policy are issues of concern.

Key objectives of the programme are:

- To identify individuals and organizations working within Afghanistan on various aspects of drug policy.
- To engage in a knowledge-exchange exercise and facilitate 'take home' of evidence and rights-based approaches to drug policy.
- To help develop in-country capacity around the cross-cutting issue of drug policy, including a sustainable alumni network.

As the in-region partner responsible for hosting the Executive Programme, TERI School of Advanced Studies will, among other things, be responsible for the organisation and payment of costs relating to:

1. Accommodation (course participants and faculty)
2. Transfers (to TERI from accommodation, airport etc)
3. Participants flights (Kabul-Delhi-Kabul)
4. Visa costs
5. Teaching space at TERI
6. Overheads/administrative costs
7. Costs for local faculty (from beyond TERI), site visit etc
8. Faculty flight and stipend costs.



## Part 2

## THE BUDGET

## Budget Details

|                               |   |
|-------------------------------|---|
| <b>Project</b>                | Global Drug Policy Observatory                |
| <b>Principal Investigator</b> | Professor David Bewley-Taylor (Swansea)       |
| <b>Co-Investigator(s)</b>     | Gopal K. Sarangi and Sandeep Arora (TERI SAS) |

## Budget details for TERI School of Advanced Studies

**Participant costs (n = 30) New Delhi**      Exchange rate      0.76

|                                       | US\$   | UK£     |
|---------------------------------------|--------|---------|
| Accommodation                         | 16380  | 12448.8 |
| Subsistence                           | 4080   | 3100.8  |
| In-country Transport                  | 1710   | 1299.6  |
| Teaching space & local admin, tax etc | 16,830 | 12790.8 |

*Subtotal*      39000      29640

**Participant travel (n=30)**

|                                 |       |       |
|---------------------------------|-------|-------|
| Flights (Kabul-New Delhi-Kabul) | 20100 | 15276 |
| Visas                           | 750   | 570   |

*Subtotal*      20850      15846

**International Faculty Costs (n=5)**

|                        |      |      |
|------------------------|------|------|
| Flights & travel costs | 7500 | 5700 |
| Accommodation          | 4500 | 3420 |
| Fee                    | 3750 | 2850 |

*Subtotal*      15750      11970

**Grand total**      75600      **57456**

The Lead shall pay the Collaborator, the funded amount in UK£ detailed in the table below. All sums are inclusive of VAT, if applicable.



**Payment arrangements**

| Item        | Amount             | Due Date  |
|-------------|--------------------|---|
| Invoice # 1 | 70% of total costs | Upon execution of the Agreement   |
| Invoice # 2 | 30% of total       | Upon completion of the Project and delivery of the final financial and narrative report |
|             |                    |   |

The financial statements should be sent to:

Susan Owen, External Contracts Officer – [S.Y.Owen@Swansea.ac.uk](mailto:S.Y.Owen@Swansea.ac.uk)

Quoting reference ; Executive Programme: Human Security and Drug Policy in Afghanistan



WaterEd Australia Pty Ltd ABN 13 112 314 780 trading as the International Centre of Excellence in Water Resources Management (ICE WaRM) of Level 4, 33 King William Street, Adelaide, SA 5000

### Service Agreement – Delivery of short course on Gender, Equity and Water Management

#### 1. Service Provision

You will provide the Services in the timeframe set out in the Schedule, unless agreed otherwise.

We confirm that **Arun Kansal** must be the person who either performs or directly supervises the Services.

If requested by us, you must arrange for each of your staff who is involved in providing the Services to sign a deed of undertaking in a form approved by us, in which the employee agrees to:

- maintain the confidentiality of any Confidential Information (described below);
- do all that is necessary to ensure that intellectual property rights in any technological know-how that you produce or acquire in relation to the provision of the Services to us ("Works") vest in us upon creation; and
- waive any right to claim an infringement of the employee's moral rights in the Works.

For the purposes of this letter, "Confidential Information" includes information which:

- (a) is by its nature confidential;
- (b) is designated by us or our shareholders as confidential; or
- (c) you know or ought to know is confidential,

but it does not include information which:

- (d) is or becomes public knowledge other than by breach of this document or by any other unlawful means;
- (e) is in your possession (and is not held subject to any restriction on disclosure) before the date you receive that information from us or our shareholders; or
- (f) you have independently developed or acquired.

#### 2. Contractor Relationship

We confirm that we do not intend to be in a partnership or joint venture relationship with you, and are not currently in either of these relationships with you.

Unless you otherwise advise us in writing, we are entitled to assume that the persons providing the Services are either your employees or your contractors. To be clear, any persons involved in providing the Services are not our employees.

#### 3. Intellectual Property

You agree to assign all intellectual property rights in the Works to us, or as directed by us. If requested by us, you also agree to do all things required to assign these rights, and agree to ensure that your employees will also do all things required to assign these rights, such as the execution of documents.

We confirm that nothing in this letter affects intellectual property rights that exist prior to the commencement of this contract, **except** where we require the use of, or access to, any of these pre-existing rights in order to gain the benefit of the Services and/or the intellectual property rights in the Works. In this circumstance, you agree to grant us a perpetual and non-exclusive licence for which no royalties will be payable in respect of these rights.

#### 4. Your Obligations

You agree to:

- provide the Services:
  - with due diligence;
  - with expedition;
  - at our direction;
  - to our reasonable satisfaction; and
  - with the degree of skill, care, foresight and prudence that could reasonably be expected from an organisation proficient in providing such services;
- act in good faith and in our best interests;
- ensure that the Services meet quality standards as we reasonably require;





- ensure that your employees, in providing the Services:
  - collaborate with people, as required by us;
  - use all proper and appropriate skills that they possess;
  - comply with any relevant legislation (especially occupational health and safety requirements and anti-discrimination legislation);
  - disclose and provide particulars of any actual, potential or possible conflict of interest arising in connection with the provision of the Services;
  - comply with any applicable policies and procedures determined by us;
  - ensure that the Services are undertaken in accordance with applicable laws; and
  - provide Services within the scope specified in the Schedule.

You must not assign or sub-contract any of your obligations under this contract without our written consent, which we will not unreasonably withhold.

#### 5. Our Obligations

Upon your request, we agree to request that our shareholders, associates and supporters (particularly the education provider shareholders) provide you with cooperation and assistance that you reasonably require.

We also agree to promptly respond to any reasonable request made by you for information.

#### 6. Payment

We will pay you in accordance with the arrangements described in the Schedule.

In order to receive payment for work done, you must send us an invoice by the end of each month. We will pay the amount invoiced within 30 days, unless we notify you in writing that we believe that the Services have not been satisfactorily provided. In this notice, we will also specify matters requiring rectification.

We will reimburse expenses incurred in connection with this contract and detailed in the Schedule, provided that we have first approved your expenditure and receipts accompany the request for reimbursement. Requests for reimbursement and the accompanying receipts should be received by the end of each month.

#### 7. Good and Services Tax

If you are required to pay GST for a supply made to us, we will pay you an amount equal to that GST payment ("GST Payment"), upon you giving us a tax invoice.

If we are required to pay GST for a supply made to us, you must pay us an amount equal to that GST Payment, upon us giving you a tax invoice.

#### 8. Termination

Either we or you can terminate this contract for any reason, or no reason at all, provided we or you give 30 days' notice in writing. If we terminate this contract in this manner, you are entitled to retain:

- all previous instalments of payments made to you; and
- a proportion of the next instalment, equivalent to the proportion of work that you have already carried out.

If you terminate this contract in this manner, we are entitled to retain:

- a proportion of any unpaid instalment, equivalent to the cost of any rework that we may incur.

We have the right to terminate this contract immediately if:

- you have failed to uphold any of your obligations under this contract; and
  - we have given you notice in writing that this default must be remedied within 14 days; and
  - the default is not remedied in that 14-day period; or
- you commit a serious or persistent breach of any provision of this contract; or
- a petition is lodged, an order is made or a resolution is passed for the winding up of you as a company; or
- you appoint a receiver, or a receiver is appointed for you.

Upon termination, you must return all of our property, all media containing Confidential Information in your possession or control, and all of the Works to us.

#### 9. Force Majeure Event

If performance of an obligation under this contract (either by us or by you) is prevented by any event or circumstance beyond our, or your, control, and which the exercise of reasonable care could not

**SCHEDULE****PROJECT**

*To deliver a short course in Gender, Equity and Water Management*

*Name Arun Kansal*

*Dean, Research and Relationships*

*Professor and Head, Coca-Cola Department of Regional Water Studies*

*TERI University, New Delhi*

*Telephone +91 9968875742*

**SCOPE OF WORK**

This agreement relates to the 2-day short course developed by TERI University through a previous agreement with ICE WaRM. Both TERI University and ICE WaRM may deliver this course as they see fit. The current agreement provides support for four offerings for the course.

Under this agreement, TERI University agrees to provide the course as detailed in their proposal of July 2017, attached herewith.

**TIME FOR DELIVERY**

The course will be delivered as follows:

| S.No. | Location  | Date              |
|-------|-----------|-------------------|
| 1.    | Guwahati  | 14-16 March 2018  |
| 2.    | Hyderabad | 22-23 August 2018 |
| 3.    | Jodhpur   | 08-09 Dec 2018    |
| 4.    | Delhi     | 13-14 July 2019   |

**PAYMENT ARRANGEMENTS:**

The fee for this service will be AUD \$62,200 to be payable as follows:

- 40% at the time of signing the contract
- 15% at the end of each programme.

**EXPENSES TO BE REIMBURSED**

Additional expenses to be reimbursed subject to prior agreement with ICE WaRM.

reasonably prevent or overcome ("Force Majeure Event"):

- we, or you, will be excused from performance, and will not be liable for that non-performance, to the extent that that performance is prevented; and
- the time for performance of that obligation affected by the Force Majeure Event will be extended.

We, or you, must use all reasonable efforts to mitigate the Force Majeure Event and resume performance as soon as possible.

If the Force Majeure Event prevents performance of either your obligations or our obligations for more than 1 month, and the Force Majeure Event continues, either you or we may terminate this contract by giving at least 5 business days' notice in writing, without prejudice to any antecedent rights.

#### 10. Alternative Dispute Resolution

In the event of a dispute, the party requiring the dispute to be resolved (either you or we) must promptly give the other party written notice providing details of the dispute

Within 5 business days' of receiving this notice, appropriately authorised representatives of each of us and of you must meet and attempt in good faith to resolve the dispute by negotiation.

If we do not reach a resolution, either party may notify the other party that it seeks to resolve the dispute by mediation. Within 5 days of receiving this notice, the parties must refer the matter to a mutually agreed mediator or, if no agreement is reached, to a mediator appointed at either party's request by the President of the Law Society of South Australia.

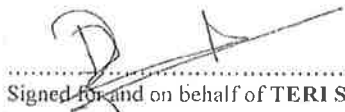
The mediator will determine the procedures to be followed and how the costs will be paid.



Signed by WaterEd Australia Pty Ltd

IAN REID

The terms and conditions set out in this Service Agreement are agreed and accepted:



Signed for and on behalf of TERI School of Advanced Studies

**Capt. Pradeep K Padhy (Retd.)**

**Registrar**

Print Name

**TERI School of Advanced Studies  
10, Institutional Area, Vasant Kunj  
New Delhi-110070**

Nothing in this section denies either party the right to seek injunctive relief where failure to obtain this relief would cause irreparable damage to the party.

These provisions regarding alternative dispute resolution do not impair, delay or prejudice the exercise by a party of its rights in this letter (including the right to terminate this contract).

#### 11. Confidentiality

You must not use or disclose any Confidential Information except:

- in the proper performance of your obligations contained in this letter;
- to make a disclosure to such of your officers, employees and advisers that have a legitimate interest in the Confidential Information;
- as may be required by applicable law (in which case, prior to disclosure, the Contractor must consult with us about the form and content of such disclosure); or
- as we may otherwise agree in writing.

#### 12. Entire Agreement

This document contains the entire agreement between you and us.

#### 13. Variation

The terms and conditions set out in this letter can only be effectively varied if the variation is made in writing and is executed by you and us.

#### 14. Jurisdiction and Choice of Law

The law of this contract is the law of South Australia and we both agree to submit to the non-exclusive jurisdiction of South Australian courts.

8 JAN 2018  
Dated

22 Dec 2017  
Dated



ICIMOD

**LETTER OF AGREEMENT**

**BETWEEN**

**INTERNATIONAL CENTRE FOR INTEGRATED MOUNTAIN DEVELOPMENT (ICIMOD)  
LALITPUR, NEPAL**

**AND**

**TERI SCHOOL OF ADVANCED STUDIES (TERI SAS)  
NEW DELHI, INDIA**

August, 2018



### Summary: Letter of Agreement

**Agreement Number** :  
**ICIMOD Programme** : HUC  
**Research Title** : Cities by Women: Uncovering the relationship between Gender, Land-use and Livelihoods for Embedding Climate Change Resilience in Himalayan cities  
**Country** : India  
**Budget** : USD 30,000  
**Cost Center** :  
**Project Period** : 15 Months  
**Effective date** : 01 August 2018    Activity completion date: 01 November 2019  
**Focal Persons** :

|                                       |                                    |
|---------------------------------------|------------------------------------|
| <i>ICIMOD</i>                         | TERI SAS                           |
| Name: Dr Chi Huyen Truong             | Name: Capt. Pradeep Padhy          |
| Designation: Program Coordinator, HUC | Designation: Registrar, TERI SAS   |
| Email: Chi.Truong@icimod.org          | Email: pradeep.padhy@terisas.ac.in |

**Agreement** : The terms and conditions are presented in multiple sections, as outlined below. All of the contents of these sections and annexes constitute the entire agreement between the Parties.

SECTION 1 : Partnership Principle  
 SECTION 2 : Scope of Work and Duration  
 SECTION 3 : Implementation  
 SECTION 4 : Financial Provisions  
 SECTION 5 : Reporting Provisions  
 SECTION 6 : Monitoring and Evaluation Provisions  
 SECTION 7 : Copyright, Intellectual Property Right and Use of Logo  
 SECTION 8 : Amendment and Termination  
 SECTION 9 : Entry into Force

The following documents, hereinafter referred to as "Annex" are hereby agreed to be an integral part of this agreement:

ANNEX I : Terms of Reference (ToR)  
 ANNEX II : Budget  
 ANNEX III : Progress Reporting Template  
 ANNEX IV : Sample grant disbursement request letter  
 ANNEX V : Financial Reporting Template

## PREAMBLE

**WHEREAS** The International Centre for Integrated Mountain Development (ICIMOD) is a regional intergovernmental learning and knowledge sharing centre serving the eight regional member countries of the Hindu Kush Himalayas – Afghanistan, Bangladesh, Bhutan, China, India, Myanmar, Nepal, and Pakistan – and based in Kathmandu, Nepal. Globalization and climate change have an increasing influence on the stability of fragile mountain ecosystems and the livelihoods of mountain people. ICIMOD aims to assist mountain people to understand these changes, adapt to them, and make the most of new opportunities, while addressing upstream-downstream issues.

We support regional transboundary programmes through partnership with regional partner institutions, facilitate the exchange of experience, and serve as a regional knowledge hub. We strengthen networking among regional and global centres of excellence. Overall, we are working to develop an economically and environmentally sound mountain ecosystem to improve the living standards of mountain populations and to sustain vital ecosystem services for the billions of people living downstream now, and for the future.

ICIMOD aims to deliver impacts through its six Regional Programmes, which are supported by the four thematic Areas of Livelihood, Ecosystem services, Water and Air and Geospatial Solutions and underpinned by Knowledge management and Communication.

Address : ICIMOD, P.O. Box 3226, Kathmandu, Nepal  
 Telephone : +977-1-5275238  
 E-mail : scu@icimod.org

**WHEREAS** TERI SAS aims to accelerate the transition towards a more sustainable world through the creation of knowledge and human capacity by becoming a globally recognized University in the sphere of sustainability studies.

Address : TERI School of Advanced Studies (TERI SAS)  
 Plot No. 10 Institutional Area, Vasant Kunj,  
 New Delhi, India, 110 070  
 Telephone : +91-11-71800222

**THEREFORE**, TERI SAS, in collaboration with Royal Thimphu College and Asian Institute of Technology (**hereafter referred to as Parties**) agree to enter into Letter of Agreement (LoA), to share their competencies and resources, and implement the activities as described in the following Sections.

The partnership is established following an offer of the HUC SDC Focus Grant as the result of a competitive selection process as announced in an open Call for Proposals dated 30 March 2018.

**Project Title:** Cities by Women: Uncovering the relationship between Gender, Land-use and Livelihoods for Embedding Climate Change Resilience in Himalayan cities

**Project Objective:**

1. To understand the unique challenges posed by urbanisation and climate change to the cities of Leh and Thimphu.
2. To identify livelihood-based issues and impact of climate change related disasters on women specifically engaged in "home based work" and "urban street vending".
3. To uncover the linkage between gender, livelihoods and land-use in the context of Leh and Thimphu.

**SECTION 1: Partnership Principle**

In order that the Parties have the best possible chance of success, ICIMOD promotes the partnership principles of **synergy, equity, transparency and mutual benefit**.

- 1.1 **Synergy** means the Parties have a shared vision, bringing together diverse partners and is designed on the assumption that the sum is more than its parts.
- 1.2 **Equity** means the Parties commitment to justice, fairness and even-handedness irrespective of the commitment of transaction volume where each Partner has equal right to be heard and contributes to the partnership from their areas of competence and strength.
- 1.3 **Transparency** means the Parties are open and honest in its dealings with one another; will not intentionally withhold information, and will make decisions based on discussion and openness in its dealings with each other.
- 1.4 **Mutual benefit** recognizes that it is important for Parties to be able to discuss and recognize each other's individual reasons for being involved in the partnership, and ensure that these are met. When mutual benefit exists, it is much more likely that, even in difficult situations, the Parties will continue to engage and work out solutions.

**SECTION 2: Scope of Work and Duration**

**2.1 Scope of Work**

The present Agreement sets forth the general terms and conditions of the partnership between the Parties in all aspects of achieving the project objectives, as set out in the Terms of Reference (ToR) (Annex I). The Parties agree to join efforts and to maintain close working relationships, in order to achieve the objectives.

**2.2 Duration**

**2.2.1** This LoA shall take effect, upon the signature of both Parties as of the effective date indicated in section 9.

**2.2.2** Should it become evident to both Parties during the implementation of the activities that an extension beyond the expiration date set out on the agreement is required, then the partner shall, without delay, inform ICIMOD in writing and shall stipulate the reasons for the delay, with a view to entering into consultations

to agree on a new termination date, to which the ICIMOD shall accordingly decide.

## **SECTION 3: Implementation**

### **3.1 Coordination**

ICIMOD and TERI SAS designates the following as respective focal persons who will be responsible for the coordination of activities under this agreement. The ICIMOD focal person will also be responsible for receiving and approving outputs/deliverables and reports.

#### **ICIMOD**

Name: Dr Chi Huyen Truong  
Designation: Program Coordinator  
Tel: 977 1 5275222  
Email: Chi.Truong@icimod.org

#### **Lead Institution's name**

Name: Dr Abhijit Datey  
Designation : Principal Investigator  
Tel: +91 11 71800222  
Email: abhijit.datey@terisas.ac.in

### **3.2 Activities, Roles and Responsibilities**

The activities shall be carried out according to the attached ToR (Annex I) and Programme Implementation Schedule (Annex II) which outlines the scope of work, deliverables, roles, and responsibilities.

## **SECTION 4: Financial Provisions**

### **4.1 Budget and Disbursements**

- 4.1.1** The total amount payable to TERI SAS under this Agreement is USD 30,000 (In words, US Dollars Thirty Thousand only). The details of the budget are provided in the Annex II.
- 4.1.2** TERI SAS shall ensure that ICIMOD contribution shall be kept separate from funds of other sponsors within TERI SAS's financial system. The bank account where funds will be transferred by ICIMOD, must be under the name of the organization as registered under the Tax Identification Number. Bank account cannot be owned or registered under an individual's name.
- 4.1.3** ICIMOD will disburse agreed funds [Agreement Obligated Ceiling] to TERI SAS on the basis of the deliverables received upon approval from the Project Leader on satisfactory completion of Project Deliverables. Generally, deliverables (programmatic and financial reports) will be issued on annual basis, unless specifically agreed by ICIMOD and TERI SAS for reporting frequency other than annual basis. The total amount payable to the Partner under this Agreement is USD 30,000. The fund disbursement shall be made as follows:



| SN | Deliverables   | Due Date        | Payment                            |
|----|--|-----------------|------------------------------------|
| 1  | Upon signing of LoA  | August 15, 2018 | US\$ 22,500 [75 % of total budget] |
| 2  | Progress Report and financial report<br>(Reporting period <b>August to November 2018</b> )   | Dec 31, 2018    | US\$ 4,500[15 % of total budget]   |
| 3  | Audited financial report<br>( <b>Audit coverage period August 2018 to May 2019</b> )   | June 30 2019    |                                    |
| 4  | Final Narrative Report<br>(Final Narrative reporting period <b>August 2018 to October 2019</b> )<br>Audited Financial report<br>(Audited Financial reporting period <b>June 2019 to October 2019</b> ) | Nov 15, 2019    | US\$ 3,000 [10 % of total budget]  |

**4.1.4** To request a disbursement, the Partner shall submit:

- a. For the first disbursement, the amount will be released on the basis of this LoA, However, the Partner needs to submit advance request for the installment with bank details.
- b. For each subsequent disbursement, agreed deliverables and financial report certified by the authorized signatory of the partner together with the advance request letter.
- c. Certified copy of all the actual supporting documents for the expenditure claimed by the partner for that particular period. The actual supporting documents should be retained by the partners till the end of the required period (refer. Clause 4.2) for necessary audit by ICIMOD or the donor. Photocopies of the actual supporting documents have to be certified by the Head of finance of the partner organization for submission to ICIMOD. Without the certified financial statement in the agreed format and the certified copies of all the supporting documents for the expenditure claimed, there will no financial disbursements. The liquidation of final disbursement should be made by submission of the required financial report and the supporting documents or an audit report within 1 month after the completion of the contract.

**4.1.5** Payment shall be made within 30 days after receipt of verified and approved deliverables/milestone by ICIMOD for which payment is requested. ICIMOD reserves the right to withhold payment subject to deliverables/milestone completion verification.

- 4.1.6** Any deviation from the approved budget requires ICIMOD's prior written approval. However, if total variance on budget line item and/or component activity is within 10%, it would be accepted with proper justification without prior written approval. Variances above 10% that are not supported by a prior written approval from ICIMOD would be disallowed and would be recovered from the partner.
- 4.1.7** Upon closure or termination of the agreement for whatsoever reason, any unspent balance or any savings shall be returned to the ICIMOD together with any interest accrued from the deposit within 7 days of demand by ICIMOD.
- 4.1.8** Unless otherwise agreed upon by the Parties in writing, ICIMOD shall not be liable for any additional costs other than agreed in this LoA incurred by the Partner. ICIMOD shall not be responsible for any losses incurred by the Partner due to delays, standard and additional bank charges arising from incomplete or inaccurate banking details submitted. The sole responsibility in this instance shall be that of the Partner.
- 4.1.9** The Partner shall be responsible for compliance with local tax laws including withholding tax, income and other indirect taxes for the project activities funded through this LoA. Any taxes or other government liabilities arising out of any payments made from this LoA will be the responsibility of the Partner. ICIMOD is in no case liable for any such taxes or liabilities.

## **4.2 Maintenance of Records**

The Partner shall maintain accounting books, records, documents and other evidence relating to the Agreement, adequate to show, without limitation, all costs incurred and revenues earned by the Partner for the project and the overall progress toward completion of the project. It shall maintain project books and records in accordance with the generally accepted accounting standards. Project books and records must be kept in the possession of the Partner at least up to 14 December 2029.

## **4.3 Audits Requirements**

- 4.3.1** The accounts of these activities under the LoA may be subject to financial audit by ICIMOD, after due agreement of Partner, anytime during the period of the agreement or within such period up to which the financial records of the project are required to be maintained by the partner. If deemed necessary, ICIMOD in consultation with Partner might also assign an external auditor to do the final audit. Similarly, there may also be requests from the project sponsors/ donors for a specific audit. In such cases, the audit schedule will be provided to the Partner in advance and Partner shall comply with this provision.
- 4.3.2** The Partner needs to keep all records for the entire agreement period and conduct its own regular audit as part of its annual statutory audit. Where annual accounts for the entire organization of partners are statutorily audited and an opinion is

given for the Partner as a whole, a schedule depicting total fund accountability pertaining to funding made by ICIMOD must also be attached separately as part of the consolidated financial statement. Such audit report needs to be submitted to ICIMOD.

**4.3.3** ICIMOD may carry out a due-diligence of the financial and other administrative management systems of the partner during the project period if deemed necessary. For this a schedule would be mutually agreed upon. Based on such due-diligence process inputs on additional measures as required in the overall programme management, financial management and other internal control systems for the organization will be identified and communicated for implementation and capacity building needs, if any, and it will be addressed through mutual agreement.

#### **4.4 Compliance with Funding Partner**

The Agreement incorporates all [Donor or funding partner] Standard Terms and Condition and Guidelines made applicable to ICIMOD as per the funding Agreement in effect on the Effective Date; provided, however, that this Letter of Agreement shall be deemed to have been amended, and the collaborator shall be automatically bound, by any changes to such Standard Terms and Conditions and Guidelines issued after the Effective Date, if and to the extent that such changes are binding on ICIMOD pursuant to the Program Funding/Agreement or otherwise. Donor's standard provisions and guidelines are available upon request from ICIMOD.

In the event of an apparent conflict or inconsistency between LoA and Guidelines of donors made applicable to ICIMOD and any specific agreement term or condition, the latter shall govern. However, in every such case, the partner shall notify ICIMOD and obtain its advice before resolving the conflict or inconsistency in question, failing which the partner shall be bound by the interpretation most favorable to ICIMOD.

### **SECTION 5: Reporting Requirements**

- 5.1** The Grantee shall submit progress report along with the financial report to receive each installment as specified in Section 4.1.3.
- 5.2** The Partner shall submit an activity completion report at the end before claiming the final installment of fund.

### **SECTION 6: Monitoring and Evaluation (M&E)**

- 6.1** Keeping in view the nature of the grant ICIMOD will monitor the progress of the research through the major activities and deliverables agreed upon against the given time period. The activities and deliverables along with the time line have been mentioned in the attached document. ICIMOD may also conduct monitoring visit to the study area to assess the quality of the research

- 6.2** ICIMOD, in its sole discretion, conduct or commission evaluations of the programme, or of specified programme activities, implementing structures or other Programme issues. ICIMOD shall specify the ToR for any evaluation and an appropriate schedule for conducting it. Exercise by ICIMOD of this right does not mitigate the obligation of the Partner to monitor and evaluate the programme.

## **SECTION 7: Copyright, Intellectual Property Right and Use of Logo**

- 7.1** ICIMOD is fully committed to open access publishing and open source deliverables and to making these deliverables fully accessible as an international public goods at no cost.
- 7.2** Copyright may be held jointly with the Partner, in which case both parties retain full rights over the material and may use it in any form without reference to the other, but the Partner must adhere to open access and open source principles and may not sell or donate the copyright to a third party. ICIMOD and the Partner will follow the Creative Commons BY-NC (Non-Commercial) license and will clearly indicate this in all its publications. This license entails that the user is free to copy, distribute and transmit the work for non-commercial purposes and requires that the user attributes the work in the manner specified by ICIMOD.
- 7.3** ICIMOD shall not be bound to publish or use deliverables delivered under this LoA. If ICIMOD decides not to publish or use these materials, the Partner may publish or use these materials in adherence with open access and open source principles.
- 7.4** The Partner shall take full responsibility to ensure that the work produced by them, or anyone whom the Partner may employ to carry out the work, respects intellectual property rights and does not use work protected by copyright law without permission prior to submitting the final report to ICIMOD.
- 7.5** The Partner and ICIMOD will have equal and free access to the data/information generated under this LoA.
- 7.6** Neither Party shall use the name, logo/emblem or trademarks of the other Party without the prior expressly written approval of the other Party in each case.

## **SECTION 8: Special Provisions**

### **8.1 Governing Law and language**

**8.1.1** The LoA will be governed by and construed in accordance with the laws of Government of Nepal.

**8.1.2** It is ICIMOD's policy that English is the official language for all agreement documents.

### **8.2 Insurance and Security**

The Partner undertakes full responsibility for all health, safety and security arrangements of its individuals, property or work (including relating to subcontractors of the partner) under this Agreement.



### **8.3 Conflict of Interest**

All partner staff involved with ICIMOD under this LoA must be free of real or apparent conflict of interest. If the Partner becomes aware of any real or potential conflict of interest, the partner shall immediately notify ICIMOD in writing.

### **8.4 Arbitration**

The Parties shall try to settle amicably through direct negotiations, any dispute, controversy or claim arising out of or relating to the present agreement, including breach and termination of the agreement. Any dispute arising out of the terms of this agreement shall be submitted to arbitration. The Parties agree that any decision rendered by the arbitrators shall be accepted as final adjudication of the dispute.

## **SECTION 9: Amendment and Termination**

- 9.1** This Agreement may only be amended in writing signed by duly authorized representatives of the Parties.
- 9.2** If the Partner has not met the applicable conditions required for disbursement in the ToR by the applicable deadline(s), or if the Partner fails to abide by all the conditions stipulated in this Agreement, or if the Partner fails to achieve the programmatic targets set forth in this Agreement within the periods set forth therein, ICIMOD may, at any time, and in its sole discretion, terminate or suspend this Agreement, in whole or in part, by written notice to the Partner.
- 9.3** Either Party may terminate this agreement upon 30 days prior written notice to the other if it considers termination justified on the grounds that no further purpose would be served by continuing with the activities. Such notice of termination will only be given by either Party after full discussion with the other Party of the reasons for the proposal to give such notice.
- 9.4** If the Partner or its staff is found to be misappropriating, or mishandling, or spending the disbursed funds against the provisions of the Agreement or ToR, ICIMOD may instantaneously terminate this Agreement and the Partner shall be liable to return such amount and remaining unspent amount within 30 days of demand by ICIMOD.

## SECTION 10: Entry into Force


This LoA between TERI SAS and ICIMOD shall enter into force upon signature by the Parties and will remain in effect from 1 August 2018 until 15 November 2019.

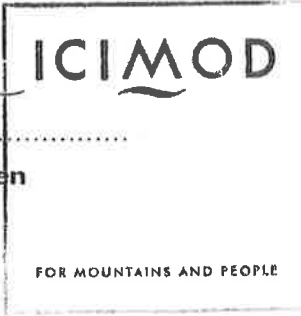
Each Party will hold a copy of the signed LoA in the English language and having equal validity.

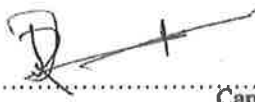
**IN WITNESS WHEREOF**, the duly authorized representatives of the Parties affix their signatures below:

For the International Centre for Integrated  
Mountain Development

For TERI School of Advanced  
Studies (TERI SAS)

  
**Dr. David Molden**  
Director General  
Date and Seal:  
13 Aug 2018



  
**Capt. Pradeep K Padhy (Retd.)**  
Registrar  
**Capt. Pradeep K Padhy**  
TERI School of Advanced Studies  
10, Institutional Area, Vasant Kunj  
New Delhi-110070  
Date and Seal:  
17 Aug 2018

## Annex I: Terms of Reference (ToR)

### 1. Grant title:

Cities by Women: Uncovering the relationship between Gender, Land-use and Livelihoods for Embedding Climate Change Resilience in Himalayan cities

### 2. Grant Period:

01 August 2018 to 15 November 2019

### 3. Partnership Composition:

| Partner Organisation             | Key contact & Email  | Key Roles              |    |
|----------------------------------|--|------------------------|----|
| TERI School of Advanced Studies  | Dr Abhijit Datey, Assistant Professor<br>abhijit.datey@terisas.ac.in | Principal Investigator | 10 |
| Royal Thimphu College            | Dr Leishipem Khamrang, Associate Professor<br>leishipem@rtc.bt       | Principal Investigator | 10 |
| 3. Asian Institute of Technology | Dr Sohee Minsun Kim, Assistant Professor<br>skim@ait.ac.th           | Expert Investigator    |    |

*Tenache budget allocation*

### 4. Resource Persons:

To ensure the quality of the deliverables, the focal person from the Lead Institution Name is expected to be in frequent contact with (a) designated Resource Person(s) of ICIMOD and (b) designated Swiss expert(s).

- a) Name: Mr Rajesh Thapa  
Designation: Capacity Building Specialist  
Organization: ICIMOD  
Email: [rajesh.thapa@icimod.org](mailto:rajesh.thapa@icimod.org)
- b) Name: Dr Sandra Eckert  
Designation: Senior Research Scientist  
Organization: Centre for Development and Environment (CDE), University of Bern  
Email: [sandra.eckert@cde.unibe.ch](mailto:sandra.eckert@cde.unibe.ch)

## 5. Project background:

The growing urbanisation in Himalayas is an inevitable reality, though it is seen more as a threat than an opportunity. Mathieu (2011) claims that by the year 2000 there were five urban settlements with more than 0.1 million population in the Himalayas compared to only 2 in the 1900s (Mathieu, 2011, p. 57). Studies have raised alarm about urbanisation in Himalayas in detail and has raised alarm about unplanned urbanisation of the hills (Datta, 2006). Very few studies have tried to look at the urban development as an opportunity to generate sustainable growth and climate change resilience in the Himalayan region. A well informed urban development policy could be beneficial for propagating sustainable tourism and enhancing the quality of livelihoods.

While urban planning deals with the issues such as finding, allocating and regulating land for various socio-economic uses the current discourse around urban planning is about issues like inclusiveness and representation of women, who at present are severely underrepresented as a part of urban policy. Moreover, neither the impacts of climate change on their life and livelihoods especially in urban informal settlements, nor their role in shaping cities or building climate resilience is well understood (Sharma, 2016).

We have selected this topic at the time when urbanisation in Himalayas is happening at a rampant speed without any masterplan to guide it. A lot of women in the Himalayan cities and towns are engaged in either street vending or home-based work which is a major type of urban livelihood for them and their concerns as a part of urban policy must be reflected for the consideration of policy makers.

TERI SAS runs an M.Tech. programme on Urban Development and Management (UDM) which has very little alignment to urbanisation in Himalayas or Gender sensitive urban planning. The findings of this research are also going to benefit the programme and would make it more comprehensive. The partnership for this research lies on specific expertise which brings urban planners, geographers and livelihood experts together to generate multi-disciplinary perspectives.

## 6. Project Objectives:

1. To understand the unique challenges posed by urbanisation and climate change to the cities of Leh and Thimphu.
2. To identify livelihood-based issues and impact of climate change related disasters on women specifically engaged in "home based work" and "urban street vending".
3. To uncover the linkage between gender, livelihoods and land-use in the context of Leh and Thimphu.

## 7. Proposed Activities:

The research would be conducted in two phases with following activities

Phase-1 would comprise of the following activities,



1. Observation Study, Networking with Existing NGOs/Institutions, Identification of Street vending sites and neighbourhoods with home-based work,
2. Collection of documents and Interviewing City Government Officials,
3. Partner meeting for finetuning methodology at Thimphu

Phase-2 would comprise of the following

Questionnaire Surveys, Group discussions/consultations, Site Visits, Mapping and Recording of Observations at Thimphu and Leh.

Data Analysis, Preparation of detailed Maps

Finalisation of Analysis, Preparation and Writing of Manuscripts

### 8. Partner Roles:

| Partner Organisation                      | Key Role   |
|---|--|
| 1. <b>TERI School of Advanced Studies</b> | TERI SAS would take the lead and would be responsible to set up the research design, methodology, compilation of data and guiding the analysis in consultation with the other partners. TERI SAS would be responsible for field work in Leh, collecting information and writing analysis. TERI SAS would be the point of contact for the funders and all the deliverables would be submitted through TERI SAS. |
| 2. <b>Royal Thimphu College</b>           | Royal Thimphu College would undertake required field work at Thimphu as per the pre-decided research methodology and design. RIT would also be responsible to undertake analysis and writing of publication with the Lead Institution.   |
| 3. <b>Asian Institute of Technology</b>   | AIT would guide the methodology part of the research and would also be sharing responsibility to co-supervise field work in one of the cities Thimphu/Leh, as per the visa feasibility.  |

**9. Proposed deliverables:**

| SN | Deliverables  | Proposed date                 |
|----|---|-------------------------------|
| 1. | Policy Brief and Recommendations  | 30th September 2019           |
| 2. | Research Publication  | 15th October 2019             |
| 3. | Course Modules on Gender and Mountain oriented Urban Development for MTech Urban Development and Management (UDM) Programme at TERI SAS | 15 <sup>th</sup> October 2019 |

**10. Expected outcomes and longer term impact:**

There would be two major outcomes of the project,

1. Enhanced knowledge of the process of urbanisation and climate change impacts in cities like Leh and Thimphu.
2. Enhanced understanding of livelihood issues of women living in urban areas of Leh and Thimphu.

The urban growth and its components specifically in the Himalayan region are not much studied in the literature. This research is based on two less studied urban areas in Himalayan region and the research would affect policy making concerned with the urban areas in the future specifically the work done by city planners and urban policy makers.

**11. Grant contribution to HUC goal:**

The challenges of urbanization in the Himalayan towns are unique. While urbanisation is irreversible and is an inevitable process, inclusive and sustainable forms of urbanisation can better the quality of life for all. Most of the urban areas in Himalayan region are growing without any masterplans and manifest a large amount of informality. Unlike cities in the plains this informality is much more difficult to be accommodated in the regions like Ladakh and Eastern Himalayas.

This project with its urban focus would be a unique addition to the large volume of research produced by HUC and ICIMOD and would contribute to the goal of generating knowledge for sustainable and inclusive mountain development

## 12. Time Line and work plan

| No.      | Output/activity description   | Period I, 2018 |        |        |        |        | Period II, 2018-19 |        |        |        |        | Period III, 2019 |        |        |        |        | Period IV, 2019 |  |  |  |  |
|----------|---|----------------|--------|--------|--------|--------|--------------------|--------|--------|--------|--------|------------------|--------|--------|--------|--------|-----------------|--|--|--|--|
|          |   | 18-Jul         | 18-Aug | 18-Sep | 18-Oct | 18-Nov | 18-Dec             | 19-Jan | 19-Feb | 19-Mar | 19-Apr | 19-May           | 19-Jun | 19-Jul | 19-Aug | 19-Sep | 19-Oct          |  |  |  |  |
| <b>1</b> | <b>Policy Brief and Recommendations</b>   |                |        |        |        |        |                    |        |        |        |        |                  |        |        |        |        |                 |  |  |  |  |
| 1.1      | Fine-tuning methodology, Literature review and Collection of Secondary Data   |                |        |        |        |        |                    |        |        |        |        |                  |        |        |        |        |                 |  |  |  |  |
| 1.2      | Liaising, Preparation and First Phase Field Work at Leh and Thimphu   |                |        |        |        |        |                    |        |        |        |        |                  |        |        |        |        |                 |  |  |  |  |
| 1.3      | Liaisoning, Preparations and Second Phase of Field Work at Leh and Thimphu  |                |        |        |        |        |                    |        |        |        |        |                  |        |        |        |        |                 |  |  |  |  |
| 1.4      | Data Analysis   |                |        |        |        |        |                    |        |        |        |        |                  |        |        |        |        |                 |  |  |  |  |
| 1.5      | Preparation of Policy Brief   |                |        |        |        |        |                    |        |        |        |        |                  |        |        |        |        |                 |  |  |  |  |
| <b>2</b> | <b>Journal Paper</b>  |                |        |        |        |        |                    |        |        |        |        |                  |        |        |        |        |                 |  |  |  |  |
| 2.2      | Writing Editing and Sending Journal Paper for Review  |                |        |        |        |        |                    |        |        |        |        |                  |        |        |        |        |                 |  |  |  |  |
| <b>3</b> | <b>Curriculum Modules for M Tech UDM, Cities and Gender, Mountain Urban Development for the existing course on City and Regional Planning and Development</b> |                |        |        |        |        |                    |        |        |        |        |                  |        |        |        |        |                 |  |  |  |  |
| 3.1      | Outlines for new modules  |                |        |        |        |        |                    |        |        |        |        |                  |        |        |        |        |                 |  |  |  |  |
| 3.2      | Preparation of Teaching Cases   |                |        |        |        |        |                    |        |        |        |        |                  |        |        |        |        |                 |  |  |  |  |

Please refer attached Annex.

ANNEX II: Budget

ANNEX III: Progress Reporting Template

ANNEX IV: Disbursement Sample

ANNEX V: Financial Reporting Template

**Template: Financial Reporting Template**

Expenditures of the committed funds from ICIMOD shall be reported in accordance with the budget details with reference to supporting details and as stated in the LoA in the prescribed in Excel format by ICIMOD both in soft and hard copy. Please note that all fund utilisation reports should be stamped and signed by the partners.





For LoA based agreement

## ICIMOD

Name of Project  
Name of Partner  
Country  
Cost Center  
Budget Period  
Contract Currency  
Partner ID

Client: UN Women, Uncovering the relationship between Gender, Land-use and Livelihoods for Embedding Climate Change Resilier

TERI SAS,  
INDIA  
15349-264137  
01 APRIL - 15 SEPTEMBER  
USD

## Cost Category wise Budget Total

| Project            | Total Budget |
|--------------------|--------------|
| Staff Cost         | 11950        |
| Consultants        | 500          |
| Travel             | 13350        |
| Equipment          | 0            |
| Workshop Materials | 3000         |
| IT/Communication   | 0            |
| Supplies           | 1200         |
| Partners Overhead  | 0            |
| Total Budget       | 30000        |
| Check              | 30000        |

## Fund Disbursement Schedule

| Tranche             | Amount | Planned date |
|---------------------|--------|--------------|
| First               | 22500  | Aug-18       |
| Second              | 4500   | Jan-19       |
| Third               | 3000   | Dec-19       |
| Final Reimbursement |        |              |
| Total               | 30000  |              |

% allocation in Partners Overhead 0%

## Project Activity Plan

| Project Activity  | Cost Category    | Capital/ Non-capital | Unit (A) | no. of units (B) | Unit rate (C) | Amount in USD (A*B*C*D) | Notes, if any |
|---|------------------|----------------------|----------|------------------|---------------|-------------------------|---------------|
| Observation Study, Networking with Existing NGOs/institutions, Identification of Street vending sites and neighbourhoods with home based work, Collection of documents and Interviewing City Government Officials, Partner meeting for finalizing methodology | Staff Cost       | Non-Capital          |          |                  |               |                         |               |
| Provide Investigator/Research Assistant/Interns   | Staff Cost       | Non-Capital          |          |                  |               | 2988                    |               |
| Air Travel, Local Travel, Accommodation and Food  | Travel           | Non-Capital          |          |                  |               | 4540                    |               |
| Stationary, Survey Costs and Contingencies  | Supplies         | Non-Capital          |          |                  |               | 300                     |               |
| Questionnaire Surveys, Group discussions/consultations, Site Visits, Mapping and Recording of Observations  | Staff Cost       | Non-Capital          |          |                  |               | 2988                    |               |
| Provide Investigator/Research Assistant/Interns   | Staff Cost       | Non-Capital          |          |                  |               | 2988                    |               |
| Air Travel, Local Travel, Accommodation and Food  | Travel           | Non-Capital          |          |                  |               | 8540                    |               |
| Stationary, Survey Costs and Contingencies  | Supplies         | Non-Capital          |          |                  |               | 300                     |               |
| Group Discussions/Consultations   | Workshop Meeting | Non-Capital          |          |                  |               | 3000                    |               |
| Data Analysis, Preparation of detailed Maps   | Staff Cost       | Non-Capital          |          |                  |               | 2988                    |               |
| Provide Investigator/Research Assistant/Interns   | Staff Cost       | Non-Capital          |          |                  |               | 2988                    |               |
| Stationary, Printing and Contingencies  | Supplies         | Non-Capital          |          |                  |               | 300                     |               |
| Finalization of Analysis, Preparation and Writing of Manuscripts & Final Submission   | Staff Cost       | Non-Capital          |          |                  |               | 2988                    |               |
| Provide Investigator/Research Assistant/Interns   | Staff Cost       | Non-Capital          |          |                  |               | 2988                    |               |
| Stationary, Printing and Contingencies  | Supplies         | Non-Capital          |          |                  |               | 300                     |               |
| Project total   | Consultants      | Non-Capital          |          |                  |               | 500                     |               |
| Grant Total (A+B)   |                  |                      |          |                  |               | 30000                   |               |

For ICIMOD

Signature

Name: *Dr. Pradyumn Kumar*  
Title: *Programme Finance*

From Programme Finance

Signature

Name: *Sr. Poo. Finance*  
Title: *Sr. Poo. Finance*

For Partner

Signature

Name: *ABHINAV DUTTA*  
Title: *ABHINAV DUTTA*

Partner Finance

Signature

Name: *Deputy Finance and Project Management Officer*  
Title: *Deputy Finance and Project Management Officer*

Deputy Finance and Project Management Officer  
TERI School of Advanced Studies  
10, Institutional Area, Vasant Kunj  
New Delhi-110070



**TRIBHUVAN UNIVERSITY**  
**CENTRAL DEPARTMENT OF ENVIRONMENTAL SCIENCE**

Telephone : 4-332147  
4-332711

Ref: 578/2075/076



Kirtipur  
Kathmandu, Nepal

11 February 2019  
Date: .....

**Project Title:** Transboundary water governance and role of institution to enhance the capacities of marginalized community in Mahakali River Basin

**Collaboration between:**

Central department of Environmental Science, Tribhuvan University (CDES-TU), Nepal and  
TERI School of Advanced Studies, New Delhi (TERI-SAS), India

**ICIMOD Programme:** Himalayan University Consortium

**Budget:** USD 20,000

**TERI SAS budget share:** USD 7000

**Payment schedule:**

1. 50% (USD 3500) initial during initiation.
2. 40% (USD 2800) on completion of field work and submission of progress report and financial report and supporting documents to CDES-TU
3. 10% (USD 700) on submission of final and complete narrative report and financial report with supporting documents to CDES-TU

.....  
Rejina Maskey Byanju  
Head of Department  
Central Department of Environmental Science  
Tribhuvan University

CC: Himalayan University Consortium, ICIMOD, Nepal

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## CONSORTIUM AGREEMENT

The undersigned:

- (1) Technische Universiteit Eindhoven, Den Dolech 2, 5612 AZ Eindhoven, the Netherlands ("TU/e");
- (2) TERI University, Plot No. 10, Institutional Area, Vasant Kunj, New Delhi - 110 070, India ("TERI University");
- (3) Power Research Electronics B.V., Minervum 7073, 4817 ZK Breda, the Netherlands ("PRE");
- (4) Rural Spark Energy India Pvt Ltd, Registered Office: 90/31B, First Floor, Malviya Nagar, New Delhi-110017 ("RSE");

Whereas:

- (a) The Subsidy Donor has approved a proposal submitted by the Parties to the Subsidy Donor within the framework of the Programme for the execution of the Project, which proposal has been approved by the Subsidy Donor;
- (b) The Parties will collaborate in the execution of the Project;

Agree as follows:

## Article 1 - Definitions

1.1 In the Agreement the following are defined as:

**Project:** Developing and Implementing Smart Grids in India  
**Programme:** Maatschappelijk verantwoord innoveren (MVI)  
**Subsidy Donor:** NWO  
**Coordinator:** TU/e

1.2 Furthermore, the following terms in this Agreement are defined as:

'Access Rights' non-exclusive licences and user rights to Foreground or Background

'Affiliate' any one or more business entities, which is (are) directly or indirectly: (i) owned or controlled by a Party, (ii) owning or controlling a Party, or (iii) owned or controlled by the business entity owning or controlling a Party, at the relevant time. For the purposes of this definition, a business entity shall be deemed to own and/or to control another entity if more than 50% (fifty per cent) of the voting stock of the latter business entity, ordinarily entitled to vote in the election of directors (or, if there is no such stock, more than 50% (fifty per cent) of the ownership of or control in the latter business entity) is held by and consolidated in the annual accounts of the owning and/or controlling business entity.

'Background': Information (other than Foreground) which is held by the Parties prior to their accession to this Agreement as well as copyrights or other intellectual property rights pertaining to such Information, the application for which has been filed before their accession to this Agreement and which is needed for carrying out the Project or for using Foreground.

'Confidential Information' all information of whatever nature or form disclosed by a Party (the 'Disclosing Party') to any other Party (the 'Receiving Party') in connection with the Project after the Commencement Date, and which (a) if disclosed in tangible form, was marked as "Confidential" at the time of such disclosure, or (b) if disclosed orally, was identified as confidential at the time of such disclosure and confirmed in writing within 30 days after disclosure.

'End date': the end date of the Project according to the Subsidy Decision.

'Commencement Date': the date on which the Project may start as approved by the Subsidy Donor in the Subsidy Decision.

'Foreground': results, including information, whether or not they can be protected, which are generated in the Project.

'Intellectual Property Rights' or 'IPR': patent, patent applications and other statutory rights in inventions; copyrights (including without limitation copyrights in Software); registered design



rights, applications for registered design rights, unregistered design rights and other statutory rights in designs; and other similar or equivalent forms of statutory protection, wherever in the world arising or available; but excluding rights in Confidential Information or trade secrets.

'Parties': the parties to this agreement.

'Party' a party to this Agreement

'Agreement': this Agreement and its appendices.

'PCC': the Project Coordination Committee as stipulated in Article 4.

'Project': the project stated in Article 1.1 as defined in the Project Proposal and Subsidy Decision respectively and further specified in the Project Plan.

'Project plan': the plan established by the Parties in which the Project, the budgeting of the Project of each party are described.

'Project Proposal': the proposal for the Project as submitted by or on behalf of the Parties to the Subsidy Donor.

'Project Share' for each Party, that Party's share of the total cost of the Project as initially set out in the Project Proposal and in the Subsidy Decision, unless otherwise agreed by all Parties.

'Programme': the research, development and/or demonstration programme, including later changes and supplements as stated in Article 1.1.

'Subsidy Decision': the decision by the Subsidy Donor in which a financial contribution by the Subsidy Donor with regard to the execution of the Project to the Parties is extended, as well as every agreement with and every decision of the Subsidy Donor that supplements or executes this, including later changes and supplements.

## Article 2 – Aim and duration

- 2.1 The Parties work together for the purpose of executing the Project Proposal.
- 2.2 This Agreement takes effect on the Commencement Date and legally ends after the Parties have fully completed all their obligations to the Subsidy Decision and this Agreement.
- 2.3 If the Subsidy Donor extends the subsidy only as a supplement to the Programme to which one or more conditions or requirements are bound, each Party that as a consequence thereof cannot in all reasonableness be required to execute the Project has the right to dissolve this Agreement in writing with immediate effect with respect to the other Parties, without prejudice to that stipulated in Article 7.1.

## Article 3 - Coordinator

The Coordinator is empowered and charged to be responsible for:

- (a) contacts and correspondence with the Subsidy Donor;
- (b) administration, reporting and chairmanship of the meetings of the PCC and executing the decisions of the PCC;
- (c) supervising the progress of the Project;
- (d) collecting the documents to be delivered by the Parties, such as reports, invoices and cost statements, and submitting these to the Subsidy Donor;
- (e) the timely payments as stated in article 6.2.

## Article 4 - Project Coordination Committee & Valorisation Panel

- 4.1 As quickly as possible after the Commencement Date, the Parties will draw up the composition of a Project Coordination Committee (PCC) comprised of one or two representative of each Party. Once the other Parties have been informed of this, each Party may replace its representative and/or designate a coordinatorised representative. Each representative has a fixed deputy.
- 4.2 Each Party has one vote. Decisions will be made, within or outside a meeting, on the basis of a majority of the votes of all Parties, with the understanding that decisions are approved by the Party whose rights and/or obligations are changed by the decision, all with the exception of a Party that is in default.

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- 4.3 The PCC will be chaired by the representative of the Coordinator. The PCC will decide on the frequency and location of its meetings. In calling a PCC meeting the chairman will send an agenda at least seven (7) calendar days in advance. Minutes will be sent immediately to the representatives of the Parties and will be deemed approved if none of the Parties make a written objection to the Coordinator within fifteen (15) calendar days after receipt.
- 4.4 The PCC is charged with:
- (a) supervision of the Project;
  - (b) making proposals to the Parties concerning:
    - (i) change to the Project plan and the End Date;
    - (ii) notice of default of a Party.
    - (iii) entry of a new Party to the Project and approval of the settlement of the modalities and conditions of the accession of such new Party
- 4.5 Any decision by the PCC may also be taken without a meeting by circulating to all members of the PCC a written document, which is then unanimously confirmed by all members of the PCC. The written document may be sent by the Coordinator by e-mail.
- 4.6 A new Party enters the Project upon signature of the Accession Document by the new Party and the Coordinator. Such accession shall have effect from the date identified in the Accession Document ('Accession Date'). The Accession Document is attached to this Agreement as Attachment 1.
- 4.7 In accordance with the Project Proposal a Valorisation Panel will be set up. If needed or upon request of a Party, any member of the Valorisation Panel will have to sign a confidentiality statement with terms at least as stringent as the confidentiality terms under this Agreement.

#### Article 5 – Responsibilities of the Parties

- 5.1 Each Party shall promptly provide all information reasonably required by a Party or the PCC to carry out its tasks. Furthermore each Party undertakes to notify the other Parties about any significant information, fact, problem or delay likely to affect the Project.
- 5.2 Each Party will to the best of its ability:
- (a) execute in good time the tasks ascribed to it, whether or not together with others, in accordance with the Project Plan, and make available in good time information to the other Parties in accordance with the Subsidy Decision and this Agreement;
  - (b) immediately inform the Coordinator and each of the other Parties about any delay in the execution of its tasks;
  - (c) draw up the reports that have to be submitted to the Subsidy Donor according to the Subsidy Decision with the requirements as contained in the Subsidy Decision such that this can be submitted in good time by the Coordinator to the Subsidy Donor.
- 5.3 Notwithstanding that stipulated in Article 8, each Party will (a) to the best of its ability advance the correctness and suitability of the information and materials (including Background and Foreground) to be furnished to the other Parties and immediately rectify any error therein of which they have knowledge; and (b) not consciously use the rights of third parties as part of the Foreground without being empowered to do so, but a Party is not deemed to have given any guarantee concerning the sufficiency, correctness or suitability of such information or materials nor the absence of any violation of the rights of third parties that may result from the use of such information or materials.

#### Article 6 – Costs and Payments

- 6.1 Notwithstanding everyone's Project Share, each Party contributes its own costs that derive from drawing up the Project Proposal, consultation with the Subsidy Donor and execution of the Project.

- 6.2 All payments shall be made without undue delay by the Coordinator after receipt of funds from the Subsidy Donor in accordance with the accepted budget by the Subsidy Donor and the following payment schedule:

After the start of the project € 8.000,-- will be paid to TERI University. Subsequently, with commencement of the second and with commencement of the third year another € 8.000,-- will be paid to TERI. After approval by the Coordinator of the final report to be provided by TERI University, another € 3.000,-- will be paid. The remainder of € 3.000,-- will be paid after final and full approval of the Project by the Subsidy Donor.

- 6.3 PRE will contribute € 47.000,-- (forty seven thousand EURO) in cash to the Project. This contribution will be spent by PRE on materials to be used for the Project. PRE will provide the Coordinator with copies of the invoices. If PRE spends less than € 47.000,--, the remainder will be paid to the Coordinator without undue delay.
- 6.4 The Coordinator is entitled to withhold any payments due to a Party identified by the PCC to be in breach of its obligations under this Agreement or the Subsidy Decision or to a party, which has not yet signed this Consortium Agreement.

#### Article 7 – Confidentiality and Publications

- 7.1 Each Receiving Party will:
- (a) not use the Confidential Information for any other purpose than in accordance with the Subsidy Decision and this Agreement; and
  - (b) keep the Confidential Information secret and not make it known to a third party without prior written permission from the Disclosing Party;

provided that the aforementioned obligations do not apply to information whereby a Party is able to show that this:

- (i) was published or otherwise made publicly available at the moment of receipt;
- (ii) was published or otherwise made publicly available after receipt through no fault of the Receiving Party;
- (iii) was already without any restriction in possession of the Receiving Party;
- (iv) was legally obtained from a third party;
- (v) was developed by the Receiving Party without any use whatsoever having been made of the information of the other Party;
- (vi) must be extended in accordance with the Subsidy Decision to the Subsidy Donor.

If any Party becomes aware that it will be required, or is likely to be required, to disclose Confidential Information in order to comply with applicable laws or regulations or with a court or administrative order, it shall, to the extent it is lawfully able to do so, prior to any such disclosure: (i) notify the Disclosing Party; and (ii) comply with the Disclosing Party's reasonable instructions to protect the confidentiality of the information.

- 7.2 A copy of the proposed publication in connection with or relating to the Project shall be sent to the Parties at the earliest time possible. Any of the Parties may object to the publication within 14 days after receipt of a copy of the proposed publication on any of the following grounds: (i) that they consider that the protection of the objecting Party's Foreground and/or Background would be adversely affected by the proposed publication or (ii) that the proposed publication includes Confidential Information of the objecting Party.

The proposed publication shall not take place until the expiry of the above period of 14 days. In the absence of any written objection within the above mentioned period, it is deemed that the Parties agree to the proposed publication. In the event that an objection is raised on any of the above defined grounds within the above period of 14 days, the Party proposing the publication and the Party objecting shall seek in good faith to agree a solution on a timely basis whereby such objection is resolved and the scientific quality is

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maintained. The Parties undertake to cooperate to allow the timely submission, examination, publication, defence of any dissertation or thesis for a degree.

The publication may be postponed for a maximum period of six (6) months, as from the date the request for publication was made, in order for the protection of Intellectual Property Rights.

- 7.3 Submissions of papers to conferences with peer review, submissions of papers to journals with peer review, submissions of theses for review, etc. are not considered to be dissemination, and do not require advance notice, if both of the following conditions apply:
- a) The submitting Party has obtained reasonable assurance that the review procedure respects the confidentiality requirements applied in typical scientific review processes.
  - b) At the same time as submission for review, or earlier, the submitting Party makes a copy of the submission available to the other Parties and notifies the other Parties of this availability and, if applicable the date of the conference with peer review to the paper is submitted or the expected publication date of the journal. Any other party may object after this notification, as per the procedures of Article 7.2.
- 7.4 The secrecy obligations in this article shall be valid for the duration of this Agreement and for a period of 5 (five) years after termination of this Agreement.

#### Article 8 – Liability and Indemnity

- 8.1 Liability by each Party towards the other Parties is limited to once that Party's Project Share, except in case of wilful act or gross negligence. In no event shall any Party be liable in connection with this Agreement for any of the following, however caused or arising, on any theory of liability and even if such Party was informed or aware of the possibilities thereof:
- (a) Loss of profits, revenue, income, interest, savings, shelf-space, production and business opportunities;
  - (b) Lost contracts, goodwill and anticipated savings;
  - (c) Loss of or damage to reputation or to data;
  - (d) Costs or recall of products;
  - (e) Any type of indirect, incidental, punitive, special or consequential loss or damage.
- 8.2 Insofar as the Subsidy Donor in accordance with the Subsidy Decision makes claim to a repayment of the Subsidy, indemnity or damages on behalf of one or more Parties, each Party against whom a claim can be attributed for a shortcoming or that Project Share to which that claim relates indemnifies each of the other Parties against that, on the understanding that the liability of that Party is at all times restricted to its Project Share. The excess will be borne by the other Parties in proportion to their Project Share. Insofar as it cannot be established that the claim can be attributed to the shortcoming of one or more Parties, the amount to which the Subsidy Donor in accordance with the Subsidy Decision makes a claim will be borne by all Parties in proportion to their Project Share.
- 8.3 Should a Party make use of any Foreground or apply such or give third parties the opportunity to use such or have it used or apply it, that Party shall indemnify the other Parties for claims made on its behalf or any claims of third parties with regard to any such damage.

#### Article 9 - Background and Foreground

- 9.1 Background remains exclusive to the Party to whom this belongs.
- 9.2 The Party who carried out the work generating the Foreground, or on whose behalf such work was carried out, has a right of first refusal to obtain ownership on such Foreground. That Party is entitled to obtain a patent or any other IPR available to protect its Foreground.

If the work generating particular Foreground is carried out by or on behalf of more than one Party (each such Party being a "Contributor" and such Parties together being the "Contributors"), and if the contributions to or features of such Foreground form an indivisible part thereof, such that



under applicable law it is not possible to separate them for the purpose of applying for, obtaining and/or maintaining and/or owning a patent or any other IPR protecting or available to protect such Foreground, the Contributors agree that, subject as expressly provided to the contrary in this Section 9.2, all patents and other registered IPRs issued thereon, and any other IPRs protecting such Foreground, shall be jointly owned by the Contributors.

Unless otherwise agreed between the Contributors:

1. Each Contributor shall be entitled to use the joint Foreground for research and educational purposes on a royalty free basis.
  2. Each Contributor shall be entitled to use the joint Foreground for commercial purposes with prior written consent and paying a fair and reasonable compensation to the other Contributors.
- 9.3 If the Party/ies generating the Foreground is/are not interested to obtain protection or any other IPR available, the other Parties have the right to obtain a patent or any other IPR available to protect such Foreground against fair and reasonable compensation to be agreed upon between the Party/ies generating the Foreground and the Party protecting the Foreground.
  - 9.4 Each Party is entitled to use the Background and Foreground of each of the other Parties to execute the Project. This right is without charge, non-exclusive, non-transferable and does not contain the right to extend sub-licences to third parties.
  - 9.5 Insofar as necessary for the Use of its own Foreground and subject to the rights of third parties, each Party is entitled on the basis of fair and reasonable conditions to be agreed upon to obtain Access Rights from each of the other Parties for the use of their Foreground.
  - 9.6 Each Party may use the Foreground on royalty free conditions for research and educational purposes.
  - 9.7 A request for Access Rights can be made up to 6 months after termination of the Project.
  - 9.8 The following shall apply in respect of new Parties joining the Project:
    - (a) Each Party joining the Project in accordance with the provisions of this Collaboration Agreement after the Commencement Date will be granted access rights, except as set out in paragraph (b) below, as provided for in articles 9.1 to 9.4 above, effective as from the Accession Date.
    - (b) In respect of Foreground arising from work carried out under the Project before the Accession Date, each such Party shall enjoy access rights for execution of the Project and for use outside the Project as the access rights to Background provided for in articles 9.1 to 9.4 above.

#### **Article 10 – No transfer and outsourcing; Liability for Group Companies**

- 10.1 Without prior written permission from the other Parties, a Party is not empowered, with the exception of an Affiliate, to:
  - (a) transfer in full or in part the rights and/or obligations that it derives from this Agreement;
  - (b) to outsource in full or in part the performance of any of the work based on this Agreement.
- 10.2 Each Party remains liable for fulfilling the obligations for its Affiliates that derive from the Subsidy Decision and this Agreement.
- 10.3 If and as soon as a Affiliate no is longer an Affiliate of a Party, the rights of the Affiliate become null and void as stipulated Article 9.2- 9.6 , but the rights of the Parties as stated in the stipulations remain.

#### **Article 11 – No exclusiveness**

Notwithstanding the obligations that derive for the Parties from the Subsidy Decision and this Agreement, each Party is free at all times whether by assignment, with subsidy or in cooperation with a

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third party to operate in the same area with a third party as the same area to which the Project relates and in any other area.

#### Article 12 – Termination

12.1 Notwithstanding that stipulated in this Agreement, none of the Parties is empowered to terminate this Agreement or its participation in the Project unless the Party has obtained the prior written approval of the other Parties and the Subsidy Donor.

12.2 If and when:

- (a) a Party is culpable of failing to fulfil its obligations under this Agreement or the Subsidy Decision and is unable to rectify this shortcoming within sixty (60) days after being considered, in writing, to be in default by the other Parties; or
- (b) a Party is declared bankrupt or has been given a suspension of payment or application for such has been submitted to the court,
- (c) has transferred control of the Party or its business directly or indirectly to a third party;
- (d) the business of a Party has been shut down or liquidated; or
- (e) the Subsidy Decision has been withdrawn by the Subsidy Donor on behalf of a Party;

the other Parties have the joint right to dissolve this Agreement in writing and with immediate effect in full or in part on behalf of that Party.

12.3 If and insofar as this Agreement is dissolved on behalf of a Party on the grounds of Article 12.2:

- (a) the other Parties are entitled, subject to approval by the Subsidy Donor, to take over the rights and obligations of that Party from the Subsidy Decision and this Agreement, to redistribute and/or transfer to a third party the Project Share and to receive the payments from the Subsidy Donor relating thereto; and
- (b) the rights of that Party and its Affiliates become null and void as stated in Article 9 but the rights of the other Parties as stated in the stipulations remain.

#### Article 13 – Whole agreement; changes

13.1 Everything that has been agreed among the Parties before or on the Commencement Date concerning the subject of this Agreement has been established exclusively in this Agreement. This Agreement may only be changed or supplemented by virtue of a written agreement legally signed by the Parties.

13.2 In the event of mutual conflict the following prevail, in this order: (1) the Programme; (2) the Subsidy Decision; (3) this Agreement; (4) the Project Plan.

13.3 If any stipulation of this Agreement is, in the opinion of the competent court or institution, null and void, not binding, invalid, prohibited or not executable, the other stipulations of this Agreement will insofar as possible remain fully effective and the Parties will attempt to reach agreement on an alternative stipulation to replace the stipulation considered null and void, not binding, invalid, prohibited or not executable.

#### Article 14 – Disputes and Applicable Law

14.1 All disputes that may arise pursuant to this Agreement, or to further agreements that may be the consequence thereof, will be arbitrated by the competent court in the Netherlands.

14.2 Dutch law applies to this Agreement.

As drawn up and signed in five copies,

(1) Technische Universiteit Eindhoven

name : drs. ing. J. Hermus

position : Managing Director Department of Industrial Engineering & Innovation Sciences


signature:

date : .....

CONFIDENTIAL

(2) TERI University

name : Rajiv Seth  
position : Registrar

signature:   
Gp Capt. Rajiv Seth (Retd.), Ph.D  
Dean (Admin) and Registrar  
TERI University  
131, Indraprastha Area  
Vasant Vihar, New Delhi-110070

date : 01 June 2015



CONFIDENTIAL

(3) Power Research Electronics B.V.

name : Menno Kardolus  
position : Chief Executive Officer

signature:

date : .....

CONFIDENTIAL

(4) Rural Spark Energy India Pvt Ltd

name : Evan Mertens

position : Director of Technical Innovation

signature:

date : .....

Name - SAGAR BAI  
Bank - ICICI Bank Limited  
Branch - Sabzi Mandi, Kota. (Fayaz Khan)  
A/c no - 688301500091  
IFSC - ICIC0006883.

**Research & Innovation Service**

RIS Legal, Level 11 Worsley Building, University of  
Leeds, Clarendon Way, LEEDS, LS2 9NL

Direct line +44 (0) 113 343 0900



**UNIVERSITY OF LEEDS**

10 November, 2018

Capt. Pradeep Kr. Padhy (Retd.)  
Registrar  
TERI School of Advanced Studies  
10 Institutional Area, Vasant Kunj  
New Dehi – 110 070, India.

Dear Capt. Padhy,

**Project title: Success stories in urban climate action: Building the economic evidence base (the "Project") World Resources Institute-funded research project**  
**Leeds PIs: Andy Gouldson and Andrew Sudmant (the "PIs")**  
**Our ref: RG.EVEA.113550**

In connection with the above research project funded by World Resources Institute (the "Funder"), I am writing to confirm that an amount of up to £4,000 (including any applicable VAT) (the "Research Funding") is available to TERI School of Advanced Studies ("TERI SAS") in connection with TERI SAS' involvement in the Project as set out below, for the period 10<sup>th</sup> November 2018 to 30<sup>th</sup> April 2019.

TERI SAS will at all times abide by the terms and conditions of the Funder as attached at Appendix 1 (the "Primary Agreement"). TERI SAS will use reasonable endeavours to comply with the warranties and indemnities contained in the Primary Agreement insofar as they relate to the duties assigned to TERI SAS under this subcontract.

TERI SAS will collaborate with the University of Leeds ("Leeds") to ensure the efficient management of the Project and in particular, will provide Leeds with the information necessary for the PIs to carry out their duties. TERI SAS will carry out the tasks listed below ("Subcontracted Work") through its representative Dr Abhijit Datey, Assistant Professor, Department of Energy and Environment, as more fully described in the Terms of Reference forming part of the Primary Agreement:

1. Conduct interviews of stakeholders;
2. Collect primary data;
3. Translate documents;
4. Participate in the writing of a policy brief.

Leeds reserves the right to terminate this agreement giving reasonable notice, without any further liability to TERI SAS, in the event of unreasonable delay or default of the work, and more specifically in the event that the Subcontracted Work is not completed to the University of Leeds' satisfaction, or immediately should the Funder withdraw funding for the Project.



The maximum budget available to TERI SAS under this sub-contract is £4,000 (including any applicable VAT) as set out below. Funds must only be used for the agreed activities and may not be used for any other purposes.

|   |  | Total  |
|---|--|--------|
| Dr Abhijit Datey  | 5 days at £92 per day                                | £482   |
| Research expenses related to travel and data collection | Incurred as necessary in connection with the Project | £3,518 |

An advance payment totalling £2,000 (inclusive of any applicable VAT or other local or international taxes) will be given to TERI SAS on signature of this Agreement. The remaining amount of £2,000 (inclusive of any applicable VAT or other local or international taxes) will be made upon receipt of an invoice provided that the funds previously paid have been accounted for in up to date reconciliations of actual expenditure incurred. TERI SAS will also provide receipts for travel expenditure or other evidence of expenditure as Leeds may reasonably require. Invoices should quote PO Reference: reference to be supplied in due course and marked for the attention of:

Accounts Payable, EC Stoner Building, University of Leeds, Leeds, LS2 9JT United Kingdom with a copy by email to [FOE-postaward@leeds.ac.uk](mailto:FOE-postaward@leeds.ac.uk)

Subject to receipt of funds from the Funder, Leeds will make payment of the appropriate part of the Research Funding to TERI SAS. Leeds' payment terms are 30 days from date of receipt of your invoice.

If the Funder requires the reimbursement by Leeds of any of the Research Funding, then to the extent that such requirement arises from the acts or omissions of TERI SAS, TERI SAS agrees to reimburse Leeds together with any interest charged thereon by the Funder.

At all times TERI SAS shall keep all information relating to and arising out of this work confidential and shall report all findings to Leeds' PIs. All results arising from the Project and the Subcontracted Work shall be the property of Leeds. TERI SAS' contribution will be acknowledged in all outputs arising from the work where appropriate and in accordance with normal academic practice.

The parties to this subcontract shall procure that in carrying out the Project, they will comply with all applicable laws, regulations and statutes, including those relating to modern slavery, import and export control, hazardous materials transportation laws, anti-money laundering laws, and tax laws. Any failure by a party (including any employee, sub-contractor or agent of that party) to comply with any provision of this clause is considered to be a breach of this subcontract and the other party may terminate this subcontract with immediate effect notwithstanding any other provision herein. In the event that a party has reasonable grounds, in its own discretion, to believe that the other party may have violated any provision of this clause, the violating party agrees to provide the other party with reasonable access to books, records, documents, or other files relating to any such possible violation.

This subcontract does not confer benefits on third parties for the purposes of the Contracts (Rights of Third Parties) Act 1999.

If these terms are acceptable, please countersign this subcontract to confirm that TERI SAS agree to accept the Research Funding based on these terms. To confirm your acceptance, please e-mail a pdf version to Becky Hayes at [R.Sellers@leeds.ac.uk](mailto:R.Sellers@leeds.ac.uk).

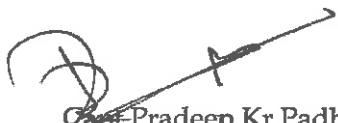
I look forward to your reply.

Yours sincerely,



Authorised signatory  
For and on behalf of the University of Leeds

For and on behalf of TERI School of Advanced Studies



Capt. Pradeep Kr. Padhy (Retd.)  
Registrar  
10 Nov 12

Capt. Pradeep K Padhy (Retd.)  
Registrar  
TERI School of Advanced Studies  
10, Institutional Area, Vasant Kunj  
New Delhi-110 070

# Auburn University Professional Services Contract

AU Department Contact : Alice Carroll, Phone : 8442793, Email : carroma@auburn.edu, PSC : PC026916

1. The Contractor, acting in support of Contract, **NSF Award #1628014 - Dept. contribution**, at Auburn University will provide the following professional services:

Will collaborate with the PI Kelly Alley on creation of survey, will hire and monitor students in field research in India, and will assist in recruitment and monitoring of graduate student for project.

2. The rendering of services will provide: (opinion, report, recommendation, etc):

Data collected from field research and production of production of reports and publications from data analysis.

3. The Contractor will provide the above services on the following dates or time period:

Start Date: 08/14/2017, End Date: 08/31/2018

4. The Contractor will provide the above services at the following location(s):

Delhi, India

5. The Contractor will be compensated by Auburn University for the above services at the rate:

\$2500 per year.

6. The Contractor will receive compensation for services provided according to the following schedule:

1st payment: 2500, August 2017 and 2nd payment: 2500, January, 2018.

7. The Contractor will **not** be reimbursed for travel expenses.

If travel expenses are to be paid to the contractor, a signed statement of expenses including an itemization of the actual transportation, lodging, meals and miscellaneous expenses with appropriate receipts is to be submitted by the Contractor.

## Statement of Disclosure of Public Relationships

In accordance with Alabama State law Act 2001-955, Section 4(a)(1)(2), and (3) Auburn University policy requires the disclosure of certain information regarding vendors and their relationships with the University.

By submitting your bid, contract, proposal, or grant, you affirm under oath that no such relationships exist. If such relationships do exist and the contract value will exceed \$5000, you will be required to submit a more detailed form in association with this Bid/Proposal/Contract/Grant available on <http://www.auburn.edu/pps>. In the case of competitive bids, this disclosure is only required from the person receiving the contract. The contract will not be awarded to any person refusing to disclose the required information if relationships do exist.

## Equal Opportunity/Non-Discrimination

Both parties of this contract will comply with all applicable federal and state regulations, rules, and laws, including Executive Order 11246, 504 ADA, and 38 USC 4212 relative to equal opportunity and non-discrimination, unless this agreement is exempted under the rules, regulations, or orders of the Secretary of Labor.

This contract has been reviewed and accepted by the undersigned contractor:



Sukanya Das

### **MEMORANDUM OF UNDERSTANDING**

This Memorandum of Understanding (together with all Annexes hereto, this "MoU") is entered into between District Administration, Gurugram (**hereafter referred as "DAG"**) and TERI School of Advanced Studies (**hereafter referred as "TERI SAS"**).

A. TERI School of Advanced Studies, with its head office in, Plot No. 10 Institutional Area, Vasant Kunj, New Delhi - 110 070, India (Tel. +91 11 71800222 (25 lines), Fax +91 11 26122874). And the coordinating people Dr. Fawzia Tarannum, Ms. Ranjana Ray Chaudhuri and Dr. Sherly M.A. from the Department of Regional Water Studies. TERI SAS is an academic and research institution, which expression shall unless repugnant to the context mean and include its permitted assigns and legal representatives of the other par.

B. District Administration, Gurugram is the overarching body encompassing all the government departments, responsible for the development and welfare of citizens in the Gurugram District of Haryana. Its responsibility is also to ensure the effective implementation of all plans, policies and programmes of all departments by coordinating the inter-department efforts of government and non-governmental organization. The Administration and its constituent's organizations work in close co-operation with the social organizations, corporate sponsors and research agencies to achieve the goals of development.

District Administration under the leadership of Deputy Commissioner is empowered to facilitate the coordination of departments, check their compliances, support them and initiate new programs, schemes, collaborations and create societies to meet the objectives as and when required. District Administration, Gurugram is also responsible for efficient water management, by mitigating floods, improving ground water levels and designing better ways of water conservation in the district among other goals.

**DAG through Guru-Jal**, an autonomous body constituted under the District Administration Gurugram, where Deputy Commissioner is the chairman, Addl. Commissioner (Municipal Corporation, Gurugram), District Revenue Officer(DRO), District Development and Panchayat Officer(DDPO), Environment Advisor (Gurugram Metropolitan Development Authority) and Chief Scientist (Haryana Space Application Centre) are the other members, aims to devise means and medium to enable better collaboration and have holistic system's thinking to address the issue of water mis-management.

This MoU is valid from June 15<sup>th</sup>, 2019 to May 30<sup>th</sup>, 2021 and is liable to be extended further with the mutual consent of both the parties.



### Background

The state of Haryana has 22 districts sub-divided into 119 developmental blocks now. As per the reports of Central Ground Water Board (CGWB), published in 2010, out of 108 development blocks the, 55 blocks were over exploited, 11 critical and 5 semi-critical, that depicts the alarming levels of ground water over-utilization. Situations have been worsening with an average fall in ground water levels by 2-5 meters below the surface levels annually despite the fact that more than 15 government departments have ongoing interventions in different capacities which affect water management directly and indirectly. More than 50 Govt. schemes/initiatives are underway with the objective of promoting water conservation & management in various departments along with, more than 10 corporate sponsored initiatives and NGO efforts. But due to different independent understanding and priorities of departments/agencies, lack of collaboration & support, ineffective citizen engagement and limited sight into the roots, as well as the urgency of issues, results have not improved, and the scenario is becoming much worse with every passing year.

Gurugram, the millennium city has been struggling with water crisis. Multiple reports have been published to support the fact, often media and press resort to government's criticism. All blocks of Gurugram district have been in the over-exploited and critical zone (as per the reports of CGWB-2016). A lot of initiatives have been taken in pockets but the unregulated urbanization and shift in farming practices and other need patterns of individuals and communities has been difficult to cope up with.

In addition to that, there is no single authority, no specific timeline and no dedicated team to address the grave challenge of water management in the district. Department of Revenue and Disaster Management is responsible for flooding, Ground Water Department under the Agriculture Department is responsible for restoration and conservation of ground water, Development and Panchayat Department(D&P) is responsible for overall rural management, while Municipal Corporation/Council/Committees(MCs), Public Works Department(PWD), Gurugram Metropolitan Development Authority(GMDA), Haryana Shahari Vikas Pradhikaran(HSVP), District Town and Country Planning(DTCP) and few others are responsible for designing construction plans and issuing permits for other construction work, which plays a major role in long-term rain water conservation and flooding. Multiple govt. corporates and non-government agencies are working with the intention but in silos, there is an immediate need of collaboration for effectiveness of efforts, larger impact and avoiding duplicity leading to wastage in energy and efforts. The activities related to this MoU will be supervised and administered by DAG through GuruJal Society.

### About Guru-Jal

Keeping the gaps and urgency of the issue in mind, collective decision was taken that there is a need of composite water management approach and hence **Guru-Jal** was envisioned with the objective of

**“addressing the problems of ground water depletion, water scarcity, flooding and hence water mis-management in Gurugram District of Haryana”.**

To avoid the duplicity in efforts, enable better collaboration and have holistic system’s thinking approach a **PMU** (Project Management Unit) was proposed as well, which would dedicatedly work to accomplish the objectives of the project. The objectives of project Guru-Jal are mentioned below.

- Research and analysis of the existing water initiatives by various government, corporate sponsors and non-government organizations, for their impact and success along with failures, to avoid duplicity of efforts, centralize efforts and incorporate learnings from past projects
- In-depth analysis to find accurate data points and precise root cause of water mis-management and hence devise effective solutions
- Including every possible aspect & every possible stakeholder that affects water and accordingly design solutions
- Holistic, collaborative and focussed approach: enabling inter and intra department support for implementation of proposed solutions to improve water management scenario in the district
- Strict and timebound monitoring of water conservation scheme compliance
- Making Gurugram “Water Conscious District”, first in India to do so

#### **Site description**

Sohna block is located at the South-east corner of Gurgaon District (Figure 1) near the foot-hills of Aravalli Hills. The region lies at 28°19' N latitude and 76°46'60" E longitude, at an altitude 800-1000 ft above mean sea level (MSL) and the area comes under the National Capital Region (NCR).

As per the National Disaster Management Authority (NDMA) report, the disaster profile of the region is:

1. Flooding spots in the low-lying floodplains
2. Earthquakes: High damage risk zone (Zone IV)
3. Wind & cyclone hazards: High damage risk zone B

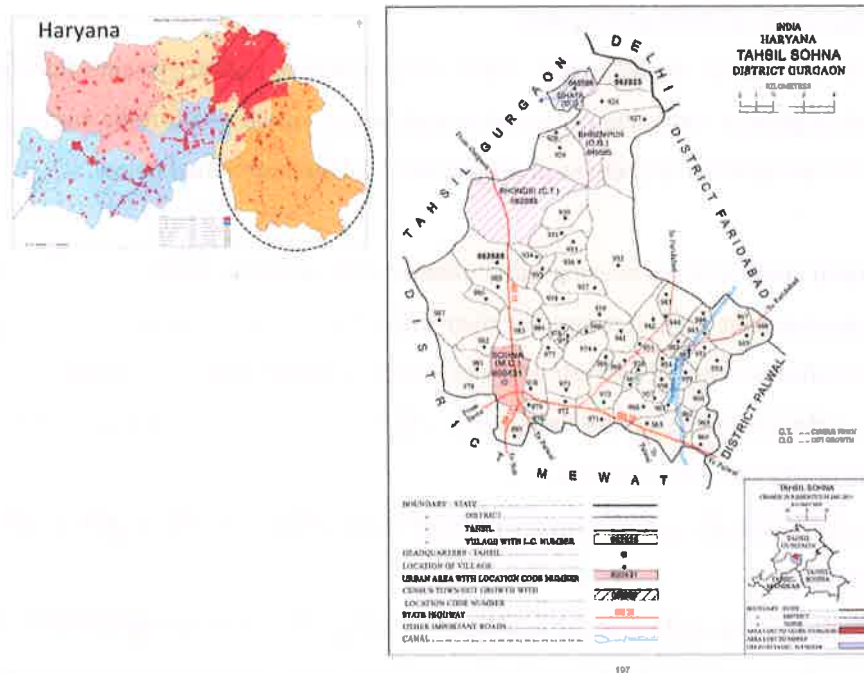


Figure 1 Block boundary map of Sohna Tehsil. Inset shows the location within Gurgaon District (Source: Census of India)

### **I. Objectives of the current MoU**

The current MoU intends to build and strengthen the partnership between the **DAG as the parent institution of Guru-Jal** and **TERI SAS** to conduct an intensive research to find the social, economic and all other possible reasons affecting the issues of water management to improve water management scenario in Sohna Block of Gurugram District of Haryana. The deductions will then be used to decide on the course of planning a line of action and implementing well researched and innovatively designed solutions and policy changes to achieve the objectives of project Guru-Jal. The MoU is being done to study the complete system of water and understand all other variable that are being affected or will be affected by it. The objectives are:

1. Collating all the government, corporate and non-government initiatives that have been taken place in the assigned geographical area since 1980
2. Compiling case studies and the reasons for success and failures of the collated initiatives
3. Getting all the relevant data points from respective govt. departments through PMU
4. Conducting intensive ground studies and researches
5. Drafting the recommended solutions in terms of policy interventions, renovation, infrastructure creation, training and community mobilisation etc.
6. Conducting induction and workshops of the implementing agency
7. Preparing complete water management report for the assigned block and hand it over to DAG for future reference
8. Conduct the mid-term monitoring of implementations and conduct intensive Impact Assessment after 2 years, the budgetary proposal for which shall be submitted by TERI SAS on completion of the work mentioned in Annexure 1 .

All parties agree that the terms of this MOU are not legally enforceable and binding, and no party shall have any legal recourse against another for failure to abide by its terms. Notwithstanding the above, the parties agree to use reasonable efforts to follow the procedure set forth above, and meet the required time frames in good faith.



## **II. SPECIFIC ROLES OF Members of Guru-Jal and TERI SAS**

### **II. A. Role of DAG through Guru-Jal PMU**

Through this MOU, **DAG through Guru-Jal (Annexure D) and its members** agrees to:

1. Drive and guide in the study, mentioned in the scope of MoU.
2. Support TERI SAS and its resource people with the required data points and references as and when required (without bearing any other external cost)
3. Manage communication and project branding:
  - a. **DAG through Guru-Jal and its members** will be responsible for managing internal communication with stakeholders from the **DAG** and the field, as well as external communication with implementation partners, donors, the media, and senior leaders from the state and central governments, including project branding and information dissemination.
  - b. **DAG through Guru-Jal and its members** will ensure all project branding collaterals will acknowledge donors, funding organizations, companies monetarily supporting the project under their corporate social responsibility (CSR). This may be done by appropriate placement/positioning of logos of supporting company/companies.
  - c. **DAG through Guru-Jal and its members** will share all project-related information (including pictures) with **TERI SAS** which might affect the outcomes of the study undertaken.
  - d. The **DAG through Guru-Jal and its members** will raise CSR funds to meet the financial cost of the study (as mentioned in Annexure 1).

## **II. B. Role of TERI SAS**

Through this MoU, **TERI SAS** intends to conduct study and to perform a comprehensive (qualitative and quantitative research along with the brief compilation of all previous water management works undertaken in the Block or in nearby areas) assessment report for integrated water resources management for Sohna block, while the specific objectives are given below:

1. To review the current status of the water projects (existing and work in progress) within two villages and Sohna MC (by means of detailed interviews) and the rest of the Sohna block by the means of focussed interviews with key stakeholders and detailed analysis and secondary research and categorise them according to their usefulness in present context.
2. To conduct a comprehensive mapping and qualitative and quantitative analysis of drinking water, surface water, groundwater and wastewater.
3. To conduct geospatial analysis of cropping pattern and soil health along with recommendations on efficient water use for improved crop production.
4. To assess the feasibility of various sustainable watershed management practices and recommendations for a conjunctive use of surface and groundwater
5. To conduct workshops and brief Engineers, local stakeholders and other officers related closely with the work from DAG to undertake suggestive course of actions in future.
6. To prepare a report with suggestive course of feasible and implementable line of actions, within agreed timeline (Annexure 1)
7. To support and advice DAG in carrying out the suggestive works as mentioned in the report

## **III. Scope of MoU**

### **Attributes to be examined**

Considering socio-economic, scientific, environmental and governance aspects, this proposal will analyse the following attributes:

#### **Community attributes**

1. General - This would be used for understanding the socio-cultural significance of the water resources in the community, the variation in perception, livelihood options, influence of urbanization, health impact due to pollution and gender roles in decision making.
2. Farming community - Shall be used for understanding the evolution of agricultural production in last two to three decades, the drivers of change, the government policy and linkage of livelihood to water.
3. Non-farming communities - Understanding livelihood avenues, relevance of water resources, and perception of change in flow and quality of water

#### **Resource attributes**

This will look into the change in the resource use pattern, pressures on the resource and impact on quality and quantity.

#### **Stakeholders and institutions**

Understanding decision making structure with respect to use and allocation of water resource, the degree of control vested with each stakeholder, the local institutions/norms/practices and resource conflicts and redressal mechanism.

#### **Scientific Attributes**

Understanding of change in land use land cover over two to three decades and its implications, soil characteristics, water quality, water availability, water balance, agricultural return flow and storage dynamics.

#### **Data collection**

For data collection of various attributes (as mentioned in Section 4), a questionnaire survey will be conducted for two selected villages, Gairatpur Bas and Ullawas along with Sohna M. C. Data collection on socio-cultural aspects will be done through semi-structured interviews with different stakeholders, key informant interviews, focused group discussions and participatory techniques. Information related to water quality and soil characteristic shall be carried out by drawing samples from the field and testing in the laboratory. The results shall be corroborated with the available secondary information. All necessary GIS/Remote Sensing data and past project reports available with the various government agencies will be received through the District Administrative Office (as agreed upon during the initial meeting). Moreover, GIS and Remote Sensing tools shall be used for all relevant geospatial analyses.

#### **Expected outcomes**

This section lists down the outcomes of this proposal in an explicit fashion as follows:

1. Report on the current status of water infrastructure and conservation measures undertaken
2. Status of surface and groundwater including stormwater drains and condition of wells (both bore wells and injection wells)
3. Potential locations of rainwater harvesting and groundwater recharge including quantitative assessment
4. Potential reuse of treated wastewater for groundwater recharge/lake rejuvenation and horticulture/agriculture

#### IV. PAYMENTS

1. Gurulal will pay you in accordance with the arrangements described in the Annexure 1.
2. In order to receive payment for work done, you must send us an invoice by the end of each month. We will pay the amount invoiced within 30 days, unless we notify you in writing that we believe that the Services have not been satisfactorily provided. In this notice, we will also specify matters requiring rectification.
3. Gurulal will reimburse expenses incurred in connection with this contract and detailed in the Schedule, provided that we have first approved your expenditure and receipts accompany the request for reimbursement. Requests for reimbursement and the accompanying receipts should be received by the end of each month.
4. The payments shall be made in 4 parts with the break-up of 20%, 30%, 30% and 20% respectively for every instalment. Where first instalment shall be paid before starting the study second instalment shall be paid after the completion of point no. 1, 2 and 3 (Annexure 1), third to be paid after the completion of points 4,5 and 6 (Annexure 1) and last or the fourth instalment on the commencement of the project and review by the key officers, which shall be done within a month of report submission.

#### Good and Services Tax

5. If you are required to pay GST for a supply made to us, we will pay you an amount equal to that GST payment ("GST Payment"), upon you giving us a tax invoice.
6. If we are required to pay GST for a supply made to us, you must pay us an amount equal to that GST Payment, upon us giving you a tax invoice.

#### V. OTHER TERMS AND CONDITIONS



7. Time schedule: **DAG with Deputy Commissioner, as the Chairman of Guru-Jal** and **TERI SAS** have agreed on a project timeline of 3.5 months for in-depth study and to impart guidance later as and when required by the PMU with a commencement date of June 25, 2019.
8. Withdrawal: Both the parties reserve the right to withdraw from the project if, for any reason by giving a month's notice but by accomplishing the task in hand.
9. Entire Understanding: This MoU, together with any attachments, constitutes the entire understanding between the Parties with respect to its subject matter and supersedes all prior understandings and representations, whether written or oral, relating to its subject matter. In the event of any inconsistency between the provisions of this MoU, and other written or oral understanding between the parties, the provisions of this MoU shall govern. No amendment to this MoU will be effective unless in writing and signed by duly authorized representatives of each party.

Signed for and on behalf of

District Administration,

Gurugram

Sign: \_\_\_\_\_

Name: **AMIT KHATRI**

Designation:

Date: **28/6/19**

**Witnesses:**

Sign: \_\_\_\_\_

Name: **NARINDER SARWAN**

Address: **Distt. Development  
& Panchayat Office  
Gurugram**

Signed for and on behalf of

TERI School of Advanced Studies,

Sign: \_\_\_\_\_

Name: **FANZIA TARANNUM**

Designation: **Assistant Professor**

Date: **28/6/2019**

**Witnesses:**

Sign: \_\_\_\_\_

Name: **RANJANA RAY CHAUDHURI**

Address: **TERI SAS, VASANT KUNJ.  
NEW DELHI - 110070**



## Annexure - 1

## Proposed Activities and Budget

| Sl. No. | Activities  | Task description  | Budget (in INR) |
|---------|---|---|-----------------|
| 1       | <b>Village level survey - questionnaire and focussed group discussion</b>       | Survey shall be conducted in 3 locations - 2 selected villages (Gairatpur Bas and Ulhawas) and Sohna M.C.<br>Data on socio-economic, scientific, environmental and governance attributes) | 300000          |
| 2       | <b>Water quantity and quality assessment and mapping</b>                        |   | 400000          |
|         | 2.1 Survey of available drinking water resources                                | Village ponds, stand points, bore wells existing in villages\town   |                 |
|         | 2.2 Wastewater disposal, sewage treatment plants (STPs)                         | Old houses and New Multistorey apartments, Regulations  |                 |
|         | 2.3 Surface water mapping   | Existing streams, drains, stormwater channels, ponds, lakes, wetlands/marshy lands  |                 |
|         | 2.4 Groundwater mapping   | Water table observations at bore wells and injection wells (including abandoned wells)  |                 |
|         | 2.5 Water Quality Analysis  | Quality analysis of drinking water and surface and ground water samples collected at various locations  |                 |
| 3       | <b>Estimation of wastewater generation</b>                                      |   | 100000          |
|         | 3.1 Level of treatment centralized/decentralized and usage (focus on recycling) | Total wastewater generation in the region and infrastructure facility to treat the raw sewage by the government, private owners, RWAs   |                 |
| 4       | <b>Agriculture productivity analysis</b>  |   | 175000          |
|         | 4.1 Crops & seasons   | Agristats (both primary and secondary data)   |                 |
|         | 4.2 Soil health -3 samples  | Chemical composition, nutrient status and soil salinity   |                 |
| 5       | <b>Watershed management</b>   |   | 4500000         |
|         | 5.1 Rooftop rainwater harvesting  | Assessment of potential through urban built-up area   |                 |
|         | 5.2 Land based rainwater harvesting   | Survey of existing urban greens/open spaces in villages   |                 |
|         | 5.3 Open channel  | Assessment of open channels to evaluate opportunities & barriers to flood flow  |                 |
|         | 5.4 Check dams  | Survey of existing check dams/traditional water harvesting systems and rejuvenation opportunities of these structures   |                 |
|         | 5.5 Water budgeting   | Proposing a water budget model for the watersheds in order to allow optimized allocation of water for competing uses  |                 |

|   |   |   |                                 |
|---|---|---|---------------------------------|
| 6   | <b>Workshop to share findings with stakeholders</b> | Two workshops one in the middle and one at the end to share the findings and get feedback | (The cost will be borne by MCG) |
| 7   | <b>Design recommendations (not to scale)</b>        |   | 100000                          |
| 8   | <b>Report Writing</b>                               |   | 300000                          |
|   | <b>Sub Total</b>                                    |   | <b>1825000</b>                  |
|   | Administrative Overhead (10%)                       |   | 182500                          |
|   | <b>Total (excluding tax)</b>                        |   | <b>2007500</b>                  |
| <b>Rupees Twenty Lakh Seven Thousand and Five Hundred only</b>        |   |   |                                 |
| Taxes/GST shall be charged extra as applicable at the time of payment |   |   |                                 |

## Timeline

| Timeline for the Proposed Study |  |         |    |         |    |    |    |    |        |    |    |    |         |    |  |
|---------------------------------|--|---------|----|---------|----|----|----|----|--------|----|----|----|---------|----|--|
| Sl. No.                         | Activity   | June'19 |    | July'19 |    |    |    |    | Aug'19 |    |    |    | Sep' 19 |    |  |
|                                 |  | W3      | W4 | W1      | W2 | W3 | W4 | W5 | W1     | W2 | W3 | W4 | W1      | W2 |  |
| 1                               | Questionnaire - village level                            |         |    |         |    |    |    |    |        |    |    |    |         |    |  |
| 2                               | Water quality assessment & mapping                       |         |    |         |    |    |    |    |        |    |    |    |         |    |  |
| 3                               | Estimation of waste water generation                     |         |    |         |    |    |    |    |        |    |    |    |         |    |  |
| 4                               | Agriculture productivity analysis                        |         |    |         |    |    |    |    |        |    |    |    |         |    |  |
| 5                               | Watershed management                                     |         |    |         |    |    |    |    |        |    |    |    |         |    |  |
| 6                               | Workshop to share findings with stakeholders             |         |    |         |    |    |    |    |        |    |    |    |         |    |  |
| 7                               | Design recommendations (not to scale)                    |         |    |         |    |    |    |    |        |    |    |    |         |    |  |
| 8                               | Report Writing and submission draft                      |         |    |         |    |    |    |    |        |    |    |    |         |    |  |
| 9                               | Final presentation, feedback and final report submission |         |    |         |    |    |    |    |        |    |    |    |         |    |  |

Agreement on project cooperation regarding  
*India's ambitions and possibilities of becoming a global green leader (INDGREEN)*  
 is entered between

CICERO Senter for klimaforskning (Center for International Climate Research)  
 Postboks 1129 Blindern, 0318 OSLO, Norway  
 Org. nr. 971 274 190  
 (hereafter referred to as «project owner»)

and

TERI School of Advanced Studies (SAS)  
 10, Institutional Area, Vasant Kunj, 110 070 New Delhi, India  
 Org nr. N/A  
 (hereafter referred to as «project partner»)

**1. General provisions - relationship with the Research Council of Norway**

The Research Council of Norway has allocated funds for the implementation of the R&D project "*India's ambitions and possibilities of becoming a global green leader*", project number 303173, hereafter referred to as "the project". In this connection, a contract has been signed between CICERO Center for International Climate Research and the Research Council of Norway, hereafter referred to as the "R&D contract".

The R&D contract requires the project partner to complete the project in cooperation with the project owner and to make available the necessary resources, and that the project owner enters into cooperation agreements with its partners.

The R&D contract between the Research Council of Norway and the project owner shall be applied equally to the relationship between the project owner and the project partner, unless otherwise stated in this cooperation agreement. The contract is attached as Appendix 1.

The Research Council of Norway is granted the right to exercise the project owner's rights in relation to the project partner under the cooperation agreement as far as it is applicable to the Research Council of Norway's rights stipulated by the R&D contract.

In the event of any conflict between the R&D contract and this cooperation agreement, the R&D contract shall take precedence.

**2. Scope of the work - Description**

The project partner is, in cooperation with the project owner, exploring India's ambitions and potential for becoming a green leader in an increasingly polycentric global climate regime. Implementation of the project is detailed in the project description (Appendix 2). The Project Partner is obliged to place the following R&D-related personnel at the disposal of the Project: Prof. Atul Kumar, Dr. Manish Shrivastava, Dr. Sapan Thapar and a PhD Candidate, as further described in the project description (Appendix 2).

The project partner shall carry out the following research activities:



- Hire, supervise and complete one PhD degree according to the requirements in India/at TERI-SAS **1046**
- Participate in the work on articles to be submitted to international peer reviewed journals
- Participation in project meetings, workshops and conferences
- Lead the work on at least one peer-review article in WP2
- Lead the preparation and organizing of a project workshop in New Delhi in connection with the WSDS in 2022
- Organize a policy dialogue and open seminar with relevant stakeholders and policymakers in India
- Promote the project and present papers at relevant conferences

### 3. Project results – rights and publication

Each partner will have ownership rights to the project results produced by that participant, its employees or suppliers.

For the duration of the project period, the project partners shall have access, at no charge, to project results that are necessary for implementing their own work in the project. Such use must not in any way impair the ability of the other partners to protect or utilize their own results.

Project results shall be published as rapidly as possible. Among other things, the dissemination measures and communication plans specified in the contract between the Research Council and the Project Owner shall be implemented.

### 4. Scope - Project period - Invoicing

The project will be carried out during the period 01.08.2020 - 31.07.2024.

The total cost for the project partner's work and materials is budgeted as follows:

| 2020       | 2021        | 2022        | 2023        | 2024       | Total       |
|------------|-------------|-------------|-------------|------------|-------------|
| 95 000 NOK | 187 000 NOK | 187 000 NOK | 187 000 NOK | 94 000 NOK | 750 000 NOK |

Invoice is to be sent as EHF to org. no. 971 274 190 or as PDF by e-mail to [faktura@cicero.oslo.no](mailto:faktura@cicero.oslo.no) marked «CICERO project no. 31141, attn. Solveig Aamodt».

A first invoice may be submitted by October 15th. A final invoice for the year must be received no later than December 31st, and the final invoice for the project must be received no later than July 1<sup>st</sup>, 2024.

The project partner is obliged, upon request, to send financial and/or progress reports to the project owner.

If the project partner recognises a need to make significant changes in its annual budget, either in the form of under- or overspending, notice should be given to the Project Owner as soon as possible and not later than 15th of November the same year.

**5. Project implementation**

The project partner commits to comply with applicable laws and regulations as well as the rules and guidelines relevant to the implementation of the project, including ethical rules, guidelines and recognized quality standards and norms.

The project partner has HR and financial responsibility for all staff made available to the project, and complete employer responsibility for their employees in the project. The project partner shall guide and follow up on the work done by her own staff in the project and cooperate with the project owner and any other collaborators on facilitating, executing and following-up the collaboration.

**6. Dispute - Arbitration**

Any disputes that may arise in connection with the contract shall be settled by arbitration in accordance with Chapter 32 of the Norwegian Disputes Act (tvistemålsloven).

**Place/Date: 04.06.2020**

CICERO Center for International Climate  
Research



Kristin Halvorsen, Director

**Place/Date:**

TERI School of Advanced Studies



Capt. Pradeep Kumar Padhy (Retd.), Registrar

Capt. Pradeep K Padhy (Retd.)  
Registrar  
TERI School of Advanced Studies  
10, Institutional Area, Vasant Kunj  
New Delhi-110 070

**Appendices:**

- Contract with the Research Council of Norway
- Project description

06 June 2020

| Organizational Unit | Contract ID                    | Amendment # |
|---------------------|--------------------------------|-------------|
| UNU-IAS             | 611UU-000000000000000000001306 | 0           |

**Duration of Contract**  
This contract shall commence on 15-Jan-2018 and shall expire on the satisfactory completion of the services described above, but not later than 14-Jan-2019, unless sooner terminated under the terms of this contract. This contract is subject to the conditions attached.

**Consideration**  
As full consideration for the services performed by the Contractor under the terms of this contract, the United Nations University shall pay the Contractor upon certification that the services have been satisfactorily performed.

|               |           |
|---------------|-----------|
| Currency :    | USD       |
| Fee:          | 0.00      |
| Expenses:     | 27,510.00 |
| Total Amount: | 27,510.00 |

The fee is payable on satisfactory completion of the contract. For payment in installments, certification of satisfactory performance at each phase is required. Expenses, as agreed, are reimbursed upon submission of receipt as evidence of payment.

**Schedule and Conditions of Payment**  
This Agreement will commence upon signature of the parties and submission of detailed work plan, and will expire upon satisfactory completion of the work assignments described above but not later than 14 January 2019.

USD 13,755: 50% of total contract fee will be paid upon conclusion of this agreement and submission of detailed work plan (expected in January 2018).  
Up to USD 13,755: Final payment upon submission of a satisfactory final report in December 2018 (expected in January 2019).

The final installments will be paid upon certification of satisfactory performance at each phase, what will be assessed through the submission of reports and expenditure statements with evidence of expenses incurred. Any unexpected funds from UNU shall be returned to UNU after completion of the work assignments.

**Acknowledgement**  
I acknowledge that I have read and accept the conditions set out on the attached.

Hiraya Tanaka  
Signature of Authorized Representative of Contractor

15 January 2018  
Date

**Certifying Officer**  
Kazuhiko Takemoto, Director, UNU-IAS, on behalf of the United Nations University

Kazuhiko Takemoto  
Signature

12 January 2018  
Date

26-Feb-2018

Briefing  
ProSPER.Net

|   |  |
|---|--|
| <b>Project title</b>                        | <b>Development of a framework for the local implementation of the SDGs</b>   |
| <b>Duration of Contract</b>                 | From 15-Jan-2018 to 14-Jan-2019  |
| <b>Participating institutions(Partners)</b> | TERI University<br>University of the Philippines Diliman<br>Chulalongkorn University   |
| <b>the financial assistance</b>             | USD 3,000 per partner as Conducting site visits fee  |
| <b>Financial report</b>                     | <p><b>*Deadline:30-Nov-2018</b></p> <p><b>*Required documentations:</b></p> <p><b>1.Financial report</b><br/>Please keep accounts by English with How much, Who, What, When, and to Whom.<br/>Please use the attached file, "Financial report format".</p> <p><b>2.Copies of payment certificate(receipts)</b><br/>Please give us the copies as PDF files.</p> <p><b>3.Invoice</b><br/>After we receive Invoice, we will make a payment.</p> |
| <b>Final report</b>                         | Keio University will submit Final report to UNU-IAS until the end of Dec-2018.   |



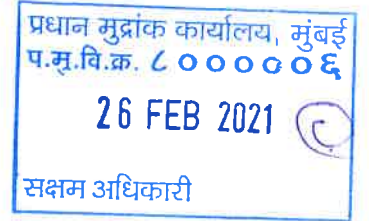
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महाराष्ट्र MAHARASHTRA

● 2020 ●

BC 667967



श्री. सी. टि. आंबेकर

This non judicial stamp paper forms an integral part of the Agreement dated **Eight Day of March 2021** executed at Mumbai between **SOCIETE GENERALE SECURITIES INDIA PRIVATE LIMITED**, Mumbai and **TERI SCHOOL OF ADVANCED STUDIES** Delhi.



Handwritten signatures in blue ink.

008

Societe Generale Securities India Pvt. Ltd.  
Peninsula Business Park,  
Unit 1901, 19th Floor, Tower A,  
Ganpatrao Kadam Road, Mumbai - 400 013.

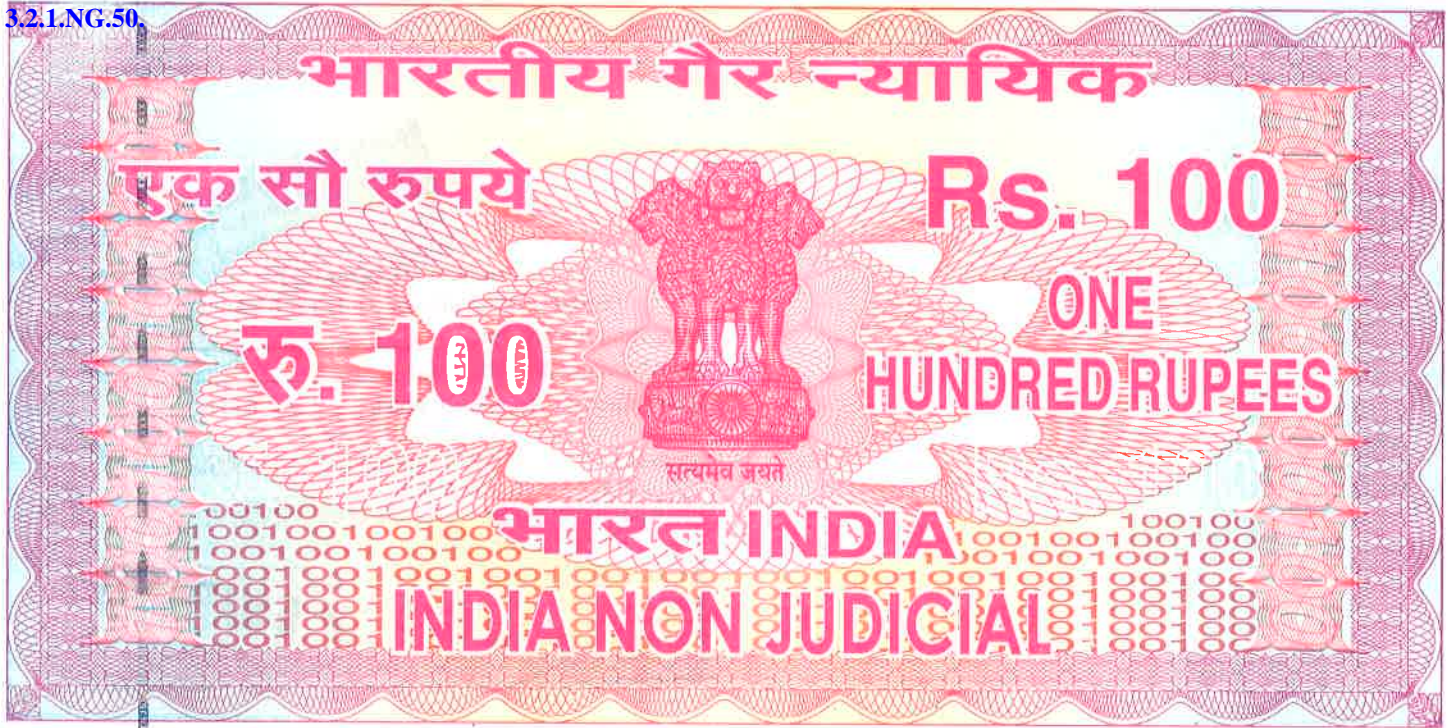
जोडपत्र Annexure - I  
फक्त प्रतिज्ञापनासाठी Only for Affidavit

मुद्रांक विकत घेणाऱ्याचे नाव \_\_\_\_\_  
मुद्रांक विकत घेणाऱ्याचे रहिवासी पत्ता \_\_\_\_\_  
मुद्रांक विक्रीबाबतची नोंद बही अनु. क्रमांक \_\_\_\_\_ दिनांक \_\_\_\_\_  
मुद्रांक विकत घेणाऱ्याची सही परवानाधारक मुद्रांक विक्रीत्याची सही  
परवाना क्रमांक : ८०००००६  
मुद्रांक विक्रीचे ठिकाण/पत्ता : प्रविण एल. बरतारकर  
३/२७२, नॅगल बिझिनेस सेंटर, लकी हाउस, मस  
शारदाबाई कल्याणकरागार/ज्यायकवारगार, माहिपूर, नांदेड करपासो मुद्रांक  
घागदाची आवश्यकता नाही. (शारदाबाई (द. ०९/०९/२००९) नुसार  
या करपासोती ज्यांची मुद्रांक शारदाबाई कल्याणकरा त्यांची त्याच करपासोती  
मुद्रांक शारदाबाई कल्याणकरातून इ.महिपूरतून वापरणे वर्ज्यकरत आहे.

- 5 MAR 2021

57

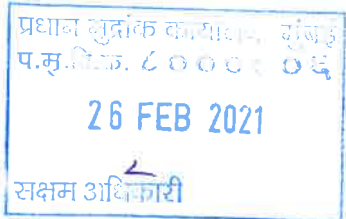




महाराष्ट्र MAHARASHTRA

2020

YC 873905



श्री. दि. क. गवई

This non judicial stamp paper forms an integral part of the Agreement dated **Eight Day of March 2021** executed at Mumbai between **SOCIETE GENERALE SECURITIES INDIA PRIVATE LIMITED**, Mumbai and **TERI SCHOOL OF ADVANCED STUDIES** Delhi.

*Therme*  
  
**teri school of  
 advanced studies**  
 New Delhi  
 3.2.1.475

*SS* 

Securities General Securities India Pvt. Ltd.  
 Bengaluru Business Park,  
 19th Floor, Tower A,  
 Sarpanch Kadam Marg,  
 Lower Park, Bengaluru - 560 013

जोडपत्र-१ Annexure-1

फॉर्म प्रतिष्ठापनासाठी Only for Affidavit

मुद्रांक विवक्त घेणाऱ्याचे नाव \_\_\_\_\_

मुद्रांक विवक्त घेणाऱ्याचे रहिवासी पत्ता \_\_\_\_\_

मुद्रांक विक्रीबायनची नोंद वही अतः, क्रमांक \_\_\_\_\_ दिनांक \_\_\_\_\_

मुद्रांक विवक्त घेणाऱ्याची सही परवानाधारक मुद्रांक विक्रीत्याची सही

परवाना क्रमांक : ८०००००६

मुद्रांक विक्रीचे ठिकाण/पत्ता : प्रविण एल. चव्हाण

३/२७२, नेविल बिझिनेस सेंटर, लकी हाउस, एस.बी.एस. मार्ग, फोर्ट, मुंबई - ०९.

आसकीय कार्यलयासारंगर/ज्यासकीयसारंगर मॉडेल मॉडेल मॉडेल मॉडेल

फागवाची आवश्यकता नाही. (साधन आदेश दि. २०/०३/२०२१)

ज्या कारणासाठी ज्याची मुद्रांक खरेदी वेळी त्याने त्याचे कारणासाठी

मुद्रांक खरेदी केल्यापासून दुरुमिळ्यात वापरणे बंधनकारक आहे.

- 5 MAR 2021

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## AGREEMENT

This agreement is made on the [Eighth] day of [March], [2021] at Mumbai. (“**Agreement**”).

### BY AND BETWEEN

“**TERI School of Advanced Studies**, a Deemed to be University under UGC Act 1956, located at Plot No. 10, Institutional Area, Vasant Kunj, New Delhi, 110070 (hereinafter referred as “**TERI SAS**”)”.

### AND

**SOCIETE GENERALE SECURITIES INDIA PRIVATE LIMITED**, a company incorporated under Companies Act, 1956, as amended from time to time, and having its registered office at Peninsula Business Park, Unit 1901, Tower A, Ganpatrao Kadam Marg, Lower Parel, Mumbai – 400013, India]

(hereinafter referred to as the “**Second Party**” which expression shall, unless it be repugnant to the context or meaning thereof, be deemed to mean and include its successors and permitted assigns)

The First Party and the Second Party shall hereafter be jointly referred to as “**Parties**” or individually as “**Party**”.

### WHEREAS:

- A. The First Party is a non-profit organization registered as a Trust in India with an objective to support research and entrepreneurship through education.
- B. The Second Party supports charities or projects working towards supporting PhD. Research Students through a research sponsorship program. This research is to be conducted in either of the following areas as specified by Societe Generale.
  - 1) A state by state analysis of the root causes and "impact needs" of India on key value chains such as access to energy, to water, to health, to professional training.
  - 2) How can investors consider innovative and low-cost products/ services designed and implemented by social enterprises for investments through different Impact Based Financing solutions.
  - 3) Can blended finance be considered as a tool to support social enterprises to generate positive impact through private sector investments with a focus on long-term revenue generating solutions for achieving the SDG's.
  - 4) Can bankers find a way to structure impact financing: Mixing the different types of investors in equity / debt to optimise the impact.
- C. The Parties wish to mutually pursue a joint effort of supporting research scholars doing research in the areas of Sustainable Development Goals or Impact Based Financing Models through a PhD. Research Sponsorship Program. The Parties wish to combine their expertise, experience, financial and other resources to jointly undertake this Project (defined hereinafter) through specific engagements during the course of this Agreement and as more particularly described in this Agreement.

**THE FOLLOWING HAS BEEN AGREED BETWEEN THE PARTIES:**

**1. DEFINITIONS**

- A. **“Act of Corruption”** means the deliberate act of (a) giving, offering or promising, directly or indirectly through others such as third party intermediaries, or (b) soliciting or accepting, directly or indirectly through others such as third party intermediaries, any donation, gift, invitation, reward, or anything of value to any person (including any public official), for themselves or for a third party, that would or could be perceived either as an inducement to commit an act of corruption or as a deliberate act of corruption in each case with a view to inducing any person (including a public official) to perform their functions improperly or dishonestly and/or getting any undue benefit.
- B. **“Act of Influence Peddling”** means the deliberate act of (i) giving, offering or promising to any person (including any public official), or (ii) yielding to any person (including any public official) who solicits, at any time, directly or indirectly, any donation, gift, invitation, reward, or anything of value, for themselves or for others, in each case to abuse or for having abused their real or supposed influence with a view to obtaining from a public official any favourable decision or undue benefit.
- C. **“Affiliate”** means any entity which Controls, or is Controlled by, or is under common Control with, the Second Party from time to time;
- D. **“Agreement”** means this agreement, together with all annexure(s) signed by the Parties and any amendments made thereto in writing by mutual consent of the Parties from time to time.
- E. **“Applicable Laws and Regulations”** means all applicable laws and rules (including but not limited to Foreign Contribution Regulation Act, 2010, Corporate Social Responsibility Rules, 2014 etc. as amended from time to time), legislation, enactments, regulations, binding policies, guidelines, guidance notes and codes of conduct or practice issued by any applicable government agency, any regulator or other applicable body and all permits and licences issued by, and any applicable orders, judgments or decisions of, any applicable regulator or courts of competent jurisdiction that are in force, including any applicable data protection legislation and the principles and rules of any regulatory authority having jurisdiction over Second Party from time to time;
- F. **“Conflict of Interest Situation”** means any situation where the First Party, its employees, officers, agents or any other person it controls or whom is linked directly or indirectly to the First Party, are subject, as part of their activities, to multiple interests, opposite or different (such as personal interest, employer's interest, interests of one or more clients) from the Second Party's interests and whose pursuit may harm the Second Party's interests.
- G. **“Confidential Information”** shall mean and include, but is not restricted to all non-public information of the Second Party that is technical and commercial concerning business, books of record and account, data systems, software, services, any materials, trade secrets, know-how, formulae, processes, algorithms, ideas, strategies, inventions, data, network configurations, system architecture designs, flow charts, drawings, proprietary information, personal data, business and marketing plans, financial and operational information, and all other non-public information, material or data relating to the current and/ or future business and operations, wages related information provided by the Second Party to the First Party pursuant to this Agreement including the existence and terms and conditions of this Agreement and the contents of the Project (as more fully described in Annexure 1), or any other information which may come to the knowledge of the First Party.
- H. **“Control”** means that a person possesses directly or indirectly the power to direct or cause the direction of the management and policies of another person, whether through the ownership of voting shares, by contract or otherwise and “Controls” and “Controlled” shall be interpreted accordingly;

- I. **"Data Protection Laws"** means all laws and regulations applicable to the data protection under the Agreement, including the Information Technology (Reasonable Security Practices and Procedures and Sensitive Personal Data or Information) Rules, 2011;
- J. **"Intellectual Property Rights"** means and includes all patents, rights to inventions, utility models, copyright and related rights, trademarks, service marks, developments, concepts, trade, business and domain names, rights in trade dress or get-up, rights in goodwill or to sue for passing off, unfair competition rights, rights in designs, rights in computer software, database rights, topography rights, moral rights, works of authorship, inventions, whether patentable or not, Confidential Information, and any other intellectual and/or industrial property in all goods, services and material including all documents, reports, charts, drawings, databases, products, software, source codes, models, samples, systems, slides, tapes, graphs, notes, specifications, processes, tools and methodologies, in each case whether registered or unregistered and including all applications for and renewals or extensions of such rights, and all similar or equivalent rights or forms of protection in any part of the world;
- K. **"Personal Data"** means any information relating to a natural person, which either directly or indirectly, independently or in collaboration with other information, is capable of identifying such person disclosed to or given access to the First Party for the purposes of the Project.
- L. **"Project"** means **PHD. Research Sponsorship Program** and as more fully described in the Annexure 1 hereto.
- M. **"Sanctioned Person"** means any person, whether or not having legal personality:
- (a) listed on any list of designated persons in application of Sanctions;
  - (b) located in, or organised under the laws of any country or territory that is subject to comprehensive Sanctions;
  - (c) directly or indirectly owned or controlled, as defined by the relevant Sanction, by a person referred to in (a) or (b) above; or
  - (d) which otherwise is, or will become during the execution of the Agreement, subject to Sanctions.
- N. **"Sanctions"** means any economic or financial sanctions, trade embargoes or similar measures enacted, administered or enforced by any of the following (or by any agency of any of the following):
- (a) the United Nations;
  - (b) the United States of America;
  - (c) the United Kingdom; or
  - (d) the European Union or any present or future member state thereof.
- O. **"SG Group"** means **Societe Generale Securities India Private Limited** and its officers, employees, agents and related entities, Affiliates, subsidiaries, head office, branches, consultants, independent contractors, successors, assigns, designees and licensees;

## 2. CONTRIBUTION

- A. The Second Party shall, at its sole discretion, provide such amounts of contribution, inclusive of all taxes (if applicable) to the First Party towards the Project (**"Contribution"**) as detailed at Annexure 2 hereto, and as may be amended from time to time
- B. The First Party will issue receipts under Section 80G of the Income Tax Act, 1961. The receipt would be sent to the Second Party within ten (10) days from the date of receipt of Contribution.

### 3. REPORTING

- A. The First Party hereby agrees and undertakes that it shall provide to the Second Party annual audited financial statements for the financial year falling under this Agreement by 1<sup>st</sup> week of September of the following year or such other timeline as may be required by the Second Party, which shall be certified by an external auditor.
- B. The First Party shall allow designated officials and representatives of the Second Party to carry out an inspection and to audit the use of the Contribution provided by the Second Party for the Project. Further, the First Party shall provide representatives of the Second Party with correct and adequate information and allow access to the First Party's premises, property, accounts, documents, recordings and any other necessary information and material related to the Project.
- C. The First Party also agrees that it shall provide **Quarterly** updates to the Second Party, in writing on the progress done in the Project and the utilisation of the Contribution.

### 4. UNDERTAKINGS AND DECLARATIONS BY THE FIRST PARTY

- A. The First Party will utilise the Contribution solely for the purpose of the Project.
- B. The First Party will be responsible for compliance with all administrative and Applicable Laws and Regulations related to the Project.
- C. The First Party shall inform the Second Party beforehand, keep the Second Party informed throughout the term of the Agreement, of the support of any other sponsor/third party in any form whatsoever for the Project.
- D. The First Party shall submit to the Second Party, 6 (six) months after signature of the Agreement, an interim review and then, upon expiry of the Agreement, a final review of activities carried out for the Project.
- E. The First Party agrees that if there is a marked difference between the Contribution made by the Second Party and the benefits granted by the First Party, as defined in documents by the tax authorities, the First Party undertakes to grant the Second Party with the following benefits:
  - (a) The First Party will mention the support provided by the Second Party in all verbal and written information on all regional, national and international media in the form of interviews, press releases, press packs, etc. and on all communication documents relating to its actions supported by the Second Party.
  - (b) The First Party will inform the Second Party whenever it includes its logo on communication documents and pages of the First Party's website.
- F. The First Party will maintain all appropriate and valid registrations or licenses, at all times and notify the Second Party, if any of its registrations or licenses is expired, cancelled or revoked for any reason.
- G. The First Party shall ensure transparency in all work in the Project.
- H. Any document that includes the Second Party's logo or name must be submitted to the Second Party for prior written approval by email to the authorised email address.
- I. The First Party shall retain all receipts, paperwork and records for the Project for a further eight (8) years after the year in which the costs were incurred and the termination of this Agreement;

### 5. COMMUNICATIONS

- A. The Second Party may mention the First Party in all press releases or packs, as well as in any other media used to communicate about its activities. In particular, the Second Party may mention the First Party on all its social networking sites and/or websites.



### 3.2.1.NG.50.

The First Party shall place on its website, if such website exists, a hypertext link to the Second Party's website, at the following address: <http://www.societegenerale.com>, in compliance with the conditions stipulated by the Second Party.

- B. The First Party will provide the Second Party, to the extent possible and as they are published, with a photocopy of newspaper articles in which the support granted herein is mentioned, whether in India or abroad, and will in any event provide the Second Party with a press review at the end of the Agreement including all articles referring to the support granted. The First Party will hold the Second Party harmless from any disruption, claim or eviction of any nature by any third party.
- C. The First Party shall endeavour to provide the Second Party, upon request, with photographs of the First Party while carrying out its tasks or projects. To this end, the First Party shall endeavour to acquire the rights over photographs free of charge for the benefit of the Second Party.
- D. The First Party will inform the Second Party of any news features realised during the Agreement period and related to the Second Party's support of the First Party's actions.
- E. At the Second Party's request, the First Party will do its utmost to allow the Second Party to use all these news features and those of third parties in whole or in part and at no cost in the framework of its external and internal communication in India and abroad on any electronic, audio-visual and video media, in particular DVDs, the website, or during televised shows intended to promote the Second Party's and/or partners, as well as on paper media, but not for commercial use.
- F. In this regard, the First Party will do its utmost to obtain all the rights required, such as copyrights and image rights, and holds the Second Party harmless from any disruption, claim or eviction of any nature by any third party claiming a breach of a right of any nature related to the Second Party's use of said news features.
- G. If the First Party has not been granted the assignment of Intellectual Property Rights in accordance with the terms of the Agreement, it will indicate in advance the scope and limits of the Intellectual Property Rights or of the personality rights it has been granted, in which case it must inform the Second Party of the terms and conditions, in particular related to price, under which the Intellectual Property Rights not granted may be assigned.
- H. Furthermore, the First Party expressly authorises the Second Party, should it wish, to realise its own news features throughout the Agreement period on the support provided for the First Party's actions through the intermediary of any third party of its choice on dates that will be jointly determined by the Parties. This authorisation is subject to the prior agreement of the artist(s) involved and a guarantee that these features will not be used commercially and will be realised exclusively to promote the support granted to the First Party's actions and/or illustrate the Second Party's internal and/or external communication.

## 6. INTELLECTUAL PROPERTY RIGHTS

- A. Each Party retains the exclusive ownership of its Intellectual Property Rights and grants non-exclusive rights for use of their Intellectual Property Rights to the other Party only for the purposes of the terms of this Agreement.
- B. Each Party authorises the other Party to reproduce Intellectual Property Rights without modifications other than those needed to insert it/them into the document in question.
- C. Notwithstanding anything contained in this Agreement, the First Party undertakes to obtain Second Party's prior written approval for usage of the Second Party's Intellectual Property Rights in any way, including but not limited to any communication document (including press releases and/or advertising) linking or involving that Party directly or indirectly, regardless of the type of document prior to publication or distribution in the form of document "ready for printing".

### 3.2.1.NG.50.

- D. Each Party certifies that they hold all the Intellectual Property Rights used in the framework of this Agreement and shall guarantee the other Party the unfettered right to use them within the framework of this Agreement.
- E. Any intellectual property generated pursuant to the Project under this Agreement shall be owned by the Second Party.
- F. This clause will remain in force after the expiry or termination of the Agreement.

## 7. CONFIDENTIALITY

- A. The First Party agrees to:
  - (a) use the Confidential Information solely for the purpose of performing its obligations under this Agreement;
  - (b) not to disclose any Confidential Information of the Second Party to any third party without prior written consent of the Second Party;
  - (c) Always keep the contents of the Project (as more fully described in Annexure 1) confidential, including but not limited to any research, discussion etc. for the purpose of the Project and any intellectual property generated pursuant to the Project;
  - (d) limit the dissemination of the Second Party's Confidential Information to only those of its officers, and employees ("**Representatives**") who require access to such information to perform their functions in connection with the purpose for which the Confidential Information is disclosed and to the attorneys, professional advisors and financial advisors on a strict 'need to know' basis;
  - (e) ensure their personnel, attorneys, professional advisors, financial advisors and potential subcontractors comply with said confidentiality and will assume all responsibility for a breach thereof by their personnel, attorneys, professional advisors, financial advisors and potential subcontractors;
  - (f) to ensure that each person or entity who is permitted to receive or have access to the Confidential Information is bound by a confidentiality obligation consistent with this Agreement;
  - (g) to exercise the same degree of care with respect to the Second Party's Confidential Information as it uses for its own confidential information of like importance, but no less than reasonable care; and
  - (h) to return to the Second Party, or if such return is not possible destroy, Confidential Information of the Second Party at source which will be incapable of being recovered through normal or laboratory means upon receipt of a written request from the Second Party without retaining any copy thereof.
- B. First Party shall have a right to disclose the Confidential Information to the legal / regulatory authorities pursuant to a binding court order or government regulation, provided that if permitted under law, the First Party provides a notice to the Second Party, in order for the Second Party to obtain a protective order. If the Second Party is unable to obtain a protective order, the Confidential Information may be disclosed only to the extent necessary under law.
- C. First Party is not permitted to discuss the Second Party's affairs with any member of the press and other news media without written authorization from the appropriate authorized representative of such Second Party. First Party acknowledges and agrees that any breach of the confidentiality obligations set forth in this Clause shall cause the Second Party irreparable harm for which monetary damages would be inadequate. Accordingly, in the event of such a breach, the Second Party may seek injunctive or other equitable relief to enforce this Agreement in addition to any available legal remedies.
- D. All Confidential Information disclosed by the Second Party hereunder is provided "AS IS" and without warranty of any kind. All Confidential Information shall remain the property of the Second Party. Nothing contained in this clause or any disclosure pursuant to this Agreement shall be construed as granting any license or right under any intellectual property right, whether present or future.
- E. This clause will remain in force after the termination or expiry of the Agreement.

## 8. FINANCIAL REGULATION

The First Party represents and undertakes to the Second Party at any time during the Term of the Agreement, that:

- (a) It has knowledge of, and is committed to complying with, the laws and regulations relating to anti-bribery, corruption and influence peddling applicable to the execution of this Agreement;
- (b) Neither the First Party, nor, to the best of its knowledge, any of the persons whom it controls, including its Representatives, nor any agent or intermediary it has mandated for the purpose of executing the Agreement:
  - i. has committed any Act of Corruption or Act of Influence Peddling;
  - ii. is prohibited (or is treated as such), by a governmental or international agency, from responding to requests for proposals or to contract or work with this agency because of any proven or alleged Act of Corruption or of Influence Peddling;
- (c) It has put in place appropriate rules and procedures, in a form and manner mandated by law and/or appropriate for a business of its size and resources, aiming at:
  - i. preventing any Act of Corruption and Act of Influence Peddling from being committed by itself, Representatives, and – if any - the agents or other intermediaries it has mandated for the purpose of executing the Agreement, and
  - ii. ensuring that any evidence or suspicion of an Act of Corruption or an Act of Influence Peddling is investigated and handled with the appropriate diligence.
- (d) Any Act of Corruption or of Influence Peddling related to this Agreement shall be promptly disclosed to the Second Party, to the extent permitted by Applicable Laws and Regulations;
- (e) It maintains reasonably detailed books, records, and accounts, in respect of the execution of the Agreement, in a form and manner appropriate for a business of its size and resources.
- (f) It represents and warrants that it has knowledge of the Second Party's code of conduct governing the fight against corruption and influence peddling which is available on the group's website at <http://www.societegenerale.com>
- (g) The Second Party may immediately suspend without notice or indemnity any payment, promise to pay, or authorization of any payment (or giving anything of value) to the First Party, if the Second Party has reasonable grounds to suspect that the First Party or any of its agents, intermediaries or Representatives has committed any Act of Corruption or of Influence Peddling in relation to the Agreement. Reasonable grounds shall include, but not be limited to, publicly available reports of Act of Corruption or of Influence Peddling. Such suspension shall be maintained only for the time necessary to investigate those grounds in order either to confirm or dispel the suspicions.
- (h) At any time during the term of the Agreement, the First Party shall declare and warrant to the Second Party that it will not maintain personal or professional relationships which could compromise its professional duties or put itself in a Conflicts of Interest Situation vis-a-vis the Second Party.
- (i) It shall report without delay to the Second Party any Conflict of Interest Situation in relation with their commercial relationship and to which it might be subject. If the Second Party considers that the Conflict of Interest Situation declared by the First Party is incompatible with the continuation of the Agreement, the Second Party may terminate, as of right, without any notice nor compensation, the Agreement.
- (j) It represents that neither it, nor any of its affiliate, subsidiary or holding nor, to the best of its knowledge, any of its Representatives, or any of its agents and intermediaries, is a Sanctioned Person.
- (k) It represents and warrants (which representation and warranty shall be deemed to be repeated at all times until the termination of the Agreement) that it shall not enter into any agreement with any Sanctioned Person.
- (l) It shall and shall procure that any agent or intermediaries it has mandated for the purpose of executing the Agreement will, promptly upon becoming aware of the same, provide the Second Party with details of any claim, action, suit, proceedings or investigation against it with respect to Sanctions.



- (m) It shall implement and maintain appropriate rules and procedures designed to comply with Sanctions, representations and undertakings in this clause.
- (n) It understands that Second Party should not process any payment or transaction to the benefit of a Sanctioned Person or in a way that would result in a violation of Sanctions. As such, Second Party may immediately suspend any payment, promise to pay, or authorization of any payment (or giving anything of value) to the First Party, should the First Party be in breach of any Sanctions, representations or undertakings in this Agreement. Subject to Applicable Laws and Regulations and authorisations from competent authorities, Second Party may process such payment to the benefit of the First Party on a frozen account.

## 9. REPAYMENT, SUSPENSION OF PAYMENTS AND RECOVERY OF CONTRIBUTION

- A. The First Party is obliged to promptly return the Contribution as a whole or in part, if it cannot use it in accordance with this Agreement or if the Contribution have been granted to it erroneously, excessively or otherwise groundlessly.
- B. The Second Party reserves the right to:
  - (a) suspend payments if there are concerns that the First Party is not acting in accordance with the conditions laid down in this Agreement or otherwise set by the Second Party, if the grounds for granting the Contribution have essentially changed or if suspension is required by any Applicable Laws and Regulations; or
  - (b) claim repayment of the Contribution in full or in part if:
    - i. any circumstances arise which give reasonable grounds to suspect the First Party is committing an Act of Corruption, Act of Influence Peddling or there is a Conflict of Interest Situation;
    - ii. the First Party has provided incorrect or misleading information or concealed aspects that might have influenced the decision to grant the Contribution or affected the conditions of the Contribution;
    - iii. the capacity of the First Party to carry out the activities has been essentially reduced because of bankruptcy, debt recovery process or other related reason;
    - iv. the First Party hinders the execution of measures related to an inspection or audit of the use of the Contribution;
    - v. the Contribution is found to be misused or not satisfactorily accounted for, or the First Party otherwise ignores the conditions for the use of the Contribution laid down in this agreement or otherwise set by the Second Party; and
    - vi. there are other relevant reasons to demand repayment in accordance with the Applicable Laws and Regulations.

## 10. SOCIAL AND ENVIRONMENTAL RESPONSIBILITY

- A. As an international group, SG Group is bound by a series of legislative and regulatory provisions relating to social and environmental responsibility. The SG Group has implemented measures to identify risk and prevent serious violations of human rights and fundamental freedoms, health and safety issues and environmental damage caused by its business and the business operated by its partners. Accordingly, the First Party undertakes to comply with the obligations imposed under this clause.
- B. The Societe Generale group Code of Conduct is available on the group's website at [https://mysocietegenerale-news.safe.socgen/documents/242675/29299928/Group\\_Code\\_of\\_Conduct\\_English.pdf](https://mysocietegenerale-news.safe.socgen/documents/242675/29299928/Group_Code_of_Conduct_English.pdf) ("Code"). At the effective date of this Agreement, the First Party represents that it has implemented principles at least equivalent to those mentioned in the said Code and that the people it designates under this Agreement will not act in conflict with the said principles at any time during the term of this Agreement.
- C. Details of the commitments made by Second Party and its expectations that its partners will comply with these guidelines on human rights, working conditions, the environment and combatting corruption are set out in the Sustainable Sourcing Charter (hereinafter the "Charter"), which is available on the



group's website at <http://www.societegenerale.com>. By signing this Agreement, the First Party indicates its acceptance of the terms of the Charter.

- D. The Second Party reserves the right to have its auditors carry out one or more audit to verify the First Party's compliance with the obligations set forth in this clause.

## 11. REPRESENTATIONS AND WARRANTIES

- A. The First Party represents, warrants and undertakes on a continuing basis throughout the Term of this Agreement that:
- (a) it has full right and power to enter into this Agreement and to perform all its obligations hereunder;
  - (b) it is a public charitable trust registered under the Bombay Public Trust Act -1950.
  - (c) It has not received any notice, departmental enquiries from any statutory authority, governmental departments etc. under Applicable Laws and Regulations.
  - (d) it has all authorisations, consents and licences (including in respect of Intellectual Property Rights) necessary to fulfil its obligations under this Agreement and as may be required by Applicable Laws and Regulations.
  - (e) it will facilitate visits for Second Party personnel, duly appointed /nominated agents / auditors to the Project, which shall be arranged as per mutually convenient schedules of the Parties; and
  - (f) It will provide complete and up-to-date information about itself, its investors, trustees, key personnel to the Second Party for their due diligence.
- B. The Second Party represents, warrants and undertakes on a continuing basis throughout the Term that:
- (a) it has full right and power to enter into this Agreement and to perform all its obligations hereunder; and
  - (b) it has all authorisations, consents and licences (including in respect of Intellectual Property Rights) necessary to fulfil its obligations under this Agreement and as may be required by Applicable Laws and Regulations

## 12. DATA PROTECTION

The First Party undertakes to:

- A. Comply with all applicable Data Protection Laws;
- B. Comply with any data protection and privacy instructions, policies and codes of conduct as notified by the Second Party from time to time;
- C. promptly and actively cooperate with the Second Party to complete all relevant formalities and to obtain all requested authorisations, if any, from competent data protection authorities;
- D. maintain confidentiality of all data disclosed by the Second Party even after the Term of this Agreement or in case of Termination of this Agreement; and
- E. not store or retain any data disclosed by the Second Party (including personal data) for a period longer than is necessary to achieve the purpose for which it was collected or received, or, if that purpose is achieved or ceases to exist for any reason, for any period following such achievement or cessation and if that purpose is achieved or ceases to exist for any reason or upon the request of Second Party, such data shall be destroyed or returned forthwith without retaining a copy.

### 13. INDEMNIFICATION

- A. The First Party shall indemnify, defend and hold harmless the Second Party, SG Group, its Affiliates and Representatives and agents from and against all claims, actions, suits, demands, damages, obligations, liabilities, losses, settlements, judgments, costs and expenses (including without limitation reasonable attorneys' fees and costs) which arise out of or resulting from (i) death, bodily injury or damage to tangible property; or (ii) any negligent act or willful misconduct; or (iii) fraud or fraudulent misrepresentation; or (iv) infringement or violation of intellectual property rights of any third party; or (v) breach of any terms and conditions, representations, warranties or covenants made by the First Party under this Agreement (vi) third party claim or (vi) any non-compliance of Applicable Laws and Regulations.
- B. In the event of a third party claim, the Second Party shall: (i) as soon as practicable provide written notice of any claim, demand or action for which the Second Party is seeking or may seek indemnification hereunder and may at its discretion give the First Party the right to control the defense; (ii) exercise commercially reasonable cooperation with the First Party and assist the First Party in the defense of the claim and in the negotiations or settlements of any such claim, demand or action; and (iii) allow the First Party, at its own expense, to participate in such litigation, negotiations and settlements with counsel of its own choosing. However, the First Party shall not have the right to settle any claim if such settlement may adversely affect any rights or interest of the Second Party or contains a stipulation to, or an admission or acknowledgement of, any wrongdoing (whether in tort or otherwise) on the part of the Second Party. Notwithstanding the foregoing, the Second Party's failure to so notify the First Party will not diminish the First Party's indemnity obligations hereunder.

### 14. FORCE MAJEURE

- A. For the purpose of the Agreement an event of force majeure means an event that prevents a Party from fulfilling its contractual obligations provided that such event is beyond its control, could not be reasonably foreseen from the day of conclusion of the Agreement and which effects cannot be avoided by appropriate (hereinafter the "**Event of Force Majeure**").
- B. Neither Party is liable for any failure to perform its contractual obligations under this Agreement due to an Event of Force Majeure.
- C. Where there is an Event of Force Majeure, the Party prevented from performing its contractual obligations under this Agreement must immediately notify the other Party giving full particulars of said Event of Force Majeure and the reasons for the Event of Force Majeure preventing that Party from performing its obligations under this Agreement and that Party must use its best efforts to mitigate the effect of the Event of Force Majeure upon performance of the Agreement and to fulfil its obligations under this Agreement. Upon completion of the Event of Force Majeure, the Party affected must as soon as possible recommence the performance of its obligations under this Agreement.
- D. To the extent that an Event of Force Majeure continues for a period exceeding fifteen (15) days, the Parties agree to enter discussions in order to take this into account.
- E. If they fail to agree on the consequences to be given to this situation within a maximum period of fifteen (15) days, the Agreement may then be terminated. In case this Agreement is terminated, the First Party shall be liable to return the unutilised portion of the Contribution to the Second Party.

### 15. TERM AND TERMINATION

- A. This Agreement shall come into effect from **Tenth Day of March 2021** and shall continue for a period of **One year** from such date, unless terminated earlier in accordance with this Agreement ("**Term**").
- B. This Agreement may be extended by the Parties in writing on mutual terms and conditions.

  
**teri school of  
advanced studies  
New Delhi**



- C. In case the First Party wants to renew the Agreement, it shall contact the Second Party six month's prior to the expiry of the Term, to discuss the potential renewal of the Agreement.
- D. This Agreement may be terminated by the Second Party, forthwith, if the First Party commits breach of any of the terms of the Agreement or fails to rectify/remedy such breach, to the satisfaction of the Second Party, within seven (7) days of the receipt of a written notice in this regard having been served on it by the Second Party. It is hereby clarified that if the First Party commits breach of any Applicable Laws and Regulations, the Second Party shall forthwith terminate the Agreement without such remedial period.

## 16. GOVERNING LAW

- A. The Agreement shall be governed by and construed in accordance with the laws of India.
- B. In case of a dispute between the Parties regarding the validity, performance or interpretation of the Agreement, the Parties undertake to co-operate dutifully and in good faith in order to find an amicable solution. If, however, no agreement is found within a period of 3 (three) working days from the receipt of a letter notifying to the other party the existence of a disagreement, for every dispute or litigation which might arise about the interpretation, validity or performance of the Agreement, either Party may commence proceedings in the courts of Mumbai, being the exclusive jurisdiction to which the Parties hereby submit.

## 17. MISCELLANEOUS CLAUSES

- A. Nothing in this Agreement is intended to or shall operate to create a partnership between the Parties or constitute the First Party or any of the employees or agents it employs or instructs, as a partner, agent or employee of the Second Party.
- B. First Party shall not sub-contract any of its rights and/or obligations under this Agreement to any third party, without the prior written consent of Second Party. Any consent to subcontracting shall not relieve First Party from any liability or obligation under the Agreement and First Party shall be fully responsible for the acts and/or omissions of its sub-contractors as if they were acts, omissions, defaults or negligence of First Party.
- C. If one or more stipulations of the Agreement are held to be invalid or rendered or declared to be such, due to Applicable Laws and Regulations, the Parties shall discuss the matter in order to agree upon one or more stipulations to replace the invalid stipulation(s) and, to the extent possible, achieve the goal of the original clause(s). All other stipulations of the Agreement shall retain their force and scope.
- D. The Agreement and its appendices include all the Parties' obligations and replace ipso jure all written and verbal prior to the Agreement. No documents or other indications will bring about obligations in the framework of this Agreement until they have been included in an amendment signed by the Parties.
- E. This Agreement supersedes any and all agreements, contracts or addendums relating to the Services. No modification waiver or amendment of this Agreement shall be binding unless communicated in writing and signed by both Parties. All legally required amendments shall automatically become an integral part of this Agreement.
- F. The fact that one of the Parties does not invoke a breach by the other Party of any one of its obligations may not be interpreted as a waiver of the obligation in question nor as an amendment of the Agreement and may not prevent the non-defaulting Party from invoking of this right in the future.
- G. The First Party shall not assign or transfer any of its rights and obligations under this Agreement in favour of anyone without the prior written consent of the Second Party.

### 3.2.1.NG.50.

- H. Notifications are issued by means of a registered letter with acknowledgement of receipt. Unless stipulated otherwise in the Agreement, any notification will become effective from the date on which it is first presented. Notifications intended for the Parties will be sent to the following address:

**for the First Party:**

Mr. Kamal Sharma

Registrar, TERI School of Advanced Studies

kamals@terisas.ac.in / + 91 9810512607

Official Address: Plot No. 10, Institutional Area, Vasant Kunj, New Delhi, 110070

**for the Second Party:**

Mr. Sujit Kadakia

Head of India Office, SGSIPL

sujit.kadakia@sgcib.com / +91 9619 499194

Ms. Veena Iyer

Head of Human Resources

veena.iyer@socgen.com / +91 7506935839

Societe Generale Securities India Private Limited

Peninsula Business Park, Unit 1901, Tower A, Ganpatrao Kadam Marg, Lower Parel, Mumbai – 400013, India

**IN WITNESS WHEREOF**, the Parties accept the terms set out in this Agreement by their duly authorised representatives signing below.

Signed for and on behalf of **FIRST PARTY**

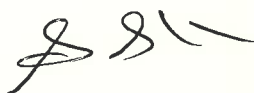


Name: Mr. Kamal Sharma

Title: Registrar, TERI School of Advanced Studies

Date: 08/03/2021

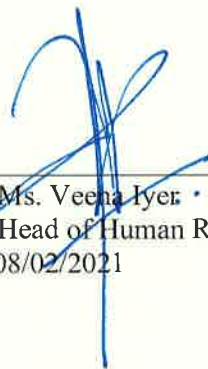
Signed for and on behalf of **SECOND PARTY**



Name: Mr. Sujit Kadakia

Title: Head of India Office, SGSIPL

Date: 08/03/2021



Name: Ms. Veena Iyer

Title: Head of Human Resources

Date: 08/02/2021





## ANNEXURE 1

## PROJECT DETAILS

Posivitta lab, a CSR initiative of Societe Generale Securities India has launched the PhD. Research Sponsorship Program to support research on either of the 17 Sustainable Development Goals (SDG's) or Impact based financing models which includes Blended Finance, Impact Bonds, Green Bonds among others.

## Role and Responsibilities of the University

1. The university will use the grant / sponsorship amount for the purpose to offer PhD. Research Sponsorship to deserving candidate to conduct research on either of the 'Four Research Topics' identified by Societe Generale as detailed in the Annexure.
2. The university will not make the Research Findings public unless agreed upon by Societe Generale.
3. The university will involve Societe Generale in the key decision-making processes, which will include be not limit to (i) Selection and Induction of the candidate shortlisted (ii) Discussion on the Research Topics and Objectives for the study (iii) Paper presentation or any kind of formal discussion of the selected Research Topics on any outside the university physical or virtual platforms including domestic or internal conferences. (iv) If the candidate decides to drop out and the project teams needs to replace the student, Societe Generale team will participate in the reselection and shortlisting process.
4. The university shall provide financial and narrative reports to Societe Generale every quarter starting after receipt of the first installment. All the hardcopies of the financial reports shall be sent to us at: Societe Generale Bank 19th Floor, Tower A, Peninsula Business Park, Ganapatrao Kadam Marg, Lower Parel, Mumbai, Maharashtra 400013, India
5. The university will acknowledge support of Societe Generale via all its communication material / channels, as described in point 5, 'COMMUNICATIONS' clause of this agreement.
6. The university shall keep accurate and appropriate books and accounts to record all the use of the grant / sponsorship amount for the purpose as defined in the agreement. These shall be made available to Societe Generale for inspection or audit as and when required.
7. The university shall monitor and implement the project as per the Project Implementation Plan prescribed on signing of the agreement. Societe Generale shall not be responsible and liable in any manner whatsoever, for any claim, loss or damage of property or otherwise as a result of the implementation and monitoring of the project.
8. The university will be responsible for the candidate's conduct and his/her binding to Societe Generale's standard policy requirements which is also applicable to the university as being described in this agreement which also includes the clauses on IPR and NDA among others.
9. The university will not onboard a third-party expertise (Guides / Mentors) without discussing the same with Societe Generale.
10. The university will also extend 'An Advisory Role' to Societe Generale on any other programs of the institute which maybe permissible and of similar interest.

### Role and Responsibility of Societe Generale

1. Societe Generale will provide financial support towards the PhD Research Sponsorship Program as detailed in the Annexure
2. Payments will be made on quarterly bases as detailed in the Annexure
3. Societe Generale will share the 4 Research Topics for the PhD Research Sponsorship Program.
4. Societe Generale will participate in the Selection, Shortlisting, Induction, Research Tenure support and monitoring of the entire growth of the research candidate and the overall program.
5. Societe Generale will organize Physical and Virtual sessions for internal and external stakeholders to launch / discuss the Research Paper and its finding as and when required.
6. As a part of the Employee Engagement Plan, Societe Générale's interested employees may join the Research Candidate and the guide on their filed visits or onsite activities if permissible.
7. Societe Generale may decide to extend the agreement from One candidate - One Research Topic to Two candidates - Two Research topics based on the progress and quality of the findings of the research.
8. Societe Generale will participate in other activities of the universities as may be applicable on an 'Advisory Role' and will extend similar invitation to the university to join in Societe Generale's relevant events / CSR sessions as a partner organization.
9. Societe Generale will acknowledge the partnership with the university as a part of our CSR Initiative on all its communication material and platforms as prescribed in point 5, 'COMMUNICATIONS' clause of this agreement.
10. Societe Generale will not be responsible for any misconduct or wrongdoing of the shortlisted candidate or the guide / mentor aligned, or any other person aligned to the PhD Research Sponsorship Program during the project period or otherwise
11. Societe Generale will not be responsible in any manner whatsoever, for any loss or damages caused to any property or person within the university premises due to the happening of any force majeure event within the project period or otherwise.

**ANNEXURE 2**  
**SCHEDULE OF PAYMENT**

| Sl. No. | Item   | Year 1           | Comments  |
|---------|--|------------------|---|
| 1       | Stipend for PhD scholar  | 600,000          | Item Number 1: It includes 50,000 INR stipend per month for the PhD scholar, which includes student fees as well.   |
| 2       | Participation in international and national conferences, training programmes, capacity building programmes, webinars (both by student and supervisors) | 50,000           | Item Number 2: Student and supervisor(s) are required to participate in international and national conferences, training programmes, capacity building programmes, webinars during the four-year period on the theme of the research. The annual expenses quoted may not exactly be matching the expenses of that particular year, however, total expenses will be as per the quoted value for the entire period.   |
| 3       | Field visits, surveys, & interviews (both by student and supervisors)  | 100,000          | Item Number 3: The expenses in this heading constitute expenses related to field surveys, visit to the project sites, primary data collection, meeting with experts. Towards that end, an amount of 600000 INR is kept for carrying out surveys, conducting travels and interviews, modest accommodation during the survey and other associated expenses. The annual expenses quoted may not exactly be matching the expenses of that particular year, however, total expenses will be as per the quoted value for the entire period. |
| 4       | Stakeholder engagement workshops (2 workshops proposed)  | -                | Item number 4: Two stakeholder engagement workshops are proposed during the 2nd and 4th years to solicit expert views, validate findings and disseminate the findings. A total amount of 500000 INR is kept under this heading.   |
| 5       | Subscription to research journals, reports, data sources (secondary), and other publications etc.  | 100,000          | Item Number 5: A lumpsum of 600000 INR is kept for subscription to research journals, study reports, data sources (secondary), and publications in journals (open access) etc. The annual expenses quoted may not exactly matching the expenses of that particular year, however, total expenses will be as per the quoted value for the entire period.   |
| 6       | Miscellaneous & contingency  | 100,000          | Item Number 6: Miscellaneous and contingency is kept 100000 per annum, hence a total of 400000 is kept for the four-year period. The annual expenses quoted may not exactly matching the expenses of that particular year, however, total expenses will be as per the quoted value for the entire period.   |
| 7       | Institutional overhead@ 10 % (Contribution by SG)  | 95,000           | Item Number 7: Institutional overhead of 10 % is charged to SG. These expenses include expenses towards staff seating, energy, IT and telecom support   |
| 8       | <b>Total</b>   | <b>1,045,000</b> |   |

| Quarter Wise Breakup |  |         |         |         |         |           |
|----------------------|--|---------|---------|---------|---------|-----------|
| Sl. No.              | Item   | Q1      | Q2      | Q3      | Q4      | TOTAL     |
| 1                    | Stipend for PhD scholar  | 179,875 | 130,125 | 159,875 | 130,125 | 600,000   |
| 2                    | Participation in international and national conferences, training programmes, capacity building programmes, webinars (both by student and supervisors) | 10,000  | 10,000  | 10,000  | 20,000  | 50,000    |
| 3                    | Field visits, surveys, & interviews (both by student and supervisors)  | 10,000  | 20,000  | 30,000  | 40,000  | 100,000   |
| 4                    | Stakeholder engagement workshops (2 workshops proposed)  |         |         |         |         |           |
| 5                    | Subscription to research journals, reports, data sources (secondary), and other publications etc.  | 20,000  | 30,000  | 30,000  | 20,000  | 100,000   |
| 6                    | Miscellaneous & contingency  | 25,000  | 25,000  | 25,000  | 25,000  | 100,000   |
|                      | Subtotal   | 244,875 | 215,125 | 254,875 | 235,125 | 950,000   |
| 7                    | Institutional overhead@ 10 % (Contribution by SG)  | 23,750  | 23,750  | 23,750  | 23,750  | 95,000    |
| 8                    | Total  | 268,625 | 238,875 | 278,625 | 258,875 | 1,045,000 |








***Proposal for suggesting Blue Green interventions for addressing  
flooding between sectors 56 and 26 in Gurugram***

*Submitted to*

*I Am Gurgaon, Gurugram*

**Principal Investigator (PI)**

Ms. Ranjana Ray Chaudhuri, Lecturer, Department of Regional Water Studies

**Co PI**

Dr. Sherly M. A., Assistant Professor, Department of Regional Water Studies

Dr. Fawzia Tarannum, Assistant Professor, Department of Regional Water Studies

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Tel. +91 11 71800222 (25 lines), Fax +91 11 26122874

A handwritten signature in blue ink, likely belonging to the Principal Investigator, Ms. Ranjana Ray Chaudhuri.

## 1 Background

Gurgaon District in the State of Haryana has been facing frequent waterlogging and urban floods during monsoon due to rapid urbanisation and lack of drainage system. This hampers both traffic and results in business and economic losses. On the contrary, sharp decline in groundwater table and water scarcity during summer is prevalent in the area due to increased dependence to meet the demands of domestic, agricultural and industrial uses. Hence, this project proposal aims at blue green interventions for integrated water resources management that will be addressing the issues of drought and flood management in a sustainable fashion.

## 2 Site description

The project site is located between Sectors 26 and 56 along the Golf Course Road in Gurgaon (Southwest of Aravalli biodiversity park) near the foot-hills of Aravalli Hills as shown in Figure 1.

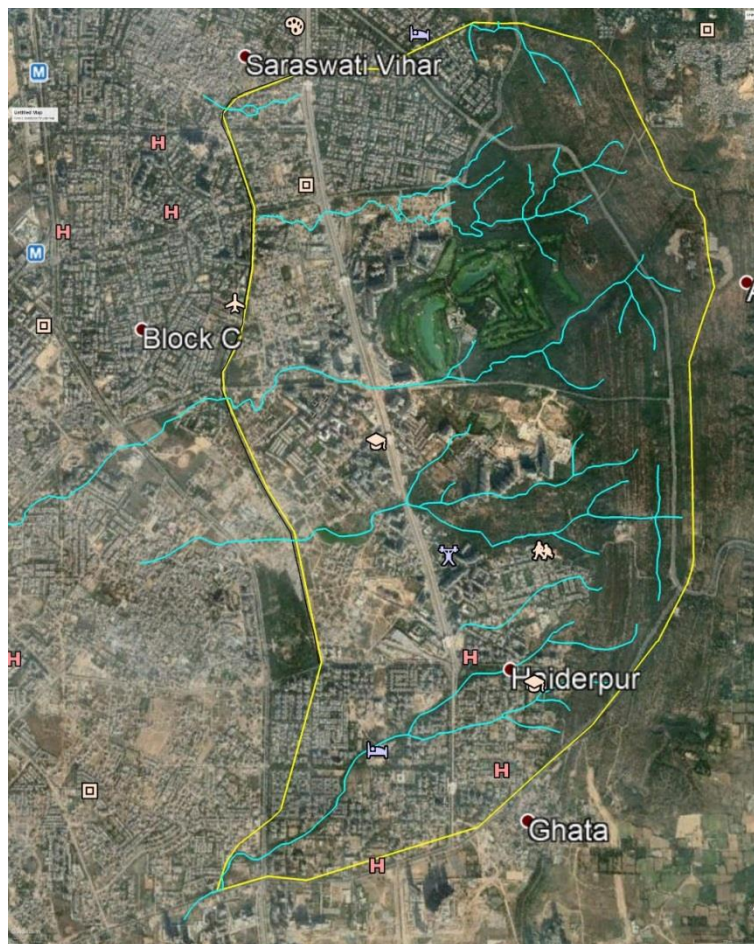
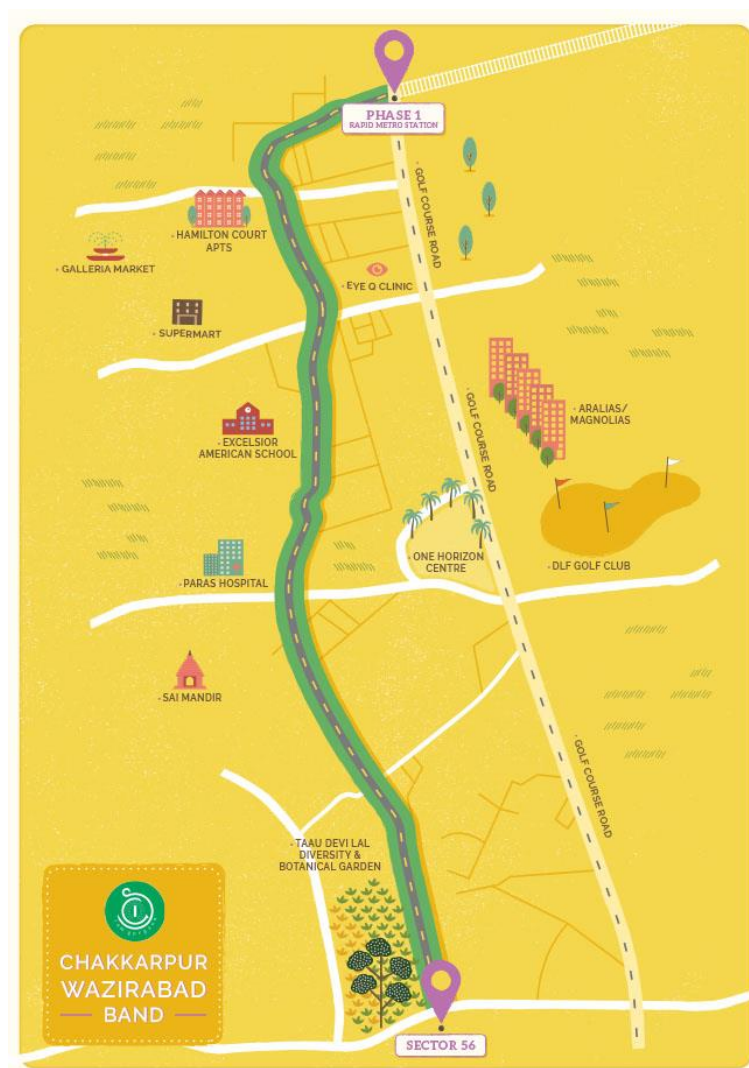


Figure 1 Project site in Gurgaon and the creek network (Creeks 1-4).

The region lies at 28°30' N latitude and 77°6' E longitude, at an altitude of 240-280 m above mean sea level (MSL) and the area comes under the National Capital Region (NCR). There are four main creeks that will be studied in detail to propose the interventions.

### Existing blue green interventions in the study area

The Chakkarpur-Wazirabad bundh project is a prominent and successful self-sustaining green public space located within the study area. The site was earlier in a plastic choked state with rampant illegal sewage dumping. The project won the 'Best Practices to Improve the Living Environment' award by the Housing and Urban Development Corporation of India (HUDCO), under the Union ministry of housing and urban affairs. As shown in **Figure 2**, the bundh runs for a length of 5.2km between Galleria Market and Sector 56, alongside an 8-metre-wide stormwater drain (one of the 60 colonial-era bundhs that were designed to contain rainwater and recharge underlying groundwater reserves).



**Figure 2 Chakkarpur-Wazirabad bundh, a successful blue-green intervention by iamgurgaon and within Creek 2 watershed (Source: <https://iamgurgaon.org/portfolio/cwb/>)**

### 3 Objective of the Study

To propose blue green interventions for mitigating urban flooding in the selected area of Gurugram with a special focus on:

- i) Existing creek network (Creeks 1 to 4) and runoff capacity
- ii) Existing stormwater drains and runoff capacity
- iii) Existing innovative blue green interventions within the study area
- iv) Proposing new blue green interventions to mitigate flooding

### 4 Data collection

A preliminary survey of the area has been conducted on 13 September 2020 covering all four creeks. However, the current condition of each stretch within the network needs to be investigated. Hence, few more site visits may be conducted as and when necessary.

#### Documents needed from I Am Gurgaon

1. DPR prepared by GMDA
2. Drainage Network Map along with the location of underground drains and culverts
3. Ward level map
4. Condition of drainage network within the residential areas through geotagged photographs

### 5 Expected outcomes

- i. Runoff calculations in the study area.
- ii. Runoff carrying capacity of the existing stormwater drains/streams/canals/ creeks.
- iii. Modelling potential interventions and proposing type and locations for implementing interventions.

### 6 Proposed Activities and duration

| Serial No. | Activities  | Time Duration    |
|------------|---|------------------|
| 1.         | Study of the existing DPR developed by GMDA to understand the runoff calculations and the areas that have been covered. | 3 Days/ 18 hours |
| 2.         | Current Layout of the creeks using GIS  | 1 Day/8 hours    |





|    |  |                             |
|----|--|-----------------------------|
| 3. | Calculation of the current water carrying capacity of the creeks | 3 Visits<br>5 Days/30 hours |
| 4. | Runoff Calculation   | 20 Days/ 160 hours          |
| 5. | Modelling interventions  | 20 Days/ 160 hours          |
| 6. | Proposing interventions  | 3 Days                      |
| 7. | Report writing   | 15 Days                     |

Total time duration: 3 months from the date of confirmation of the assignment.

An interim report shall be submitted at the end of the second month.

## 7 Budget

The fee for the complete study along with recommendations shall be INR 5,00,000.00 (Five Lakhs Only). GST @18% Extra if applicable.

Schedule of Payment

30% on completion of activities 1,2 and 3.

40% on completion of activities 4 and 5.

30% on submission of final report and the acceptance of the work by IAG.

## 8 Bank Details

Name of Account Holder : TERI School of Advanced Studies  
Account Number : 5214 290 8571  
Bank Name : State Bank of India  
Branch Name (61720) : India Habitat Centre  
Contact Address : Durbari Seth Block, Habitat Place, IHC, Lodhi Road, New Delhi-110003  
Account Type : Saving  
IFSC Code No. of the Bank : SBIN 00 61720





## The DHAN Academy

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### Work Engagement Letter

09 October 2020

To,

Prof. Arun Kansal,  
Head of the Department,  
Department of Regional Water Studies,  
TERI School of Advanced Studies,  
New Delhi.

Sir,

*Greetings from The DHAN Academy!*

**Sub: Engaging Department of Regional Water Studies (DoWRS) for content  
development and training on 'Land based water pollution' – reg.**

As the Department of Regional Water Studies (DoWRS) have much expertise in water related training / workshops and resource material preparation, we propose to collaborate with your team to prepare the resource materials and conduct trainings. As per the discussions and consultations with your team, the Terms of Reference (ToR) has been prepared and enclosed. We will be able to provide the financial support in the ToR. We request you to render your support in completion of the activities as per the timeline mentioned in the ToR. We will courier two hard copies of the letter. Kindly sign one and send it back for our audit purposes. Looking forward for your kind acceptance and support in this regard.

With kind regards

  
A Gurunathan  
Director

**Encl: ToR**

### Terms of Reference

#### **Description of service**

Development of training content and delivery of the training on Land based water pollution and Agriculture water pollution.

#### **Contact details (TERI)**

Dr Fawzia Tarannum, Department of Regional Water Studies.  
[Fawzia.tarannum1@terisas.ac.in](mailto:Fawzia.tarannum1@terisas.ac.in), +91 9811995471

#### **Contact details (The DHAN Academy)**

S. Praveen Kumar, Water Knowledge Centre, The DHAN Academy.

[Spraveen92@gmail.com](mailto:Spraveen92@gmail.com), [wkc@ghan.org](mailto:wkc@ghan.org), +91 9500450638

#### **Scope of work**

1. Design of training outline and delivery notes for 2 days training on Agriculture Water Pollution
2. Design of training outline and delivery notes for 3 days training on Land-based Water Pollution
3. Conduct of two-day online training on Agriculture Water Pollution
4. Conduct of three-day online training on Land-based Water Pollution
5. Conduct of one day workshop on Best practices - Agriculture and Water pollution

#### **Review Process**

On submission of complete draft of the training materials, DHAN Foundation shall review it and conduct a discussion with TERI SAS to suggest modifications.

#### **Timeline**

| Activity   | Oct 12-<br>Nov 8 | Nov<br>09-15 | Nov<br>16-22 | Nov<br>23-27 | Nov<br>28 |
|--|------------------|--------------|--------------|--------------|-----------|
| Design of training outline and delivery notes for 2 days training on Agriculture Water Pollution |                  |              |              |              |           |
| Design of training outline and delivery notes for 3 days training on Land-based Water Pollution  |                  |              |              |              |           |
| Conduct of two-day online training on Agriculture Water Pollution                                |                  |              |              |              |           |
| Conduct of three-day online training on Land-based Water Pollution                               |                  |              |              |              |           |
| Conduct of one day workshop on Best practices - Agriculture and Water pollution                  |                  |              |              |              |           |

**Budget**

| <b>Activity</b>  | <b>Amount in (INR)</b> |
|--|------------------------|
| Design of training outline and delivery notes for 2 days training on Agriculture Water Pollution | 1,30,000               |
| Design of training outline and delivery notes for 3 days training on Land-based Water Pollution  | 1,00,000               |
| Conduct of two-day online training on Agriculture Water Pollution                                | 72,000                 |
| Conduct of three-day online training on Land-based Water Pollution                               | 1,10,000               |
| Conduct of one day workshop on Best practices - Agriculture and Water pollution                  | 61,000                 |
| Sub Total  | 4,73,000               |
| GST 18%  | 85,140                 |
| <b>Total</b>   | <b>5,58,140/-</b>      |
| <b><i>Rupees Five lakh fifty-eight thousand one hundred and forty only.</i></b>                  |                        |

**Payment Schedule**

This fee is to be paid as follows:

INR 230000/- + 18% GST on submission of training outline and delivery notes for both the trainings.

INR 182000/- + 18% GST on completion of the two trainings

INR 61000/- +18% GST on conduct of the one-day workshop

**Signature**


For The DHAN Academy

Date: 9 Oct 2020



For TERI School of Advanced Studies