

INFORMATION OF SANCTIONED PROJECT AND APPROVAL FOR IMPLEMENTATION

(REQUEST FOR VICE CHANCELLOR'S APPROVAL)

1. **Project Title** : Trade off between NDC and SDG targets for India: A macro analysis of carbon sequestration and economic development between 1992 -2018.

sanction letter No 20: 220ET17INR17513

2. **Funding agency** : South Asian Network for Development and Environmental Economics (SANDEE ICIMOD)

3. **Department**: Economics discipline, Goa Business School

4. **Principal Investigator** : Ms. Heena Gaude

5. **Co-investigator (if any)** : Ms. Pravinya Bhangle

6. **Duration of project**: 24 months

7. **Total amount of the project**: \$ 18,000 (Rs. 13,50,540)

8. **Sanctioned Sub Heads and amount** :

I have converted the dollar value to the rupee based on the exchange rate (Rs. 75.08571429 / \$).

Sr.No	Cost category	Amount (in dollar)	Amount (in rupee)
1	Staff cost	6480	4,86,555
2	Travel	3386	2,54,240
3	Equipment	2400	1,80,205
4	Workshop/meetings	1356	1,01,816
5	Supplies	2306	1,73,147

9. **Overhead**: \$ 2072 (Rs. 1,55,577)

10. **Number and Designations of research staff** :

One research staff for five-month

11. **Terms and conditions** :

- a) **Dates for submission of Report**

First progress report 31 May 2022

Second progress report 15 November 2022

Third progress report 15 May 2023

Fourth progress report 31 December 2023

- b) **Dates for submission of utilization certificate** :

15 November 2022 first installment utilization certificate

31 December 2022 first and second installment utilization certificate

12. **Year wise break-up of the sanctioned amount** :

First fund disbursement 15 December 2021- \$ 6,300 (Rs. 4,73,040)

Second fund disbursement 15 November 2022- \$ 9,000 (Rs. 6,75,771)

Third fund disbursement 31 December 2022- \$ 2,700 (Rs. 2,02,731)

13) Plan of utilization of sanctioned grant over the year : (use additional sheet)

	Item	Expense (\$)	Expense (INR)
First year	equipment	2,400	1,80,205
	Software	733	55,037
	Co-PI remuneration	3559	2,67,230
	Research Staff	1200	90,102
	Stationary	161	12,088
	Travel expense	2000	1,50,171
	Secondary data	1000	75,085
	seminar/meeting	800	60,068
	Total Amount	11,853	8,89,990
Second year	CO-PI remuneration	1721	1,29,222
	Stationary	79	5,931
	Travel	1386	1,04,068
	secondary	333	25,003
	seminar/meeting	556	41,747
	Total Amount	4075	3,05,974

Project Investigator

Date: 29/4/22

HOD

Date:

(For use of RDRM)

- Project No. : GU/D-RDRM/SANDEE-ICIMOD/HSG/CBS/24/2021-22
- Overhead expenditure sanctioned : Rs. 1,54,960/-
- Mode of submission of utilization certificate (Half yearly/yearly) : yearly
- Details recorded in
 - Section III : _____
 - Finance Office : _____
 - RDRM : _____ Date : 02/05/22

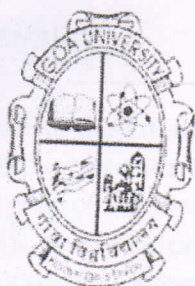
(FOR USE BY VICE CHANCELLOR)

Sanctioned/Not Sanctioned:

Sanctioned
Vice Chancellor

Date : 02/05/22

661C



ICIMOD

LETTER OF AGREEMENT

BETWEEN

**INTERNATIONAL CENTRE FOR INTEGRATED MOUNTAIN DEVELOPMENT (ICIMOD)
LALITPUR, NEPAL**

AND

GOA UNIVERSITY, INDIA

Trade-off between NDC and SDG targets for India: A macro analysis of carbon sequestration and economic development between 1992-2018

Dec 2021

Summary: Letter of Agreement

Agreement Number:

ICIMOD Program: SANDEE / MKAN

Country: India

Budget: USD 18,000

Cost Center: 6-948-000-0-C/ 948-02-01-22 /A-901

Project Period: 24 months

Effective date: 15 Dec 2021 Completion date: 14 Dec 2023

Focal Persons:

ICIMOD

Name: Mani Nepal

Designation: Program Coordinator SANDEE

Email: mani.nepal@icimod.org

Goa University, India

Name: Heena Gaude

Designation: Principal Investigator

Email: heena@unigoa.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 : Research related terms and conditions

ANNEX IV : Ethical guidelines for research

ANNEX V : Progress report guidelines

ANNEX VI : SANDEE Working Paper template

ANNEX VII : Financial Report Template

ANNEX VIII : Sample grant disbursement request letter

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, India, 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 : +977-1-5275222
 E-mail : scu@icimod.org

WHEREAS The Goa University, was established under the Goa University Act of 1984 (Act No. 7 of 1984) and commenced operations on 1 June 1985. The university provides higher education in the Indian state of Goa.

Address : Goa University Taleigao Plateau Goa
 Telephone : +91-8669609048
 E-mail : registrar@unigoa.ac.in

WHEREAS having recognized the mutual objective of building research capacity, developing academic leadership, and generating evidence-base for informed policy making in Environmental and Development issues.

THEREFORE, Goa University, India and ICIMOD (**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.

Project Title: Trade-off between NDC and SDG targets for India: A macro analysis of carbon sequestration and economic development between 1992-2018

Project Objective:

The overall study goal is to inform policymakers if there has been a trade-off between economic growth/social development and climate change mitigation under different afforestation and management regimes. This helps us understand if the NDC targets and SDG goals complement each other or whether they substitute each other. We also hope to overlay the LULC changes, especially in forest areas with forest management practices like joint forest management.

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 Goa University 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: Mani Nepal
Designation: Program Coordinator
Tel: 977 1 5275222
Email: mani.nepal@icimod.org

Goa University, India

Name: Heena Gaude
Designation: Principal Investigator
Tel: +91 9764579903
Email: heena@unigoa.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 GOA UNIVERSITY, INDIA, India under this Agreement is USD 18,000 (In words USD Eighteen Thousand only). The details of the budget are provided in the Annex III.

4.1.2 GOA UNIVERSITY, INDIA, shall ensure that ICIMOD contribution shall be kept separate from funds of other sponsors within GOA UNIVERSITY, INDIA'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 GOA UNIVERSITY, INDIA, 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 GOA UNIVERSITY, INDIA, for reporting frequency other than annual basis. The total amount payable to the Partner under this Agreement is USD 18,000. The fund disbursement shall be made as follows:

SN	Deliverables	Due Date	Payment
1	Upon signing of LoA	15 Dec 2021	US\$ 6, 300 [35 % of total budget]
2	First Progress and Financial Report (Reporting period Dec 15, 2021, to May 15, 2022)	31 May 2022	NA
3	Second Progress report	15 November 2022	US\$ 9,000 [50 % of total budget]

	Financial report (<i>Reporting period May 15, 2022, to November 15, 2022</i>)		
4	Third Progress and Financial Report (<i>Reporting period November 16, 2022, to May 14, 2023</i>)	15 May 2023	NA
5	Final progress report Final financial report Final Manuscript, data (Specified in Annex III 6) (<i>Reporting period 16 May 2023 to 14 Dec, 2023</i>)	31 Dec 2023	US \$ 2,700 [15 % 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 letter with bank details.
- b. For each subsequent disbursement, a narrative report and financial report certified by the authorized signatory of the partner together with the advance request letter are to be submitted by Partner.
- c. Copies of all the approved accounting vouchers (signed by head of finance of the partner organization) and actual supporting documents for the expenditure claimed by the partner for that period. The actual supporting documents should be retained by the partners till the end of the required period (refer. Clause 4.4.1) for necessary audit by ICIMOD or the donor. Without the certified financial statement in the agreed format and the 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.

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 Taxes

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.

4.3 Financial Management

The partner shall maintain at all times during the agreement term a financial management system that complies in all respects with the applicable ICIMOD's (if specifically obliged) regulations and guidelines and shall ensure that all funds are prudently managed and used solely for project purposes in a manner consistent with the terms of this LoA. The Partner shall use its reasonable efforts to ensure that the funds are not used for the purposes other than stated in this LoA.

4.4 Maintenance of Records

4.4.1 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 as prescribed by the Host Country. Project books and records must be kept in the possession of the Partner for at least up to 31 Dec 2027

4.4.2. The Partner shall keep a separate list of all non-expendable items (fixed assets) purchased out of this project. A disposal plan for such items/assets should be presented for ICIMOD approval at the end of the project/assignment.

4.5 Audits Requirements

4.5.1 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.

4.5.2 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 ICIMOD must also be attached separately as part of the consolidated financial statement. Such audit report needs to be submitted to ICIMOD on annual basis.

4.5.3 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.

4.6 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/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 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 Partner shall submit progress report along with the financial report to receive each installment as specified in Section 4.1.3. Please refer to Annex IV and V for the progress report and financial reporting template respectively.

5.2 The Partner shall submit a project completion report at the end before claiming the final installment of fund.

SECTION 6: Monitoring and Evaluation (M&E)

- 6.1** To maximise impact and sustainability as well as to ensure an appropriate level of monitoring, ICIMOD will require the Partner to apply result oriented monitoring and evaluation system based on the defined indicators, baselines and targets for efficiency, effectiveness and impact. These indicators are agreed as part of the M&E plan jointly developed by the Partner and ICIMOD. ICIMOD will conduct review and evaluation at any given point of time of the agreed plan. The date of the review and evaluation will be communicated in advance to the Partner.
- 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 institutions 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.
- 7.4** The Partner and ICIMOD 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 ICIMOD.
- 7.5** 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 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 Sub-awards

In the case of all sub-awards, including subcontracts, and sub-grants, the Partner will seek prior written approval of the sub-award from ICIMOD which will include an explanation of the competition process that was followed. ICIMOD must approve the sub-award in advance of the execution of any agreement by the Partner.

8.3 Procurement

8.3.1 The Partner shall keep ICIMOD continuously informed about the policies and practices that it shall use to contract for goods and services under this Agreement. Contracts shall be awarded on a transparent and, subject only to established exemptions included in written procurement policies and practices provided to the ICIMOD on competitive basis.

8.3.2 For all procurement above US\$ 10,000.00, Partner shall take prior approval from the ICIMOD before initiating procurement process.

8.3.3 The Partner shall keep a separate list of all non-expendable items (fixed assets) purchased under this LoA.

8.3.4 The partner shall ensure that all goods and services and activities financed with project funds are used solely for project purposes

8.4 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.

8.5 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.

8.6 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.

8.7 Harassment and disrespect

ICIMOD prohibits harassment of any kind, including sexual harassment in any of the activities funded through ICIMOD, and expects ICIMOD partners to have a similar stand. Partner is expected to take appropriate and immediate action in response to complaints or knowledge of violations of this nature. For purposes of this policy, harassment is any verbal or physical conduct designed to threaten, intimidate or coerce an employee, co-worker, or any person working for or on behalf of the partner. ICIMOD anti-sexual harassment policy can be referred from the link herewith, (https://www.icimod.org/wp-content/uploads/2020/03/ICIMOD_PolicyOnThePreventionAndRedressalOfSexualHarassmentInTheWorkplace_2020.pdf)

8.8 Environmental and Social Safeguard

ICIMOD is devoted to the wellbeing and development of mountain people and conservation of the environment. This policy provides institutional guidance to assess environmental and social risks, to ensure safeguards and thus to mitigate any potential negative impacts as a result of the implementation of the Centre's work. The partner must comply with and implement the requirements set out in the ICIMOD Environmental and Social safeguard Policy. ICIMOD Environmental and Social safeguard Policy can be referred from the link herewith, (https://www.icimod.org/wp-content/uploads/2020/10/ICIMOD_EnvironmentalAndSocialSafeguardsPolicy2020.pdf)

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 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 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 GOA UNIVERSITY, INDIA, and ICIMOD shall enter into force upon signature by the Parties and will remain in effect from 15 Dec 2021 until 14 Dec 2023. 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:

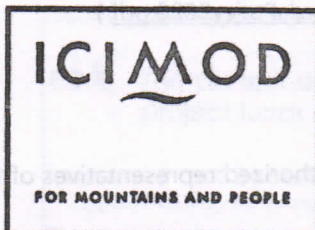
For the International Centre for Integrated
Mountain Development (ICIMOD)



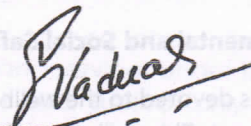
Dr. Pema Gyamtsho

Director General

Date and Seal:



For Goa University, India



Prof. V.S. Nadkarni

Registrar

Date and Seal:

