



ST. XAVIER'S COLLEGE

(AUTONOMOUS)

**5, Mahapalika Marg, Mumbai - 400 001,
INDIA.**

☎ 2262 0661/65

6.4.2: FUNDS / GRANTS RECEIVED FROM NON-GOVERNMENT BODIES, INDIVIDUALS, PHILANTHROPISTS

- ❖ **Sir Ratan Tata Trust – Science laboratory Equipment Upgradation**
- ❖ **Sir Ratan Tata Trust Digitization and Conservation of the Blatter Herbarium**



ST. XAVIER'S COLLEGE

(AUTONOMOUS)

**5, Mahapalika Marg, Mumbai - 400 001,
INDIA.**

☎ 2262 0661/65

SIR RATAN TATA TRUST GRANT :
UPGRADATION OF SCIENCE
LABORATORY EQUIPMENTS

SIR RATAN TATA TRUST

Bombay House • Homi Mody Street • Mumbai - 400 001 • Tel. : 6665 8282 • Fax : 022-6665 8013

December 2, 2014

Dr. Frazer Mascarenhas
Principal
St. Xavier's College
5, Mahapalika Marg
Mumbai: 400 001
Email ID: principal@xaviers.edu

Grant Id¹: ANC-SXC-20141114

Project: "Up-gradation of Science Laboratory Equipment and Classroom Digital Infrastructure at St. Xavier's College"

Dear Dr. Mascarenhas,

We are pleased to inform you that the Trustees of the Sir Ratan Tata Trust have approved a grant of Rs. 29,819,000/- (Rs. Twenty Nine Million Eight Hundred and Nineteen Thousand only) to the St. Xavier's College (SXC), Mumbai for the project titled "Up-gradation of Science Laboratory Equipment and Classroom Digital Infrastructure at St. Xavier's College". This grant is being made in response to your letter dated September 2013 sent with the revised proposal and related correspondence on the matter.

The grant is made subject to the following terms and conditions:

- Amount of Grant: Rs. 29,819,000/-
- Term: 3 years; commencing from November 2014 to October 2017.
- Purpose: This grant is to be specifically used for the purposes set out in Annexure 1 hereto.

Disbursement of the Grant:

The grant will be disbursed in the following installments over 3 years.

Installment No.	Period	Amount	To be released against funds raised towards the project from Other Sources (Not Applicable)
1	November 2014	Rs. 13,204,000/-	-
2	May 2015	Rs. 13,623,000/-	-
3	November 2015	Rs. 748,000/-	-
4	May 2016	Rs. 748,000/-	-
5	November 2016	Rs. 748,000/-	-
6	May 2017	Rs. 748,000/-	-
Total		Rs. 29,819,000/-	-

The installments mentioned above would be contingent upon St. Xavier's College (SXC), Mumbai raising contribution from 'Other Sources' as listed in the table above. (Not Applicable)

Disbursements will be subject to review by the Trust and the availability of funds. However, the Trust will not be responsible or held liable for any consequences that may arise if future disbursements are not made due to any cause beyond the control of the Trust and not an act, deed or omission attributable to the Trust.

¹ Please mention this grant id in all the Trust related correspondences

Kindly ensure that the balance at the end of the month, prior to the disbursement of the installment is clearly mentioned in all request/s and report/s submitted prior to the next installment.

Utilization of funds:

The Grant has been made only for the purposes stated in Annexure 1 and any variation made, without the prior written approval of the Trust will be seen as a ground for termination of the Grant.

The Trust discourages funds from Other Sources being used for the specific line items supported by the Trust unless specified in the Annexure 1 of this grant letter. The Trust will release the installment after review of the utilization as per the reports (as mentioned in the Grant Letter) submitted by St. Xavier's College (SXC), Mumbai. Therefore, SXC may request for the next installment in advance to mitigate risks of shortfall of funds and utilization of funds from other sources to temporarily bridge the gap. The Trust will release the installment after review of the utilization as per the reports (as mentioned in the Grant Letter) submitted by SXC.

Separate Bank Account:

SXC will maintain a separate bank account for funds received from the Trust. All receipts and payments related to the said project must be made through this account.

Books of Accounts:

A separate set of Books of Accounts will also be maintained to show the various expenses incurred from this grant. The Standard Accounting Package used by your organization should ensure that separate cost centers are maintained for each line item mentioned in the Annexure 1. Also, please ensure that expenses made towards each of the sub line items are traceable through the cost center wise statements.

The Trust encourages maintenance of accounts through adequate usage of the licensed version of any Accounting Package, as a prudent practice in the interest of your organization.

Procedure for Booking of Expenses:

Based upon project design, expenditure must be grouped under three main heads:

- (i) Funds to be spent directly by the Grantee.
- (ii) Funds to be transferred to the account of another implementing or partner organization/s (if appropriate), and **(Not Applicable)**
- (iii) Funds to be transferred to a community based organization/s **(Not Applicable)**

The grouping of various budget items under these two/three heads must be as per activities, indicated in Annexure 1.

Accounts of all project linked organizations are subject to audit by the Trust. In specific cases where project activities involve funds to be transferred to direct and collaborative work with communities, a Joint Bank Account must be opened, which would be operated with joint signatures of representatives of the concerned grantee/organization and the community based organization implementing the activities. Maintenance of this joint account shall be the responsibility of the community based organization. The community based organization must maintain separate books of accounts for the funds received and payments made. Their books of accounts shall be available for public scrutiny and for all periodic audits conducted by the Trust. Details regarding operationalization of the above, need to be shared with the Trust within six months of the commencement of the project. **(Not Applicable)**

Accounts of all project linked institutions are subject to audit by the Trust.

Procurement Systems for Goods and Services Purchased:

The Trust encourages a transparent procurement system for purchase of goods and services. The second installment would be disbursed contingent approving the system being used by the grantee for the procurement of goods and services. As per findings of the Financial System Check audit St. Xavier's College should immediately form a purchase committee consisting of key personnel from the College.

person(s) having technical knowledge on the materials to be procured and one representative of the Trust as a nominee in the committee. The following details of the purchase committee should be submitted to the Trust within two weeks of receipt of this grant letter.

- i. Procurement policy adopted by SXC, Mumbai for the above project including constitution of the committee, role, responsibility and authority of members.
- ii. Threshold for quotations
- iii. Bidding systems
- iv. Tendering procedures
- v. Maintenance of the purchase files, stock registers etc.

Cash Payments:

Cash withdrawals to make payments are permitted where the same is supported by proper vouchers, invoices, etc., subject to a maximum limit of Rs. 5,000/-. All payments should be made by crossed Account Payee cheque or Demand Draft.

Interest earned on Grant Funds:

The Grantee should keep any unspent balance invested and avoid keeping a balance of more than next two months budgeted expenses in hand. Idle grant balance should be invested in permissible investments under Section 11(5) of the Income Tax Act, after due approval of the grantee's Board/ Governing Body. Interest received on grant funds must be reported to the Trust (as a part of the Financial Report) as per Annexure 2 and should be credited into the dedicated Bank Account. Interest should be used towards line items stated in the Grant Letter only with prior approval of the Trust.

Reports: – Annual Work Plan, Baseline Report and Quarterly Progress Report:

1) Annual Work Plan (AWP):

The Annual Work Plan for the period of twelve months from start of the project will comprise of:

- a. Separate description of the various activities being planned for the year
- b. Target for each programme line item with reference to the operational plan
- c. Estimated budget for programme and non-programme line items
- d. Detailed cost estimates need to be prepared for each line item, specifying numbers, unit costs, etc. and approved as part of the annual work plan review exercise
- e. Contribution from other sources for the overall funding of the programme. **(Not Applicable)**
- f. Detailed strategy and action plan for partnership development with various Government organizations for resource mobilization **(Not Applicable)**
- g. Impact indicators, tools of verification for each of the proposed activities **(Not Applicable)**
- h. Detailed strategy for working with CBOs and their capacity building. **(Not Applicable)**

The consolidated Work Plan comprising the above needs to be shared with the Trust. The first Work Plan for the period November 1, 2014 to March 31, 2015 should be submitted by December 2014, subsequently the next year Work Plan for the period April 1, 2015 to March 31, 2016 should be submitted by March 31, 2015 and would be for a period of twelve months. Subsequent, year should follow this period. The process of finalization will include a comprehensive external review exercise in November every year, which will feed into the Annual Work Plan exercise.

2) Baseline Survey Report:

A comprehensive Baseline Survey Report would be submitted by SXC, Mumbai. The parameters for baseline data collection and the monitoring indicators should be developed jointly in consultation with the Trust team/ representatives. **(Not Applicable)**

3) Quarterly Progress Reports (QPRs): Brief project progress reports are to be submitted to the Trust every quarter (within 15 days of completion of the quarter). QPR consists of the following two documents:

- a. Quarterly Narrative Report
- b. Quarterly Financial Report

a) Quarterly Narrative Reports (QNRs):

A brief narrative report should be submitted quarterly to the Trust, providing a description of progress made specifically on activities undertaken / completed since initiation of the project, as per the AWP. The Quarterly Narrative Report should include progress against quantifiable & qualitative indicators.

The suggested format for the Quarterly Narrative is as follows:

- a. A one page Summary Table with project dates, till date fund situation, numbers of beneficiaries, locations and specific activity progress against AWP
- b. Introduction, Objectives and Aim (brief)
- c. Project Area and Partners (brief)
- d. Implementation Strategy, including discussion on any changes in indicators or monitoring strategy/ activities
- e. Activities carried out since last QPR including progress against monitoring indicators, as per AWP
- f. Photographs and case studies
- g. Funds mobilization strategy and details
- h. Lessons learned, Future Action Plan for new quarter as per approved AWP

b) Quarterly Financial Report (QFR):

A financial report should be submitted quarterly. This Financial Report should be in the format provided in Annexure 2 of this Grant letter. Any variances or discrepancies in line items will have to be explained in detail in a covering letter. Please ensure reporting periods do not overlap across any two financial years.

Reporting periods for the QPR:

The first Narrative and Financial reports will be for a period of two months from the start of the project (November 1, 2014 to December 31, 2014) and should be submitted by January 15, 2015. Next report will be for January to March 2015 (three months) should be submitted by April 15, 2015. Thereafter, reports would be submitted on a three monthly basis for each quarter (April to June, July to September, October to December 2015 and January to March 2016). In the final year of 2017-18, first quarterly report will be for April 2017 to June 2017 while final for July to October 2017 (four months). You are also required to email this report to the Trust by the required date, in addition to submitting a hard copy by post/courier.

4. Annual Narrative Report:

A detailed Annual Narrative Report should be submitted within 30 days after the end of every project year, and should include a detailed description of progress made in the project, as well as specific progress in project activities against the AWP. It should also include details on progress made across each activity in the project and outputs achieved in terms of the objectives outlined in the proposal. The first detailed Annual Narrative Report will be for November 1, 2014 to March 31, 2015 (five months); second for April 2015 to March 2016; third for April 2016 to March 2017 and fourth from April 2017 to October 2017 (seven months).

The report would specifically include:

- a. Summary table detailing project dates, fund situation, numbers of beneficiaries, locations and specific activity progress against the AWP
- b. Introduction, Objectives and Aim
- c. Project Area and Partners
- d. Implementation Strategy, including discussion on any changes in indicators or monitoring strategy / activities
- e. Activities carried out
- f. Funds mobilization strategy and details

- g. Networking and Partnership building
- h. Specific Event highlights
- i. Analysis of movement in impact indicators developed
- j. Experience and problems encountered while implementing the programme
- k. Key lessons learnt and Future Action Plan
- l. Photographs and Case studies

5. **Auditors Report & Annual Statement of Accounts:**

- (i) A consolidated, audited statement of accounts of the project, including a separate schedule regarding the project supported by the Trust should be submitted by September following the end of the relevant financial year.
- (ii) Presentation of Grant received from Sir Ratan Tata Trust in the Annual Statement of Accounts: The grant received from the Sir Ratan Tata Trust should be treated as an Earmarked Fund in the nature of revenue and all Income and Expenditure should be routed through **the same**. Only grant utilized during the year should be recognized as Income in the organization's Income & Expenditure statement. Annual Statement of Accounts should be annexed with a separate schedule enlisting the utilization of this Earmarked Fund.

6. **Contributions from Other Sources not brought into the accounts of the grantee:**

Details regarding funds from other sources dovetailed towards the project, but not brought into the accounts of the grantee, must be detailed in Annexure 2 of this letter. Furthermore, **a statement / document / letter of proof from the funding agency / government department / institution must be attached, certifying that the amount indicated in the table given on Page 1 above has been raised from the said source towards the project during the specified period.** These documents will be required along with every QNR/QFR as specified in the AWP. All further installments will be disbursed subject to the receipt of the above.

7. **Audit by Trust:**

The Trust shall be entitled to conduct an audit of project accounts including procurement and work procedures in the field (wherever applicable), within a month of the Trust's audit notification, with mutual agreement with the grantee.

The Trust conducts the following types of Audits. The Terms of Reference shall reach SXC, Mumbai at least one week before the Audit.

- 1) Financial System Checks including review of Internal Controls at an organizational level
- 2) Grant Utilization Audit

All compliances towards the findings identified during the audit by the Trust appointed auditors needs to be closed latest within six months of the completion of the audit.

No further installments shall be disbursed by the Trust till all Trust Audit related issues are redressed.

8. **Monitoring and Evaluation:**

The Trust shall monitor the use of the grant funds and conduct a review of operations under this grant, which may include a visit from Trust personnel or Trust representatives, to observe your programme, discuss the programme and finances with your personnel and review financial and other records and materials connected with the activities financed by the grant. The Trust would be sending regular monitoring missions to review the progress and appraise Annual Work Plans.

9. **Information and Publicity:**

It is understood that the Trust's support to St. Xavier's College, Mumbai would be recognized in all publications/studies/hoardings/banners/posters arising from the grant, or otherwise, by mentioning "... supported by the Sir Ratan Tata Trust & Navajbai Ratan Tata Trust under Arts Crafts & Culture initiative". The organization will acknowledge this in all correspondence, public notices and dissemination exercises. SXC, Mumbai will also furnish the Trustees of Sir Ratan Tata Trust & Navajbai Ratan Tata Trust with all the information they require or request for.

B.R.

10. Repayment of Grant funds:

If any of the Grant funds remain unused at the expiry of the term, such amount is to be returned/ repaid to the Secretary & Chief Accountant Sir Ratan Tata Trust by SXC, Mumbai, along with all the interest earned on the grant funds.

11. Amendment of the Grant:

The Trustees reserve their right to unilaterally amend at any time during the continuance of the grant any of the terms and conditions herein which amendment would be conveyed to you and would be binding on you.

12. Arbitration:

In the event of any dispute or difference between the parties hereto arising out of or in connection with or relating to the grant made to you and the terms and conditions set out herein, including with regard to the implementation hereof the same shall be referred to the Arbitration under the provisions of the Arbitration and Conciliation Act, 1996. The Arbitration proceedings shall be held in Mumbai. The language of the Arbitration shall be English. The Courts in Mumbai alone shall have jurisdiction in the matter.

13. Termination:

If the St. Xavier's College, Mumbai commits a breach of the terms and conditions of the Grant or unsatisfactory progress, the Trustees of the Sir Ratan Tata Trust will have a right to terminate the said Grant.

The Grant has been made only for the purposes stated in Annexure 1 and any variation made, without the prior written approval of the Trust will be seen as a ground for termination of the Grant.

If you are in agreement with this letter and the terms and conditions of the Grant, please indicate your organization's agreement to such terms, by having the enclosed copy of this letter countersigned by an appropriate officer, and returned to the Secretary & Chief Accountant of the Sir Ratan Tata Trust. The first installment of this Grant shall be disbursed on receipt of the countersigned copy of this Grant letter.

It is also understood that by countersigning the copy of this letter, your organization confirms that there has been no change in its status as a non profit body registered with any competent authority like the Charity Commissioner/ Registrar of Societies/ Registrar of Companies (u/s 25 only) having adjudication over charitable organizations.

On behalf of the Trust, we extend every good wish for the success of this endeavor.

Yours sincerely,



B.S. Taraporevala
Secretary & Chief Accountant

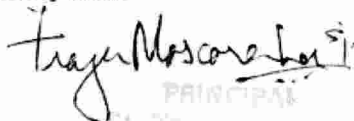
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(Education)

ACCEPTED & AGREED

Administrative & Financial Responsibility for

Name of Organization & Stamp)

Authorized Signature:


PRINCIPAL

SIR RATAN TATA TRUST

Name and Designation: DR. FRAZER MASCARENHAS, PRINCIPAL AND TRUSTEE

Date: 22.12.14

Cheque to be drawn in favour of (savings bank account): Name of the Organization - SRTT Grant A/c

Name & Address of your Bankers:

Bank Account No:

IFSC Code of your bank branch (where RTGS facility is available):

PAN details:

Type of Account:

Note: Along with the abovementioned details we request you to please provide us with

- i. Copy of a cancelled Cheque*
- ii. Copy of the passbook or bank statement (whichever is available) issued for the separate bank account open for Trust funds*
- iii. Copy of the PAN Card*

BAC

SIR RATAN TATA TRUST

Annexure 1

Approved Project Budget

Name of the Institution:
Location of the project
Title of the project

Grant under:

Total Grant Budget:

Grant duration:

Planned Disbursal:

St Xavier's College (SKC)
Mumbai

Up-gradation of Science Laboratory Equipment and Classroom Digital Infrastructure at St. Xavier's College

Art, Crafts & Culture

Rs 29,819,000

November 2014 to October 2017

November 2014 Rs 13,204,000

May 2015 Rs 13,623,000

November 2015 Rs 748,000

May 2016 Rs 748,000

November 2016 Rs 748,000

May 2017 Rs 748,000

Sr. No.	Line Item	Contribution From Sir Ratan Tata Trust	Contribution From Other Sources	Total
1	Programme Personnel			
1.1	Laboratory Technician (2 persons for 3 years)*	Rs 1,080,000	-	Rs. 1,080,000
1.2	Audio Visual Technician**	Rs 648,000	-	Rs. 648,000
	Sub-Total	Rs. 1,728,000	Rs.	Rs. 1,728,000
2	Equipment Cost			
2.1	Elisa Reader Spectrophotometer	Rs 850,000	-	Rs. 850,000
2.2	High speed cooling centrifuge (Eppendorf)	Rs 600,000	-	Rs. 600,000
2.3	Water bath shaker	Rs 30,000	-	Rs. 30,000
2.4	-80°C freezer	Rs 300,000	-	Rs. 300,000
2.5	Incubator shaker	Rs 90,000	-	Rs. 90,000
2.6	Gel Doc	Rs 800,000	-	Rs. 800,000
2.7	Computers to attach to instruments	Rs 150,000	-	Rs. 150,000
2.8	Dry bath	Rs 100,000	-	Rs. 100,000
2.9	Microscopes*	Rs 80,000	-	Rs. 80,000
2.10	Brain View Plus (24 Channel EEG)	Rs 250,000	-	Rs. 250,000
2.11	Air Conditioners (Split)**	Rs 195,000	-	Rs. 195,000
2.12	Dehumidifier***	Rs 99,980	-	Rs. 99,980
2.13	Lab Equipment for Dept. of chemistry	Rs 500,000	-	Rs. 500,000
2.14	Thermal Vacuum evaporation system	Rs 1,000,000	-	Rs. 1,000,000
2.15	Spin Coating System	Rs 200,000	-	Rs. 200,000
2.16	PCB designing software, AITUM	Rs 300,000	-	Rs. 300,000
2.17	Biosafety Cabinet	Rs 340,000	-	Rs. 340,000
2.18	Refrigerators 300-400L	Rs 120,000	-	Rs. 120,000
2.19	PCR	Rs 620,000	-	Rs. 620,000
2.20	Micro centrifuges	Rs 30,000	-	Rs. 30,000
2.21	Computers for imaging systems	Rs 100,000	-	Rs. 100,000
2.22	Microscopes and accessories	Rs 450,000	-	Rs. 450,000
2.23	Electrophoretic units and accessories	Rs 375,000	-	Rs. 375,000
2.24	Microscopes and lenses	Rs 420,000	-	Rs. 420,000
2.25	Cyto Mixers	Rs 25,000	-	Rs. 25,000
2.26	External hard discs 1 Terabyte	Rs 8,000	-	Rs. 8,000
2.27	Incubators	Rs 50,000	-	Rs. 50,000
2.28	Egg incubator	Rs 200,000	-	Rs. 200,000

SIR RATAN TATA TRUST

2.26	Water bath 37°C - 90°C	Rs	90,000	Rs	-	Rs	90,000
2.30	Colorimeters	Rs	100,000	Rs	-	Rs	100,000
2.31	Conductometer	Rs	15,000	Rs	-	Rs	15,000
2.32	Hemoglobin meters	Rs	3,000	Rs	-	Rs	3,000
2.33	Hem oxyimeters	Rs	24,000	Rs	-	Rs	24,000
2.34	Homogenizers	Rs	30,000	Rs	-	Rs	30,000
2.35	Laminar Air Flow	Rs	210,000	Rs	-	Rs	210,000
2.36	Egg Incubator	Rs	120,000	Rs	-	Rs	120,000
2.37	Tube Rotator	Rs	40,000	Rs	-	Rs	40,000
2.38	Sterile Dry Heat Sterilizer	Rs	120,000	Rs	-	Rs	120,000
2.39	Digital Camera With Olympus Microscope	Rs	200,000	Rs	-	Rs	200,000
2.40	Salinometer	Rs	30,000	Rs	-	Rs	30,000
2.41	D.O pen	Rs	30,000	Rs	-	Rs	30,000
2.42	Ultracentrifuge (table top)	Rs	400,000	Rs	-	Rs	400,000
2.43	HP Laser colour Printer	Rs	20,000	Rs	-	Rs	20,000
2.44	Min. Cooler 0.45°C	Rs	30,000	Rs	-	Rs	30,000
2.45	UV-Vis Spectrophotometer	Rs	300,000	Rs	-	Rs	300,000
2.46	Image Analysis Software & hardware	Rs	270,000	Rs	-	Rs	270,000
2.47	Reflected light polarizing microscope	Rs	150,000	Rs	-	Rs	150,000
2.48	Specific gravity	Rs	60,000	Rs	-	Rs	60,000
2.49	Ten networked work stations computers & one server	Rs	550,000	Rs	-	Rs	550,000
2.50	High Speed Centrifuge - Sigma (3-30KHS 10379)	Rs	750,000	Rs	-	Rs	750,000
2.51	Water Bath	Rs	20,000	Rs	-	Rs	20,000
2.52	UV-Visible spectrophotometer with computer	Rs	300,000	Rs	-	Rs	300,000
2.53	Microscopes Laboratory model	Rs	150,000	Rs	-	Rs	150,000
2.54	Computer with printer and scanner	Rs	40,000	Rs	-	Rs	40,000
2.55	Horizontal Electrophoresis unit with power pack (32 wells)	Rs	100,000	Rs	-	Rs	100,000
2.56	Vertical electrophoresis unit with Power Pack	Rs	60,000	Rs	-	Rs	60,000
2.57	pH meter	Rs	15,000	Rs	-	Rs	15,000
2.58	Magnetic stirrer	Rs	10,000	Rs	-	Rs	10,000
2.59	Bio safety Cabinet / Vertical Laminar Flow	Rs	250,000	Rs	-	Rs	250,000
2.60	Inverted Microscope	Rs	250,000	Rs	-	Rs	250,000
2.61	Carbon dioxide incubator	Rs	700,000	Rs	-	Rs	700,000
2.62	Water Bath	Rs	8,000	Rs	-	Rs	8,000
2.63	Centrifuge (Low speed)	Rs	15,000	Rs	-	Rs	15,000
2.64	80°C refrigerated cabinet	Rs	300,000	Rs	-	Rs	300,000
2.65	Refrigerator	Rs	30,000	Rs	-	Rs	30,000
2.66	QTP win runner (for 30 users)	Rs	500,000	Rs	-	Rs	500,000
2.67	SQL Server Enterprise Edition (15 user)	Rs	250,000	Rs	-	Rs	250,000
2.68	Oracle database 12C Enterprise edition (10 user)	Rs	500,000	Rs	-	Rs	500,000
2.69	Weblogic/Websphere Server std edition (10 user)	Rs	95,000	Rs	-	Rs	95,000
2.70	Matlab (version 8.2) (15 user)	Rs	500,000	Rs	-	Rs	500,000
2.71	Maya (5 user)	Rs	300,000	Rs	-	Rs	300,000
2.72	Apple MD711 H/A MacBook Air (4th Gen C15/4GB/128GB Flash/ Mac OS X Mountain Lion) (1 desktop)	Rs	60,000	Rs	-	Rs	60,000
2.73	MacBook Air laptops (5)	Rs	400,000	Rs	-	Rs	400,000
2.74	Microsoft Project	Rs	200,000	Rs	-	Rs	200,000
2.75	Rational Requisite Pro (2 user)	Rs	325,000	Rs	-	Rs	325,000
2.76	Microprocessor KIT	Rs	100,000	Rs	-	Rs	100,000
2.77	Electronic Equipments (e.g. Logic Gates, 1500; Multiplexer & Demultiplexer), Half n Full wave rectifiers, Bridge Rectifier, Transistor, IC 555 timer), Telecommunication systems	Rs	100,000	Rs	-	Rs	100,000

स्थायी लेखा संख्या / PERMANENT ACCOUNT NUMBER
AAATT4594Q



नाम / NAME

THE BOMBAY ST XAVIERS COLLEGE SOCIETY

निगमन/बनने की तिथि / DATE OF INCORPORATION/INFORMATION
22-01-1971

आयकर निदेशक (प्रणालि)
DIRECTOR OF INCOME TAX (SYSTEMS)

इस कार्ड के खो / मिल जाने पर कृपया जारी करने वाले
प्राधिकारी को सूचित / वापस कर दें
आयकर आयुक्त (कंप्यूटर केंद्र),
सी-13, प्रत्यक्षकर भवन,
बान्द्रा-कुर्ला कॉम्प्लेक्स,
मुंबई - 400 051.

In case this card is lost/found, kindly inform/return to
the issuing authority :
Commissioner of Income-Tax (Computer Operations),
C-13, Pratyakshakar Bhavan,
Bandra-Kurla Complex,
Mumbai - 400 051.



ST. XAVIER'S COLLEGE

(AUTONOMOUS)

**5, Mahapalika Marg, Mumbai - 400 001,
INDIA.**

☎ 2262 0661/65

**SIR RATAN TATA TRUST GRANT :
DIGITIZATION AND CONSERVATION OF
THE BLATTER HERBARIUM**

grantee copy

SIR RATAN TATA TRUST

Bombay House • Homi Mody Street • Mumbai – 400 001 • Tel. : 6665 8282 • Fax : 022-6665 8013

March 20, 2015

Dr. Frazer Mascarenhas
Principal
St. Xavier's College
5, Mahapalika Marg,
Mumbai: 400 001
Email ID: principal@xaviers.edu

Grant Id¹: ANC-SXC-20140715

Project: "Digitization and Conservation of the Blatter Herbarium at St. Xavier's College, Mumbai"

Dear Dr. Mascarenhas,

We are pleased to inform you that the Trustees of the Sir Ratan Tata Trust have approved a grant of Rs.24,496,000/- (Rupees Twenty Four Million Four Hundred Ninety Six Thousand only) to the St. Xavier's College (SXC), Mumbai for the project titled "Digitization and Conservation of the Blatter Herbarium at St. Xavier's College, Mumbai". This grant is being made in response to your letter dated September 2013 sent with the revised proposal and related correspondence on the matter.

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- Term: 3 years; commencing from April 1, 2015 to March 31, 2018.
- Purpose: This grant is to be specifically used for the purposes set out in Annexure 1 hereto.

Disbursement of the Grant:

The grant will be disbursed in the following installments over 3 years.

Installment No.	Period	Amount	To be released against funds raised towards the project from Other Sources (Not applicable)
1	April 2015	Rs. 9,909,000/-	-
2	October 2015	Rs. 9,909,000/-	-
3	April 2016	Rs. 1,130,000/-	-
4	October 2016	Rs. 1,130,000/-	-
5	April 2017	Rs. 1,208,000/-	-
6	October 2017	Rs. 1,210,000/-	-
Total		Rs. 24,496,000/-	-

The installments mentioned above would be contingent upon St. Xavier's College (SXC), Mumbai raising contribution from 'Other Sources' as listed in the table above. **(Not Applicable)**

Disbursements will be subject to review by the Trust and the availability of funds. However, the Trust will not be responsible or held liable for any consequences that may arise if future disbursements are not made due to any cause beyond the control of the Trust and not an act, deed or omission attributable to the Trust.

¹ Please mention this grant id in all the Trust related correspondences

By S. r.

SIR RATAN TATA TRUST

Kindly ensure that the balance at the end of the month, prior to the disbursement of the installment is clearly mentioned in all request/s and report/s submitted prior to the next installment.

Utilization of funds:

The Grant has been made only for the purposes stated in Annexure 1 and any variation made, without the prior written approval of the Trust will be seen as a ground for termination of the Grant.

The Trust discourages funds from Other Sources being used for the specific line items supported by the Trust unless specified in the Annexure 1 of this grant letter. The Trust will release the installment after review of the utilization as per the reports (as mentioned in the Grant Letter) submitted by St. Xavier's College (SXC), Mumbai. Therefore, SXC may request for the next installment in advance to mitigate risks of shortfall of funds and utilization of funds from other sources to temporarily bridge the gap. The Trust will release the installment after review of the utilization as per the reports (as mentioned in the Grant Letter) submitted by SXC.

Separate Bank Account:

SXC will maintain a separate saving bank account for funds received from the Trust. All receipts and payments related to the said project must be made through this account.

Books of Accounts:

A separate set of Books of Accounts will also be maintained to show the various expenses incurred from this grant. The Standard Accounting Package used by your organization should ensure that separate cost centers are maintained for each line item mentioned in the Annexure 1. Also, please ensure that expenses made towards each of the sub line items are traceable through the cost center wise statements.

The Trust encourages maintenance of accounts through adequate usage of the licensed version of any Accounting Package, as a prudent practice in the interest of your organization.

Procedure for Booking of Expenses:

Based upon project design, expenditure must be grouped under three main heads:

- (i) Funds to be spent directly by the Grantee,
- (ii) Funds to be transferred to the account of another implementing or partner organization/s (if appropriate), and **(Not Applicable)**
- (iii) Funds to be transferred to a community based organization/s **(Not Applicable)**

The grouping of various budget items under these two/three heads must be as per activities, indicated in Annexure 1.

Accounts of all project linked organizations are subject to audit by the Trust. In specific cases where project activities involve funds to be transferred to direct and collaborative work with communities, a Joint Bank Account must be opened, which would be operated with joint signatures of representatives of the concerned grantee/organization and the community based organization implementing the activities. Maintenance of this joint account shall be the responsibility of the community based organization. The community based organization must maintain separate books of accounts for the funds received and payments made. Their books of accounts shall be available for public scrutiny and for all periodic audits conducted by the Trust. Details regarding operationalization of the above, need to be shared with the Trust within six months of the commencement of the project. **(Not Applicable)**

Accounts of all project linked institutions are subject to audit by the Trust.

Procurement Systems for Goods and Services Purchased:

The Trust encourages a transparent procurement system for purchase of goods and services. The second installment would be disbursed contingent approving the system being used by the

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grantee for the procurement of goods and services. As per findings of the Financial System Check audit, St. Xavier's College should immediately form a purchase committee consisting of key personnel from the College, person(s) having technical knowledge on the materials to be procured and one representative of the Trust as a nominee in the committee. The following details of the purchase committee should be submitted to the Trust within two weeks of receipt of this grant letter.

- i. Procurement policy adopted by SXC for the above project including constitution of the committee, role, responsibility and authority of members.
- ii. Threshold for quotations
- iii. Bidding systems
- iv. Tendering procedures
- v. Maintenance of the purchase files, stock registers etc.

Cash Payments:

Cash withdrawals to make payments are permitted where the same is supported by proper vouchers, invoices, etc., subject to a maximum limit of Rs. 5,000/-. All payments should be made by crossed Account Payee cheque or Demand Draft.

Interest earned on Grant Funds:

The Grantee should keep any unspent balance invested and avoid keeping a balance of more than next two months budgeted expenses in hand. Idle grant balance should be invested in permissible investments under Section 11(5) of the Income Tax Act, after due approval of the grantee's Board/ Governing Body. Interest received on grant funds must be reported to the Trust (as a part of the Financial Report) as per Annexure 2 and should be credited into the dedicated Bank Account. Interest should be used towards line items stated in the Grant Letter only with prior approval of the Trust.

Reports: Annual Work Plan, Baseline Report and Quarterly Progress Report:

1) Annual Work Plan (AWP):

The Annual Work Plan for the period of twelve months from start of the project will comprise of:

- a. Separate description of the various activities being planned for the year
- b. Target for each programme line item with reference to the operational plan
- c. Estimated budget for programme and non-programme line items
- d. Detailed cost estimates need to be prepared for each line item, specifying numbers, unit costs, etc. and approved as part of the annual work plan review exercise
- e. Contribution from other sources for the overall funding of the programme. **(Not Applicable)**
- f. Detailed strategy and action plan for partnership development with various Government organizations for resource mobilization **(Not Applicable)**
- g. Impact indicators, tools of verification for each of the proposed activities **(Not Applicable)**
- h. Detailed strategy for working with CBOs and their capacity building. **(Not Applicable)**

The consolidated Work Plan comprising the above needs to be shared with the Trust. The Work Plan should be submitted by March 1 of each year for the subsequent year beginning on April 1. The first Annual Work Plan for the period April 1, 2015 to March 31, 2016 should be submitted by April 30, 2015. The process of finalization will include a comprehensive external review exercise in March every year, which will feed into the Annual Work Plan exercise. The first review of annual work plan would be undertaken in May 2015.

Ref 1.

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2) **Baseline Survey Report:**

A comprehensive Baseline Survey Report would be submitted by SXC, Mumbai. The parameters for baseline data collection and the monitoring indicators should be developed jointly in consultation with the Trust team/ representatives. **(Not Applicable)**

3) **Quarterly Progress Reports (QPRs):** Brief project progress reports are to be submitted to the Trust every quarter. QPR consists of the following two documents:

- a. Quarterly Narrative Report
- b. Quarterly Financial Report

a) **Quarterly Narrative Reports (QNRs):**

A brief narrative report should be submitted quarterly to the Trust, providing a description of progress made specifically on activities undertaken / completed since initiation of the project, as per the AWP. The QNR should include progress against quantifiable & qualitative indicators.

The suggested format for the QNR is as follows:

- a. A one page Summary Table with project dates, till date fund situation, numbers of beneficiaries, locations and specific activity progress against AWP
- b. Introduction, Objectives and Aim (brief)
- c. Project Area and Partners (brief)
- d. Implementation Strategy, including discussion on any changes in indicators or monitoring strategy/ activities
- e. Activities carried out since last QPR including progress against monitoring indicators, as per AWP
- f. Photographs and case studies
- g. Funds mobilization strategy and details
- h. Lessons learned Future Action Plan for new quarter as per approved AWP

b) **Quarterly Financial Reports (QFRs):**

A financial report should be submitted quarterly within 15 days of completion of the quarter. This Financial Report should be in the format provided in Annexure 2 of this Grant letter. Any variances or discrepancies in line items will have to be explained in detail in a covering letter. Please ensure reporting periods do not overlap across any two financial years.

Reporting periods for the QPRs:

The first QNR and QFR will be for a period of three months from the start of the project (April 1, 2015 to June 30, 2015) and should be submitted by July 15, 2015. Next report will be for July – Sep 2015 and should be submitted by October 15, 2015. Thereafter, reports would be submitted on a three monthly basis for each quarter. You are also required to email this report to the Trust by the required date, in addition to submitting a hard copy by post / courier.

4. **Annual Narrative Report:**

A detailed Annual Narrative Report should be submitted within 30 days after the end of every project year, and should include a detailed description of progress made in the project, as well as specific progress in project activities against the AWP. It should also include details on progress made across each activity in the project and outputs achieved in terms of the objectives outlined in the proposal. The first detailed Annual Narrative Report will be for April 1, 2015 to March 31, 2016, and annually follow thereafter.

The report would specifically include:

- a. Summary table detailing project dates, fund situation, numbers of beneficiaries, locations and specific activity progress against the AWP
- b. Introduction, Objectives and Aim

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SIR RATAN TATA TRUST

- c. Project Area and Partners
- d. Implementation Strategy, including discussion on any changes in indicators or monitoring strategy / activities
- e. Activities carried out
- f. Funds mobilization strategy and details
- g. Networking and Partnership building
- h. Specific Event highlights
- i. Analysis of movement in impact indicators developed
- j. Experience and problems encountered while implementing the programme
- k. Key lessons learnt and Future Action Plan
- l. Photographs and Case studies

5. Auditors Report & Annual Statement of Accounts:

- (i) A consolidated, audited statement of accounts of the project, including a separate schedule regarding the project supported by the Trust should be submitted by September following the end of the relevant financial year.
- (ii) Presentation of Grant received from Sir Ratan Tata Trust in the Annual Statement of Accounts: The grant received from the Sir Ratan Tata Trust should be treated as an Earmarked Fund in the nature of revenue and all Income and Expenditure should be routed through **the same**. Only grant utilized during the year should be recognized as Income in the organization's Income & Expenditure statement. Annual Statement of Accounts should be annexed with a separate schedule enlisting the utilization of this Earmarked Fund.

6. Contributions from Other Sources not brought into the accounts of the grantee:

Details regarding funds from other sources dovetailed towards the project, but not brought into the accounts of the grantee, must be detailed in Annexure 2 of this letter. Furthermore, **(a statement / document / letter of proof from the funding agency / government department / institution must be attached, certifying that the amount indicated in the table given on Page 1 above has been raised from the said source towards the project during the specified period.)** These documents will be required along with every QNR/QFR as specified in the AWP. All further installments will be disbursed subject to the receipt of the above.

7. Audit by Trust:

The Trust shall be entitled to conduct an audit of project accounts including procurement and work procedures in the field (wherever applicable), within a month of the Trust's audit notification, with mutual agreement with the grantee.

The Trust conducts the following types of Audits. The Terms of Reference shall reach SXC, Mumbai at least one week before the Audit.

- 1) Financial System Checks including review of Internal Controls at an organizational level
- 2) Grant Utilization Audit

All compliances towards the findings identified during the audit by the Trust appointed auditors needs to be closed latest within six months of the completion of the audit.

No further installments shall be disbursed by the Trust till all Trust Audit related issues are redressed.

8. Monitoring and Evaluation:

The Trust shall monitor the use of the grant funds and conduct a review of operations under this grant, which may include a visit from Trust personnel or Trust representatives, to observe your programme, discuss the programme and finances with your personnel and review financial and other records and materials connected with the activities financed by the grant.

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SIR RATAN TATA TRUST

The Trust would be sending regular monitoring missions to review the progress and appraise Annual Work Plans.

9. Information and Publicity:

It is understood that the Trust's support to St. Xavier's College, Mumbai would be recognized in all publications/studies/hoardings/banners/posters arising from the grant, or otherwise, by mentioning "...supported by the Tata Trusts under Arts Crafts & Culture initiative". The organization will acknowledge this in all correspondence, public notices and dissemination exercises. SXC, Mumbai will also furnish the Trustees of Sir Ratan Tata Trust with all the information they require or request for.

10. Repayment of Grant funds:

If any of the Grant funds remain unused at the expiry of the term, such amount is to be returned/ repaid to the Secretary & Chief Accountant, Sir Ratan Tata Trust by SXC, Mumbai, along with all the interest earned on the grant funds.

11. Amendment of the Grant:

The Trustees reserve their right to unilaterally amend at any time during the continuance of the grant any of the terms and conditions herein which amendment would be conveyed to you and would be binding on you.

12. Arbitration:

In the event of any dispute or difference between the parties hereto arising out of or in connection with or relating to the grant made to you and the terms and conditions set out herein, including with regard to the implementation hereof the same shall be referred to the Arbitration under the provisions of the Arbitration and Conciliation Act, 1996. The Arbitration proceedings shall be held in Mumbai. The language of the Arbitration shall be English. The Courts in Mumbai alone shall have jurisdiction in the matter.

13. Termination:

If the St. Xavier's College, Mumbai commits a breach of the terms and conditions of the Grant or unsatisfactory progress, the Trustees of the Sir Ratan Tata Trust will have a right to terminate the said Grant.

The Grant has been made only for the purposes stated in Annexure 1 and any variation made, without the prior written approval of the Trust will be seen as a ground for termination of the Grant.

If you are in agreement with this letter and the terms and conditions of the Grant, please indicate your organization's agreement to such terms, by having the enclosed copy of this letter countersigned by an appropriate officer, and returned to the Secretary & Chief Accountant of the Sir Ratan Tata Trust. The first installment of this Grant shall be disbursed on receipt of the countersigned copy of this Grant letter.

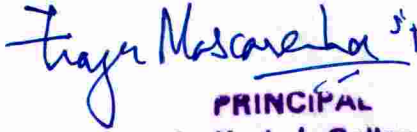
It is also understood that by countersigning the copy of this letter, your organization confirms that there has been no change in its status as a non profit body registered with any competent authority like the Charity Commissioner/ Registrar of Societies/ Registrar of Companies (u/s 25 only) having adjudication over charitable organizations.

Ref.

SIR RATAN TATA TRUST

On behalf of the Trust, we extend every good wish for the success of this endeavor.

Yours sincerely,


PRINCIPAL
St. Xavier's College,
Mumbai - 400 001


B.S. Taraporevala
Secretary & Chief Accountant

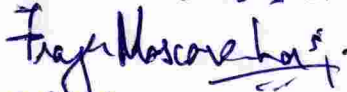
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(Education)

ACCEPTED & AGREED

Administrative & Financial Responsibility for : DIGITIZATION AND CONSERVATION OF THE
BLATTER HERBARIUM AT ST. XAVIER'S COLLEGE MUMBAI.

Name of Organization & Stamp: THE BOMBAY ST. XAVIER'S COLLEGE SOCIETY

Authorized Signature:



Name and Designation: DR. (FR.) FRAZER MASCARENHAS, S.J.,
PRINCIPAL

Date: 06.04.15


FR. CONRAD PESSO, S.J.,
TREASURER

Cheque to be drawn in favour of: THE BOMBAY ST. XAVIER'S COLLEGE SOCIETY SRTT GRANT A/C
Name of the Organization - 'SRTT Grant A/c'

Name & Address of your Bankers:

CORPORATION BANK,
MAHAPALIKA MARG, MUMBAI BRANCH,
ST. XAVIER'S COLLEGE CAMPUS,
5, MAHAPALIKA MARG, MUMBAI - 400001.

Bank Account No: 053600101016281

IFSC Code of your bank branch (where RTGS facility is available): CORP0000536

PAN details: AAATT4594Q

Type of Account: SAVING ACCOUNT

Note: Along with the abovementioned details we request you to please provide us with

- i. Copy of a cancelled Cheque
- ii. Copy of the passbook or bank statement (whichever is available) issued for the separate bank account open for Trust funds.
- iii. Copy of the PAN Card

Annexure 1

Approved Project Budget

Name of the Institution:

Location of the project

Title of the Project:

Grant under:

Initiative:

Total Grant Budget:

Grant Duration:

Planned Disbursal

St. Xavier's College

Mumbai

Digitization and Conservation of the Blatter Herbarium at St. Xavier's College, Mumbai

Art, Crafts & Culture

Conservation and Digitization

Rs. 24,496,000

April 2015 to March 2018

April 2015

Rs. 9,909,000

October 2015

Rs. 9,909,000

April 2016

Rs. 1,130,000

October 2016

Rs. 1,130,000

April 2017

Rs. 1,208,000

October 2017

Rs. 1,210,000

Sr. No.	Line Item	Contribution From Sir Ratan Tata Trust	Contribution From Other Sources	Total
1	Programme Personnel			
1.1	Data entry operator for scanning and data entry (3 persons for 3 years) *	Rs. 1,872,000	Rs. -	Rs. 1,872,000
1.2	Research Assistant DNA BC **	Rs. 792,000	Rs. -	Rs. 792,000
1.3	Research Assistant HPTLC ***	Rs. 792,000	Rs. -	Rs. 792,000
	Sub-Total	Rs. 3,456,000	Rs. -	Rs. 3,456,000
2	Equipment cost and Conservation of Herbarium cost			
2.1	Herb scan @ Rs. 700,000/- for 1 unit	Rs. 700,000	Rs. -	Rs. 700,000
2.2	Computers for Herbarium ^	Rs. 210,000	Rs. -	Rs. 210,000
2.3	Server	Rs. 100,000	Rs. -	Rs. 100,000
2.4	NAS Box Data Back up for server	Rs. 80,000	Rs. -	Rs. 80,000
2.5	UPS for server ^^	Rs. 10,400	Rs. -	Rs. 10,400
2.6	Herbarium Compactor	Rs. 3,000,000	Rs. -	Rs. 3,000,000
2.7	Renovation of the herbarium	Rs. 2,500,000	Rs. -	Rs. 2,500,000
2.8	Air conditioner + installation ^^^	Rs. 260,000	Rs. -	Rs. 260,000
2.9	Dehumidifier^^^^	Rs. 199,600	Rs. -	Rs. 199,600
2.10	Solar Panels for Herbarium #	Rs. 3,000,000	Rs. -	Rs. 3,000,000
2.11	PCR-DNA Barcoding of specimens	Rs. 620,000	Rs. -	Rs. 620,000
2.12	HPTLC Plotter, Scanner	Rs. 4,000,000	Rs. -	Rs. 4,000,000
2.13	Stereoscopic Binocular Microscope	Rs. 250,000	Rs. -	Rs. 250,000
2.14	Student Microscopes ##	Rs. 750,000	Rs. -	Rs. 750,000
2.15	Chemicals for DNA Barcoding \$	Rs. 1,500,000	Rs. -	Rs. 1,500,000
2.16	Chemicals for HPTLC \$\$	Rs. 1,500,000	Rs. -	Rs. 1,500,000
2.17	Preservation of 100 rare books	Rs. 2,000,000	Rs. -	Rs. 2,000,000
	Sub-Total	Rs. 20,680,000	Rs. -	Rs. 20,680,000
3	Overhead Cost			
3.1	Electricity for air-conditioning \$\$\$	Rs. 360,000	Rs. -	Rs. 360,000
	Total	Rs. 24,496,000	Rs. -	Rs. 24,496,000

16/11/17

SIR RATAN TATA TRUST

Note: If any change is envisaged in the budget, including funds raised for the same project from other sources, St. Xavier's College should seek prior approval from the Trust.

* 3 Data entry operators salaries for 3 years @ Rs. 15,000/- per month in Y1, Rs. 17,000/- per month in Y2 and Rs. 20,000/- in per month Y3.

** Research Assistant salaries per month in Y1 @ Rs. 20,000/-, Y2 @ Rs. 22,000/-, and Y3 @ Rs. 24,000/- per month.

*** Research Assistant salaries per month in Y1 @ Rs. 20,000/-, Y2 @ Rs. 22,000/-, and Y3 @ Rs. 24,000/-.

A Computer @ Rs. 35,000 per computer x 6 computers over 3 years.

^^ Rs. 400/- has been added to round off the grant total.

^^^ Air-condition (AC - 4 star) @ Rs. 65,000/- x 4 ACs

^^^^ Dehumidifier @ Rs. 49,990/- x 4 Nos.

Solar panel @ Rs. 150,000/- x 20 solar panels

Microscope @ Rs. 15,000/- x 50 units

\$ Rs. 500,000/- per year x 3 years

\$\$ Rs. 500,000/- per year x 3 years

\$\$\$ Electricity cost @ Rs. 10,000/- x 12 months x 3 years

Handwritten signature

Currency: Rs

Suggested Format for Financial Reports

Name of the Organisation:
Name of the Project:
Grant Id:
Period of Reporting:
Date of Submission:

Balance Grant Fund Statement as on date of submission of the report

Grant Received :
Interest earned on Grant funds:
TOTAL (A)
Grant Utilised (B)
Balance Grant Fund (A-B)

[illegible]

Note: The Quarterly Financial Report should compare the actual expenditure cumulatively with the budget.

Signature and Stamp of the Chartered Accountant

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Reconciliation of the Grant

Particulars	Rs.
Opening Balance in Hand	xx
Add: Grant received during the current period*	xx
Add: Bank Interest received during the current period*	xx
Total Funds available	xx
Less: Expenditure during the current period*	xx
Closing Balance (A)	xx
 Closing Balance represented by	xx
Cash	xx
Bank Balance	xx
Fixed Deposits	xx
Advances given for the Trust	xx
Total	xx
Less: Liabilities Payable	xx
Net Total (B)	xx
 Difference (A-B)	xx

Difference should be nil, or explanation should be provided.

Bank Interest received upto the previous reporting period

Add: Bank Interest received during the current reporting period

Total

B.P.S.