



# Ministry of Education

Secondary and Higher Education Division

Higher Education Acceleration and Transformation Project

**D R A F T**

**Operations Manual**

**for**

**Academic Transformation Fund (ATFOM)**

**University Grants Commission of Bangladesh**



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# ATF Operations Manual (ATFOM)

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# Abbreviations & Acronyms

<b>ADP</b>	Annual Development Program
<b>AHSBL</b>	Arts, Humanities, Social Science, Business and Law
<b>AIF</b>	Academic Innovation Fund (competitive funding mechanism under HEQEP)
<b>ARCS</b>	Audit Report Compliance system
<b>AEP</b>	Area Evaluation Panel
<b>ASPM</b>	Associate Sub-project Manager
<b>ATF</b>	Academic Transformation Fund (competitive funding scheme under HEAT)
<b>ATFOM</b>	Academic Transformation Fund Operations Manual
<b>BAC</b>	Bangladesh Accreditation Council
<b>BdREN</b>	Bangladesh Research and Education Network
<b>BDT</b>	Bangladesh Taka
<b>BEC</b>	Bid Evaluation Committee
<b>BOC</b>	Bid Opening Committee
<b>BOM</b>	Bid Opening Minutes
<b>C&amp;AG</b>	Comptroller & Auditor General of Bangladesh
<b>CAFO</b>	Chief Accounts and Finance Officer
<b>CD</b>	Compact Disc
<b>CD-VAT</b>	Customs Duty and Value Added Tax
<b>CE</b>	Committee of Experts
<b>CGA</b>	Comptroller General of Accounts
<b>CIO</b>	Chief Implementation Officer (Head of technical assistance team in HEAT PMU)
<b>CONTASA</b>	Convertible Taka Special Account
<b>CPFS</b>	Consolidated Project Financial Statement
<b>CPTU</b>	Central Procurement Technical Unit
<b>CQ</b>	Consultant's Qualification
<b>DA</b>	Designated Account
<b>DATF</b>	Directorate of Academic Transformation Fund
<b>DC</b>	Direct Contracting
<b>DDO</b>	Drawing and Disbursement Officer
<b>DFA</b>	Director, Finance & Accounts (in UGC and Public Universities)
<b>DoE</b>	Department of Environment
<b>DPD</b>	Director, Planning & Development
<b>EIA</b>	Environmental Impact Assessment
<b>ESMF</b>	Environment and Social Management Framework
<b>ESCP</b>	Environment and Social Commitment Plan
<b>ESS</b>	Environment and Social Standard
<b>EoI</b>	Expression of Interest
<b>ER</b>	External Reviewer
<b>FA</b>	Financing Agreement
<b>FAPAD</b>	Foreign Aided Projects Audit Directorate
<b>FBS</b>	Fixed Budget Selection
<b>FD</b>	Finance Division
<b>FM</b>	Financial Management
<b>FMQ</b>	Financial Management Questionnaire
<b>FMR</b>	Financial Management Report
<b>FMS</b>	Financial Management System
<b>GER</b>	Gross Enrollment Ratio

<b>GII</b>	Global Innovation Index
<b>GoB</b>	Government of Bangladesh
<b>HEATPU</b>	Higher Education Acceleration and Transformation Project Unit
<b>HEI</b>	Higher Education Institution
<b>HEMIS</b>	Higher Education Management Information System
<b>HEQEP</b>	Higher Education Quality Enhancement Project
<b>HOPE</b>	Head of Procuring Entity
<b>IC</b>	Individual Consultant
<b>ICB</b>	International Competitive Bidding
<b>ICT</b>	Information & Communication Technologies
<b>IDA</b>	International Development Association
<b>IF</b>	Innovation Fund
<b>IP</b>	Intellectual Property
<b>IFT</b>	Invitation for Tender
<b>IMED</b>	Implementation, Monitoring & Evaluation Division
<b>IP</b>	Intellectual Property
<b>IQAC</b>	Institutional Quality Assurance Cell
<b>IUFR</b>	Interim Un-Audited Financial Report
<b>LC</b>	Letter of Credit
<b>LCS</b>	Least Cost Selection
<b>LOA</b>	Letter of Acceptance
<b>M&amp;E</b>	Monitoring & Evaluation
<b>MDG</b>	Millennium Development Goals
<b>MEU</b>	M & E Unit
<b>MoE</b>	Ministry of Education
<b>MoF</b>	Ministry of Finance
<b>MoP</b>	Ministry of Planning
<b>MoU</b>	Memorandum of Understanding
<b>MTBF</b>	Mid-term Budget Framework
<b>NCB</b>	National Competitive Bidding
<b>NOA</b>	Notification of Award
<b>BNQF</b>	Bangladesh National Qualifications Framework
<b>NRB</b>	Non-Resident Bangladeshi
<b>OA</b>	Operating Account
<b>OM</b>	Operations Manual
<b>PA</b>	Project Aid &/or Partnership Agreement
<b>PAC</b>	Project Audit Committee
<b>PAM</b>	Project Accounting Manual
<b>PC</b>	Procurement Consultant
<b>PCR</b>	Project Completion Report
<b>PD</b>	Project Director
<b>PEC</b>	Proposal Evaluation Committee
<b>PFP</b>	Procurement Focal Point
<b>PIA</b>	Project Implementing Agency
<b>PIM</b>	Project Implementation Manual
<b>PIN</b>	Proposal Identification Number
<b>PMU</b>	Project Management Unit
<b>PoPA</b>	Post Procurement Audit
<b>PPA</b>	Public Procurement Act 2006
<b>PPR</b>	Public Procurement Rules 2008



<b>PPRP</b>	Public Procurement Reform Project
<b>PRIPFB</b>	Procurement Regulations for IPF Borrowers (World Bank)
<b>PRMP</b>	Procurement Risk Mitigation Plan
<b>PROMIS</b>	Procurement Management Information System
<b>PRSP</b>	Poverty Reduction Strategy Paper
<b>QBS</b>	Quality-Based Selection
<b>QCBS</b>	Quality and Cost Based Selection
<b>QFMR</b>	Quarterly Financial Management Report
<b>R&amp;D</b>	Research and Development
<b>RFP</b>	Request for Proposal
<b>RIBEC</b>	Reform in Budgeting and Expenditure Control
<b>SAN</b>	Statement of Audit Needs
<b>SAR</b>	Self-assessment Report
<b>SBD</b>	Standard Bidding Document
<b>SEA</b>	Sexual Exploitation and Abuse
<b>SH</b>	Sexual Harassment
<b>SHED</b>	Secondary and Higher Education Division (of the Ministry of Education)
<b>SoE</b>	Statement of Expenditure
<b>SPFMR</b>	Sub-project Financial Management Report
<b>SPHE</b>	Strategic Plan for Higher Education, 2018-2030
<b>SPM</b>	Sub-project Manager
<b>SPMT</b>	Sub-project Management Team
<b>SPP</b>	Sub-project Proposal
<b>SSS</b>	Single-Source Selection
<b>STD</b>	Short Term Deposit
<b>STAGE</b>	Science, Technology, Agriculture and Engineering
<b>STEB</b>	Science Technology Engineering and Business
<b>STEM</b>	Science Technology Engineering and Mathematics
<b>STEP</b>	Systematic Tracking of Exchanges in Procurement
<b>TEC</b>	Tender Evaluation Committee
<b>TER</b>	Tender Evaluation Report
<b>TOC</b>	Tender Opening Committee
<b>ToR</b>	Terms of Reference
<b>TTO</b>	Technology Transfer Office
<b>UATFS</b>	University Academic Transformation Fund Secretariat
<b>UGC</b>	University Grants Commission of Bangladesh
<b>UGCBATF</b>	UGC Board for Academic Transformation Fund
<b>UNDP</b>	United Nations Development Program
<b>USB</b>	Universal Serial Bus
<b>VAT</b>	Value Added Tax
<b>VC</b>	Vice Chancellor
<b>WB</b>	World Bank
<b>WBOD</b>	World Bank Office Dhaka

## INTRODUCTION

“We stand on the brink of a technological revolution that will fundamentally alter the way we live, work, and relate to one another. In its scale, scope, and complexity, the transformation will be unlike anything humankind has experienced before.”

(Klaus Schwab, *The Fourth Industrial Revolution*, 2015<sup>1</sup>)

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<sup>1</sup> Klaus Schwab is founder and executive chairman of World Economic Forum (<https://www.weforum.org/about/klaus-schwab>).

## CHAPTER 1

### 1.0 Strategic Context

#### 1.1 The Aspirations of Bangladesh

Bangladesh with its total population of 173 million living in an area of 144,415 km<sup>2</sup> achieved the lower middle income country status in 2015 and aims to reach the middle-income country status by 2041 on the 70th anniversary of its independence. The country has been making remarkable progress in socio-economic sector since 2009. The GDP growth rate prior to COVID-19 pandemic in 2021 years has been about average 6% and the per capita GDP stands USD 2624 in 2024. The Millennium Development Goals were achieved by the country well before the target date of 2015. Incidence of poverty was 18% in 2022, infant mortality to 22% in 2023 and achieved gender parity in primary and secondary education in 2015. With nearly 100% enrollment in primary education 80% completion rate has been achieved. The Gross Enrollment Ratio in higher education was only about 6% in 2009, with about 2 million students. Initiatives for increasing this ratio included establishment of more HEIs, and in 2021 there were 50 public and 108 private universities. Sixteen public universities have 4058 affiliated and constituent colleges and madrasas. Among these 2257 are affiliated and constituent colleges of National University, and 1349 madrasas are affiliated with Islamic Arabic University. In 2021, 50 public, 108 private universities, 2257 colleges were under the National University, and the enrollment reached a figure of 4.2 million, corresponding to a Gross Enrollment Ratio of 23%. The country has already attained food autarky in major crops, and remarkable developments have taken place in fisheries and poultry production. Industrial production is also steadily increasing in the textile, garment and pharmaceutical sectors. Efforts are being made for environmental safeguards in the manufacturing activities. Roads are being upgraded, and new roads and bridges are being built to upgrade the infrastructure. Electricity production has reached 44.633k MW in 2022 making the country self-reliant in power. The aspirations of Bangladesh include building up a knowledge society, having world class educational institutions and eliminating poverty by 2030. To fulfill these missions, a GDP growth rate of over 7% has to be maintained, and the ability to implement the country's development programs and run the industries with its manpower has to be attained, and the sustainable development goals of the UN have to be achieved by 2030. The Higher Education Sector will play a vital role in these efforts.

#### 1.2 Research and Innovation

- 1.2.1 **Research** has the objective of generating new knowledge. The frontier of knowledge in any field is first identified, and ideas are put forward to push the frontier. Activities are then designed to test the ideas. The primary motivation for research since ancient times has been the thirst for knowledge about everything in the universe.
- 1.2.2 **Innovation** consists of ideas to develop something new, a new material, a new process for activities ranging from performing some activity like manufacturing materials, utilization of materials, carrying out business in a new and better way than in practice now such that monetary benefit can be derived.
- 1.2.3 Innovation has long been acknowledged as central to economic growth and social development. Innovation generally refers to the process of creation, acquisition, diffusion, absorption and use of knowledge, which creates added value to the economy

in the form of new or improved products, processes or organizational models. Innovation is a successful exploitation of a new idea. It is not a demonstration of an idea or not merely an invention. It is an idea in practice, in the field, in the market place, in the society. The journey from mind to marketplace is a challenging task. Productive university-industry collaboration forms the very core of national innovation ecosystem. The universities have learned scientists with their laboratories, possessing knowledge about the latest scientific developments and capable of conducting experiments to try out new ideas. They have students who are young with dreams about what they would like to do to make their lives enjoyable in future; they are always ready to take risks in experimenting. The industries have knowledge about current market demand. They are capable of materializing the innovative ideas of academics and their financial capacity allows them to take risks. Partnership between universities and industries can therefore lead to successful implementation of ideas into practice resulting in goods or services with added values. The parties involved in the materialization of innovative ideas are therefore the scientists, the entrepreneurs, the financiers who would trust the entrepreneurs and the academics and provide venture capitals, the policy makers who would be willing to adopt conducive policies to promote the marketing of the developed goods or services, and the consumers who would be the ultimate beneficiaries. In a thriving innovation ecosystem, there is mutual trust among all the parties. For this to happen, academic institutes which can generate world-class graduates and which have world class research capabilities and world class research output in terms of publications in high impact factor journals and patents are required. Also, a culture of scientific activities like regular conference, symposiums, etc. has to be practiced, such that knowledge and ideas may be exchanged and new findings may be properly reviewed for gaining confidence in research ability. An innovative ecosystem requires a minimum number of scientists within easy reach from one another. A stable socio-political environment with a steadily growing economy is also required, such that the market demands for new goods also grows steadily.

### **1.3 Innovation Ecosystem**

1.3.1 To make innovation work for a country, the country has to develop a system in which each element, and how it interacts with other elements, supports innovation across an economy with strengthened sense of trust among them. The elements that make up such an ecosystem include:

- (i) Entrepreneurs and enterprises (indigenous and foreign-owned)
- (ii) investment in research and development
- (iii) The education system, in particular higher education institutions
- (iv) Research institutions
- (v) Finance, in particular venture capital
- (vi) The tax and regulatory environment
- (vii) Public policy and institutions

1.3.2 A successful innovation policy requires all elements of the ecosystem to co-operate and collaborate together with mutual trust, and in regional networks, to ensure that knowledge is developed, transferred and applied in productive ways. A productive innovation ecosystem requires the following:

- Generation of research of high quality by the universities
- Industry Academia Partnership to encourage collaborative research work and commercial exploitation of research output

- Technology Transfer Offices in universities to make the academics aware of the value of intellectual property right
- University Commercial Arms to allow academics to be entrepreneurs and initiate startup companies
- Intellectual Property Management Systems (IPMS)
- Government Policy Reforms may be necessary to encourage research by young graduates and to retain the talent in the country

Incentive for publication in Q1-Q4 journals, article processing charges (APC) should be provided up to USD 1000 for presenting paper/poster in international conferences.

## 1.4 Impact of HEQEP on Higher Education

1.4.1 HEQEP was the first development partner<sup>2</sup> supported project on higher education in Bangladesh. It introduced, for the first time in the country, (i) competitive funding mechanism for promoting research and innovation, (ii) quality assurance mechanism in higher education sector; (iii) a high performance dedicated broadband network connecting all universities and global education and research networks, and (iv) digital library.

1.4.2 Competitive funding is an amount of money which is provided to the institutions as additional resource over its regular revenue budget with some conditions for spending. A performance contract is executed between the competitive fund providing agency and the university that stipulates the terms and conditions of utilization of the fund. Under HEQEP the competitive fund component provided nearly BDT 8000m (US\$116.12m<sup>3</sup>) as additional resource to 38 universities, 28 public and 10 private. The universities successfully implemented a total of 439 sub-projects under the competitive grant award component known as Academic Innovation Fund (AIF). This investment of substantial additional funds as non-refundable grants to cash strapped universities enabled them to revamp teaching-learning infrastructure, procure state-of-the-art equipment for their science labs, undertake cutting edge research, undertake library automation, built campus network in 38 universities and helped universities' office digitization. These sub-projects updated 103 curriculum, renovated 1653 classrooms, labs, seminar rooms, nine library automations done, 15350 IT equipment procured, scores of labs were revamped with 13934 newly procured state-of-the-art scientific equipment, 12012 teachers were trained in Bangladesh and 517 were trained in abroad, 617 Masters and 170 PhD students enrolled, 817 papers in peer reviewed journals and 74 books were published, 10 university-industry joint research projects were implemented and these projects generated several patent applications including one for international patent for the first time by Bangladeshi faculty.

1.4.3 Under HEQEP Higher Education Management Information System (HEMIS) was established at UGC as a digital tool to collect data on all aspects of academic activities from the universities for monitoring and management of the sector by UGC. The web-based HEMIS is a real-time role-based conditional access system where each university

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<sup>2</sup> World Bank

<sup>3</sup> Report No: ICR00004868, IMPLEMENTATION COMPLETION AND RESULTS REPORT, WB.

enters data for the UGC management to look at their functioning and uses the database for publishing its annual report.

- 1.4.4 Under the strengthening of institutional capacity of universities component of HEQEP, 12012 faculty were trained locally in financial management, project management, procurement including e-GP, proposal writing, proposal evaluation, monitoring and report writing. Additionally, 517 faculty undertook training in various academic programs and participated in scholarly seminars and conferences abroad.

HEQEP for the first time introduced intellectual property (IP) literacy among the faculty in Bangladesh and brought critical technical assistance for disseminating IP management procedure among them. As a part of IP management activity HEQEP established three technology transfer office (TTO) at BAU, BUET and DU.

HEQEP established a Strategy and Policy Unit (SPU) to assist the UGC management by conducting research on critical issues affecting the sector that demand urgent attention and the Unit organized the work for drafting of the *Strategic Plan for Higher Education, 2018-2030 (SPHE 2018)*, approved and published by the government in 2019.

Institutional Quality Assurance Cells (IQAC) were established in 69 universities (31 public and 38 private) and these universities completed self-assessment (SA) of programs and published the self-assessment reports (SAR). The Bangladesh Accreditation Council (BAC), also a first in South Asia was established in 2017 as a part of HEQEP's QA mechanism. Along with it a national qualifications framework (BNQF) for higher education was drafted by the QA unit of UGC as a HEQEP activity. The BAC is mandated to implement the BNQF as a ground work for accrediting programs in universities.

Under HEQEP the Bangladesh Research and Education Network (BdREN) was established in 2012. The BdREN is a dedicated high performance broadband network connecting all universities, 25 research and training institutions and medical colleges of the country. BdREN is connected with global research and education networks through Trans-Eurasia Information Network (TEIN) and GEANT, the pan-European research and education network connecting 10000 institutions across Europe and Asia-Pacific with over 55 million users. Additionally, BdREN is a collaborating partner of NORDUnet, a REN comprising of five Nordic countries (Sweden, Denmark, Norway, Finland and Iceland). BdREN provided technical support for establishing 34 virtual classrooms and 19 campus networks in public universities. It also implemented campus e-presence (CEP) at Dhaka University and Chattogram University of Engineering and Technology (CUET). The CEP is a video surveillance system operating with IP network that enables video streams to be sent over the intranet for remote monitoring.

- 1.4.5 UGC Digital Library (UDL) was established in 2012. It is offering access to high quality 34,100+ scholarly electronic resources to 90 member institutions from 13 major e-publishers. The faculty, students and researchers of member universities, research and training institutions can get direct access to the portal of e-resource providers through the web portal of UDL.
- 1.4.6 HEQEP also established Fab Labs (Fabrication Laboratory) in eight universities, also a first in Bangladesh. A Fab Lab is a small-scale workshop equipped with an array of

flexible computer-controlled tools that cover several different length scales and various materials, with the aim to make "almost anything". This includes technology-enabled products generally perceived as limited to mass production. Fab Lab usually makes prototypes of innovative devices that can be replicated in a mass production facility if they have commercial potential. Fab Lab originated in MIT's media lab known as center for bits and atoms, and gradually spread over to many countries totaling 1830 in 2019.

## 1.5 Higher Education in Bangladesh

- 1.5.1 Bangladesh's higher education sector is growing with two main sub-sectors of higher education in the country: (i) 162 public and private universities<sup>4</sup>, under the aegis of the University Grants Commission of Bangladesh (UGC) and (ii) around 2,000 government and non-government tertiary colleges affiliated with the National University (NU) and Bangladesh Open University (BOU)). In addition, there are two international universities, which include the Asian University for Women, a regional hub for excellence in women's education and the Islamic University of Technology<sup>5</sup>. Together, the sector catered to around 4.1 million students<sup>6</sup> in 2021 which is a significant increase from about 1.5 million students in 2010. The UGC, an attached body of Ministry of Education (MoE), is the statutory apex body of all the affiliated public and private universities in Bangladesh, and acts as the intermediary between the Government and the universities for regulating university affairs. Female students account for around 48 percent of higher education enrollment.
- 1.5.2 Government's approval of the SPHE 2018-2030 signaled a strong commitment to enhance investments in higher education, comprehensively identifies issues and challenges and recommends solutions. The World Bank has supported the higher education sector in Bangladesh through the HEQEP since 2009, establishing a strong basis for these proposed future reforms.
- 1.5.3 The curriculum for various degree programs in the universities in Bangladesh are usually designed to be equivalent to those in the universities of developed countries. Some of the graduates from certain universities are definitely world-class, as has often been demonstrated by their performance at home and also in universities in Europe, North-America, Australia and Japan. Many of them are holding senior academic posts in universities or executive posts in research institutes of these countries. However, it has to be admitted that the vast majority of the graduates coming out of the HEIs in Bangladesh do not meet the expectations of employers. The skills acquired generally does not fit employers' requirements. Further, the English language proficiency, communication and presentation skill, problem solving skill, IT competence etc., of the graduates are below the standard of regional countries' graduates. In short Bangladeshi graduates lack higher-order cognitive and soft skills. No wonder that graduate unemployment rate is 11%, much higher than of national average (4%). In a rapidly changing global knowledge economy and the already arrived fourth industrial revolution

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<sup>4</sup> 53 public and 109 private- however, only 140 universities are academically functional (45 public and 95 private). 49<sup>th</sup> Annual Report, UGC, 2022

<sup>5</sup> Established with the support of the Organization of Islamic Cooperation.

<sup>6</sup> There were 0.9 million students in universities and 1.7 million students in tertiary colleges in 2016.



require a workforce that can successfully perform in this environment of disruptive technologies and contribute to boost growth.

- 1.5.4 Absence of appropriate teaching-learning environment and lack of adequate number of trained teachers is one of the major handicaps for the universities for delivering quality higher education. Further, a number of other issues like absence of teachers' professional development, market responsive curricula, career guidance and counseling center, open system national learning management system, irregularity in academic sessions, absence of research collaboration in science and technology with regional countries' universities, etc., are the weak points of Bangladesh's higher education scenario. Further the quality of research, though appreciably enhanced by supports from HEQEP, is still below expectations, as indicated by the rather poor appearance of publications in international journals. There is hardly any indigenous journal of reasonably high impact factor. A major deficiency of the system is absence of university-industry research collaboration. This has effectively put an obstacle to generate innovation by the university labs and made the universities permanently cash-strapped and dependent on government largess.
- 1.5.5 In the midst of this dismal environment there are few pockets of excellence. Thus research in the agricultural sector succeeded in developing newer, climate adapted, many varieties of HIV rice, salinity tolerant and shorter ripening period paddy and improved water and fertilizer management which enabled to increase crop production manifold to feed the growing population. In the field of genomic research, excellence is indicated by the fact that the genome of Jute and Hilsa fish has been decoded, opening up new possibilities of developing better fiber quality jute and understanding Hilsha behaviour for protection and larger catches. Some of the research projects were undertaken through HEQEP support. Thus field level soil testing kit has been developed in BAU, process for manufacturing light-weight ceramic materials from indigenous raw material has been developed in BUET, an innovative bio-marker detection system for early detection of cancer using non-linear optics has been developed in Shahjalal University of Science and Technology, environment friendly bio-composites have been developed using agricultural wastes as raw materials, an enzymatic scouring method for textiles have been developed in RU, Khulna university invented chemical binder-less particle board manufacturing technology by using agricultural waste, a new local condition adaptive vaccine for preventing foot and mouth disease of Bangladeshi cattle and a diagnostic kit were developed by DU Microbiology Department. The following research laboratories have been developed and equipped for world class research: (i) A materials chemistry research laboratory has been established in the chemistry department of the DU, (ii) An advanced cellular and molecular research platform in CU where functional study for cancer, immunology and other related work can be conducted; (iii) a renewable energy research laboratory in the CUET, (iv) a genomic research laboratory in the Department of Microbiology in DU, (v) molecular biology laboratory in the Department of Biochemistry and Molecular Biology, DU, (vi) a laboratory for research on livestock and poultry vaccines has been developed in the Department of Microbiology in BAU, (vii) a 400 MHz FT-NMR machine in Physical and Biological Sciences Laboratory in JU, (viii) Germ-plasm center at PSTU, and (ix) animal species anatomy museum in CVASU.
- 1.5.6 During the pandemic, some faculty members of universities had taken up the challenge to fight against the Corona virus SARS-CoV-2 the causal agent of COVID-19. Starting



from preparing hand sanitizers, they made face shields in FAB labs and detection kits for cost-effective detection of the Corona virus in human bodies.

## 1.6 Challenges for the HE Sector

1.6.1 Now that the gross enrollment ratio in tertiary level has reached a competitive value of about 17%, transforming them into a trained work-force through quality HE is the next target for Bangladesh to exploit the demographic dividend.

1.6.2 Key Challenges in Higher Education in Bangladesh are:

**(i) Providing Access and Equity**, especially for low-income group and females: The **GER** in higher education for Bangladesh stood at around 17 percent in 2017, trailing behind the average of Lower-Middle Income Countries (24 percent). Access to higher education is not equitable across gender, with females at a disadvantage. Inequality of access to university education across socio-economic background is also prevalent in this region. The situation is most difficult for women in rural communities. In Bangladesh, only one-third of university students come from rural families.

**(ii) Improving the Quality and Relevance** of Graduate Skills and Employability: The unemployment rate among tertiary education graduates of Bangladesh stood at 11 percent, much higher than the national average rate of around 4 percent in 2017. Gender disparities in employment outcomes among tertiary graduates are quite pronounced with female unemployment rate (21 percent) nearly three times as high as males (8 percent). This may be partly due to a mismatch between graduate expectations and employer perception of the quality of education. Contributing factors to the quality crises of higher education include: (i) shortage of qualified teachers with lack of professional development opportunities; (ii) inadequate teaching and learning facilities; (iii) lack of focus on quality **STEM** programs and higher order cognitive and soft skills development, and (iv) inadequate collaboration with industry and private sector employers.

**(iii) Developing Research and Innovation System**: There are strong needs to strengthen industry collaboration and private sector participation in promoting R&D work and supporting commercialization of research outcomes, i.e., new products, processes and technology. Bangladesh ranks poorly and remain at the bottom tier (131 out of 140 countries) for university-industry collaboration in R&D although quantity in research output has increased. To remain competitive in the global knowledge economy, Bangladesh needs to scale up the quality of research and innovation in higher education. Public funding for research at universities has been grossly inadequate - less than 1% of total government funding to public universities and the majority of academics in Bangladesh have little research experience and training. Absence of modern well-equipped labs in secondary schools, many universities and all tertiary colleges is a huge drawback. The country ranked 116<sup>th</sup> among 126 countries in the GII-2019 which is co-published by Cornell University, **INSEAD**<sup>7</sup> and World Intellectual Property

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<sup>7</sup> INSEAD (Institut Européen d'Administration des Affaires) is one of world's leading and largest business school located in Fontainebleau, France with campus in San Francisco, Abu Dhabi and Singapore. The GII ranks 129

Organization (WIPO). In the previous year GII released in 2018, Bangladesh ranked 114<sup>th</sup> among 126 countries thus dropped two notches.<sup>8</sup> Sustained limited access to research and technologies, low enrollment in STEM subjects, if remain unaddressed, would continue to widen Bangladesh's the digital disparity even with the middle-income countries of the world.

- (iv) **Improving Governance, Management & Financing System:** The university sector requires to address challenges of quality assurance of university degrees and accountability and transparency in the universities. In Bangladesh, public spending for tertiary education has been in the range of 10-13 percent of the total education expenditure over the past 5 years, of which, the major share goes to recurrent expenditures. Moreover, management capacities need to be strengthened at all levels of the system to support effective planning, administration and monitoring of the sector.
- (v) With the on-set of the COVID-19 pandemic, nation-wide university closures were declared on March 17, 2020. With the withering of the pandemic in the later part of 2020 universities reopened. However, a new variant of COVID-19 virus has reappeared now, therefore, precautionary and preventive measures should be undertaken.

## 1.7 Higher Education Acceleration and Transformation (HEAT) Project

1.7.1 The government is now committed to provide increased funding to the higher education by augmenting budget allocation for the sector. The Ministry of Education with World Bank support has now come up with a second-generation project as a follow up of HEQEP to move forward the transformational activities started under HEQEP. This initiative is also part of government's plan to implement the recommendations of SPHE 2018-30. The new project, appropriately named Higher Education Acceleration and Transformation (HEAT), brings myriad of new activities, which upon implementation, is expected to enhance the quality and relevance of higher education and capable of generating globally competitive graduates as well as research output, necessary for the realization of our goal of becoming a middle-income country by 2031. Leveraging the lessons of HEQEP, HEAT is intended to accelerate the quality enhancement of higher education and transform it with the objective of establishing a thriving innovation ecosystem, in which innovative ideas will flourish to develop new products and processes for the desired economic growth. Keeping in view the outbreak of Covid-19

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countries based on 80 indicators ranging from IP patent filing rates to mobile app creation, education spending and number of scientific and technical publications.

<sup>8</sup> Switzerland retained its top position in the 2019 index followed by, Sweden, USA, Netherlands, United Kingdom, Finland, Denmark, Singapore, Germany, Israel and Republic of Korea. China jumped up to the 14<sup>th</sup> position from 17<sup>th</sup> in 2017 securing a place in the group of 20 most innovative countries of the world. India ranked 52<sup>nd</sup>, a big improvement from 60<sup>th</sup> position in 2017. Pakistan also climbed up four notches to 105<sup>th</sup> from 109<sup>th</sup>. Sri Lanka ranked 89<sup>th</sup> while Nepal stood at 109<sup>th</sup>. Thus, Bangladesh ranks at the bottom among all south Asian countries. Very low enrollment in STEM subjects, absence of well-equipped modern science labs in secondary schools, polytechnics, universities, tertiary colleges and absence of university-industry collaborative research are a huge drawback for improving Bangladesh's GII.

the project has been designed to address the deleterious impact of the pandemic on the academic activities of the universities in the country.

- 1.7.2 The project is expected to be implemented over a five-year period from July 2023 to June 2028. The project has five components and will be entirely financed by GoB from its own funding and IDA credit from the world bank. The project cost will be provided as a non-refundable GoB grant to UGC<sup>9</sup>.

The components of the project are as follows:

<b>Component 1: Strengthening International and Global Partnerships in Higher Education</b>	
This component focuses on formulating regional and global engagement and partnerships to address systemic issues confronting Bangladeshi higher education, including pandemic and emergency preparedness, system resilience through digitalization, and access to quality higher education for women. It is anticipated that this will support Bangladesh engage in broader regional and global partnerships and help integrate the country’s higher education system with regional and global systems.	
<b><i>1.1 Institutionalization of Regional and Global Partnerships, Mechanisms to Internationalize Higher Education, Building System Resilience, and Strengthening Digital Connectivity</i></b>	
1.1.1 Institutionalization of Regional and Global Partnerships and Mechanisms to Internationalize Higher Education	This sub-component will finance the strengthening of mechanisms and partnerships in higher education. Specifically, this component will finance: <ul style="list-style-type: none"> <li>(i) Establishing an International and Global Partnerships Desk in the Bangladesh Ministry of Education to support regional integration efforts and global partnerships through the project;</li> <li>(ii) Develop a White Paper on International integration in close coordination and consultations with SAARC member countries and table it for country endorsement,</li> <li>(iii) Develop university level partnerships with high quality universities across the world in specific priority areas.</li> </ul>
1.1.2 Higher Education Portal with Localized Content	This sub-component finances the establishment and maintenance of a Higher Education Portal to be hosted by the BdREN in Bangladesh. The portal will help facilitate the mobility of international students through a ‘virtual medium’ <sup>10</sup> . This sub-component will allow international students from participating and registered universities to take courses for credit in Bangladeshi universities. As other countries in the region and beyond agree to participate in such programs, this

<sup>9</sup> The total estimated project cost of HEAT is around BDT 40165.7 million (40165.7 crore). This amount includes GoB grant of 2033.43 crore and IDA credit of 1983.11 crore.

<sup>10</sup> Virtual mobility means that students take courses for credit in another country than their own. Credit recognition would mean that either individual courses or entire degree programs are recognized as equivalent to regular (including face-to-face) instruction.

	can be generalized to students outside their home country and home institution, and on a reciprocal basis.
1.1.3 Emergency Response	(i) This sub-component will finance the development of emergency response measures to create system resilience in response to the pandemic (e.g. COVID-19) in the higher education sector. This will also prepare the higher education sector for future crises, for example, climate-related events or due to conflict. The project will offer technical support to higher education institutions to implement these emergency guidelines and to establish crisis response committees at the institutional level. These guidelines once established can be used by other partners as needed.
1.1.4 Efforts to Improve Connectivity across National Research and Education Networks	This component will finance following key activities: (ii) development of a standard package of services that NRENs in South Asia can offer students and higher education institutions (such as, a Learning Management System, video-conferencing, data storage, and note-taking solution); (iii) work closely to support working groups of professionals in Asia-Pacific Advanced Network (APAN) and to strengthen cooperation across SAR RENS; (iii) put in place the last-mile connectivity for participating colleges, institutions and universities in Bangladesh through institutional grants; (iv) support the development and implementation of policies and strategies to ensure connectivity of the most disadvantaged students by providing means-tested access to devices and broadband access, and (v) the establishment of a 24/7 helpdesk to support remote teaching and learning (in alignment with the desk established under 1.1.1 and the helpdesk created under Sub-component 1.1.3).
<b>1.2 International Network of Women's Higher Education Institutions.</b>	
This sub-component is supported through two distinct parts. The first part finances the construction of the academic complex for the hub of this network, the Asian University for Women (AUW), which will support capacity development objectives for all members of the network. The second part finances the creation and strengthening of the network of women in higher education institutions. The AUW, an international private, not for profit, educational institution will function directly under a Performance Agreement with the University Grants Commission.	
1.2.1 AUW Academic Complex	This sub-component will develop a climate resilient academic center at AUW, which will support the university to transact its core business and help meet the development objectives of the project.
1.2.2 Regional Network of Women's Universities and Colleges	The sub-component will establish a network of women's universities and colleges in Bangladesh with three main objectives: (i) Enhance access to quality women's higher education, (ii) Support the development of women leaders, and (iii) Enhance female labor force participation. This capacity building effort is expected to benefit at least 20 Bangladeshi universities, pre-selected by the government to participate in network activities based on their role and potential of promoting women's

	education at scale <sup>11</sup> . The AUW is expected to be the hub for this network.
<p><b>Component 2: Transforming Higher Education in Bangladesh</b></p> <p>This component focuses on transforming the higher education sector in Bangladesh. There are three main sub-components which support (i) business continuity under COVID-19 pandemic and similar future shocks, (ii) strengthening market relevance of programs, and (iii) improving the governance and quality of the higher education sector.</p>	
<p><b>2.1: Supporting Business Continuity under Pandemic (e.g. COVID-19)</b></p>	<p>This sub-component supports business continuity in the wake of the coronavirus pandemic and to support disadvantaged students to disproportionately represent those unable to participate in any online activity. The project will strengthen the capacity of Bangladeshi universities to offer online and blended learning programs, along with increased service offers to institutions through the BdREN infrastructure. The following set of activities will be financed through this sub-component:</p> <ul style="list-style-type: none"> <li>▪ <i>Develop National Learning Management Infrastructure (LMI):</i> A national/central Learning Management Infrastructure (LMI) will be established. The LMI will facilitate the development, management and delivery of on-line courses and digital resources.</li> <li>▪ <i>Subsidize connectivity and devices to students and staff:</i> UGC and participating universities in BdREN will offer a subsidized connectivity package (Wi-Fi router and internet credit) to students and staff.</li> <li>▪ <i>Upgrade the Bangladesh Research and Education Network (BdREN):</i> BdREN's capacity will be strengthened, and participation of universities will be increased to support envisioned activities and delivery of services under LMI.</li> </ul>
<p><b>2.2: Strengthening the Market Relevance of Higher Education Programs in Bangladesh</b></p>	<p>The objective of this sub-component is to enhance the quality of higher education programs through the following:</p> <ul style="list-style-type: none"> <li>▪ Enhancing employability skills of university students, with a particular focus on girls– <ul style="list-style-type: none"> <li>(a) Enhanced exposure programs for university students; and</li> <li>(b) Employment service activities.</li> </ul> </li> <li>▪ Strengthening continuous professional development of university faculty- <ul style="list-style-type: none"> <li>(a) Construction of a University Teachers' Training Academy;</li> <li>(b) Operationalization of Faculty Professional Development (FPD) and Development of Continuous Professional Development; and</li> </ul> </li> <li>▪ Promoting advanced research, innovation and entrepreneurship skills and efforts through competitive grants- <ul style="list-style-type: none"> <li>(a) Pandemic Related Research and Development;</li> <li>(b) Competitive Funds to Improve Infrastructure for Teaching-Learning;</li> <li>(c) Advanced Research Grants;</li> <li>(d) Innovation Support Facilities;</li> </ul> </li> </ul>

<sup>11</sup> In addition, several universities and colleges from other South Asian countries have expressed interest in joining this network as well.

	(e) Technology Transfer Offices (TTO).
<b>2.3 Improving the Governance and Quality of the Higher Education Sector</b>	<p>The objective of this sub-component is to support activities to enhance the overall management capacity of the higher education sector in Bangladesh. Technical assistance will be provided to support implementation of:</p> <ul style="list-style-type: none"> <li>• <b>Improving Higher Education Management:</b> The project will support the development and initiation of innovative management system for the higher education of Bangladesh through the design of a Performance Based Financing scheme, a Centralized Admission System, and the further development of the Higher Education Management Information System.</li> <li>• <b>Quality Assurance:</b> Institutional Quality Assurance Cells (IQACs) will be scaled up and extended to all 158 universities in Bangladesh.</li> <li>• <b>Accreditation:</b> This will support the full operationalization of Bangladesh Accreditation Council (BAC) and program accreditations of universities by BAC. At least 30 programs will be accredited in universities under BAC during implementation.</li> </ul>
<b>Component 3: Enhancing Project Management Results Monitoring and Communication</b>	
	<p>The activities under this component include:</p> <ol style="list-style-type: none"> <li>Project management;</li> <li>Monitoring and evaluation;</li> <li>Communication;</li> <li>Technical Assistance (TA), and</li> <li>Help create a grievance redress mechanism (GRM).</li> </ol>
<b>Component 4: Contingent Emergency Response Component (CERC)</b>	
	<p>This component will allow for rapid reallocation of project proceeds in the event of future natural or man-made disaster or crisis that has caused or is likely to imminently cause a major adverse economic and/or social impact during the life of the project.</p>

## 1.8 Overall Implementation Arrangement of HEAT Project

The project, under the ambit of the MoE/SHED's Annual Development Programme (ADP), will be spearheaded by the University Grants Commission (UGC) as the implementing agency. Faculty professional development training is slated to commence in rented premises, targeting at least 5,000 faculty members.

Management and coordination responsibilities of HEAT project rest with the Secondary and Higher Education Division (SHED) of MoE, with UGC providing essential support for day-to-day operations. A Project Steering Committee (PSC), led by the SHED/MoE Secretary, will oversee policy directives and address pivotal issues. A Project Director, supported by a Chief Implementation Officer (CIO) and a comprehensive Technical Assistance (TA) team, will ensure meticulous oversight across all project facets including financial management, procurement, M&E, and communication efforts. This project administration team will be known as the Project Management Unit (PMU). The project administration structure is bolstered by a Project Implementation Committee (PIC),



mandated to aid in project execution, showcasing UGC's robust capacity in managing complex educational reforms, as evidenced by its successful handling of the Higher Education Quality Enhancement Project (HEQEP).

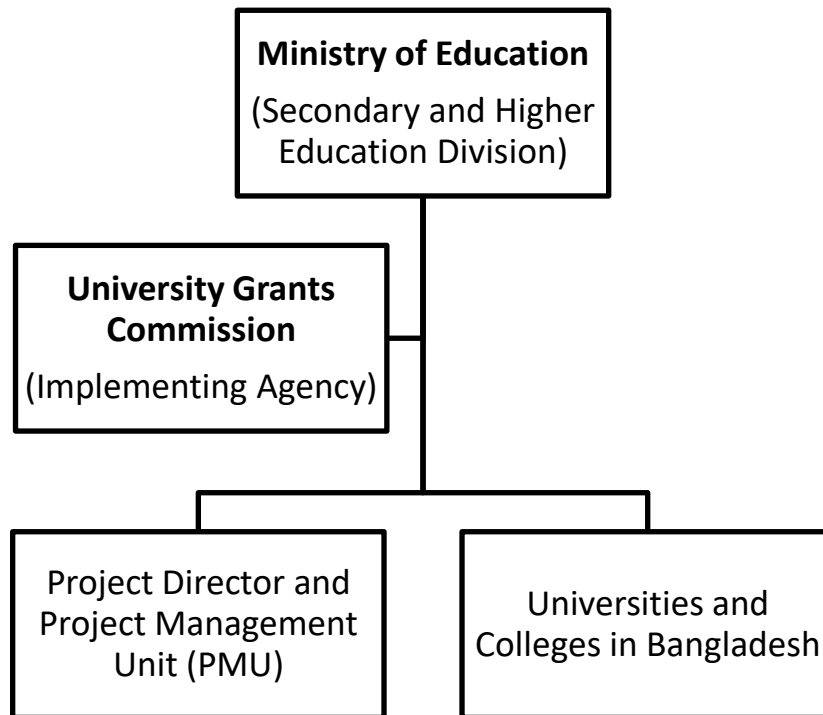
The UGC, leveraging its proven track record and existing infrastructure, including a dedicated Engineering Division, will oversee the comprehensive coordination and supervision of the project's M&E activities. Utilizing its Monitoring Evaluation and Reporting Unit (MERU) in conjunction with the Higher Education Management Information System (HEMIS), UGC is tasked with supporting the project's M&E endeavors. MERU will utilize a web-based Project Information Management System (PMIS) to regularly update the Results Framework, ensuring that project activities are closely monitored and evaluated for effectiveness and adherence to the project's objectives. This implementation arrangement underscores a well-structured approach to managing and executing project activities, ensuring accountability, efficiency, and the achievement of set goals.

### **Project Management Unit (PMU)**

The Project Management Unit (PMU) will serve as the central entity for the operational and strategic management of the HEAT project under the guidance of the Ministry of Education/Secondary and Higher Education Division (MoE/SHED). The PMU's composition will include: (a) personnel deputed from GoB, (b) specialized consultants and (c) outsourced staff in order to ensure smooth implementation of the project.

The leadership of the PMU will be under the Project Director (PD), deputed to oversee the comprehensive management of the project, including supervision of all officials and staff, financial management, and ensuring the achievement of project objectives. The PD will be supported by Deputy Project Directors responsible for leading various units/sections aligned with project components and subcomponents.

Individual consultants will play specialized roles: The Chief Implementation Officer (CIO) will lead the Technical Assistance (TA) team, coordinating project activities and liaising with beneficiary agencies. The Senior Financial Management Specialist and Junior Financial Management Specialist will ensure robust financial management, budgeting, fund management, and support financial training for staff. The Senior and Junior Procurement Specialists will oversee procurement activities, ensuring compliance with regulations and facilitating contract management. The Academic Transformation Fund (ATF) Management Specialist, Senior M&E Specialist, Quality Assurance Specialist, Senior Communication Specialist, BdREN Technical Specialist, Faculty Professional Development Specialist, Research Coordination Specialist, and UDL Specialist will each contribute their expertise to the project's success, focusing on their specific domains such as faculty training, research coordination, digital library development, and communication.



**Figure: HEAT Project Implementation Arrangement Map**

Financial oversight will be managed by a Senior Financial Management Officer (SFMO), leading the financial management team to ensure proper fund allocation, disbursement, and financial reporting. The Senior Monitoring and Evaluation (M&E) Officer will head the M&E team, focusing on monitoring implementation activities and progress, and organizing necessary surveys and studies. Deputy Directors, Senior Program Officers, and Program Officers will support the PMU's various units/sections in their respective tasks.

The Procurement Officer will assist in preparing Annual Procurement Plans and managing procurement processes, while Accounts Officers will support the SFMO in maintaining project accounts. Outsourced personnel, including Data Entry Operators, Drivers, and MLSS, will provide essential administrative and operational support under the supervision of respective directors.

This implementation arrangement outlines a comprehensive structure for the PMU, ensuring effective project management through specialized roles and responsibilities tailored to achieve the project's goals. The PMU's framework facilitates a coordinated approach to project implementation, monitoring, and evaluation, leveraging both internal expertise and external collaboration to ensure the project's objectives are met efficiently and effectively.



## Chapter 2

### The Academic Transformation Fund

#### 2.1 The Concept of Competitive Funding

- The award of sub-projects to universities through competitive funding mechanism was first introduced in the country under HEQEP in 2009. It was branded as Academic Innovation Fund (AIF). The concerned faculty and management of the universities have become familiar and well trained with it in the course of implementation of 438 sub-projects during the long nine years of HEQEP implementation. Competitive funding is preferred to direct disbursement of funds to implementing institutions because (i) it ensures transparency and fair selection in awarding the grant, (ii) it provides funds to the most competent entity and thus ensures best utilization of scarce resources, (iii) the sub-projects are carefully designed by the faculty of a department as a collective and institutional endeavor thereby a sense of ownership is instilled among them, and (iv) winning an award through fair competition generates deep commitment among the SPMT for diligent implementation of the sub-project, thereby, a surety in fully achieving the objectives of the initiative.
- According to the methodology of the competitive funding mechanism, only a department, an institute or a university is entitled to submit a sub-project proposal, an individual teacher is not eligible to do that. It has to be an institutional endeavor, not personal. The sub-project proposal is evaluated by the submitting entities' peer reviewers and final award is made by a board of selectors composed of the top management of UGC, who are also the peers of the proposal writers. For every sub-project there will be a SPMT led by a faculty member to be called Sub-project Manager (SPM) and consisting of a definite number of other faculty members.
- AIF sub-projects of HEQEP achieved an average implementation progress rate of over 95%, with commendable academic attainments as evaluated by peer reviewers. Further, although nearly 80% of the proposals did not win awards, there was no recorded case of any complaint of unfair selection and expression grievance.
- It has been observed that the inbuilt motivational spirit in competitive funding mechanism promoted changes in organizational behaviour, professional attitudes and institutional culture for creative thinking. It also imbued transparency and accountability among the faculty in spending public money.
- The HEAT will also offer opportunities for academic staff in Bangladesh's universities to pursue ambitious goals, to experiment innovative ideas, conduct advanced researches and to test possible solutions. The competitive funding mechanism under HEAT will be known as Academic Transformation Fund (ATF) only to distinguish it from the previous mechanism. But the rules of the game will remain the same. This Operations Manual provides guidelines for (i) eligibility for accessing ATF grants by the universities, and (ii) implementation of the sub-projects.

#### 2.2 Eligibility for receiving ATF Grants

In order to be an eligible recipient of the ATF resources the universities should fulfill the following criteria:

##### 2.2.1 For All Universities

- Commitment to set-up a University ATF Secretariat (UATFS) after receiving ATF award, with qualified manpower and logistics for undertaking assessment, procurement, monitoring and evaluation of sub-projects financed under the ATF by both the public and private universities;
- Minimum annual intake of 30 students in undergraduate academic programs;
- In universities which offer only graduate/postgraduate programs, minimum intake of 30 students at graduate/post-graduate level;

#### 2.2.2 For Public Universities

- An *Act* which established the institution as a university or equivalent level;

#### 2.2.3 For Private Universities

- A *government Provisional Charter* allowing a private university to function under the *Private Universities Act*.
- A permanent campus/establishment owned by the university as stipulated in the *Private Universities Act*;
- Reserve fund in a scheduled bank as stipulated in the *Private Universities Act*;
- Holding of at least one convocation; and
- Availability of audited financial statement not older than previous two years.

### 2.3 Types of Sub-projects under ATF

In this section, the types along with the objectives of the sub-projects will be described. The funding windows and types of sub-projects are as follows:

#### 2.3.1 Window 1: Pandemic Readiness Related Research and Development

There will be two broad types of sub-projects under this window.

- (i) Biochemical/virological aspects of the virus such as genomics, origin, and mutation in human bodies, immune system;
- (ii) Medical and pharmaceutical research on pandemic causing viruses.
- (iii) Social adaptation and Institutional readiness during/after pandemic.

Faculty members of bio-medical, bio-sciences, medical physics, biochemistry, microbiology, molecular biology, pharmaceutical chemistry, health science, Social Science and similar disciplines of Group-A & Group-B universities will be eligible to apply for these sub-projects.

#### 2.3.2 Window 2: Improve infrastructure for teaching-learning

The objective of this window will be to improve infrastructure and create facilities for teaching-learning. All groups of universities are eligible to apply for these sub-projects. The indicative areas of sub-projects are as follows:

- (i) Upgrading teaching-learning infrastructure and environment with modern teaching tools/devices and communication technologies;
- (ii) Upgrading science, engineering and technology labs, workshops, machine rooms for **STEM/STAGE** disciplines;
- (iii) Updating/modernizing curricula and teaching-learning materials, and;
- (iv) Upgradation/renovation of childcare facilities, female washrooms and ensuring campus safety for women.

The facilities and upgraded **STAGE/STEM** labs will have climate resilient features that can withstand the impacts of climate change induced disasters and consequences.

### 2.3.3 **Window 3: Advanced Research**

The objective of this window will be to finance researches in **STAGE/STEM** and **AHSBL** subjects. All groups of universities are eligible to apply for these sub-projects. The indicative areas are as follows:

- a) **Advanced researches in priority areas**, e.g., 4IR technologies, smart agriculture, smart textiles, computational biology, bio-medical, pharmaceutical sciences aiming to develop medicines/drugs for preventing and curing of lethal diseases that afflict Bangladeshi population, poultry and livestock, crops and fruits, nanotechnologies, material science, engineering, Ship recycling, sustainable materials, renewable energy, environmental pollution and degradation, bio-diversity, textile, ceramic, wood and leather technologies, climate change resilience, global warming, disaster response and management, gender and women, poverty reduction, rural and urban social transformation, migration, urban planning, changing livelihood patterns, devastations in ecosystem and its impact on rural and urban communities, economy and growth, crime and violence, impact of globalization, media, cultural changes, women and gender studies, population studies, development studies, trends in production systems, capital market performance, etc.
  - A share of window 3a allocation will support **researches led by junior academics** (Lecturers, Assistant and Associate Professors) to encourage new ideas and nurture future generation of university researchers.
  - A share of window 3a allocation will also be set aside for advanced researches on **climate change and resilience** issues.
- b) **University-industry collaborative research** aiming to produce marketable products and patenting, commercial enterprise, business startups, etc.;

### 2.3.4 **Window 4: Innovation Support Facilities**

The objective of this window will be to establish new **Fab Labs, Innovation Labs, business incubators/innovation center** to promote entrepreneurship among students and faculty. Group A universities are eligible to apply for these sub-projects. The indicative areas are as follows:

- (i) Business start-ups by faculty;
- (ii) Training for developing technical competency;
- (iii) Establishing of new Fab Labs;
- (iv) Transforming of existing Fab Labs into Centers of Excellence in digital manufacturing and facilitating link-up with private sector;
- (v) Establish Innovation Labs (i-Labs)
- (vi) Establish business incubator tagged with successful Fab Labs/i-Labs to convert innovation into commercially saleable products;

2.3.4.1 All functioning Fab Labs in Bangladesh will be brought under “**Fab Lab Bangladesh Network**” and which will become member of “**Fab Lab Asia Network**” and “Fab Foundation”.

2.3.4.2 A Fab Lab is generally equipped with an array of flexible computer-controlled tools

that cover several different length scales and various materials, with the aim to make "almost anything". Flexible manufacturing equipment within a Fab lab may include but not limited to:

- (i) Rapid prototype machine: typically, a 3D printer of plastic or plaster parts;
- (ii) 3-axis CNC machines: 3 or more axes, computer-controlled subtractive milling or turning machines;
- (iii) Printed circuit board milling or etching: two-dimensional, high precision milling to create circuit traces in pre-clad copper boards;
- (iv) Microprocessor and digital electronics design, assembly, and test stations; and
- (v) Cutters, for sheet material: laser cutter, plasma cutter, water jet cutter, knife cutter.

### 2.3.5 **Window 5: Technology Transfer Office (TTO):**

The aim of this window is to create a robust and sustainable university-industry interaction system and IP management by faculty and university. The main activity will be to establish new TTOs. This project will provide necessary technical assistance during the implementation. The TTOs role will be to commercialize research outcomes by maintaining valuing, and transacting the transfer of all marketable intellectual assets, (e.g., patents, copyrights, trademarks, designs, etc.) of the university to industry through networking and matching with industry partners. Group A universities are eligible to apply for these sub-projects. The TTO should be planned in such a way that it will continue as a permanent organ of the university after completion of the project. The university will provide a consent letter with the SPP about continuation of TTO (as an attachment) with its own staff, space and fund after the HEAT project duration and funding comes to an end.

#### 2.3.5.1 The specific objectives of the Technology Transfer Office (TTO) will be:

- (i) to create a robust and sustainable industry-university interaction system and function as a linking agent or an interface between the university and industry;
- (ii) assist in maintaining, valuing, and transacting the transfer of all marketable intellectual assets (such as patents, copyrights, trademarks, designs, etc.) of the university to industries as well as spurring the creation of new science and technology led businesses, and businesses based on the research done in the university. In other words, they have a pivotal role in converting the new knowledge generated in the university system to wealth for the benefit of the university and the nation;
- (iii) assist the researchers in converting the scientific findings, wherever feasible, into monetizable knowledge in the form of patents, copyrights, designs, formulas etc. generally known as Intellectual Property (IP);
- (iv) securely maintain such intellectual assets of the university by preventing intentional or unintentional infringement or theft;
- (v) perform, on a continuous basis, the techno-commercial evaluation of these intellectual assets of the university;
- (vi) perform all such acts that will help monetize these intellectual assets such as marketing, seeking new customers, participating in technology transfer conferences, etc.;
- (vii) design, negotiate and execute the technology transfer and licensing agreements with the industry;
- (viii) help create a greater awareness of the science-based business opportunities within the university students, faculty and management, and
- (ix) organize training on IP literacy for the academics of the university.

#### 2.3.6 The summary of ATF windows, sub-project types under each window, indicative activities corresponding to each of the sub-project type and eligible entities for those sub-projects are presented in the following table in a summarized form (Table-1).

**Table 1. Indicative Allocation for Individual Sub-projects under Five Windows (in BDT Lakh)**

Window No.	Window Name	Sub-project type	Indicative Activities	Eligible Entities	Total allocation for the window	Allocation for this type	Allocation to individual SPP (lower ceiling)	Allocation to individual SPP (upper ceiling)
Window 1	Pandemic Readiness Related Research and Development		(i) biochemical/virological aspects of the virus, such as, genomics, origin, and mutation in human bodies, immune system, (ii) medical and pharmaceutical research on pandemic causing viruses, antibodies, vaccines, drugs, etc. (iii) Social adaptation and Institutional readiness during/after pandemic.	Bio-science, Pharmacy and Social Science Departments of Group A & B Universities	6000	6000	100	500
Window 2	Improvement of Teaching-Learning Infrastructure		Improving Infrastructure for Teaching-Learning: The funds from this window will finance: (a) modern ICT systems for teaching and learning; (b) upgrading of STEM labs; (c) updating/modernizing curricula and teaching-learning materials; and (d) upgradation/renovation of childcare facilities and ensuring campus safety for women.	All Departments/ Institutes of eligible public Universities	24200	24200	50	500
Window 3	(a) Advanced Research	i) Advanced Research in Priority Areas	<b>STAGE/STEM disciplines:</b> smart agriculture, food safety, sustainable agriculture, smart textiles, computational biology, bio-medicines, biotechnology, poultry, fisheries and livestock culture, nanotechnologies and engineering, artificial intelligence, sustainable materials, ceramic, jute fabrics, biodegradable polymer, wood, metallurgy, and leather technologies, ship recycling, carbon emission, robotics and automation, etc.	Departments/ Institutes of all eligible Universities	82960	38960	200	600
			<b>AHSBL disciplines:</b> Economic, anthropological, sociological studies, globalization, production systems, livelihood pattern changes, rural and urban social transformation, ecosystem degradation impact on communities, migration, capital market, judicial and legal system, etc.	Departments/ Institutes of all eligible Universities	10000		50	100
		ii) Research Proposal lead by Junior Researchers		Same as above		10000	Same as 3(a)(i)	
		iii) Climate change		Same as above		4000		

		related research						
	b) Collaborative Research with Industries and Research Institutes		University-industry collaborative research targeting patenting and commercialization of research products.	Departments/ Institutes of all eligible Universities		20000	200	1000
Window 4	Establishing Innovation Support Facilities					5740		
		Fab Labs, i-labs, Business incubators	Establish new Fab Labs, i-labs, upgrading existing Fab labs, Business Incubation Centers tagged with Fab labs and i-Labs	Group A Universities		5500	200	600
		Networking with other Fab Labs	Establish Fab Lab Bangladesh Network, become member of Fab Lab Asia Network and Fab Foundation			240	20	100
Window 5	Establishing Technology Transfer Office		Establishing new Technology Transfer Offices	Group A Universities	3500	3500	20	100
<b>Total allocation for all windows</b>						122400 (1224 crore)		

## 2.4 Sub-Projects Administration

2.4.1 Implementation of **ATF** sub-projects will be the responsibility of the public and private universities' Departments/Faculties/Institutes/Centers and the university itself which would receive **ATF** grants following a rigorous sub-project evaluation and selection process. The **ATF** receiving **HEIs** will establish a University Academic Transformation Fund Secretariat (**UATFS**) with required manpower and logistics to provide technical assistance to the sub-project implementing entities and sub-project managers (**SPMs**) to carry out the tasks of financial management, procurement, and reporting etc., of the sub-project. Establishment of **UATFS** will be a precondition for **ATF** contract to become effective. Additionally, the officials and specialists posted in **HEATPMU** shall extend required support to the sub-project implementing entities.

**ATF unit** in the **HEATPMU** will function as the central management office for promotion, mobilization, training, implementation and day to day monitoring of all **ATF** sub-projects under the guidance and supervision of **PD** and act as the trouble shooter when needed. The highest authority to take decision on all matters related to **ATF** implementation will be the **UGC Board for ATF (UGCBATF)**<sup>12</sup>.

### 2.4.2 Sub-Project Management

The participating **HEIs** will establish individual Sub-Project Management Office (**SPMO**) headed by Sub-Project Manager (**SPM**) for every sub-project selected for implementation. The **SPM** would be the same person proposed in the approved sub-project proposal and will be assisted by Associate **SPM (ASPM)**, another faculty of the same entity. There will be a Sub-project Management Team (**SPMT**) consisting of the

<sup>12</sup> **UGCBATF** shall be composed of the chairman and five members of UGC. Its ToR is given in the ATFOM.



**SPM, ASPMs** and members who will normally be academics of the entity. In the case of **WINDOW-3b** sub-projects, a scientist from the industry partner will be a member of the **SPMT**. In the case of **WINDOW 3, 4 and 5** sub-projects, an officer of the university may be included in the **SPMT**. **SPM** will recruit office staff, i.e., Secretary/Office Manager, Accountant/Finance Officer, Data Entry Technician, and support staff, i.e., Janitor/MLSS etc., (with consolidated salary or as additional duty/part-time contract basis) provisionally in line with approved sub-project proposal to work in **SPMO**. The **ATF Operations Manual (ATFOM)** will be the basic handbook for use by the **UGC, HEATPMU, universities and SPMs** respectively for accessing **ATF** funds, sub-project proposal processing and selection procedure to be followed, and carrying out the sub-projects' activities at the institutional level. The **FMG** and the **ATFOM**, therefore, will be the two main documents that would be indispensable for the management of **ATF** sub-projects' physical and financial activities.

## 2.5 Grouping of Universities

2.5.1 There are now 158 (50 public and 108 private) universities in Bangladesh. They are at various stages of development, with different past achievements and present capacities. In an open competition for sub-projects the younger universities with less capacities are likely to find it unfavorable to compete with the universities with higher capacities. Further, many of the younger universities have few departments and faculty are younger, therefore, they have limited capacity to implement big budget sub-projects. Following the HEQEP precedent it has therefore been decided to offer protected opportunities to the relatively younger universities by dividing all the universities into three groups according to their capacities, and reserving allocations for each group. Academic capacity of a university has been determined by the actual number of full-time teachers holding PhD degree in that university and with the number of research publications in Scopus Indexed Journals in recent years. Teachers' qualification is just a benchmark for arriving at an acceptable level of capacity of a university for ensuring share of the additional funds provided by the HEATP. This clustering of universities in groups does not indicate ranking or hierarchy based on excellence or status of an institution included in a group. The maximum value of a sub-project will also be different for the three groups. All the universities will participate in the open competition, and after evaluation of the project proposals, separate merit lists will be prepared for each group for selection for award. The list of universities and division into three groups is given in **ATFOM Annex 3** of this OM.

## 2.6 Allocation for Sub-projects:

2.6.1 All sub-projects will require fund for renovation and refurbishing of class rooms, lecture theaters, women's facilities renovation, labs, procurement of scientific equipment for labs, computers, communication and teaching-learning devices, office equipment, stationary, software, renovation work of classrooms and labs, etc. Sub-project budget will also cover expenses for other activities included in the work and financing plans, e.g., training, travel allowances, remuneration to MPhil, Master's, PhD and Post-doc fellows, etc., and salary for contractual staff of the sub-project. However, Pandemic Research and Development sub-projects and those of the **STAGE/STEM** disciplines would require modern state-of-the-art lab equipment for conducting advanced research. Most of these scientific lab equipment are very expensive. Considering the DPP provision and priority of advanced research for spurring economic growth, and the capital-intensive investment required for **STAGE/STEM** sub-projects, about 80% of the total fund budgeted for this purpose has been allocated to **STAGE/STEM**, and the remaining for **AHBSL** disciplines. On the basis of such considerations, and to support as many entities as possible, the maximum and minimum indicative allocation for individual sub-projects have been fixed as shown in **Table-1**.

2.6.2 The total allocation for competitive funding is BDT 122400 lakh, and the allocation for Group A, Group B and Group C universities will be respectably in the ratio of 55:30:15. However, Window-1 sub-projects will be awarded to Group-A and Group-B universities and Window-4 and Window-5 sub-projects will be awarded only to Group-A universities (Table-2).

2.6.3 Further, in order to spread the funds as widely as possible among various universities in a group and at the same time maintaining the spirit of competition, a limit in percentage will be imposed on an individual university out of the total amount of funding in a particular window. Further, allocation for a university in a particular window may be adjusted to accommodate a sub-project in another window in such a way that the total allocation remains within the total ceiling for all windows for the university. Moreover, if it is observed that fund so allocated would remain unutilized due to lack of competent proposals from a particular group, then **UGCBATF** may consider to re-allocate the unutilized fund to groups which might require additional resources for financing number of competent proposals. The UGCBATF would also consider such fund reallocation/ readjustment mechanism for all the windows according to demand and on the basis of merit, score, etc.

2.6.4 **ATF** fund allocation will be divided equally into two rounds of call; and the allocation among three groups of universities as share of total fund is shown in Table 2 below.

**Table 2. Allocation of fund for win Window and university group-wise allocation of fund showing institutional ceiling**

		<b>University Groups</b>						<b>BDT in Lakh</b>	
<b>Window</b>	<b>Name of Window</b>	<b>Available Fund</b>	<b>Group A (55%)</b>		<b>Group B (30%)</b>		<b>Group C (15%)</b>		
			<b>Total</b>	<b>Total group Allocation</b>	<b>Institutional ceiling</b>	<b>Total Group Allocation</b>	<b>Institutional ceiling</b>	<b>Total Group Allocation</b>	<b>Institutional ceiling</b>
<b>1</b>	Pandemic Related Research and Development	6000	3882	582	2118	318	-	-	
<b>2</b>	Improvement of Teaching-Learning Infrastructure	24200	13310	1997	7260	1089	3630	545	
<b>3</b>	Advanced Research	(82960)							
	a) STEM/STAGE, AHSBL	62960	34628	5194	18888	2833	9444	1417	
	b) Industry Collaboration	20000	11000	1650	6000	900	3000	450	
<b>4</b>	Innovation Support Facilities	5740	5740	861	-	-	-	-	
<b>5</b>	Technology Transfer Office	3500	3500	525	-	-	-	-	
<b>Total Allocation (all windows)</b>		122400	72060	10809	34266	5140	16074	2412	
<b>Allocation Principles</b>									
1. Ceiling to an individual eligible university in a group will be 15% and the upper limit of allocation to an individual university will be as follows: Group A: 10809 Lakh; Group B: 5140 Lakh; Group C: 2412 Lakh BDT.									
2. In case of a sub-project jointly submitted by two universities, the cost of sub-project should be shared between the two universities, provided that amount allowed to each participating university does not exceed the ceiling.									
3. The cost sharing principle stated above shall also apply in case of public-private university joint sub-projects. The lead university shall disburse the fund according to financing plan.									
* Amounts have been mentioned in round figures									
** Ceiling means upper limit of allocation to a university in that window									

## 2.7 Indicative Eligible Expenditure

Following items of expenditures will be eligible under a sub-project's approved work plan, training plan, budget, procurement and financing plan.



### 2.7.1 Training<sup>13</sup>

- a. Expenditure for training of regular academic staff on drafting of patent application and its processing, licensing agreement, business contracts for commercialization of research products etc. for window 3, 4 & 5 sub-projects;
- b. Expenditure for foreign training of regular staff/faculty for acquiring expertise on operations and maintenance of sophisticated laboratory equipment procured only under window 1 & 3 sub-projects; provided that;
  - For which training is not available in Bangladesh; and
  - Not exceeding 30 man-days;

### 2.7.2 Procurement<sup>14</sup>

- a. Purchase of teaching aids/materials/equipment/devices for window 2 sub-projects
- b. Purchase of research laboratory equipment, machineries for window 1, 3 and 4 sub-projects;
- c. Purchase of spares and accessories of laboratory equipment for window 1, 3 and 4 sub-projects;
- d. Books and journals;
- e. Office equipment, e.g., photocopier, printer, scanner;
- f. Stationaries;
- g. ICT equipment and accessories;
- h. Chemicals, specimen, coolants, gas and other consumables;
- i. Furniture for class rooms and laboratories, seminar rooms, libraries,
- j. Air conditioners, air purifiers and dehumidifiers for classroom, laboratories, seminar rooms and libraries;
- k. Expenditures for conferences, seminars, workshops held within Bangladesh related to the sub-project activities (all sub-projects);
- l. Cost of travel and transport (occasional hiring)

### 2.7.3 Works (maximum 10% of the project cost)

- a. Renovation, repairing and refurbishing of existing infrastructure like lecture rooms, seminar rooms, laboratories, wash rooms;
- b. Construction of special structures for installation of equipment or machinery (not considered renovation);
- c. Construction of an equipment for use in laboratories;

### 2.7.4 For Research (Window 1 and Window 3) sub-projects:

- a. Financial support to candidates enrolled for Master's and PhD;<sup>15</sup>

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<sup>13</sup> Training under all ATF sub-projects will be allowed only to regular/permanent faculty members of the entity. Maximum four academics from among the members of the SPMT or the entity will be eligible to undertake such training abroad only once under the sub-project's entire implementation period. They have to secure PMU and university management's prior approval, as the rules stipulate, for undertaking such visit abroad and shall receive financial support for most economic return airfare and training fees as required for the program and other allowances from the sub-project as admissible under existing government rules.

<sup>14</sup> All goods, works and services to be procured must be included in the financial and procurement plan of the sub-project proposal.

<sup>15</sup> Registered Master's and PhD students may be engaged on a contractual basis for research under WINDOW 3 sub-projects. A particular Master's and PhD student may be paid allowances at the monthly rate of Taka 30,000 and Taka 50,000 respectively for a maximum period of 18 months for Master's and 36 months for PhD student. A maximum of four Master's and four PhD students may be engaged in a sub-project. The number of Master's students must not exceed four in any

- b. Research stay allowances for Master's/PhD students<sup>16</sup>
- c. Host institute charges for research stay;<sup>17</sup>

#### 2.7.5 Services:

- a. Travel expenses, hospitality expenses and remuneration of visiting scholars/experts;
- b. Remuneration for the services hired teachers, researchers, research assistants, technicians;
- c. Repair, maintenance of laboratory and office equipment;
- d. Payments for intellectual properties', patents' use etc.18(Window 3 sub-projects).
- e. Hiring of consultants/experts/specialists/lawyers/patent attorneys and their consulting fees (maximum 10% of the total cost of the sub-project; however, for TTO, there will be no budget ceiling);<sup>19</sup>
- f. Payment for scientific analytical work (window 1 and window 3 sub-projects).
- g. Academic Collaboration
- h. Expenditure for visit of members of the SPMT to national and foreign universities, research institutions and industries for the purpose of collaborative research work as part of window-3 sub-project proposal/activities<sup>20</sup>;
- i. Incentives for Members of the SPMT.<sup>21</sup>

#### 2.7.6 Staffing of TTO, e.g., hiring of persons with law background and skilled in developing licensing agreements, business development specialist, intellectual property (IP) expert who would manage and facilitate IP assets of the university by reviewing patentability of researches/ products/processes, training etc., and marketing expert who has knowledge

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given academic session. Tuition fees and other mandatory fees of all registered research students will be paid from the sub-project.

<sup>16</sup> A researcher's stay of up to six months for Master's and twelve months for PhD students in a foreign university/institute is permissible for collaborative research; they will be entitled to most economic return air fare and allowances at the following rates:

- Category-A: Tk: 120,000/month (US, Canada, Australia, Europe, New Zealand, Japan, Singapore)
- Category-B: Tk: 100,000/month (USSR, Hong Kong, South Korea),
- Category-C: Tk: 70,000/month (India, China, Malaysia, Thailand, Indonesia, Phillippines, Turkey)
- For any other counties, decision of UGCBATF will be the final.

<sup>17</sup> An amount up to BDT 500000/- may be paid to the host institution for extending research facilities for collaborative research as per sub-project design, and an incentive up to US\$ 5000.00 (equivalent BDT) to the host research supervisor per **Master's/PhD** student. Provided that the cost is included in the budget and financing plan of the sub-project.

<sup>18</sup> According to GoB's IP and Patent Law.

<sup>19</sup> Please refer to section on procurement below.

<sup>20</sup> Such visits shall be strictly for collaborative research purposes. Per diem and travel costs for such visits abroad will be admissible according to GoB's existing travel allowances rules. The maximum number of such visits abroad shall be four for the entire duration of the sub-project and the duration of each visit will be maximum two weeks. Only the members of the SPMT are eligible for such visits. Vice Chancellors, Pro Vice- Chancellors and Treasurers shall not be eligible to visit abroad with sub-project fund. Such visit proposals must be prior-approved by **PMU/UGC**. Visits abroad without **PMU/UGC's** prior approval will be considered as ineligible expenditure and the participant will have to refund personally the entire cost to sub-project. Total expenses for visit abroad should not exceed Tk. 20.0 lakh or 5% of the sub-project budget, whichever is lower.

<sup>21</sup> The SPM and ASPMs of a sub-project will be eligible for receiving incentives @ four months' and two months' basic salary respectively per year as referred to Annex 14 of this ATFOM. Other members of the SPMT will be eligible to receive one month's basic salary per year as incentive. The total ceiling for incentives for the entire sub-project period must not exceed Taka 2.5 million (3.0 million for collaboration project) or 10% of the total sub-project cost, whichever is lower. The incentive will be paid upon submission of annual progress report by the SPM to PMU/UGC, describing the contribution of individual Members of the SPMT.

on techno-commercial arena and continuously interact and negotiate with industries. These staff could be hired from the market and/or deputed from relevant departments and faculties of universities and must be professionally trained in above skills. In fact, TTO staffs should be regular/permanent employees of the University for continuation of technology transfer activities after completion of the project.

#### 2.7.7 Ineligible Expenditure<sup>22</sup>

- a. Salary and allowances for the regular/permanent academic and support staff of the university;
- b. Any establishment/recurring/revenue expenditures of the department/ faculty/ institute/ center/ university;
- c. Large civil works, e.g., construction of new physical infrastructure, i.e., building, road, boundary wall, water reservoir, laboratory, workshop, classroom, auditorium, library, seminar hall/lecture theatre/room/facilities etc.;
- d. Costs not related to **ATF** sub-project activities and not included in the sub-project work plan, financing and procurement plans and budget.
- e. Procurement of motor vehicles.

#### 2.7.8 Procurement

Goods, works and services shall have to be procured by following the PPA 2006 and PPR 2008 as well as *WB Procurement Regulations for IPF Borrowers, 2016, revised in November 2017 and August 2018*, subject to eligibility of the expenditure as stated in paragraph 2.6 above for IDA/GoB fund use.

#### 2.7.9 Cost Escalation and Re-appropriation

Due to various reasons like price hike of goods, works or services and/or depreciation of value of Taka, the actual cost of any item of procurement may turn out to be higher than the cost of the item in the approved budget of the sub-project. This increase in cost is called escalation, and the SPMT in such cases should adjust budget first to accommodate the increased cost of the item. If it is not possible, the SPMT may apply with justification for an increase in the project cost for approval by the **UGCBATF**. Approval of cost escalation will be given only in exceptional situation.

**Re-appropriation** of budget will be allowed in cases when it becomes necessary for achieving sub-project's objectives and for rationalizing cost under different heads of budget. However, budget re-appropriation proposal must be prior-approved by the **PD**.

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<sup>22</sup> Ineligible expenditures will not be reimbursed by the GoB/World Bank and will have to be borne by the university.

## CHAPTER 3

### Preparation of Sub-Project Proposals

#### 3.1 Administrative Structure of ATF

- 3.1.1 The **HEATPMU** will have a designated unit for **ATF** with an academic/official not below the rank of **Grade 3**. S/he will work under the project director who will lead the **PMU** and the implementation of all activities of the project including of **ATF**. PD will be directly accountable to the Chairman, UGC.
- 3.1.2 **University Secretariat for ATF (UATFS):** Public universities willing to participate in the competition for the award of sub-projects will require to have **UATFS** with the Director of Planning and Development as the official in charge and other necessary support staff. For private universities UATFS will be headed by an official or faculty responsible for planning and development activity of the institution. This secretariat will be responsible for maintaining communication between the SPMT in the university and the Vice Chancellor's office at the institution level and **ATF** unit at UGC at the PMU regarding all activities as specified in this OM.

#### 3.2. Call for Proposal:

- 3.2.1. There will be two rounds of competition for the entire length of **HEAT** implementation, i.e., five years. The call will be published in several national dailies, and also posted in the **MoE/SHED** and **UGC** and **HEATP** websites. The call for the second round will be given within one month of the award of the first-round proposals. The total allocation will be distributed equally between the two rounds.
- 3.2.2 Operations Manual for **ATF**, including proposal formats for types of sub-projects will be uploaded on the websites of **UGC** and **HEATP** and the printed version of the **ATFOM** will be sent to all universities.

#### 3.3 Preparation of Sub-project Proposals (SPP)

- 3.3.1 Sub-project proposal for any sub-project has to be prepared by filling up the specific proposal format given in the Annexes of this Operations Manual.
- 3.3.2 Further, proposals will require different **SPP** formats depending on the type of the sub-project provided in this Operations Manual (with an additional appendix on Partnership Agreement for Window 3- sub-projects) to be filled up and attached. MS word version with excel formats for tables of the SPP will be posted on the website of **HEATP**.
- 3.3.3 The sub-project type as mentioned in **Table 1** and **2** above should be written on the cover of the **CP**. Additionally the sub-project which falls within the broad cluster of disciplines as classified in paragraph 3.3.4 below should be mentioned on the cover page of the **CP**. Further, the specific subject of the sub-project according to the classified cluster should be written in the **CP**:
- 3.3.4 **Cluster of disciplines for sub-projects:**

- (i) **AHSS:** (Arts, Humanities, Social Sciences))
- (ii) **CCDM:** (Climate Change and Disaster Management)
- (iii) **PCMSI:** (Physics, Chemistry, Mathematics, Statistics, ICT)
- (iv) **ETTCLW:** (Engineering, Technology, Textiles, Ceramic, Leather, Wood)
- (v) **MBPPHNS:** (Medical, Biochemical, Medical Physics, Pharmaceutical, Public Health and Nutritional Sciences)
- (vi) **AG:** (Agriculture including Crops, Fisheries, Livestock, Veterinary, Poultry and Horticulture)
- (vii) **BL:** (Business and Law)

### 3.3.5 Sub-project Management Team and Proposal Submitting Entities

3.3.5.1 Every sub-project will require a **SPMT**, consisting of a Sub-project Manager (**SPM**), one or two Associate Sub-project Managers (**ASPM**), and if required, one or two members. However, the total number of members should not exceed 4 including the **SPM**. The **SPMT** will prepare the proposal, and both the **SPMT** as well as the proposal will require the formal approval of the academic committee of the entity, which will own the proposal and submit it after obtaining **VC**'s approval. The **SPM** and **ASPMs** shall be selected from the regular/permanent teaching staff of the proposal submitting entity.

3.3.5.2 Following entities in a university shall be eligible<sup>23</sup> to submit proposals as given in Table 3.1 below.

**Table 3.1. Eligible Entities for submitting Sub-project Proposal**

<b>Sub-project type</b>	<b>Eligible Entity</b>	<b>Eligible SPM</b>	<b>Eligible Members of SPMT</b>
<b>Window 1:</b> Pandemic Related Research and Development	Bio-science, microbiology, virology, medical, pharmacy, Social Science and relevant departments of Group A&B universities in collaboration with Research Centers	Permanent Faculty Member of the proposal submitting entity	Relevant Teachers and Research Scientists
<b>Window 2:</b> Improving Teaching-Learning Infrastructure	Departments/Faculties/Centers/ Institutes of all public universities	Head of entity or a nominated Permanent Faculty Member of the proposal submitting entity	Teachers of the entity
<b>Window 3:</b> (a) Advanced Research in Priority Areas	Departments/Centers/Institutes of all public and eligible private universities	Permanent Faculty Member of the proposal submitting entity	Teachers of the Department/Center/ Institute

<sup>23</sup> Eligibility criteria have been described in section 2.2 of this OM.

<b>Window 3:</b> (b) Collaborative University- Industry Research	Departments/Centers/Institutes of all public and eligible private universities in collaboration with Research Centers and industries	Permanent Faculty Member of the proposal submitting entity	Teachers of the Department, Researchers/ Teachers of the Center/ Institute and Research personnel of the partner industry or research institute
<b>Window 4:</b> Fab Lab, i-Lab, Business incubator	The eligible public and private universities of Group-A	A Faculty Member nominated by the Vice-Chancellor	Teachers of the University
<b>Window 5:</b> Technology Transfer Office	The eligible public and private universities of Group-A	A Faculty Member nominated by the Vice-Chancellor	Teachers of the University

3.3.6.3 An academic will be allowed to be the **SPM** of only one sub-project. Further, no faculty member can be designated as **SPM**, **ASPM** or a member of the **SPMT** simultaneously for two sub-projects in a single round or in two rounds consecutively.

3.3.6.4 It is expected that the Dean of a Faculty, the Chairperson/Head of a Department or the Director of an Institute will be the **SPM** of a **Window 2** sub-project. In the event the entity is awarded more than one sub-project or the Dean of a Faculty, the Chairperson/Head of a Department or the Director of an Institute unable to become the **SPM**, a senior faculty may be nominated as **SPM** by the Faculty/Academic Committee or the Governing Body as the case may be. The Same committee shall form the **SPM** team to prepare the **SPP** and place it before the Faculty/Academic Committee (**AC**) or the Governing Body as the case may be, and upon approval, submit it to the **UATFS** for obtaining endorsement of the Vice-Chancellor and onward transmission to **ATF** unit of **HEAT PMU**.

### 3.3.7 **Window 3 (a) Sub-projects: Advanced Research in Priority Areas**

Sub-project proposals may be initiated by an individual academic in consultation with a group of colleagues in the same entity or a partner entity, which may be a neighboring entity, or even an entity in another university. The objective of the proposal is to establish facilities for carrying out cutting-edge research in a priority area relevant to needs of the country. The initiator of the proposal is expected to be selected by the entity as the **SPM**, the **ASPMs** and team members who will be academics having full-time positions in the entity. The **SPMT** will prepare the **SPP** and submit it to the Department/Center/Institute for approval by the Academic Committee/Board of Governors and forward it to the **UATFS** for obtaining **VC's** approval.

### 3.3.8 **Window 3 (b) Sub-projects: University-Industry Collaborative Research**

3.3.8.1 First, an individual teacher or a group of teachers of a department or Institute may have developed certain technology which they think, have commercial value, or may have ideas for developing a marketable technology out of their own research findings or



existing knowledge available in literature. The proposed technology should be innovative, in the sense that it should be based on “doing something differently” than how it is done currently. They should have proven research experience relevant to the technology, and basic research facilities at their disposal.

3.3.8.2 Second, this group will undertake a survey of the industries (small, medium or big) and identify the enterprise that produces and markets products/processes/technologies in relevant technology fields and would be the appropriate partner for jointly developing and marketing the technology and products that would fulfill the purpose of the innovative research planned by the academician-researcher. The names of such appropriate enterprises shall be listed and then each of them will be individually contacted by the proposal writer academician. Discussion with the enterprise owner/manager will be initiated to make him/her interested to involve in the collaborative research.

The faculty will choose an industry partner who would be interested in adopting the technology for commercial benefits and investing in the development of the technology through collaborative research with the assistance of experienced researchers including Postdoctoral Fellows and PhD students.

3.3.8.3 Third, once the two parties agree in principle to start the collaborative venture, the terms and conditions of collaboration shall be worked out through negotiation and presented in a draft Memorandum of Understanding (**MoU**). A strategy and plan for procuring necessary logistics for the proposed research and carrying out the research jointly will be formulated with a view to generating monetizable knowledge and pilot marketing of the product/technology. MoU between the eligible entity and industry (a template in *SPP Annex 14*) should cover, at least, the following:

- Agreement on the confidentiality of technologies shared with Industry;
- Agreement on intellectual property right ownership by the university/entity;
- Agreement on sharing of benefits from licensing and commercialization;
- Agreement on cost sharing (for expenditures incurred outside of **ATF** grant, if any);
- Agreed deliverables and timeline of the joint research and commercialization.

3.3.8.4 Fourth, the draft **MoU** shall be submitted to the **VC** of the university for obtaining approval.

3.3.8.5 Fifth, the entity will form a Sub-project Management Team (**SPMT**) headed by the **SMP** including one or two Associate **SPM** (**ASPM**) and one or two members, one of the **ASPM**/Member will be a representative of the industry partner. The **SPMT** will formulate the proposal and submit it to the Academic Committee/Governing Body, as the case may be for approval and necessary further action.

### 3.3.9 **Activities to be funded under Window-3 sub-projects:**

- (i) Development and improvement of the laboratories and workshops with state-of-the-art scientific instruments for conducting experiments on testing of the technologies;

- (ii) Employment of fulltime Post-Doctoral fellows (up to Tk. 150,000/- per month)<sup>24</sup>, Research Fellows for fulltime PhD students (Tk. 50,000/- per month)<sup>25</sup> and Research Associates (50,000/-) for carrying out research work;
- (iii) Cost of application for patent on developed technologies and establishment of Intellectual Property Right;
- (iv) Promotion and commercialization of innovative technologies;
- (v) Training and Workshops for researchers from universities and industries;
- (vi) Facilitation and strengthening of the linkages with the industry/productive sector;
- (vii) Academic visits by **SPM** and **SPMT** to gain experience of the functioning of **TTOs** and university-industry collaborative research;
- (viii) Expenditures for participation in training courses for university's regular/permanent academic staff and industry experts on topics such as patent management, licensing agreement, business contracts, commercialization of research products, etc.;
- (ix) Expenditures for attending conferences, seminars, workshops held within Bangladesh related to the proposed research;
- (x) Procurement of materials and facilities for research, including laboratory facilities, books and stationery, etc.;
- (xi) Operational expenditures for research activities and commercialization of research outputs;
- (xii) Incentives for members of **SPMT**.

### 3.3.10 **Role of Universities in Implementing Window 3 (b): University-Industry Collaborative Research Sub-projects**

3.3.10.1 Universities will provide research facilities, space for experimental setup and equipment needed for their research on innovative technologies and provide industry members the opportunities to participate in collaborative research with university faculty and easy access to the entity's research facilities and equipment needed to carry out the joint research.

3.3.10.2 Universities will take a leading role in publishing research outcomes of the joint research after completing the application for patent as well as in filing applications for patenting of created innovative technologies and products. The Technology Transfer Office (**TTO**) would provide the technical assistance for acquiring patent by the university.

3.3.10.3 The proposal submitting entity's leadership should take adequate measures to raise awareness of the entire university community about entrepreneurship for faculty members and the significance of university-industry collaboration. Full support of

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<sup>24</sup> If a SPP needs post-doc fellow with high qualification and remuneration higher than GoB salary scales, s/he may be recruited as consultant.

<sup>25</sup> PhD students may be engaged on a part time basis upon a maximum payment of allowances of Tk 25,000/- as agreed between the SPMT and the student.



university leadership both administratively and psychologically is essential for the successful implementation of university-industry collaboration and fostering the culture of business enterprise in the university and tolerance toward failures of innovative undertakings. The proposal submitting entities and universities of proposal submitting entities need to develop institution's policy for intellectual property management as well as new human resource policy and reward systems to nurture entrepreneurship and motivate faculty members to engage in university-industry collaborations. The university should also provide support to its researcher academics to become techno-entrepreneurs and establish business ventures for production and marketing of the results of innovations.

### 3.3.11 **Role of Industry**

- 3.3.11.1 The industry personnel will join as members of **SPMT** and bear joint responsibility for successful completion of the sub-project. Members of industry shall collaborate with the universities to identify innovative technologies that can be jointly developed into marketable goods and services, and develop strategies for joint research and pilot marketing.
- 3.3.11.2 Industry will provide technical inputs to joint research processes and play a major role in dissemination and marketing of the innovative technologies and products.
- 3.3.11.3 Industry will cooperate with the proposal submitting entity in filing applications for patent under the names of both members of University and Industry to secure Intellectual Property rights of their research outputs.
- 3.3.11.2 Industry will provide access to its research lab and production setup for experimentation and data collection. The industry will also provide its technical expertise for setting up research laboratories in the university and training the university personnel (Faculty, student, technical staff, etc).

### 3.3.12 **Proposal Pre-submission Guidelines:**

The Vice-Chancellor of the university is expected to take the initiative to make the institution ready for participating in the **ATF** and enthuse and encourage the Deans, Heads and senior faculties for preparing and submission of sub-project proposals. The sub-project proposal (**SPP**) will be prepared by the entities and the **VC** shall provide guidance and oversight in their work.

- 3.3.12.1 An academic who is presently implementing other research projects costing total of BDT 100 lakh or more will not be eligible to be a member of **SPMT** of **ATF** sub-projects.
- 3.3.12.2 The SPM and ASPM must have at least four years' service ahead from the beginning of the implementation of the sub-project
- 3.3.12.3 The minutes of the meeting of the Academic Committee or the Governing Body in which the **SPP** has been approved must be attached with the **SPP** as its integral part.
- 3.3.12.4 SPM or the Head of entity will submit **five hard copies** along with a softcopy of a **SPP** to **UATFS** in the prescribed sub-project proposal format (Chapter 10). All proposals should be submitted in 80gm A4 size offset paper and a soft-copy (both in MS Word & Excel, and in PDF format).

- 3.3.12.5 **Vice-Chancellor's Endorsement:** After receiving the proposals from the entities the Planning and Development (P&D) office of the university will make a list of received **SPPs**, submit these to **VC** office for obtaining the **VC's** endorsement on them. The endorsement of the **VC** on the **SPP** implies that the university management undertakes responsibility to provide full administrative support for the implementation of the sub-project as well its sustainability after completion of the sub-project. The **VC** may recommend any change, modification of scope, budget of the sub-project proposals upon consideration of the needs of the university, its strategic plan and development perspective before submitting it to the **PMU**.
- 3.3.12.6 The **P&D office** shall preserve one hard and one soft copy of the received proposals for record and reference in its office.
- 3.3.12.7 The **P&D office** will ensure that the full version of the **SPPs** in both hard and soft copies has been made.
- 3.3.13 Submission of SPPs:** After getting approval from **VC**, the **SPMT** shall submit the softcopy of the proposal in Online/ in a dedicated email address of **HEAT**. The **P&D** office shall submit **four** hard copies of **SPP** to the **ATF** unit of **HEAT PMU**.

#### **3.3.14 Post-submission Guideline**

The **ATF** unit in **PMU** shall check each received **SPP** to verify whether: (i) it has been drafted according to the relevant guidelines provided in **ATFOM** and incorporates required information including detailed budget in the prescribed format, and (ii) all annexes have been attached.

It will then classify the **SPPs** according to university, window, type, discipline area, etc., put a Proposal Identification Number (**PIN**) on each **SPP**, furnish a checklist of major eligibility compliances for each of them according to **ATFOM** provisions; and prepare a database in a matrix that will cover the profile of all received **SPPs**.<sup>26</sup>

The **ATF** unit of **PMU** will also prepare a *Guidelines on SPP Evaluation* by **AEPs** (previously named as **ARPs**) following the provisions provided in the **ATFOM**.

### **3.4 Performance Indicators**

In the sub-project proposal (**SPP**), it is required to define and formulate several performance indicators to measure the progress and benefits of the sub-project, and describe their calculation methodology, baseline values, measurement period, etc. A concept note on sub-project performance indicators is given in *ATFOM Annex 2*. For successful completion of research project (both w-1 and w-3), two publications should be published in Scopus Indexed journals as outcomes of research/development project proposals. **UGC** as the implementing agency for the **ATF**, will carry out academic monitoring of all on-going **ATF** sub-projects and take necessary action in case any sub-project fails to achieve the outcome.

The research outcomes should be submitted to the **HEAT PMU** office/ relevant office of the Bangladesh University Grants Commission as a technical report before submitting

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<sup>26</sup> The database in excel file shall include name of the proposal submitting institutions and entities, title of the sub-projects with channels, duration, cost, names of **SPMs/ASPMs**, deficiencies identified, allocation figures by groups and institutions and global allocation scenario in respect of total **ATF**-funding.

the sub-project final completion report (PCR). Later Bangladesh University Grant Commission will complete the peer review and take necessary measures for publication and the copyright will be reserved with Bangladesh University Grant Commission.

Performance indicators for various types of sub-projects may be but not limited to the following:

#### 3.4.1 **Window 3 (a):** Advanced Research in priority areas

- (i) Number of MS/PhD students enrolled/degree awarded;
- (ii) Number of on-going research projects
- (iii) Number of PhD scholarships and post-doctoral fellowships;
- (iv) Money invested annually for accessing knowledge and information, and scientific/laboratory equipment and instrumentation;
- (v) Number of publications by students in national and international refereed journals;
- (vi) Number of publications by students in un-refereed journals or conferences;
- (vii) Number of publications by faculty/staff in national and international refereed journals;
- (viii) Number of publications by faculty/staff in non-refereed journals or conferences;
- (ix) Number of collaborative academic programs with foreign universities;
- (x) Number of collaborative researches undertaken jointly with industries.

#### 3.4.2 **Window 2 Sub-projects:** (Improvement of Teaching and Learning Infrastructure)

- (i) Number of class rooms and lecture rooms renovated;
- (ii) Number of students accessing the internet, on a daily basis data transmission and communication;
- (iii) Total number of computers available to students;
- (iv) Number of curricula updated;
- (v) Number of academic programs modernized;
- (vi) Money invested in developing teaching and learning materials annually.
- (vii) No of experimental setup developed/upgraded

#### 3.4.3 **Window 3 (a):** Advanced Research in priority areas

- (i) Number of MS/PhD students enrolled/degree awarded;
- (ii) Number of on-going research projects
- (iii) Number of PhD scholarships and post-doctoral fellowships;
- (iv) Money invested annually for accessing knowledge and information, and scientific/laboratory equipment and instrumentation;
- (v) Number of publications by students in national and international refereed journals;
- (vi) Number of publications by students in un-refereed journals or conferences;
- (vii) Number of publications by faculty/staff in national and international refereed journals;
- (viii) Number of publications by faculty/staff in non-refereed journals or conferences;
- (ix) Number of collaborative academic programs with foreign universities;
- (x) Number of collaborative researches undertaken jointly with industries.

#### **3.4.4 Window 3(b): University-Industry Collaborative Research**

- (i) Number of PhD students enrolled and obtained degrees in the department and involved directly in the collaborative researches;
- (ii) Number of professionals and researchers from the industry who are directly involved in the joint researches;
- (iii) Number of Industrial Research Fellowship awarded and successfully completed;
- (iv) Number of innovative technologies that have been jointly researched;
- (v) Number of innovative technologies that have reached the prototype production and pilot marketing stage;
- (vi) Number of publications by faculty members in peer reviewed international and local journals during the implementation of the sub-project; and
- (vii) Number of patent applications filed by university-industry collaboration teams at the closing of the sub-project;

#### **3.4.5 Window 4: Innovation Support Facilities**

- (i) Fab Lab is set up with necessary equipment within the premises of the university in an adequate space accessible to all departments, faculty and students and is in operation
- (ii) Number of faculty and students took part in Fab Academy distance course and successfully completed
- (iii) Number of events and workshops being conducted through Fab Lab for public and community engagement
- (iv) Number of industries utilizing or investing in Fab Labs
- (v) Number of prototypes produced
- (vi) Fab Lab is involved in networking with Fab Labs in other countries
- (vii) No of models fabricated
- (viii) No. of competitions held
- (ix) No. of users
- (x) No. of innovations
- (xi) No. of business proposals received
- (xii) No. of business proposals supported

#### **3.4.6 Window 5: TTO**

- (i) No. of workshops held
- (ii) No. of participants attended from industry
- (iii) No. of participants attended from the universities
- (iv) No. of innovations identified
- (vi) No. of patents filed

### **3.5 Institutional Arrangement for Sub-Project Management**

#### **3.5.1 Sub-project Management Team (SPMT)**

3.5.1.1 Immediately after publishing of the list of **ATF** awardees by **ATF** unit and before the signing of Performance Contract among the relevant parties, the **SPM** shall make the Sub-project Management Team (**SPMT**) functional. Any change in the **SPMT** must be endorsed by standing Academic Committee of the proposal submitting entity. The

leadership of the proposal submitting entities shall provide necessary cooperation and support for the establishment and operation of **SPMT**.

**3.5.1.2** The **SPM** shall execute all activities in accordance with the plans adopted by the **SPMT**. The **SPMT** will be collectively responsible for the implementation of the sub-project and be accountable to the **ATF** grant recipient entity (i.e., University/ Department/ Faculty) and will report to it periodically. The **SPMT** will liaise with all concerned agencies in respect of sub-project implementation.

**3.5.1.3** The **ASPMs** will be actively engaged in sub-project management along with the **SPM** and play a pivotal role in coordinating various activities, especially with the members of Industry in the case of **Window 3(b)** sub-projects. The **ASPM** nominated by the **SPM** will take the charge of **SPM** in the temporary absence (up to 90 days) of the **SPM** due to leave, illness, or other reasons. The **ASPMs** will also assist the **SPM** in the administrative works of the sub-project especially when the administrative works involve the members of industry.

**3.5.1.4** In case either the **SPM** or **ASPM** decides to discontinue in his/her position or in case the **SPM** goes on preparatory leave to retirement, he/she may resign. In such an event, the entity shall nominate a new **SPM** or **ASPM** from among the members of **SPMT**.

**3.5.2 Laboratory Researchers for bench work:** The **SPM** shall organize a team of laboratory researchers consisting of **PhD** students, Research Associates<sup>27</sup> and Post-Doctoral fellows who will do the bench work in the laboratory under the sub-project. The **PhD** students may be chosen from those already admitted in the university. **PhD** students, Research Associates and Post-Doctoral fellows to receive Industrial Research Fellowship may be chosen by the **SPMT**; however, they must have the requisite qualifications laid down by the university for the corresponding positions, and must satisfy a selection committee formed for the purpose by the university. The selection committee must include in addition to the **SPM**, **ASPM**, at least two senior academics in the relevant field and one industry representative in the case of **Window 3 (b)** sub-projects, who are not involved in the sub-project. No formal advertisement of the posts is necessary.

**3.5.3 Provisional Support Staff:** The **SPMT** shall hire provisional support staff according to the needs of the sub-project to ensure effective and efficient implementation of the sub-project. Support staff to be hired may include office manager/secretary, procurement officer, accountant, finance officer, data entry operator, messenger, janitor, etc. Such provisionally hired staff shall stand terminated on the date the sub-project implementation is completed. The number of provisional support staff to be hired for **SPMT** has to be justified according to the workload and complexity of required works.

**3.5.3.1** The **SPM** may appoint support staff(s) from the regular staff of the university by giving them additional responsibilities as admissible under university rules with a financial benefit up to Taka 8,000/- per month per person.

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<sup>27</sup> Experienced researchers not holding a PhD degree/ nor registered as a PhD student may be employed as a Research Associate on contract basis for a definite period at a salary negotiable with the **SPMT** within the limit given in sub-section 3.3.9.

**3.5.3.2** The **SPM** and the members of **SPMT** will receive financial incentives as described in *ATFOM Annex 12*. Only the faculty members from the university will receive financial incentives from SPP in the case of **Window 3 (b)** sub-projects. Members of SPMT from industry will get incentives from their respective industry (*SPP Annex 14*).

**3.5.3.3** In the event that it is felt by the **SPM** that additional technical staff from the Industry will be needed for the research activity or for promoting commercialization of the innovative technologies of **Window 3 (b)** sub-project, such staff may be employed provided the industry agrees to pay the salary and allowances of such additional technical staff.

## CHAPTER 4

### PROPOSAL SELECTION PROCEDURE

#### 4.1. University Grants Commission Board for ATF (UGCBATF):

**4.1.1** The UGCBATF shall act as the apex body for the final selection of ATF sub-project proposals and awarding the funds to the sub projects. The **UGCBATF** will look into the aggregate implications of all proposals recommended for funding in a particular round to make sure that the outcome is generally aligned with the objectives of **ATF**, higher education and national development. The board will be composed as follows:

a. Chairman, UGC	Chairperson
b. All full-time Members, UGC	Member
c. Project Director, HEAT	Member
d. One representative from SHED, MoE	Member
e. One representative from SEID, Planning Commission	Member
f. Two representatives from research & professional organizations	Member
g. Chief Program Coordinator	Secretary

**4.1.2** The **UGC-BATF** shall invite two officials not below the rank of Joint Secretary of the government, each from the Secondary and Higher Education Division of the Ministry of Education and Socio-Economic Infrastructure Division of the Planning Commission, and not more than two representatives from research and professional organizations to attend its meetings.

**4.1.3** The quorum of the **UGC-BATF** meeting will be two thirds of the members including Chairman;

**4.1.4** The **UGC-BATF** and invited external participants shall receive honorarium for attending sub-project selection meetings;<sup>28</sup>

**4.1.5** The **UGC-BATF** shall hold the authority to adjust the overall priorities of the **ATF** as may be necessary to maintain appropriate balance over time between approved funding and its objectives. However, in doing so the **UGC** shall consult both the **MoE/SHED** and the **World Bank**.

#### 4.2 Terms of Reference of UGC-BATF

- (i) Ensure that the objectives of the ATF are achieved;
- (ii) Ensure equal opportunities to all participating universities in the submission of proposals;
- (iii) Decide on eligibility of the **SPPs** for evaluation on the basis of the checklist prepared by the ATF unit of the PMU;

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<sup>28</sup> @ of Taka 3,500/- per person per meeting.



- (iv) Confirm that the **SPPs** presented for final selection have been evaluated by the AEP Reviewers according to prescribed criteria laid down in this OM;
- (v) Ensure that only fully evaluated proposals are awarded ATF grants;
- (vi) Ensure transparent evaluation and selection procedure at all levels;
- (vii) Make final selection of the proposals on the basis of evaluation done by AEP members and EEs;

**4.2.1** The **UGC-BATF** may decide to take the assistance of a set of complementary selection criteria to facilitate its work. The complementary selection criteria can be seen in **Annex 12**. The **UGC-BATF** shall have the discretion to give additional up to 5 marks to an evaluated **SPP** based on the **complementary selection criteria**. Thus, each **SPP** will be finally evaluated out of 105 marks (100 by AEPs/EEs and 05 by **UGC-BATF**). However, this discretion shall be applied following rational and judicious review keeping in view of the overall objectives of **ATF** and its allocation principles to institutions.

**4.2.2** If the **UGC-BATF** feels, at any stage of **SPP** screening, evaluation or selection, that additional opinion is necessary for taking final decision on a **SPP**, it may decide to send the **SPP** to an expert for his/her opinion.

**4.2.3** It may take final decisions at an aggregate level on the awards;

**4.2.4** In case the number of qualified proposals are less than the **ATF** allocation for the group, the **UGC-BATF** will apply its judgment;

**4.2.5** It may execute the **Performance Contract** with the concerned university which has been awarded **ATF** grants for the selected sub-projects of its departments/ faculties/ institutes/ centers or/and by itself;

**4.2.6** The **UGC-BATF** shall oversee implementation of on-going sub-projects and assign **UGC** members and academics for academic monitoring of sub-projects under implementation;

**4.2.7** The **UGC-BATF** shall hear appeals submitted by an entity if it feels that its proposal has not been fairly evaluated by the **Peer Reviewers**; and dispose of such appeals according to the procedure mentioned at **Section 4.9** of this **OM**; and

**4.2.8** The **UGC-BATF** may review the overall priorities, activities, procedures, guidelines and sustainability of **ATF** before launching a proposal round in consultation with the **MoE/SHED** and the **World Bank**.

### **4.3 The ATF unit in PMU (ATFU):**

This is a unit of **HEAT PMU** to execute all activities of the **ATF** under competitive funding, beginning from proposal call up to sub-project completion and obtaining completion reports. This unit will be headed by a **DPD**, who will be directly responsible to the **PD** of **HEAT**. This unit will prepare the draft of the sub-project proposal calls and oversee the implementation of the subprojects.

**4.3.1** After receiving the sub-project proposals (**SPPs**), the **ATFU** shall check each **SPP** to verify whether: (i) it has been drafted according to the relevant guidelines provided in

this **ATFOM** and presented required information including detailed budget in the format, and (ii) all annexes have been attached. The **ATFU** shall also check plagiarism of each **SPP**. It will then classify the **SPPs** according to university, sub-project window, etc., put Proposal Identification Number ((**PIN**) on each **CP**, furnish a checklist of major eligibility compliances for each of them according to **ATFOM** provisions; and prepare a database in a matrix that will cover the profile of all received **SPPs**<sup>29</sup>.

**4.3.2** The **ATFU** shall submit the screened **SPPs** and database along with the eligibility checklist to **UGC-BATF**. Upon review of the materials, the **UGC-BATF** may at this stage reject any **SPP** on the ground of critical lapses specified in the checklist or for other reasons. The reasons for rejection/cancellation of a **SPP** shall be recorded by the **UGC-BATF**.

#### **4.4 Arrangement for Proposal Evaluation and Selection**

**4.4.1** The **UGC-BATF** is the supreme authority for the award of sub-projects. The Board adopts a transparent impartial procedure for the selection as outlined in this **OM**. All secretarial work related to the award is carried out by the **ATFU**. To facilitate evaluation by the peer evaluators, **UGCBATF** has prepared “Marks Distribution Matrices” for the sub-projects, in which marks against various criteria have been distributed. The selection of sub-projects for award is primarily based on evaluation of the proposals by peers, termed as **AEPs**, which stands for Area Evaluation/Review Panels.

**4.4.2** The **UGC-BATF** will constitute a pool of domain experts, usually academics from the universities and scientist community of the country and also Fellows of the Bangladesh Academy of Sciences (apex body of scientists in the country), and eminent social scientists in the country and business leaders from **FBCCI** for the purpose of evaluation of **SPPs**. For the review of **Window 3 (b)** sub-projects, experts from the business community and industries and reputed scientists with proven experience of collaborative research work with industries will be included in the pool. The pool will include academics and experts of the **STAGE** and **AHBSL** disciplines.

**4.4.3** From the pool seven Area Evaluation Panels ((**AEPs**) will be constituted for the seven clusters of disciplines listed in subsection **3.3.4**.

**4.4.4** The rest of the pool members will be designated as External Evaluators (**EEs**);

**4.4.5** In order to ensure uniformity in the standard of marking by different **AEPs**, brainstorming workshops will be organized on proposal evaluation with participation of all listed **AEPs**. The evaluation criteria for various groups of sub-projects given in this **OM** and how marks will be administered will be discussed in the workshop. Only those **AEPs** who will participate in these workshops will be eligible for selection as evaluators.

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<sup>29</sup> The database shall include name of the proposal submitting institutions and entities, title of the sub-projects with funding windows, duration, cost, names of **SPMs/ASPMs**, deficiencies identified, allocation figures by groups and institutions and global allocation scenario in respect of total **ATF**-funding.

## **4.5 Evaluation and Selection Criteria for Sub-projects**

- 4.5.1** Innovative and cutting-edge nature of the technology, short time required for developing and commercializing the technology, competitive advantage over existing technologies, can overcome bottleneck and risks, likely to find potential manufacturers, have attractive customer and market size, etc.
- 4.5.2** Effectiveness of established partnership between the proposal submitting entity and an industry;
- 4.5.3** Research topics which have a direct bearing and an impact on key industrial problem(s) in the areas identified, which can bring game changing innovative solutions to tackle the most urgent problems of Bangladesh and can contribute to country's development and economic growth; and
- 4.5.4** Feasibility and effectiveness of sub-project implementation strategies.
- 4.5.5** The full evaluation criteria of all five **Window** proposals are presented respectively in Chapter 12 of this **OM**. The **AEP** shall evaluate sub-project proposals according to the evaluation sheet and the evaluation guideline.
- 4.5.6** In order to avoid conflict of interest, an **AEP** member and an **EE** will be considered ineligible for evaluation of any proposal belonging to the same institution in which s/he is currently employed.
- 4.5.7** The evaluators shall receive honorarium for evaluating proposals according to the rates approved by the UGC.<sup>30</sup>

## **4.6 Appointment of AEPs for SPP Evaluation**

- 4.6.1** The **UGC-BATF** will constitute a Committee of Experts (**CoE**) for each of the seven-subject area of the sub-projects, as defined in Section 3.3.4. Each **CoE** will be chaired by a **UGC** Member and will consist of 3-4 senior academics from the universities having expertise in the particular domain area. In the case of **Window 3 (b)** sub-projects, one member will be an industry expert.
- 4.6.2** The **CoE** for a particular domain area will recommend two **AEPs** (three in case of **Window 3 (b)** sub-projects including an industry expert) for each sub-project of the domain area.
- 4.6.3** The **UGC-BATF** will appoint **AEPs** on the basis of the recommendation of the **CoEs**.
- 4.6.4** The **ATFU** will also prepare a distribution matrix of **AEPs** for evaluation of the **SPPs** and also a ***Guidelines on SPP Evaluation*** by **AEPs** following the provisions provided in this **OM**.

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<sup>30</sup> Each reviewers (AEPs/ERs) shall get honorarium @ BDT 15,000/- (same as UGC book review)

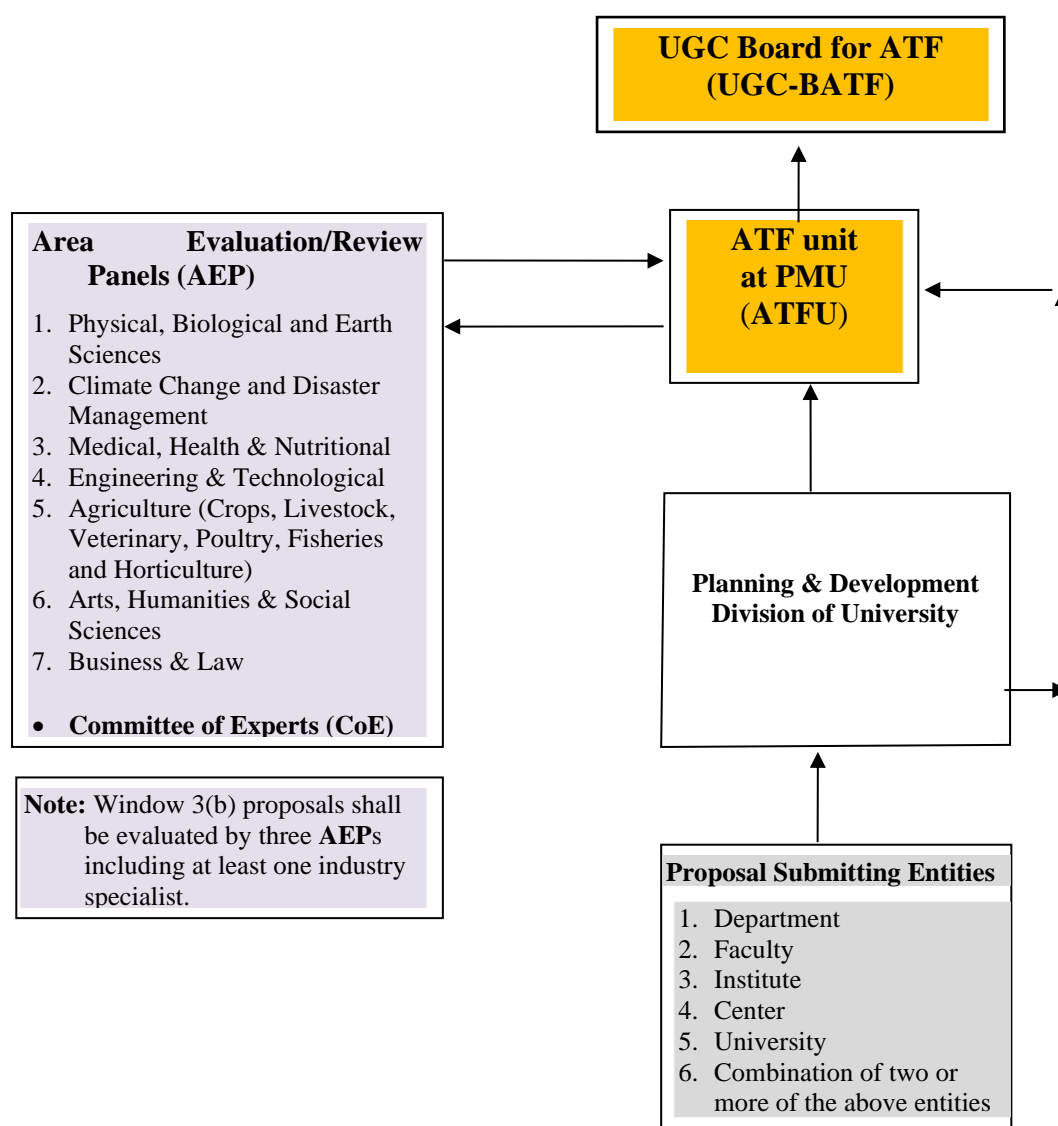
- 4.6.5** Any attempt to establish contact and/or communicate with the **AEP** members by any entity and/or its faculty members over evaluation of its **SPP** under evaluation shall automatically result in cancellation of the **SPP** from the selection.
- 4.6.6** The **AEPs** will evaluate the **SPPs** in a closed-door session at the **UGC**, supervised by the **UGC-BATF**. The **ATFU** will provide secretarial support. The **AEPs** will award marks against each criterion in the evaluation matrix for the particular group of sub-projects as given in this manual and add them up to obtain the total score out of 100. A suitable marks sheet will be provided, in which the **AEP** will state arguments for the awarded marks against each criterion.
- 4.6.7** In order to ensure a thorough evaluation of the proposal an **AEP** will be given only one SP for evaluation in a single session.
- 4.6.8** The **UGC** Member in charge of **HEAT** will prepare tabulation sheets for each group of sub-projects. The **ATFU**, the **ATF** Management Specialist and Research Coordination Specialist shall provide technical assistance as required.
- 4.6.9** The average of the marks awarded by the **AEPs** will be taken as the final score. For all groups of **SPPs** other than **Window 3**, if the marks awarded by the two **AEPs** for a particular **SPP** differs by more than 20, the **UGC-BATF** will appoint a third **AEP**, called External Evaluator (**EE**), for its evaluation. The evaluation by the **EEs** will also be carried out in closed door session. The average of the two closer evaluation marks will be taken as the final score. In the case of **Window 3** sub-projects, the average of marks given by the three **AEPs** will be taken as the score for preliminary selection.
- 4.6.10** The **UGC** Member in charge of **HEAT** will prepare separate tabulation sheets that will present the **SPPs** in a merit order according to the marks scored by them for each group of sub-projects. Further, the **UGC** Member will propose the award of sub-projects (other than **Window 3**) with due consideration of constraints in the ceilings for both projects and the universities. The Tabulation sheets with these recommendations will be placed in a meeting of the **UGC-BATF** for review. **UGC-BATF** shall review the evaluation results presented in the tabulation sheet along with the evaluated **SPPs** to ascertain if the evaluation principles have been duly followed by the **AEPs**. **UGC-BATF** may reject the evaluation by an **AEP** on grounds of obvious bias in the report. Further, the **UGC-BATF** may apply complementary selection criteria and award up to a maximum of 5 marks to any **SPP** on the basis of these criteria and revise the total score. The merit will then be revised, and the **UGC-BATF** will revise the list of selected sub-projects for provisional award, and instruct **ATFU** to send the list along with the **SPPs** for technical comments by the World Bank.
- 4.6.11** For the **Window 3** sub-projects, a short list of not more than 20 **SPPs** will be made from the merit list for presentation of the proposals by the respective **SPMs** to a panel of six experts (chosen by the **UGC-BATF**, to cover all the relevant disciplines) in an open meeting of all 20 **SPMs** and the relevant reviewers. The meeting will be chaired by the **UGC** member in charge of **HEAT ATF**. The panel members may seek clarification from the relevant **SPM** and the relevant reviewers. Every member of the panel will award marks out of 10, and prepare a short summary of his/her evaluation of each of these sub-projects. The average of the marks awarded by the panel members will be added to

the previously evaluated score (para 4.6.9) for each SPP and the final merit list will be prepared.

**4.6.12** The final tabulation sheet and the evaluation of the panel members will be placed before the **UGC-BATF** for provisional selection of SPPs for award. The **UGC-BATF** may review all the evaluations made by the panel members along with the original SPPs and may apply complementary selection criteria (**Chapter-12**), before making the provisional selection for award. The SPPs along with the tabulation sheet showing the merit order, and the comments of the reviewers and the panel members will then be sent to the World Bank.

**4.6.13** The schematic diagram of the institutional arrangement for ATF proposal evaluation and selection can be seen in **Figure 3** below:

**Figure 3: Institutional Arrangement for ATF Proposal Evaluation and Selection**



**4.6.14** The final selection of the SPPs for award will be made after receiving technical comments from the **WB**. After the final selection, the budget, procurement plan and the

financing plan of the selected **SPPs** will be reviewed and rationalized by the **ATF** unit of **PMU** to identify inconsistencies, errors and deficiencies. The **ATF** unit shall organize a workshop on budget, financing plan and procurement plan rationalization at **UGC** with the participation of all **SPMs** and **ASPMs** of finally selected sub-projects to rectify the inconsistencies, errors and deficiencies in the budget, financing and procurement plans.

#### **4.7 Total Proposal Evaluation/Selection Period**

**4.7.1** A structured approach with submission and approval deadlines will be followed to evaluate and select the proposals. After the proposal call universities/academic staff will be allowed five weeks to conceive project ideas and transform them into proposals in a format.

**4.7.2** The total time required to complete the proposal selection process will be **20** weeks. However, if circumstances permit, the total period may be shortened. The schematic diagram in **Figure 2** below shows the time required at each stage from proposal call (beginning) to the signing of contract (conclusion).

#### **4.8 Disposal of Appeal**

**4.8.1** If a proposal submitting entity feels that its proposal has not been evaluated properly by the concerned Peer Reviewers, it may submit an appeal to the UGC-BATF in writing. This appeal must be channeled through the proposal sponsoring/endorsing university.

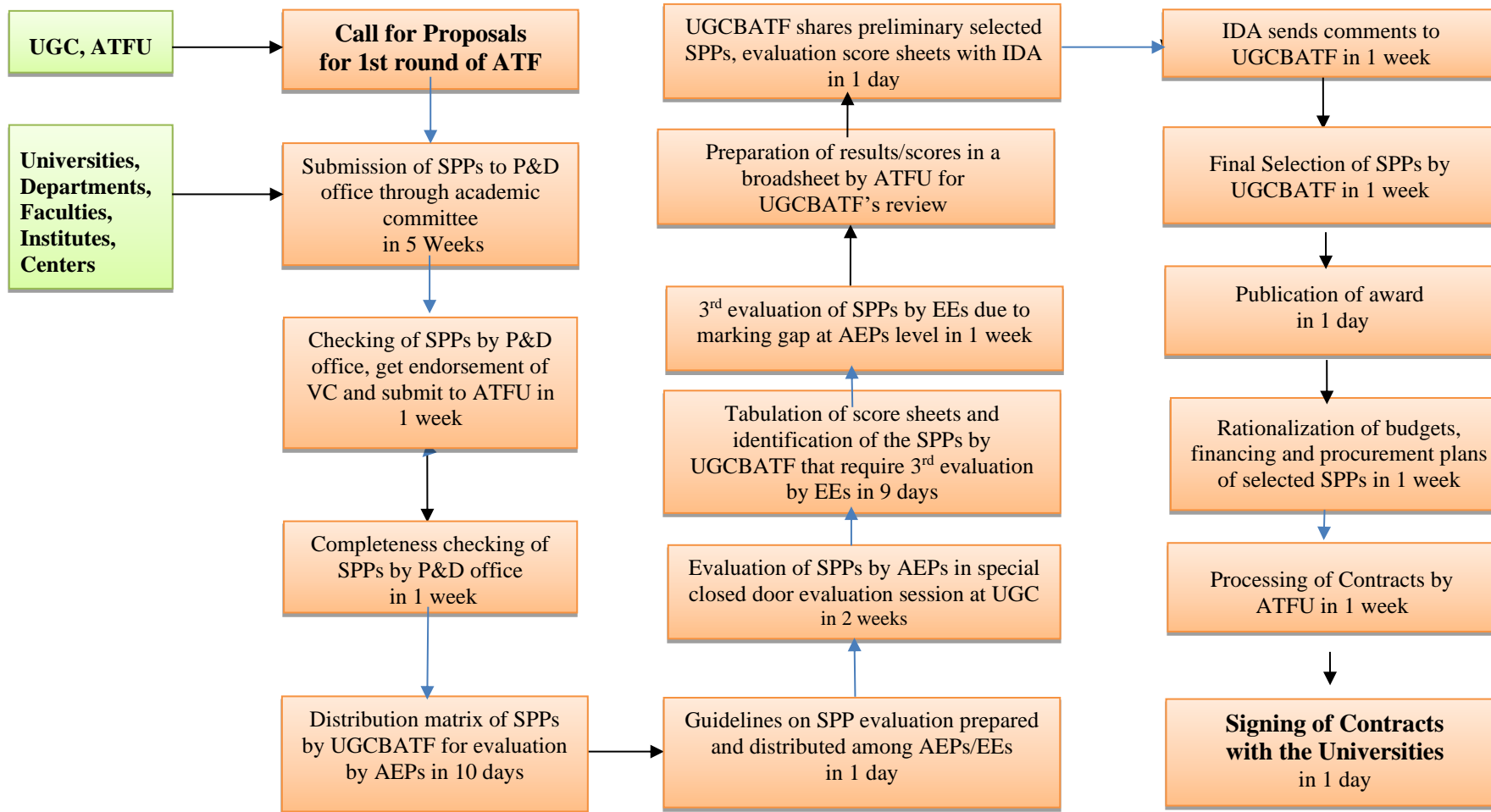
**4.8.2** Appeal should reach the UGC-BATF within one week from the day of publication of the list of finally selected SPPs.

**4.8.3** Upon receipt of the appeal, the UGC-BATF shall examine the evaluation marking thoroughly and redress any inconsistencies, if found.

**4.8.4** ATFU will communicate the decision of the UGC-BATF to the appellant.

**4.8.5** Any dispute that may arise between the parties will be settled amicably. If not resolved amicably, decision of **UGC-BATF** will be final.

**Figure 2: Flow Chart on ATF Sub-project Proposal (SPP) Selection Process (20 weeks)**





## **4.9 Performance Contract**

**4.9.1** The **ATF** unit in **PMU** shall publish the list of finally selected **SPPs** and the names of concerned institutions by posting it on **HEAT** and **UGC** websites and communicate the result to the awarded **SPMs** and institutions via email and hard copies of award letter. The finally selected **SPPs** thereafter will become awarded sub-projects. Immediately thereafter the **ATF** unit shall invite the award recipient **SPMs**, Directors of **UATFS**, and the Vice-Chancellors of the universities to attend the **Performance Contract** signing ceremony to be held at **UGC**. The **Performance Contract** shall be signed by the authorized representative of the **UGC** not below the rank of Director representing the awarder (**UGC**) as the first party, the authorized official of the university (not below the rank of Director) as the 2<sup>nd</sup> party and the **SPM** of the awarded proposal as the 3<sup>rd</sup> party representing the sub-project implementing entity of the university. The **Performance Contract** shall be binding on the following three parties:

- (i) **UGC**- the first party, the awarder, represented by its authorized official;
- (ii) **University** – the second party, represented by its authorized official;
- (iii) Sub-project implementing entity acting through **ISM**- the third party.

4.9.2 For **Window 3 (b)** sub-projects on university-industry joint research, upon signing of the **Performance Contract**, the **ATFU** will ensure that transparent rules are set on every aspect of the sub-project and included in the Partnership Agreement (**PA**) executed between the awarded entity and industry. The **PA** shall be an integral part of the **Performance Contract**.

## **4.10 ATF Effectiveness Condition**

The **Performance Contract** will come into effect from the date of signing by the three parties.

## **4.11 Duration of ATF Sub-Projects**

**4.11.1** The maximum duration of an **ATF** sub-project will be as follows from the date of effectiveness:

- 1) Window 1 : 3 years
- 2) Window 2 : 2 years
- 3) Window 3 : 3 years
- 4) Window 4 : 2 years
- 5) Window 5 : 2 years

### **4.11.2 Extension of Sub-project:**

In extreme circumstances, sub-projects duration may be extended, but should be completed six months before the closing date of **HEAT** project.

Such proposal for extension will require incontrovertible justification and only **UGC-BATF** will decide on the acceptance or rejection of such extension proposals. Extended sub-projects have to be completed without involving any increase of the budget including honorarium/incentives.

## CHAPTER 5

### FINANCIAL MANAGEMENT

#### 5.1 ATF Disbursement Arrangements

- 5.1.1 The bank account of **HEAT** project will be known as Designated Account (**DA**). **ATF** grants to the sub-projects implemented by a university will be directly disbursed to the **SPMs** by the **HEAT PMU** from the **DA**. Each **SPM** will open an account, called Operating Account (**OA**), in a bank in the form of **STD/SND**. The **SPMs** will be solely responsible for maintaining the **OA**. The **SPMs** will maintain imprest fund and make payment against approved vouchers as per delegation of financial power of the university. There may be several **OAs** in a single university if the institution is awarded several **ATF** grants/sub-projects. In such case, the concerned **UATFS** shall coordinate the financial management tasks of the sub-projects in consultation with the **SPMs**.
- 5.1.2 **HEAT PMU** will transfer the first tranche of **ATF** grants to the **OAs** of sub-projects on the basis of their three-monthly estimated expenditure based on the approved procurement plan and work/activity plan. Subsequent disbursements of the grant will be made on the basis of statement of expenditures (**SoEs**) and requisition for advance submitted to the **HEAT ATFU**. Advances from the **DA** to the **OA** will need to be adjusted or reconciled preferably within 30 days, but in no case beyond 90 days.

#### 5.1.3 SPM's Financial Responsibilities

- 5.1.3.1 The **SPMs** will be primarily responsible for all financial management activities of his/her sub-project and will be accountable to **UGC/HEAT** for all financial matters concerning sub-project implementation. The accounting and financing staff recruited for the sub-project will help the **SPM** in maintaining the financial management of the sub-project. He/she will identify all financial transactions and record them immediately into the books of accounts and maintain all documents, registers, records and correspondences.
- 5.1.3.2 The main duties and responsibilities of the Accountant and Finance Officer will be to:
- (i) Checking invoices for goods, works and services and processing for payment;
  - (ii) Ensure relevant taxes or SD deduction at the stage of making payment.;
  - (iii) Maintain Bank Book, Payroll Registers;
  - (iv) Maintain all ledgers, Registers etc.;
  - (v) Maintain vouchers/bills/receipts/invoices/contracts/work orders and all other important financial transaction and procurement documents in a systematic order;
  - (vi) Collect bank statement and reconcile bank balance;
  - (vii) Prepare sub-project's Interim Unaudited Financial Report (IUFR);
  - (viii) Prepare reply to the audit observations made by government's auditors from Foreign Aided Project Audit Directorate (FAPAD) as well as internal auditor from CA firm.;

- (ix) Prepare quarterly and annual budget expenditure plans for the sub-project;
- (x) Any other financial management related tasks assigned to him/her.

5.1.3.3 The **UATFS** and **HEAT PMU** will provide technical assistance to **SPMs** on financial management and procurement activities of the sub-projects and for preparation and submission of **IUFR** to **HEAT**. Additionally, **UGC/HEAT** officials and specialists will also provide technical assistance when needed by the sub-projects.<sup>31</sup>

5.1.3.4 It is expected that the universities which have been awarded **ATF** resources will carry out the sub-project with due diligence and efficiency and in accordance with sound financial standards and practices satisfactory to the **GoB** and the **World Bank**, in accordance with the provisions of the *Anti-Corruption Guidelines (ATFOM Annex 8)* applicable to recipients of **World Bank** financing. The universities will further maintain a financial system and prepare financial statements in accordance with consistently applied accounting standards acceptable to **GoB** and **WB**, both in a manner adequate to reflect the operations, resources and expenditures related to **ATF** sub-projects. In addition to the yearly audit of development partner funded projects by the government's audit office (**FAPAD**), at the request of **WB** or **UGC**, the university will have such financial statements audited by independent auditors, in accordance with consistently applied auditing standards acceptable to **GoB** and **WB**, and promptly prepare the audit statements for **UGC** and **WB**.

5.1.3.5 The office of the **UATFS** in the universities shall be responsible for the coordination of financial management of the **ATF** sub-projects because it will act as the secretariat for the **ATF** funds released by the **PMU** and maintain records of the funds received by the individual sub-project managers. The universities will assign accounting staff with adequate skills to **UATFS** for coordinating the financial management tasks related to **ATF**. The **UATFS** will send all information on **ATF** grants received and utilized by the university in prescribed reporting formats periodically to **HEAT ATFU**.

5.1.3.6 The Financial Management unit headed by the senior financial management officer of the **HEAT PMU** shall be responsible for the supervision of financial management of the **ATF** resources disbursed to the sub-projects. It will provide the **HEAT ATFU** and **SPMs** with all information on the fund allocation, disbursed and utilized.

## 5.2 Eligible and Ineligible Expenditures

5.2.1 The eligible and ineligible expenditures for each type of sub-projects have been listed in Chapter 2. The accountant will point out to the **SPM** if any proposed expenditure is not eligible.

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<sup>31</sup>The **UATFS** will receive a block allocation of Tk. 50,000/- (Fifty thousand) per sub-project implemented by the University as operational cost which includes remuneration to **UATFS** officials. This item-allocation should be included in the proposed budget of the SPP. The block allocation will be for the entire duration of the sub-project and will be released upon submission of half-yearly report to the **HEAT ATFU** as per ATFOM Annex 11.

5.2.2 **Economic Codes:** In preparing the summary budget estimate and the detailed cost breakdown of the sub-project, GoB's budget preparation methods and rules shall be followed by the proposal submitting entities. For this purpose, proposal submitting entities shall consult GoB's economic codes<sup>32</sup> which are mandatory for all government departments, attached bodies to the Ministries, autonomous institutions and organizations for the preparation of budget. Items of expenditure not included according to the **Economic Codes** will not be eligible for inclusion in the budget and sub-project expenditures. The above arrangement for internal assessment purposes. Finally, all expenditure book by PMU as per approved economic code of DPP.

5.2.3 **Operational Costs:** Maximum 2% of sub-project cost to meet operational expenses (e.g., temporary renting of out of site space for sub-project activities, charges for electricity, water in out of site sub-project office/camp, commuting costs of sub-project's temporary employees, overtime paid to support staff for arduous work, repair of sub-project equipment, hiring of labors for shifting of sub-project furniture/ equipment/materials, honorarium, committee expenses and contingencies etc.

### 5.3 Re-appropriation and Adjustment of Budget Items

5.3.1 **SPMs** shall be allowed to re-appropriate allocations from one budget head to another if so required for expenditure rationalization. However, such re-appropriation should be made with the concurrence of the **HEAT PD**. For this purpose, the **SPMs** shall send the re-appropriation proposal to **HEAT PD** justifying the changes in the sub-project budget allocation. The re-appropriation and adjustment of budget for a sub-project can only be made once in a financial year. There will be a final adjustment and revision of budget at the end of sub-projects, if needed.

### 5.4 Earnings by Sub-Project

5.4.1 Sub-projects may earn profits by selling its products and services in the market (e.g., it might be a device, an apparatus, an innovative technology, a patent, a computer program/software, copyright, a research/study report or book, a design etc.). In such cases the earning by the sub-project output shall be retained by the entity and in the case of W-3(b) sub-projects, shared by the concerned sub-project implementing entity and industry. However, **UGC** should be kept informed of such earning by the university/faculty/department during the project period.

5.4.2 Earning from bank interest, sale proceeds of bidding documents, etc., shall be deposited to government treasury.

### 5.5 Operating Account

5.5.1 The **SPMs** will open a dedicated operating account (SND or STD) in a convenient commercial bank in the name of the sub-project to be maintained in **BDT** currency. The

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<sup>32</sup> <https://ibas.finance.gov.bd/HelpDocuments/OldToNewEconomic.pdf?v=687>

account will be used solely for the purpose of financing sub-project activities. The **SPMs** will operate the account as single signatory and will act as the authorized person for utilizing fund. He/she will be the Drawing and Disbursement Officer (**DDO**) of the sub-project.

5.5.2 Immediately after opening of Operating Account in a Bank, the **SPM** shall forward the following information to Project Director, **HEAT** to facilitate transfer of **ATF** funds to sub-project:

- (i) Name/Title of Account
- (ii) Account Number
- (iii) Name of Bank
- (iv) Name of Branch
- (v) Routing number
- (vi) Full Postal and E-mail Address

5.5.3 **Payments from Operating Account:** The **SPMs** should strictly follow the government's financial rules and regulations as spelled out in the Finance Division's *Delegation of Financial Power 2015* Additionally, **SPMs** shall follow the procurement procedure as given in the **GoB's Public Procurement Rules 2008 amended up to 2019 and World Bank's Procurement Regulations for IPF Borrowers 2020** where applicable in making expenditures and payments from the sub-project's budget. Financial and procurement rules and regulations issued by GoB and World Bank, will, therefore, be applicable for making expenditure and payment according to the delegated and sub-delegated financial power to the **HOPE, PD** and **SPM**, as the case may be. The **SPMs** would make payment for only those expenditures which have followed the due procedure and are included in the budget. This **OM** provides the examples of indicative eligible expenditures to be made by the sub-projects implemented under various groups of sub-projects.

5.5.3.1 Before making any payment, invoices submitted by the vendor/supplier should be checked properly to ensure that:

- (i) Specifications and quality of supplied goods, services, or works are as mentioned in the tender document and its schedule and are according to purchase order/contract;
- (ii) Items and quantities of supplied goods, services, or works supplied are according to purchase order/contract;
- (iii) Unit price of the procured items are according to purchase order/contract;
- (iv) Delivery of the procured items are within stipulated time/deadline;
- (v) Procured items have been duly received, checked and entered in stock register;
- (vi) Invoices are free from any arithmetical errors and inconsistencies;
- (vii) The goods, services and works supplied/delivered are chronological from the dates of invitation of tender, contract and purchase order.
- (viii) The tender documents, tender evaluation report and payment proposal have been authorized by competent authority.

- (ix) Any other relevant issues.

5.5.3.2 In addition to above, and before making payments out of **OA**, the **SPM** must ensure that:

- (i) That the activity undertaken was included in the Activity/Work, Financing and Procurement Plans and budget of the sub-project;
- (ii) Duly certified by competent authority as properly executed;
- (iii) Expenditure are properly documented, verified and approved for payments;
- (iv) Outcome of the activity/work done can be physically verified, ownership established and properly safeguarded.

## **5.6 Cash Basis Accounting**

- 5.6.1 The sub-project will maintain accounts on cash basis in line with the GoB's accounting system for GoB fund use and WBs accounting system for WB fund use. Therefore, efforts shall be made to process payments as early as possible so that expenditures are recorded and paid for in the period in which they are incurred;
- 5.6.2 Receipts will be recorded when cash is received and payments will be recorded when disbursements are made, not when liability arises;
- 5.6.3 Sub-project shall employ consistent methods in maintaining records and in preparing financial statements.

## **5.7 Books of Account and Supporting Documents**

- 5.7.1 The **SPMT** shall maintain books of accounts adequately to record following transactions relating to the sub-project implementation:
  - (i) All sums of money received and spent by the sub-project and the purposes for which the receipts and expenditures take place; and
  - (ii) Assets procured by the sub-project.
- 5.7.2 Therefore, the minimum principal books of accounts to be maintained by **SPMT** for each sub-project would be:
  - (i) Voucher Register
  - (ii) Cash Book
  - (iii) Petty Cash Register
  - (iv) General Ledger
- 5.7.3 The books of accounts shall capture all financial data required to generate reports on sub-projects.
- 5.7.4 In **addition** to the above, some registers may also be used to record other important information, which are deemed necessary for the sub-project. Following are the examples of some of essential registers to be used:
  - (i) Check Book Register
  - (ii) Fixed Assets Register

- (iii) Stock Register
- (iv) Income Tax Register
- (v) VAT Register
- (vi) Payroll Register
- (vii) Consultant's Remuneration Register
- (viii) Suppliers Registers
- (ix) Advance Payment Register
- (x) Fund Receipts & Expenditure Register
- (xi) Bank Account Reconciliation Register

## **5.8 Bank Reconciliation**

**5.8.1** Reconciliation of bank account should be carried out regularly on a monthly basis. Bank Statement of operating account shall be obtained from bank at the beginning of the following month and the following tasks shall be performed:

- (i) Entries in the bank statements shall be compared with the entries made in the sub- project's Bank Transaction Register (Bank Book),
- (ii) A list of all debits (Bank charges etc.) and credits (interest credited etc.) appearing in the bank statements but not in the Project's Bank transaction register (Bank book) shall be listed. These are usually related to Bank charges, Bank interest and dishonored checks etc. Appropriate vouchers shall be prepared for these transactions and after due authorization shall be entered in the Bank book.
- (iii) A list of all the receipts and payments recorded in the Bank book but not appearing in the Bank statements shall also be prepared for subsequent follow up. These will usually relate to checks not yet presented by payees, or deposits not yet credited etc.

**5.8.2** Bank reconciliation statement shall be prepared taking into account the items listed above and the balance shown as per the bank statement shall be agreed with the balance shown in the sub-project's Bank book.

## **5.9 Petty Cash**

5.9.1 Small payments, which are usually required to be paid in cash for day-to-day expenses of the sub-project, shall be paid out of Petty Cash float maintained under the imprest system. The limit of petty cash imprest required by the sub-project manager will be as per *Delegation of Financial Powers 2015*". For better cash management, it is necessary to maintain a regular interval for payment and replenishment of petty cash fund.

## **5.10 CD VAT Transaction**

5.10.1 **CD VAT** transaction of sub-project, if any, will be done centrally from **HEAT PMU**. The **SPMs** will therefore, send relevant documents to the **PD** for taking necessary action, when customs authority would make assessment.



## 5.11 Month End Procedures

- 5.11.1 At the end of the month, the **SPMs** shall prepare a statement showing opening balance, receipts during the month, payments made over the same period. A statement of expenditure is necessary to prepare at the end of the month showing both in detail and summarized heads of expenditure. Monthly progress reports and other financial reports may be prepared using above expenditure report.
- 5.11.2 The following tasks are to be completed at the end of each month to ensure all transactions have been accounted for correctly:
- (i) Bank reconciliation
  - (ii) Petty cash reconciliation
  - (iii) General ledger reconciliation
  - (iv) Month end ledger balancing

## 5.12 Interim Unaudited Financial Report (IUFR)

- 5.12.1 **Sub-Project Financial Management Report:** The **SPMs** are required to submit Interim Unaudited Financial Report (IUFR) to the **HEATPMU** on a quarterly basis within 21 days after the end of each calendar quarter. The **FMR** shall have two parts each with several chapters as follows:

### Part-1: Financial Report

- 1-A Sub-Projects Sources and Uses of Fund
- 1-B Uses of Fund by Sub-Project Activities
- 1-C THEF/ATF Activity Report
- 1-D Bank Reconciliation Statement

### Part -2: Expenditure Documentation Report

- 2-A Eligible Expenditure Documentation Report
- 2-B Statement of Expenditure: Subject to Prior Review
- 2-C Statement of Expenditure: Not Subject to Prior Review

- 5.12.2 Format of the IUFR is provided in ATFOM Annex 5 (FMG Annex 14.1). The **UATFS** shall provide technical assistance to **SPMs** in preparing the **IUFR**

## 5.13 HEAT Financial Reporting and Monitoring

- 5.13.1 **HEAT FM unit** shall be responsible for consolidating financial reports received from the sub-projects and prepare a Consolidated Project Financial Statements (**CPFS**) of the project. For preparing quarterly Interim Un-audited Financial Reports (**IUFR**), **HEAT FM unit** shall use specific formats provided by the World Bank.
- 5.13.2 **HEAT PMU** will ensure that all project financial information is provided periodically to the Chief Accounts and Finance Officer (**CFAO**) of the **MoE**

## 5.14 Year End Procedures

- 5.14.1 The end of year means the completion of four quarters from the beginning of sub-project implementation. The tasks outlined as end of month activity will be repeated at the end of

implementation year. The sub-project manager shall be required to prepare and submit a financial statement highlighting unspent balance of the sub-project at the end of year. The statement shall include opening balance, receipts during the year, payments made during the year and refund to closing balance, which will facilitate **HEAT PMU** to update books of accounts and ascertain the actual amount of sub-project expenditure for the year. Other financial statements may also be prepared as required by various stakeholders.

### **5.15 Unspent Balance**

- 5.15.1 During implementation of the sub-project, there may be unspent balance in the Operating Account at the closing of year. The amount of such unspent balance must be refunded to **HEAT PMU**.
- 5.15.2 After completion of sub-project, unspent fund may exist at the operating account. In such situation, the unspent fund should be transferred to the designated account of **HEAT** by the **SPM** within a month of the completion of sub-project along with a statement on closing of accounts.

### **5.16 Document Retention by SPMT**

- 5.16.1 The **SPMT** shall retain all payment records and other relevant documents in a systematic order evidencing eligible expenditures and to enable **UGC, HEAT PMU, GoB** auditors and **World Bank** representatives to examine such records, and also for the purpose of transparency and accountability in handling of public fund. The **SPMT** will retain such records at least for five years after closing of the sub-project.

### **5.17 Internal Control**

- 5.17.1 Internal Control comprises the whole system of controls, financial and operational, established by management in order to carry out project activities in an orderly and efficient manner; ensures adherence to policies and procedures; ensures maintenance of complete and accurate accounting records and safeguards the assets of the project. The existing financial rules, regulations and procedures will be followed for all sub-project activities. Segregation of duties and responsibilities in expenditure management cycle and control functions will have to be clearly defined.

## CHAPTER 6

# PROCUREMENT MANAGEMENT

### 6.1 Primary Responsibility

**6.1.1 The primary responsibility** in respect of procurement will lie with the concerned individual SPMs of the ATF grant recipient university.

**6.1.2 The legal framework:** Procurement is one of the major important activities of any development project and most difficult too. The Government of Bangladesh has made it mandatory for all institutions/organizations/agencies to follow the *Public Procurement Act 2006* (PPA) and *The Public Procurement Rules 2008 amended up to 2019 (PPR)* for the purchase of all kinds of goods, works and services from within the country and abroad to be made under both the non-development (revenue) as well as development budgets. However, in conformity with Rule 3(d) of PPR, for IDA funded projects such as HEAT, World Bank's *Procurement Regulations for IPF Borrowers Goods, Works and Non-Consulting and Consulting Services, November 2023* shall apply to all procurement under the Project, including procurement by the private and public universities using grant proceeds. Normally, the World Bank's *Procurement Regulations* would not have been required to be applied to the private universities/recipients of the grants provided by UGC/Project, but for ensuring consistency under this project and in line with the government's requirement, the Bank's *Procurement Regulations* will be required to be followed by both private and public sector universities. Given that the ATF grants will vary in the amounts between BDT 15 lakh (US\$ 17,000) to BDT 10 crore (US\$ 1.1 million) and there will be multiple contracts procured under each grant by the recipient universities, most of the procurement packages for Goods are expected to be procured through Request for Quotations (RFQ) and Request for Bids (RFB) methods using national competitive market approach while there may be few contracts falling under Open international competitive market approach. UGC/Project, with the support of consultants, will be responsible for oversight and providing implementation support of all the procurement carried out by the universities under the ATF grants, including but not limited to assessing the procurement capacity and procurement plans of the universities during the grant proposal selection process, and subsequently checking and verifying compliance with the applicable procurement procedures of the procurement carried out by the universities during the implementation of the grants, and regularly reporting procurement performance to the Bank. In addition, procurement under the ATF grants will be subject to audited by auditors deploy by the project and the government's auditing process while the Bank will retain the right to carry out post-review.

World Bank's *Procurement Regulations* is available on its website

<https://thedocs.worldbank.org/en/doc/6c0602876d68949e80820507d90a14ed-0290012023/original/Procurement-Regulations-September-2023.pdf>

### 6.2 Procurement Methods

**6.2.1 Procurement Methods:** The procurement methods to be used for procurement of goods, works and services, are presented under paragraphs below.

**6.2.3** All procurement methods for goods, works and services will be specified in the Procurement Plan and agreed with **World Bank** before procurement process is started by the sub-projects.

**6.2.4** The implementing agencies will apply adequate due diligence in taking decisions to re-invite bids/ Tenders for **NCB/NCT** contracts, and the instances of rebidding will be reviewed as part of the **World Bank's** post-procurement review.

### **6.3 Procurement of Goods**

6.3.1 It is assumed that almost all **ATF** sub-projects will have to purchase materials, equipment and instruments from the local market, but a few may need international procurement. The bulk of such purchase may be modest for some and very large for others. University laboratory equipment, machines/instruments for engineering workshops, chemicals and specimens are highly specialized and often not available within Bangladesh. Some highly specialized medical and biotechnology laboratory equipment may also not be available in the country's market. This will inevitably require international procurement.

6.3.2 Generally goods will be procured using **NCB/NCT, ICB/ICT**, and Request for Quotation (RFQ) for small valued contracts. **Direct Contracting** procedures can be used in accordance with the **World Bank's Procurement Regulations 2023** after getting approval from appropriate authority of PE and HEAT PMU.

This is applicable for all procuring entities under the project.

6.3.2.1 **ICB:** University laboratory equipment, machines/instruments for engineering workshops, chemicals and specimens are highly specialized and often not available within Bangladesh may be procured using **ICB**.

6.3.2.2 **NCB:** Goods and equipment may be procured using **NCB** following provisions of the PPA-2006 & **PPR-2008** and standard procurement document (SPD) acceptable to the World Bank. This includes computers, office equipment etc. For the purpose of **NCB** the following shall apply:

- (i) Post bidding negotiations shall not be allowed with the lowest evaluated or any other bidder;
- (ii) Bids should be submitted and opened in public in one location immediately after the deadline for submission and online opening for e-GP procurement;
- (iii) Lottery in award of contracts shall not be allowed;
- (iv) Bidders' qualification/experience requirement shall be mandatory;
- (vi) Bids shall not be invited on the basis of percentage above or below the estimated cost and contract award shall be based on the lowest evaluated bid price of compliant bid from eligible and qualified bidder; and

(vii) Single-stage two-envelope procurement system shall be allowed only for ICB non-eGP procurement.

6.3.3 Request for Quotations (**RFQ**): Small value goods and equipment contracts may be procured in accordance with provisions of Request for Quotations, **RFQ** following **PPA-2006 & PPR-2008** using Electronic Government Procurement (eGP) system, provided those are included in the **Procurement Plan**.

6.3.4 **Direct Contracting (DC)**: Under this project, procurement process can be completed following **DC** procedures in accordance with the **World Bank's Procurement Regulations 2023** and after getting approval from appropriate authority of PE and HEAT PMU.

## 6.4 Procurement of Works

6.4.1 Very little amount of civil works are envisaged under **ATF** sub-projects. The following procurement methods can be used just in case **ATF** resources are used for eligible purposes such as renovation/ refurbishing/extension of lecture/study/seminar rooms, laboratories/workshops etc.

## 6.5 International Competitive Bidding (ICB)

It is assumed that ICB will not be required for any Works under the ATF sub-projects.

## 6.6 National Competitive Bidding (NCB)

Civil works contracts may be procured following **NCB** in accordance with provisions of the **PPA-2006 & PPR-2008** using Electronic Government Procurement (eGP) system and standard procurement document (SPD) acceptable to the World Bank.

## 6.7 Request for Quotations (RFQ)

Small value works may be procured in accordance with Request for Quotations (**RFQ**) provisions of **PPA-2006 & PPR-2008** using Electronic Government Procurement (eGP) system, provided those are included in the **Procurement Plan**.

## 6.8 Procurement of Consulting Services and Training

6.8.1 It is assumed that international technical assistance/ consulting will not be required as there will be hardly any procurement of services of complex nature under the **ATF** sub-projects. However local technical expertise may be needed to assist the **HEAT PMU** to review technical specifications, schedule of requirements and cost estimates to be submitted by prospective **ATF** sub-project managers. Such local consultants may be firms or individuals based on specific needs and their hiring would follow provisions of the World Bank's *Procurement Regulations, 2023*.

**6.8.2** Shortlists of consulting firms for services may be prepared in accordance with the provisions of **PPA-2006 & PPR-2008** and **Bank's Procurement Regulations 2023**. The methods of procurement that can be used are as follows:

**6.8.2.1 Quality and Cost Based Selection/Quality-Based Selection (QCBS/QBS):** Consulting services through firms can be selected following **QCBS/QBS** in accordance with the provisions of **Bank's Procurement Regulations 2023**.

**6.8.2.2 Fixed Budget Selection (FBS):** Services through firms can be procured following the **FBS** method in accordance with **Bank's Procurement Regulations 2023**.

**6.8.2.3 Consultant Qualification-based Selection (CQS)/Least Cost Selection (LCS):** Services through firms may be procured following **CQS** or **LCS** in accordance with **Bank's Procurement Regulations 2023**.

**6.8.2.4 Direct Selection (DS):** Specific consulting services through firms may be procured following **Direct Selection method** provided in the **Bank's Procurement Regulations 2023**. This includes intellectual services of staff training and capacity development in project management and implementation.

**6.8.2.5 Individual Consultants (IC):** Services for assignments for which teams of personnel are not required and the experience and qualifications of the individual are the paramount requirement, will be procured in accordance with the provisions of **Bank's Procurement Regulations 2023**. Individuals will be selected on the basis of their qualifications for the assignment.

## **6.9 Use of Standard Bidding and Contract Documents**

**6.9.1 Use of Standard Procurement Bidding and Contract Documents:** For **ICB** procurement of goods and works, the use of **Bank's** Standard Procurement Documents (**SPD**) is mandatory. For **NCB/NCT** procurement, **universities** may use the Government's standard tender document (**STD**) or standard tender document (**STD**) of Electronic Government Procurement (**eGP**) system with modifications incorporated and concurred by the **World Bank** (standard tender documents for goods, works and non-consulting services). For selection of any consulting firm, the **WB's** Standard Request for Proposals (**RFP**), including standard contract form will be used. Depending on the type of procurement, the Standard Bid/Proposal Evaluation Forms of the **World Bank**, and of **GoB** when those become available, will be followed for submission of evaluation reports.

## **6.10 Procurement Risk Mitigation Measures**

**6.10.1** A Procurement Risk Mitigation Plan (**PRMP**) will be prepared by **HEAT PMU** and shared with the **World Bank**. **HEAT PMU** shall submit reports to the **World Bank** on a periodic (semi-annual) basis with a set of features as mentioned below:

**6.10.1.1 Alert bidders in pre-bid meeting:** **SPMs** through a notification will alert bidders during pre-bid meeting on consequences of corrupt practices (fraud and corruption, collusion, coercion, etc.). The alert message, among others, will include that if bidders are found to have

adopted such practices, there will be remedial actions including debarment from bidding processes in conformity with the **Bank's Procurement Regulations 2023**. For national competitive bidding, national bidders debarred, if any, will not be able to participate. In addition, in the pre-bid meeting, the bidders will be clarified for preparation of bids correctly.

**6.10.1.2 Alert internal officers/staff:** SPMs will issue alert letter(s) notifying on the fraud and corruption indicators and the possible consequences of corrupt and similar behavior in procurement practices and action to be taken against the staff if they are involved in such practices. Moreover, SPMs will take note that, in cases of noncompliance or material deviation from **Bank's Procurement Regulations 2023**, the World **Bank** shall take remedial actions (i.e., withdrawal of funds, declaration of mis-procurement/ineligible procurement) for concerned contracts. Additionally, if proven through investigation, **UGC** may take penal action against the deviant **SPM** under the country's anti-corruption law

**6.10.1.3 Bid opening minutes:** During the same day of bid opening, photocopies of the Bid Opening Minutes (**BOM**) with read out bid price of participating bidders will be submitted by **BOC** for circulation to all concerned. For prior review packages, such **BOM** will be shared with the World **Bank**.

**6.10.1.4 Low competition among bidders and high price of bids:** The case(s) of low competition (not solely based on number of bidders) in **ICB** and **NCB** cases, coupled with high-priced bids will be inquired into and further reviewed by **HEAT PMU**. The review and decision in this regard would be in the context of qualification criteria, the contract size (too small or too large), location and accessibility of the site, capacity of the contractors, etc.

**6.10.1.5 Measures to reduce coercive practices:** Upon receiving allegations of coercive practices resulting in low competition, **HEAT PMU/SPMs** will look into the matter and take appropriate measures. For prior review contracts, observations of **HEAT PMU** will be shared with the World **Bank**, along with the evaluation reports. **HEAT PMU/SPMs/Universities** may seek assistance from law enforcing agencies to provide adequate security for bidders during bid submission. For **ICB** contracts, provision for bid submission through international/national courier services will be allowed and confirmation of the receipt of the bid will be informed to the bidders through e-mail.

**6.10.1.6 Re-bidding:** In case of re-bidding, **HEAT PMU** will inquire into the matter, record and highlight the grounds of re-bidding (i.e., corruption or similar, high bid price etc.) along with recommended actions to be taken.

**6.10.1.7 Filing and record-keeping:** **HEAT PMU/SPMs** will preserve all records and documents regarding their public procurement in accordance with provisions of the **PPR-2008 Rule 43**. These records will be made readily available on request for audit/investigation/review by the government and the World **Bank**.

**6.10.1.8 Submission of PROMIS report:** **HEAT PMU** will submit quarterly report in the format of government's **PROMIS** (Procurement Management Information System) format to the World **Bank**. The **PROMIS** format is available at the website of **CPTU** ([www.cptu.gov.bd](http://www.cptu.gov.bd)).



**6.10.1.9 Publication of award of contract:** HEAT PMU will publish ATF contract award information within two weeks of contract award on its website and CPTU's websites with the required information like identity of contract package, date of advertisement, number of bids sold, number of submitted bids along with names, date of contract, contract Price as well as a brief description of the contract awarded and other relevant information as prescribed by CPTU.

## **6.11 Procurement Plan**

**6.11.1 Procurement Plan:** A procurement plan covering all procurement packages for the project period of the ATF shall be prepared. As part of ATF proposal submission, proposal submitting entities/universities shall include the procurement plan in the SPPs. The SPMs shall update the Procurement Plan and share with HEAT PMU, semi-annually, to reflect the actual project implementation needs and adjustments thereof.

**6.11.2** It has been already mentioned that all ATF sub-project managers are required to prepare a Procurement Plan (which can be an update of the version included in the SPP) in accordance with formats prescribed by the World Bank; and these will have to be reviewed by HEAT PMU, and concurred by the World Bank before implementation and updated regularly on a half-yearly basis.

**6.11.3** The draft procurement plans attached to the SPPs will be reviewed in a budget rationalizing workshop at UGC after the final selection of sub-projects has been made by UGCBATF. Goods included in the procurement plans shall be procured by the SPMs by following the procurement methods mentioned in this OM, PPA-2006 & PPR-2008 and in Bank's *Procurement Regulations 2023*. The procurement unit officials and procurement specialists of HEAT PMU shall provide technical assistance to the SPMs in rationalizing their respective procurement plans as explained above during the workshop.

Any change in the procurement plan due to budget re-appropriation during the implementation will require prior concurrence of the HEAT PMU.

## **6.13 Post Review**

**6.13.1 Post Review:** For compliance with the Bank's procurement procedures, the Bank will carry out sample post review of contracts that are below the prior review threshold. Such review (ex-post and procurement audit) of contracts below the threshold will constitute a sample of about **15 percent (fifteen percent)** of the post-review contracts in the project. Procurement post-reviews will be done on semi-annual basis depending on the number of post-review contracts. Post-review will also include assessment of the performance of HEAT PMU's procurement team, including adequacy of due diligence exercised by the PMU, and regularity of procurement-related reporting and record-keeping.

## **6.14 Electronic Government Procurement (e-GP)**

**6.14.1** All NCB open competitive bidding and RFQ procurement of Goods and Works under ATF sub-projects will be process through electronic government procurement (e-GP) system. ICB packages may also be procure through e-GP system if accepted by the World Bank. e-GP

has been rolled out in June 2011 under the government's procurement reform. The **Bank** has approved the system to use in ICB, **NCB and RFQ** contracts under **Bank**-financed projects in Bangladesh. The following steps will be implemented by **HEAT PMU** in order to implement **e-GP**.

6.14.1.1 All public and private universities including their departments/institutions should follow **e-GP**, will successfully secure **ATF** sub-projects.

6.14.1.2 All procurement officials of **HEAT PMU** and **SPMs** of sub-projects have completed one training on **e-GP** at a **CPTU** authorized training institution in the country within three months of selection of successful sub-projects.

6.14.1.3 Invitation to submit proposals under **ATF** would seek inclusion of information from eligible universities regarding readiness to use **e-GP** in their own procurement. This readiness will include, among others, computer hardware, availability of adequate bidders (*list of bidders generally participating in concerned university contracts*) and robustness of internet connectivity. During **ATF** proposal submission, universities ready for **e-GP** will confirm its readiness, which will be subsequently assessed by **HEAT PMU**. **HEAT PMU** procurement team will assist universities in compiling this information. Information of **e-GP** readiness by universities will be stored in the **PMU**'s database.

6.14.1.4 Training for bidder community will also take place, through **e-GP** trainers of **HEAT PMU** and in collaboration with **CPTU**.

## **6.15 Other Actions**

**6.15.1 Review of Procurement Performance:** The **HEAT PMU** and **World Bank** will monitor the compliance with the requirements of procurement methods and performance standards on a continuous basis. As part of the project's planned annual review/mid-term review, a comprehensive assessment of procurement performance will also be carried out.

**6.15.2** Regarding formation of evaluation committee following measures will be undertaken:

6.15.3 At the university level the committee will be constituted according to the relevant provisions of **PPA-2006** & **PPR-2008**;

6.15.4 At the sub-project implementation level the evaluation committee will be constituted according to the relevant provisions of the **PPA-2006** & **PPR-2008** with the inclusion of **PPF** staff as full members.

6.15.5 The primary responsibility in respect of procurement will lie with the concerned individual **SPMs** of the **ATF** grant recipient university. The **ATF SPMs** engaged in the implementation of the selected/awarded projects, public university **UATFS** must possess copies of the **PPA-2006** and **PPR-2008** and **World Bank's Procurement Regulations**, make themselves thoroughly adept in them and consult with the **CPTU** and procurement consultants engaged by **HEAT PMU** if they need clarification on any issue/matter related to procurement.

**6.15.6 Strengthening Procurement Capacity at University Level:** For procurement under ATF sub-projects, the SPMs will conduct their own procurement. This requires significant strengthening of universities' capacity in undertaking public procurement. In order to strengthen universities' procurement capacity following measures will be taken up.

**6.15.7 Special Training Course:** Prior to implementation of the ATF sub-projects, HEAT PMU will arrange a one-week customized training course, covering **World Bank's Procurement Regulations Guidelines 2023** and the PPA-2006 & **PPR-2008 version of 2023**. All officials handling procurement and/or holding membership of Bid/Proposal Evaluation Committee (BEC) are required to participate in this training program. No academic staff should be allowed to handle procurement without appropriate procurement training. Furthermore, the HEAT PMU procurement consultants or other procurement trainer will provide periodic training to ATF grant recipient universities' SPMs and procurement officers, who will be designated upfront during submission of proposals.

**6.15.8 Bid Evaluation Committee (BEC):** For non-e-GP NCB, the PE shall have at least two members from outside of the institutions, as provided in the PPR-2008.

**6.15.9** On an annual basis contracts using ATF grants will be post-reviewed by the World Bank concurred independent auditors appointed by HEAT PMU and the post-review reports will be shared with the World Bank for follow-up actions.

## CHAPTER 7

### MONITORING & EVALUATION

#### 7.1 The Process of Monitoring and Evaluation

- 7.1.1 Monitoring and evaluation are essential functions of any institution/organization engaged in executing a goal achieving activity. They are specifically important when as in the case of **ATF** sub-projects, the initiative is to introduce positive behavioural changes into an existing institutional or academic culture. Monitoring is the periodic assessment of programmed activities to determine whether they are proceeding as planned. Evaluation involves the assessment of progress towards the achievement of results, milestones and impact of outcomes based on the use of performance indicators. Both activities require dedicated funds, trained professional staff, monitoring and evaluation tools, effective data collection and storage facilities and time for inspection visits in the field.
- 7.1.2 At the central level an **M&E Unit (MEU)** has been established within the **HEAT PMU** which will be responsible for designing, organizing and managing the **M&E** activities of all components of the project. Monitoring of **ATF** sub-projects will be the major responsibility of this unit. **Six-Monthly Monitoring Report (SMMR)** will be submitted in both soft copy and hard copy to **MEU** by the respective **SPMs** in a customized reporting format developed by **HEAT PMU** included in **ATFOM Annex 8**. Every year the progress from January to June and from July to December will be reported in July, and January of the following year, respectively.
- 7.1.3 **MEU** will arrange a validation survey of the sub-projects and will match the findings with the information presented in **SMMR**. Field visits for assessment of progress of the sub-projects towards its goal will also be arranged by the **MEU**. Experts from relevant fields may be contracted for assessing the progress of the sub-projects, if necessary.
- 7.1.4 At the field level the office of the **SPM** shall be the main agency for monitoring and evaluation of the **ATF** sub-projects implemented by the universities. The **SPMs** shall monitor the projects on a continuous basis and measure the progress/achievements against the performance indicators mentioned in the sub-project proposal. The **SPMs** should be meticulous in maintaining detailed accounts of the funds received by him/her including every item of expenditure made under the project according to established accounting procedure/system. He/she should also submit the **Quarterly Progress Reports** for financial progress in prescribed formats (**ATFOM Annex 9**) to the **UATFS** and **HEAT MEU**. The reporting formats are attached to this OM. These can also be downloaded from **HEAT PMU** website.
- 7.1.5 At the completion of sub-project implementation, the **SPMs** shall submit the **Project Completion Report (PCR)** to summarize all the achievements and expenditure records of the sub-project. **PCR** will be submitted to **UATFS**, and **HEAT MEU** within 45 days of project completion in both hard and soft copy in prescribed formats (**ATFOM Annex 12**). The **SPMs** should close all sub-project activities, except writing the **PCR**, in the last 90 days before closing the sub-project to facilitate its timely submission. The **PCR** must be attached with (i) a list of fixed assets, furniture, equipment, etc., procured under the sub-project; (ii) a certificate from the head of the entity regarding transfer/receipt of these assets, books of

account (such as registers, ledgers, cash book etc.) procurement documents, vouchers etc. (iii) a statement on expenditure covering the entire sub-project period. **MEU** will conduct a verification survey of **PCR** for selected sub-projects within two years after the project completion to verify the actual achievements in the field against reported project outcomes and to evaluate impacts on beneficiaries and changes in institutional capacity created by the sub-project. Sustainability of such impacts will also be assessed in the verification survey of **PCR**.

- 7.1.6 **Academic Monitoring:** Apart from **MEU**, **UGC** as the implementing agency for the **ATF**, will carry out academic monitoring of all on-going **ATF** sub-projects on a regular basis during their implementation. **UGC** will engage appropriate experts from universities as well as Learned Societies to extend assistance in the use and maintenance of equipment and organize workshops for this purpose. The **UGC** shall take appropriate measures if a sub-project found to fail to reach the milestones/performance indicators mentioned in the project proposals. The **UGC** will also field supervision teams which will visit samples of projects physically with the objective to monitor their implementation progress according to milestones/performance indicators. **HEAT PMU** shall extend assistance to **UGC** in such monitoring.
- 7.1.7 At the **ATF** sub-project implementation level in the universities the Vice-Chancellors shall hold review of all under-implementation sub-projects in a quarterly meeting attended by the Deans, **SPMs** and chairpersons of sub-project implementing entities. The **UAFS** shall organize the monitoring meeting chaired by the **VC** and provide secretarial services. The concerned member in charge of **HEAT** at **UGC** and the PD of **HEAT** and **Chief Program Coordinator** may be invited by the university to attend the monitoring meeting. The Director, Planning & Development shall write the minutes of the monitoring meeting and share it with **UGC**, **HEAT PMU** and **World Bank**.
- 7.1.8 The Implementation, Monitoring and Evaluation Division (**IMED**) of the Ministry of Planning will routinely monitor the implementation progress of the projects as part of its mandated activities. The **IMED** may take concerned officials of **SHED** with them in its monitoring activities. In addition, **MoE/SHED** would review the progress in its monthly **ADP** review meeting held in the Ministry.
- 7.1.9 As practiced for all of its funded projects, the **World Bank** will field its periodic implementation support missions including **mid-term review** to assess the progress of implementation of the **ATF** and other components of the project.
- 7.1.10 One of the key outcome indicators of the project is increased level of satisfaction of students and faculties regarding the quality of teaching and research environment, and employers regarding the relevance of teaching and research programs. In order to measure this outcome, **Satisfaction Surveys** are included in the project design.
- 7.1.11 **Satisfaction Surveys** have been planned targeting students, faculties and employers of the **ATF** beneficiary institutes/departments in order to assess how the direct beneficiaries value the interventions under **ATF**. The impact of the **ATF** will be assessed through a comparison of outcomes between the **ATF beneficiary** population (**treatment group**) and the population not receiving the benefits of **ATF** (**control group**).

## 7.2 Reporting Arrangement

7.2.1 Reporting is one of the critical part of **ATF** sub-project management that bears significant importance in terms of ensuring high-level accountability of the **ATF** program and **HEAT PMU**. The **SPMs** are responsible for ensuring that all the relevant reports are submitted in proper formats and according to agreed timeline. The **SPMs** and **UATFS** are required to retain soft copies of the submitted reports and relevant documents in the university's digital depository for at least five years after the closing of the sub-project and be able to present them readily when and if so required. Reports that **ATF** sub-projects are required to submit during and after its implementation are as below. Procedures associated with each report is described in respective section of this **OM**.

7.2.1.1 **Financial Reporting:** **ATF** sub-projects shall submit (i) monthly financial statements as end of month procedures showing opening balance, receipts, payments made, etc.; (ii) **Interim Unaudited Financial Report (IUFR)** on every quarter; and (iii) yearly financial statements as an end of year procedure.

7.2.1.2 **Progress Reporting:** **ATF** sub-projects are required to submit (i) short **Quarterly Progress Report** summarizing financial and physical progresses; (ii) **Six-Monthly Monitoring Report** summarizing outputs and progress of the sub-project over six months; and (iii) **Project Completion Report (PCR)** at the completion of the sub-project in detailed narrative with data of all the inputs, outputs, achievements, and expenditures of the sub-project implementation.

## 7.3 Audit

### 7.3.1 External Audit

All development partner assisted development projects have to undergo periodic audit performed by the Foreign Aided Project Audit Directorate (**FAPAD**) under the office of the Comptroller and Auditor General (**C&AG**) of Bangladesh. In addition the Audit Wing under the Ministry of Education would require data/information on expenditures as part of its routine audit activities and for reporting to the **C&AG**. The audit will be carried out within six months of the closing of the financial year and a report submitted to the **World Bank** by December 31. World Bank's periodic project implementation support missions would also look into procurement procedures, the accounts of the **ATF** funds utilization and into the audit reports provided by the **UGC/HEAT** during the project implementation period. The **UGC**, **HEAT PMU**, **UATFS** of universities and the **ATF** sub-project managers should therefore remain fully prepared with the accounts of the sub-projects and all relevant documents on funds received and utilized.

### 7.3.2 Internal Audit

The project will undertake operational audit on an annual basis by outsourcing the function to a firm of chartered accountants under **ToR** concurred by the **Bank**. The operational audit will examine the physical, financial and operational aspects of project implementation and provide timely feedback to project management regarding any internal control weaknesses or management improvements required. The scope of the operational audit would be

comprehensive including review of financial transactions, efficacy of internal control arrangements and evaluation of project performance against the project objectives.

#### **7.4 Fixed Assets Verification**

- 7.4.1 In order to verify existence, ownership and safe custody of the various fixed assets procured, the **SPMs** should have a well-designed system to record acquisition and disposal of all the fixed assets capable of easily identifying assets, its current location and ascertain its history and cost. Each asset, as soon as acquired, shall be given a unique identification number, which should be printed as sticker and pasted on the asset. Fixed Assets shall be grouped/sub-grouped into different categories (i.e., Office Equipment, Furniture, Electrical Equipment, Scientific Instruments, Laboratory Equipment, Machines, Tools, Computers and Peripherals, etc.) and inventoried as required by the management for easy reference and identification.
- 7.4.2 **Physical Verification of Fixed Assets:** Periodical (at least annual, preferably on the balance sheet date) physical inspection of Fixed Assets shall be carried out by **SPM** and reconciled with fixed asset register. Discrepancies found shall be investigated into and appropriate actions should be taken as well as remedial measures to be introduced to prevent recurrence of discrepancies.



## CHAPTER 8

### ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK

#### 8.1 Objectives of Environment and Social Management Framework (ESMF)

**8.1.1** The major objectives of the **ESMF** are to ensure the implementation of projects that are environmentally and socially sustainable, and, to enhancing the capacity of the project implementing agency's environmental and social framework to assess and manage the environmental and social risks and impacts of the projects. For this purpose, the **World Bank** has defined specific **Environmental and Social Standards (ESSs)**, which are designed to avoid, minimize, reduce or mitigate the adverse environmental and social impacts likely to be caused by projects. This **ESSs** have replaced the previous **Operational Policy (OP)** and **Bank Procedures (BP)** on environment and social safeguard issues in Bank supported projects. Now projects supported by the **Bank** are required to meet the following **ESSs**:

- ESS 1: Assessment and Management of Environmental and Social Risks and Impacts;
- ESS 2: Labor and Working Conditions;
- ESS 3: Resource Efficiency and Pollution Prevention and Management;
- ESS 4: Community Health and Safety;
- ESS 5: Land Acquisition, restrictions on land Use and Involuntary Resettlement;
- ESS 6: Biodiversity Conservation and Sustainable Management of Living Natural Resources;
- ESS 7: Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities;
- ESS 8: Cultural Heritage;
- ESS 9: Financing Intermediaries; and
- ESS 10: Stakeholder Engagement and Information Disclosure.

#### 8.1.2 ESMF Compliance

The **UGC** as the implementing agency of the **Bank** supported **HEAT** project has agreed to follow the new policy on **ESMF** and has prepared and disclosed an **Environmental and Social Commitment Plan (ESCP)** for the **HEAT** project.

**8.1.3** Under the overall **ESMF** and **ESCP** umbrella for the project, the **ATF** grant utilizing universities/entities shall ensure the protection of physical and social environment, compliance with the **ESMF** requirements; and address these issues efficiently and appropriately during all stages of **ATF** sub-project implementation.

**8.1.4** The **ATF** under its Window 2, 3, 4 and 5 shall implement sub-projects that would include a range of small-scale renovations and facility development works in universities including renovation of science labs, workshops, install large scientific equipment like Next Generation Sequencing (NGS), nuclear magnetic resonance (**NMR**), x-ray diffractometer, liquid chromatographic mass spectrometer (**LCMS**) etc., and machineries for fab labs, i-labs. Renovation related impacts can include: air, noise, dust and water pollution and the safety of workers and communities; disturbance to flora and fauna; improper disposal of waste materials etc. The activities will also generate (i) e-wastes; and (ii) other detrimental wastes for environment and health from the advanced research involving bio-medical sciences, leather and textile technologies, if those are done in an uncontrolled manner and by not

following the proper bio-safety and environmental guidelines. The impacts from the increased traffic volume, solid and domestic waste generation, air and noise pollution and e-waste generation and wastes generated from the research activities is reversible and can be mitigated with appropriate mitigation measures in place which largely depends on the implementing universities' capacity enhancement and adherence to the implementation of the agreed Environmental and Social Management Plan (**ESMP**). Appropriate management measures to address the impact from hill profiling during and beyond project period have been included as a part of the ESMP. Considering the limited experience of the implementing universities in ESMP implementation and the overall risks and impacts related to the proposed project activities, the environmental and social risk might be substantial.

## 8.2 Environmental and Social Framework (ESF)

8.2.1 All **ATF** resource users will be required to follow safeguards measures given in the Environmental and Social Framework (**ESF**) of the **World Bank**.<sup>33</sup> The major objectives of the **ESF** are to ensure protection of physical and social environment, compliance with the legal requirements; and addressing these issues efficiently and appropriately during all stages of **ATF** sub-project implementation. The **ESMF** would address the following issues:

- (i) Protect human health;
- (ii) Minimize environmental degradation as a result of impact of either individual sub-projects or their cumulative effects;
- (iii) Enhance positive environmental outcomes; and
- (iv) Ensure compliance with the **GoB** and **World Bank**'s safeguard policies.

8.2.2 The environmental concerns related to **ATF** are about the small-scale infrastructure renovation/ refurbishing/extension work and research activities that are expected to be carried out under the **ATF** sub-projects. The **ESMF** would provide guidance on the approaches to be taken during **ATF** sub-project proposal preparation and implementation for environmental screening. This framework should be consistent with the **GoB**'s environmental laws and associated regulations as well as with **World Bank**'s safeguard policies.

8.2.3 The **ESMF** will be based on the following principles:

8.2.3.1 The **ATF** sub-projects are likely to include physical infrastructure renovation/ refurbishing/ extension and research activities, the detail design of which may not be known a priori. To ensure effective application of the **GoB/World Bank**'s environmental safeguard policies, the **ESMF** would provide guidance on the approaches to be undertaken during the preparation of the design of sub-project, and the planning of appropriate mitigation measures;

8.2.3.2 The sub-projects will not require any new building construction and as such no land acquisition and screening for site selection will be applicable;

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<sup>33</sup> Environmental and Social Framework, The World Bank, 2017; available on: <https://documents.worldbank.org/en/publication/documents-reports>

- 8.2.3.3 The sub-projects will follow **Bangladesh Building Code** to ensure safety of life and property during renovation/refurbishing/extension of various parts of a building or any other structures;
- 8.2.3.4 The contractors for renovation/refurbishing/extension will meet the requirements/ standards pertaining to air, water and noise prescribed in the **GoB's Environmental Conservation Act 1995** and **Environment Conservation Rules 1997**;
- 8.2.3.5 This OM will describe the institutional responsibility and process for environmental screening and related mitigation plans;
- 8.2.3.6 The sub-projects will promote sound environmental management and practices within the higher education institutions during implementation
- 8.2.4 Considering the nature and magnitude of potential environmental impacts from relatively limited scale and magnitude of the infrastructure renovation/ refurbishing/extension works and academic research output, the proposed operation would be classified as category 'B'. Since the extent and exact locations of reconstruction works and research works are not known before the design and implementation of the sub-projects, the requirement to carry out an environmental analysis as part of sub-project preparation can be waived, but for sub-projects with potential adverse impacts, a limited environmental analysis/ screening will be done prior to final selection of a sub-project. Since the potential environmental impacts are expected to be minimal, an Environmental Management Plan (**EMP**) will be prepared for each relevant activity. If any land filling is required for research site preparation such as earth filling of ponds/water bodies, full Environmental Impact Assessment (**EIA**) (not only an **EMP**) will have to be conducted by the **HEATPU** before awarding of **ATF** sub-project.
- 8.2.5 **Environmental Screening:** The sub-project proposal generating institutions their faculties, departments, centers and institutes fulfilling eligibility criteria will be required to submit a checklist to identify any environmental issues in the infrastructure renovation/refurbishing/extension works. If there is any environmental issue identified, the sub-project submitting entity will add an **EMP** with its proposal. If there is substantive environmental impact, the proposal submitting entity will submit the mitigation measures for those activities.
- 8.2.6 **Review and Clearance:** The University Grants Commission will ensure that a qualified environment expert is assigned during each sub-project review. The measurable environmental indicators will be used along with other indicators for assessing the sub-projects. The institution will submit its proposal for small infrastructure renovation/refurbishing with an environmental checklist (*SPP Annex 7*). Similarly, the applicants of research proposal will submit the environmental checklist (*SPP Annex 8*) duly reviewed and signed by proposal author. If there is substantive environmental impact, the applicant will submit the mitigation measures for the activities (*SPP Annex 9*). This checklist will be used by the **HEATPU** to identify the potential environment and safety issues and to suggest possible mitigation measures. **HEATPU** will monitor the environmental safeguard issues in the selected sub-projects and publish quarterly report on environmental compliance of sub-projects based on agreed monitoring indicators.
- 8.2.7 **Capacity-Building and Monitoring of Safeguard Framework Implementation:** As part of the capacity-building on environmental issues in University Grants Commission, selected staffs will receive training in **EMF** application and environmental management. To assist in

this capacity-building, and to provide subsequent guidance and review of the **EMF**'s application, the **HEAT PMU** will contract specialist services for environmental safeguard, as required, during supervision of these operations. The **World Bank** will assess the implementation of the **EMF**, and recommend additional strengthening, if required.

8.2.8 **Consultation and Disclosure:** The **EMF** will be shared by the Ministry of Education with concerned academic institutions and Department of Environment (**DoE**). As no potential affected persons are expected under the **ATF** sub-projects, field level consultations will not be held. The **EMF** has been disclosed in both Bengali and English by the **MoE** and **UGC** and it will also be made available at the **World Bank**'s Info Shop. Relevant sub-project specific safeguard documents/mitigation plans prepared subsequently will also be disclosed to the public.

8.2.9 **Guidelines for preparation of Environmental Management Plan:** After the identification of potential impacts of the relevant sub-project, the next step is the identification and development of measures aimed at eliminating, offsetting and/or reducing impacts to levels that are environmentally acceptable during implementation and operation of the project through the preparation and implementation of an Environmental Management Plan (**EMP**). **EMP** provides an essential link between the impacts predicted and mitigation measures specified. It is recognized that the **EMP** format needs to fit the circumstances in which **EMP** is being developed and the requirements, which it is designed to meet. **EMPs** should be prepared after taking into account comments from the affected persons, relevant academic institutions and **UGC**. Given below are the important elements that constitute an **EMP**:

- (a) **Description of mitigation measures:** Feasible and cost-effective measures to minimize adverse impacts to acceptable levels should be specified with reference to each impact identified. Further, it should provide details on the conditions under which the mitigation measures should be implemented (e.g., routine or in the event of contingencies). The **EMP** also should distinguish between type of solution proposed (structural & non-structural) and the phase in which it should become operable (design, construction and/or operational). Efforts should also be made to mainstream environmental and social opportunities as reasonable.
- (b) **Monitoring program:** In order to ensure that proposed mitigation measures have the intended results and complies with national standards and donor requirements, an environmental performance monitoring program should be included in the **EMP**. The monitoring program should give details of the following:
  - (i) Monitoring indicators to be measured for evaluating the performance of mitigation measure (for example, national standards, engineering structures, extent of area replanted, etc.)
  - (ii) Monitoring mechanisms and methodologies
  - (iii) Monitoring frequency
  - (iv) Monitoring locations
- (c) **Institutional arrangements:** Institutions/parties responsible for implementing mitigation measures and for monitoring their performance should be clearly identified. Where necessary, mechanisms for institutional co-ordination should be identified as often monitoring tends to involve more than one institution.

- (d) **Implementing schedules:** Timing, frequency and duration of mitigation measures with links to overall implementation schedule of the project should be specified.
- (e) **Reporting procedures:** Feedback mechanisms to inform the relevant parties on the progress and effectiveness of the mitigation measures and monitoring itself should be specified. Guidelines on the type of information wanted and the presentation of feedback information should also be highlighted.
- (f) **Cost estimates and sources of funds:** Implementation of mitigation measures mentioned in the **EMP** will involve an initial investment cost as well as recurrent costs. The **EMP** should include cost estimates for each measure and also identify sources of funding.

### 8.3 Social Management Framework (SMF)

**Introduction:** The Higher Education Acceleration and Transformation Project (**HEATP**) was approved by GoB on June 6, 2023. Following the footsteps of the Academic Innovation Fund (**AIF**) under the completed Higher Education Quality Enhancement Project (**HEQEP, 2019-2018**), **HEAT** would provide grant to universities for improving their academic and research environment through several windows. The **HEAT** project grant will be known as Academic Transformation Fund (**ATF**) and will support activities to reform curricula, offer training to teachers in modern teaching methods with use of **IT**, upgrade teaching-learning infrastructure, strengthen COVID 19 response, train graduates for employability, improve governance of higher education and undertake advanced researches.

**HEATP** is the follow-up project of **HEQEP**, with new activities to accelerate the transformation of higher education in the country for its overall development. As under **HEQEP**, appropriate social management will be ensured under this project.

#### 8.3.1 Social Safeguard Triggers

There will be no requirement for private land acquisition, displacement of communities or people from either public or private lands regardless of title and no adverse impacts on livelihoods of any nature. Therefore, the project will not trigger ESS 5 Involuntary Resettlement. The original project did not trigger the policy either and lessons learned during its implementation support the fact that it will not be triggered for this ATF either.

The project will be implemented nationwide; no adverse impact on Tribal People or communities is expected as the project is mainly of a technical assistance nature. The project originally did not trigger ESS 7 Indigenous People.

Given that the project only triggers ESS 7, and since the exact locations of project implementation are yet to be determined, an Indigenous People's Framework (IPF) has been prepared as part of this SMF to ensure the participation of all tribal and vulnerable communities in the project in a culturally appropriate and sensitive manner, that meets the World Bank's stated requirement of free, informed and prior consultations with the relevant groups during project preparation and during implementation. This SMF has been developed in full concurrence with national laws and applicable World Bank Operational Policies.

### 8.3.2 Objectives

The SMF provides general policies, guidelines, codes of practice and procedures to be integrated into the implementation of ATF. Consistent with the existing national legislation, the objective is to help ensure that activities under the proposed project will:

- Enhance positive social outcomes;
- Prevent negative social impacts as a result of either individual institution or their cumulative effects;
- Ensure compliance with World Bank safeguard policies.

### 8.3.3 Basic Principles

The Framework is based on an assessment of the nature, scope, and scale of safeguards impacts of the project components and institutional capacity of universities and institutions and the implementing agencies to address social safeguards issues. The following principles will apply for selection of institutions and activities:

- All proposed institutes to be funded by the projects will be subject to a social screening in order to assess the prevalence of Tribal students studying there.
- The institutions will not propose to undertake activities that may require land acquisition, or displacement of communities (regardless of title), or adverse impacts on livelihoods. All development works will be limited to improvement of the existing infrastructure if needed, and use their own land which must be free of encumbrances, for any new structures (if applicable).

### 8.3.4 Enhancing the Positive Outcomes of the Project for Indigenous Students

**Consultation:** Consultation is suggested with the indigenous group representatives to incorporate their voices, providing them a sense of ownership and their active participation.

**Identification of special needs:** Special need identification needed to support them effectively and efficiently. One major issue in this regard can be language skill. As many of the tribal communities are not fluent in Bangla or English other than Chakma and may not get opportunities to equally like them to study in urban mainstream educational institutes rather completed schooling in local schools with local teachers having similar language barriers for actualizing the education materials most efficiently. That would also help them to icebreaking of their inertia to have inter community interaction as well as interaction with Bengalis.

**Sensitization of the wider student-teacher body regarding indigenous communities, culture, customs, rituals etc.:** Get to know each other's culture always gives space for more interaction, knowledge sharing and trust building among different communities. Universities can think of a yearly event of day long cultural activities of all the tribal communities to showcase their cultural elements such as rituals, dance, music, costumes, and customs etc. which will bond them more and make the wider body having more interest in these cultures.

**Areas identified where tribal students require additional assistance:** If the tribal students need any specific assistance should be taken care of by identifying these areas. These may vary in different faculties and regions.

### 8.3.5 Indigenous Peoples' Plans

Once the exact Universities and other academic institutes targeted for the ATF are determined, they will be screened to assess the presence of tribal students according to the screening formats attached (SPP Annex-10). For institutions where tribal students are found in larger numbers, the above framework will be used as guidance to prepare indigenous Peoples' Plans to address the issues of participation, inclusion and enhancement of positive outcomes for tribal students.

### 8.3.6 Safeguards Screening and Mitigation Guidelines

Safeguard screening will consist of an examination of requirements of the possible activities, and the guidelines that will apply in terms funding eligibility and impact mitigation. The following guidelines, practice codes and requirements will apply in selection, design and implementation of particular activity:

- **Negative List.** The activities that have characteristics as those described in the 'Negative List' will be ineligible for funding under HEAT;
- **Guidelines for Indigenous Peoples Plan:** Principles and guidelines to identify and deal with adverse impacts on tribal peoples, and a consultation framework for adoption of mitigation and development measures, where activities would adversely affect IPs.

### Screening and Mitigation Responsibilities

At the institution levels, the Project Implementation Unit will screen the projects to ensure compliance with the above principles. For location specific sub-projects that trigger ESS 7.10 the PMU will ensure that adequate and appropriate consultation modalities are adopted to build consensus among the Tribal population, identify impacts in the light of their unique needs and way of life and implement mitigation measures commensurate with their cultural, religious and societal norms. The project mainly works on the supply side of the higher education quality enhancement and development. The curriculum can be made more accessible to tribal students by understanding their needs and exploring their career aspirations. The PMU may conduct a needs assessment survey amongst students, focusing on tribal students.

### 8.3.7 Grievance Redress:

The Universities and institutions will set up a procedure to address complaints and grievances regarding HEAT procedural irregularities and environmental and social guidelines. The procedure will however not pre-empt an aggrieved person's right to seek redress in the courts of law. All complaints will first be discussed in open meetings. If this fails, the institutes can refer the complaints to the PMU with the minutes of the hearing taken place at the institutional level. If PMU fails to resolve the matter, it can refer the case to the UGC, which in turn can send unresolved cases to MoE.

### Capacity Building

The PMU has a limited institutional capacity to implement the SMF. Specific capacity-building training programs for the PMU needs to be planned for the project. Furthermore, UGC should also have a designated officer who will be responsible contact person for matters related to SMF.

#### 8.3.8 Approval and Disclosure

As required by the World Bank’s project financing policy, the SMF prepared by the GOB will be subjected to review and clearance by the designated regional sector unit of the Bank and then finalized before formal appraisal of the project. The SMF, including a Bangla version, will be disclosed to the public in Bangladesh by the Bank at its Country Office Information Center, and by the MoE at its website. The Bank will also disclose it in its InfoShop.

#### 8.3.9 Negative Test

The negative characteristics of activities, which will make them ineligible for support under HEAT, are based on their probable social impacts. With the available implementation experience, it is apprehended that institutional capacity may not be adequate to manage the impacts listed below.

<b>NEGATIVE SOCIAL ATTRIBUTES</b>
Activities that involve <u>involuntary resettlement</u> of people/households will be ineligible for support under HEAT. Such activities are those that: <ul style="list-style-type: none"><li>▪ Poses any direct or indirect discriminatory criteria for selection</li><li>▪ Require land acquisition</li><li>▪ Require involuntary contribution of private lands</li><li>▪ Affect private homesteads</li><li>▪ Communities are unable to compensate for lands that are available on ‘contribution against compensation’ basis.</li><li>▪ Render households using public lands destitute</li><li>▪ Affect mosques, temples, graveyards, cremation grounds, and other places/objects that are of religious and cultural significance</li><li>▪ May significantly restrict access to common property resources and livelihood activities of groups and communities</li></ul>
Activities that affect <u>indigenous peoples</u> with long-term consequences will be ineligible support. These activities are those that: <ul style="list-style-type: none"><li>▪ Poses possibility of exclusion</li><li>▪ Threaten cultural tradition and way of life</li><li>▪ May severely restrict access to common property resources and livelihood activities</li><li>▪ May affect places/objects of cultural and religious significance (places of worship, ancestral burial grounds, etc.)</li></ul>

#### 8.3.10 Social Screening Form

The UGC/Project carried out a social assessment and identified that the project interventions will have positive impacts to stakeholders of tertiary education including any ethnic minority groups



in Bangladesh who may be beneficiaries of the project. Based on this finding (OP 4.10) Indigenous People would be triggered for the project and a Social Management Framework has been prepared and included in the ATFOM. The proposal submitting entities will be required to submit the filled in **Social Screening Form** (*SPP Annex-10*) with the **SPPs**.

### **8.3.11 Guidelines for Tribal Peoples Plan**

#### **Objectives of Tribal Peoples Plan**

The main objectives of the Indigenous Peoples Plan (IPP) are to ensure that the activities funded by **ATF** do not adversely affect IPs, and that they receive culturally compatible social and educational benefits. This will require the institutes to carefully screen all proposed activities to determine presence of TPs in the locality and ensure informed direct participation of the TPs in the activities. There are approximately 2.5-3.0 million indigenous/ethnic communities living in Bangladesh, covering less than 2% of the total population. The largest proportion of the country's tribal population lives in Bandarban, Rangamati and Khagrachari in the Chittagong Hill Tracts (CHT). The Universities and institutions closest to these areas are situated in Chittagong City where, even if tribal students come to study, they are assimilated with the mainstream student population. Some indigenous people, (IP) can also be found in remote areas of the north-west and north-eastern regions. Also, the project aims to improve the quality of education and engages mainly on the supply side of academic and administrative processes; it does not aim to improve access or engage with communities. Given the above scenario the likelihood of triggering ESS 7 is very low. Nevertheless, the MoE has prepared this current Indigenous Peoples Plan to consult with IPs and identify culturally sensitive and acceptable mitigation measures for any unforeseen impacts on IPs.

#### **Identifying the Indigenous Peoples**

Although the IPs of Bangladesh are well recognized locally, the PMU their local representative officials will examine the following characteristics to make formal identification:

- Self-identification as members of a distinct tribal cultural group and recognition of this identity by others;
- Collective attachment to geographically distinct habitats or ancestral territories in the project area and to the natural resources in these habitats and territories;
- Customary cultural, economic, social or political institutions that are separate from those of the dominant society and culture; and
- A tribal language, often different from the official language of the country or region.

#### **Basic Principles**

To avoid or minimize adverse impacts and, at the same time, ensure benefits for IPs, the PMU will apply the following basic principles in selection and design of particular activity:

- Ensure that IP communities in general and their organizations are not excluded by any means in activities selection, design and implementation processes.

- Together with IPs, carefully screen the activities for a preliminary understanding of the nature and magnitude of potential impacts, and explore alternatives to avoid or minimize any adverse impacts.
- Where alternatives are infeasible and adverse impacts on IPs are unavoidable, the MoE, together with IPs and others knowledgeable of IP culture and concerns, will immediately make an assessment of the key impact issues.
- The MoE will undertake the necessary tasks in order to adopt appropriate mitigation measures. The most important in this respect is intensive consultation with the IP communities, community elders/leaders, and formal and informal IP organizations, civil society organizations like NGOs, and others who are interested in and have knowledge of IP issues.

*Consultation will include the activity objectives and scope; the likely key adverse impacts on (and benefits for) IPs; IPs' own perception of the impacts and feedback, and a preliminary assessment of economic opportunities which the MoE could promote- in addition to mitigation of the adverse impacts.*

### **Identifying IP Social Concerns**

Impacts on IPs will vary in terms activities and their scopes, presence and size of IP population in the institution locales, as well as the magnitude of potential adverse impacts and social risks. To the extent applicable for a particular activity, information on the cultural and socio-economic characteristics and potential vulnerability will be used to identify the IP social concerns and adopt alternative mitigation measures.

### **Impact Mitigation & Development Measures**

The universities and institutions will carry out a needs-assessment among IP students to gauge their academic difficulties and career aspirations in order to make the curriculum more accessible to and effective for them.

### **IP Consultation Strategy**

As required for informed consultation, concerned institutes will provide IPs with all activity-related information, including that on potential adverse impacts if any. To facilitate consultation the institution will:

- Prepare a time-table for dialogues during activity selection, design and implementation processes, and consult them in a manner so that they can express their views and preferences freely.
- In addition to the communities in general, consult IP organizations, community elders/ leaders and others with adequate gender and generational representation; and civil society organizations like NGOs and groups knowledgeable of IP issues regarding the university, academic curriculum, quality of education and marketability of the education i.e. is it helping IPs get jobs?

Consultation will in general concentrate on awareness-raising, garnering feedback on the curriculum and other aspects of student life (inclusion and participation) as well as exploring additional development activities that could be promoted under the project. The institutes will keep Minutes of these consultation meetings in the activity files and make them available for inspection by IDA, GOB officials and other interested groups and persons.

**University Grants Commission of Bangladesh**  
**Higher Education Acceleration and Transformation Project (HEAT)**  
**Academic Transformation Fund (ATF)**

### Concept Note on SWOT Analysis

#### Definition and Template

**SWOT** is an acronym for Strengths, Weaknesses, Opportunities and Threats. The concept of **SWOT** analysis has been taken from management and generally used for a firm, industry or company. It is required for doing long term strategic planning for achieving business goals of a firm. The following four quadrants constitute the **SWOT** matrix.

Internal	<b>Strengths</b>	<b>Weaknesses</b>
External	<b>Opportunities</b>	<b>Threats</b>

An overview of the four factors (Strengths, Weaknesses, Opportunities and Threats) is given below:

- **Strengths**-Strengths are the qualities that enable the staff or personnel of an organization or institution to achieve its goals. Strengths can be either tangible or intangible. These are what the staff/personnel have expertise in, the traits and qualities they possess (individually and as a team) and the distinct features that give the organization/institution its consistency. Strengths are the beneficial aspects of the organization/institution or the capabilities of an organization/ institution, which include human competencies, learning capabilities, financial resources, products and services, and brand renown. Examples of organizational/ institutional strengths are huge financial resources, excellent work environment and facilities, skilled and committed staff, innovation capabilities etc.
- **Weaknesses**-Weaknesses are the qualities that prevent the organization/ institution from achieving its goals and utilizing its full potential. Weaknesses in an organization/institution will normally depreciate quality of products and outputs and bad reputation in the market.

However, weaknesses are controllable. They can be minimized and eliminated. For instance- to overcome incompetent human material, new skilled staff can be recruited. Other examples of organizational/institutional weaknesses are lack of resources to meet the essential requirements, huge debts, unmotivated staff, complex decision making process, insufficient research facilities, absence of innovation, poor quality control standards, shoddy product range, poor decision-making, chaos and absence of clear vision, conflicting interests among the

management etc.

- **Opportunities**-Opportunities are presented by the environment within which the organization/institution operates. These arise when an organization/ institution can take benefit of conditions in its environment to plan and execute strategies that enable it to become more efficient to accomplish its goals. Organizations/ institutions can gain competitive advantage by making use of opportunities. Organization/institution should be careful and recognize the opportunities and grasp them whenever they appear. Opportunities may arise from market, competition, industry, government and technology. Increasing demand for services offered by the organization/institution is a great opportunity to revamp the existing structure and delivery system and improve the quality of its products and outputs.
- **Threats**-Threats arise when conditions in external environment jeopardize the normal functioning of the organization/institution's business. They compound the vulnerability of the organization when they relate to the weaknesses. Threats are generally uncontrollable. When a threat comes, the stability and survival can be at stake. Examples of threats are-changing technology, increasing competition leading to excess capacity, new products challenging market share for same goods, sudden increase of cost of materials, etc.

### **Advantages of SWOT Analysis**

SWOT Analysis is instrumental in strategy formulation and selection. It is a strong tool, but it involves a great deal of subjective element. It is best when used as a guide, and not as a prescription. Successful institutions build on their strengths, correct their weakness and protect against internal weaknesses and external threats. They also keep a watch on its overall operational environment and recognize and exploit new opportunities faster than its competitors.

**SWOT Analysis** helps in strategic planning in following manner:

- It is a source of information for strategic planning;
- Builds organization's strengths;
- Reverse its weaknesses;
- Maximize its response to opportunities;
- Overcome threats to organization;
- Helps in identifying core competencies of the institution;
- Helps in setting of objectives for strategic planning;
- Helps in knowing past, present and future so that by using past and current data, future plans can be formulated;
- Provides information that helps in synchronizing the institution's resources and capabilities with the competitive environment in which it operates.

### **SWOT Analysis for Academic Institutions**

The above definition broadly presents the concept as applicable to business firms or industry. However, it can be used for an academic institution's strategic analysis purpose with some modifications in the areas that characterizes its business. The following table is an example applicable to a Department/Faculty/Institute/University:

	<b>Strengths (existing)</b>	<b>Weaknesses (existing)</b>	
<b>Internal</b>	<ul style="list-style-type: none"> <li>• Qualified/competent academic staff</li> <li>• Talented students</li> <li>• Updated curricula incorporating latest subjects</li> <li>• Good lecture theaters/ labs/study rooms</li> <li>• Eagerness among the faculty staff to do research</li> <li>• Eagerness of students in participating academic programs</li> </ul>	<ul style="list-style-type: none"> <li>• Skewed teacher-student ratio</li> <li>• Absence of strategic plan</li> <li>• Absence of good interpersonal relationship among the teaching staff</li> <li>• Lack of collective spirit among the faculty/staff in formulating development project for the department Factionalism among faculty staff</li> <li>• Low level of ICT skills among faculty members and students</li> <li>• Session congestion</li> <li>• Deadline failure in submission of score-sheets of exams by faculty members</li> <li>• Deadline failure in publishing exam results</li> <li>• Strained teacher-students relationship</li> <li>• Gender discrimination</li> <li>• Absence of skilled and trained technicians for operation of lab equipment</li> <li>• Lack of interest among faculty staff to undertake advanced research on emerging subjects</li> <li>• Lack of updated books and journals in the library</li> <li>• Absence of high-performance broadband connectivity</li> <li>• Lack of academic-industry collaboration</li> </ul>	
	<b>Opportunities (future)</b>	<b>Threats (future)</b>	
<b>External</b>	<ul style="list-style-type: none"> <li>• Availability of talented academic staff</li> <li>• Availability of external funding for research</li> <li>• Joint academic exchange/research programs with renowned foreign universities and industries</li> <li>• Improvement of facilities</li> <li>• Improvement of academic infrastructure</li> <li>• Expanded intake capacity</li> <li>• Availability of high-performance broadband connectivity</li> </ul>	<ul style="list-style-type: none"> <li>• Political unrest</li> <li>• Hooliganism/vandalism by external/non-academic actors on the campus</li> <li>• Worsening factional fighting among the faculty staff</li> <li>• Low level of public funding on campus development</li> <li>• Hike in tuition fee</li> <li>• Overcrowded lecture rooms</li> <li>• Inability to respond correctly to labor market demands</li> </ul>	

The above matrix is indicative and would vary from one institution to other in respect of **SWOT** description. The proposal writers can take suggestions from it to produce their own department/entity specific analysis. Please remember that this analysis should identify the issues/problems that the sub-project would address. Since most public universities don't have a strategic plan, the sub-project may consider the Mid-term Budgetary Framework (**MTBF**) for the tertiary education proposed by the government and the university's mission statement as the point of reference for the analysis. The **MTBF** is available on Finance Division website: [www.mof.gov.bd](http://www.mof.gov.bd)

# University Grants Commission of Bangladesh

## Higher Education Acceleration and Transformation Project

### Academic Transformation Fund

#### Concept Note on Performance Indicators

The **ATF** will support the academic improvement initiative of the **GoB** in higher education in Bangladesh. The **ATF** has based the monitoring and evaluation (**M&E**) of its sub-projects and activities according to the national and international quality assurance references. With those standards, the **ATF** is expected to promote quality and relevance in undergraduate, postgraduate programs and research in universities, facilitate a rational reorganisation of the education programs, promote academic staff development by adopting well accepted international criteria of excellence, generate employment in international organizations and provide information on its quality to the public.

All eligible expenses in **ATF** sub-projects have to be understood as a means of financial support to develop strategic objectives and achieve specific results and outcomes that will have impact on the institutional and on national development efforts.

Therefore, the follow-up of **ATF** sub-projects has to be coherent with these general assumptions and based on appropriate and effective evaluation processes and performance-based indicators. One way of categorising indicators are as follows:

1. Institutional
2. Academic staff
3. Academic Exchange
4. Research Funding
5. Citation Impact
6. Undergraduate & Graduate Students
7. Study Programs and Curricula Improvements
8. Scholarships, Infrastructure and Equipment, Use of Resources

Based on experience in project evaluation and **M&E**, and frequency of use and effectiveness of indicators, the **ATF** has selected the following as useful alternatives for the achievement of results and relevant impact.

#### **1. Institutional**

- Inclusion of project in the institutional development plan.

#### **2. Academic Staff**

- No. of total academic staff
- No. and % of full-time academic staff
- No. of full-time academic staff with PhD and coverage of key disciplines
- Average age of full-time academic staff with PhD
- No. of full-time academic staff holding Master's degree
- % of academic staff work load in teaching and research

- No. and % of academic staff having computer literacy
- No. of academic staff upgrading in other institutions as PhD students/invited professors or researchers, Post-Doctorates or attendants in workshops and symposia.
- No. of academic staff members visiting the sub-project as professors, specialists or Post-Docs
- No. of academic staff upgrading in own institution

### **3. Academic Exchange**

- No. of academic exchange programs established with foreign universities per year
- No. of collaborative research projects established with foreign universities per year

### **4. Research Funding**

- No. of (competitive) research grants received from national or/and international sources
- No. of thesis supervised to completion.
- No. of prizes
- No. of fellowships
- No. of ISI publications for research results in refereed journals, per staff member and total average.
- No. of books for research results published as commercial books reviewed by peers
- No. of edited books
- No. chapters in books
- No. of non-ISI publications and relevant work of humanities and social sciences (in other languages than English)
- No. of ISI publications associated to PhD work and academic exchange.

### **5. Citation Impact**

- No. of citations
- No. of keynote addresses
- No. of conference proceedings
- No. of relevant results of interaction with the productive sector (thesis, short visits, projects and contracts)
- No. of Royalties in Taka
- No. of Government missions
- No. of patents
- No. of inventions
- No. of invitations to serve on national and international bodies
- No. of editors of journals

### **6. Undergraduate and Graduate Students**

- Average score in university's entrance examination
- No. of student applications for admission in undergraduate programs/classes
- No. of postgraduate students receiving financial aid/grants/scholarships.
- No. of students admitted in first year undergraduate classes and subsequent dropout rates
- No. of new courses introduced in undergraduate programs/classes/subjects
- No. of postgraduate students and % of thesis work
- No. and % of academic staff having computer literacy
- No. of postgraduate enrolment and retention rates
- No. of students graduated/graduation rates

- Graduation rates per admitted cohort
- Average time for graduation and extra time needed
- No. of upgrading visits abroad by graduate students
- No. of participation in scientific events abroad by graduate students
- No. of ISI publications generated by postgraduate thesis
- Employability after six months of graduation (% of graduates employed per year)
- No. of PhD holders employed in the manufacturing/industrial sector.

## **7. Study Programs and Curricula Improvement**

- No. of courses offered
- No. of subjects offered to students in thesis
- Effective student workload
- No. of new courses designed and implemented with competency-based learning principles
- % of student work load in existing programs
- No. of students per class
- No. of PhD candidates (with approved qualifying exams and thesis subject) and their retention rates
- No. of postgraduate students' short visits abroad (scientific events).
- No. of networks created
- No. of new postgraduate programs created and newly added disciplines
- No. and level of program accreditation/quality assurance
- No. of students in academic exchange programs.
- Degree of satisfaction of undergraduate and graduate students

## **8. Scholarships, Infrastructure, Equipment, Use of Resources**

- Fund allocated per expenditure category (academic upgrading, consulting, goods and works)
- Fund allocated by disciplines, academic objectives, curricula design and management
- No. of scholarships allocated and students admitted.
- Area (in m<sup>2</sup>) allotted to the research projects
- Area (in m<sup>2</sup>) allotted to postgraduate student offices, classrooms/study rooms/seminar rooms
- Area (in m<sup>2</sup>) allotted to specialized laboratories
- Area (in m<sup>2</sup>) allotted to specialized libraries and access to information
- No. of main text book available in first year
- No. of new specialized texts available in the first year
- No. of new journals available in the first year
- No. of new on-line texts, journals and data bases available in first year
- Access to information and k<sup>n</sup>owledge. Management Information System (MIS) available
- No. of computers connected to the Internet per student enrolled
- No. and Taka invested respectively in scientific instruments and equipment and degree of satisfaction
- Institutional capacity for/on time management of allocated THEF resources.

## **9. Building indicators**

Indicators are key instruments in the process of monitoring and evaluation of performance-based projects, as they contribute to a better design and to the measurement of achievement of results and effectiveness in the use of funding. The correct definition of indicators allows the expression of specific activities in terms of periodic measurable quantities, précising whom



they benefit. In addition, during the development of the project, progress in objectives can be verified, contributing to better information for needed project redesign.

Projects have to define and formulate some indicators and explain with precision their calculation methodology, origin of base values, measurement periods, periods of analysis and evaluation, and validation media.

Project indicators should consider two levels of measurement: a first level corresponding to crucial activities or milestones that will be achieved during the implementation; and a second level that considers impact indicators through the periodic measurement of key variables that can count the effect of the project on the final beneficiaries.

Indicator measurements should consider also short (project) and long term (program) goals. This means that **M&E** should be planned beyond formal project activities or ending.

- **Milestone/Indicator.** Define the specific variables that define the indicator. In case of level 1, define the milestone or crucial activity that has to be accomplished.
- **Reference to Objectives.** Specify the general objective or those specific objectives and activities consistent with the Gantt Chart/Activities Plan that relate to the defined Milestone/Indicator. In level 2, not all defined specific objectives have to have associated indicators.
- **Critical Activities.** In level 1, state what activity or group of activities are critical for the achievement of the defined milestone.
- **Calculation Methodology.** Explain with precision the calculation formula of the indicator, with its associated variables. In the case of relations, explain the numerator and denominator.
- **Type of variable (variation or accumulation).** Variation corresponds to an increase or decrease of the variable after (for example) one year of project development. Accumulation corresponds to the value of the variable after the end of any period of project development
- **Assumptions.** Explain limitations and boundary values to the measurement of variables involved. For example, the date when annual measurements will be done.
- **Verification Media.** Inform the available information or products that will allow the validation of the result given by the indicator. This information should be available during external **M&E** activities.
- **Calculation of Base Values.** Explain the methodology used in the calculation of the indicator base value in year X.
- **Base Value in Year X.** Corresponds to the reference initial value of the indicator that will serve for future measurements in year N.
- **Desired Value in Year N.** Corresponds to the reference final value of the indicator that will be achieved after project implementation. This value is suggested for indicators that will measure the effect of a clear strategy considered in the project. For example, to increase the number of ISI publications (e.g., in Biotechnology) per faculty member from a base value of 3 annual publications to a value of 8 in a period of 5 years.

**University Grants Commission of Bangladesh**  
**Higher Education Acceleration and Transformation Project**  
**Academic Transformation Fund (ATF)**

Grouping of Universities by the Number of Teachers Holding PhD<sup>1</sup> and Research Publications<sup>2</sup> in Scopus Indexed Journal

SL.	Name of the University
<b>Category-A Universities</b>	
1	University of Dhaka
2	University of Rajshahi
3	Bangladesh Agricultural University
4	Bangladesh University of Engineering and Technology
5	University of Chittagong
6	Jahangirnagar University
7	Shahjalal University of Science and Technology
8	Jagannath University
9	North South University
10	Daffodil International University
11	Khulna University
12	BRAC University
13	Islamic University, Bangladesh
14	Khulna University of Engineering & Technology
15	American International University-Bangladesh
16	Bangabandhu Sheikh Mujibur Rahman Agricultural University
17	Hajee Mohammad Danesh Science and Technology University
18	Bangladesh University of Professionals
19	Rajshahi University of Engineering & Technology
20	Jashore University of Science and Technology
21	Chittagong University of Engineering & Technology
22	Patuakhali Science and Technology University
23	Sher-e-Bangla Agricultural University
24	Sylhet Agricultural University
25	Noakhali Science and Technology University
26	Mawlana Bhashani Science and Technology University
27	East West University

28	Ahsanullah University of Science and Technology
29	Dhaka University of Engineering & Technology
30	Independent University, Bangladesh
<b>Category-B Universities</b>	
1	International Islamic University Chittagong
2	International University of Business Agriculture and Technology
3	United International University
4	Pabna University of Science and Technology
5	Bangabandhu Sheikh Mujibur Rahman Science and Technology University, Gopalganj
6	University of Asia Pacific
7	Begum Rokeya University, Rangpur
8	Jatya Kobi Kazi Nazrul Islam University
9	Chittagong Veterinary and Animal Sciences University
10	University of Liberal Arts Bangladesh
11	Bangabandhu Sheikh Mujib Medical University
12	Green University of Bangladesh
13	Southeast University
14	Comilla University
15	Bangladesh Open University
16	National University
17	Bangladesh University of Business and Technology
18	Stamford University Bangladesh
19	University of Barishal
20	BGC Trust University Bangladesh
21	Northern University Bangladesh
22	Bangladesh University of Textiles
23	World University of Bangladesh
24	Uttara University
25	State University of Bangladesh
26	University of Development Alternative
27	City University
28	University of Science and Technology Chittagong
29	Bangladesh University of Health Sciences
30	Khwaja Yunus Ali University
<b>Category-C Universities</b>	

1	Bangabandhu Sheikh Mujibur Rahman Science & Technology University, Pirojpur
2	Bangabandhu Sheikh Mujibur Rahman Maritime University, Bangladesh
3	Bangladesh Army University of Science and Technology (BAUST), Saidpur
4	Bangabandhu Sheikh Mujibur Rahman Aviation and Aerospace University (BSMRAAU)
5	Dhaka International University
6	Eastern University
7	Bangladesh Islami University
8	East Delta University
9	Asian University of Bangladesh
10	Khulna Agricultural University
11	Chittagong Independent University
12	Premier University
13	Bangladesh Army University of Engineering & Technology (BAUET), Qadirabad
14	Primeasia University
15	Prime University
16	European University of Bangladesh
17	Varendra University
18	BGMEA University of Fashion & Technology (BUFT)
19	University of Information Technology and Sciences
20	Manarat International University
21	Sonargaon University
22	Trust University, Barishal
23	Atish Dipankar University of Science & Technology
24	Leading University
25	Hamdard University Bangladesh
26	Southern University Bangladesh
27	Rabindra Maitree University, Kushtia
28	North Bengal International University
29	Shanto-Mariam University of Creative Technology
30	University of South Asia
31	Bangladesh University
32	Notre Dame University Bangladesh
33	Gono Bishwabidyalay
34	Exim Bank Agricultural University, Bangladesh
35	Bangamata Sheikh Fazilatunnessa Mujib Science and Technology University

36	Metropolitan University
37	ASA University Bangladesh
38	Port City International University
39	Central University of Science & Technology
40	Canadian University of Bangladesh
41	R. P. Shaha University
42	North Western University
43	Northern University of Business and Technology, Khulna
44	Presidency University
45	Fareast International University
46	University of Creative Technology, Chittagong
47	University of Scholars
48	International Standard University
49	Pundra University of Science & Technology
50	Anwer Khan Modern University
51	CCN University of Science & Technology
52	University of Global Village
53	Bangabandhu Sheikh Mujibur Rahman Digital University, Bangladesh
54	Bangladesh Army International University of Science and Technology (BAIUST), Cumilla
55	ZNRF University of Management Sciences
56	University of Skill Enrichment and Technology
57	Rajshahi Science & Technology University (RSTU), Natore
58	German University Bangladesh
59	Royal University of Dhaka
60	Tagore University of Creative Arts, Uttara, Dhaka, Bangladesh
61	Rajshahi Medical University
62	Sheikh Fazilatunnesa Mujib University
63	Central Women's University
64	The Millennium University
65	First Capital University of Bangladesh
66	Feni University
67	Times University, Bangladesh
68	N. P. I University of Bangladesh
69	Z. H. Sikder University of Science and Technology
70	R. T. M Al-Kabir Technical University

71	The People's University of Bangladesh
72	Sheikh Hasina University
73	Britannia University
74	North East University Bangladesh
75	Cox's Bazar International University
76	University of Brahmanbaria
77	Rangamati Science and Technology University
78	Rabindra University, Bangladesh
79	Sylhet International University
80	Global University Bangladesh
81	Victoria University of Bangladesh
82	Islamic Arabic University
83	Ishakha International University Bangladesh
84	Chittagong Medical University
85	Sheikh Hasina Medical University, Khulna
86	Sunamganj Science and Technology University
87	Shah Makhdum Management University, Rajshahi
88	Bangamata Sheikh Fazilatunessa Mujib Medical University, Sylhet
89	Chandpur Science and Technology University
90	Bangabandhu Sheikh Mujibur Rahman University, Kishoreganj
91	Hobiganj Agricultural University
92	Kurigram Agricultural University
93	Rupayan A. K. M. Shamsuzzoha university
94	Ahsania Mission University of Science and Technology
95	Khulna Khan Bahadur Ahsanullah University
96	Bandarban University
97	Microland University of Science and Technology
98	Sheikh Hasina University of Science and Technology
99	Chattogram BGMEA University of Fashion and Technology
100	IBAIS University
101	The University of Comilla
102	Queens University

<sup>1</sup> Data collected from 48<sup>th</sup> Annual Report, UGC, 2021

<sup>2</sup> Data collected from scopaus database

<sup>3</sup> List of universities are given in DPP (Any university outside this list, but fulfills eligibility criteria may also apply for ATF)

**Government of the People’s Republic of Bangladesh**  
**University Grants Commission of Bangladesh**  
**Higher Education Acceleration and Transformation Project**  
**Academic Transformation Fund**

**ATF PERFORMANCE CONTRACT FORMAT (Time Based)**

*Between*

**University Grants Commission of Bangladesh**

*And*

**University**

[.....name of institution.....]

*Contract No.* : .....

*Title of Sub-Project* : .....

*Sub-Project Proposal No.* : .....

*Total ATF Grant Amount* : .....

*Duration of the sub-project* : *From* ..... *To* .....

*Contract Date* : .....

**PERFORMANCE CONTRACT (Time Based)**  
**for**  
**Implementation of**  
**Academic Transformation Fund Sub-Project**

**PREAMBLE**

This **PERFORMANCE CONTRACT** (hereinafter called the **CONTRACT**) is entered into this ..... day of ..... 2024..... between the **University Grants Commission of Bangladesh**, (hereinafter called the **UGC**), acting by and through its duly authorized representative (hereinafter referred to as the **FIRST PARTY**) of the one part **AND**, the **University of .....** (hereinafter referred to as the **SECOND PARTY**) which endorsed the sub-project, acting by and through its duly authorized representative, **AND**, the **Department/Faculty/Center/Institute .....** of ..... (hereinafter referred to as the **THIRD PARTY**), from which the sub-project proposal originated, acting by and through its duly authorized representative (called the Sub-Project Manager), of the other two **PARTIES**, **WHEREBY IT IS AGREED AS FOLLOWS:**

- i. Whereas the International Development Association (hereinafter called the IDA) and the Government of Bangladesh (hereinafter called the GoB) have entered into Financing Agreement dated June 13, 2023 (hereinafter called the FA), whereby IDA is to make a Credit in an amount equivalent to one hundred thirty-three million, one hundred thousand Special Drawing Rights (SDR 133,100.000)<sup>1</sup> to the GoB (hereinafter called the Credit) to assist in the financing of the Higher Education Acceleration and Transformation Project (hereinafter called the HEATP) described in Schedule 1 (Project Description) of the FA and on the terms and conditions otherwise set forth or referred to in the FA; and whereas pursuant to Section C of the Schedule 2 of the FA, the GoB is to provide part of the proceeds of the Credit as Grants for sub-projects under this Contract and whereas the PARTIES hereto wish the terms and conditions hereinafter set forth to constitute the Contract:
- ii. Pursuant to the Development Project Proposal (DPP) of HEATP approved by the Executive Committee of National Economic Council (ECNEC) in its meeting held on June 6, 2023;
- iii. Pursuant to the Operations Manual (hereinafter called the OM) on the implementation of the Transforming Higher Education Fund sub-projects under the HEATP Sub Component 2.2;
- iv. Pursuant to the UGC Board for ATF (UGC BATF ) meeting held on ..... for approving grant award to the successful applicants for of the (ATF), .....dated .....2024;
- v. Pursuant to the decision no. xx of the xxth meeting of the UGC BATF for awarding grant to the successful applicant for ATF award no..... dated .....
- vi. Provided, the **SECOND PARTY** means a public/private university established under an Act or/and an Ordinance or/and an Order;
- vii. Provided, Grant means the funds received by the **FIRST PARTY** from IDA/GoB as delineated at paragraph (a) above of this **CONTRACT** and disbursed by the **FIRST PARTY** to the **THIRD PARTY**;
- viii. Based on the requirements and capacities of the **THREE PARTIES** to this **CONTRACT** the said parties shall undertake a collaborative venture to finance and implement the (sub-project title) at

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<sup>1</sup> US\$191 million



the (name of institution) in accordance with the terms and conditions stipulated in the Clauses included in this **CONTRACT** hereinafter:

**The Three PARTIES:**

**1. FIRST PARTY:**

**UNIVERSITY GRANTS COMMISSION OF BANGLADESH**

Address: UGC Bhaban, Plot # E-18/A, Agargaon Administrative Area  
Sher-e-Banglanagar, Dhaka 1207, Bangladesh

Tel: 880-2-581-60100; 880-2-581-60108-4133

Fax: 880-2-581-60202

Email: chairman@ugc.gov.bd

Authorized Representative:

Position:

**2. SECOND PARTY:**

.....University

Address:

Tel:

Fax:

Email:

Authorized Representative:

Position:

**3. THIRD PARTY:**

**Department/Faculty/Center/Institute/ University**

Acting through Sub-Project Manager

Name and Designation:

Address:

Tel:

Fax:

E-mail:

Sub-project title: [*proposal name*.....]

Contract No: \_\_\_\_\_

## Clause 1

### ASSIGNMENT AND SCOPE OF WORK

- 1.1 FIRST PARTY**, in its capacity as the University Grants Commission of Bangladesh responsible for allocating **ATF** Grants received from the **IDA/GoB**, as the implementing agency appointed by the **GoB**, through the **HEATP (hereinafter HEATPIU)** for **ATF sub-projects**:
- (a) has awarded a grant to **THIRD PARTY** to implement the **ATF** sub-project submitted by the **THIRD PARTY** with the endorsement and undertaking of the **SECOND PARTY** in accordance with the provisions of the *Operations Manual* for **ATF**. The contents of the sub-project assignment are described in the sub-project proposal approved by the **UGC BATF** ;
  - (b) confirms that the sub-project proposal (**Annex 1**), which is attached to this *Contract* serves as the Terms of Reference for the **ATF** sub-project assignment, and forms an integral part of this legal document;
  - (c) approves the sub-project work/activities plan, financing plan, procurement plan and training plan contained in the sub-project proposal submitted by the **THIRD PARTY** and endorsed by the **SECOND PARTY**;
  - (d) will monitor, review, and evaluate **THIRD PARTY**'s implementation of the sub-project assignment and with respect to the scope of work which conform to the provisions and conditions provided in the *Operations Manual* for **ATF**; and,
- 1.2 SECOND PARTY**, in its capacity as the sponsoring institution for the approved **ATF** sub-project proposal:
- (a) accepts the grant awarded by **FIRST PARTY** to the **THIRD PARTY** to implement the sub-project;
  - (b) establishes an University **ATF** Secretariat (**UATFS**) for providing secretarial services for the implementation of **ATF** sub-projects awarded to it;
  - (c) shall facilitate implementation of the sub-project by the sub-project management team of the **THIRD PARTY** and shall be responsible for providing to **THIRD PARTY**, promptly as needed, the facilities, services, technical assistance and other resources required for the sub-project implementation and assuring sustainability of the sub-project throughout the duration of this **Contract**.
- 1.3 THIRD PARTY**, in its capacity as the implementer of the approved **ATF** sub-project proposal:
- (a) shall implement the sub-project with due diligence and efficiency, and in accordance with sound educational, scientific, technical, financial, and managerial standards and practices, aimed at achieving the objectives of **ATF sub-project** and satisfactory to the **GoB** and **UGC**; and is responsible for reporting on the sub-project implementation to **FIRST PARTY** through the **UATFS** as stipulated in this **Contract**;
  - (b) shall be responsible for providing to **FIRST PARTY** the following: Table of Milestones, Table of Performance Indicators, Work Plan, Financing Plan, Procurement Plan, and Training Plan acceptable to **FIRST PARTY**. Such information provided by **THIRD PARTY** constitute indispensable part of the approved sub-project proposal attached to this **Contract**. Any authorized modifications to this sub-project proposal will likewise form an integral part of this **Contract**.

## Clause 2

### DURATION OF CONTRACT

- 2.1. This contract shall become effective immediately upon signing by all parties and shall remain valid throughout the implementation period specified in the sub-project proposal. The sub-project will be implemented for the period beginning from xx-xx-xxxx and will be completed on xx-xx-xxxx , as specified in the sub-project proposal. The implementation time begins from the date of the signing of this Performance Contract.
- 2.2. If the implementation of the sub-project is delayed for any reason, **THIRD PARTY** must inform the **UGCTHEFS** through the **SECOND PARTY** in writing the reasons for the delay, and if necessary request an extension of the time allowed for implementation. **THIRD PARTY** should not exceed the time period specified in the approved sub-project proposal, unless so authorized in writing by the **FIRST PARTY**, provided, that the **FIRST PARTY** shall do so in accordance with the relevant provisions of the *OM* in respect of duration of sub-projects.

## Clause 3

### RESPONSIBILITIES OF FIRST PARTY

- 3.1 **FIRST PARTY** through **HEATPU** shall be responsible for providing the grants to **THIRD PARTY** in accordance with the provisions and conditions mentioned in the *Operations Manual* for **ATF** and this **Contract**.
- 3.2 The **FIRST PARTY** reserves the rights adequate to protect its interests and those of the **GoB**, including the right to (i) suspend or terminate the right of the **SECOND PARTY** and the **THIRD PARTY** to use the proceeds of the **Grant**, or to obtain a refund of all or any part of the amount of the **Grant** then withdrawn, upon the **SECOND PARTY**'s and **THIRD PARTY**'s failure to comply with any of their obligations under this **Performance Contract**. In the instance of non-compliance with the operational procedures, misuse and/or misappropriation of the **ATF** grants by the **SECOND PARTY** and **THIRD PARTY**, the **FIRST PARTY** shall take legal action against the persons responsible for such misdeeds according to the existing relevant laws of the country.
- 3.3 Monitor the sub-project implementation through reports required under **Clause 4**, which shall be monthly and quarterly in case of financial progress report and six-monthly in case of monitoring report. Such monitoring will be continuous by **FIRST PARTY** through the **Monitoring & Evaluation Unit** of the **HEATPMU**, or by its authorized representatives throughout the entire implementation period of the sub-project.
- 3.4 Inspect at any time the location and activities of the sub-project, through its authorized representatives, during its implementation and review any relevant documents and records for purposes of monitoring or conducting financial or technical audits.

## Clause 4

### RESPONSIBILITIES OF SECOND PARTY

- 4.1 **SECOND PARTY** shall:
  - (a) ensure that the **THIRD PARTY** shall carry out its sub-project activities with due diligence and efficiency and in accordance with sound technical, economic, financial, managerial, environmental and social standards and practices, including in accordance with the provisions of **IDA**'s *Anti-Corruption Guidelines as well as BoG rules and regulation*;
  - (b) provide, promptly as needed, the facilities required for the purpose;

- (c) assist the sub-project manager in procuring the goods, works, and services to be financed out of the grant in accordance with the provisions of the **PPR** and World Bank's procurement guidelines, where applicable;
  - (d) maintain policies and procedures adequate to enable it to monitor and evaluate in accordance with indicators agreed with the **FIRST PARTY**, the progress of the sub-project and achievement of its objectives;
  - (e) assist the sub-project manager to maintain a financial management system and prepare financial statements in accordance with consistently applied accounting standards, for the implementation of the **ATF** sub-project, both in a manner adequate to reflect the operations, resources and expenditures related to the sub-projects; and (ii) at the **FIRST PARTY**'s request, have such financial statements audited by **FAPAD** and independent auditors, in accordance with consistently applied auditing standards, and promptly furnish the statements as so audited to the **FIRST PARTY** and to **IDA/GoB**;
  - (f) enable the **FIRST PARTY** and **IDA** to inspect the sub-project, its operation and any relevant records and documents; and
  - (g) prepare and furnish to the **FIRST PARTY** and **IDA** all such information as the **FIRST PARTY** or **IDA** shall reasonably request relating to the foregoing;
- 4.2** Ensure that the **THIRD PARTY** submits to **FIRST PARTY** the monthly and quarterly financial progress reports on all of the expenditures made over each quarter of the implementation period, and the six-monthly monitoring report;
- 4.3** Responsible for strict monitoring of the fund utilization by the **THIRD PARTY** and supervise every aspect of it by meticulously tracking every instance of expenditure made from the **ATF** fund, through the **UATFS**;
- 4.4** The **SECOND PARTY** shall be held accountable for any non-compliance with operational procedures given in the **ATFOM**, and misuse, transfer and/or misappropriation of grants received from the **FIRST PARTY** meant for the implementation of the **ATF** sub-project.

## Clause 5

### RESPONSIBILITIES OF THIRD PARTY

- 5.1** **THIRD PARTY** shall be responsible for the overall timely implementation of the sub-project in accordance with work/activities plan, financing plan, procurement plan, and training plan included in the approved sub-project proposal;
- 5.2** **THIRD PARTY** shall be responsible for submitting to **FIRST PARTY** and copies to **UATFS** the following reports:
- (a) monthly and quarterly financial reports in formats provided by the **UATFS**;
  - (b) six-monthly progress report in a format provided by the **UATFS**;
  - (c) data and information on achievements of the sub-project milestones and performance indicators;
  - (d) a Project Completion Report (hereinafter **PCR**) summarizing all the activities implemented and the results achieved over the entire period of the sub-project (due within two months of the completion of all activities specified in the sub-project proposal);
- 5.3** **THIRD PARTY** shall be held accountable for any non-compliance with the operational procedure laid down in the **OM** of **ATF**, and misuse, transfer and/or misappropriation of **ATF** funds received from the **FIRST PARTY**, and mis-procurement with **ATF** grants as well as for inefficiency that may cause delay in implementation and non-attainment of crucial milestones and performance indicators mentioned in the sub-project proposal.

## Clause 6

### PROCUREMENT

- 6.1 **THIRD PARTY** shall strictly follow *The Public Procurement ACT 2006*, and *The Public Procurement Rules 2008* together with the World Bank's *Procurement Regulations for IPF Borrowers, November, 2020* and the relevant provisions of *ATF Operations Manual* in respect of procurement; and will be held accountable for any deviation from the regulations and procedures in matters of procurement stipulated in the aforementioned documents and pay fines and indemnity for such lapses determined by the **GoB/IDA** and **FIRST PARTY**.

## Clause 7

### FINANCE

#### A. Sub-Project Cost and Financing

- 7.1 The estimated total cost, including applicable taxes as per expenditure nature, of the sub-project is BDT ....., as approved by the **UGC BATF**;
- 7.2 Over the life of the sub-project, **FIRST PARTY** will provide to **THIRD PARTY** a grant of up to BDT ..... (Total Grant Amount), which represents 100% of the total cost of the sub-project. **FIRST PARTY** will not be responsible for any financial liabilities which may arise due to deviation from financial rules and regulations, irregularities in fund utilization and expenditures and for inefficient implementation of the sub-project by the **THIRD PARTY**.

#### B. Financial Management

- 7.3 The **SECOND PARTY** and **THIRD PARTY** shall fully adhere to the principles and procedures of financial management as stipulated in the relevant section of *ATF Operations Manual*;
- 7.4 The **THIRD PARTY** shall open and maintain a separate **ATF** bank account, in the name of the sub-project, in a Bank, to be used solely for purposes of depositing **ATF** funds released by **FIRST PARTY** for the sub-project, and such account will be known as operating account (hereinafter **OA**). This **OA** shall be maintained in Bangladesh Taka currency, must be used exclusively in accordance with the budget included in the sub-project, and must not be diverted and used for activities not included in the approved sub-project proposal or for any other purpose. Payments from this account must be solely for the payment of eligible expenditures in accordance with the categories of eligible expenditure mentioned in the budget and approved by **FIRST PARTY** in accordance with the provisions of the *Operations Manual* and this **Contract**.
- 7.5 The financial records relating to the bank accounts referred to in Clause 7.4 above, and to the sub-project cash book and expenditure accounts and book-keeping ledgers maintained or/and stored in papers or/and in computer programs described above, as well as the quarterly financial reports described in Clause 4, may be subject to review and verification by the authorized **GoB** auditors or/and by independent auditors, at any time, as required by the **GoB, IDA** and **FIRST PARTY**.
- 7.6 (a) the term "eligible expenditures" means expenditures for the activities and for procurement of goods, works and services described in the section 13 of the *ATF Operations Manual*;
- (b) the term 'installments' means the amount of fund that will be released in a tranche (quarterly) to **THIRD PARTY** in accordance with the fund flow procedure mentioned in the section on the financial management of the *ATFOM* for the utilization by **THIRD PARTY**. If the specifically defined sub-project milestones and performance indicators are not achieved during the implementation of the sub-project, such release of funds may be withheld by the **FIRST PARTY**;
- 7.7 After **FIRST PARTY** has received evidence satisfactory to it that **SECOND PARTY** has (i)

established an University ATF Secretariat (UATFS)<sup>2</sup>, and (ii) **THIRD PARTY** has duly opened ATF Operating Account (OA) in a Bank, disbursement of funds to **THIRD PARTY** shall be made as follows:

- (a) First installment shall be disbursed, to the **OA** of the sub-project as advance, upon receipt of the '**Request for Advance**' supported by projected cash forecast statement from **SPM** containing the estimated expenditures drawn on the approved procurement and work plans for the first two quarters of the sub-project from the **THIRD PARTY**. Subsequent amount will be disbursed in two additional tranches based on **IUFR**, workplan and procurement plan.
- (b) Subsequent installments will be released, in the amounts indicated, upon receipt of the statement of expenditure (hereinafter **SoE**) by the **UGCTHEFS** from the **THIRD PARTY** within 21 days of the expiry of the last quarter. A supporting letter to the **FIRST PARTY** signed by the head of the **UATFS** attesting that the performance milestone and indicators have been achieved by **sub-project**, will constitute an additional document for each successive '**Request for Advance**' application submitted by the **THIRD PARTY**.

**7.8** For each expenditure made out of its ATF sub-project **OA** opened and maintained by the **THIRD PARTY**, the **SECOND PARTY** shall, at such time as **FIRST PARTY** shall request, furnish to **FIRST PARTY** such documents and other evidence showing that such payment was made exclusively for eligible expenditures.

**7.9** For all expenditures from its ATF sub-project **OA**, **THIRD PARTY** shall:

- (a) maintain records and accounts adequate to reflect such expenditures in accordance with sound accounting practices;
- (b) retain, until instructed otherwise by **FIRST PARTY**, all records (bidding documents, invitations of bids, contracts, orders, invoices, vouchers, cash-memo, bills, pay orders, receipts, cash books and bank reconciliation statement and other documents) evidencing such expenditures;
- (c) authorize auditors of the **GoB** and/or independent auditors and representatives of **FIRST PARTY** to examine such records.

**7.10** Notwithstanding the provisions of Clause 7.7, **FIRST PARTY** shall not be required to make further fund release to **THIRD PARTY**:

- (a) if **THIRD PARTY** have failed to furnish to **FIRST PARTY**, within the period of time specified in Clause 4 of this **Performance Contract**, the reports required to be furnished to **FIRST PARTY** pursuant to said Clause;
- (b) Thereafter, transfer of ATF grants from the Designated Account maintained by **FIRST PARTY** for the ATF sub-projects, shall follow such procedures as **FIRST PARTY** shall specify by notice to **THIRD PARTY**. Further release of funds shall be made only after and to the extent that **FIRST PARTY** have been satisfied that all such amounts remaining in the ATF sub-project **OA** maintained by **THIRD PARTY** will be utilized in making payments for eligible expenditures;

**7.11** (a) If **FIRST PARTY** has the evidence at any time that any amount out of ATF sub-project operating account maintained by **THIRD PARTY**:

- (i) was made for an expenditure or in an amount not eligible pursuant to section 13 of the **ATF Operations Manual** or
  - (ii) was not justified by the financial rules and regulations of the **GoB/IDA**,
- (b) **SECOND PARTY** shall, promptly upon notice from **FIRST PARTY**:

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<sup>2</sup> **UATFS** will be established in the Planning & Development office of the university and staffed by the P&D officials headed by Director, P&D.

- (i) provide such additional evidence as **FIRST PARTY** may request; or
- (ii) If **FIRST PARTY** shall so request, refund to **FIRST PARTY** an amount equal to the amount of such payment or the portion thereof not eligible or justified. Unless **FIRST PARTY** decides otherwise, no further release of fund by **FIRST PARTY** into the operating account maintained by **THIRD PARTY** shall be made until **SECOND PARTY** has made such deposit or refund, as the case may be.
- (c) If **FIRST PARTY** has evidence at any time that any amount outstanding in the **ATF** sub-project operating account maintained by **THIRD PARTY** will not be required to cover further payments for eligible expenditures, or/and amount deposited in the operating account maintained by the **THIRD PARTY** shall remain unutilized or/and unspent, then the **THIRD PARTY** shall promptly upon notice from **FIRST PARTY**, refund such outstanding or/and unspent amount to **FIRST PARTY**;
- (d) Refunds to **FIRST PARTY** made pursuant to Clauses 7.11 (a) and (b) shall be credited to the Designated Account maintained by **FIRST PARTY** for the implementation of **ATF** sub-projects.

## Clause 8

### SUB-PROJECT ASSETS AND SERVICES

- 8.1** Goods, assets and services purchased under this **Performance Contract** shall be used exclusively for the purpose of implementation of sub-project;
- 8.2** All books, journals and printed materials procured under the sub-project must be registered in line with the coding system of the institution's library for overall management purposes;
- 8.3** All goods, instruments, devices, machines and equipment purchased under this **Performance Contract** shall become the property of **SECOND PARTY** and shall be registered in its inventory as provided in the relevant rules of the institution; A certificate for transfer/receipt of such assets from the head of the entity must be submitted along with the Project Completion Report of the Sub-project.
- 8.4** Any intellectual property produced in the course of research or experimentation conducted in the course of implementation of an approved sub-project, whether these be products, techniques, copyright or services, will belong to the institution that sponsored and hosted the respective sub-project proposal. The **SECOND PARTY** may patent the property under the Patents, Copyright and Protection of Intellectual Property Act of the country.
- 8.5.** The **SECOND PARTY** may assign to the **THIRD PARTY** the responsibility of maintaining the scientific instruments procured under the sub-project. The **THIRD PARTY** may be allowed to earn revenues by providing analytical services with the help of the instruments. Such revenues must be spent in accordance with appropriate rules adopted by the university.

## Clause 9

### PENALTIES

- 9.1** In cases where disbursed **ATF** grants, or goods procured under the **ATF** grants for a sub-project are misappropriated by the **SECOND PARTY** and **THIRD PARTY** and/or if the **SECOND PARTY** and **THIRD PARTY** transfer amounts deposited in the **ATF** operating account maintained by them to a separate bank account, and/or withdraw fund from the **ATF** operating account and spend such fund for purposes not included in **ATF** sub-project proposal, then the **SECOND PARTY** and **THIRD PARTY** shall refund the entire such withdrawn/transferred fund to the designated account maintained by the **FIRST PARTY** without fail;

- 9.2 If the **SECOND PARTY** and **THIRD PARTY** do not comply with the provision mentioned above, then the **FIRST PARTY** shall take recourse to recover the misappropriated and/or transferred **ATF** fund, among others, by deducting such equivalent amount from any other fund earmarked for the **SECOND PARTY** and **THIRD PARTY** that is held by the **FIRST PARTY**.

## Clause 10

### SUSPENSION AND TERMINATION

- 10.1 This **Performance Contract** may be suspended or terminated prior to its stipulated expiry date in the following cases:
- (a) **THIRDPARTY** fails to comply fully with the provisions and regulations governing **ATF** sub-project implementation, the requirements of **GoB**'s financial management procedures and the terms and conditions of the **FA**, and/or responsibilities assigned under this **Performance Contract**. **FIRST PARTY**, based on the level of violation by **THIRD PARTY**, shall give a written decision on suspension or termination of this **Contract** before completion;
  - (b) If delay in the **ATF** sub-project implementation by **THIRD PARTY** due to unforeseen factors such as natural disaster, earthquakes, fires, flood, cyclone or any unexpected situations beyond human capacity, and these situations are certified to be the direct reasons for the delay or obstacle to the implementation of the sub-project and **THIRD PARTY** has tried alternatives to overcome these situations, the provisions and conditions regulated in this Clause may not be applied provided that **SECOND PARTY** should inform **FIRST PARTY** in writing, within seven days after the occurrence of such events, of the reasons and the applied alternatives, and should inform **FIRST PARTY** as soon as possible after the situation has returned to normal.

## Clause 11

### SETTLEMENT OF DISPUTES

- 11.1 Decision of **UGC** shall be final and binding upon the **SECOND PARTY** and **THIRD PARTY** for any dispute that may arise among the **THREE PARTIES** concerning the provisions of this **Performance Contract** or the *Operations Manual for ATF* during the implementation of sub-project.

## Clause 12

### OTHERS

- 12.1 The terms and conditions of this **Performance Contract** may be reviewed at the request of either **PARTY** after the start of implementation of the **ATF** sub-project. Any modifications of the contents of this **Performance Contract** must be agreed upon by all **PARTIES** and in writing;
- 12.2 Any provision relating to the sub-project implementation not covered by this **Performance Contract** shall be followed by the **PARTIES** in accordance with the existing law, rules and regulations in Bangladesh;
- 12.3 This **Performance Contract** will come into effect and will be considered legal and binding on all parties on the date of signing by the **THREE PARTIES**;



Attached to this **Performance Contract** are the approved sub-project proposal with its Annexes referred to in Clause 1 paragraph 1.1 (b) of this **Contract** and constitute an integral part of this **Contract**;

IN WITNESS WHEREOF the duly authorized representatives of the **PARTIES** hereby commit their signatures below on the day and year indicated in the preamble to this **Performance Contract**.

\_\_\_\_\_  
Name, signature and seal of the [FIRST PARTY]

\_\_\_\_\_  
Name, signature and seal of the authorized representative  
of the [SECOND PARTY]

\_\_\_\_\_  
Name, signature and seal  
of the Sub-Project Manager [THIRD PARTY]

**Witnesses**

- 1. \_\_\_\_\_
- 2. \_\_\_\_\_
- 3. \_\_\_\_\_
- 4. \_\_\_\_\_

**Approved Sub-project Proposal**

( ..... Title of Sub-project..... )

# HIGHER EDUCATION ACCELERATION AND TRANSFORMATION PROJECT

## FINANCIAL MANAGEMENT GUIDELINES AND FORMATS FOR ATF SUB-PROJECTS

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### Cash Book

DEBIT (Receipt)						CREDIT (Payment)					
Date	Voucher No	Particulars	Ledger Folio	Bank	Cash	Date	Voucher No	Particulars (With cheque No.)	Ledger Folio	Bank	Cash

## LEDGER

Item of Expenditure: .....

Economic Code: .....

Approved budget as per **SPP**

Amount received

Tk. ....

Tk. ....

Date	Voucher No.	Particulars	Folio No	Debit Tk.	Credit Tk.	Balance Tk.	Remarks
1	2	3	4	5	6	7	8

**Petty Cash Book**

Date	Particulars	Folio Page	Debit Taka	Credit Taka	Balance Taka	Remarks
1	2	3	4	5	6	7

### Cheque Book Register

Account No. -----

Date	Payee	Purpose (including CB page & voucher No.)	Check No.	Taka	Signature		Remarks
					(Issuing authority)	Receiver	
1	2	3	4	5	6	7	8



**Income Tax Register**

Date	Voucher no.	Receipts by deduction			Payment to Govt. Treasury			Remarks
		Name of Party	Description (Total amount & IT percentage)	IT Deducted Taka	Cheque No. /Advice No. /Cash	Chalan no. & date	Taka	
1	2	3	4	5	6	7	8	9

VAT Register

Date	Voucher no.	Receipts by deduction			Payment to Govt. Treasury			Remarks
		Name of Party	Description (Total amount & VAT percentage)	VAT Deducted Taka	Cheque No. /Advice No. /Cash	Chalan no. & date	Taka	
1	2	3	4	5	6	7	8	9

**Receipt of Fund and Payment of Eligible Expenditure**

Application No		Advance Received from HEAT PMU		Expenditure Documented Against Advance (Taka)	Balance Taka
Date	No.	Date	Taka	Submitted	
1	2	3	4	5	6

**Supplier's Register**

Name of Supplier:

Date	Particulars of Goods Supplied	Invoice Amount	Payments (Taka)					
			Deduction				Check No.& Date	Total
			VAT	Income Tax	Others	Total		
1	2	3	4	5	6	7	8	9

### Fixed Asset Register

Description of Assets:

Group:

Date of Purchase/ Sold	Invoice no.	Name and address	Voucher/ MR No.	Purchased		Sold/Write off		Balance		Location	Asset ID	Signature of receiver
				Quantity	Value Tk.	Quantity	Value Tk.	Quantity	Value Tk.			
1	2	3	4	5	6	7	8	9	10	11	12	13

### Payroll Register

Name:

Date of Joining:

Designation

Pay-scale

Date	Month	Salary & Allowances					Deductions						Net Payment	Signature
		Basic Pay	House Rent	Medical Allowance	Others	Gross	GPF	House Rent	Advances	Group Insurance	Benevolent Fund	Total Deductions		
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15

**Consultant's Remuneration Register**

Name of the Consultant:				Contract Celling:			Date of Contract		
Effectiveness:		Duration:							
Date	Month	Package No.	Gross Amount	Payments (Taka)					
				Deduction			Net Pay	Cheque/Advice No.& Date	Remarks
				VAT	Income Tax	Total			
1	3	4	5	6	7	8	9	10	11

**RECONCILIATION CERTIFICATE  
BANK HOLDINGS**

As on .....

CASH AT BANK:

Balance as per Bank Statement:

As on .....

Account no.	Amount Tk.
.....	.....

.....

Less: Cheque issued but not yet debited by bank:

Date	Voucher no.	Cheque/memo no.	Amount Tk.

Add: cheque deposited but not yet credited by bank:

Date	Voucher no.	Cheque no.	Amount Tk.

ACTUAL BANK BALANCE:

As on .....

.....

BALANCE AS PER CASH / BANK BOOK:

As on .....

Account no.	Sub-Total Tk.	Total Tk.
.....		.....

Less: debited entry to be posted next month

Sonali Bank not credited

-

Add: credit entry to be posted next month

-

ACTUAL BANK BALANCE:

As on .....

.....

--	--	--	--	--

Accounts and Finance Officer

Sub-project Manager



**UNIVERSITY ATF SECRETARIAT (UATFS)**

**Consolidated Financial Statement**

Name of Institution \_\_\_\_\_

For the Quarter: .....

(in Lakh Taka)

Particulars	Current Quarter			Year to Date			Cumulative to Date			Approved Budget of the Sub-project
	IDA	Others	TOTAL	IDA	Others	TOTAL	IDA	Others	TOTAL	
1	2	3	4	5	6	7	8	9	10	11
<b>Opening Bank Balance</b>										
<b>Add: Receipts</b>										
<b>Total Funds Available</b>										
<b>Less: Uses of Fund</b>										
1 Name of Sub-Project										
2 Name of Sub-Project										
3 Name of Sub-Project										
4 Name of Sub-Project										
5 Name of Sub-Project										
6										
7										
8										
9										
<b>Total Use of Funds</b>										
<b>Closing Balance</b>										

Signature.....

Head of UTHEFS/THEFMU

Name:

Date:

Signature .....

Vice-Chancellor

Name:.....

Date:.....

## Interim Unaudited Financial Report (IUFIR)

## 1A. Project Sources &amp; Uses of Funds

Particulars	Current Quarter (Amount in BDT)		Year To Date (Amount in BDT)		Cumulative To Date (Amount in BDT)	
	IDA	Total	IDA	Total	IDA	Total
<b>Opening Cash Balances</b>						
Designated Account						
<b>Opening Balance Total</b>						
<b>Add: Sources of Funds</b>						
IDA Funds						
<b>Total Fund Available</b>						
<b>Less: Uses of Funds</b>						
g) Institutional Grants for Parts 1.1(c), 1.1 (d)(i) and 1.2 (b)						
h) Competitive Grants for Part 2.2 (c)						
<b>Use of Fund Total</b>						
<b>Closing Balance Total</b>						
DA Bank Balance						
Advance at Petty cash						
<b>Total Fund Available</b>						

**1B. Uses of Funds by Project Activity**

Project Activities	Actual (BDT)			Planned (BDT)			Variance (BDT)			Sub-Project approved Budget
	Current Quarter	Year-To-Date	Cumulative To-Date	Current Quarter	Year-To-Date	Cumulative To-Date	Current Quarter	Year-To-Date	Cumulative To-Date	
Component-1: South-Asian Harmonious area for Research and Education										
Component-2: Transforming Higher education in Bangladesh										
<b>Total</b>										

**1C. Project Cash Withdrawals (Actual Disbursements)**

Amount in BDT

Category No.	Category Description	Eligible Expenditure					
		For the Quarter			Cumulative to Date		
		Paid from OP	Paid from DP/SC	Total	Paid from DA	Paid from DP/SC	Total
2 (a)	Institutional Grants for Parts 1.1 (c) (i), 1.1 (d) (i) and 1.2 (b) of the Project						
2 (b)	Competitive Grans for Part 2.2 (c) of the Project						
<b>TOTAL</b>							

**1D. Operating Account Activity Statement**

Amount in BDT

SL No.	Description	Amount	Total Amount
<b>Part I</b>			
1	Cumulative advances to end of current reporting quarter from		
2	Less: Cumulative expenditures to end of last reporting quarter		
3	<b>Outstanding Advances to be accounted</b>		
<b>Part II</b>			
4	Opening DA Balance as at beginning of the disbursement period		
	Add/Subtract: Cumulative Adjustments (if any)		
5	Add: Advance during the quarter		
6	<b>Sub Total of Advances and Adjustments</b>		
7	Less: Refund from DA during the quarter		
8	<b>Outstanding Advances to be accounted</b>		
<b>IUFRs</b>			
9	Closing DA Balance at the end of current disbursement period		
10	Add/Subtract: Cumulative Adjustments (if any)		
11	Add: Amount of eligible expenditures for current reporting period		
	a) Institutional Grants for Parts 1.1(c), 1.1 (d)(i) and 1.2 (b)		
	b) Competitive Grants for Part 2.2 (c)		
12	<b>Sub Total of Adjustments and Expenditure</b>		
	<b>Add: Petty Cash Advance</b>		
13	<b>Total Advance accounted for</b>		

FMR (Part 2)

Form 2-A

### Eligible Expenditures Documentation Report

For the Quarter:-----

Sub-Project Title:

Name of Institution:

SPP No.

Sl. No	Description	Eligible Expenditures Documented in BDT		
		Current Quarter	Current Financial Year	Since inception of Sub-Project
1	Statement of Expenditures (SOE): Subject to prior Review (Form 2B Page--- to -----)	-		
2	Statement of Expenditures (SOE): Not Subject to prior Review (Form 2C Page--- to -----)			
Total		-	-	-

Countersigned by

Head of the Entity  
(Name of University)

Sub-Project Manager  
(Title of Sub-Project)

Form 2-B (For Public University)

**Statement of Expenditures (SOE): Subject to Prior Review**

For the Quarter: -----

**Sub-Project Title:**

**Name of Institution:**

**SPP No.**

Figure in BDT

Sl. No	Description	Contract No & Date	Package No	Selection Method	Contractor's Name	Contract Currency	Contract Value	Amount Invoiced	Invoice No & Date	Amount Paid from OA	Contract Balance Carried Forward
1	2	3	4	5	6	7	8	9	10	11	12
<b>Total</b>							-	-	-	-	-

Countersigned by

Head of the Entity  
(Name of University)

Sub-Project Manager  
(Title of Sub-Project)

## World Bank Guidelines for Combating and Preventing Fraud and Corruption in Projects

### Purpose and General Principles

1. These Guidelines are designed to prevent and combat fraud and corruption that may occur in connection with the use of proceeds of financing from the International Bank for Reconstruction and Development (IBRD) or the International Development Association (IDA) during the preparation and/or implementation of IBRD/IDA-financed investment projects. They set out the general principles, requirements and sanctions applicable to persons and entities which receive, are responsible for the deposit or transfer of, or take or influence decisions regarding the use of, such proceeds.
2. All persons and entities referred to in paragraph 1 above must observe the highest standard of ethics. Specifically, all such persons and entities must take all appropriate measures to prevent and combat fraud and corruption, and refrain from engaging in, fraud and corruption in connection with the use of the proceeds of IBRD or IDA financing.

### Legal Considerations

3. The Loan Agreement<sup>13</sup> providing for a Loan<sup>4</sup> governs the legal relationships between the Borrower<sup>5</sup> and the Bank<sup>6</sup> with respect to the particular project for which the Loan is made. The responsibility for the implementation of the project<sup>7</sup> under the Loan Agreement, including the use of Loan proceeds, rests with the Borrower. The Bank, for its part, has a fiduciary duty under its Articles of Agreement to “make arrangements to ensure that the proceeds of any loan are used only for the purposes for which the loan was granted, with due attention to considerations of economy and efficiency and without regard to political or other non-economic influences or considerations.”<sup>8</sup> These Guidelines constitute an important element of those arrangements and are made applicable to the preparation and implementation of the project as provided in the Loan Agreement.

### Scope of Application

4. The following provisions of these Guidelines cover fraud and corruption that may occur in connection with the use of Loan proceeds during the preparation and implementation of a project financed, in whole or in part, by the Bank. These Guidelines cover fraud and corruption in the direct diversion of

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<sup>3</sup> References in these Guidelines to “Loan Agreement” include any Guarantee Agreement providing for a guarantee by the Member Country of an IBRD Loan, Financing Agreement providing for an IDA Credit or IDA Grant, agreement providing for a project preparation advance, or Institutional Development Fund (IDF) Grant, Trust Fund Grant Agreement providing for a recipient-executed trust fund Grant in cases where these Guidelines are made applicable to such agreement, and the Project Agreement with a Project Implementing Entity related to an IBRD loan or IDA credit or grant.

<sup>4</sup> References to “Loans” include IBRD loans as well as IDA credits and grants, project preparation advances, IDF grants and recipient-executed trust fund grants for projects to which these Guidelines are made applicable under the agreement providing for such grant, but excludes development policy lending, unless the Bank agrees with the Borrower on specified purposes for which loan proceeds may be used.

<sup>5</sup> References in these Guidelines to the “Borrower” include the recipient of a grant. In some cases, an IBRD Loan may be made to an entity other than the Member Country. In such cases, references in these Guidelines to “Borrower” include the Member Country as Guarantor of the Loan, unless the context requires otherwise. In some cases, the project, or a part of the project, is carried out by a Project Implementing Entity with which the Bank has entered into a Project Agreement. In such cases, references in these Guidelines to the “Borrower” include the Project Implementing Entity, as defined in the Loan Agreement.

<sup>6</sup> References in these Guidelines to the “Bank” include both IBRD and IDA.

<sup>7</sup> References in these Guidelines to the “project” means the Project as defined in the Loan Agreement.

<sup>8</sup> IBRD’s Articles of Agreement, Article III, Section 5(b); IDA’s Articles of Agreement, Article V, Section 1(g).



Loan proceeds for ineligible expenditures, as well as fraud and corruption engaged in for the purpose of influencing any decision as to the use of Loan proceeds. All such fraud and corruption is deemed, for purposes of these Guidelines, to occur “in connection with the use of Loan proceeds”.

5. These Guidelines apply to the Borrower and other all persons or entities which either receive Loan proceeds for their own use (e.g., “end users”), persons or entities such as fiscal agents which are responsible for the deposit or transfer of Loan proceeds (whether or not they are beneficiaries of such proceeds), and persons or entities which take or influence decisions regarding the use of Loan proceeds. All such persons and entities are referred to in these Guidelines as “recipients of Loan proceeds”, whether or not they are in physical possession of such proceeds.<sup>9</sup>
6. The Bank’s specific policy requirements on fraud and corruption in connection with the procurement or execution of contracts for goods, works or services financed out of the proceeds of a Loan from the Bank, are covered in the *Guidelines: Procurement under IBRD Loans and IDA Credits*, May 2004, as revised October 2006 (“Procurement Guidelines”) and the *Guidelines: the Selection and Employment of Consultants by World Bank Borrowers*, May 2004, as revised October 2006 (“Consultant Guidelines”). For ease of reference, the relevant sections of the Procurement Guidelines and Consultant Guidelines are set forth in the Annex to these Guidelines.

### **Definitions of Practices Constituting Fraud and Corruption**

7. These Guidelines address the following defined practices when engaged in by recipients of Loan proceeds in connection with the use of such proceeds:<sup>10</sup>
  - A “corrupt practice” is the offering, giving, receiving or soliciting, directly or indirectly, of anything of value to influence improperly the actions of another party.<sup>11</sup>
  - A “fraudulent practice” is any act or omission, including a misrepresentation, that knowingly or recklessly<sup>12</sup> misleads, or attempts to mislead, a party to obtain a financial or other benefit or to avoid an obligation.
  - A “collusive practice” is an arrangement between two or more parties designed to achieve an improper purpose, including to influence improperly the actions of another party.
  - A “coercive practice” is impairing or harming, or threatening to impair or harm, directly or indirectly, any party or the property of the party to influence improperly the actions of a party.
  - An “obstructive practice” is (i) deliberately destroying, falsifying, altering or concealing of evidence material to the investigation or making false statements to investigators in order to materially impede a Bank investigation into allegations of a corrupt, fraudulent, coercive or collusive practice; and/or threatening, harassing or intimidating any party to prevent it from disclosing its knowledge of matters relevant to the investigation or from pursuing the investigation, or (ii) acts intended to materially impede the exercise of the Bank’s contractual rights of audit or access to information.<sup>13</sup>
1. The above practices, as so defined, are sometimes referred to collectively in these Guidelines as “fraud and corruption”.

### **Borrower Actions to Prevent and Combat Fraud and**

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<sup>9</sup> Certain persons or entities may fall under more than one category identified in paragraph 5. A financial intermediary, for example, may receive payment for its services, will transfer funds to end users and will make or influence decisions regarding the use of loan proceeds.

<sup>10</sup> Unless otherwise specified in the Loan Agreement, whenever these terms are used in the Loan Agreement, including in the applicable General Conditions, they have the meanings set out in paragraph 7 of these Guidelines.

<sup>11</sup> Typical examples of corrupt practice include bribery and “kickbacks”.

<sup>12</sup> To act “knowingly or recklessly”, the fraudulent actor must either know that the information or impression being conveyed is false, or be recklessly indifferent as to whether it is true or false. Mere inaccuracy in such information or impression, committed through simple negligence, is not enough to constitute fraudulent practice.

<sup>13</sup> Such rights include those provided for, *inter alia*, in paragraph 9(d) below.

## **Corruption in connection with the Use of Loan Proceeds**

9. In furtherance of the above-stated purpose and general principles, the Borrower will:
- (a) take all appropriate measures to prevent corrupt, fraudulent, collusive, coercive and obstructive practices in connection with the use of Loan proceeds, including (but not limited to) (i) adopting appropriate fiduciary and administrative practices and institutional arrangements to ensure that the proceeds of the Loan are used only for the purposes for which the Loan was granted, and (ii) ensuring that all of its representatives<sup>14</sup> involved with the project, and all recipients of Loan proceeds with which it enters into an agreement related to the Project, receive a copy of these Guidelines and are made aware of its contents;
  - (b) immediately report to the Bank any allegations of fraud and corruption in connection with the use of Loan proceeds that come to its attention;
  - (c) if the Bank determines that any person or entity referred to in (a) above has engaged in corrupt, fraudulent, collusive, coercive or obstructive practices in connection with the use of Loan proceeds, take timely and appropriate action, satisfactory to the Bank, to address such practices when they occur;
  - (d) include such provisions in its agreements with each recipient of Loan proceeds as the Bank may require to give full effect to these Guidelines, including (but not limited to) provisions (i) requiring such recipient to abide by paragraph 10 of these Guidelines, (ii) requiring such recipient to permit the Bank to inspect all of their accounts and records and other documents relating to the project required to be maintained pursuant to the Loan Agreement and to have them audited by, or on behalf of, the Bank, (iii) providing for the early termination or suspension by the Borrower of the agreement if such recipient is declared ineligible by the Bank under paragraph 11 below; and (iv) requiring restitution by such recipient of any amount of the loan with respect to which fraud and corruption has occurred;
  - (e) cooperate fully with representatives of the Bank in any investigation into allegations of fraud and corruption in connection with the use of loan proceeds; and
  - (f) in the event that the Bank declares any recipient of Loan proceeds ineligible as described in paragraph 11 below, take all necessary and appropriate action to give full effect to such declaration by, among other things, (i) exercising the Borrower's right to terminate early or suspend the agreement between the Borrower and such recipient and/or (ii) seeking restitution.

## **Other Recipients of Loan Proceeds**

10. In furtherance of the above-stated purpose and general principles, each recipient of Loan proceeds which enters into an agreement with the Borrower (or with another recipient of Loan proceeds) relating to the Project will:
- (a) carry out its project-related activities in accordance with the above-stated general principles and the provisions of its agreement with the Borrower referred to in paragraph 9 (d) above; and include similar provisions in any agreements related to the Project into which it may enter with other recipients of Loan proceeds;
  - (b) immediately report to the Bank any allegations of fraud and corruption in connection with the use of loan proceeds that come to its attention;
  - (c) cooperate fully with representatives of the Bank in any investigation into allegations of fraud and corruption in connection with the use of loan proceeds;
  - (d) take all appropriate measures to prevent corrupt, fraudulent, collusive, coercive and obstructive practices by its representatives (if any) in connection with the use of loan proceeds, including (but not limited to): (i) adopting appropriate fiduciary and administrative practices and

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<sup>14</sup>References in these Guidelines to "representatives" of an entity also include its officials, officers, employees and agents.

- institutional arrangements to ensure that the proceeds of the loan are used only for the purposes for which the loan was granted, and (ii) ensuring that all its representatives receive a copy of these Guidelines and are made aware of its contents;
- (e) in the event that any representative of such recipient is declared ineligible as described in paragraph 11 below, take all necessary and appropriate action to give full effect to such declaration by, among other things, either removing such representative from all duties and responsibilities in connection with the project or, when requested by the Bank or otherwise appropriate, terminating its contractual relationship with such representative; and
  - (f) in the event that it has entered into a project-related agreement with another person or entity which is declared ineligible as described in paragraph 11 below, take all necessary and appropriate action to give full effect to such declaration by, among other things, (i) exercising its right to terminate early or suspend such agreement and/or (ii) seeking restitution.

### **Sanctions and Related Actions by the Bank in Cases of Fraud and Corruption**

11. In furtherance of the above-stated purpose and general principles, the Bank will have the right to take the following actions:
- (a) sanction any recipient of Loan proceeds<sup>15</sup> other than the Member Country<sup>16</sup> (and/or, if such recipient is an entity rather than a natural person, any of its representatives); sanctions include (but are not limited to) declaring such person or entity ineligible to receive the proceeds of any loan made by the Bank or otherwise to participate further in the preparation or implementation of the project or any other project financed, in whole or in part, by the Bank, if at any time the Bank determines<sup>17</sup> that such person or entity has engaged in corrupt, fraudulent, collusive, coercive or obstructive practices in connection with the use of loan proceeds;<sup>18</sup>
  - (b) if the Bank determines that any such recipient of Loan proceeds is also a potential provider of goods, works or services, declare it ineligible under paragraph 1.8 (d) of the Procurement Guidelines or paragraph 1.11 (e) of the Consultant Guidelines (as appropriate); and
  - (c) declare a firm, consultant or individual ineligible under paragraph 11 (a) above if such firm, consultant or individual has been declared ineligible under paragraph 1.14 of the Procurement Guidelines or under paragraph 1.22 of the Consultant Guidelines.

The Loan Agreement provides the Bank with certain rights and remedies which it may exercise with respect to the Loan in the event of fraud and corruption in connection with the use of Loan proceeds, in the circumstances described therein.

### **Miscellaneous**

12. The provisions of these Guidelines do not limit any other rights, remedies<sup>19</sup> or obligations of the Bank

---

<sup>15</sup> As in the case for bidders in the procurement context, the Bank may also sanction persons and entities which engage in fraud or corruption in the course of applying to become a recipient of Loan proceeds (e.g., a bank which provides false documentation so as to qualify as a financial intermediary in a Bank-financed project) irrespective of whether they are successful.

<sup>16</sup> Member Country includes officials and employees of the national government or of any of its political or administrative subdivisions, and government owned enterprises and agencies that are not eligible to bid under paragraph 1.8(b) of the Procurement Guidelines or participate under paragraph 1.11(b) of the Consultant Guidelines.

<sup>17</sup> The Bank has established a Sanctions Board, and related procedures, for the purpose of making such determinations. The procedures of the Sanctions Board sets forth the full set of sanctions available to the Bank.

<sup>18</sup> The sanction may, without limitation, also include restitution of any amount of the loan with respect to which sanctionable conduct has occurred. The Bank may publish the identity of any entity declared ineligible under paragraph 11.

<sup>19</sup> The Loan Agreement provides the Bank with certain rights and remedies which it may exercise with respect to the Loan in the event of fraud and corruption in connection with the use of Loan proceeds, in the circumstances described therein.

**University Grants Commission of Bangladesh  
Higher Education Acceleration and Transformation Project  
Academic Transformation Fund**

**Quarterly Financial Report Format**

Reporting Quarter.....

1. a) Sub-project Title: .....
- b) Discipline/Subject: .....
- c) Sub-project Implementing Entity: .....
- d) Duration of Sub-project.....
- e) Date of Commencement of Sub-project.....
- d) University: .....

2. **Quarterly Financial Progress:**

(in Lakh Taka)

Head	Fund Received for the Quarter	Expenditure for the Quarter	Current Year's Expenditure	CD-VAT
	Taka	Taka	Taka	
Revenue				
Capital				
<b>Grand Total</b>				

3. Quarterly Activity-wise Progress\*

3.1 Sub-project Title:.....

3.2 Quarterly Activity-wise Progress:

( in Lakh Taka)

Sl. No	Name of the Activity	Unit	Cumulative Progress at the Beginning of Quarter			Target in current quarter			Progress in Current Quarter			Cumulative Progress at the End of Quarter			Remarks
			Physical		Financial	Physical		Financial	Physical		Financial	Physical		Financial	
			Qty	%		Qty	%		Qty	%		Qty	%		
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
	Total														

\*Column 2 can be extended to include all activities/components

4. Implementation Problems and Suggested Measures

4.1 Sub-project Title: .....

4.2 Implementation Problems:

Problem Number	Problem Type	Description of Problem (s)
1.	Appointment/Hiring of Provisional Staff	
2.	Establishment of Sub-project Management Organization	
3.	Training	
4.	Procurement	
5.	Management	
6.	Fund Allocation/Release	
7.	Others (specify)	

**4.3 Suggested Measures for Improvement: (In brief and specific)**

Problem Number	Measures Suggested
1.	
2.	
3.	
4.	
5.	
6.	
7.	
None	

4.4 Is the sub-project declared completed

Yes

No

Sub-Project Manager

Signature \_\_\_\_\_

Date \_\_\_\_\_

Head of the Entity

Signature \_\_\_\_\_

Date \_\_\_\_\_

**University Grants Commission of Bangladesh**  
**Higher Education Quality Enhancement Project**  
**Academic Transformation Fund**

**Six-Monthly Monitoring Report Format**

Reporting period: .....

**01. Name and Details of the Sub-Project**

Name of the sub-project	
Sub-project Number(SPP-Number):	
Window	
Name of the Sub-project Manager with position in the entity	
Implementing Unit [Department/ Faculty/Center/Institute/University]	
Name of University	
Collaborative sub-project or Not: Yes/No	If yes, Please mention the name of partner University/Entity
Sub-project Starting/Inception Date:	Completion Date: Original Date: Revised Date (if):

**02. Name and Details of Internal/provisional staff/consultants included/hired in the Sub-project Management Unit**

Nº of Internal Staff*	Nº of Students (if any)	Nº of Consultants***	Full Time (how many out of total staff)	Part time (how many out of total staff)	Nº of Provisional Staff**
Name of Internal Staff	Designation (In the Entity)	Hiring Date (In the sub-project)	Type of Contract (Lump sum=1; Daily Basis= 2; Monthly=3; Others)	Duration (Months)	Expected Total Cost (Lakh Taka)

Name of Provisional Staff	Designation	Hiring Date	Type of Contract	Duration (Months)	Expected Cost (Lakh Taka)

\*Academics engaged in sub-project management and included in SPMT

\*\* Support staff recruited temporarily to provide secretarial service to sub-project management e.g., accountant, office secretary, data-entry operator, MLSS etc.

\*\*\* Experts appointed following relevant provisions of PPR 2008 or WB Procurement Regulations.

**03. Summary of the Activities [According to the proposal]**

**04. Description of the Progress so far according to Work/Activity plan**



**05. Description of implementation issues/impediments/ Challenges [Issues that may hamper implementation]**

--

**06. Update on Milestone status**

Milestone	Expectation in Reporting date	Progress in Reporting date	Revised Expected Date	Comment/Justification

*Note: Copy Milestones from respective ISM's/SPM's Table 1 of Final SPP.*

**07. Update on Performance Indicators to Evaluate Sub-project Impact**

Indicators	Calculation method	verification methods	Calculation of Base Value	Baseline Value in Year 2023	Desired Standard on Terminal Year.....	Present Value as on .....

*Note: Copy 1<sup>st</sup> 6 Columns from respective ISM's/SPM's Table 2 of Final SPP.*

**08. Fund utilization**

Description	Amount
Total Budget of the Sub-project (Tk. In million)	
Fund Received up to reporting Date (Tk. In million)	
Fund Utilized (Tk. In million)	
Percentage (%) of Received Fund Against Total Budget of the Sub-project	
Percentage (%) of Utilized Fund Against Total Budget of the Sub-project	

**09. Comments**

**10.**

**11.**

**12. Declaration**

All the information provided above are true and correct. I, as the sub-project manager, have filled up the form and agree to remain responsible for any misinformation. I also ensure that all the sections of the forms are filled up.

Signature: .....

Name of Sub Project Manager: .....

Name of the Sub-Project: .....

Name of Entity/University.....

Date: .....

**Higher Education Quality Enhancement Project  
University Grants Commission of Bangladesh**

**Half-Yearly Status Report Format for UATFS**

Name of University:-----

Reporting Time:-----July/December-----

SPP No.	Name of SPM	Contract Amount (in lakh Taka)	Cumulative amount received (in lakh Taka)	Cumulative amount spent (in lakh Taka)	Procurement status as on: 30 July/ 31 December, 2024/25						Status of Project completion report (PCR, if applicable)	Remarks
					Goods		Works		Services			
					Total no. of packages in the procurement plan	No. of packages completed	Total no. of packages in the procurement plan	No. of packages completed	Total no. of packages in the procurement plan	No. of packages completed		

Signature of Head UATFS

Date

Seal

**Higher Education Acceleration and Transformation Project  
Academic Transformation Fund (ATF)**

**SUB-PROJECT COMPLETION REPORT FORMAT**

SPP No: .....

**A. SUB-PROJECT DESCRIPTION:**

01. Name of the Sub-Project / SPP No.	
02. University (Name, Address, Location, Website)	
03. Executing Entity (Department/Faculty/Institute/Center/University)	

**04. Objectives of the Sub-Project:**

<b>4.1 General Objectives of the Sub-project</b>
<b>4.2 Specific Objectives of the Sub-project</b>

**05. Sub-Project Budget:**

(In lakh Taka)

	Original	Latest Revised
(a) Total		
(b) ATF Grant		
(d) Other Fund ( )		

**06. Date of Contract Signing and Revising Plan**

(a) Original <b>SPP</b>	
(b) Latest Revised Plan	

**07. Implementation Period:**

	Date of Commencement (dd/mm/yyyy)	Date of Completion (dd/mm/yyyy)
(a) Original <b>SPP</b>		
(b) Latest Revised		
(c) Actual		

**B. IMPLEMENTATION POSITION****01. Implementation Period:**

Implementation Period (in number of months)			Time Over-run	Reasons for Extension of Project Period / Delayed Completion
Original <b>SPP</b>	Latest Revised	Actual		
1	2	3	4 = 3 - 1	5
XX months	XX months	XX months	XX month	

**02. Cost of the Sub-Project (Source-wise):****(In lakh Taka)**

Source (s)	Budget Amount (as per the original SPP)	Budget Amount (as per latest revised SPP)	Disbursed Amount	Actual Expenditure	Remarks/ Reasons for Cost Over-run/ Reappropriation/Und erutilization
	(a)	(b)	(c)	(d)	(e)
ATF Grant					
Other Fund ( )					

**03. Information regarding Project Management Team:**

Names of Project Staff	Position in the Entity	Position in the Sub- Project	Full / Part time	Dates of (dd/mm/yyyy)		Remarks
				Joining the project	Leaving the project	
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>

**04. Procurement of Goods, Works and Consultancy Services:**

**04.1 Procurement of Goods and Works of the Project:**

Package No.	Description of Goods / Services	Price (in Lakh Taka)		Completion Date of Works/Supply of Goods		Description of Issues / Challenges (e.g., delays, cost over-run, management, etc.)
		As per the original SPP	Actual Contract	As per the original SPP	Actual completion	
1	2	3	4	7	8	9

**04.2 Procurement of Consultancy Services:**

Package No.	Description of Consultancy	Price (in Lakh Taka)		Man Months		Description of Issues / Challenges (e.g., delays, cost over-run, management, etc.)
		As per the original SPP	Actual Contract	As per the original SPP	Actual completion	
1	2	3	4	5	6	7
a)	Foreign Consultants					
b)	Local Consultants					

**05. Equipment and Facilities:**

**05.01. Number of Procured Equipment & Machineries:**

Description of Equipment	As per the original SPP	Actual	Remarks
1	2	3	7
<b>(a) ICT Equipment</b>			
1. Desktop Computers			
2. Laptop Computers			
3. Server Computers			
4. Multimedia Projectors			
5. Interactive boards			
6. Cameras (SLR/Video etc.)			
7. LED/LCD Television			
5. Printers			

6. Scanner			
7. Photocopier			
8. Specialized Computer Software			
9. High speed broadband internet connection			
10. Router/Wifi system			
11. Others, specify:			
<b>(b) Major Laboratory/Engineering/Medical/Agricultural Equipment</b> <i>Please specify key items</i>			
1.			
2.			
3.			
<b>(c) Library Materials</b>			
1. Books			
2. Journals			
3. Online journal subscription			
4. Others, specify:			
4. Others, specify:			

Note: The PCR must be attached with a certificate from the Head of the Entity/VC regarding transfer of, i) fixed assets including a list of items; ii) books of account (registers, ledgers, cash books, etc.); & iii) purchase documents, vouchers etc.

**05.02. Number of Established / Renovated Facilities:**

Description of Facilities	Newly Established		Upgraded/Refurbished		Remarks
	As per the original SPP	Actual	As per the original SPP	Actual	
1. Classrooms					
2. Conference Rooms					
3. Lecture Theaters					
4. Auditorium					
3. Computer Labs					
4. Language Labs					
5. Laboratories					
6. Libraries					
7. Others, specify:					

**06. Description of Updated/Created/New Courses, Curricula, and Syllabus**

Subject and Title of Courses/Curricula/Syllabus	Remarks (description of contents, revisions and approval status)
1.	
2.	
3.	

7. Training/ Study Tour / Workshop / Seminar/ Conference Organized by the Sub-Project:

Titles and Description of Training /Study tour/Workshop/Seminar/conference	As per the original SPP		Actual		Remarks
	Number of participants	Duration (in days/ weeks/ months)	Number of participants	Duration (in days/weeks/ months)	
1	2	3	4	5	6
<b>(a) Overseas Training</b>					
<b>(b) In-Country Training</b>					
<b>(c) Study tour</b>					
<b>(d) Workshop/seminar</b>					
<b>(e) Conference (please mention national or international)</b>					

08. URL of University/Departmental/Sub-project Website Developed under the Sub-Project

URL	Remarks



**C. FINANCIAL AND PHYSICAL PROGRESS :**

**01. Allocation and Progress:**  
Taka)

**(In Lakh**

Financial	Allocation and Target according to the original SPP				Disbursed fund	Actual Expenditure & Physical Progress			
	Total	ATF		Physical %		Total	ATF		Physical %
Year (Qtrly)	2	3	4	5	6	7	8	9	10
1									
Y-1, Q-1									
Y-1, Q-2									
<b>Total (2024-25)</b>									
Y-2, Q-3									
Y-2, Q-4									
Y-2, Q-5									
Y-2, Q-6									
<b>Total (2025-26)</b>									
Y-3, Q-7									
Y-2, Q-8									
Y-2, Q-9									
Y-2, Q-10									
<b>Total (2026-27)</b>									
<b>Total for the Sub-Project Life</b>									

**02. Total Component-wise Expenditure (Please follow the detailed budget items annexed to the SPP):**

**(In lakh Taka)**

Economic Code	Items of Expenditure/Activities	Budget Allocation (as per the original SPP)	Actual Expenditure	Reasons for deviation (±)
	<b>1</b>	<b>3</b>	<b>5</b>	<b>7</b>
<b>(A) Revenue Expenditure</b>				
	Pay of Officer			
	Pay of Staff			
	<i>Supplies &amp; Services</i>			
	Travel Expenses			

	Website development & maintenance			
	Publication on Research Findings			
	Printing & Stationary			
	Financial Support & Allowances			
	Books & Journals for SPM/ISM Office			
	Advertising & Publicity			
	Training & Study Tour			
	Conference/Seminar/Workshop			
	Chemicals/Reagent etc			
	Consulting Services			
	Incentives for sub-project MT			
	Survey			
	Other Expenses			
	<b>Total Supply &amp; Services (4800)</b>			
	R/M: Refurbishment/Renovation			
<b>(A) Total Revenue Expenditure (4500+4600+4800+4900)</b>				
<b>(B) Capital Expenditure</b>				
	<i>Acquisition of Assets</i>			
	Motor Vehicle			
	Machinery & Other Equipment			
	Engineering Equipment			
	Computer & Accessories			
	Computer Software			
	Office Equipment			
	Teaching & Learning Materials			
	Furniture & Fixtures			
	Laboratory Equipment/Instrument			
	Electrical Equipment			
	<b>Total Acquisition of Assets (6800)</b>			
	<i>Misc. Capital Expenditure</i>			
	CD VAT for Capital Expenditure			
	Other Capital Expenditure			

	<i>Total Misc. Capital Expenditure (7900)</i>			
<b>(B) Total Capital Expenditure (6800+7900)</b>				
<b>Total Cost (A+B)</b>				
<b>(C) Operational Cost</b>				
<b>Total Sub-Project Cost (A+B+C)</b>				

#### D. ACHIEVEMENT OF OBJECTIVES OF THE SUB-PROJECT

##### 01. Achievement of Sub-Project Objectives

Specific Objectives as per the original SPP	Status(% Achieved)	Description of Achievements Made	Reasons for shortfall, if any

##### 02. Milestone Achievement

	Milestones as per the original SPP	Status (% Achieved)	Reasons for Underachievement, if any
1			
2			
3			
4			

##### 03. Performance Indicators

	Indicators as per the original SPP	Baseline Value as per SPP	Target Value as per SPP	Current Standard at Project End	Reasons for Differences, if any
1					
2					
3					
4					

## E. BENEFIT ANALYSIS

### 01. Beneficiaries

#### 01.1 Direct Beneficiaries

Beneficiary	Number of current beneficiaries	Cumulative total of beneficiaries during the project period	Description of Benefits
	(a)	(b)	(c)
<b>a) Students:</b>			
Undergraduate			
M.S/ M.Sc.			
MPhil & PhD			
<b>b) Faculty Members:</b>			
Academic staff			
Non-academic staff			
<b>c) Others:</b> <i>please specify</i>			

#### 01.2 Indirect Beneficiaries

Beneficiary	Number of current beneficiaries	Cumulative total of beneficiaries during the project period	Description of Benefits
	(a)	(b)	(c)

\* Indirect beneficiaries may include faculty members, students, community members, or industry personnel who are not directly involved in the sub-project, but are benefited from the sub-project's investment.

#### 02. Enrollment of Postgraduate Students in the Department(s) under the Sub-Project

	Students Currently Enrolled	Students Completed the Degree during the Sub-Project	Remarks
Master's			
MPhil			
PhD			

**03. Publications made under the Sub-Project**

Publication	Number of Publication		Remarks (e.g., paper title, conference name, etc.)
	In preparation	Completed / Published during Sub-Project	
Master's Thesis			
PhD Dissertations			
Journal Publications			
Other Articles			
Academic Conference/Seminar/Workshop Proceedings			
Academic Conference Presentations			
Books			
Other, <i>please specify:</i>			

**04. University-Industry Collaborations / University-University Collaborations Established related to the Sub-Project**

Description of Collaborations (types and forms of collaborations)	Name of Partners	Purposes and Achievements of the Collaboration
<b>a) Collaboration with other Universities or Researchers</b>		
<b>b) Collaboration with Industry and Practitioners</b>		

**05. Impacts of the Sub-Project**

*Please describe the impacts of the sub-project, includes much quantitative figures and real-life stories as possible, avoiding general statements*

**05.01. Impacts on Teaching and Learning**

**05.02. Impacts on Research Works**

**05.03. Impacts on Students' Job Placement**

05.04 Notable Research Outcomes & Invented Products (Please mention if the research outcome is an engineering or electronic or electrical technology, design, tool, device or agricultural instrument or farm machinery, pharmaceutical product, e.g., drug, vaccine etc.)

**06 Intellectual Property and Technology Transferred**

06.01 Intellectual Property (Please mention if the sub-project has created any intellectual property and secured its ownership rights by patenting or acquiring copyright).

06.02 Technology Transferred/Licensed/Commercialized (Please mention if the sub-project has transferred any technology innovated by a Window 3 (research), Window 4 (university-industry collaborative research) and TTO sub-project to an industry, or licensed it to a business firm for commercialization. Also please mention if the sub-project facilitated to start up a business venture by a faculty of the university).

**F. MONITORING AND AUDITING**

**01. Monitoring Visits:**

<b>Name of the Officials</b>	<b>Agencies of the Officials</b>	<b>Date of Monitoring Visit</b>	<b>Remarks</b>
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>

## 02. Auditing during and after Implementation:

### 2.1. Internal Audit:

Auditor	Audit Period	Date of Audit	Major findings/objections	How objections were resolved
1	2	3	4	5

### 2.2. External Audit:

Auditor	Audit period	Date of Audit	Major findings/Objections	How Objections were resolved
1	2	3	4	5

## G. DESCRIPTIVE REPORT

### 1. Analysis of the Post-Implementation situation and result of the sub-project

	Particulars of Item	Remarks
1	Impact of the sub-project	
1.1	Direct	•
1.2	Indirect	•
2	Plans for future utilization of facilities created by the sub-project	
3	Operation and maintenance of facilities and equipment procured/established by the sub-project	
4	Challenges in the sustainability of facilities and equipment created by the sub-project	
5	Innovative technologies created under the project and potentiality of technology transfer and patenting	
6	Possibility of further development and application of research outputs to practical use and/or commercialization	
7	Further collaboration with other universities and industries and government entities (please specify the areas of possible collaboration)	
8	Potential future impact on Socio-Economic activity and poverty reduction in Bangladesh	

9	Impact on management and governance of the entity	
10	Impact on quality assurance	
11	Impact on environment (soil, air, water, biodiversity, etc)	
12	Other noteworthy impact on the entity (department, university)	

## 2. Problems encountered during Implementation

	Items	Remarks(Please use separate rows for each problem)
1	Sub-project Management (Financial management, Procurement execution)	
2	Project Director/ATF unit/Procurement unit HEATPIU	
3	Environmental Hazards	
	Support from University/Department Authority	
5	Consultancy	
6	Contractor	
7	Manpower for SPMT	
8	Law & Order, Political Interference	
9	Tender Process (e.g. tender box snatching)	
9	Natural Calamity (e.g. flood, cyclone, fire, earthquake)	
10	Project Financing, Allocation and Release	
11	Design Formulation and Approval	
12	Project Fund Disbursement	
13	Mission of the development partners.	
14	Time & Cost Over-run	
15	Project Supervision/Inspection	
16	Delay in Decision-making	
17	Transport	
18	Training	
19	Approval Procedure	
20	Others	

## 3. Recommendations of the SPM/ISM:

Date: .....

\_\_\_\_\_  
Signature and seal of the SPM/ISM



4. Remarks/Comments of Head of Entity

Date: .....

\_\_\_\_\_  
Signature and Seal of Head of Entity

**Pictures of the sub-project (before and after implementation pictures, instruments purchased, refurbished labs, research results, facilities built, workshop, training etc) (Please use jpeg format for copying photos):**

**University Grants Commission of Bangladesh**  
**Higher Education Acceleration and Transformation Project (HEATP)**  
**Academic Transformation Fund (ATF)**

**Financial Incentives to Members of Sub-project Management Team (SPMT)**

**Proposal Submitting Entity:** Department/Faculty/Center/Institute/University

<b>Designation of the Member</b>	<b>Maximum permissible incentive</b>	<b>Conditions</b>
Sub-project Manager (SPM)	Four months' basic salary* per year	<ul style="list-style-type: none"> <li>• Incentives will be eligible only when Performance Indicators have been achieved;</li> </ul> Under any circumstances the total financial incentives for sub-project management team shall not exceed Taka. 2.5 million (Taka 3.0 million for joint sub-projects between entities and between universities) or 10% of the total project cost, whichever is lower.
Associate Sub-project Managers (ASPMs)	Two months' basic salary* per year	
Member of the Sub-Project Management Team (SPMT)	One month's basic salary* per year	

- For private universities, the highest basic salary of the corresponding rank in public universities will apply.

## **CHAPTER-10**

### **Sub-Project Proposal Formats**

*(To be filled up to prepare sub-project proposals)*

PIN ..... (for office use)

**University Grants Commission of Bangladesh**  
**Higher Education Acceleration and Transformation Project**  
**Academic Transformation Fund (ATF)**

**Sub-project Proposal Format for**  
**WINDOW 1: Pandemic Readiness Related Research and Development**

1. a. **Sub-project Title:** .....

b. **Indicative Area and Subject:** as per section 2.3.1 of ATFOM:

- (i) Biochemical/Virological .....
- (ii) Medical and Pharmaceutical .....
- (iii) Social Adaptation & Institutional Readiness .....

c. **Department:** .....

2. **Implementation Period:** .....

- i. Commencement: ..... (D/M/Y)
- ii. Completion: ..... (D/M/Y)

3. **Total cost:** (i) In Takas (BDT Lakh).....  
(ii) In USD (\$ Thousand) .....

4. **Members of the SPMT:**

- (a) SPM: .....
- (b) ASPM: .....
- (c) Member: .....
- (d) Member: .....

5. **General Objective of the Sub-project**

Please note that a general objective is a statement that communicates the overall goal of a research or study project in a single sentence. Briefly mention the general objective that are aimed to be achieved:

## 6. Specific Objectives of the Sub-project

Mention the specific objectives of the sub-project. Please note that each specific objective will produce results and outcomes and has to be expressed in terms of milestones and measured with performance indicators.

1.
2.
3.
4.

*Note: Please do not write in essay form*

## 7. Sub-project Summary (maximum 250 words)

Summarize the broad components, activities, methods, expected results, outcomes and strategies to be used in accordance with the specific objectives for implementing the sub-project. The broad impact in terms of research capacity building expected as a result of the activities carried out must be explicitly stated. Please try to furnish the information about the above mentioned items under individual paragraph captions.

--

**8. Strategic Analysis:** Briefly state the strategic plan (or its absence) of the university vis-à-vis the entity regarding infrastructural, financial and intellectual capacities building for postgraduate research program in the proposed field(s). Also narrate the local, national and international priorities and potentials in the stated field of research. Narrate the SWOT analysis performed to figure out the present state of postgraduate programs and its expansion possibilities using the strength and opportunity and mitigating weakness and threats. (Please consult ATFOM Annex-1 on SWOT Analysis.)

Internal	Strengths	Weaknesses
External	Opportunities	Threats

## 9. Background Data Substantiating the Strategic Analysis

- A. Please provide the information requested in the following table. This information will serve to analyze the available abilities and capacities of the human resources and the unit's research capacity, productivity and outreach in the last five years.

**Table 1: Data on Academic Staff in Undergraduate and Post-graduate Research Programs**

	Items	2019	2020	2021	2022	2023
<b>ENTITY:</b>						
1	Total number of undergraduate students engaged in research works					
2	Total enrollment in MS program					
3	Number of MS degrees awarded					
4	Total number of publications in peer reviewed journals out of research work by MS students					
5	Total enrollment in PhD program					
6	First year enrollment in PhD program					
7	Number of PhD degrees awarded					
8	% of students achieving PhD per entry cohort					
9	Stipulated time-to-PhD degree (in academic session/semester)					
10	Number of drop-outs in PhD programs					
11	Actual average time-for-completion of PhD program (in academic sessions/semesters) among PhD awardees					
12	Total number of full time faculty members involved in research					
13	Number of Assistants/Fellows involved in post-graduate research					
14	Total number of full time faculty members involved in supervision of research/PhD programs					
15	Total number of full time faculty members holding PhD engaged in supervision of research/PhD programs					
16	Total external resources (Taka) obtained for research/PhD					
17	Total number of publications					
18	Total number of publications per PhD researcher					
19	Total number of publications per PhD holder					
20	Total number of Intellectual Properties (IP)/products/ processes created					
21	Total number of patents obtained					
<b>SPMT:</b>						
1	Total number of undergraduate students in research projects					
2	Total number of students enrolled in MS research programs					
3	Total enrolment in PhD program					
4	Number of PhD degrees awarded					
5	Total number of faculty members involved in research					
6	Total number of publications in peer reviewed journals					
7	Total number of publications in peer reviewed journals with impact factor higher than 1.					

- B.** Please provide data on existing facilities/ resources available in the entity and the facilities/ resources required to develop the post-graduate research programs. (*This section is mainly applicable for Type-1 and Type-2 research; no need to provide data in this table for type-3 sub-projects*).

**Table 2: Data on research facilities/resources in the entity**

Description of Facilities	Unit	Existing/ Available	Required	Comments
<b><i>ENTITY</i></b>				
1. Science Lab Equipment				
2. Engineering Workshop Equipment/ Instruments				
3. Medical lab Equipment/ Instruments				
4. Agricultural Lab/Field Equipment/Instruments				
5. Veterinary/Fisheries Lab Equipment				
6. Chemicals/ Biochemical Specimens				
7. Computers/ICT equipment/software				
8. Fund/Resources				
9. Scholarships				
10. Qualified/Trained Supervisors				
11. Qualified/Skilled Science Lab Technicians				
12. Engineering Machine/Instruments Operator				
13. Medical Equipment/ Instrument Technician				
14. Other Skilled Technicians/Support Staff				
15. *				
<b><i>Major Scientific Equipment in the Laboratories of the SPMT:</i></b>				
1.				
2.				
3.				
4.				

**10. Relevance:**

Describe the relevance of the proposal to the strategic plan of the university, to national development, and to the tertiary education sector development goals of the government. Please elaborate the plan for Ph D intake, if any, specifying the field of research. Clearly show the linkages between the facilities to be developed under this sub-project and research.

**11. Benefits (Qualitative and Quantitative)**

Describe the benefits to be gained from the sub-project in terms of its contribution towards a better research infrastructure and capacity, wider PhD program coverage and higher enrollments and graduation rates, improvements in research outputs, productivity, industrial and international linkages. Please also describe the expected improvements in post-graduate programs and institutional performance and innovation. Justify whether the effective cost methods have been selected.

--

- 12. List the major equipment** proposed for procurement under the sub-project and mention their relevance to the activities of the sub-project and also previous of experience of the **SPMT** in using these equipment. Please give justification of any item and its cost if it exceeds 15% of the total budget. *(This section is not applicable for group-iii: Social Adaptation & Institutional Readiness research).*

Serial no.	Description	Estimated cost (BDT in Lakhs)	Relevance	experience
1.				
2.				

- 13. Justification of any item of cost exceeding 15% of the total budget:**

--

**14. Summary of Estimated Budget**

Please furnish summary of major items and estimated cost following table-3 below. This table should mention only the major heads of expenditure and not a detailed list of all goods, services and works that will be procured under the sub-project.

**Table 3. Summary of Estimated Budget**

BDT in Lakh					
Economic Code*	Items of Expenditure	Unit	Quantity	Estimated Cost (Taka)	% of Estimated Cost
31113	Allowances				
32111	Administrative Expenses				
32311	Foreign training				
32312	Domestic training				
32551	Printing and Stationary				
32561	Chemicals				
41122	ICT equipment				
41123	Machineries and Equipment				
41133	Computer Software				
Operational Costs/Contingencies (maximum 2% of total cost)					
<b>Total Sub-Project Cost</b>					

\* Economic codes are available @ <https://ibas.finance.gov.bd/ibas2/HelpDocuments/OldToNewEconomic.pdf?v=687>

**15. Operation & Maintenance of Equipment/Instrument (If applicable)**

Describe the capacity (technical and financial) of the proposal submitting entity for the operation and maintenance of equipment/instruments to be procured under this sub-project. Please mention the proposed plan to build required additional capacity:



--

**16.** Describe the type of technical assistance/consulting required under the sub-project (if any) and its Terms of Reference (ToR).

--

**17.** Describe the linkages/collaboration (if any) with other university/ Department/ Institute/ Center/ **NGO**/Business Corporation/Company/Industry etc.

--

\*Please attach collaboration document/MoU, if there is any.

**18. Briefly describe the effect/impact of the proposed sub-project on:**

1.	Environment (Soil, Water, Air, Bio-diversity, Biomass etc.)	
2.	Women & Children	
3.	Employment, Poverty Reduction	
4.	Institutional Performance	
5.	Academic Program	
6.	Entity	
7.	Research	
8.	Human Development	
9.	Food Security	
10.	Production Innovation	
11.	Academic Innovation	
12.	Quality Assurance Program (if any)	
13.	Governance	
14.	Management Practices	
15.	Disaster Management	
16.	Any other (please specify)	

**19. Sustainability** Please provide a summary of a sustainability analysis for this sub-project, e.g., what measures and budget provisions the entity/university is likely to commit to sustain the activities and outcomes after the completion of the sub-project;

--

**20.** Please state if (i) project of similar nature was implemented earlier or/and (ii) is currently under implementation by the proposal submitting entity, or (iii) by any of the members of the sub-project management team. If so, mention the name of the project, cost, duration and major outcomes. Also please mention whether there will be duplication of activities and surplus funds will be available for the entity due to undertaking of this ATF sub-project.

--

**21.** Please mention name and address of three peers/experts (national/international) in the proposed field of research and development program.

1.	Name: .....
	Official designation (if any).....
	Correspondence/Mailing Address: .....
	Email: ..... cell no. ....
2.	Name: .....
	Official designation (if any).....
	Correspondence/Mailing Address: .....
	Email: ..... cell no. ....
3.	Name: .....
	Official designation (if any).....
	Correspondence/Mailing Address: .....
	Email: ..... cell no. ....

**22.** Please attach the following completed SPP Annexes:

1. SPP Annex 1: Milestones, Performance Indicators and Logical Framework
2. SPP Annex 2: Work/Activities Plan (excel spread sheet)
3. SPP Annex 3: Financing Plan (excel spread sheet)
4. SPP Annex 4: Procurement Plan Summary (Table A, Table B, Table C, Table D and Table E) excel spread sheet
5. SPP Annex 5: Training visit/ Study Tour Plan
6. SPP Annex 6: Details of estimated Budget (Excel spread sheet)
7. SPP Annex 7: Environment and Safety Check List for Research and Innovation
8. SPP Annex 8: Attachment A: Environmental Monitoring and Mitigation Plan
9. SPP Annex 9: Social Screening Form
10. SPP Annex 10: Indicative Organogram of the Sub-project Management Office
11. SPP Annex 11: Sub-project Management Team and Resume
  - Attachment: Resume of SPM, ASPM and SPMT Members.
  - Upload: CV of SPM, ASPM and SPMT members online.
12. SPP Annex 12: Proposal Endorsement by University Management

**University Grants Commission of Bangladesh  
Higher Education Acceleration and Transformation Project**

**Academic Transformation Fund (ATF)**

**Sub-Project Proposal Format for  
WINDOW 2: Improvement of Teaching- Learning Infrastructure**

**1. a. Sub-project Title:** .....

**b. Cluster of Broad Discipline:** (as per section 3.3.4 of ATFOM).....

**c. Indicative Area and Subject:** (as per section 2.3.2 of ATFFOM) .....

**d. Department:** .....

**2. Implementation Period:**

i. Commencement: .....

ii. Completion: .....

**3. Total Cost**

a) In Taka (BDT Lakh): .....

b) In USD (\$ Thousand): .....

**4. Members of the SPMT:**

(a) SPM: .....

(b) ASPM: .....

(c) Member: .....

(d) Member: .....

**5. General Objective of the Sub-project**

Please note that a general objective is a statement that communicates the overall goal of a research or study project in a single sentence. Briefly mention the general objective that are aimed to be achieved:

## 6. Specific Objectives of the Sub-project

Mention with clarity the specific objectives of the sub-project. Each specific objective will produce results and outcomes that have to be expressed in terms of milestones and be measured with performance indicators.

1.
2.
3.
4.

*Note: Please do write in the essay form*

## 7. Sub-project Summary (maximum 250 words)

Summarize the broad components, activities, methods, expected results, outcomes and strategies to be used in accordance with the specific objectives for implementing the sub-project. The broad impact expected as a result of the activities carried out must be explicitly stated. Please try to furnish the information about the above mentioned items under individual paragraph captions.

--

## 8. Strategic Analysis

Briefly state the strategic plan (or its absence) of the university vis-à-vis the entity regarding infra-structural, financial and intellectual capacities building for teaching-learning in the proposed field(s). Also narrate the local, national and international priorities and potentials in the stated field of teaching-learning. Narrate the SWOT analysis (including the participants) performed to figure out the present state of development and its expansion possibilities using the strength and opportunity and mitigating weakness and threats. (Please consult ATFOM Annex 1 on SWOT Analysis.)

Internal	Strengths	Weaknesses
External	Opportunities	Threats

## 9. Background Data Substantiating the Strategic Analysis

A. Please provide the information requested in the following table. This information will identify the availability of human resources and the unit's teaching capacity in the last five years.

**Table 1. Data on Academic Staff and Students in Undergraduate Programs**

Items		2019	2020	2021	2022	2023
1.	Total enrolment in undergraduate programs/class					
2.	First year enrollment					
3.	Average score of first year enrollees in university admission examination					
4.	First year retention rate of undergraduate students					
5.	Average pass rate in first year classes/courses					
6.	Established time-to-degree for the undergraduate programs (in academic sessions)					
7.	Actual average time-to-degree (in academic sessions)					
8.	Total number of academic staff for undergraduate courses (fulltime & part-time)					
9.	Total number of full time-equivalent academic staff for undergraduate courses					
10.	Total number of full time academic staff					
11.	Total number of full time academic staff with PhD degrees					
12.	Total number of full time academic staff with Master's degrees					
13.						

Additional data deemed relevant may be added

B. Please provide the information requested in the following table. This information will identify the availability of human resources and the unit's teaching capacity in the last five years.

**Table 2. Data on Academic Staff and Students in Undergraduate/Master's Programs**

Items		2019	2020	2021	2022	2023
1.	Total enrolment in Undergraduate/ <b>Master's</b> program					
2.	First year enrollment in Undergraduate/ <b>Master's</b> program					
3.	Number of Undergraduates/ <b>Masters</b> passed each year					
4.	Graduation/ <b>Master's</b> pass rate per entry cohort (%)					
5.	Established time-to-degree for the Graduate/ <b>Master's</b> program (in academic sessions)					
6.	Actual average time-to-degree (in academic sessions/semesters)					
7.	Total number of full time academic staff holding PhD degrees involved in Undergraduate/ <b>Master's</b> programs					
8.	Total number of part time academic staff holding PhD degrees involved in Undergraduate/ <b>Master's</b> programs					

9.	Total number of fulltime academic staff holding master's degrees involved in Undergraduate/ <b>Master's</b> programs					
10.	Total external resources (Lakh Taka) captured for Undergraduate/ <b>Master's</b> program teaching-learning activities.					
11.	Average time gap between curricula updating/ revision					
12.	Total number of thesis/research monographs/ publications by Undergraduate/ <b>Master's</b> students					
13.	Average number of publications per academic staff engaged in Undergraduate/ <b>Master's</b> program					
14.						

<sup>2</sup> Additional data deemed relevant may be added here

### 10. Relevance:

Describe the relevance of the proposal to the strategic or long-term plan of the university, to the national development, and to the tertiary education sector development goals of the government:

--

### 11. List of Equipment (if applicable)

List the major equipment proposed for procurement under the Sub-project and mention their relevance to the activities of the Sub-project and also previous of the SPMT in using these equipment for teaching.

Serial No.	Description	Estimated Cost	Relevance	Experience of SPMT
1.				
2.				
3.				
4.				

### 12. Please give justification of any item and its cost if it exceeds 15% of the total budget.

--

### 13. Benefits (Qualitative and Quantitative)

Describe the net benefits to be gained from the sub-project in terms of its contribution towards better student learning, institutional and academic quality improvement, and achievement of tertiary education development goals of the government during the sub-project implementation and after completion. Justify whether the most cost effective methods have been selected.

--

**14. Summary of major items and total estimated cost of the sub-project.**

Please furnish summary of major items and estimated cost following table 3 below. This table should mention only the major heads of expenditure and not a detailed list of all goods, services and works that will be procured under the sub-project. *(Please consult section 2.9 on eligible expenditures in Chapter 2)*

**Table 3. Summary of Estimated Budget**

**Type of Sub-Project:** WINDOW 2: Improvement of Teaching-Learning at undergraduate and master’s level

**Sub-project Title:** .....

Economic Code*	Items of Expenditure	Unit	Quantity	BDT in Lakh	
				Estimated Cost (Taka)	% of Estimated Cost
31113	Allowances				
32111	Administrative Expenses				
32311	Foreign training				
32312	Domestic training				
32551	Printing and Stationary				
32561	Chemicals				
41122	ICT equipment				
41123	Machineries and Equipment				
41133	Computer Software				
Operational Costs/Contingencies (maximum 2% of total cost)					
<b>Total Sub-Project Cost</b>					

\* Economic codes are available @ <https://ibas.finance.gov.bd/ibas2/HelpDocuments/OldToNewEconomic.pdf?v=687>

**15. Operation & Maintenance of Equipment/Instrument (If applicable)**

Describe the capacity (technical and financial) of the proposal submitting entity for the operation and maintenance of equipment/instruments to be procured under this sub-project. Please mention the proposed plan to build required additional capacity:

**16. Describe the type of technical assistance/consulting required under the sub-project (if any) and its Terms of Reference (ToR).**

**17. Describe the linkages/collaboration** (if any) with other university/ Department/ Institute/Center/NGO/Business Corporation/Company/Industry etc.

--

**18. Briefly describe the effect/impact of the proposed sub-project on:**

1.	Environment (Soil, Water, Air, Bio-	
2.	Women & Children	
3.	Employment, Poverty Reduction	
4.	Institutional Performance	
5.	Academic Program	
6.	Entity	
7.	Research	
8.	Human Development	
9.	Food Security	
10.	Production Innovation	
11.	Academic Innovation	
12.	Quality Assurance Program (if any)	
13.	Governance	
14.	Management Practices	
15.	Disaster Management	
16.	Any other (please specify)	

**19. Sustainability**

Please provide a summary of a sustainability analysis for this sub-project, e.g., what measures and budget provisions the entity/university is likely to commit to sustain the activities and outcomes after the completion of the sub-project;

--

**20.** Please state (i) if project of similar nature was implemented earlier or/and (ii) is under implementation by the proposal submitting entity or (iii) by any of the members of the Project Management Team? If so, mention the name of the project, cost, duration and major outcomes. Also please mention whether there will be duplication of activities and surplus funding for undertaking the THEF Sub-project.

--



**21.** Please mention name and address of three peers/experts (national/international) in the proposed field of research and development program.

<p>1. Name: .....</p> <p>Official designation (if any).....</p> <p>Correspondence/Mailing Address: .....</p> <p>Email: ..... mobile no. ....</p>
<p>2. Name: .....</p> <p>Official designation (if any).....</p> <p>Correspondence/Mailing Address: .....</p> <p>Email: ..... mobile no. ....</p>
<p>3. Name: .....</p> <p>Official designation (if any).....</p> <p>Correspondence/Mailing Address: .....</p> <p>Email: ..... mobile no. ....</p>

**22.** Please attach the following completed SPP Annexes:

1. SPP Annex 1: Milestones, Performance Indicators and Logical Framework
2. SPP Annex 2: Work/Activities Plan (excel spread sheet)
3. SPP Annex 3: Financing Plan (excel spread sheet)
4. SPP Annex 4: Procurement Plan Summary (Table A, Table B, Table C, Table D and Table E) excel spread sheet
5. SPP Annex 5: Training visit/ Study Tour Plan
6. SPP Annex 6: Details of estimated Budget (Excel spread sheet)
7. SPP Annex 7: Environment and Safety Check List for Small Infrastructure
8. SPP Annex 8: Attachment A: Environmental Monitoring and Mitigation Plan
9. SPP Annex 9: Social Screening Form
10. SPP Annex 10: Indicative Organogram of the Sub-project Management Office
11. SPP Annex 11: Sub-project Management Team and Resume
  - Attachment: Resume of SPM, ASPM and SPMT Members.
  - Upload: CV of SPM, ASPM and SPMT members online.
12. SPP Annex 12: Proposal Endorsement by University Management

**University Grants Commission of Bangladesh**  
**Higher Education Acceleration and Transformation Project**  
**Academic Transformation Fund (ATF)**

**Sub-Project Proposal Format for**  
**WINDOW 3a: Advanced Research in Priority Areas<sup>1</sup>**

**1. a. Sub-project Title:** .....

b. Cluster of Broad Discipline as per section 3.3.4 of ATFOM: .....

c. Indicative Area and Subject: as per section 2.3.3(a) of ATFOM .....

d. Indicate if the Research Area belongs to:

- STAGE/STEM .....
- AHSBL .....
- Research Led by Junior Academics .....
- Climate Change and Resilience .....

e. Entity: .....

**2. Implementation Period:**

i. Commencement: .....

ii. Completion: .....

**3. Total Cost:**

a) In Taka (BDT Lakh): .....

b) In USD (\$ Thousand): .....

**4. Members of the SPMT:**

(a) SPM: .....

(b) ASPM: .....

(c) Member: .....

(d) Member: .....

---

<sup>1</sup> Please consult chapter 2, section 2.7.6 and Table 1 of the ATFOM for an indicative list of research areas

### 5. General Objective of the Sub-project

Please note that a general objective is a statement that communicates the overall goal of a research or study project in a single sentence. Briefly mention the general objective that are aimed to be achieved:

--

### 6. Specific Objectives of the Sub-project

Mention with clarity the specific objectives of the sub-project. Each specific objective will produce results and outcomes that have to be expressed in terms of milestones and be measured with performance indicators.

1.
2.
3.
4.

*Note: Please do write in the essay form*

### 7. Sub-project Summary (maximum 250 words)

Summarize the broad components, activities, methods, expected results, outcomes and strategies to be used in accordance with the specific objectives for implementing the sub-project. The broad impact expected as a result of the activities carried out must be explicitly stated. Please try to furnish the information about the above mentioned items under individual paragraph captions.

--

### 8. Strategic Analysis

Briefly state the strategic plan (or its absence) of the university vis-à-vis the entity regarding infra-structural, financial and intellectual capacities building for teaching-learning in the proposed field(s). Also narrate the local, national and international priorities and potentials in the stated field of teaching-learning. Narrate the SWOT analysis (including the participants) performed to figure out the present state of development and its expansion possibilities using the strength and opportunity and mitigating weakness and threats. (Please consult ATFOM Annex 1 on SWOT Analysis.)

Internal	Strengths	Weaknesses
External	Opportunities	Threats

## 9. Background Data Substantiating the Strategic Analysis

A. Please provide the information requested in the following table. This information will identify the availability of human resources and the unit's teaching capacity in the last five years.

**Table 1. Data on Academic Staff and Students in Undergraduate Programs in the Entity**

Items		2019	2020	2021	2022	2023
1.	Total enrolment in undergraduate programs/class					
2.	First year enrollment					
3.	Average score of first year enrollees in university admission examination					
4.	First year retention rate of undergraduate students					
5.	Average pass rate in first year classes/courses					
6.	Established time-to-degree for the undergraduate programs (in academic sessions)					
7.	Actual average time-to-degree (in academic sessions)					
8.	Total number of academic staff for undergraduate courses (fulltime & part-time)					
9.	Total number of full time-equivalent academic staff for undergraduate courses					
10.	Total number of full time academic staff					
11.	Total number of full time academic staff with PhD degrees					
12.	Total number of full time academic staff with Master's degrees					
13.						

Additional data deemed relevant may be added

B. Please provide the information requested in the following Table 2. This information will identify the availability of human resources and the unit's teaching capacity in the last five years.

**Table 2. Data on Academic Staff and Students in Graduate/Master's Programs**

Items		2019	2020	2021	2022	2023
1.	Total enrolment in Undergraduate/Master's program					
2.	First year enrollment in Undergraduate/Master's program					
3.	Number of Graduates/Masters passed each year					
4.	Graduation/Master's pass rate per entry cohort (%)					
5.	Established time-to-degree for the Graduate/Master's program (in academic sessions)					
6.	Actual average time-to-degree (in academic sessions/semesters)					
7.	Total number of full time academic staff holding PhD degrees involved in Undergraduate/Master's programs					

Items		2019	2020	2021	2022	2023
8.	Total number of part time academic staff holding PhD degrees involved in Undergraduate/ Master's programs					
9.	Total number of full time academic staff holding master's degrees involved in Undergraduate/Master's programs					
10.	Total external resources (Lakh Taka) captured for Undergraduate/Master's program teaching-learning activities.					
11.	Average time gap between curricula updating/ revision					
12.	Total number of thesis/research monographs/ publications by Graduate/Master's students					
13.	Average number of publications per academic staff engaged in Graduate/ Master's program					
14.*						

\*Additional data deemed relevant may be added here

- 10.** Briefly describe the proposed field of research for which capacity building is being planned. If possible, identify specific areas for postgraduate research students. Show clearly the linkages between the facilities proposed for development and the research.

**11. Relevance:**

Describe the relevance of the proposal to the strategic plan of the university, to national development, and to the tertiary education sector development goals of the government. Please elaborate the plan for Ph D intake, if any, specifying the field of research. Clearly show the linkages between the facilities to be developed under this sub-project and research.

**12. Benefits (Qualitative and Quantitative)**

Describe the benefits to be gained from the sub-project in terms of its contribution towards a better research infrastructure and capacity, wider PhD program coverage and higher enrollments and graduation rates, improvements in research outputs, productivity, industrial and international linkages. Please also describe the expected improvements in post-graduate programs and institutional performance and innovation. Justify whether the effective cost methods have been selected.

13. List the major equipment proposed (if required) for procurement under the sub-project and mention their relevance to the activities of the sub-project and also previous of experience of the SPMT in using these equipment. Please give justification of any item and it's cost if it exceeds 15% of the total budget.

Serial no.	Description	Estimated cost (BDT in Lakhs)	Relevance	experience
1.				
2.				

14. Justification of any item of cost exceeding 15% of the total budget:

--

15. Summary of Estimated Budget

Please furnish summary of major items and estimated cost following table-3 below. This table should mention only the major heads of expenditure and not a detailed list of all goods, services and works that will be procured under the sub-project.

**Table 3. Summary of Estimated Budget**

Economic Code*	Items of Expenditure	Unit	Quantity	BDT in Lakh	
				Estimated Cost (Taka)	% of Estimated Cost
31113	Allowances				
32111	Administrative Expenses				
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41133	Computer Software				
Operational Costs/Contingencies (maximum 2% of total cost)					
<b>Total Sub-Project Cost</b>					

\* Economic codes are available @ <https://ibas.finance.gov.bd/ibas2/HelpDocuments/OldToNewEconomic.pdf?v=687>

16. Operation & Maintenance of Equipment/Instrument (If applicable)

Describe the capacity (technical and financial) of the proposal submitting entity for the operation and maintenance of equipment/instruments to be procured under this sub-project. Please mention the proposed plan to build required additional capacity:

--

**17. Describe the type of technical assistance/consulting required under the sub-project (if any) and its Terms of Reference (ToR).**

--

**18. Describe the linkages/collaboration (if any) with other university/ Department/ Institute/ Center/ NGO/Business Corporation/Company/Industry etc.**

--

**19. Briefly describe the effect/impact of the proposed sub-project on:**

1.	Environment (Soil, Water, Air, Bio-diversity, Biomass etc.)	
2.	Women & Children	
3.	Employment, Poverty Reduction	
4.	Institutional Performance	
5.	Academic Program	
6.	Entity	
7.	Research	
8.	Human Development	
9.	Food Security	
10.	Production Innovation	
11.	Academic Innovation	
12.	Quality Assurance Program (if any)	
13.	Governance	
14.	Management Practices	
15.	Disaster Management	
16.	Any other (please specify)	

**20. Sustainability** Please provide a summary of a sustainability analysis for this sub-project, e.g., what measures and budget provisions the entity/university is likely to commit to sustain the activities and outcomes after the completion of the sub-project;

--

**21.** Please state if (i) project of similar nature was implemented earlier or/and (ii) is currently under implementation by the proposal submitting entity, or (iii) by any of the members of the sub-project management team. If so, mention the name of the project, cost, duration and major outcomes. Also please mention whether there will be duplication of activities and surplus funds will be available for the entity due to undertaking of this ATF sub-project.

--

**22.** Please mention name and address of three peers/experts (national/international) in the proposed field of research and development program.

4. Name: ..... Official designation (if any)..... Correspondence/Mailing Address: ..... Email: ..... cell no. ....
5. Name: ..... Official designation (if any)..... Correspondence/Mailing Address: ..... Email: ..... cell no. ....
6. Name: ..... Official designation (if any)..... Correspondence/Mailing Address: ..... Email: ..... cell no. ....

**23.** Please attach the following completed SPP Annexes:

1. SPP Annex 1: Milestones, Performance Indicators and Logical Framework
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  - Attachment: Resume of SPM, ASPM and SPMT Members.
  - Upload: CV of SPM, ASPM and SPMT members online.
12. SPP Annex 12: Proposal Endorsement by University Management



PIN ..... (for office use)

**University Grants Commission of Bangladesh**  
**Higher Education Acceleration and Transformation Project**  
**Academic Transformation Fund (ATF)**

**Sub-Project Proposal Format for**  
**WINDOW 3b: Collaborative Research with Industries and**  
**Research Institutes**

1. a. Sub-project Title:.....
  - b. Cluster of Broad Discipline as per section 3.3.4 of ATFOM : .....
  - c. Subject Area and Subject: as per section 2.3.3(b) of ATFOM .....
  - d. Entity: .....
2. Implementation Period:
  - i. Commencement: .....
  - ii. Completion: .....
3. Total Cost:
  - (a) In Taka (BDT Lakh): .....
  - (b) In USD (\$ Thousand): .....
4. Name of the Partner Industry : .....
5. **Members of the SPMT:**
  - (a) SPM: .....
  - (b) ASPM: .....
  - (c): Member: .....
  - (d) Member: .....

**A. PROJECT DESIGN**

**6. General Objective of the Sub-project**

Please note that a general objective is a statement that communicates the overall goal of a research or study project in a single sentence. Briefly mention the general objective that are aimed to be achieved:

--

**7. Specific Objectives of the Sub-project**

Mention with clarity the specific objectives of the sub-project. Each specific objective will produce results and outcomes that have to be expressed in terms of milestones and be measured with performance indicators.

1.
2.
3.
4.

*Note: Please do not write in the essay form*

**8. Summary of Project Activities:**

Describe the project components, activities, methods, and expected results in accordance with the specific objectives described above. Please also describe in detail the groundwork and arrangements made for undertaking the collaborative research with the industry (e.g., meetings held, subject of research identified).

Project Components	Activities	Methods	Expected Results

**9. Groundwork and Arrangements for Collaborative Research:**

- (a) Meetings with: .....
- (b) Subject of Research: .....

- Plan for coordination of various components:

--

**B. INNOVATION & TECHNOLOGIES**

**10. Innovativeness and Potential Impact of the Technologies**

Describe in detail the innovativeness, originality and creativeness of the technologies that the sub-project aims to jointly develop with the industry and commercialize. Please also describe the technologies' potential for creating added valued in Bangladesh economy and society.

- (i) Describe the proposed technology/process and the background research work already performed.

--

(ii) Point out the innovativeness of the proposed technology.

(iii) What makes the industry interested in developing the proposed technology?

(iv) How will the proposed technology create value addition in Bangladesh economy?

## 11. Assessment of Potentiality and Feasibility for Commercialization

(i) Explain potentiality and feasibility for commercialization of the technologies.

(ii) What is the advantage/competitive edge of the proposed technology over existing technology?

(iii) Point out the market demand and the market size of the proposed technology/product as per market survey conducted.

(iv) Name the potential customer of the technology/product.

(v) State the estimated time required for starting commercialization.

(vi) What are the possible risks and bottlenecks in production?

(vii) Name the competitors in the market, if any.

(viii) Mention if the university can establish a commercial arm for starting business under the legal framework of the institution and country.

## 12. Assessment of Potentiality for Patenting

(i) Describe the findings from patent search for existing similar patents.

(ii) List the patents filed by the SPM/SPMT during the past ten years.

--

(iii) Plan for patenting the product/process that would be the outcome of the joint research work.

--

### 13. Identification of Technological Risks

Describe any foreseeable technological risks that might hinder further development and commercialization of the technologies as well as any risks associated with the partnership between the entity and industry. Please also describe risk mitigation measures if possible.

<b>1. Foreseeable technological risks:</b>
<b>2. Risk mitigation measures:</b>

## C. COLLABORATION AND RESEARCH CAPABILITIES

### 14. Strategies and Methods of Collaboration

Describe the types and methods of joint research and marketing activities with industry partner(s) under the sub-project. Also describe agreed deliverables and roles of each side as well as timelines for technology development. Please mention past experience of collaboration with the same partner(s), if any.

1. Types and methods of joint research:
2. Types and methods of joint marketing activities:
3. Roles and deliverables; university side:
4. Roles and deliverable; industry side:
5. Past experience of collaboration with the same partner:

### 15. Assessment of Industrial Research Capacity

Describe past experience of the proposal submitting entity to undertake any industrial researches (i.e., joint researches with industries, commercialization of technologies, revenues earned from industries for technical support, etc). Please also describe past experiences and achievements of the entity related to the researches on the proposed technologies (literatures published, joint research, etc.).

1. Past experience of joint researches with industries, commercialization of technologies, revenues earned from industries for technical support etc.:
2. Experience and achievements related to researches on the proposed technology:
3. Logistics available to the members of the SPMT in the entity for carrying out the proposed research:

## 16. Industry/Company Profile

Describe the profile of the industry, mentioning their product line and product volume, market share, R&D policy, etc. In not more than 250 words. Mention website of the industry.

--

Please attach documentation (brochure, booklet etc.) on the industry/company as **SPP Annex xx**.

## 17. Background Information on Industry Partner

Please provide the information requested about the industry partner in the following table. This information will serve to analyze the capacity of the industry partner.

- Please provide documents (brochure, booklet etc.) of the industry.

**Table 1: Background Information on Industry Partner**

Items		Response
1.	Annual R&D spending in the past three years (in Lakh Taka)	2020: 2021: 2022: 2023:
2.	In-house R&D facilities and manpower	R&D facilities:  The number of R&D staff:
3.	Research collaborations with university or research institutes in the past 10 years	1. 2. 3.
4.	The number and short descriptions of patents filed in the past 10 years	
5.	Any other noteworthy research outcomes or collaboration with academics and researchers	

## D. DETAILED PROJECT DESIGN AND INFORMATION

### 18. Background Data of the Proposal Submitting Entity

- A. Please provide the information requested in the following table. This information will serve to analyze the size, strength and potential of the human resources and the unit's research capacity, productivity and outreach in the last five years.

**Table 3: Background Data of the Proposal Submitting Entity**

Items		2019	2020	2221	2022	2023
1.	Total enrolment in PhD program					
2.	First year enrollment in PhD Program					
3.	Number of PhD degrees awarded					
4.	% of students achieving PhD per entry cohort					
5.	Stipulated time-to-PhD degree (in academic session/semester)					
6.	Number of drop-outs in PhD programs					
7.	Actual average time-for-completion of PhD program (in academic session/semesters) among PhD awardees					
8.	Total number of faculty members involved in research					
9.	Total number of full time faculty members involved in research					
10.	Number of Assistants/Fellows involved in Post-graduate Research					
11.	Total number of full time faculty members involved in supervision of research/Ph D programs					
12.	Total number of full time faculty members holding PhD engaged in supervision of research/PhD programs					
13.	Total number of post-doc faculty members					
14.	Total external resources (Taka) obtained for research/PhD					
15.	Total number of publications					
16.	Total number of research publications in peer reviewed journals by all faculty members in the entity					
17.	Total number of research publications* in peer reviewed journals by members of the SPMT					
18.	Total number of Intellectual Properties (IP)/products/processes created					
19.	Total number of patents obtained					
20.	The number of partnership MOUs signed with industries					
21.	Revenues earned from industry through provision of technical support and technical services (in Lakh taka)					

*\*Please attach front page of the publications as Annex.*

**B.** Please provide data on existing facilities/resources available in the entity.

Description of Facilities	Unit	Existing/ Available	Comments
a) Science Lab			
b) Engineering Workshop			
c) Medical lab			
d) Agricultural Lab/Field centers			
e) Veterinary/Fisheries Lab			
f) Chemicals/ Biochemical Lab			
g) Computer Lab			
h) Qualified/Trained Supervisors			
i) Qualified/Skilled Science Lab Technicians			
j) Engineering Machine/Instruments Operator			
k) Medical Equipment/ Instrument Technician			
l) Other Skilled Technicians/Support Staff			
m) Please attach a list of state-of-the art scientific equipment in use in the entity's lab			
n) *			
o) Facilities in the Laboratories of the SPMT:			
(i)			
(ii)			
(iii)			

*\*Additional items may be included according to the specificity of the institution*

**19. Operation & Maintenance of Equipment/Instrument** *(If applicable)*

Describe the capacity (technical and financial) of the proposal submitting entity for the operation and maintenance of equipment/instruments to be procured under this sub-project. Please mention the proposed plan to build required additional capacity:

1. Technical and financial capacity:
2. Experience of operation/maintenance/repair of scientific equipment:
3. Proposed plan to build required additional capacity:

**20. List of equipment (if applicable) proposed for procurement and their relevance:**

List the major equipment proposed for procurement under the Sub-project and mention their relevance to the activities of the Sub-project and also previous of experience of the SPMT in using these equipment.

Serial no.	Description	Estimated cost	Relevance	experience
1.				
2.				

**21. Please give justification of any item and its cost if it exceeds 15% of the total budget.**

**22. Summary of Estimated Budget**

Please furnish summary of estimated revenue expenditure and capital expenditure for acquisition of assets in Table 2 below. This table should mention only the major heads of expenditure and not a detailed list of all goods, services and works that will be procured under the sub-project. Excel format for the detailed estimated budget is given **ATFOM Annex 22**.

**Table 2. Summary of Estimated Budget**

Sub-Project Title: .....

Economic Code*	Items of Expenditure	Unit	Quantity	BDT in Lakh	
				Estimated Cost (Taka)	% of Estimated Cost
31113	Allowances				
32111	Administrative Expenses				
32311	Foreign training				
32312	Domestic training				
32551	Printing and Stationary				
32561	Chemicals				
41122	ICT equipment				
41123	Machineries and Equipment				
41133	Computer Software				
Operational Costs/Contingencies (maximum 2% of total cost)					
<b>Total Sub-Project Cost</b>					

\* Economic codes are available @ <https://ibas.finance.gov.bd/ibas2/HelpDocuments/OldToNewEconomic.pdf?v=687>



**23. Plan for Promoting Innovations within the Entity**

Briefly state plans of the university and/or the proposal submitting entity regarding institutional reforms, capacities building, and awareness raising for promoting technology transfer and culture of innovations in the university and among the faculties.

1. Plans:
2. Relevance to building Innovation Ecosystem:

**24. Sustainability**

Please provide a summary of a sustainability analysis for this sub-project, e.g., what measures and budget provisions the entity/university is likely to commit to sustain the activities and outcomes after the completion of the sub-project;

--

25. Please state (i) if project of similar nature was implemented earlier or/and (ii) is under implementation by the proposal submitting entity or (iii) by any of the members of the Project Management Team? If so, mention the name of the project, cost, duration and major outcomes. Also please mention whether there will be duplication of activities and surplus funding for undertaking the THEF Sub-project.

--

**26. Roles of Proposed Industry Research Fellows (if any):**

	Category*	Name	Affiliation	Holding Degree	Experience in Relevant Research	Main Role in the Sub-project
1	Full time registered PhD students					
2	Part-time work place PhD students					
3	Post-doctorate research fellow					

## 27. Sustainability

Please provide a summary of a sustainability analysis for this sub-project, e.g., what measures and budget provisions the entity/university is likely to commit to sustain the activities and outcomes after the completion of the sub-project;

28. Please state (i) if project of similar nature was implemented earlier or/and (ii) is under implementation by the proposal submitting entity or (iii) by any of the members of the Project Management Team? If so, mention the name of the project, cost, duration and major outcomes. Also please mention whether there will be duplication of activities and surplus funding for undertaking the THEF Sub-project.

29. Please attach the following completed SPP Annexes:

1. SPP Annex 1: Milestones, Performance Indicators and Logical Framework
2. SPP Annex 2: Work/Activities Plan (excel spread sheet)
3. SPP Annex 3: Financing Plan (excel spread sheet)
4. SPP Annex 4: Procurement Plan Summary (Table A, Table B, Table C, Table D and Table E) *excel spread sheet*
5. SPP Annex 5: Training visit/ Study Tour Plan
6. SPP Annex 6: Details of estimated Budget (Excel spread sheet)
7. SPP Annex 7: Environment and Safety Check List for Research and Innovation
8. SPP Annex 8: Attachment A: Environmental Monitoring and Mitigation Plan
9. SPP Annex 9: Social Screening Form
10. SPP Annex 10: Indicative Organogram of the Sub-project Management Office
11. SPP Annex 11: Sub-project Management Team and Resume
  - Attachment: Resume of SPM, ASPMS and SPMT Members.
  - Upload: CV of SPM, ASPM and SPMT members online.
12. SPP Annex 12: Proposal Endorsement by University Management
13. SPP Annex 13: Partnership Agreement between the Entity and the Industry Partner

PIN ..... (for office use)

**University Grants Commission of Bangladesh**  
**Higher Education Acceleration and Transformation Project**  
**Academic Transformation Fund (ATF)**

**Sub-Project Proposal Format for**  
**WINDOW 4: Establishing Innovation Support Facilities (ISF)**

1. Sub-project Title: .....

2. Name of the University

3. Implementation Period:

i. Commencement: .....

ii. Completion: .....

4. Total Cost:

a) In Taka (BDT Lakh): .....

b) In USD (\$ Thousand): .....

**5. Name(s) of Partner(s) In Industry:** .....

**6. Members of the SPMT:**

(a) SPM: .....

(b) ASPM: .....

(c) Member: .....

(d) Member: .....

**A. PROJECT DESIGN**

**7. General Objective of the Sub-project**

Please note that a general objective is a statement that communicates the overall goal of a research or study project in a single sentence. Briefly mention the general objective that are aimed to be achieved:

## 8. Specific Objectives of the Sub-project

Describe with clarity the specific objectives of the sub-project. Each specific objective will produce results and outcomes that has to be expressed in terms of milestones and measured with performance indicators. Please mention specifically if applications for patents are envisioned.

1.
2.
3.

*Note: Please do not write in essay form.*

## 9. Sub-project Summary (maximum 500 words)

Summarize the role of the three suggested components of the **ISF**, viz, Fab-Lab, innovation-Lab (*i-Lab*) and the Business Incubator. Outline the scope of activities The broad impact expected as a result of the activities carried out must be explicitly stated. Please try to furnish the information about the above mentioned items under individual paragraph captions.

--

## B. FAB LAB DESIGN

### 10. Fab Lab Design

Describe the structure of the Fab Lab including the main instruments, the envisaged activities including product development, prototype generation, services which may be offered, industry partnership, etc.

1.
2.
3.

### 11. i-Lab Design:

Please describe the logistics required, scope of activities, mode of working, virtual laboratory, application in tertiary level teaching.

### 12. Business Incubator

Please describe the scope of activities, logistics required and linkage with Fab Lab and *i-Lab*, business incubation opportunities, possible partners for collaboration.

### 13. Approach for Community Engagement:

Activities of **ISF** for attracting entrepreneurs, exchanging ideas and motivating youth to initiate start-ups. (For example, hosting social events with leading business people and industrialists, inviting them to address graduating students to motivate them for innovation, arranging for competitions and networking events, participation in international innovation meetings, etc.

**14. Describe how teaching and research can be promoted through the use of Fab Lab and i-Lab.**

**15. Assessment of the Management Team Capacity of the ISF**

Please describe the experiences and capacity of the Fab Lab Management Team related to the use of digital fabrication machines, project execution experience using digital fabrication, research related to projects using digital fabrication machines, and community engagement activity.

**16. Assessment of the University’s Capacity in utilizing ISF Potential for Innovation**

Please describe in detail how various departments, institutes, and centers of the university are likely to benefit by utilizing CISF facilities for teaching and learning, research, and innovation.

**A. DETAILED PROJECT DESIGN AND INFORMATION**

**17. Background Data of the Proposal Submitting Entity**

A. Please provide the information requested in the following table. This information will serve to analyze the size, strength and potential of the human resources and the university’s research capacity, productivity and outreach in the last five years.

**Table 3: Background Data of the Proposal Submitting Entity**

Items		2019	2020	2021	2022	2023
1.	Total enrolment in PhD program					
2.	First year enrollment in PhD Program					
3.	Number of PhD degrees awarded					
3.	% of students achieving PhD per entry cohort					
4.	Stipulated time-to-PhD degree (in academic session/semester)					

Items		2019	2020	2021	2022	2023
5.	Number of drop-outs in PhD programs					
6.	Actual average time-for-completion of PhD program (in academic session/semesters) among PhD awardees					
7.	Total number of faculty members involved in research					
8.	Total number of full time faculty members involved in research					
15.	Number of Assistants/Fellows involved in Post-graduate Research					
16.	Total number of full time faculty members involved in supervision of research/Ph D programs					
17.	Total number of full time faculty members holding PhD engaged in supervision of research/PhD programs					
18.	Total number of post-doc faculty members					
19.	Total external resources (Taka) obtained for research/PhD					
20.	Total number of publications: books					
(a)	ISI					
(b)	Non-ISI					
(c)	Refereed					
21.	Total number of publications per Ph D researcher					
22.	Total number of publications per Ph D holder					
23.	Total number of Intellectual Properties (IP)/products/processes created					
24.	Total number of patents obtained					
25.	The number of partnership MOUs signed with industries					
26.	Revenues earned from industry through provision of technical support and technical services (in Lakh taka)					
27*						

*\*Any additional data deemed relevant*

**B.** Please provide data on existing facilities/resources available for innovative research in the entity.

Location	Facilities and Resources Available	Comments
1) Engineering Workshop		
2) Medical lab		
3) Agricultural Lab/Field centers		
4) Veterinary/Fisheries Lab		
5) Chemicals/ Biochemical Lab		
6) Computer Lab		

7) Qualified/Trained Supervisors		
8) Qualified/Skilled Science Lab Technicians		
9) Engineering Machine/Instruments Operator		
10) Medical Equipment/ Instrument Technician		
11) Other Skilled Technicians/Support Staff		
12) Please attach a list of state-of-the art scientific equipment in use in the entity's lab		

*\*Additional items may be included according to the specificity of the institution*

### 18. List of Major Equipment needed for the ISF

List the major equipment proposed for procurement under the Sub-project and mention their relevance to the activities of the Sub-project and also previous of the SPMT in using these equipment for teaching.

Serial No.	Description	Estimated Cost	Relevance	Experience of SPMT
1.				
2.				
3.				
4.				

19. Please give justification of any item and its cost if it exceeds 15% of the total budget.

--

### 20. Summary of major items and total estimated cost of the Sub-project.

Please furnish summary of major items and estimated cost in Table 2 below. This table should mention only the major heads of expenditure and not a detailed list of all goods, services and works that will be procured under the Sub-project.

## Summary of Estimated Budget

**Sub-project Title:** .....

BDT in Lakh					
Economic Code*	Items of Expenditure	Unit	Quantity	Estimated Cost (Taka)	% of Estimated Cost
31113	Allowances				
32111	Administrative Expenses				
32311	Foreign training				
32312	Domestic training				
32551	Printing and Stationary				
32561	Chemicals				
41122	ICT equipment				
41123	Machineries and Equipment				
41133	Computer Software				
Operational Costs/Contingencies (maximum 2% of total cost)					
<b>Total Sub-Project Cost</b>					

\* Economic codes are available @ <https://ibas.finance.gov.bd/ibas2/HelpDocuments/OldToNewEconomic.pdf?v=687>

### 21. Benefits (Qualitative and Quantitative)

Describe the net benefits to be gained from the sub-project in terms of its contribution towards better student learning, institutional and academic quality improvement, and achievement of tertiary education development goals of the government during the sub-project implementation and after completion. Justify whether the most cost effective methods have been selected.

### 22. Operation & Maintenance of Equipment/Instrument (If applicable)

Describe the capacity (technical and financial) of the proposal submitting entity for the operation and maintenance of equipment/instruments to be procured under this Sub-project. Please mention the proposed plan to build required additional capacity:

1. Technical and financial capacity:
2. Experience of maintaining/repairing equipment:
3. Proposed plan to build required additional capacity:

### 23. Plan for Sustainability of the ISF

Please explain in detail how to sustain ISF operation and maintenance after the completion of the Sub-project.

1. Source of financing
------------------------



2. Continuation of technical manpower
3. Operation and maintenance

**24. Briefly describe the effect/impact of the proposed sub-project on:**

1.	Environment (Soil, Water, Air, Bio-diversity, Biomass etc.)	
2.	Women & Children	
3.	Employment, Poverty Reduction	
4.	Institutional Performance	
5.	Academic Program	
6.	Entity	
7.	Research	
8.	Human Development	
9.	Food Security	
10.	Production Innovation	
11.	Academic Innovation	
12.	Quality Assurance Program (if any)	
13.	Governance	
14.	Management Practices	
15.	Disaster Management	
16.	Any other (please specify)	

**25.** Please state (i) if project of similar nature was implemented earlier or/and (ii) is under implementation by the proposal submitting entity or (iii) by any of the members of the Project Management Team? If so, mention the name of the project, cost, duration and major outcomes. Also please mention whether there will be duplication of activities and surplus funding for undertaking the ATF Sub-project.

--

**26.** Please mention name and address of two peers/experts (national/international) in the proposed field of research and development program.

1.	Name: .....
	Official designation (if any).....
	Correspondence/Mailing Address: .....
	Email: ..... cell no. ....
2.	Name: .....
	Official designation (if any).....
	Correspondence/Mailing Address: .....
	Email: ..... cell no. ....
3.	Name: .....
	Official designation (if any).....
	Correspondence/Mailing Address: .....
	Email: ..... cell no. ....

27. Please attach the following completed SPP Annexes:

1. SPP Annex 1: Milestones, Performance Indicators and Logical Framework
2. SPP Annex 2: Work/Activities Plan (excel spread sheet)
3. SPP Annex 3: Financing Plan (excel spread sheet)
4. SPP Annex 4: Procurement Plan Summary (Table A, Table B, Table C, Table D and Table E) excel spread sheet
5. SPP Annex 5: Training visit/ Study Tour Plan
6. SPP Annex 6: Details of estimated Budget (Excel spread sheet)
7. SPP Annex 7: Environment and Safety Check List for Small Infrastructure
8. SPP Annex 8 Attachment A: Environmental Monitoring and Mitigation Plan
9. SPP Annex 9: Social Screening Form
10. SPP Annex 10: Indicative Organogram of the Sub-project Management Office
11. SPP Annex 11: Sub-project Management Team and Resume
  - Attachment: Resume of SPM, ASPMs and SPMT Members.
  - Upload: CV of SPM, ASPM and SPMT members online.
12. SPP Annex 12: Proposal Endorsement by University Management

PIN ..... (for office use)

**University Grants Commission of Bangladesh**  
**Higher Education Acceleration and Transformation Project**  
**Academic Transformation Fund (ATF)**

**Sub-Project Proposal Format for**  
**WINDOW 5: Establishing Technology Transfer Office (TTO)**

1. Sub-project Title: .....

2. Implementation Period:

i. Commencement: .....

ii. Completion: .....

3. Total Cost:

c) In Taka (BDT Lakh): .....

d) In USD (\$ Thousand): .....

4. Name and Address of the Entity: .....

**5. Members of the SPMT:**

(a) SPM: .....

(b) ASPM: .....

(c) Member: .....

(d) Member: .....

**6. General Objective of the Sub-project**

Please note that a general objective is a statement that communicates the overall goal of a research or study project in a single sentence. Briefly mention the general objective that are aimed to be achieved:

--

**7. Specific Objectives of the Sub-project**

Describe with clarity the specific objectives of the sub-project. Each specific objective will produce results and outcomes that has to be expressed in terms of milestones and measured with performance indicators.

1.
2.
3.

*Note: Please do not write in essay form.*

**8. Sub-project Summary (maximum 250 words)**

Summarize the broad components, activities, methods, expected results, outcomes and strategies to be used in accordance with the specific objectives for establishing the TTO. The broad impact expected as a result of the activities carried out must be explicitly stated. Please try to furnish the information about the above mentioned items under individual paragraph captions.

--

**9. Strategic Analysis**

Briefly explain the results of the overall strategic analysis that was performed to prepare this proposal, especially in connection with the strengths and weaknesses, opportunities and threats (SWOT analysis). This information will clearly establish the objectives that the sub-project intends to achieve in a manner consistent with institutional strategic planning/vision (if any), and the priorities established by the university. Please mention if there are currently any collaborative/joint research projects with industries. The nature of research projects and the quality of research and the logistics and expertise available in the entity should be mentioned. (Please consult AIFOM Annex 1 on SWOT Analysis.)

Internal	Strengths	Weaknesses
External	Opportunities	Threats

**10.** Please describe in detail the technologies, products and processes developed/innovated by the university through research:

1.
2.
3.

**11.** Please describe the current state of use/application of each of these technologies/products/processes in the field:

1.
2.

**12.** Please identify the technologies/products/processes that would be easy to commercialize (e.g., instruments, devices, tools) and those would be difficult to commercialize (e.g., vaccine that require lengthy trial)

1. Easy to commercialize	
2. Difficult to commercialize	

**13.** Please describe if the university undertook any trial or testing of any of the technologies if innovated or, made an effort to get copyright or license for establishing ownership over the technology or innovation.

--

**14.** Please describe if any of the technologies innovated in the university has been transferred to industry for mass production or business firm for commercialization.

--

**15. Please provide data requested in the following table.** These data will identify the availability of human resources and the unit's capacity for undertaking collaborative research with industry.

**Table 1: Data on Academic Staff and Students in Postgraduate Programs and Research**

Items		2019	2020	2021	2022	2023
1.	Total enrolment in Graduate/Master's Programs					
2.	Total enrollment in M Phil, M Sc (engineering), Ph D Programs					
3.	First year enrollment in Master's Programs					
4.	First year enrollment in M Phil, M Sc (engineering), Ph D Programs					
5.	Number of Graduates/Master's passed out, M Phil and PhD programs					
6.	Number of M Phil, M Sc, PhD candidates passed					
7.	Graduation/Master's rate per entry cohort,					
8.	M Phil, M Sc (engineering), PhD rate per entry cohort					
9.	Established time-to-degree for the Graduate/ Master's program (in academic sessions/ semesters)					
10.	Established time-to-degree for M Phil, M Sc (engineering), PhD					
11.	Actual average time-to-degree (in academic sessions/semesters)					
12.	Actual average time-to-degree in M Phil, M Sc (engineering), PhD programs					
13.	Total number of full time academic staff holding PhD degrees involved in Postgraduate Programs and Research					
14.	Total number of full time academic staff holding PhD degrees involved in Postgraduate Programs and Research					
15.	Total number of part time academic staff holding Master's degrees involved in Graduate/ Master's Programs					
16.	Total number of research projects and external (other than GoB) funding captured					
17.	Total number of research publications in peer reviewed journals					
18.	Average publication per academic staff					
19.	Total number of thesis/ research monographs/ publications by Postgraduate students					
20.	Total number of thesis publications by M Phil, M Sc(engineering), Ph D candidates					
21.	Total number of publications per academic staff engaged in Postgraduate Programs					
22.	Number of research projects undertaken jointly with industry					

Items		2019	2020	2021	2022	2023
23	Number of patent applications filed					
24	Number of patents registered by academics					
25	Number of research products commercialized					
26	Number of research output which may be commercialized**					
27.	Number of partnership MOUs signed with industry					
28.*	Revenue earned from industry through provision of technical support and technical services (in lac Taka)					

\* Please add any other information that you consider relevant for evaluation of the proposal.

\*\* Please attach a list.

- B. Please provide data on the existing facilities in equipment, materials, manpower and resources owned by the entity.

**Table 2: Data on existing physical facilities/resources available in the university**

Description of Facilities	Unit	Existing/ Available	Required	Comments
1. Science Lab equipment				
2. Engineering Workshop Equipment/ Machines/Tools				
3. Medical/Surgical Lab Equipment/ Instruments				
4. Agricultural/Horticultural lab Equipment/ Instruments				
5. Agricultural/Horticultural Experimental Field Equipment				
6. Classroom/Seminar room/Lecture Theater Devices/ Instruments/ Teaching aids etc.				
7. Laboratory Chemicals/Specimens				
8. Library Automation/Digitization				
9. Computers & Accessories				
10. Photocopiers				
11. Scanners				
12. Printers				
13. Multimedia Equipment				
14. Fund/Financial resources				
15. Survey work/Field visit facilities				
16. Qualified Supervisors				
17. Qualified Lab Technicians				
18. Engineering Machine/Tools Operators				

19. Medical Equipment/ Instrument Operators/ Technicians				
20. Internet Connectivity/Campus Area Network/LAN/Intranet				
21. Bandwidth Capacity				
22. WIMAX/Wireless Connectivity				
23. Digital library Access/ Subscription				
24. Library automation service				
25. Telecom/Fax				
26. ICT professionals/engineers				
27. ICT technicians				
28. Other skilled support staff				
29. Legal specialist				
30. Business development specialist				
31. Intellectual Property (IP) experts				
32. Marketing expert				

*\* Please add any other information that you consider relevant for evaluation of the proposal.*

#### **16. Relevance:**

Describe the relevance of the proposal to the strategic or long-term plan of the university, to the national development, and to the tertiary education sector development goals of the government.

#### **17. Benefits (Qualitative & Quantitative)**

Describe the benefits to be gained from the **TTO** in terms of its contribution towards better student learning, research capacity, development of advanced human capital, and production of useful research outcomes and products, patents registered, products commercialized, institutional and academic quality improvement, strengthening of institutional management of intellectual property and achievement of tertiary education development goals of the country. Justify whether the most cost effective methods have been selected.

#### **18. List of Major Equipment**

List the major equipment proposed for procurement under the Sub-project and mention their relevance to the activities of the Sub-project and also previous of the SPMT in using these equipment for teaching.



Serial No.	Description	Estimated Cost*	Relevance	Experience of SPMT
1.				
2.				
3.				
4.				

\* Please give justification of any item and its cost if it exceeds 15% of the total budget.

--

### 19. Summary of major items and estimated cost

Please furnish summary of major items and estimated cost following table-3 below. This table should mention only the major heads of expenditure and not a detailed list of all goods, services and works that will be procured under the sub-project. Please submit the table in excel spread sheet.

**Table 4. Summary of Estimated Budget**

**Type of Sub-Project:** WINDOW 5: Establishing Technology Transfer Office

**Sub-project Title:** .....

Economic Code*	Items of Expenditure	Unit	Quantity	BDT in Lakh	
				Estimated Cost (Taka)	% of Estimated Cost
31113	Allowances				
32111	Administrative Expenses				
32311	Foreign training				
32312	Domestic training				
32551	Printing and Stationary				
32561	Chemicals				
41122	ICT equipment				
41123	Machineries and Equipment				
41133	Computer Software				
Operational Costs/Contingencies (maximum 2% of total cost)					
<b>Total Sub-Project Cost</b>					

\* Economic codes are available @ <https://ibas.finance.gov.bd/ibas2/HelpDocuments/OldToNewEconomic.pdf?v=687>

**20. Describe the type of technical assistance/consulting required under the sub-project (if any) and its Terms of Reference (ToR).**

--

**21. Describe the linkages/collaboration (if any) with other university/ Department/ Institute/Center/NGO/Business Corporation/Company/Industry, etc.**

--

**22. Whether project of similar nature was implemented earlier or/and is under implementation by the proposal submitting entity, or any of the members of the project management team. If so, mention the name of the project, duration and major outcomes.**

--

**23. Briefly describe the effect/impact of the proposed sub-project on:**

1. Business development	
2. Securing ownership of the technology (patent, copyright, etc.)	
3. IP literacy	
4. Patent management	
5. Technology transfer	
6. Monetary gain	
7. Job creation	
8. Improve livelihood	
9. Increase productivity/yield	
10. Academic's mindset	
11. Academic program	
12. Research	
13. Academic innovation	
14. Quality Assurance Program (if any)	
15. Governance	
16. Management practices	
17. Any other (please specify)	

## 24. Sustainability

Please provide a summary of a sustainability analysis for this sub-project, e.g., what measures and budget provisions the university is likely to commit to sustain the activities and outcomes after the completion of the sub-project;

## 25. Please attach the following completed SPP Annexes:

1. SPP Annex 1: Milestones, Performance Indicators and Logical Framework
2. SPP Annex 2: Work/Activities Plan (excel spread sheet)
3. SPP Annex 3: Financing Plan (excel spread sheet)
4. SPP Annex 4: Procurement Plan Summary (Table A, Table B, Table C, Table D and Table E) *excel spread sheet*
5. SPP Annex 5: Training visit/ Study Tour Plan
6. SPP Annex 6: Details of estimated Budget (Excel spread sheet)
7. SPP Annex 7A: Environment and Safety Check List for Small Infrastructure  
SPP Annex 7B: Environment and Safety Checklist for Window 3a and 3b, Window 4 and Window 5 Sub-projects
8. SPP Annex 8: Attachment A: Environmental Monitoring and Mitigation Plan
9. SPP Annex 9: Social Screening Form
10. SPP Annex 10: Indicative Organogram of the Sub-project Management Office
11. SPP Annex 11: Sub-project Management Team and Resume
  - Attachment: Resume of SPM, ASPMs and SPMT Members.
  - Upload: CV of SPM, ASPM and SPMT members online.
12. SPP Annex 12: Proposal Endorsement by University Management

# **University Grants Commission of Bangladesh**

## **Higher Education Acceleration and Transformation Project Academic Transformation Fund**

### **Sub-Project Proposal (SPP) Annexes**

## **CHAPTER- 11:**

### **SPP Annexes**

**SPP Annex -1**

#### **Milestones, Performance Indicators and Logical Framework of the Sub-project**

##### **Annex 1a: Milestones to evaluate sub-project implementation (Level 1)**

	<b>Milestones</b>	<b>Reference to Specific Objectives</b>	<b>Critical Activities</b>	<b>Verification methods</b>	<b>Assumptions</b>
1.					
2.					
3.					
4.					
5.					

##### **Annex 1b: Performance indicators to evaluate sub-project impact (Level 2)**

	<b>Indicators</b>	<b>Reference to Specific Objectives</b>	<b>Calculation Method</b>	<b>Assumptions</b>	<b>Verification Methods</b>	<b>Calculation of Base Value</b>	<b>Vaseline Value in Year 2010</b>	<b>Desired Standard in Year...</b>
1.								
2.								
3.								
4.								
5.								

#### **Milestones and Performance Indicators<sup>1</sup>**

<sup>1</sup> Detailed note on performance indicators is given in ATFOM Annex-2

Milestones and Performance indicators are key instruments in the monitoring and evaluation (M&E) of sub-projects since they help to measure the achievement of goals, the effects of clear strategies and effectiveness in the use of resources. A small set of independent indicators that can be well defined and measured periodically is desirable. Proper definition of milestones and performance indicators makes it possible to monitor and evaluate achievements in measurable terms, indicating the benefits.

Proposed indications must contemplate two levels of measurement: Milestones are the activity level (Level 1) indicators by which implementation progress is monitored by completion of key activities; and Performance Indicators are the impact level (Level 2) indicators which are measurable variables that will account for the degree of key impacts that the sub-project produces for its end beneficiaries (e.g., the number of journal publications/patents, and share of trained researchers/post graduate students, etc) .

Please mention the calculation methods, sources and procedures to obtain base values, values committed during and after the implementation of the sub-project, and verification methods to validate the results obtained.

**How to make Tables of Milestones and Indicators**

- **Milestone/Indicators.** Define the specific variables considered in the indicator. In the case of Level 1, define the milestone, stage or activity to be reached/accomplished in time.
- **Reference to Objectives.** Specify the general and/or specific objectives related to each Milestone/Indicator. In Level 2, it is not necessary to link all specific objectives defined in the sub-project to a Performance Indicator.
- **Critical Activities.** In Level 1, indicate which activities are critical for compliance with the defined milestone.
- **Calculation Method.** Define the formula used to calculate the indicator, indicating the variables to be considered. In the case of ratios, identify the numerator and the denominator.
- **Assumptions.** Indicate prior considerations used in measuring the variables involved. For example, state the date on which annual measurements will be taken.
- **Verification Methods.** Indicate the data or products that will serve to validate the indicator result. The data must be available for M&E activities proposed in the sub-project.
- **Base Value, the year of contract signing.** This reflects the initial reference value for subsequent annual measurements.
- **Calculating the Base Value.** Specify the method used to obtain the base value of the indicator.
- **Desired Standard, Year N.** This reflects a final reference value for the indicator to be achieved at the completion of the sub-project implementation.

**Annex 1c: Logical framework of the sub-project proposal**

Project Narrative		Name of indicators	Means of verification	Important Assumptions
Goal				
Purpose				
Outputs				
Activities				

*\* Logical framework of the SPP will show goal, purpose, outputs, and activities of the project, and relate these with indicators and means of verification to evaluate the main elements and logical linkages between them. This will have relationship with proposed budget items also.*



**Financing Plan** *(Please prepare it in excel spread sheet as well.)*

Type of Sub-project: .....

Sub-project Title: .....



Broad E. Code	Specific E. Code	Item of Expenditure /Activity	Year 1				Year 2				Year 3			
			Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
31113	Allowances													
	3111332	Honorarium												
32111	Administrative Expenses													
	3211104	Contingent Staff												
		Office Manager												
		Accountant												
		Computer Operator												
		MLSS												
		Additional Charge Allowance												
	3211111	Seminar and conference expenses												
	3211117	Internet/Fax												
	3211125	Advertising expenses												
	3211127	Books & periodicals												
	3211128	Publications												
32311	Foreign training													
	3231101	Foreign training												
32312	Domestic training													
	3231201	Domestic training												
32551	Printing and Stationary													
	3255101	Computer consumables												
	3255105	Other stationery												
32561	Chemicals													
	3256102	Chemicals												
		Acquisition of Assets												
41122	ICT equipment													
	4112205	ICT equipment												
41123	Machineries and Equipment													
	4112302	Camera and accessories												
	4112306	Laboratory equipment												
	4112310	Office equipment												
	4112314	Furniture												
	4112316	Machineries and equipment												
41133	Computer Software													
	4113301	Computer software												

Please submit the plan in excel spread sheet as well. (Please download the template from the HEAT website)

\* Economic codes are available @ <https://ibas.finance.gov.bd/ibas2/HelpDocuments/OldToNewEconomic.pdf?v=687>

Additional items may be added by extending the no. of rows in each component. Consult section 2.5 of this ATFOM to check eligibility of any expend

### Procurement Plan of the Sub-project\*

Table A: Procurement Plan Summary							
		Total estimated value of contract (in "000 US\$)	Total estimated value of prior review contract (in "000 US\$)	Total number of packages	Total number of prior review packages	Number of contract awarded up to..... <i>[Date of Procurement Plan as per Cover Page]</i>	Total value of contract awarded up to ..... <i>[Date of Procurement Plan as per Cover Page]</i>
1	Goods				-		
2	Works				-		
3	Non-Consulting Services				-		
4	Consultancy Services				-		
					-		

Project Effectiveness date:

Project Closing date:

\* NB: Please prepare the entire procurement plan in excel spread sheet as well.

All dates need to be entered in mm/dd/yyyy format

1 US\$ = \_\_\_\_\_ BDT

Table-B: Procurement Plan for Goods Contract																								
Sl. No.	Contract Package Number	Contract Description	Unit	Qty/ Nos.	Estimated Price in US\$ '000	Actual Price in contract currency	Procedure Method	Procurement Guidelines (PPA /BG)	Prior Review (Yes / No)	Contract Approving Authority*	Planned date of IFB publication	Actual date of IFB publication	Planned Date of Bid Opening	Actual Date of Bid Opening	Planned Date of Contract Signing	Actual Date of Contract Signing	Planned Date of Delivery/Completion	Actual Date of Delivery/Completion	Name of the Supplier	Progress of Implementation as of ..... [Date of Procurement Plan as per Cover Page]	Progress of Payment as of ..... [Date of Procurement Plan as per Cover Page]	Remarks		
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23		
Total (All packages)																								
Total (All Prior Review Contracts)																								
Total (All NCB and Shopping/ RFQ Contracts)																								

\*as per delegation of financial power

All dates need to be entered in mm/dd/yyyy format

1 US\$ = \_\_\_\_ BDT

Table-C: Procurement Plan for Works Contract																							
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	
SI. No.	Contract Package Number	Contract Description	Unit	Qty/ Nos.	Estimated Price in US\$ 000	Actual Price in contract currency	Procedure Method	Procurement Guidelines (PPA / BG)	Prior Review (Yes / No)	Contract Approving Authority*	Planned date of IFB publication	Actual date of IFB publication	Planned Date of Bid Opening	Actual Date of Bid Opening	Planned Date of Contract Signing	Actual Date of Contract Signing	Planned Date of Completion	Actual Date of Completion	Name of the Contractor	Progress of Implementation as of ..... [Date of Procurement Plan as per Cover Page]	Progress of Payment as of ..... [Date of Procurement Plan as per Cover Page]	Remarks	
Total (All packages)																							
Total (All Prior Review Contracts)																							
Total (All NCB and Shopping/RFQ Contracts)																							

\*as per delegation of financial power

All dates need to be entered in mm/dd/yyyy format

1 US\$ = \_\_\_ BDT

Table-D: Procurement Plan for Non-consulting Services Contract																						
Sl. No.	Contract Package Number	Contract Description	Unit	Qty/ Nos.	Estimated Price in US\$ '000	Actual Price in contract currency	Procedure Method	Procurement Guidelines (PPA / BG)	Prior Review (Yes / No)	Contract Approving Authority*	Planned date of IFB publication	Actual date of IFB publication	Planned Date of Bid Opening	Actual Date of Bid Opening	Planned Date of Contract Signing	Actual Date of Contract Signing	Planned Date of Completion	Actual Date of Completion	Name of the Service Provider	Progress of Implementation as of .... [Date of Procurement Plan as per Cover Page]	Progress of Payment as of .... [Date of Procurement Plan as per Cover Page]	Remarks
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23
Total (All packages)					0																	
Total (All Prior Review Contracts)					0																	
Total (All NCB and Shopping/RFQ Contracts)					0																	

\*as per delegation of financial power

All dates need to be entered in mm/dd/yyyy format

1 US\$ = \_\_\_\_ BDT

**Table-E: Procurement Plan for Consultancy Services Contract**

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23
Sl. No.	Contract Package Number	Contract Description	Unit	Qty/ Nos.	Estimated Price in US\$ '000	Actual Price in contract currency (BDT)	Procedure/ Method	Procurement Guideline (PPA / BG)	Prior Review (Yes / No)	Contract Approving Authority*	Planned date of REOI publication	Actual date of REOI	Planned Proposal Submission Deadline	Actual Proposal Submission Deadline	Planned Date of Contract Signing	Actual Date of Contract Signing	Planned Date of Completion	Actual Date of	Name of Consultant/ Firm	Progress of Implementation as of .....[Date of Procurement Plan as per Cover Page]	Progress of Payment as of ..... [Date of Procurement	Remarks
Total (All packages)																						
Total (All Prior Review Contracts)																						

\*as per delegation of financial power

**Training/ Visit/Study Tour Plan**

Subject of Training	Duration	Participants	Place/Location/ Institution	Estimated Cost	Period	
					From	To
<b>Local:</b>						
<b>Foreign:</b>						

*Note: Please do not write name of any participant in this table*

## Details of Estimated Budget

Please attach the detailed cost breakdown for each item covering the entire duration of the sub-project in excel spread sheet. Also mention the economic code for each item. Please consult section 2.9 of this ATFOM to check eligibility of expenditure.

Type of Subproject: .....

Sub-project Title: .....

**BDT in Lakh**

Amount in word:

<i>Broad E. Code</i>	<i>Specific E. Code</i>	Item of Expenditure /Activity	Unit	Quantity	Rate	Estimated cost	% of Estimated Cost
<b>31113</b>	<b>Allowances</b>						
	<b>3111332</b>	<b>Honorarium</b>					
<b>32111</b>	<b>Administrative Expenses</b>						
	<b>3211104</b>	<b>Contingent Staff</b>					
		<b>Office Manager</b>					
		<b>Accountant</b>					
		<b>Computer Operator</b>					
		<b>MLSS</b>					
		<b>Additional Charge Allowance</b>					
	<b>3211111</b>	<b>Seminar and conference expenses</b>					
	<b>3211117</b>	<b>Internet/Fax</b>					
	<b>3211125</b>	<b>Advertising expenses</b>					
	<b>3211127</b>	<b>Books &amp; periodicals</b>					
	<b>3211128</b>	<b>Publications</b>					
<b>32311</b>	<b>Foreign training</b>						
	<b>3231101</b>	<b>Foreign training</b>					
<b>32312</b>	<b>Domestic training</b>						
	<b>3231201</b>	<b>Domestic training</b>					
<b>32551</b>	<b>Printing and Stationary</b>						
	<b>3255101</b>	<b>Computer consumables</b>					
	<b>3255105</b>	<b>Other stationery</b>					
<b>32561</b>	<b>Chemicals</b>						
	<b>3256102</b>	<b>Chemicals</b>					
		<b>Acquisition of Assets</b>					
<b>41122</b>	<b>ICT equipment</b>						
	<b>4112205</b>	<b>ICT equipment</b>					
<b>41123</b>	<b>Machineries and Equipment</b>						
	<b>4112302</b>	<b>Camera and accessories</b>					
	<b>4112306</b>	<b>Laboratory equipment</b>					
	<b>4112310</b>	<b>Office equipment</b>					
	<b>4112314</b>	<b>Furniture</b>					
	<b>4112316</b>	<b>Machineries and equipment</b>					
<b>41133</b>	<b>Computer Software</b>						
	<b>4113301</b>	<b>Computer software</b>					
		<b>Total</b>					

Please submit the plan in excel spread sheet as well. (Please download the template from the HEAT website).

\*Economic codes are available @ <https://ibas.finance.gov.bd/ibas2/HelpDocuments/OldToNewEconomic.pdf?v=687>

Additional items may be added by extending the no. of rows in each component. Consult section 2.5 of this ATFOM to check eligibility of any expenditure.



Proposal Identification Number (PIN).....

**University Grants Commission of Bangladesh**  
**Higher Education Acceleration and Transformation Project**  
**Academic Transformation Fund for Windows 2 Sub-projects**

*Environment and Safety Checklist for Small Infrastructure  
and Renovation/Refurbishing Proposal*

**Instructions:**

The purpose of this checklist is to identify potential environment and safety issues related to the small infrastructure renovation/refurbishing work. This is a generalized checklist format for small renovation/refurbishment works.

The concerned faculty member of the respective institution will fill-up the format, which is expected to be reviewed and signed by an environment professional. However, the checklist must be reviewed and signed by the respective Head of the proposal submitting entity. If the checklist shows potential negative environmental impacts, the institution will submit a separate sheet for mitigation measures for it (Attachment A).

Title of Sub-project: \_\_\_\_\_

Implementing Institution: \_\_\_\_\_

Types of renovation/refurbishing work: \_\_\_\_\_

Estimated cost of renovation/refurbishing work: \_\_\_\_\_

Duration of renovation/refurbishing work: \_\_\_\_\_

Tentative Start Date: \_\_\_\_\_

Brief description of small infrastructure renovation/ refurbishing work (Within 200 words).

## Checklist

SI #	Screening Questions	Yes	No	Possible Negative Environmental Impact <sup>2</sup>
1	Will the renovation work disturb other academic activities?			
2	Will it create major noise?			
3	Will it create dust problem around the sites?			
4	Will it temporarily stop the water supply and sanitation system?			
5	Will any refrigeration/air conditioning units be removed/disposed?			
6	Will any liquid waste, or an item containing liquids (including oils), need to be transported off-site for reuse, recycle or disposal?			
7	Will equipment containing polychlorinated biphenyls (PCB's) be removed (i.e. transformers, capacitors, hydraulic and heat transfer systems, etc.)?			
8	Will building materials containing asbestos be removed/disposed?			
9	Will any building materials be removed/disposed that are coated with lead-based paint?			
10	Will any building materials be removed/disposed that contain lead, silver or chrome?			
11	Will batteries be removed/disposed (lead-acid or nickel-cadmium batteries from emergency lights and other battery-powered or battery-backup items)?			
12	Will mercury-containing devices (switches, gauges, thermostats) be removed/disposed?			
13	Will an emergency generator set or other aboveground storage tank (AST) be installed or removed?			
14	Will the renovation work have any indirect			

<sup>2</sup> If the answer of the questionnaire is 'Yes', please describe the possible negative environmental impact.

	impact on environment and ecosystem?			
15	Are there adequate fire-alarm system and fire-fighting arrangements in the academic building			

The above answers are true and complete. I understand that the University Grants Commission will depend on them to make its decision.

**Name of Head of Proposal Submitting Entity and Signature with Date:**

Signature with Date \_\_\_\_\_

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

Contact Telephone Number and E-mail: \_\_\_\_\_

**Please sign below to verify that the information in this document is accurate and complete to the best of your knowledge.**

Environment Professional's Signature & Date:

Signature with Date: \_\_\_\_\_

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

Contact Telephone Number and E-mail: \_\_\_\_\_

Proposal Identification Number (PIN).....

**University Grants Commission of Bangladesh**  
**Higher Education Acceleration and Transformation Project**  
**Academic Transformation Fund**

*Environment and Safety Checklist for Window 3a and 3b, Window 4 and Window 5 Sub-projects*

**Instructions**

The purpose of this checklist is to identify potential environment and safety issues related to the research proposal. This is a generalized checklist format for all category research works. However, it is anticipated the research proposals under ‘Arts, Humanities and Social Sciences’ and ‘Business and Law’ will not have any environment impact and thus the proposals under these disciplines will not require to submit the checklist unless the UGC request for such checklist.

The applicant will fill-up the format, which will be reviewed and signed by the Head of proposal submitting entity. THEF the checklist shows potential negative environmental impacts the applicant will submit a separate sheet for mitigation measures for it (Attachment A).

Title of the ATF Sub-project: \_\_\_\_\_

Institution: \_\_\_\_\_

Type of Research: Innovation Research

Research Activity: New Activity

Research Disciplines:

Duration of Research Work: \_\_\_\_\_ Months

Tentative Start Date: \_\_\_\_\_

**Brief Description of Research Activity (Within 200 words)**

### 1.1.1.1 Checklist

SI #	Screening Questions	Yes	No	Remarks
1	Will the research work be laboratory based? [ATF the answer of question 1 is no, then go to question 6.]			
2	Does the laboratory have			
	i environment, health and safety protocol or guidelines?			
	ii adequate fire safety provision?			
	iii safety provision for gas cylinder handling?			
	iv proper waste disposal facilities?			
	v adequate liquid waste management facilities?			
	vi proper storage facilities for hazardous chemicals, pesticides, acids etc.?			
	vii adequate ventilation system?			
	viii first-aid facilities?			
	ix emergency exit facilities?			
x trained professional to guide the researchers/students about safety procedures?				
3	Will the laboratory based research work			
	i require procurement of hazardous products (WHO Hazard Class I & II)?			
	ii produce hazardous waste materials?			
	iii generate infectious waste?			
	iv cause significant emissions of gas harmful to health?			
	v generate liquid waste?			
vi cause any major noise?				
4	Does the applicant have received formal training on laboratory operation and safety rules?			
5	Does the applicant have previous work experience at laboratory on similar works?			
6	Will the research work require interventions at field level?			
7	Will the field based research work			
	i located at or near an environmentally sensitive area?			
	ii require procurement of hazardous products (WHO Hazard Class I & II)?			
iii	discharge any liquid waste in the environment?			

	iv	discharge large quantities of waste/used water?			
	v	generate hazardous waste?			
	vi	impair downstream water quality?			
	vii	have any possible degradation in land and ecosystem?			
	viii	cause local air pollution from any plant/system operation?			
	ix	generate excessive noise and/or dust?			
8		Will medical, biophysical or clinical research be conducted using human subjects?			
9		Will the project have any indirect impact on environment and ecosystem?			
10		Will the research work involve permission or clearance of any government department or agency?			
11		Will future expansion or implementation of research finding cause any major environment problem?			

The above answers are true and complete. I understand that the University Grants Commission will depend on them to make its decision.

Name of Head of Proposal Submitting Entity and Signature with Date:

Signature with Date \_\_\_\_\_

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

Contact Telephone Number and E-mail: \_\_\_\_\_

**Please sign below to verify that the information in this document is accurate and complete to the best of your knowledge.**

Environment Professional's Signature & Date:

Signature with Date: \_\_\_\_\_

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

Contact Telephone Number and E-mail: \_\_\_\_\_

**Higher Education Acceleration and Transformation Project  
Academic Transformation Fund**

*Environmental Monitoring and Mitigation Plan*

**Table 1: Typical Environmental Mitigation Plan**

<b>Activity/Issue</b>	<b>Potential Environmental Impacts</b>	<b>Proposed Mitigation Measures</b>	<b>Responsible Parties</b>	<b>Estimated Cost</b>

**Table 2: Typical Environmental Monitoring Plan**

<b>Issue</b>	<b>Parameters</b>	<b>Monitoring Frequency</b>	<b>Monitoring Location</b>	<b>Responsible Parties</b>

**University Grants Commission of Bangladesh**  
**Higher Education Acceleration and Transformation Project**  
**Academic Transformation Fund**

**SOCIAL SCREENING FORM**

*[This form will be filled up by the Head of proposal submitting entity of the university and shall constitute an annex to the Sub-project Proposal (SPP) format to be submitted for ATF grants]*

**Part A: General Information**

Screening Date: .....

Name of the Institute: .....

District: ..... Upazila: .....

Name of the Principal/Head: .....

Names of Committee Members participated in Screening:

- 01.
- 02.
- 03.

Names of MoE/UGC/HEAT PMU Member, if any, Participated in Screening:

- 01.
- 02.
- 03.

**Part B: Activities**

1. Major Activities using the ATF money

2. Click ATF activities     New construction     Improvements     Repair/Renovation  
include any:

3. Description of the physical works, if any:



**Part C: Social Issues**

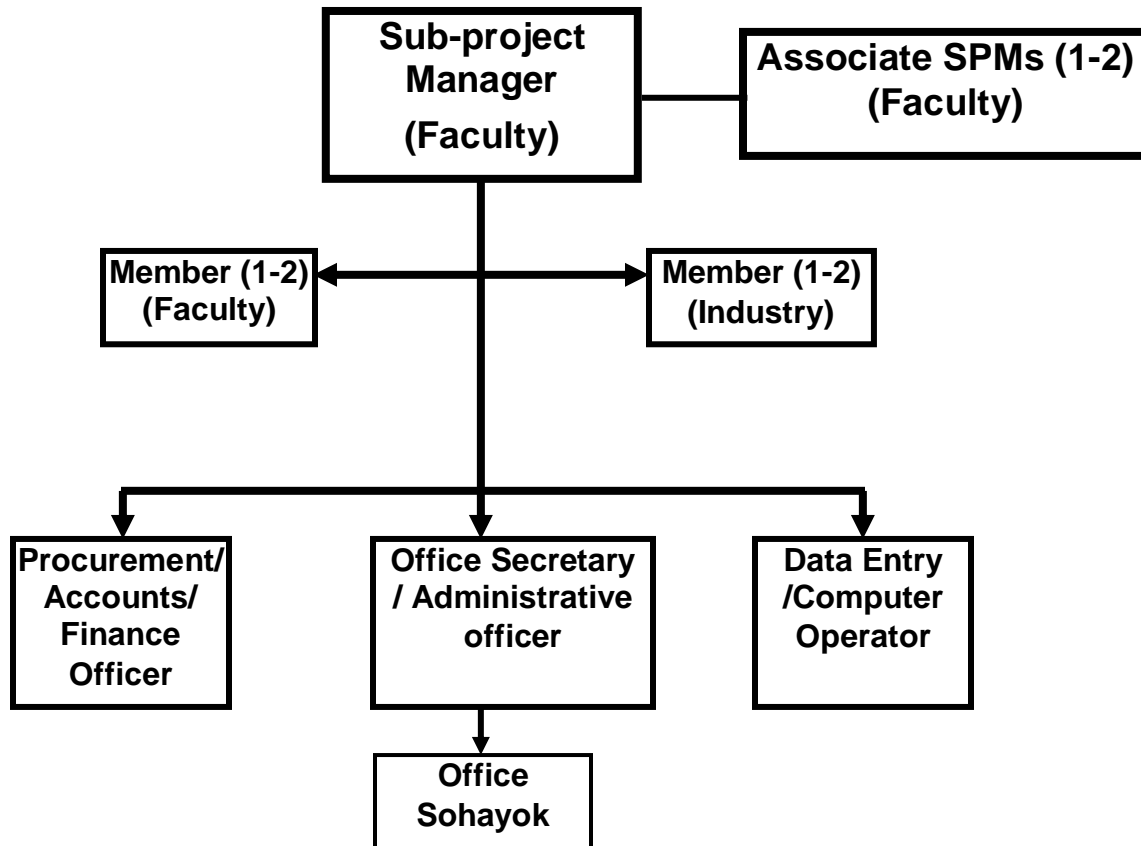
1. Will there be a need for additional lands to carry out the intended works?  
 Yes       No
2. Does this activity affect any community groups' access to any resources that they use for livelihood?  
 Yes       No
3. Does your institute's catchment area has a significant number of Indigenous People (IP)?  
 Yes       No
4. Does your proposed activities ensure equal inclusion right to the IP?  
 Yes       No
5. Does your proposed activity pose any threat to cultural tradition and way of life?  
 Yes       No
6. Does your proposed activity severely restrict access to common property resources and livelihood activities?  
 Yes       No
7. Does your proposed activity affect places/objects of cultural and religious significance (places of worship, ancestral burial grounds, etc.)  
 Yes       No
8. Names of TP community members and organizations which participated in Social Screening (if any):
9. Any social concerns expressed by IP community and organizations, students and teachers?
10. The IP community and organizations perceive the social outcomes of the activity:  
 Positive  
 Negative  
 Neither positive nor negative
11. In respect of the social impacts and concerns, is there a need to undertake an additional impact assessment study?  
 Yes       No

**Prepared by (Name):** .....

**Signature:** .....

**Date:** .....

**Indicative Organogram of the Sub-project Management Office**



- *Please note that the above organogram is indicative and may be expanded and/or revised as required by the sub-project.*
- *Sub-project management team includes SPM, ASPMs, and SPMT Members*
- *Please do not mention name of any member of the management team in this organogram*

**Sub-project Management Team\***

Name/Designation of Management and Support Staff	Faculty or Industry	Position in the Institution and Entity	Position in the Sub-project	Specific Responsibilities	Time Dedicated to the Sub-project/person-month**
<b>(Name of Management Staff)</b>					
			SPM		
			ASPM		
			Member SPMT		
<b>(Designation of Supporting Staff)</b>					

Please attach a resume of the **SPM, ASPMs** and **SPMT** Members as per **Attachment A & B**

\* Attach Sub-project Management Table of Organization as per **SPP Annex 11**

\*\* Hours per person per week

**Experience of SPMT**

Sl	Name and Designation	Position in SPMT	Number of completed projects	The value of completed projects in BDT	Number of publications and Citations	
					Publications in Q1 journals	Citations in google scholar
1		SPM				
2		ASPM				
3		Member				
4		Member				

**RESUME of Sub-project Manager (SPM), Associate Sub-project Managers (ASPMs) and SPMT Members**

**1. PERSONAL DATA**

LAST NAME	MIDDLE NAME		FIRST NAME	
DATE OF BIRTH	E-MAIL	TELEPHONE (OFFICE)	TELEPHONE (HOME)	MOBILE NUMBER
FAX NUMBER	TAXPAYER I.D. NUMBER (TIN)	CURRENT POSITION		
PLACE OF BIRTH	NATIONALITY	CURRENT RESIDENT ADDRESS IN FULL		
WORKING HOURS (hours per week)				

**2. ACADEMIC DATA**

UNDERGRADUATE	UNIVERSITY	COUNTRY	YEAR
GRADUATE	UNIVERSITY	COUNTRY	YEAR

**3. EXPERIENCE IN IMPLEMENTING PROJECT/RESEARCH**

TITLE OF THE PROJECT/ RESEARCH ACTIVITY	DONOR/ SPONSOR	POSTION IN THE PROJECT	YEAR	
			FROM	TO
<b>Prior Projects</b>				
<b>Ongoing Projects</b>				
<b>Submitted Projects elsewhere (if any)</b>				

**4. NUMBER OF RESEARCH PUBLICATIONS** (Upload: CV of SPM, ASPM and SPMT members online.)

NUMBER OF TOTAL RESEARCH PUBLICATIONS	NUMBER OF PUBLICATIONS IN LOCAL/NATIONAL JOURNALS	NUMBER OF PUBLICATIONS IN INTERNATIONAL JOURNALS	NUMBER OF PUBLICATIONS IN Q1 & Q2 JOURNALS	CITATIONS IN GOOGLE SCHOLAR

**5. PRIOR POSITIONS**

INSTITUTION	POSITION	FROM	TO

**6. INSTITUTIONAL ADDRESS**

NAME OF INSTITUTION	LOCATION & ADDRESS	WEBSITE	E-MAIL

**Sub-project Proposal Endorsement by University Management**

- a. **Sub-project Title:** .....
- b. **Proposal Submitting Entity:** (if more than one entity, please mention those names)  
Department/Faculty/Institute/Center/University:  
.....
- c. **Sponsoring /Endorsing University:** .....  
(Name, Address, Location, website)
- d. **Partnering Industry:** .....  
(Name, Address, Location, website)
- e. **Total Cost of the Sub-project (in Taka):**.....
- f. **Implementation Period:**
  - i. Commencement: .....
  - ii. Completion:.....
- g. **Certification:** We, the undersigned, certify that to the best of our knowledge and belief, this sub-project document follows ATFOM and correctly describes all required information. We understand that any wilful misstatement described herein may lead to disqualification or dismissal of our sub-project proposal.

Name & address of Associate Sub-project Manager	Name & address of Sub-project Manager
..... .....	..... .....
<p align="center">-----  <b>(Signature of the ASPM)</b>  <b>with name, seal and date</b></p>	<p align="center">-----  <b>(Signature of the SPM)</b>  <b>with name, seal and date</b></p>

-----  
**Signature of the Head of Proposal Submitting Entity**  
**with name, seal and date**.....

**Institutional Commitment:**  
 (.....*Name of the University*.....) hereby commits to extend all required support to the implementation of the proposed sub-project and pledges to make efforts for its sustainability.

-----  
**Vice-Chancellor**

**University Grants Commission of Bangladesh**  
**Higher Education Acceleration and Transformation Project (HEATP)**  
**Academic Transformation Fund (ATF)**

**Partnership Agreement for W-3b Sub-project:**  
**Collaborative Research with Industries and Research Institutes**

**Partnership Agreement**

between

the ..... (name of university)

and

the ..... (name of industry)

This Memorandum of Understanding (hereafter, “**MoU**”) is entered into this day of .....2025 between the ..... (Name of Proposal Submitting Entity) and hereinafter referred to as the **Entity** and the ..... (Name of Industry) and hereinafter referred to as the **Industry**, acting by and through its duly authorized representatives, whereby the two Parties agreed to execute this **MoU** as follows:

- (a) This MoU will enable the Parties to:
  - (i) Foster research collaboration between the Parties under the Higher Education Acceleration and Transformation Project (hereafter, “HEAT”);
  - (ii) Set the ground for a longer-term university-industry partnership;
  - (iii) Strengthen the innovative capacities of Parties and advance market-driven research and innovation;
  - (iv) Provide the Entity with access to industrial environments for applied research activities;
  - (v) Provide the Industry with access to modern sophisticated research environment at university;
- (b) The parties hereby agree to establish collaboration according to terms and conditions set out in the articles following hereunder:

**ARTICLE- I: BACKGROUND**

1.1 This **MoU** will be submitted to the University Grants Commission (“UGC”) of Bangladesh as part of the proposal for accessing grants from the Academic Transformation Fund (ATF) component of HEAT. UGC promotes researches on innovative technologies and commercialization of advanced technologies created by universities through leveraging university-industry collaboration by awarding grants for joint research projects on a competitive basis.

1.2 University-industry research collaboration is still at its nascent stage in Bangladesh and has been an untapped potential for both sides as well as for society at large. Universities in Bangladesh are the main institutions of knowledge creation in the country. It is critical that universities now strive for

generation of researches that would lead to innovative of technologies, products and services that could be patented and transferred to industries for large scale production and marketing. This would contribute enormously towards increased growth and wealth creation for the society. In this endeavor, effective collaboration between universities and industries is essential. For companies, in order to stay competitive and profitable in an increasingly globalized economy, access to advanced research facilities, expert human resources and new ideas are crucial. By partnering with a university these needs can be met, Thus, mutually beneficiary collaborative research projects between universities and industries will enable both parties to expand growth in their areas and contribute to national development.

**ARTICLE- II: SCOPE OF THE MoU**

- 2.1 The general purpose of this MoU is to facilitate industry and research cooperation between the Parties hereunder based upon the principles of mutual benefit and may include the following areas;
- 2.1.1 terms of joint research activities.
  - 2.1.2 expected deliverables and timeline.
  - 2.1.3 obligations and responsibilities
  - 2.1.4 benefit and cost sharing agreement

**ARTICLE- III: THE AGREEMENT**

3.1 The Parties hereby agree as follows:

1. Final Output	The Parties shall jointly implement the research and related duties to produce the following final output(s). [Specify the final output(s) (product/service and patent) that the sub-project will aim to produce]
2. Scope of Works and Deliverables	The Parties shall perform the works and deliver the deliverables specified below to accomplish the objective of the sub-project. <b>Works and Deliverables by the Entity</b> [Indicate key works to be done and deliverables produced by the university side, together with their estimated deadlines] <b>Works and Deliverables by the Industry</b> [Indicate key works to be done and deliverables produced by the industry side, together with their estimated deadlines]
3. Obligations and Responsibilities	The Parties shall provide the following facilities, equipment, and services for the use of the joint research project. <b>Obligation of the Entity</b> [Provide a list of facilities, equipment, and services that the entity will make available for the sub-project] <b>Obligation of the Industry</b> [Provide a list of facilities, equipment, and services that the Industry will make available for the sub-project]
4. Intellectual Property	[Specify the agreement made between the entity and industry as to how to handle the application and follow ups for patent and ownership of patent and produced research outputs in general]

5. Benefit sharing	[Specify the expected and potential monetary benefits from the joint research and its outputs, as well as agreement on how to share benefits between the entity and industry, including potential benefit from licensing of patents and commercialization of the research outputs. * Do not mention rules of benefit sharing for individual within the entity or industry.]
6. Cost sharing	[Specify cost borne by either of the parties if there will be costs outside of expenditure under the Academic Transformation Fund (ATF), including cost of processing patent application, attorney, SPMT member's (from industry) incentive, etc.]
7. Project Members	The members of Sub-project Management Team from the Entity and Industry are as follows:  [List members from the entity and industry]

**ARTICLE- IV: GENERAL TERMS**

- 4.1 This MoU is not intended to, and does not create any right, benefit, or trust responsibility, substantive or procedural, enforceable at law or equity, by either party, its officers, employees, or agents against the other party, its officers, employees, or agents.
- 4.2 Both Parties agree to the Confidentiality of Disclosed Information in which information, data, technologies, research results, and other proprietary intellectual properties disclosed by the Industry for the purpose of the joint research shall not, under any circumstances, be disclosed by the Entity to any outside parties or shall not be used by the member of the Entity for their publication without prior written consent of the Industry.
- 4.3 The Industry shall offer full cooperation to the Entity for complying with auditing, inspection, and reporting requirements of the HEAT and World Bank on accounting and other records related to the implementation of the joint research project as well as on progress monitoring and reporting. The Industry shall cooperate fully with financial and procurement management operation of the Entity by providing necessary information and documents as prescribed by the requirements specified in the Operations Manual and as instructed by the HEAT PMU.
- 4.4 This MoU is amendable upon mutual consent of the Parties at any time after this MoU becomes effective.
- 4.5 Both Parties understand that any publications derive from this collaborative undertaking are required to duly acknowledge contribution of the HEAT and World Bank funding.
- 4.6 Both Parties understand and will comply with the IDA's Guidelines on Preventing and Combating Fraud and Corruption (ATFOM **Annex 18**).

\_\_\_\_\_  
Signature (*Head of the Proposal Entity*)

\_\_\_\_\_  
Name:  
Designation:  
Date:

\_\_\_\_\_  
Official Seal

\_\_\_\_\_  
Signature(*Industry Representative*)

\_\_\_\_\_  
Name:  
Designation:  
Date:

\_\_\_\_\_  
Official Seal



**University Grants Commission of Bangladesh**  
**Higher Education Acceleration and Transformation Project**  
**Academic Transformation Fund**

**CHAPTER 12**

**MARK DISTRIBUTION MATRICES FOR ARP EVALUATION  
OF SUB-PROJECTS**

***Higher Education Acceleration and Transformation Project  
Academic Transformation Fund***

***Evaluation Form for  
Area Review Panel Member & External Reviewer***

***Sub-project N°:*** .....

***Sub-project Title:*** .....

***Proposal Submitting Entity  
(Department/Faculty/Institute/Center/School).....***

.....

***Proposal Endorsing University:*** .....

***Total Marks Given.....***

***Evaluator\*:*** .....

**(Name, position, institution)**

***Mobile Number.....***

***Email.....***

***Signature:*** .....

***Date:*** .....

\* *Evaluators are requested to complete this form in FULL.*

## Summary of

### Distribution of Marks for Evaluation of Sub-projects for W-1 and W-3a

*[Note: All sub-criteria as set out below will be individually scored. If any sub-criterion is not scored, the evaluation of the Sub-project will be considered as incomplete. Please award marks for each item up to one decimal place]*

<b>EVALUATION CRITERIA</b>	<b>MARKS</b>
<b>1. Clarity and Quality of Strategic Analysis and Proposal Design</b>	<b>20.0</b>
<i>1.1 Strategic analysis and background data</i>	<i>5.0</i>
<i>1.2 Objectives and expected results</i>	<i>5.0</i>
<i>1.3 Proposal design</i>	<i>5.0</i>
<i>1.4 Innovation nature</i>	<i>5.0</i>
<b>2. Quality and Clarity of the Milestones and Performance Indicators</b>	<b>10.0</b>
<i>2.1 Milestones</i>	<i>5.0</i>
<i>2.2 Performance indicators</i>	<i>5.0</i>
<b>3. Access to Higher Education and Research</b>	<b>10.0</b>
<i>3.1 Faculty, Postgraduate student and researcher access to quality research facilities and opportunities.</i>	<i>5.0</i>
<i>3.2 Improvement of quality of undergraduate and graduate program</i>	<i>5.0</i>
<b>4. Justification of the Budget</b>	<b>10.0</b>
<i>4.1 Coherence with proposal design and expected results</i>	<i>5.0</i>
<i>4.2 Rationale and justification</i>	<i>5.0</i>
<b>5. Quality of the Management Plan</b>	<b>10.0</b>
<i>5.1 Work plan</i>	<i>5.0</i>
<i>5.2 Financial and procurement plans</i>	<i>5.0</i>
<b>6. Experiences of SPMT</b>	<b>20.0</b>
<i>6.1 Number of Completed Research projects (National &amp;International)</i>	<i>10.0</i>
<i>6.2 Number of Q1 Publications and Citation of SPMT</i>	<i>10.0</i>
<b>7. Clarity of Impact Analysis</b>	<b>10.0</b>
<i>7.1 Impact analysis</i>	<i>5.0</i>
<i>7.2 Realism and relevance</i>	<i>5.0</i>
<b>8. Sustainability</b>	<b>10.0</b>
<i>8.1 Institutional commitment and engagement</i>	<i>5.0</i>
<i>8.2 Institutional commitments for future investments</i>	<i>5.0</i>
<b>Total marks</b>	<b>100.0</b>

## EVALUATION QUESTIONNAIRE FOR W-1 & 3a

<b>1. Clarity and quality of the strategic analysis, objectives and expected results and innovative nature of the proposal</b>						<b>/20</b>
<i>1.1 Strategic analysis and background data</i>						<i>/5</i>
<ul style="list-style-type: none"> <li>▪ How is the overall quality of the strategic analysis (strength, weaknesses, opportunities and threats) and the background data used to establish the progression of institutional academic capacity in time?</li> </ul>						
<i>1.2 Objectives and expected results</i>						<i>/5</i>
<ul style="list-style-type: none"> <li>▪ Are the proposal specific objectives and expected results clear, coherent and realistic?</li> </ul>						
<i>1.3 Design</i>						<i>/5</i>
<ul style="list-style-type: none"> <li>▪ How is the overall quality of the proposal design, as related to coherence between strategic analysis, problem statement, expected results and outcomes, benefits and overall viability?</li> </ul>						
<i>1.4 Innovative nature</i>						<i>/5</i>
<ul style="list-style-type: none"> <li>▪ To what extent the proposal and proposed activities reflect academic innovation, new management practices and tuning with the student (or researcher) needs?</li> </ul>						
<b>2. Quality and clarity of the milestones and performance indicators to measure progress, results and impact</b>						<b>/10</b>
<i>2.1 Milestones</i>						<i>/5</i>
<ul style="list-style-type: none"> <li>▪ To what extent the milestones described indicate the crucial activities and expected results considered in the proposal?</li> </ul>						
<i>2.2 Performance indicators</i>						<i>/5</i>
<ul style="list-style-type: none"> <li>▪ To what extent the performance indicators are relevant to the specific objectives, design of the proposal and expected results and outcomes?</li> </ul>						
<b>3. Access to Higher Education and Research</b>						<b>/10</b>
<i>3.1 Access to quality research facilities and opportunities</i>						<i>/5</i>
<ul style="list-style-type: none"> <li>▪ To what extent Faculty, Postgraduate student and researcher access to quality research facilities and opportunities (Window-1 and Window 3: Research (a))?</li> </ul>						
<i>3.2 Relevance with undergraduate and graduate degree programs</i>						<i>/5</i>
<ul style="list-style-type: none"> <li>▪ To what extent the proposal is relevance with the existing undergraduate and graduate programs?</li> </ul>						
<b>4. Clarity and justification of the proposal budget</b>						<b>/10</b>
<i>4.1 Coherence with proposal design and expected results</i>						<i>/5</i>
<ul style="list-style-type: none"> <li>▪ To what extent the proposed investments for all the activities (e.g., updating of curricula, academic staff development, procurement of equipment/ instruments/ teaching-learning materials, training of academic staff and students, collection of books for library, scholarships and fellowships, increased funding for research) conform to the proposal design and lead to the stated specific objectives and expected results and outcomes?</li> </ul>						
<i>4.2 Rationale and justification</i>						<i>/5</i>

<ul style="list-style-type: none"> <li>To what extent the amounts requested for each item of expenditure in the proposal are rational and justified?</li> </ul>							
<b>5. Quality and clarity of the proposed work, financing and procurement plans</b>							
<b>5.1 Work and Training plan</b>							<b>/5</b>
<ul style="list-style-type: none"> <li>How is the clarity and quality of the work plan, its relevance to the proposal objectives and coherence with proposal activities and actions?</li> </ul>							
<b>5.2 Financial and procurement plans</b>							<b>/5</b>
<ul style="list-style-type: none"> <li>How is the clarity and quality of the financial and procurement plan, its relevance to the proposal objectives and coherence with proposal activities and actions?</li> </ul>							
<b>6. Experience of SPMT</b>							<b>/20</b>
<b>6.1 Number of completed similar research projects</b>							<b>/10</b>
<ul style="list-style-type: none"> <li>Number of projects completed by SPMT.</li> </ul>							
<ul style="list-style-type: none"> <li>The value of completed project/s in BDT.</li> </ul>							
<b>6.2 Publications/Citations of SPMT</b>							<b>/10</b>
<ul style="list-style-type: none"> <li>Number of Publications are published in index journals.</li> </ul>							
<ul style="list-style-type: none"> <li>Number of citations in google scholar.</li> </ul>							
<b>7. Impact the sub-project will have on environment/eco-system, gender inequality, employment, poverty reduction, academic programs, human development, research, food security, production innovation, governance and disaster management</b>							
<b>7.1 Impact analysis</b>							<b>/5</b>
<ul style="list-style-type: none"> <li>How is the clarity and quality of the impact analysis?</li> </ul>							
<b>7.2 Realism and relevance</b>							<b>/5</b>
<ul style="list-style-type: none"> <li>To what extent the impact analysis is realistic and relevant to the proposal objectives and expected results and outcomes?</li> </ul>							
<b>8. Academic and financial sustainability of the implementation after the ATF support has ended</b>							<b>/10</b>
<b>8.1 Institutional commitment and engagement in the proposal</b>							<b>/5</b>
<ul style="list-style-type: none"> <li>To what extent the fund recipient institution's commitment and engagement is reflected in the proposal?</li> </ul>							
<b>8.2 Institutional commitments for future investments</b>							<b>/5</b>
<ul style="list-style-type: none"> <li>To what extent institutional commitments would induce future investments, academic improvement, processes and outcomes envisaged in the sub-project?</li> </ul>							
<b>Total Marks</b>							<b>/100</b>

## Summary of

### Distribution of Marks for Evaluation of Sub-projects for W-3b

*[Note: All sub-criteria as set out below will be individually scored. If any sub-criterion is not scored, the evaluation of the Sub-project will be considered as incomplete. Please award marks for each item up to one decimal place]*

<b>EVALUATION CRITERIA</b>	<b>MARKS</b>
<b>1. Clarity and Quality of Strategic Analysis and Proposal Design</b>	<b>20.0</b>
<i>1.1 Strategic analysis and background data</i>	<i>5.0</i>
<i>1.2 Objectives and expected results</i>	<i>5.0</i>
<i>1.3 Proposal design</i>	<i>5.0</i>
<i>1.4 Innovation nature</i>	<i>5.0</i>
<b>2. Quality and Clarity of the Milestones and Performance Indicators</b>	<b>10.0</b>
<i>2.1 Milestones</i>	<i>5.0</i>
<i>2.2 Performance indicators</i>	<i>5.0</i>
<b>3. Access to Higher Education and Research</b>	<b>10.0</b>
<i>3.1 Faculty, Postgraduate student and researcher access to quality research facilities and opportunities.</i>	<i>5.0</i>
<i>3.2 Improvement of quality of undergraduate and graduate program</i>	<i>5.0</i>
<b>4. Justification of the Budget</b>	<b>10.0</b>
<i>4.1 Coherence with proposal design and expected results</i>	<i>5.0</i>
<i>4.2 Rationale and justification</i>	<i>5.0</i>
<b>5. Quality of the Management Plan</b>	<b>10.0</b>
<i>5.1 Work plan</i>	<i>5.0</i>
<i>5.2 Financial and procurement plans</i>	<i>5.0</i>
<b>6. Experience of SPMT</b>	<b>20.0</b>
<i>6.1 Number of Completed Research projects</i>	<i>5.0</i>
<i>6.2 Number of Publications and Citation of SPMT</i>	<i>5.0</i>
<i>6.3 Number of Patent</i>	<i>5.0</i>
<i>6.4 Yearly turnover of the industry</i>	<i>5.0</i>
<b>7. Clarity of Impact Analysis</b>	<b>10.0</b>
<i>7.1 Impact analysis</i>	<i>5.0</i>
<i>7.2 Realism and relevance</i>	<i>5.0</i>
<b>8. Sustainability</b>	<b>10.0</b>
<i>8.1 Institutional commitment and engagement</i>	<i>5.0</i>
<i>8.2 Institutional commitments for future investments</i>	<i>5.0</i>
<b>Total marks</b>	<b>100.0</b>

## EVALUATION QUESTIONNAIRE FOR W-3b

<b>1. Clarity and quality of the strategic analysis, objectives and expected results and innovative nature of the proposal</b>						<b>/20</b>
<i>1.1 Strategic analysis and background data</i>						<i>/5</i>
<ul style="list-style-type: none"> <li>▪ How is the overall quality of the strategic analysis (strength, weaknesses, opportunities and threats) and the background data used to establish the progression of institutional academic capacity in time?</li> </ul>						
<i>1.2 Objectives and expected results</i>						<i>/5</i>
<ul style="list-style-type: none"> <li>▪ Are the proposal specific objectives and expected results clear, coherent and realistic?</li> </ul>						
<i>1.3 Design</i>						<i>/5</i>
<ul style="list-style-type: none"> <li>▪ How is the overall quality of the proposal design, as related to coherence between strategic analysis, problem statement, expected results and outcomes, benefits and overall viability?</li> </ul>						
<i>1.4 Innovative nature</i>						<i>/5</i>
<ul style="list-style-type: none"> <li>▪ To what extent the proposal and proposed activities reflect academic innovation, new management practices and tuning with the student (or researcher) needs?</li> </ul>						
<b>2. Quality and clarity of the milestones and performance indicators to measure progress, results and impact</b>						<b>/10</b>
<i>2.1 Milestones</i>						<i>/5</i>
<ul style="list-style-type: none"> <li>▪ To what extent the milestones described indicate the crucial activities and expected results considered in the proposal?</li> </ul>						
<i>2.2 Performance indicators</i>						<i>/5</i>
<ul style="list-style-type: none"> <li>▪ To what extent the performance indicators are relevant to the specific objectives, design of the proposal and expected results and outcomes?</li> </ul>						
<b>3. Access to Higher Education and Research</b>						<b>/10</b>
<i>3.1 Access to quality research facilities and opportunities</i>						<i>/5</i>
<i>1.1</i> To what extent Faculty, Postgraduate student and researcher access to quality research facilities and opportunities (Window-1 and Window 3: Research (a))?						
<i>3.2 Relevance with undergraduate and graduate degree programs</i>						<i>/5</i>
<ul style="list-style-type: none"> <li>▪ To what extent the proposal is relevance with the existing undergraduate and graduate programs?</li> </ul>						
<b>4. Clarity and justification of the proposal budget and Quality and clarity of the proposed work, financing and procurement plans</b>						<b>/20</b>
<i>4.1 Coherence with proposal design and expected results</i>						<i>/5</i>
<ul style="list-style-type: none"> <li>▪ To what extent the proposed investments for all the activities (e.g., updating of curricula, academic staff development, procurement of equipment/ instruments/ teaching-learning materials, training of academic staff and students, collection of books for library, scholarships and fellowships, increased funding for research) conform to the proposal design and lead to the stated specific objectives and expected results and outcomes?</li> </ul>						

<b>4.2 Rationale and justification</b>					<b>/5</b>
<ul style="list-style-type: none"> <li>▪ To what extent the amounts requested for each item of expenditure in the proposal are rational and justified?</li> </ul>					
<b>5. Quality and clarity of the proposed work, financing and procurement plans</b>					
<b>5.1 Work and Training plan</b>					<b>/5</b>
<ul style="list-style-type: none"> <li>▪ How is the clarity and quality of the work plan, its relevance to the proposal objectives and coherence with proposal activities and actions?</li> </ul>					
<b>5.2 Financial and procurement plans</b>					<b>/5</b>
<ul style="list-style-type: none"> <li>▪ How is the clarity and quality of the financial and procurement plan, its relevance to the proposal objectives and coherence with proposal activities and actions?</li> </ul>					
<b>6 Experience of SPMT</b>					<b>/20</b>
<b>6.1 Number of completed similar research projects</b>					<b>/5</b>
<ul style="list-style-type: none"> <li>▪ Number of projects completed by SPMT.</li> </ul>					
<ul style="list-style-type: none"> <li>▪ The Value of completed project in BDT.</li> </ul>					
<b>6.2 Publications/Citations of SPMT</b>					<b>/5</b>
<ul style="list-style-type: none"> <li>▪ Number of Publications are published in index journals.</li> </ul>					
<ul style="list-style-type: none"> <li>▪ Number of citations in google scholar.</li> </ul>					
<b>6.3 Number of Patents</b>					<b>/5</b>
<ul style="list-style-type: none"> <li>▪ How many patents acquired by the SPMT?</li> </ul>					
<b>6.4 Yearly Turnover of the Industry</b>					<b>/5</b>
<ul style="list-style-type: none"> <li>▪ How much turnover of the industry?</li> </ul>					
<b>7. Impact the sub-project will have on environment/eco-system, gender inequality, employment, poverty reduction, academic programs, human development, research, food security, production innovation, governance and disaster management</b>					<b>/10</b>
<b>7.1 Impact analysis</b>					<b>/5</b>
<ul style="list-style-type: none"> <li>▪ How is the clarity and quality of the impact analysis?</li> </ul>					
<b>7.2 Realism and relevance</b>					<b>/5</b>
<ul style="list-style-type: none"> <li>▪ To what extent the impact analysis is realistic and relevant to the proposal objectives and expected results and outcomes?</li> </ul>					
<b>8. Academic and financial sustainability of the implementation after the ATF support has ended</b>					<b>/10</b>
<b>8.1 Institutional commitment and engagement</b>					<b>/5</b>
<ul style="list-style-type: none"> <li>▪ What extent the fund recipient institution's commitment and engagement is reflected in the proposal?</li> </ul>					
<b>8.2 Institutional commitments for future investments</b>					<b>/5</b>
<ul style="list-style-type: none"> <li>▪ To what extent institutional commitments would induce future investments, academic improvement, processes and outcomes envisaged in the sub-project?</li> </ul>					
<b>Total Marks</b>					<b>/100</b>



## Summary of

### Distribution of Marks for Evaluation of Sub-projects for W-2, W-4 & W-5

*[Note: All sub-criteria as set out below will be individually scored. If any sub-criterion is not scored, the evaluation of the Sub-project will be considered as incomplete. Please award marks for each item up to one decimal place]*

<b>EVALUATION CRITERIA</b>	<b>MARKS</b>
<b>1. Clarity and Quality of Strategic Analysis and Proposal Design</b>	<b>20.0</b>
<i>1.1 Strategic analysis and background data</i>	<i>5.0</i>
<i>1.2 Objectives and expected results</i>	<i>5.0</i>
<i>1.3 Proposal design</i>	<i>5.0</i>
<i>1.4 Innovation nature</i>	<i>5.0</i>
<b>2. Quality and Clarity of the Milestones and Performance Indicators</b>	<b>10.0</b>
<i>2.1 Milestones</i>	<i>5.0</i>
<i>2.2 Performance indicators</i>	<i>5.0</i>
<b>3. Access to Higher Education and Research</b>	<b>15.0</b>
<i>3.1 Student access to quality undergrad and graduate programs (Window2: Improvement of Teaching-Learning Infrastructure)</i>	<i>5.0</i>
<i>3.2 Improvement of quality of undergraduate and graduate program</i>	<i>5.0</i>
<i>3.3 No of students and faculty members benefited</i>	<i>5.0</i>
<b>4. Justification of the Budget</b>	<b>10.0</b>
<i>4.1 Coherence with proposal design and expected results</i>	<i>5.0</i>
<i>4.2 Rationale and justification</i>	<i>5.0</i>
<b>5. Quality of the Management Plan</b>	<b>10.0</b>
<i>5.1 Work plan</i>	<i>5.0</i>
<i>5.2 Financial and procurement plans</i>	<i>5.0</i>
<b>6. Experience of SPMT</b>	<b>10.0</b>
<i>6.1 Number of Completed Research projects</i>	<i>5.0</i>
<i>6.2 Number of Publications and Citation of SPMT</i>	<i>5.0</i>
<b>7. Clarity of Impact Analysis</b>	<b>10.0</b>
<i>7.1 Impact analysis</i>	<i>5.0</i>
<i>7.2 Realism and relevance</i>	<i>5.0</i>
<b>8. Sustainability</b>	<b>15.0</b>
<i>8.1 Institutional commitment and engagement</i>	<i>5.0</i>
<i>8.2 Institutional commitments for future investments</i>	<i>5.0</i>
<b>Total marks</b>	<b>100.0</b>

## EVALUATION QUESTIONNAIRE FOR W-2, W-4 & W-5

<b>1. Clarity and quality of the strategic analysis, objectives and expected results, and innovative nature of the proposal</b>		<b>/20</b>					
<i>1.1 Strategic analysis and background data</i>		<i>/5</i>					
<ul style="list-style-type: none"> <li>▪ How is the overall quality of the strategic analysis (strength, weaknesses, opportunities and threats) and the background data used to establish the progression of institutional academic capacity in time?</li> </ul>	<table border="1" style="width: 100%; height: 20px;"> <tr> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> </tr> </table>						
<i>1.2 Objectives and expected results</i>		<i>/5</i>					
<ul style="list-style-type: none"> <li>▪ Are the proposal specific objectives and expected results clear, coherent and realistic?</li> </ul>	<table border="1" style="width: 100%; height: 20px;"> <tr> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> </tr> </table>						
<i>1.3 Design</i>		<i>/5</i>					
<ul style="list-style-type: none"> <li>▪ How is the overall quality of the proposal design, as related to coherence between strategic analysis, problem statement, expected results and outcomes, benefits and overall viability?</li> </ul>	<table border="1" style="width: 100%; height: 20px;"> <tr> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> </tr> </table>						
<i>1.4 Innovative nature</i>		<i>/5</i>					
<ul style="list-style-type: none"> <li>▪ To what extent the proposal and proposed activities reflect academic innovation, new management practices and tuning with the student (or researcher) needs?</li> </ul>	<table border="1" style="width: 100%; height: 20px;"> <tr> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> </tr> </table>						
<b>2. Quality and clarity of the milestones and performance indicators to measure progress, results and impact</b>		<b>/10</b>					
<i>2.1 Milestones</i>		<i>/5</i>					
<ul style="list-style-type: none"> <li>▪ To what extent the milestones described indicate the crucial activities and expected results considered in the proposal?</li> </ul>	<table border="1" style="width: 100%; height: 20px;"> <tr> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> </tr> </table>						
<i>2.2 Performance indicators</i>		<i>/5</i>					
<ul style="list-style-type: none"> <li>▪ To what extent the performance indicators are relevant to the specific objectives, design of the proposal and expected results and outcomes?</li> </ul>	<table border="1" style="width: 100%; height: 20px;"> <tr> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> </tr> </table>						
<b>3. Access to Higher Education and Research</b>		<b>/15</b>					
<i>3.1 Student access to quality undergrad and graduate programs</i> (Window2: Improvement of Teaching-Learning Infrastructure)		<i>/5</i>					
<ul style="list-style-type: none"> <li>▪ <i>To what extent Student access to quality undergrad and graduate programs</i> (Window2: Improvement of Teaching-Learning Infrastructure)</li> </ul>	<table border="1" style="width: 100%; height: 20px;"> <tr> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> </tr> </table>						
<i>3.2 Number of benefited students</i>		<i>/5</i>					
<ul style="list-style-type: none"> <li>▪ Number of students directly benefited</li> </ul>	<table border="1" style="width: 100%; height: 20px;"> <tr> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> </tr> </table>						
<i>3.2 Number of benefited faculty members</i>		<i>/5</i>					
<ul style="list-style-type: none"> <li>▪ Number of faculty members directly benefited</li> </ul>	<table border="1" style="width: 100%; height: 20px;"> <tr> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> </tr> </table>						
<b>4. Clarity and justification of the proposal budget</b>		<b>/10</b>					
<i>4.1 Coherence with proposal design and expected results</i>		<i>/5</i>					
<ul style="list-style-type: none"> <li>▪ To what extent the proposed investments for all the activities (e.g., updating of curricula, academic staff development, procurement of equipment/ instruments/ teaching-learning materials, training of academic staff and students, collection of books for library, scholarships and fellowships, increased funding for research) conform to the proposal design and lead to the stated specific objectives and expected results and outcomes?</li> </ul>	<table border="1" style="width: 100%; height: 20px;"> <tr> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> </tr> </table>						

<b>4.2 Rationale and justification</b>						/5
<ul style="list-style-type: none"> <li>▪ To what extent the amounts requested for each item of expenditure in the proposal are rational and justified?</li> </ul>						
<b>5. Quality and clarity of the proposed work, financing and procurement plans</b>						<b>/10</b>
<b>5.1 Work and Training plan</b>						/5
<ul style="list-style-type: none"> <li>▪ How is the clarity and quality of the work plan, its relevance to the proposal objectives and coherence with proposal activities and actions?</li> </ul>						
<b>5.2 Financial and procurement plans</b>						/5
<ul style="list-style-type: none"> <li>▪ How is the clarity and quality of the financial and procurement plan, its relevance to the proposal objectives and coherence with proposal activities and actions?</li> </ul>						
<b>6. Experience of SPMT</b>						<b>/10</b>
<b>6.1 Number of completed similar research projects</b>						/5
<ul style="list-style-type: none"> <li>▪ Number of projects completed by SPMT.</li> </ul>						
<ul style="list-style-type: none"> <li>▪ The Value of completed project in BDT.</li> </ul>						
<b>6.2 Publications/Citations of SPMT</b>						/5
<ul style="list-style-type: none"> <li>▪ Number of Publications are published in indexed (Q1 &amp; Q2) journals.</li> </ul>						
<ul style="list-style-type: none"> <li>▪ Number of citations in google scholar.</li> </ul>						
<b>7. Impact the sub-project will have on environment/eco-system, gender inequality, employment, poverty reduction, academic programs, human development, research, food security, production innovation, governance and disaster management</b>						<b>/10</b>
<b>7.1 Impact analysis</b>						/5
<ul style="list-style-type: none"> <li>▪ How is the clarity and quality of the impact analysis?</li> </ul>						
<b>7.2 Realism and relevance</b>						/5
<ul style="list-style-type: none"> <li>▪ To what extent the impact analysis is realistic and relevant to the proposal objectives and expected results and outcomes?</li> </ul>						
<b>8. Academic and financial sustainability of the implementation after the ATF support has ended</b>						<b>/10</b>
<b>8.1 Institutional commitment and engagement</b>						/5
<ul style="list-style-type: none"> <li>▪ What extent the fund recipient institution's commitment and engagement is reflected in the proposal?</li> </ul>						
<b>8.2 Institutional commitments for future investments</b>						/5
<ul style="list-style-type: none"> <li>▪ To what extent institutional commitments would induce future investments, academic improvement, processes and outcomes envisaged in the sub-project?</li> </ul>						
<b>Total Marks</b>						<b>/100</b>

**GENERAL COMMENTS**

Please give criteria-wise specific comments in the following table. The comments are expected to be in conformity with the evaluation marks.

<b>Evaluation Criteria</b>
<b>1. Clarity and Quality of Strategic Analysis and Proposal Design</b>
<b>2. Quality and Clarity of the Milestones and Performance Indicators</b>
<b>3. Relevance to the Country and Benefits</b>
<b>4. Justification of the Budget</b>
<b>5. Quality of the Management Plan</b>

<b>6. Institutional Engagement and Sub-Project Management</b>
<b>7. Clarity of Impact Analysis</b>
<b>8. Sustainability</b>
<b>Any other comments:</b>

<i><b>Overall</b></i>	<b>Deficient</b>	<b>Weak</b>	<b>Fair</b>	<b>Good</b>	<b>Excellent</b>

- Please tick one

**University Grants Commission of Bangladesh**  
**Academic Transformation Fund**  
**Complementary Selection Criteria for UGCBATF**

**Basic Selection Principles**

1. All proposals at the university level have been screened by Planning & Development Division according to prescribed criteria in Table 4 of the *ATFOM* and prioritized to comply with **ATF** funding cap.
2. All sub-project proposals have been evaluated by AEP/ARPs and EE/ERs according to prescribed criteria in Table 5 of the *ATFOM*.
3. Only competent proposals will be considered for approval. Final selection by **UGCBATF** will consider some complementary selection criteria described below. Proposals which have been disapproved after this review should have clear justifications for being so.
4. No deficient proposal will be considered for approval.
5. Proposal writers would have the right to know **ARP** and **ER** evaluation markings and **UGCBATF** final selection making arguments. This will be the basis for improvement and submission of the disapproved proposals to the next round of **ATF** proposal call.
6. **UGCBATF** may readjust **ATF** allocation to university groups, individual universities and between rounds if it finds that equity principles demand such readjustment due to uneven or less or abundant response to proposal call from the institutions in the first round.
7. **UGCBATF**'s decision will be final in respect of a proposal being finally selected for **ATF** grant.

**Complementary Selection Criteria (UGCBATF)**

1. **Relevance to Bangladesh.** To what extent is the sub-project relevant to current or likely future social and economic problems of Bangladesh? Will the sub-project address or tackle an important Bangladeshi social or economic problem?
2. **Education policy.** Will the sub-project contribute to the achievement of the government's policy goals for tertiary education?
3. **Student accessibility of acquired resources.** Will the sub-project lead to channels of greater access to university academic programs by secondary education graduates and adult learners already in the workplace? Will the sub-project enable the institutions to respond to the pressures and opportunities of greater access without compromising academic standards and quality? Does the proposal contain elements that seek to encourage women's employment in society and to professional positions? Does the proposal envisage access to the resources to academics outside the entity itself?
4. **Improvement of quality.** Will the sub-project lead to overall improvement in the quality of educational infrastructure, academic programs, research capabilities and services and diminish national disparities in education quality offered by different universities?
5. **Justification of Budget.** To what extent the proposed investments will help to achieve the stated objectives and the budget is commensurate with the work/activities to be undertaken by the sub-project?
6. **Contribution to building of knowledge economy.** Will the sub-project enhance students', teachers' and researchers' access to connectivity, digital library and other ICT applications and develop their skills for establishing digital Bangladesh?

If the review of a sub-project proposal indicates a positive outcome with reference to above queries then it has the merit for final selection.