

Chapter 1

Introduction

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 km² 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 partner¹ 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)² 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, build campus network in 38 universities and helped digitization of university office. These sub-projects updated 103 curriculum, renovated 1653 classrooms, labs, seminar rooms, established automation of nine libraries, procured 15350 IT equipment, revamped scores of labs with 13934 newly procured state-of-the-art scientific equipment, trained 12012 teachers at home and 517 in abroad, enrolled 617 Masters and 170 PhD students, published 817 papers in peer reviewed journals and 74 books, implemented 10 university-industry joint research projects 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 enters data for the UGC management to look at their functioning and uses the database for publishing its annual report.

¹ World Bank

² Report No: ICR00004868, IMPLEMENTATION COMPLETION AND RESULTS REPORT, WB.

- 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 (**RCTTO**) 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) 163 public and private universities³, 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 Technology⁴. Together, the sector catered to around 4.1 million students⁵ 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 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

³ 53 public and 110 privates; however, only 148 universities are academically functional (53 public and 95 private). 50th Annual Report, UGC, 2023

⁴ Established with the support of the Organization of Islamic Cooperation.

⁵ There were 0.9 million students in universities and 1.7 million students in tertiary colleges in 2016.

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 116th among 126 countries in the GII-2019 which is co-published by Cornell University, **INSEAD**⁶ and World Intellectual Property Organization (WIPO). In the previous year GII released in 2018, Bangladesh ranked 114th among 126 countries thus dropped two notches.⁷ Sustained limited

⁶ 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 countries based on 80 indicators ranging from IP patent filing rates to mobile app creation, education spending and number of scientific and technical publications.

⁷ 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 14th position from 17th in 2017 securing a place in the group of 20 most innovative countries of the world. India ranked 52nd, a big improvement from 60th position in 2017. Pakistan also climbed up four notches to 105th from 109th. Sri Lanka ranked 89th while Nepal stood at 109th. 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-

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 onset of 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 were 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 myriads 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 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 UGC⁸.

The components of the project are as follows:

Component 1: Strengthening International and Global Partnerships in Higher Education

industry collaborative research are a huge drawback for improving Bangladesh's GII.

⁸ The total estimated project cost of HEAT is around BDT 40165.7 million (4016.57 crore). This amount includes GoB grant of 2033.43 crore and IDA credit of 1983.11 crore.

<p>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.</p>	
<p><i>1.1 Institutionalization of Regional and Global Partnerships, Mechanisms to Internationalize Higher Education, Building System Resilience, and Strengthening Digital Connectivity</i></p>	
<p>1.1.1 Institutionalization of Regional and Global Partnerships and Mechanisms to Internationalize Higher Education</p>	<p>This sub-component will finance the strengthening of mechanisms and partnerships in higher education. Specifically, this component will finance:</p> <ul style="list-style-type: none"> (i) Establishing an International and Global Partnerships Desk in the Ministry of Education, Bangladesh to support regional integration efforts and global partnerships through the project; (ii) Develop a White Paper on International integration in close coordination and consultations with SAARC member countries and table it for country endorsement, (iii) Develop university level partnerships with high quality universities across the world in specific priority areas.
<p>1.1.2 Higher Education Portal with Localized Content</p>	<p>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'⁹. 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 can be generalized to students outside their home country and home institution, and on a reciprocal basis.</p>
<p>1.1.3 Emergency Response</p>	<ul style="list-style-type: none"> (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

⁹ 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.

	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	<p>This component will finance following key activities:</p> <ul style="list-style-type: none"> (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).
<p>1.2 International Network of Women's Higher Education Institutions.</p> <p>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.</p>	
1.2.1 Regional Network of Women's Universities	<p>The sub-component will establish a network of women's universities a in Bangladesh with three main objectives:</p> <ul style="list-style-type: none"> (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 scale¹⁰.

¹⁰ In addition, several universities and colleges from other South Asian countries have expressed interest in joining this network as well.

<p>Component 2: Transforming Higher Education in Bangladesh</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>2.1: Supporting Business Continuity under Pandemic and Epidemic</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"> ▪ <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. ▪ <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. ▪ <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.
<p>2.2: Strengthening the Market Relevance of Higher Education Programs in Bangladesh</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"> ▪ Enhancing employability skills of university students, with a particular focus on girls— <ul style="list-style-type: none"> (a) Enhanced exposure programs for university students; and (b) Employment service activities. ▪ Strengthening continuous professional development of university faculty- <ul style="list-style-type: none"> (a) Operationalization of Faculty Professional Development (FPD) and Continuous Professional Development (CPD); and ▪ Promoting advanced research, innovation and entrepreneurship skills and efforts through competitive grants-

	<ul style="list-style-type: none"> (a) Pandemic and Epidemic Related Research and Development (b) Competitive Funds to Improve Infrastructure for Teaching-Learning, Cocurricular and Extra Curricular activities. (c) Advanced Research Grants (d) Innovation Support Facilities (e) Research Coordination and Technology Transfer Offices (RCTTO)
2.3: Improving the Governance and Quality of the Higher Education Sector	<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"> • Improving Higher Education Management: 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. • Quality Assurance: Institutional Quality Assurance Cells (IQACs) will be scaled up and extended to all 171 universities in Bangladesh. The universities will incorporate IQAC in their organogram with the approval of academic council and syndicate/equivalent bodies. • Accreditation: 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.
Component 3: Enhancing Project Management Results Monitoring and Communication	
	<p>The activities under this component include:</p> <ul style="list-style-type: none"> (i) Project management (ii) Monitoring and evaluation (iii) Communication (iv) Technical Assistance (TA), and (v) Help create a grievance redress mechanism (GRM)
Component 4: Contingent Emergency Response Component (CERC)	
	<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 update the Results Framework regularly, 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, coordinate 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.

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.

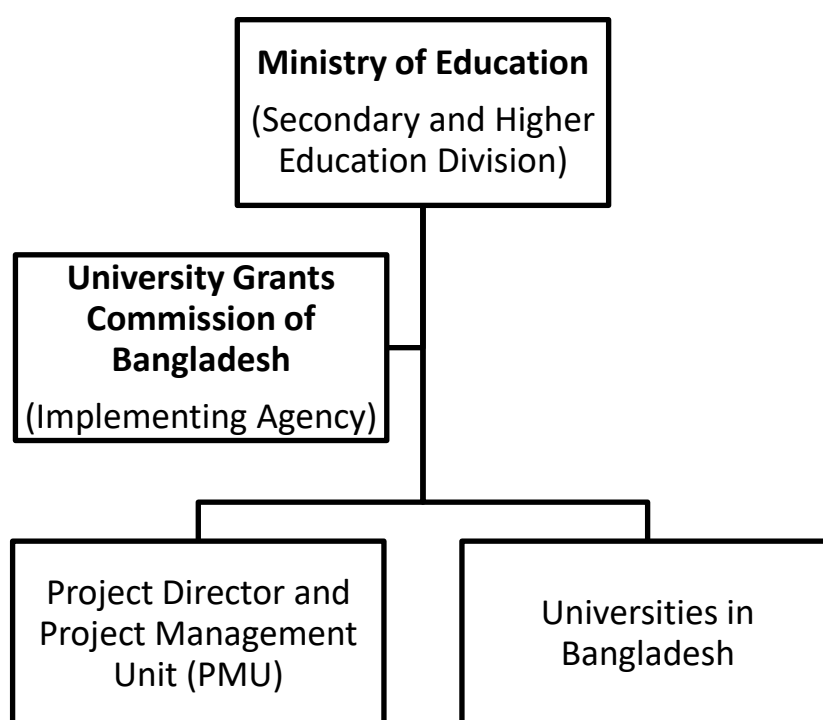


Figure 1: HEAT Project Implementation Arrangement Map

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 (ATF)

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 behavior, 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 (on the last date of proposal submission)

- 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 each undergraduate academic programs;
- In universities which offer only graduate/postgraduate programs, minimum intake of 20 students each graduate/post-graduate level;
- The proposal submitting entity should have at least 4 full-time faculty members including one full-time associate professor with PhD.

2.2.2 For Public Universities

- An *Act* which established the institution as a university or equivalent level;
- A permanent campus/establishment owned by the university is a prerequisite for window-2;

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 two convocations; and
- Availability of audited financial statement not older than previous two years.
- At least 2% of the organization's annual expenditure must be spent on research activities (Please submit annual report).

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/Epidemic Readiness Related Research and Development

There will be three 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/epidemic causing viruses
- (iii) Social adaptation and Institutional readiness during/after pandemic/epidemic

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 public 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** disciplines
- (iii) Updating/modernizing curricula and teaching-learning materials, and
- (iv) Upgradation/renovation of childcare facilities, female washrooms and ensuring campus safety for women
- (v) Upgrading cocurricular and extra-curricular activities.

The facilities and upgraded **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 **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/Associate Professors with a PhD) 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: Research Coordination and Technology Transfer Offices (RCTTO):**

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 of Window-5 will be to establish new research coordination and technology transfer offices (RCTTOs). This project will provide necessary technical assistance during the implementation. The RCTTOs role will be to provide technical support 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 RCTTO 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 incorporate a dedicated office for research coordination and RCTTO in its organogram and provide a consent letter with the SPP about continuation of RCTTO (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 Research Coordination and Technology Transfer Offices (RCTTO) will be to:

- (i) Develop ‘IP Policy for the University’ and prepare implementation plan for proposed IP Policy;
- (ii) Create a robust and sustainable industry-university interaction system and function as a linking agent or an interface between the university and industry;
- (iii) 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;
- (iv) 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);
- (v) securely maintain such intellectual assets of the university by preventing intentional or unintentional infringement or theft;
- (vi) perform, on a continuous basis, the techno-commercial evaluation of these intellectual assets of the university;
- (vii) perform all such acts that will help monetize these intellectual assets such as marketing, seeking new customers, participating in technology transfer conferences, etc.;
- (viii) design, negotiate and execute the technology transfer and licensing agreements with the industry;
- (ix) help create a greater awareness of the science-based business opportunities within the university students, faculty and management, and
- (x) 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 (upper ceiling)
Window 1	Pandemic/Epidemic/Emergency Response/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/epidemic.	Bio-science, Pharmacy and Social Science Departments of Group A & group B Universities	6000	6000	For STEM disciplines: 200; For AHSBL disciplines: 65
Window 2	Improvement of Teaching-Learning Infrastructure, cocurricular and extra-curricular activities				35000		
			Improving of Teaching-Learning infrastructure, cocurricular and extra-curricular activities: 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. (e) Upgradation of cocurricular and extra-curricular facilities.	All Departments/Institutes/Halls of eligible public Universities		35000	For STEM disciplines: 300; For AHSBL disciplines: 150
Window 3					72660		
	(a) Advanced Research	i) Advanced Research in Priority Areas	STEM disciplines:	Departments/Institutes of all eligible Universities		39000	300
			AHSBL disciplines	Departments/Institutes of all eligible Universities		9660	65
		ii) Research Proposals lead by Junior Researchers		Same as above		10000	For STEM disciplines: 200; For AHSBL disciplines: 50
		iii) Climate change related research		Same as above		4000	

Window No.	Window Name	Sub-project type	Indicative Activities	Eligible Entities	Total allocation for the window	Allocation for this type	Allocation to individual SPP (upper ceiling)
	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		10000	500
Window-4	Establishing Innovation Support Facilities				5740		
		Fab Labs, i-labs, Business incubators	Establish new Fab Labs, i-labs, business incubator and upgrading existing Fab labs, Business Incubation Centers tagged with Fab labs and i-Labs	Group A Universities		5500	300
		Networking with other Fab Labs	Establish Fab Lab Bangladesh Network, become member of Fab Lab Asia Network and Fab Foundation			240	100
Window 5	Establishing Technology Transfer Office				3000		
			Establishing new Technology Transfer Offices	Group A Universities		3000	100
Total allocation for all windows					122400		

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)**¹¹.

2.4.2 Sub-Project Management

¹¹ **UGCBATF** shall be composed of the chairman and five members of UGC. Its ToR is given in the ATFOM.

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**) that must include **SPM**, **ASPM** and **Member** who will normally be academics (Faculty members and Research Scientists) of the entity. In the case of **WINDOW-3(b)** sub-projects, a scientist from each industry partner will be a paid member of the **SPMT**. In the case of **WINDOW 2, 4 and 5** sub-projects, a relevant officer of the university may be included as member in the sub-project management team (**SPMT**). **SPM** will recruit office staff, i.e., Office Manager (9th Grade), Accountant/Finance Officer (10th Grade), 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 sub-project office. 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 171 (55 public and 116 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 the 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 HEAT project. 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, stationery, soft-ware, 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 Master's, MPhil, 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 **STEM** disciplines would require modern state-of-the-art lab equipment for conducting advanced research. Most of this 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 **STEM** sub-projects, about 80% of the total fund budgeted for this purpose has been allocated to **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 70:20:10. 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 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 windows and university groups showing institutional ceiling

							BDT in Lakh*	
Window	Name of Window		University Groups					
		Total fund	Group A		Group B		Group C	
			70%		20%		10%	
		Total	Total group Allocat ion	Institut ional ceiling **	Total Group Allocati on	Institut ional ceiling	Total Group Allocati on	Instituti onal ceiling
1	Pandemic and Epidemic Related Research and Development	6000	4800	864	1200	216	-	-
2	Improvement of Teaching-Learning Infrastructure	35000	24500	1960	7000	560	3500	280
3	Advanced Research	72660						

	a) i) Advanced Research in Priority Areas	62660	43862	7895	12532	2256	6266	1128
	STEM	39000	27300	4914	7800	1404	3900	702
	AHSBL	9660	6762	1217	1932	348	966	174
	ii) Research Proposals lead by Junior Researchers	10000	7000	1260	2000	360	1000	180
	iii) Climate change related research	4000	2800	504	800	144	400	72
	b) Collaborative Research with Industries and Research Institutes	10000	7000	1260	2000	360	1000	180
4	Innovation Support Facilities	5740	5740	-	-	-	-	-
5	Technology Transfer Office	3000	3000	-	-	-	-	-
Total Allocation (all windows)		122400						
Allocation Principles 1. Ceiling to an individual university in a group will be 8% for Window-2; 18% for research windows (W 1 & 3) and one sub-project for Window 4 & 5 each. The UGCBATF has the right to change the above-mentioned ceiling. 2. A proposal-submitting entity can receive at most one sub-project from Window-2 and up to two research sub-projects from Windows-1 and 3, including any sub-project awarded in Round-1. 3. a. 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. b. The resource sharing principle stated above shall also apply in case of public-private university joint sub-projects. The resource sharing principle should be incorporated in MoU document of the sub-project. The lead university shall disburse the fund according to financing plan								
* Amounts have been mentioned in round figures								
** Total group allocation and Institutional ceiling is for round 1 & round-2								
NB: Budget allocation for ATF and subsequent implementation period of sub-projects may change subjected to DPP revision.								

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 Training¹²

- 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;
- 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;

¹² Training under all ATF sub-projects will be allowed only to regular/permanent & on duty 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 prior approval of PMU and university management, for undertaking such visit abroad and shall receive financial support for economic return airfare and training fees as required for the program and other allowances from the sub-project as admissible under existing government rules.

2.7.2 Procurement¹³

- 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);
1. 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;¹⁴
- b. Research stay allowances for Master's/PhD students¹⁵
- c. Host institute charges for research stay;¹⁶

2.7.5 Services

- a. Travel expenses, hospitality expenses and remuneration of visiting scholars/

¹³ All goods, works and services to be procured must be included in the financial and procurement plan of the sub-project proposal.

¹⁴ 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/MPhil and 24 months for PhD student. A maximum of four research students (Masters/MPhil/PhD) may be engaged in a sub-project. Tuition fees and other mandatory fees of all registered research students will be paid from the sub-project.

¹⁵ 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 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, Philippines, Turkey)
- For any other counties, decision of UGCBATF will be the final.

¹⁶ 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 BDT 6,25,000/- to the host research supervisor per **Master's/PhD** student per year. Provided that the cost is included in the budget and financing plan of the sub-project.

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.¹⁷ (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);¹⁸
- f. Payment for scientific analytical work (window 1 and window 3 sub-projects).
- g. Academic Collaboration (will require MoU),
- 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/activities¹⁹;
- i. Incentives for Members of the SPMT.²⁰

2.7.6 Staffing of Research Coordination and Technology Transfer Offices (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 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, RCTTO staffs should be regular/permanent employees of the University for continuation of technology transfer activities after completion of the project.

2.7.7 Ineligible Expenditure²¹

- 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/

¹⁷ According to GoB's IP and Patent Law.

¹⁸ Please refer to section on procurement below.

¹⁹ 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 Treasurers and Registrars 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.

²⁰ The SPM, ASPM and Members of a sub-project will be eligible for receiving incentives for four months', two months' and two months' basic salary respectively per year as referred to Annex 11 of this ATFOM. The total ceiling for incentives for the entire sub-project period must not exceed Taka 2.5 million (3.0 million for collaboration project). 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.

²¹ Ineligible expenditures will not be reimbursed by the GoB/World Bank and will have to be borne by the university.

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 2025 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**.

Chapter 3

Preparation of Sub-Project Proposals

3.1 Administrative Structure of ATF

- 3.1.1 The **HEAT-PMU** 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 Division 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 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 **UGC** and **HEAT** project 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 between the two rounds as per decision of the UGCBATF.
- 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 (Appendix-2)
- 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(b)- 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 **SPP**. 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 **SPP**. Further, the specific subject of the sub-project according to the classified cluster should be written in the **SPP**:
- 3.3.4 **Cluster of disciplines for sub-projects**
- (i) **AHSS:** (Arts, Humanities, Social Sciences)
 - (ii) **CCDM:** (Climate Change and Disaster Management)
 - (iii) **PCBMSI:** (Physics, Chemistry, Biology, 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 (SPMT) and Proposal Submitting Entities

3.3.5.1 Every sub-project will require a **SPMT**, consisting of a Sub-project Manager (**SPM**), one Associate Sub-project Managers (**ASPM**), and 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, ASPM and Members** shall be selected from the regular/permanent & on duty" teaching staff of the proposal submitting entity.

3.3.5.2 Following entities in a university shall be eligible²² to submit proposals as given in Table 3.1 below.

Table 3.1. Eligible Entities for submitting Sub-project Proposal

Sub-project type	Eligible Entity	Eligible SPM	Eligible Members of SPMT
Window 1: Pandemic/Epidemic 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 of the institute(s)/center(s) run by the universities
Window 2: Improving Teaching-Learning Infrastructure	Departments/Faculties/Centers /Institutes of all public universities	Head of entity or a nominated of the proposal submitting entity	Teachers of the entity. In case of Library modernization project librarian may include in SPMT
Window 3: (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
Window 3: (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

²² Eligibility criteria have been described in section 2.2 of this OM.

Sub-project type	Eligible Entity	Eligible SPM	Eligible Members of SPMT
Window 4: 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
Window 5: Technology Transfer Office	The eligible public and private universities of Group-A	A Faculty Member nominated by the Vice-Chancellor	Teachers of the University

* *MoU is required for any collaboration: with other university, research institute or industry.*

3.3.5.3 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.

3.3.5.4 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 is 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 P&D office of university for obtaining endorsement of the Vice-Chancellor and onward transmission to **ATF** unit of **HEAT-PMU**.

3.3.6 **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 **ASPM** 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.

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

3.3.7.1 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.

3.3.7.2 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.

The partner industry should have

1. Valid Trade License of the industry/company;
2. TIN certificate of the industry/company;
3. BIN certificate of the industry/company;
4. Turnover of the industry/company for last three financial years
5. Audited financial report for last three financial years
6. Expertise of the industry/company related to the sub-project.
7. Industry/Company structure (Organogram).
8. Certificate of Incorporation (if any)

The above documents must be submitted as attachments with the proposal.

- 3.3.7.3 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.
- 3.3.7.4 Fourth, the draft **MoU** shall be submitted to the **VC** of the university for obtaining approval.
- 3.3.7.5 Fifth, the entity will form a Sub-project Management Team (**SPMT**) headed by the **SPM** including one Associate **SPM** (**ASPM**) and one/ two members, one/two of the member of the **SPMT** 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.

3.3.8 Activities to be funded under Window-3(b) sub-projects:

- (i) Development and improvement of the laboratories and workshops of the entity with state-of-the-art scientific instruments for conducting experiments on testing of the technologies;
- (ii) Employment of fulltime post-doctoral fellows (senior position: up to Tk. 150,000/- per month)²³, Research Fellows for fulltime PhD students (Tk. 50,000/- per month)²⁴ 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/production sector;
- (vii) Academic visits by **SPM** and **SPMT** of the entity to gain experience of the functioning of **RCTTOs** and university-industry collaborative research;
- (viii) Expenditures for participation in training courses for university's regular/permanent & on duty 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 sub-project management team of the entity.

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

- 3.3.9.1 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.
- 3.3.9.2 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 Research Coordination and

²³ If a SPP needs post-doc fellow (senior position) with high qualification and remuneration higher than GoB salary scales, s/he may be recruited as consultant.

²⁴ 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.

Technology Transfer Office (**RCTTO**) would provide the technical assistance for acquiring patent by the university.

- 3.3.9.3 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 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 towards 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.

3.3.10 **Role of Industry**

- 3.3.10.1 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.
- 3.3.10.2 Industry will provide technical inputs to joint research processes and play a major role in dissemination and marketing of the innovative technologies and products.
- 3.3.10.3 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.
- 3.3.10.4 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).

3.3.11 **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.

- 3.3.11.1 An academic who is presently implementing other research projects costing total of BDT 20 lakhs or more for STEM and BDT 10 lakhs or more for AHSBL will not be eligible as SPM or a member of SPMT of ATF sub-projects.
- 3.3.11.2 The SPM and ASPM must have at least three years' service ahead from the date of commencement of the sub-project.
- 3.3.11.3 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.
- 3.3.11.4 SPM or the Head of entity will upload softcopy of SPP in prescribed sub-project

proposal format (Appendix-2) online @<https://heat.ugc.gov.bd/>. The annexures will be uploaded in MS Word/PDF and/or Excel format, whichever is necessary. The documents shall be printed in 80gm A4 size offset paper and four hardcopies should be submitted to UATFS.

- 3.3.11.5 **Vice-Chancellor's Endorsement:** After receiving the proposals from the entities the Planning and Development (P&D) office of the university or UATFS 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.
- 3.3.11.6 The **P&D office or UATFS** shall preserve one hard copy of the received proposals for record and reference in its office.
- 3.3.11.7 The **P&D office or UATFS** will ensure that the full version of the **SPPs** in both hard and soft copies has been made.
- 3.3.12 **Submission of SPPs:** After getting approval/endorsement from the VC, the P&D office or UATFS shall submit three hard copies of SPP to the ATF unit of HEAT PMU.
- 3.3.13 **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, cluster, 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**.²⁵

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. Examples of performance indicators may be seen in “**M&E Policy Study**” of IMED. A concept note on sub-project performance indicators is given in **ATFOM Annex 2**. As a criterion of successful completion of research project (both W-1 and W-3), **two publications** should be published in Scopus Indexed journals as outcomes of research

²⁵ The database in excel file shall include name of the proposal submitting institutions and entities, title of the sub-projects with cluster, window, duration, cost, names and date of birth of SPMs/ASPM, designation of SPMs, deficiencies identified, allocation figures by groups and institutions and global allocation scenario in respect of total ATF-funding.

project proposals (one should be in the middle of the project and another one would be before the end of the project). 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 UGC as a technical report before submitting the sub-project final completion report (PCR). Later the UGC will complete the peer review and take necessary measures for publication and the copyright will be reserved with UGC.

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

3.4.1 Window 1 Sub-projects: Pandemic/Epidemic Related Research and Development

- (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
- (viii) Number of Co-curricular and Extra-curricular activities modernized

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: Research Coordination and Technology Transfer Offices (RCTTO)**

- (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
- (v) 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 **ASPM** 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 **ASPM** 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** or **Member is unable to** continue in his/her position in the team with valid reason within six months of the sub-project contract signing date, the sub-project will be terminated. In case either the **SPM** or **ASPM** or **Member is unable to** continue in his/her position with valid reason after six months of the sub-project contract signing date, he/she may resign. In such an event, the entity with consultation with Vice Chancellor shall nominate a new **SPM** or **ASPM** from among the members of **SPMT**. The newly formed management team shall be approved by the UGC/BATF.
- 3.5.2 **Laboratory Researchers for bench work:** The **SPM** shall organize a team of laboratory researchers consisting of **PhD** students, Research Associates²⁶ 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 (senior position) 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-

²⁶ 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.

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.
- 3.5.3.2 The **SPM** and the members of **SPMT** will receive financial incentives as described in *ATFOM Annex 11*.
- 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. Deputy Project Director in charge of ATF unit	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 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 members** shall receive travel allowance at GoB rates and honorarium for attending all meetings related to ATF sub-project selection/implementation meetings;²⁷.

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 it's 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;
- (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;

²⁷ @ of Taka 3,500/- per person per meeting.

- (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 **Appendix-4 Eval Annex 4**. 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 sub-projects.

- 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 (Appendix-3) 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 **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**²⁸.

- 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, **UGC-BATF** 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 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 **STEM** and **AHSBL** 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 evaluation of **SPP**.

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

²⁸ 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.

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 **Annex-4** of this **OM**. The **AEP** shall evaluate sub-project proposals according to the evaluation sheet and the evaluation guideline. Scrutinizers will be assigned to check the correctness and completeness of the scores given by the reviewer.
- 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 evaluators²⁹ and scrutinizers³⁰ shall receive honorarium for evaluating proposals according to the rates approved in this manual.

4.6 Appointment of AEPs for SPP Evaluation

- 4.6.1 The **UGC-BATF** will constitute a Committee of Experts (**CoE**)³¹ for each of the seven-subject area (cluster) of the sub-projects, as defined in Section 3.3.4. Each **CoE** will be chaired by a **UGC** Member and will consist of 4-5 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 subject 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 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**.
- 4.6.5 Any attempt to establish contact and/or communicate with the **AEP** members by any entity and/or its faculty members during evaluation of its **SPP** under evaluation shall automatically result in cancellation of the **SPP** from the selection process.
- 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** member will be given only one **SP** for evaluation in a single session.

²⁹ An Evaluator (AEPs/ERs) shall get honorarium @ BDT 15,000/- per sub-project and TA/DA from the project as per GoB rate.

³⁰ A scrutinizer shall get honorarium @ BDT 3,000/- per day of evaluation.

³¹ A member of Committee of Experts (CoE) shall get honorarium @ BDT 15,000/- per meeting and TA/DA from the project as per GoB rate.

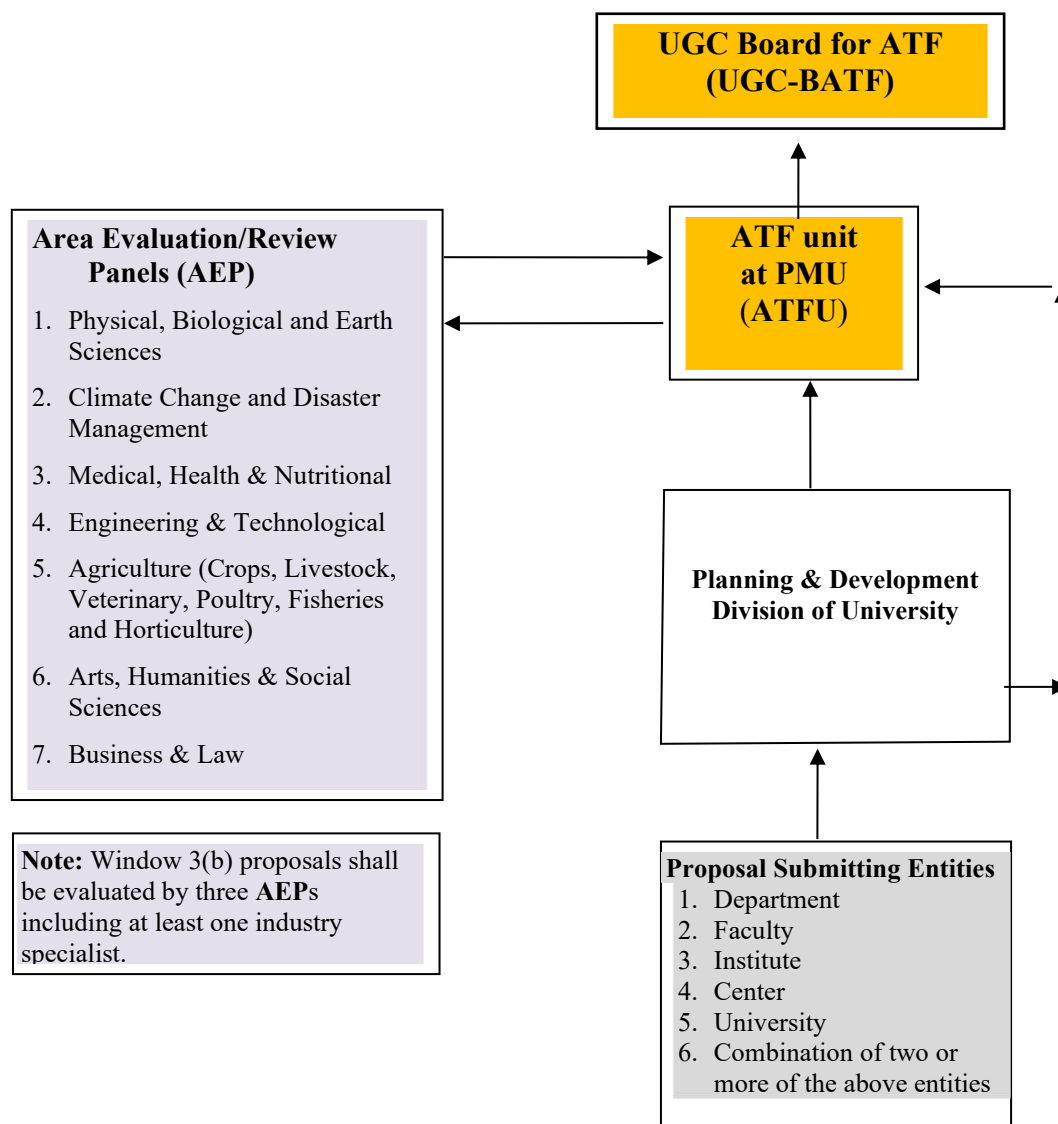
- 4.6.8 The **UGC** Member in charge of **HEAT** will prepare tabulation sheets for each group of sub-projects. The **ATFU**, the **ATF** Management Specialist and **ATF** Research Coordination Specialist shall provide technical assistance as required.
- 4.6.9 The average of the marks awarded by two **AEPs** will be taken as the final score. For all groups of **SPPs** other than **Window 3(b)**, 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(b)** 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 1 & 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 list 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, if necessary.
- 4.6.11 For the **Window 1 & 3** sub-projects (research windows), a short list of **SPPs** will be made from the merit list for presentation of the proposal summary by the respective **SPMs** to a panel of six experts (one panel for each cluster chosen by the **UGC-BATF**). The presentation board meeting will be chaired by the **UGC** member in-charge of respective cluster. The panel members may seek additional information and clarification from the relevant **SPM**. Every member of the panel will award marks independently out of 10 based on a rubric and the panel shall make an average. 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, if it requires.
- 4.6.13 The schematic diagram of the institutional arrangement for **ATF** proposal evaluation and selection can be seen in **Figure 3** below:
- 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.

Figure 3: Institutional Arrangement for ATF Sub-project Proposal Evaluation and Selection

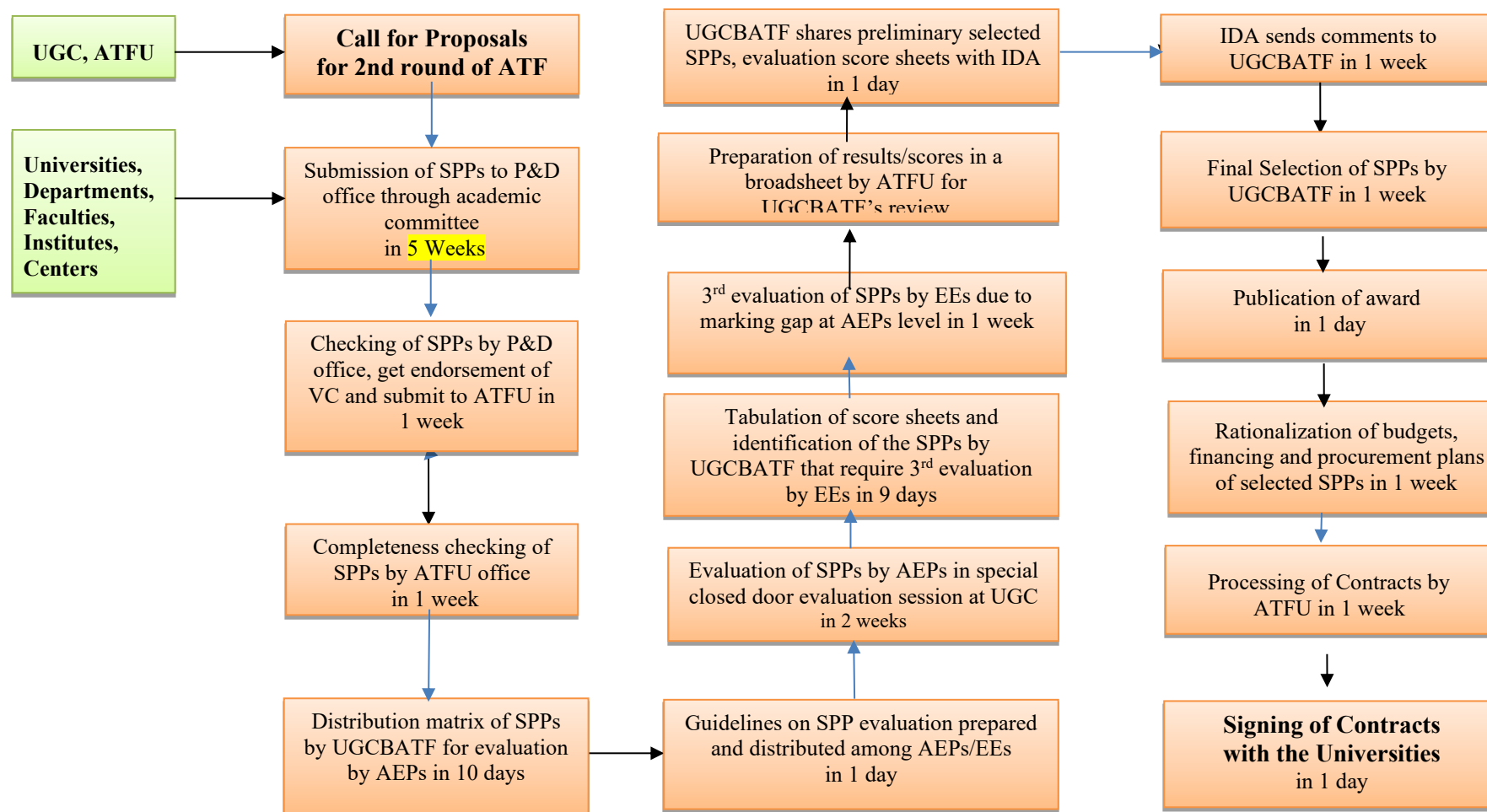


- 4.7.2 The total time required to complete the proposal selection process will be **20** weeks. However, if circumstances permit, the total period may be shortened. The schematic diagram in **Figure 2** below shows the time required at each stage from proposal call (beginning) to the signing of contract (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**, Registrars 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 Secretary UGC or an authorized representative of the **UGC** not below the rank of Director representing the awarder (**UGC**) as the first party, the registrar or an authorized official of the university (not below the rank of Director) as the 2nd party and the **SPM** of the awarded proposal as the 3rd 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 **SPM**- 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 of second round will be as follows from the date of effectiveness:

- | | | |
|-------------|---|---------|
| 1) Window 1 | : | 2 years |
| 2) Window 2 | : | 2 years |
| 3) Window 3 | : | 2 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** 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 **HEAT/UGC** 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 documents 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 for contingent staff;
- (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 monthly 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, **HEAT/UGC** officials and specialists will also provide technical assistance when needed by the sub-projects.³²

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 6)* 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

³²The **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**.

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 monthly 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.
- 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 codes³³ 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 is for internal assessment purposes. Finally, all expenditure book should be maintained by **PMU** as per approved economic code of **DPP**.
- 5.2.3 **Operational Cost:** There is no code in the **ibas++** system right now, so the relevant cost to be incorporated into the line items.

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 along with a cover letter of **ATF** secretariate 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 normally once in a financial year. There will be a final adjustment and revision of budget at the last year of sub-

³³ <https://ibas.finance.gov.bd/HelpDocuments/OldToNewEconomic.pdf?v=687>

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 Account.

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 “e.g., HEAT-PIN-DU” to be maintained in **BDT** currency. The 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 in a prescribe format to Project Director, **HEAT** to facilitate transfer of **ATF** funds to sub-project:
- (i) Name/Title of the Account:
 - (ii) Account Number:
 - (iii) Name of the Bank:
 - (iv) Name of the 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 Act, 2006, Public ***Procurement Rules 2025 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 is 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 is 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) Consultant's Remuneration Register

- (vii) Suppliers Registers
- (viii) Advance Payment Register
- (ix) Fund Receipts & Expenditure Register
- (x) 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 **HEAT-PMU** 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). 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 concern authorities.

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 within 28th June every year.

- 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

Procurement in Investment Project Financing (IPF) supports Borrowers to achieve value for money (VfM) with integrity in delivering sustainable development. The Bank's Core Procurement Principles are value for money, economy, integrity, fit for purpose, efficiency, transparency, and fairness. The Bank requires application of, and compliance with, the Bank's Anti-Corruption Guidelines, including, without limitation, the Bank's right to sanction and the Bank's inspection and audit rights.

Pursuant to procurement regulations of world Bank, Borrowers may use electronic procurement systems (e-Procurement) for aspects of the Procurement Process, including: issuing Procurement Documents, and addenda, receiving Applications/quotations/Bids/Proposals, and carrying out other procurement actions, provided the Bank is satisfied with the adequacy of the system, including its accessibility, security and integrity, confidentiality, and audit trail features. World Bank provided concurrence to use country e-GP system for conducting procurement activities under Bank financed projects. Recently Govt of Bangladesh published e-GP Guidelines 2025 and Public Procurement Rules 2025. Pursuant to Rules 150 of PPR 2025, all packages under public fund which are processable with e-GP shall be conducted using the e-GP system and therefore, most of the packages of sub-projects shall be conducted through e-GP system. Accordingly, e-GP guidelines 2025 is the key instrument besides PPR 2025 and World Bank's Procurement Regulations for IPF Borrowers (Revised- September, 2025).

However, several packages of sub-projects necessitated to be processed using traditional manual system for example some direct contracting or Single Source Selection (SSS) packages due to the intended particular economic operator may not have the necessary registration in the e-GP but sub-project needs service or supplies from that particular economic operator in that case subject to having concurrence from the competent authority, sub-project managers may be allowed to use as a non-GP packages for such particular cases.

The objective of the e-GP is to enhance efficiency and ensure transparency in public procurement through the implementation of a comprehensive e-GP solution to be used by any or all government organizations in the country. The e-GP system is a single web portal through which procuring entities perform various public procurement processes, i.e. creating and publishing Annual Procurement Plans, Invitation for Tenders (IFT), Request for Expressions of Interest (REOI), Tender documents, Request for Proposals (RFP), Request for Quotations (RFQ), submission, evaluation, awarding of contracts against Tender/ Application/Proposal, publishing Contract Award Notices, Contract Management, Payments, generating different types of Key Procurement Performance Indicator Reports and other procurement related information etc. as guided by the PPA 2006 and PPR 2025.

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 2025*, *e-GP Guidelines 2025* 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 section 3(d) of PPA 2006, for IDA funded projects such as HEAT, World Bank's *Procurement Regulations for IPF Borrowers Goods, Works and Non-Consulting and Consulting Services, November 2025* 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, 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/HEAT 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 audited by auditors deployed 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/c84273d1b230aeb2b0b8134de5dc8cd7-0290012025/original/Procurement-Regulations-7th-Edition-Sep-2025.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:
- 6.2.2 All procurement methods for goods, works and services will be specified in the Procurement Plan and reviewed by HEAT project and Approval of Total Procurement Plan by the head of Procuring Entity (HOPE) (Vice Chancellor of the respective university) before procurement process is started by the sub-projects.
- 6.2.3 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 National Market Approach, and International Market Approach. Direct Contracting procedures can be used in accordance with the World Bank's Procurement Regulations for IPF Borrowers (Revised-September, 2025) after getting approval from appropriate authority (Head of Procuring Entity).
- 6.3.2.1 International Market Approach: University laboratory equipment, machines/instruments for engineering workshops, chemicals and specimens are highly specialized and often not available within Bangladesh may be procured using international market approach.
- 6.3.2.2 National Market Approach: Goods and equipment may be procured using National Market Approach following provisions of the PPA-2006 & PPR-2025, e-GP Guidelines 2025 and standard procurement document (SPD) acceptable to the World Bank. This includes computers, office equipment etc. When approaching the national market, the country's own procurement procedures may be used. These procurement procedures shall be consistent with the Bank's Core Procurement Principles and ensure that the Bank's Anti-Corruption Guidelines and Sanctions Framework and contractual remedies set out in its Legal Agreement apply.

For national open competitive procurement, the following requirements apply:

- a) open advertising of the procurement opportunity at the national level;
 - b) the procurement is open to eligible firms from any country;
 - c) the request for bids/request for proposals document shall require that Bidders/Proposers submitting Bids/Proposals present a signed acceptance at the time of bidding, to be incorporated in any resulting contract, confirming application of, and compliance with, the Bank's Anti-Corruption Guidelines, including without limitation the Bank's right to sanction and the Bank's inspection and audit rights;
 - d) the Procurement Documents include sufficient provisions, as agreed with the Bank, to adequately mitigate against environmental and social (including SEA/SH) risks and impacts;
 - e) contracts with an appropriate allocation of rights and obligations, risks and liabilities, informed by an analysis of which party is best placed to manage the risks, bearing in mind the costs and incentives of risk allocation;
 - f) publication of contract award information;
 - g) rights for the Bank to review procurement documentation and activities;
 - h) an effective complaints mechanism; and
 - i) maintenance of records of the Procurement Process.
 - j) Other national procurement arrangements (other than national open competitive procurement), that may be applied by the Borrower (such as limited/restricted competitive bidding, request for quotations/shopping, direct contracting), shall be consistent with the requirements set out in paragraphs 5.3 and 5.4 as appropriate of World Bank Procurement Regulations.
- 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-2025 using Electronic Government Procurement (e-GP) 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 2025 and after getting approval from Head of Procuring Entity (HOPE) (Vice Chancellor of the respective university).

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 **Request for Bids, International**

It is assumed that international market approach will not be required for any procurement of Works packages under the ATF sub-projects.

6.6 **Request for Bids, National**

Civil works contracts may be procured following National market approach in accordance with provisions of the PPA-2006 & PPR-2025 using Electronic Government Procurement (e-GP) 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-2025 using Electronic Government Procurement (e-GP) system, provided those are included in the Procurement Plan.

6.8 **Procurement of Consulting Services**

- 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 for IPF Borrowers (Revised - September, 2025).
- 6.8.2 Shortlists of consulting firms for services may be prepared in accordance with the provisions of PPA-2006 & PPR-2025 and World Bank's Procurement Regulations for IPF Borrowers (Revised - September, 2025). 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 World Bank's Procurement Regulations for IPF Borrowers (Revised - September, 2025).
- 6.8.2.2 Fixed Budget Selection (FBS): Services through firms can be procured following the FBS method in accordance with World Bank's Procurement Regulations for IPF Borrowers (Revised - September, 2025).
- 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 2025*.
- 6.8.2.4 Direct Selection (DS)/ *Single Source Selection (SSS)*: Specific consulting services through firms may be procured following Direct Selection method provided in the World Bank's Procurement Regulations for IPF Borrowers (Revised - September, 2025). 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 World Bank's Procurement Regulations for IPF Borrowers (Revised - September, 2025). 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 International Market Approach procurement of goods and works, the use of Bank's Standard Procurement Documents (SPD) is mandatory. For National Market Approach procurement, universities shall use the Government's standard tender document (STD) or standard tender document (STD) of Electronic Government Procurement (e-GP) system. 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 (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 World Bank's Procurement Regulations for IPF Borrowers (Revised - September, 2025). 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 World Bank's Procurement Regulations for IPF Borrowers (Revised - September, 2025) Bank's *Procurement Regulations 2025*, 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 Low competition among bidders and high price of bids: The case(s) of low competition (not solely based on number of bidders) in International/National market approach, 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.
- 6.10.1.4 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 international 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.

- 6.10.1.5 Re-bidding: In case of re-bidding, Procuring Entity 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.
- 6.10.1.6 Filing and record-keeping: HEAT PMU/SPMs will preserve all records and documents regarding their public procurement in accordance with provisions of the PPR-2025 Rule 60. These records will be made readily available on request for audit/investigation/review by the government and the World Bank.
- 6.10.1.7 Submission of PROMIS report: HEAT PMU will submit semi-annually 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 BPPA (www.cptu.gov.bd).
- 6.10.1.8 Publication of award of contract: HEAT PMU will publish ATF contract award information within two weeks of contract award on its website and BPPA'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 BPPA.

6.11 **Procurement Plan**

- 6.11.1 Total Procurement Plan: A total 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 Total 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 approved by the Head of Procuring Entity (HOPE) (Vice Chancellor of the respective university) before implementation and updated regularly on a half-yearly basis.
- 6.11.3 The draft total 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 PPA-2006 & PPR-2025 and in Bank's *Procurement Regulations 2025*. 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 a review of the HEAT PMU.

6.12 Post Review

- 6.12.1 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.

6.13 Electronic Government Procurement (e-GP) is obligatory for all processable packages

- 6.13.1 All open competitive bidding for national market approach and RFQ procurement of Goods and Works under ATF sub-projects will be processed through electronic government procurement (e-GP) system. ICB packages may also be procured 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 National Open Tendering Method and RFQ contracts under Bank-financed projects in Bangladesh.
 - 6.13.1.1 All public and private universities including their departments/institutions should follow e-GP, will successfully secure ATF sub-projects.
 - 6.13.1.2 All procurement officials of HEAT PMU and SPMs of sub-projects shall complete necessary training on e-GP and PPR 2025 and World Bank Procurement Regulations 2025 at a BPPA authorized training institution in the country within three months of selection of successful sub-projects.
 - 6.13.1.3 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.
 - 6.13.1.4 Training for bidder community will also take place, through e-GP trainers of HEAT PMU and in collaboration with BPPA.

6.14 Other Actions

- 6.14.1 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.
- 6.14.2 Regarding formation of evaluation committee following measures will be undertaken:

- 6.14.3 At the university level the committee will be constituted according to the relevant provisions of PPA-2006 & PPR-2025;
- 6.14.4 At the sub-project implementation level the evaluation committee will be constituted according to the relevant provisions of the PPA-2006 & PPR-2025 with the inclusion of PFP staff as full members.
- 6.14.5 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-2025 and World Bank's Procurement Regulations, make themselves thoroughly adept in them and consult with the BPPA and procurement consultants engaged by HEAT PMU if they need clarification on any issue/matter related to procurement.
- 6.14.6 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.
- 6.14.7 Special Training Course: Prior to implementation of the ATF sub-projects, HEAT PMU will arrange a customized training course, covering World Bank's Procurement Regulations Guidelines 2025 and the PPA-2006 & PPR-2025. 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.
- 6.14.8 Bid Evaluation Committee (BEC): For non-e-GP NCB, the PE shall have at least one member from outside of the institutions, as provided in the PPR-2025.
- 6.14.9 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.

6.15 Regarding Standards and Technical Specifications

Pursuant to Para 5.25 & 5.26 of World Bank Procurement Regulations, Standards and technical specifications in applicable Procurement Documents shall promote the broadest possible competition, while ensuring performance or other requirements for the procurement. To the extent possible, in international competitive procurement, the Borrower shall specify internationally accepted standards (e.g., technical, environmental, social, information/cybersecurity, quality, etc.) with which the equipment, materials, or workmanship shall comply. When such international standards do not exist or are inappropriate, national standards may be specified. In all cases, the Procurement Documents shall state that equipment, material, workmanship, and/or methodology meeting other standards that are at least substantially equivalent to the specified standards will also be accepted.

Specifications shall be based on relevant technical characteristics and/or performance requirements. References to brand names, catalogue numbers, or similar classifications shall be avoided. If it is justified to specify a brand name or catalogue number of a particular manufacturer to clarify an otherwise incomplete specification, the words ‘or equivalent’ shall be added after such a reference to permit the acceptance of offers for Goods that have similar characteristics and performance at least substantially equivalent to those specified.

6.16 Miscellaneous

Sub-projects are considered as C-category development projects since project value of all sub-projects are below 50 Crore, In accordance with PPR 2025, Threshold for sub-project Managers for RFQ packages:

For Goods RFQ package [Rule 90(1) & 90(6) of PPR 2025]

Package Value Maximum 8 Lac Taka & yearly Maximum 40 Lac Taka

For Works RFQ package [Rule 90(1) & 90(6) of PPR 2025]

Package Value Maximum 12 Lac Taka & yearly Maximum 75 lac taka

For Consultancy Service Single Source Selection Package [Rule 125 (SSS) of PPR 2025]

- For Consultancy Firm-Maximum 30 Lac Taka
- For Individual Consultant-Maximum 20 Lac Taka

And Direct Cash Purchase [Rule-100(1) of PPR 2025]

Threshold for Direct Cash Purchase for sub-project managers

For per purchase maximum 30,000.00 (Thirty Thousand Taka) and yearly 10 Lac Taka

Chapter 7

Monitoring and 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 contacted 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 7**) 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 10**). 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 and ATFU**, **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 have 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 **UATFS** 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 **Wing chief of ATF unit** 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 **HEAT PMU, UGC** 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 parts 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 safeguard measures given in the Environmental and Social Framework (ESF) of the **World Bank**.³⁴ 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,

³⁴ Environmental and Social Framework, The World Bank, 2017; available on: <https://documents.worldbank.org/en/publication/documents-reports>

- 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;
 - 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 staff 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 People's 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.

8.3.8 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.

8.3.9 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*.

8.3.10 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.

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

8.3.11 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.

8.3.12 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 Academic Transformation Fund

Appendix-1 ATFOM Annexes

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	Strengths ----- -----	Weaknesses ----- -----
External	Opportunities ----- -----	Threats ----- -----

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:

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

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

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 m²) allotted to the research projects
- Area (in m²) allotted to postgraduate student offices, classrooms/study rooms/seminar rooms
- Area (in m²) allotted to specialized laboratories
- Area (in m²) 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 kⁿowledge. 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 PhD¹
and Research Publications² in Scopus Indexed Journal

SL.	Name of the University
Group-A Universities	
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	Gazipur 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
Group-B Universities	
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	Gopalganj 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	Bangladesh Medical University
12	Green University of Bangladesh
13	Southeast University
14	Comilla University
15	Bangladesh Open University (As per DPP: Delivers distance learning programs. Will not receive grant)
16	National University (As per DPP: Affiliating university of colleges. Will not receive grant.)
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
Group-C Universities	
1.	Pirojpur science and Technology University
2.	Bangladesh Maritime University
3.	Bangladesh Army University of Science and Technology (BAUST), Saidpur
4.	Aviation And Aerospace University, Bangladesh
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.	Jamalpur 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.	University of Frontier Technology, 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.	Brahmaputra International 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.	Netrokona 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.	Ishakha International University Bangladesh
83.	Chittagong Medical University
84.	Islamic Arabic University (As per DPP: Affiliating university for Madrasahs. Will not receive grant)
85.	Khulna Medical University
86.	Sunamganj Science and Technology University
87.	Shah Makhdom Management University, Rajshahi
88.	Sylhet Medical University, Sylhet
89.	Chandpur Science and Technology University
90.	Kishoreganj University
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.	Dr. Momtaz Begum University of Science and Technology, Bhairab
99.	Chattogram BGMEA University of Fashion and Technology
100.	IBAIS University
101.	The University of Comilla
102.	Queens University

¹ Data collected from 48th Annual Report, UGC, 2021.

² Data collected from Scopus database.

³ List of universities are given in Appendix-8 of the DPP of HEAT project. Any university outside this list, but fulfills eligibility criteria may also apply for ATF. However, Bangladesh Open University, Islamic Arabic University, and National University are not included in ATF list.

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 2026..... 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)¹ 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), dated2026;
- 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

¹ US\$191 million

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 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 **UGCBATF** 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 2025* 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)², 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

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

- (ii) was not justified by the financial rules and regulations of the **GoB/IDA**,
- (b) **SECOND PARTY** shall, promptly upon notice from **FIRST PARTY**:
- (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 **THEF** 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:

[illegible]

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 Ceiling:			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
Opening Bank Balance											
Add: Receipts											
Total Funds Available											
Less: Uses of Fund											
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											
Total Use of Funds											
Closing Balance											

Signature.....

Head of UTHEFS/THEFMU

Name:

Date:

Signature

Vice-Chancellor

Name:.....

Date:.....

Interim Unaudited Financial Report (IUFR)

1A. Project Sources & 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
Opening Cash Balances						
Designated Account						
Opening Balance Total						
Add: Sources of Funds						
IDA Funds						
Total Fund Available						
Less: Uses of Funds						
g) Institutional Grants for Parts 1.1(c), 1.1 (d)(i) and 1.2 (b)						
h) Competitive Grants for Part 2.2 (c)						
Use of Fund Total						
Closing Balance Total						
DA Bank Balance						
Advance at Petty cash						
Total Fund Available						

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: <i>South-Asian Harmonious area for Research and Education</i>										
Component-2: <i>Transforming Higher Education in Bangladesh</i>										
Total										

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						
TOTAL							

1D. Operating Account Activity Statement

Amount in BD'

SL No.	Description	Amount	Total Amount
Part I			
1	Cumulative advances to end of current reporting quarter from		
2	Less: Cumulative expenditures to end of last reporting quarter		
3	Outstanding Advances to be accounted		
Part II			
4	Opening DA Balance as at beginning of the disbursement period		
	Add/Subtract: Cumulative Adjustments (if any)		
5	Add: Advance during the quarter		
6	Sub Total of Advances and Adjustments		
7	Less: Refund from DA during the quarter		
8	Outstanding Advances to be accounted		
IUFRs			
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	Sub Total of Adjustments and Expenditure		
	Add: Petty Cash Advance		
13	Total Advance accounted for		

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
Total							-	-	-	-	-

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 Agreement¹³ providing for a Loan⁴ governs the legal relationships between the Borrower⁵ and the Bank⁶ with respect to the particular project for which the Loan is made. The responsibility for the implementation of the project⁷ 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.”⁸ 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

³ 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.

⁴ 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.

⁵ 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.

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

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

⁸ 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.⁹
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:¹⁰
 - 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.¹¹
 - A “fraudulent practice” is any act or omission, including a misrepresentation, that knowingly or recklessly¹² 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

⁹ 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.

¹⁰ 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.

¹¹ Typical examples of corrupt practice include bribery and “kickbacks”.

¹² 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.

rights of audit or access to information.¹³

8. 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 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 representatives¹⁴ 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

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

¹⁴ References in these Guidelines to “representatives” of an entity also include its officials, officers, employees and agents.

- 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 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 proceeds¹⁵ other than the Member Country¹⁶ (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 determines¹⁷ that such person or entity has engaged in corrupt, fraudulent, collusive, coercive or obstructive practices in connection with the use of loan proceeds;¹⁸
 - (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,

¹⁵ 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.

¹⁶ 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.

¹⁷ 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.

¹⁸ 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.

consultant or individual has been declared ineligible under paragraph 1.14 of the Procurement Guidelines or under paragraph 1.22 of the Consultant Guidelines.

Miscellaneous

12. The provisions of these Guidelines do not limit any other rights, remedies¹⁹ or obligations of the Bank

¹⁹ 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				
Grand Total				

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/ Institution:
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 2025 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] and proposed remedial actions

Issues/Impediments/Challenges	Remedial actions

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 2025	Desired Standard on Terminal Year.....	Present Value as on

Note: Copy 1st 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.**Result (Output) Achieved of the Sub-project**

	Categories of Result (Output)	Number (With Location)
1)	Refurbished/ Renovated class room	
2)	Virtual Class room	
3)	Language lab/Club	
4)	Refurbished/ Renovated Seminar Room	
5)	Refurbished/ Renovated Conference Hall	
6)	Refurbished/ Renovated Laboratory	
7)	Refurbished/ Renovated Field Laboratory	
8)	Established/ Renovated Computer Lab	
9)	Curricula/Syllabus Updated	
10)	Innovations Identified	
11)	Patents Filed	
12)	Publication	
13)	Office automation	
14)	Digital Library	
15)	Campus Network/ ICT Network	
16)	Academic Assessment (Self-Assessment) of department/institute/faculty	
17)	Digital Archive of Research Program	
18)	Other Achievements (If any)	

10.**Acquisition of Equipment/ Materials**

Sl. No.	Equipment/ Materials	Quantity/Unit
1)	Multimedia projector	
2)	Laptop	
3)	Desktop	
4)	Printer	

5)	Scanner	
6)	Photocopier	
7)	Fax/telephone	
8)	White board	
9)	Electronic/Smart/Digital Board	
10)	Multimedia Screen	
11)	Books	
12)	Journals	
13)	Number of Air Coolers	
14)	Number of Furniture & fixture	
15)	Other items: ()	
16)	Other items: ()	

11.

Post graduate enrolment in the Department under the sub-project

Sl. No.	Name of Degrees	Current Registered Number
1)	MS enrolment	
2)	M.Phil. enrolment	
3)	Ph.D enrolment	
4)	Ongoing research project	
5)	Others (if any)	

12. Research outcome (Journal, Publication, Articles etc.) related to the sub-project since its inception. Please also provide the full list of journals published.

Name of Research outcome (Journal, Publication, Articles etc.)	Number
Journal publication (domestic journal)	
Journal publication (international journal)	
Conference proceedings	
Master's thesis accepted	
PhD dissertations accepted	
Others (if any)	

13. Comments

14. 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:

4.1 General Objectives of the Sub-project
4.2 Specific Objectives of the Sub-project

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 SPP	
(b) Latest Revised Plan	

07. Implementation Period:

	Date of Commencement (dd/mm/yyyy)	Date of Completion (dd/mm/yyyy)
(a) Original SPP		
(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 SPP	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	
1	2	3	4	5	6	7

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
(a) ICT Equipment			
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) Major Laboratory/Engineering/ Medical/Agricultural Equipment <i>Please specify key items</i>			
1.			
2.			
3.			
(c) Library Materials			
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
(a) Overseas Training					
(b) In-Country Training					
(c) Study tour					
(d) Workshop/seminar					
(e) Conference (please mention national or international)					

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

URL	Remarks

C. FINANCIAL AND PHYSICAL PROGRESS:

01. Allocation and Progress:

(In Lakh Taka)

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

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 (±)
	1	3	5	7
(A) Revenue Expenditure				
	Pay of Officer			
	Pay of Staff			
	<i>Supplies & Services</i>			
	Travel Expenses			
	Website development & maintenance			
	Publication on Research Findings			
	Printing & Stationary			
	Financial Support & Allowances			
	Books & Journals for SPM/ISM Office			

Economic Code	Items of Expenditure/Activities	Budget Allocation (as per the original SPP)	Actual Expenditure	Reasons for deviation (±)
	Advertising & Publicity			
	Training & Study Tour			
	Conference/Seminar/Workshop			
	Chemicals/Reagent etc			
	Consulting Services			
	Incentives for sub-project MT			
	Survey			
	Other Expenses			
	Total Supply & Services (4800)			
	R/M: Refurbishment/Renovation			
(A) Total Revenue Expenditure (4500+4600+4800+4900)				
(B) Capital Expenditure				
	Acquisition of Assets			
	Motor Vehicle			
	Machinery & Other Equipment			
	Engineering Equipment			
	Computer & Accessories			
	Computer Software			
	Office Equipment			
	Teaching & Learning Materials			
	Furniture & Fixtures			
	Laboratory Equipment/Instrument			
	Electrical Equipment			
	Total Acquisition of Assets (6800)			
	Misc. Capital Expenditure			
	CD VAT for Capital Expenditure			
	Other Capital Expenditure			
	Total Misc. Capital Expenditure (7900)			
(B) Total Capital Expenditure (6800+7900)				
Total Cost (A+B)				
(C) Operational Cost				
Total Sub-Project Cost (A+B+C)				

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)
a) Students:			
Undergraduate			
M.S/ M.Sc.			
MPhil & PhD			
b) Faculty Members:			
Academic staff			
Non-academic staff			
c) Others: <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
a) Collaboration with other Universities or Researchers		
b) Collaboration with Industry and Practitioners		

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:

Name of the Officials	Agencies of the Officials	Date of Monitoring Visit	Remarks
1	2	3	4

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	

	Particulars of Item	Remarks
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.	

	Items	Remarks (Please use separate rows for each problem)
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

Designation of the Member	Maximum permissible incentive	Conditions
Sub-project Manager (SPM)	Four months' basic salary* per year	<ul style="list-style-type: none"> Incentives will be eligible only when Performance Indicators have been achieved; <p>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.</p>
Associate Sub-project Manager (ASPM)	Two month's basic salary* per year	
Member of the Sub-Project Management Team (SPMT)	Two month's basic salary* per year	

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

University Grants Commission of Bangladesh

Higher Education Acceleration and Transformation Project

Academic Transformation Fund

Appendix-2:

Sub-Project Proposal (SPP) Form for Windows

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

Table shows sub-project proposal form under different windows

Window	Window Name	SPP Form
Window 1	Pandemic/Epidemic Related Research and Development	
	a) STEM: Biochemical/virological/medical and pharmaceutical research	SPP Form W-1 STEM
	b) AHSBL: Social adaptation and institutional readiness research during/after pandemic	SPP Form W-1 AHSBL
Window 2	Improvement of Teaching-Learning Infrastructure	SPP Form W-2
Window 3	Advanced and Collaborative Research	
	a) Advanced Research in Priority Areas	
	i) STEM disciplines	SPP Form W-3a STEM
	ii) AHSBL disciplines	SPP Form W-3a AHSBL
	• Research lead by junior faculties	Same as W3ai & W3aii
	• Climate change related research	Same as W3ai & W3aii
	b) Collaborative research with industries and research institutes targeting patenting and commercialization	SPP Form W-3b
Window 4	Fab Labs, i-labs, Business incubators	SPP Form W-4
Window 5	Establishing Technology Transfer Office	SPP Form W-5

(Please insert six-digit number from online submission portal)

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



WINDOW 1: Pandemic/Epidemic Readiness Related Research and Development (AHSBL)

*(Please submit section A and section B separately)***Section-A***(This section must be completed anonymously, without sharing any personal identifiers. Inclusion of any personal or institutional information in this section will make the proposal **ineligible**.)***1. Sub-Project Title:**

.....

.....

.....

2. Indicative Area and Subject (as per section 2.3.1 of ATFOM):

Social Adaptation & Institutional Readiness

3. Please put a tick mark on the category of the proposed research area (Please select any one):

- (i) General category ☐
- (ii) Junior category led by junior academics ☐

4. Implementation Period:

i. Commencement: (dd/mm/year)

ii. Completion: (dd/mm/year)

5. Total Budget: (i) In BDT (Lakh)

(ii) In words.....

6. a. Abstract of the Proposed Research Project (Must not be more than 300 words):

--

b. Keywords (3-5 words):

--

7. Background (Must not be more than 700 words):

--

8. Problem Statement and Research Questions/Hypotheses (Must not be more than 1000 words):

--

9. Objectives

a. General Objective:

(Please note that a general objective is a statement summarizing the overall goal of a research or study project in a single sentence.)

--

b. Specific Objectives:

(Please specify the objectives of the sub-project clearly, ensuring each objective yields specific results and outcomes. Each objective must be articulated in terms of milestones and assessed using performance indicators.)

1.
2.

3.
.....

10. Expected Outcome(s):

1.
2.
3.
.....

11. a. Literature Review and Research Gaps Identification (Must not be more than 700 words):

--

b. Relevant Theoretical/Conceptual Framework (Must not be more than 500 words): (if any)

--

12. Methodology (Must not be more than 600 words):

--

13. Please justify the Innovativeness/uniqueness/novelty of the proposed research project (Must not be more than 150 words):

--

14. SWOT Analysis:

a. *(Please identify the Strengths, Weaknesses, Opportunities, and Threats (SWOT) of the proposal*

submitting entity in relation to implementing the sub-project. **These should be aligned with background data substantiating the strategic analysis given in clause:04 of section B))**

Internal	Strengths	Weaknesses
External	Opportunities	Threats

b. (Please explain how the above SWOT analysis will be addressed in the proposed sub-project)

15. Relevance of the Proposed Project:

(Please describe how the proposal aligns with HEAT project objectives, the university's strategic plan, national development goals, and the government's tertiary education sector development goals. Clearly illustrate the connections between the facilities to be developed under this sub-project and their relevance to research.)

16. Contribution(s):

(Please describe the potential contributions of the project to new knowledge, quality education, policy initiatives, improved research infrastructure, and enhanced capacity for a broader postgraduate program. Additionally, outline the expected improvements in postgraduate programs, institutional performance, and innovation. Justify whether appropriate cost methods, such as cost-benefit analysis, have been selected.)

17. List the Major Equipment/Instruments (if any):

a. (Please prepare a list of the major equipment/instruments proposed for procurement under the sub-project. For each item, explain its relevance to the activities of the sub-project and describe the experience of the SPMT in using this equipment/instruments. If any item exceeds 15% of the total budget, please provide a justification for its cost.)

Serial no.	Description of Equipment/Instruments	Estimated cost (BDT in Lakh)	Relevance	Experience of the SPM
------------	--------------------------------------	------------------------------	-----------	-----------------------

1.				
2.				

b. Please Justify the Cost of the Item(s) Exceeding 15% of the Total Budget:

18. Summary of Estimated Budget:

(Please provide a summary of the major items and their estimated costs, as outlined in Table 1 below. This table should include only the main categories of expenditure, rather than a detailed list of all goods, services, and works that will be procured for the sub-project.)

Table 1. Summary of Estimated Budget (Fill in the relevant items only using economic codes)

(BDT in Lakh)					
Economic Code*	Items of Expenditure	Unit	Quantity	Estimated Cost (Taka)	% of Estimated Cost
31113	Allowances				
32111	Administrative Expenses				
32313	Training				
32441	Travel Expenses				
32551	Printing and Stationary				
32561	Chemicals				
41122	ICT Equipment				
41123	Machineries and Equipment				
41133	Computer Software				
Total Sub-Project Cost					

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

19. a. Operation & Maintenance of Equipment/Instrument (if necessary):

(Please provide details about the technical and financial capacity of the entity submitting the proposal for the operation and maintenance of the equipment or instruments to be acquired under this sub-project. Additionally, include a plan for developing any necessary additional capacity.)

b. Types of Technical Assistance/Consultation Required under the Sub-Project and Its Terms of Reference (ToR) (if any):

--

20. Brief Descriptions of the Probable Impact(s) of the Proposed Sub-Project on:

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

21. Dissemination Strategy of Research Outcome(s):

(Please outline how research results will be disseminated, including through journal articles, book chapters, monographs, conference papers, symposia, public lectures, exhibitions, posters, policy briefs, stakeholder dialogues, and digital platforms such as blogs, podcasts, and videos.)

--

22. Sustainability Plan:

(Please provide a summary of the sustainability analysis for this sub-project. This should include the measures and budget provisions that the entity or university is likely to commit to sustaining the activities and outcomes after the sub-project is completed. Additionally, you may include relevant information regarding other aspects of sustainability.)

--

23. List of References (Using APA 7th Edition):

Please follow the APA style, 7th edition and avoid using your own name for self-references, (e.g., Researcher and colleagues. (2024); without title and name of the publisher for anonymity)

--

24. Please attach the completed SPP Annexes in the following manner:

- i. SPP Annex 1: Milestones, Performance Indicators, and Logical Framework
- ii. SPP Annex 2: Work/Activities Plan (Excel spreadsheet)
- iii. SPP Annex 3: Financing Plan (Excel spreadsheet)
- iv. SPP Annex 4: Procurement Plan Summary (Table A, Table B, Table C, Table D and Table E) Excel spreadsheet
- v. SPP Annex 5: Training visit/ Study Tour Plan
- vi. SPP Annex 6: Details of estimated Budget (Excel spreadsheet)

(Please insert six-digit number from online submission portal)



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



WINDOW 1: Pandemic/Epidemic Readiness Related Research and Development (AHSBL)

(Please submit section A and section B separately)

Section B

1. Sub-Project Title:

.....

.....

.....

2. Sub-Project Management Team (Name, Designation, and Entity)

- a) SPM:
- b) ASPM:
- c) Member-1:
- d) Member-2:

3. Please indicate whether (i) a similar project has been implemented in the past, (ii) is currently being carried out by the entity submitting the proposal, or (iii) is being executed by any members of the sub-project management team. If so, please provide the following details: the name of the project, its cost, duration, and key outcomes. Additionally, clarify whether there will be any duplication of activities as a result of undertaking this ATF sub-project.

4. Background data substantiating the strategic analysis:

- a. *Please provide the information requested in the following table-1. 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	2021	2022	2023	2024	2025
ENTITY:						
1	Total number of undergraduate students engaged in research work					
2	Total enrollment in the MS program					
3	Number of MS degrees awarded					
4	Total number of publications in peer-reviewed journals out of the research work by MS students					
5	Total enrollment in the PhD program					
6	First year enrollment in PhD program					
7	Number of PhD degrees awarded					
8	% of students achieving a 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 the 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					
Sub-Project Management Team:						
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 Scopus indexed journals.					

- b. *Please provide information on the existing facilities/resources in the entity and the additional facilities/resources needed to develop the post-graduate research programs.*

Table 2: Research facilities/resources in the entity

Description of Facilities	Unit	Existing/ Available	Required	Comments
ENTITY				
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. Others (Please specify)				
Major Scientific Equipment in the Laboratories of the Sub-project Management Team:				
1.				
2.				
3.				

4.				

5. Collaboration:

Please describe if there is any plan for the linkages/collaboration (if any) with any university/Department/Institute/Center/NGO/Business Corporation/Company/Industry etc.

--

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

6. Please mention names and addresses of three peers/experts (national) in the proposed research field and development program:

1. Name: Official designation (if any) Correspondence/Mailing Address: Email: Cell no. Field of Expertise.....
2. Name: Official designation (if any) Correspondence/Mailing Address: Email: Cell no. Field of Expertise.....
3. Name: Official designation (if any) Correspondence/Mailing Address: Email: Cell no. Field of Expertise.....

7. Please attach the documents as SPP Annexes in the manner outlined below:

- i. SPP Annex 7: Environment and Safety Checklist for Research and Innovation
- ii. SPP Annex 8: Environmental Monitoring and Mitigation Plan
- iii. SPP Annex 9: Social Screening Form
- iv. SPP Annex 10: Indicative Organogram of the Sub-project Management Office
- v. SPP Annex 11: Sub-project Management Team
 - CV of SPM, ASPM and SPMT members showing research experience and list of published Scopus indexed journal articles
- vi. SPP Annex 12: Minutes of the Academic Committee Meeting and Proposal Endorsement by University Management

(Please insert six-digit number from online submission portal)



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



WINDOW 1: Pandemic/Epidemic Readiness Related Research and Development (STEM)

(Please submit section A and section B separately)

Section-A

*(This section must be completed anonymously, without sharing any personal identifiers. Inclusion of any personal or institutional information in this section will make the proposal **ineligible**.)*

1. Sub-Project Title:

.....

.....

.....

2. Please put a tick mark on the cluster of disciplines of the proposed research area as per section 2.3.1 of ATFOM (Please select any one):

- (i) Biochemical/Virological ☐
- (ii) Medical and Pharmaceutical ☐

3.. Please put a tick mark on the category of the proposed research area (Please select any one):

- (i) General category ☐
- (ii) Junior category led by junior academics ☐

4. Implementation Period:

i. Commencement: (dd/mm/year)

ii. Completion: (dd/mm/year)

5. Total Budget: (i) In BDT (Lakh)

(ii) In words.....

6. a. Sub-Project Summery (Must not be more than 250 words):

--

b. Keywords (3-5 words):

--

7. Background (Must not be more than 500 words):

--

8. Research Problem (Must not be more than 700 words):

--

9. Objectives:

a. General Objective:

(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)

--

b. Specific Objectives:

(Please 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.
.....

10. Expected Outcome(s):

- 1.
- 2.
- 3.
-

11. a. Literature Review and Research Gaps Identification (Must not be more than 500 words):

b. Relevant Theoretical/Conceptual Framework/Model (Must not be more than 500 words): (if any

12. Methodology (Must not be more than 500 words):

13. Please Justify the Innovativeness/uniqueness/novelty of the proposed research project (Must not be more than 150 words):

14. SWOT Analysis:

- a. *(Please identify the Strengths, Weaknesses, Opportunities, and Threats (SWOT) of the proposal*

submitting entity in relation to implementing the sub-project. *These should be aligned with background data substantiating the strategic analysis given in clause:04 of section B)*

Internal	Strengths	Weaknesses
External	Opportunities	Threats

b. *(Please explain how the above SWOT analysis will be addressed in the proposed sub-project)*

15. Relevance of the Proposed Project:

(Please describe how the proposal aligns with HEAT project objectives, the university's strategic plan, national development goals, and the government's tertiary education sector development goals. Clearly illustrate the connections between the facilities to be developed under this sub-project and their relevance to research.)

16. Contribution(s):

(Please describe the potential contributions of the project to new knowledge, quality education, policy initiatives, improved research infrastructure, and enhanced capacity for a broader postgraduate program. Additionally, outline the expected improvements in postgraduate programs, institutional performance, and innovation. Justify whether appropriate cost methods, such as cost-benefit analysis, have been selected.)

17. List the Major Equipment/Instruments (if any):

a. *(Please prepare a list of the major equipment/instruments proposed for procurement under the sub-project. For each item, explain its relevance to the activities of the sub-project and describe the experience of the SPMT in using this equipment/instruments. If any item exceeds 15% of the total budget, please provide a justification for its cost.)*

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

2.				
----	--	--	--	--

b. Please Justify the Cost of the Item(s) Exceeding 15% of the Total Budget:

--

18. 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 1. Summary of Estimated Budget (Fill in the relevant items only using economic codes)

BDT in Lakh					
Economic Code*	Items of Expenditure	Unit	Quantity	Estimated Cost (Taka)	% of Estimated Cost
31113	Allowances				
32111	Administrative Expenses				
32313	Training				
32441	Travel Expenses				
32551	Printing and Stationary				
32561	Chemicals				
41122	ICT Equipment				
41123	Machineries and Equipment				
41133	Computer Software				
Total Sub-Project Cost					

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

19. a. Operation & Maintenance of Equipment/Instrument (if necessary):

(Please provide details about the technical and financial capacity of the entity submitting the proposal for the operation and maintenance of the equipment or instruments to be acquired under this sub-project. Additionally, include a plan for developing any necessary additional capacity.)

--

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

--

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

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

21. Dissemination Strategy of Research Outcome(s):

(Please outline how research results will be disseminated, including through journal articles, book chapters, monographs, conference papers, symposia, public lectures, exhibitions, posters, policy briefs, stakeholder dialogues, and digital platforms such as blogs, podcasts, and videos.)

--

22. Sustainability Plan:

(Please provide a summary of the sustainability analysis for this sub-project. This should include

the measures and budget provisions that the entity or university is likely to commit to sustaining the activities and outcomes after the sub-project is completed. Additionally, you may include relevant information regarding other aspects of sustainability.)

--

23. List of References (Using APA 7th Edition):

Please follow the APA style, 7th edition and avoid using your own name for self-references, (e.g., Researcher and colleagues. (2024); without title and name of the publisher for anonymity)

--

24. Please attach the completed SPP Annexes in the following manner:

- i. SPP Annex 1: Milestones, Performance Indicators and Logical Framework
- ii. SPP Annex 2: Work/Activities Plan (excel spread sheet)
- iii. SPP Annex 3: Financing Plan (excel spread sheet)
- iv. SPP Annex 4: Procurement Plan Summary (Table A, Table B, Table C, Table D and Table E) excel spread sheet
- v. SPP Annex 5: Training/Visit/ Study Tour Plan
- vi. SPP Annex 6: Details of estimated Budget (Excel spread sheet)

(Please insert six-digit number from online submission portal)

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



WINDOW 1: Pandemic/Epidemic Readiness Related Research and Development (STEM)

(Please submit section A and section B separately)

Section B

1. Sub-Project Title:

.....

.....

.....

2. Sub-Project Management Team (Name, Designation and Entity):

- a) SPM:.....
- b) ASPM:.....
- c) Member-1:.....
- d) Member-2:

3. 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.

4. Background data substantiating the strategic analysis:

- a. Please provide the information requested in the following table-1. 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	2021	2022	2023	2024	2025
ENTITY:						
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					
Sub-Project Management Team:						
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 Scopus indexed journals.					

b. Please provide data on existing facilities/ resources available in the entity and the facilities/ resources required to develop the post-graduate research programs.

Table 2: Research facilities/resources in the entity

Description of Facilities	Unit	Existing/ Available	Required	Comments
ENTITY				
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. *				
Major Scientific Equipment in the Laboratories of the Sub-project Management Team:				
1.				
2.				

3.				
4.				

5. Collaboration:

(Please describe the linkages/collaboration (if any) with any university/Department/ Institute/ Center/NGO/Business Corporation/Company/Industry etc.)

--

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

6. Please mention name and address of three peers/experts (national) 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: Cell no.</p> <p>Field of Expertise.....</p>
<p>2. Name:</p> <p>Official designation (if any)</p> <p>Correspondence/Mailing Address:</p> <p>Email: Cell no.</p> <p>Field of Expertise.....</p>
<p>3. Name:</p> <p>Official designation (if any)</p> <p>Correspondence/Mailing Address:</p> <p>Email: Cell no.</p> <p>Field of Expertise.....</p>

7. Please attach the documents as SPP Annexes in the manner outlined below:

- i. SPP Annex 7: Environment and Safety Checklist for Research and Innovation
- ii. SPP Annex 8: Environmental Monitoring and Mitigation Plan
- iii. SPP Annex 9: Social Screening Form
- iv. SPP Annex 10: Indicative Organogram of the Sub-project Management Office
- v. SPP Annex 11: Sub-project Management Team

- CV of SPM, ASPM and SPMT members showing research experience and list of published Scopus indexed journal articles
- vi. SPP Annex 12: Minutes of the Academic Committee Meeting and Proposal Endorsement by University Management.

(Please insert six-digit number from online submission portal)



বাংলাদেশ
বিশ্ববিদ্যালয় মঞ্জুরী কমিশন

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



WINDOW 2: Improvement of Teaching-Learning Infrastructure

(Please submit section A and section B separately)

Section-A

(This section must be completed anonymously, avoiding any personal identifiers. Any inclusion of personal or institutional information in this section will lead to the proposal's ineligible.)

1. Sub-Project Title:

.....
.....
.....

2. Please put a tick mark on the category area of discipline (Please select any one):

- STEM ☐
➤ AHSSBL ☐

3. Please put a tick mark on the cluster of disciplines as per section 3.3.4 of ATFOM (Please select any one):

- a. Arts, Humanities, Social Sciences (AHSS) ☐
b. Climate Change and Disaster Management (CCDM) ☐
c. Physics, Chemistry, Biology, Mathematics, Statistics, ICT (PCBMSI) ☐
d. Engineering, Technology, Textiles, Ceramic, Leather, Wood (ETTCLW) ☐
e. Medical, Biochemical, Medical Physics, Pharmaceutical, Public Health
and Nutritional Sciences (MBPPHNS) ☐
f. Agriculture including Crops, Fisheries, Livestock, Veterinary, Poultry
and Horticulture (AG) ☐
g. Business and Law (BL) ☐

4. Implementation Period:

- i. Commencement: (dd/mm/year)
ii. Completion: (dd/mm/year)

5. Total Budget:

- (i) In BDT (Lakh)
(ii) In words.....

6. Sub-project Summary (Must not be more than 250 words):

(Please summarize the key components, activities, methods, expected results, outcomes, and strategies that will be utilized to achieve the specific objectives of the sub-project. You should clearly articulate the broad impact anticipated from the activities that will be conducted. Each section should be organized under individual paragraph headings.)

--

7. Objectives:

a. General Objective:

(Please note that a general objective is a statement that conveys the overall goal of the sub-project. Briefly mention the general objective that is aimed to be achieved in a single sentence.)

--

b. Specific Objectives:

(Please clearly state the specific objectives of the sub-project. Each objective will lead to results and outcomes that should be defined through milestones and evaluated using performance indicators.)

1.
2.
3.
.....

8. Need assessment of sub-project:

(Please provide empirical evidence that reflects the needs of the facilities to be developed. Need assessment may include input from relevant stakeholders, the entity's mission, vision, objectives and curriculum.)

9. SWOT Analysis:

a. *(Please identify the Strengths, Weaknesses, Opportunities, and Threats (SWOT) of the proposal submitting entity in relation to implementing the sub-project. **These should be aligned with background data substantiating the strategic analysis given in clause:06 of section B)***

Internal	Strengths	Weaknesses
External	Opportunities	Threats

b. *(Please explain how the above SWOT analysis will be addressed in the proposed sub-project.)*

--

10. Relevance of the Proposed Project:

(Please describe how the proposal aligns with project objectives, the university's strategic plan, national development goals, and the government's tertiary education sector development goals. Clearly illustrate the connections between the facilities to be developed under this sub-project and their relevance to curriculum.)

--

11. Beneficiaries (Qualitative and Quantitative):

(Please identify the beneficiaries of the project, including students, teachers, and other stakeholders, and explain how they will benefit from the project and justify the selection of the most cost-effective methods through a cost-benefit analysis.)

--

12. List of major Equipment (If any):

a. *(Please list the major equipment proposed for procurement under the sub-project. Also, mention their relevance to the activities of the sub-project and the previous experience of the SPMT in using this equipment for teaching.)*

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

b. **Please justify the costs of items exceeding 15% of the total budget:**

--

13. Summary of Estimated Budget:

(Please provide a summary of the major expenditure categories and their estimated costs, following Table 1 below. This table should include only the primary heads of expenditure and should not detail all the goods, services, and works that will be procured under the sub-project (Refer to Section 2.7.7 and 5.2 for guidance).)

Table 1. 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				
32313	Training				
32441	Travel Expenses				
32551	Printing and Stationary				
32561	Chemicals				
41122	ICT Equipment				
41123	Machineries and Equipment				
41133	Computer Software				
Total Sub-Project Cost					

* Economic codes are available at

<https://ibas.finance.gov.bd/ibas2/HelpDocuments/OldToNewEconomic.pdf?v=687>

14. a. Operation & Maintenance of Equipment/Instrument/Facilities:

(Please provide information on the technical and financial capacity of the proposing entity to ensure the effective operation and maintenance of the equipment or instruments to be acquired under this sub-project. Additionally, please outline the proposed plan to build any required additional capacity.)

--

b. Please describe the type of technical assistance/consulting required under the sub-project and its Terms of Reference (ToR) (if any):

--

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

1.	Human Development	
2.	Women & Children	
3.	Food Security	
4.	Employment, Poverty Reduction	
5.	Environment (Soil, Water, Air, Bio-diversity, Biomass etc.)	

6.	Disaster Management	
7.	Production Innovation	
8.	Academic Innovation	
9.	Research	
10.	Academic Program	
11.	Institutional Performance	
12.	Governance and management practice	
13.	Management Practices	
14.	Entity	
15.	Quality Assurance Program (if any)	
16.	Any other (please specify)	

16. Sustainability Plan:

(Please provide a summary of the sustainability analysis for this sub-project. This should include the measures and budget provisions that the entity or university is likely to commit to sustaining the activities and outcomes after the sub-project is completed. Additionally, you may include relevant information regarding other aspects of sustainability.)

--

17. Please attach the documents as SPP Annexes in the manner outlined below:

- i. SPP Annex 1: Milestones, Performance Indicators, and Logical Framework
- ii. SPP Annex 2: Work/Activities Plan (Excel spreadsheet)
- iii. SPP Annex 3: Financing Plan (Excel spreadsheet)
- iv. SPP Annex 4: Procurement Plan Summary (Table A, Table B, Table C, Table D and Table E) Excel spreadsheet
- v. SPP Annex 5: Training visit/ Study Tour Plan
- vi. SPP Annex 6: Details of estimated Budget (Excel spreadsheet)

(Please insert six-digit number from online submission portal)



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



WINDOW 2: Improvement of Teaching-Learning Infrastructure

(Please submit section A and section B separately)

Section B

1. Sub-Project Title:

.....

2. a. Please put a tick mark on the category of the proposed research area (Please select any one):

- STEM ☐
 ➤ AHSSBL ☐

b. Department/Entity:

3. Please put a tick mark on the cluster of disciplines of the proposed research area as per section 3.3.4 of ATFOM (Please select any one):

- a. Arts, Humanities, Social Sciences (AHSS) ☐
 b. Climate Change and Disaster Management (CCDM) ☐
 c. Physics, Chemistry, Biology, Mathematics, Statistics, ICT (PCBMSI) ☐
 d. Engineering, Technology, Textiles, Ceramic, Leather, Wood (ETTCLW) ☐
 e. Medical, Biochemical, Medical Physics, Pharmaceutical, Public Health and Nutritional Sciences (MBPPHNS) ☐
 f. Agriculture including Crops, Fisheries, Livestock, Veterinary, Poultry and Horticulture (AG) ☐
 g. Business and Law (BL) ☐

4. Sub-Project Management Team (Name, Designation and Entity):

- a) SPM:
 b) ASPM:
 c) Member-1:
 d) Member-2:

5. 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:

--

6. 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		2021	2022	2023	2024	2025
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		2021	2022	2023	2024	2025
1.	Total enrolment in Undergraduate/ Master's program					
2.	First year enrollment in Undergraduate/ Master's program					
3.	Number of Undergraduates/ 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					
8.	Total number of part time academic staff holding PhD degrees involved in Undergraduate/ Master's programs					
9.	Total number of fulltime 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 Undergraduate/ Master's students					
13.	Average number of publications per academic staff engaged in Undergraduate/ Master's program					
14.						

² Additional data deemed relevant may be added here

7. Please mention name and address of three peers/experts (national) 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>Field of Expertise.....</p>
<p>2. Name:</p> <p>Official designation (if any)</p> <p>Correspondence/Mailing Address:</p> <p>Email: mobile no.</p> <p>Field of Expertise.....</p>
<p>3. Name:</p> <p>Official designation (if any)</p> <p>Correspondence/Mailing Address:</p> <p>Email: mobile no.</p> <p>Field of Expertise.....</p>

8. Please attach the documents as SPP Annexes in the manner outlined below:

- i. SPP Annex 7: Environment and Safety Checklist for Renovation/Refurbishing
- ii. SPP Annex 8: Environmental Monitoring and Mitigation Plan
- iii. SPP Annex 9: Social Screening Form
- iv. SPP Annex 10: Indicative Organogram of the Sub-project Management Office
- v. SPP Annex 11: Sub-project Management Team
 - CV of SPM, ASPM and SPMT members showing research experience and list of published Scopus indexed journal articles
- vi. SPP Annex 12: Minutes of the Academic Committee Meeting and Proposal Endorsement by University Management

(Please insert six-digit number from online submission portal)



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



WINDOW 3a: Advanced Research in Priority Areas (AHSBL)

(Please submit section A and section B separately)

Section-A

(This section must be completed anonymously, without sharing any personal identifiers. Inclusion of any personal or institutional information in this section will make the proposal **ineligible**.)

1. Sub-Project Title:

.....

.....

.....

2. Please put a tick mark on the cluster of disciplines of the proposed research area as per section 3.3.4 of ATFOM (Please select any one):

- a. Arts, Humanities, and Social Sciences (AHSS) ☐
- b. Climate Change and Disaster Management (CCDM) ☐
- c. Business and Law (BL) ☐

3. Please put a tick mark on the category of the proposed research area (Please select any one):

- AHSBL General category ☐
- Junior category led by junior academics ☐
- Climate change and resilience category ☐

4. Implementation Period:

- i. Commencement: (dd/mm/year)
- ii. Completion: (dd/mm/year)

5. Total Budget:

- (i) In BDT (Lakh)
- (ii) In words.....

6. a. Abstract of the Proposed Research Project (Must not be more than 300 words):

--

b. Keywords (3-5 words):

--

7. Background (Must not be more than 700 words):

--

8. Problem Statement and Research Questions/Hypotheses (Must not be more than 1000 words):

--

9. Objectives:

a. General Objective:

(Please note that a general objective is a statement summarizing the overall goal of a research or study project in a single sentence.)

--

b. Specific Objectives:

(Please specify the objectives of the sub-project clearly, ensuring each objective yields specific results and outcomes. Each objective must be articulated in terms of milestones and assessed using performance indicators.)

1.
2.
3.

.....

10. Expected Outcome(s):

1.
2.
3.
.....

11. a. Literature Review and Research Gaps Identification (Must not be more than 700 words):

b. Relevant Theoretical/Conceptual Framework (Must not be more than 500 words): (if any)

12. Methodology (Must not be more than 600 words):

13. Please justify the Innovativeness/uniqueness/novelty of the proposed research project (Must not be more than 150 words):

14. SWOT Analysis:

a. (Please identify the Strengths, Weaknesses, Opportunities, and Threats (SWOT) of the proposal submitting entity in relation to implementing the sub-project. **These should be aligned with background data substantiating the strategic analysis given in clause:04 of section B)**

Internal	Strengths	Weaknesses
External	Opportunities	Threats

b. (Please explain how the above SWOT analysis will be addressed in the proposed sub-project)

--

15. Relevance of the Proposed Project:

(Please describe how the proposal aligns with HEAT project objectives, the university's strategic plan, national development goals, and the government's tertiary education sector development goals. Clearly illustrate the connections between the facilities to be developed under this sub-project and their relevance to research.)

--

16. Contribution(s):

(Please describe the potential contributions of the project to new knowledge, quality education, policy initiatives, improved research infrastructure, and enhanced capacity for a broader postgraduate program. Additionally, outline the expected improvements in postgraduate programs, institutional performance, and innovation. Justify whether appropriate cost methods, such as cost-benefit analysis, have been selected.)

--

17. List the Major Equipment/Instruments (if any):

a) (Please prepare a list of the major equipment/instruments proposed for procurement under the sub-project. For each item, explain its relevance to the activities of the sub-project and describe the experience of the SPMT in using this equipment/instruments. If any item exceeds 15% of the total budget, please provide a justification for its cost.)

Serial no.	Description of Equipment/Instruments	Estimated cost (BDT in Lakh)	Relevance	Experience of the SPM
1.				
2.				

b. Please Justify the Cost of the Item(s) Exceeding 15% of the Total Budget:

--

18. Summary of Estimated Budget:

(Please provide a summary of the major items and their estimated costs, as outlined in Table 1 below. This table should include only the main categories of expenditure, rather than a detailed list of all goods, services, and works that will be procured for the sub-project.)

Table 1. Summary of Estimated Budget (Fill in the relevant items only using economic codes)

(BDT in Lakh)					
Economic Code*	Items of Expenditure	Unit	Quantity	Estimated Cost (Taka)	% of Estimated Cost
31113	Allowances				
32111	Administrative Expenses				
32313	Training				
32441	Travel Expenses				
32551	Printing and Stationary				
32561	Chemicals				
41122	ICT Equipment				
41123	Machineries and Equipment				
41133	Computer Software				
Total Sub-Project Cost					

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

19. a. Operation & Maintenance of Equipment/Instrument (if necessary):

(Please provide details about the technical and financial capacity of the entity submitting the proposal for the operation and maintenance of the equipment or instruments to be acquired under this sub-project. Additionally, include a plan for developing any necessary additional capacity.)

--

b. Types of Technical Assistance/Consultation Required under the Sub-Project and Its Terms of Reference (ToR) (if any):

--

--

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

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

21. Dissemination Strategy of Research Outcome(s):

(Please outline how research results will be disseminated, including through journal articles, book chapters, monographs, conference papers, symposia, public lectures, exhibitions, posters, policy briefs, stakeholder dialogues, and digital platforms such as blogs, podcasts, and videos.)

--

22. Sustainability Plan:

(Please provide a summary of the sustainability analysis for this sub-project. This should include the measures and budget provisions that the entity or university is likely to commit to sustaining the activities and outcomes after the sub-project is completed. Additionally, you may include relevant information regarding other aspects of sustainability.)

--

23. List of References (Using APA 7th Edition):

Please follow the APA style, 7th edition and avoid using your own name for self-references, (e.g., Researcher and colleagues. (2024); without title and name of the publisher for anonymity)

--

24. Please attach the completed SPP Annexes in the following manner:

- i. SPP Annex 1: Milestones, Performance Indicators, and Logical Framework
- ii. SPP Annex 2: Work/Activities Plan (Excel spreadsheet)
- iii. SPP Annex 3: Financing Plan (Excel spreadsheet)
- iv. SPP Annex 4: Procurement Plan Summary (Table A, Table B, Table C, Table D and Table E) Excel spreadsheet
- v. SPP Annex 5: Training visit/ Study Tour Plan
- vi. SPP Annex 6: Details of estimated Budget (Excel spreadsheet)

(Please insert six-digit number from online submission portal)

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



WINDOW 3a: Advanced Research in Priority Areas (AHSBL)

(Please submit section A and section B separately)

Section B

1. Sub-Project Title:

.....

.....

.....

2. Sub-Project Management Team (Name, Designation, and Entity):

- a) SPM:
- b) ASPM:
- c) Member-1:
- d) Member-2:

- 3. Please indicate whether (i) a similar project has been implemented in the past, (ii) is currently being carried out by the entity submitting the proposal, or (iii) is being executed by any members of the sub-project management team. If so, please provide the following details: the name of the project, its cost, duration, and key outcomes. Additionally, clarify whether there will be any duplication of activities as a result of undertaking this ATF sub-project.**

4. Background data substantiating the strategic analysis:

- a.** Please provide the information requested in the following table-1. 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	2021	2022	2023	2024	2025
ENTITY:						
1	Total number of undergraduate students engaged in research work					
2	Total enrollment in the MS program					
3	Number of MS degrees awarded					
4	Total number of publications in peer-reviewed journals out of the research work by MS students					
5	Total enrollment in the PhD program					
6	First year enrollment in PhD program					
7	Number of PhD degrees awarded					
8	% of students achieving a 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 the 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					
Sub-Project Management Team:						

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 Scopus indexed journals.					

- b.** *Please provide information on the existing facilities/resources in the entity and the additional facilities/resources needed to develop the post-graduate research programs.*

Table 2: Research facilities/resources in the entity

Description of Facilities	Unit	Existing/ Available	Required	Comments
<i>ENTITY</i>				
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. Others (Please specify)				
<i>Major Scientific Equipment in the Laboratories of the Sub-project Management Team:</i>				
1.				
2.				
3.				
4.				

5. Collaboration:

Please describe if there is any plan for the linkages/collaboration (if any) with any university/Department/Institute/Center/NGO/Business Corporation/Company/Industry etc.

**Please attach collaboration document/MoU (if there is any).*

6. Please mention names and addresses of three peers/experts (national) in the proposed research field and development program:

1. Name: Official designation (if any) Correspondence/Mailing Address: Email: Cell no. Field of Expertise.....
2. Name: Official designation (if any) Correspondence/Mailing Address: Email: Cell no. Field of Expertise.....
3. Name: Official designation (if any) Correspondence/Mailing Address: Email: Cell no. Field of Expertise.....

7. Please attach the documents as SPP Annexes in the manner outlined below:

- i. SPP Annex 7: Environment and Safety Checklist for Research and Innovation
- ii. SPP Annex 8: Environmental Monitoring and Mitigation Plan
- iii. SPP Annex 9: Social Screening Form
- iv. SPP Annex 10: Indicative Organogram of the Sub-project Management Office
- v. SPP Annex 11: Sub-project Management Team
 - CV of SPM, ASPM and SPMT members showing research experience and list of published Scopus indexed journal articles
- vi. SPP Annex 12: Minutes of the Academic Committee Meeting and Proposal
Endorsement by University Management



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



WINDOW 3a: Advanced Research in Priority Areas (STEM)

(Please submit section A and section B separately)

Section-A

*(This section must be completed anonymously, without sharing any personal identifiers. Inclusion of any personal or institutional information in this section will make the proposal **ineligible**.)*

1. Sub-Project Title:

.....

2. Please put a tick mark on the cluster of disciplines of the proposed research area as per section 3.3.4 of ATFOM (Please select any one):

- a. Climate Change and Disaster Management (CCDM) ☐
- b. Physics, Chemistry, Biology, Mathematics, Statistics, ICT (PCBMSI) ☐
- c. Engineering, Technology, Textiles, Ceramic, Leather, Wood (ETTCLW) ☐
- d. Medical, Biochemical, Medical Physics, Pharmaceutical, Public Health and Nutritional Sciences (MBPPHNS) ☐
- e. Agriculture including Crops, Fisheries, Livestock, Veterinary, Poultry and Horticulture (AG) ☐

3. Please put a tick mark on the category of the proposed research area (Please select any one):

- STEM General category ☐
- Junior category led by junior academics ☐
- Climate change and resilience category ☐

4. Implementation Period:

- i. Commencement: (dd/mm/year)
- ii. Completion: (dd/mm/year)

5. Total Budget:

- (i) In BDT (Lakh)
- (ii) In words.....

6. a. Sub-Project Summery (Must not be more than 250 words):

--

b. Keywords (3-5 words):

--

7. Background (Must not be more than 500 words):

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8. Research Problem (Must not be more than 700 words):

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9. Objectives:

a. General Objective:

(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)

--

b. Specific Objectives:

(Please 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.
.....

10. Expected Outcome(s):

- 1.
- 2.
- 3.
-

11. a. Literature Review and Research Gaps Identification (Must not be more than 500 words):

b. Relevant Theoretical/Conceptual Framework/Model (Must not be more than 500 words): (if any)

12. Methodology (Must not be more than 500 words):

13. Please Justify the Innovativeness/uniqueness/novelty of the proposed research project (Must not be more than 150 words):

14. SWOT Analysis:

- a. *(Please identify the Strengths, Weaknesses, Opportunities, and Threats (SWOT) of the proposal submitting entity in relation to implementing the sub-project. **These should be aligned with background data substantiating the strategic analysis given in clause:04 of section B)***

Internal	Strengths	Weaknesses
External	Opportunities	Threats

b. *(Please explain how the above SWOT analysis will be addressed in the proposed sub-project)*

--

15. Relevance of the Proposed Project:

(Please describe how the proposal aligns with HEAT project objectives, the university's strategic plan, national development goals, and the government's tertiary education sector development goals. Clearly illustrate the connections between the facilities to be developed under this sub-project and their relevance to research.)

--

16. Contribution(s):

(Please describe the potential contributions of the project to new knowledge, quality education, policy initiatives, improved research infrastructure, and enhanced capacity for a broader postgraduate program. Additionally, outline the expected improvements in postgraduate programs, institutional performance, and innovation. Justify whether appropriate cost methods, such as cost-benefit analysis, have been selected.)

--

17. List the Major Equipment/Instruments (if any):

a. *(Please prepare a list of the major equipment/instruments proposed for procurement under the sub-project. For each item, explain its relevance to the activities of the sub-project and describe the experience of the SPMT in using this equipment/instruments. If any item exceeds 15% of the total budget, please provide a justification for its cost.)*

Serial no.	Description of Equipment/Instruments	Estimated cost (BDT in Lakh)	Relevance	Experience of the SPM
1.				
2.				

b. **Please Justify the Cost of the Item(s) Exceeding 15% of the Total Budget:**

--

18. Summary of Estimated Budget:

(Please provide a summary of the major items and their estimated costs, as outlined in Table 1 below. This table should include only the main categories of expenditure, rather than a detailed list of all goods, services, and works that will be procured for the sub-project.)

Table 1. Summary of Estimated Budget (Fill in the relevant items only using economic codes)

BDT in Lakh					
Economic Code*	Items of Expenditure	Unit	Quantity	Estimated Cost (Taka)	% of Estimated Cost
31113	Allowances				
32111	Administrative Expenses				
32313	Training				
32441	Travel Expenses				
32551	Printing and Stationary				
32561	Chemicals				
41122	ICT Equipment				
41123	Machineries and Equipment				
41133	Computer Software				
Total Sub-Project Cost					

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

19. a. Operation & Maintenance of Equipment/Instrument (if necessary):

(Please provide details about the technical and financial capacity of the entity submitting the proposal for the operation and maintenance of the equipment or instruments to be acquired under this sub-project. Additionally, include a plan for developing any necessary additional capacity.)

--

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

--

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

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

21. Dissemination Strategy of Research Outcome(s):

(Please outline how research results will be disseminated, including through journal articles, book chapters, monographs, conference papers, symposia, public lectures, exhibitions, posters, policy briefs, stakeholder dialogues, and digital platforms such as blogs, podcasts, and videos.)

--

22. Sustainability Plan:

(Please provide a summary of the sustainability analysis for this sub-project. This should include the measures and budget provisions that the entity or university is likely to commit to sustaining the activities and outcomes after the sub-project is completed. Additionally, you may include relevant information regarding other aspects of sustainability.)

--

23. List of References (Using APA 7th Edition)

Please follow the APA style, 7th edition and avoid using your own name for self-references, (e.g., Researcher and colleagues. (2024); without title and name of the publisher for anonymity)

--

24. Please attach the completed SPP Annexes in the following manner:

- i. SPP Annex 1: Milestones, Performance Indicators and Logical Framework
- ii. SPP Annex 2: Work/Activities Plan (excel spread sheet)
- iii. SPP Annex 3: Financing Plan (excel spread sheet)
- iv. SPP Annex 4: Procurement Plan Summary (Table A, Table B, Table C, Table D and Table E) excel spread sheet
- v. SPP Annex 5: Training/Visit/ Study Tour Plan
- vi. SPP Annex 6: Details of estimated Budget (Excel spread sheet)

(Please insert six-digit number from online submission portal)

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



WINDOW 3a: Advanced Research in Priority Areas (STEM)

(Please submit section A and section B separately)

Section B

1. Sub-Project Title:

.....

.....

.....

2. Sub-Project Management Team (Name, Designation and Entity)

- a) SPM:
- b) ASPM:
- c) Member-1:
- d) Member-2:

3. 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.

4. Background data substantiating the strategic analysis:

- a. Please provide the information requested in the following table-1. 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

Si	Items	2021	2022	2023	2024	2025
ENTITY:						
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					
Sub-project Management Team:						
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 Scopus-indexed journals.					

b. Please provide data on existing facilities/ resources available in the entity and the facilities/ resources required to develop the post-graduate research programs.

Table 2: Research facilities/resources in the entity

Description of Facilities	Unit	Existing/ Available	Required	Comments
ENTITY				
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. Others (Please specify).....				
Major Scientific Equipment in the Laboratories of the Sub-project Management Team:				
1.				
2.				
3.				
4.				

5. Collaboration

Please describe the linkages/collaboration (if any) with any university/Department/ Institute/ Center/NGO/Business Corporation/Company/Industry etc.

--

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

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

1. Name: Official designation (if any) Correspondence/Mailing Address: Email: Cell no. Field of Expertise.....
2. Name: Official designation (if any) Correspondence/Mailing Address: Email: Cell no. Field of Expertise.....
3. Name: Official designation (if any) Correspondence/Mailing Address: Email: Cell no. Field of Expertise.....

7. Please attach the documents as SPP Annexes in the manner outlined below:

- i. SPP Annex 7: Environment and Safety Checklist for Research and Innovation
- ii. SPP Annex 8: Environmental Monitoring and Mitigation Plan
- iii. SPP Annex 9: Social Screening Form
- iv. SPP Annex 10: Indicative Organogram of the Sub-project Management Office
- v. SPP Annex 11: Sub-project Management Team
 - CV of SPM, ASPM and SPMT members showing research experience and list of published Scopus indexed journal articles
- vi. SPP Annex 12: Minutes of the Academic Committee Meeting and Proposal Endorsement by University Management



বাংলাদেশ
বিশ্ববিদ্যালয় মঞ্জুরী কমিশন

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



WINDOW 3b: Collaborative Research with Industries and Research Institutes

(Please submit section A and section B separately)

Section-A

(This section must be completed anonymously, without sharing any personal identifiers. Inclusion of any personal or institutional information in this section will make the proposal **ineligible**.)

1. Sub-project Title:
.....
.....

2. Please put a tick mark on the cluster of disciplines of the proposed research area as per section 3.3.4 of ATFOM (Please select any one):

- a. Climate Change and Disaster Management (CCDM) ☐
- b. Physics, Chemistry, Biology, Mathematics, Statistics, ICT (PCBMSI) ☐
- c. Engineering, Technology, Textiles, Ceramic, Leather, Wood (ETTCLW) ☐
- d. Medical, Biochemical, Medical Physics, Pharmaceutical, Public Health
and Nutritional Sciences (MBPPHNS) ☐
- e. Agriculture including Crops, Fisheries, Livestock, Veterinary, Poultry
and Horticulture (AG) ☐

3. Implementation Period:

i. Commencement: (dd/mm/year)

ii. Completion: (dd/mm/year)

4. Total Budget: (i) In BDT (Lakh)

(ii) In Words.....

5. a. Sub-project Summary (Must not be more than 250 words):

b. Keywords (3-5 words):

6. Background (Must not be more than 500 words):

--

7. Research Problem (Must not be more than 700 words):

--

8. Objectives:

a. General Objective:

(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)

--

b. Specific Objectives:

(Please 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.
.....

9. Expected Outcome(s):

1.
2.
3.
.....

10. a. Literature Review and Research Gaps Identification (Must not be more than 500 words):

--

b. Relevant Theoretical/Conceptual Framework/Model (Must not be more than 500 words): (if any)

--

11. Methodology (Must not be more than 500 words):

--

12. Please justify the Innovativeness/uniqueness/novelty of the proposed research project (Must not be more than 150 words):

--

13. SWOT Analysis:

a. *(Please identify the Strengths, Weaknesses, Opportunities, and Threats (SWOT) of the proposal submitting entity in relation to implementing the sub-project. **These should be aligned with background data substantiating the strategic analysis given in clause:05 of section B)***

Internal	Strengths	Weaknesses
External	Opportunities	Threats

b. *(Please explain, how the above SWOT analysis will be addressed in the proposed sub-project research)*

--

14. Relevance of the proposed project:

(Please describe how the proposal aligns with HEAT project objectives, the university's strategic plan, national development goals, and the government's tertiary education sector development goals. Clearly illustrate the connections between the facilities to be developed under this sub-project and their relevance to research.)

--

15. Contribution(s):

(Please describe the potential contributions of the project to new knowledge, quality education, policy initiatives, improved research infrastructure, and enhanced capacity for a broader postgraduate program. Additionally, outline the expected improvements in postgraduate programs, institutional performance, and innovation. Justify whether appropriate cost methods, such as cost-benefit analysis, have been selected.)

--

16. List the major equipment (If any):

- a.** *(Please prepare a list of the major equipment/instruments proposed for procurement under the sub-project. For each item, explain its relevance to the activities of the sub-project and describe the experience of the SPMT in using this equipment/instruments. If any item exceeds 15% of the total budget, please provide a justification for its cost.)*

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

- b.** **Please Justify cost of the item(s) exceeding 15% of the total budget:**

--

17. Summary of Estimated Budget:

(Please provide a summary of the major items and their estimated costs, as outlined in Table 1 below. This table should include only the main categories of expenditure, rather than a detailed list of all goods, services, and works that will be procured for the sub-project)

Table 1. 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				
32313	Training				
32414	Travel Expenses				
32551	Printing and Stationary				
32561	Chemicals				
41122	ICT equipment				
41123	Machineries and Equipment				

41133	Computer Software				
Operational Costs/Contingencies (maximum 2% of total cost)					
Total Sub-Project Cost					

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

18. a. Operation & Maintenance of Equipment/Instrument:

(Please provide details about the technical and financial capacity of the entity submitting the proposal for the operation and maintenance of the equipment or instruments to be acquired under this sub-project. Additionally, include a plan for developing any necessary additional capacity.)

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

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

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

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

20. Dissemination Strategy of Research Outcome(s):

(Please outline how research results will be disseminated, including through journal articles, book chapters, monographs, conference papers, symposia, public lectures, exhibitions, posters, policy briefs, stakeholder dialogues, and digital platforms such as blogs, podcasts, and videos.)

21. Sustainability Plan:

(Please provide a summary of the sustainability analysis for this sub-project. This should include the measures and budget provisions that the entity or university is likely to commit to sustaining the activities and outcomes after the sub-project is completed. Additionally, you may include relevant information regarding other aspects of sustainability.)

--

22. List of References (Using APA 7th)

Please avoid using your own name for self-references, (e.g., Researcher and colleagues. (2024). Without title and publisher for anonymity)

--

23. Please attach the completed SPP Annexes in the following manner:

- i. SPP Annex 1: Milestones, Performance Indicators and Logical Framework
- ii. SPP Annex 2: Work/Activities Plan (excel spread sheet)
- iii. SPP Annex 3: Financing Plan (excel spread sheet)
- iv. SPP Annex 4: Procurement Plan Summary (Table A, Table B, Table C, Table D and Table E)
excel spread sheet
- v. SPP Annex 5: Training visit/ Study Tour Plan
- vi. SPP Annex 6: Details of estimated Budget (Excel spread sheet)

(Please insert six-digit number from online submission portal)



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



WINDOW 3b: Collaborative Research with Industries and Research Institutes

(Please submit section A and section B separately)

Section-B

1. Sub-project Title:

.....

.....

.....

2. Please put a tick mark on the cluster of disciplines of the proposed research area as per section 3.3.4 of ATFOM (Please select any one):

- a. Climate Change and Disaster Management (CCDM) ☐
- b. Physics, Chemistry, Biology, Mathematics, Statistics, ICT (PCBMSI) ☐
- c. Engineering, Technology, Textiles, Ceramic, Leather, Wood (ETTCLW) ☐
- d. Medical, Biochemical, Medical Physics, Pharmaceutical, Public Health and Nutritional Sciences (MBPPHNS) ☐
- e. Agriculture including Crops, Fisheries, Livestock, Veterinary, Poultry and Horticulture (AG) ☐

3. Members of the SPMT from university and Industry (Name, Designation and Entity):

- (a) SPM:
- (b) ASPM:
- (c) Member-1:
- (d) Member-2:

4. 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 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.

5. Background data substantiating the strategic analysis:

- a. Please provide the information requested in the following table-1. 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: Background Data of the Proposal Submitting Entity

Items		2021	2022	2023	2024	2025
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 and the facilities/resources required to develop the post-graduate research programs.

Table-2: Research facilities/resources 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*

6. Groundwork and Arrangements for Collaborative Research:

(a) Meetings with:

(b) Subject of Research:

▪ Plan for coordination of various components:

7. 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?

8. 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.

9. 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.

10. 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.

1. Foreseeable technological risks:
2. Risk mitigation measures:

11. 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:

12. a. Industry/Company Profile:

Describe the profile of the industry, mentioning their product line and product volume, market share, R&D policy, etc. Mention website of the industry (250 Words).

Also submit the following documents of partner industry

1. Valid Trade License of the industry/company;
2. TIN certificate of the industry/company;
3. BIN certificate of the industry/company;
4. Turnover of the industry/company for last three financial years
5. Audited financial report for last three financial years
6. Expertise of the industry/company related to the sub-project.
7. Industry/Company structure (Organogram).
8. Certificate of Incorporation (if any)

--

Please attach documentation (brochure, booklet etc.) on the industry/company as **SPP Annex xx**.

b. 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:

c. Background Information on Industry Partner:

Please provide the information requested about the industry partner in the following table-3. This information will serve to analyze the capacity of the industry partner.

- Please provide documents (brochure, booklet etc.) of the industry.

Table 3: Background Information on Industry Partner

Items		Response
1.	Annual R&D spending in the past four 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	

13. 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:

14. 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					

15. Please mention name and address of two peers/experts (national) in the proposed field of research and development program.

1.	Name: Official designation (if any) Correspondence/Mailing Address: Email: cell no. Field of Expertise.....
2.	Name: Official designation (if any) Correspondence/Mailing Address: Email: cell no. Field of Expertise.....
3.	Name: Official designation (if any) Correspondence/Mailing Address: Email: cell no. Field of Expertise.....
4.	Please mention name and address of one industry expert (national) in the proposed field of research and development who is not associated with your sub-project proposal. Name: Official designation (if any) Correspondence/Mailing Address: Email: cell no. Field of Expertise.....

16. Please attach the documents as SPP Annexes in the manner outlined below:

- i. SPP Annex 7: Environment and Safety Checklist for Research and Innovation
- ii. SPP Annex 8: Environmental Monitoring and Mitigation Plan
- iii. SPP Annex 9: Social Screening Form
- iv. SPP Annex 10: Indicative Organogram of the Sub-project Management Office
- v. SPP Annex 11: Resume of Sub-project Management Team
 - CV of SPM, ASPM and SPMT Members showing research experience and list of published Scopus indexed journal articles
- vi. SPP Annex 12: Minutes of the academic committee meeting and Proposal Endorsement by University Management
- vii. SPP Annex 13: Partnership Agreement for Collaborative Research with Industry

(Please insert six-digit number from online submission portal)

বাংলাদেশ
বিশ্ববিদ্যালয় মঞ্জুরী কমিশন

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



WINDOW 4: Establishing Innovation Support Facilities (ISF)

(Please submit section A and section B separately)

Section-A

*(This section must be completed anonymously, avoiding any personal identifiers. Any inclusion of personal or institutional information in this section will lead to the proposal's **ineligible**.)*

1. Sub-Project Title:

.....
.....
.....

2. Implementation Period:

i. Commencement: (dd/mm/year)

ii. Completion: (dd/mm/year)

3. Total Budget:

(i) In BDT (Lakh)

(ii) In words.....

4. Sub-Project Summary (Must not be more than 500 words):

*(Please 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. You should clearly articulate the broad impact anticipated from the activities that will be conducted. Each section should be organized under individual paragraph headings.)*

5. Objectives:

a. General Objective:

(Please note that a general objective is a statement that conveys the overall goal of the sub-project. Briefly mention the general objective that is aimed to be achieved in a single sentence.)

--

b. Specific Objectives:

(Please clearly state the specific objectives of the sub-project. Each objective will lead to results and outcomes that should be defined through milestones and evaluated using performance indicators.)

1.
2.
3.
.....

6. Need assessment of sub-project:

(Please provide empirical evidence that reflects the needs of the facilities to be developed. Need assessment may include input from relevant stakeholders, the entity's mission, vision, objectives and curriculum.)

--

7. SWOT Analysis:

a. *(Please identify the Strengths, Weaknesses, Opportunities, and Threats (SWOT) of the proposal submitting entity in relation to implementing the sub-project. **These should be aligned with background data substantiating the strategic analysis given in clause:06 of section B)***

Internal	Strengths	Weaknesses
	Opportunities	Threats

b. *(Please explain how the above SWOT analysis will be addressed in the proposed sub-project.)*

--

8. Relevance of the Proposed Project:

(Please describe how the proposal aligns with project objectives, the university's strategic plan, national development goals, and the government's tertiary education sector development goals. Clearly illustrate the connections between the facilities to be developed under this sub-project and their relevance to curriculum.)

--

9. Beneficiaries (Qualitative and Quantitative):

(Please identify the beneficiaries of the project, including students, teachers, and other stakeholders, and explain how they will benefit from the project and justify the selection of the most cost-effective methods through a cost-benefit analysis.)

--

10. Proposal Design:**a. Fab Lab Design (If applicable):**

Please 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.

b. i-Lab Design (If applicable):

(Please describe the logistics required, scope of activities, mode of working, virtual laboratory, application in tertiary level teaching.)

--

c. Business Incubator (If applicable):

(Please describe the scope of activities, logistics required and linkage with Fab Lab and i-Lab, business incubation opportunities, possible partners for collaboration).

--

13. List of major Equipment (If any):

a. (Please list the major equipment proposed for procurement under the sub-project. Also, mention their relevance to the activities of the sub-project and the previous experience of the SPMT in using this equipment for teaching.)

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

b. Please justify the costs of items exceeding 15% of the total budget:

--

14. Summary of Estimated Budget:

(Please provide a summary of the major expenditure categories and their estimated costs, following Table 1 below. This table should include only the primary heads of expenditure and should not detail all the goods, services, and works that will be procured under the sub-project (Refer to Section 2.7.7 and 5.2 for guidance).)

Table 1. 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				
32313	Training				
32441	Travel Expenses				
32551	Printing and Stationary				
32561	Chemicals				
41122	ICT Equipment				
41123	Machineries and Equipment				
41133	Computer Software				
Total Sub-Project Cost					

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

15. a. Operation & Maintenance of Equipment/Instrument/Facilities:

(Please provide information on the technical and financial capacity of the proposing entity to ensure the effective operation and maintenance of the equipment or instruments to be acquired under this sub-project. Additionally, please outline the proposed plan to build any required additional capacity.)

--

b. Please describe the type of technical assistance/consulting required under the sub-project and its Terms of Reference (ToR) (if any):

--

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

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

17. Sustainability Plan:

(Please provide a summary of the sustainability analysis for this sub-project. This should include the measures and budget provisions that the entity or university is likely to commit to sustaining the activities and outcomes after the sub-project is completed. Additionally, you may include relevant information regarding other aspects of sustainability.)

--

18. Please attach the documents as SPP Annexes in the manner outlined below:

- i. SPP Annex 1: Milestones, Performance Indicators, and Logical Framework
- ii. SPP Annex 2: Work/Activities Plan (Excel spreadsheet)
- iii. SPP Annex 3: Financing Plan (Excel spreadsheet)
- iv. SPP Annex 4: Procurement Plan Summary (Table A, Table B, Table C, Table D and Table E) Excel spreadsheet

- v. SPP Annex 5: Training visit/ Study Tour Plan
- vi. SPP Annex 6: Details of estimated Budget (Excel spreadsheet)

(Please insert six-digit number from online submission portal)

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



WINDOW 4: Establishing Innovation Support Facilities (ISF)

(Please submit section A and section B separately)

Section B

1. Sub-Project Title:

.....

2. Name of University.....

3. Sub-Project Management Team (Name, Designation and Entity):

- a) SPM:
- b) ASPM:
- c) Member-1:
- d) Member-2:

4. 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:

5. 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		2021	2022	2023	2024	2025
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		2021	2022	2023	2024	2025
1.	Total enrolment in Undergraduate/ Master's program					
2.	First year enrollment in Undergraduate/ Master's					

Items		2021	2022	2023	2024	2025
	program					
3.	Number of Undergraduates/ 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					
8.	Total number of part time academic staff holding PhD degrees involved in Undergraduate/ Master's programs					
9.	Total number of fulltime 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 Undergraduate/ Master's students					
13.	Average number of publications per academic staff engaged in Undergraduate/ Master's program					
14.	*.....					

**Additional data deemed relevant may be added here*

6. 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.*

7. Please describe how teaching and research can be promoted through the use of Fab Lab and i-Lab.

--

8. 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.

--

9. 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.

--

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

1. Name: Official designation (if any) Correspondence/Mailing Address: Email: mobile no. Field of Expertise.....
2. Name: Official designation (if any) Correspondence/Mailing Address: Email: mobile no. Field of Expertise.....
3. Name: Official designation (if any) Correspondence/Mailing Address: Email: mobile no.

Field of Expertise.....

11. Please attach the documents as SPP Annexes in the manner outlined below:

- i. SPP Annex 7: Environment and Safety Checklist for Renovation/Refurbishing
- ii. SPP Annex 8: Environmental Monitoring and Mitigation Plan
- iii. SPP Annex 9: Social Screening Form
- iv. SPP Annex 10: Indicative Organogram of the Sub-project Management Office
- v. SPP Annex 11: Sub-project Management Team
 - CV of SPM, ASPM and SPMT members showing research experience and list of published Scopus indexed journal articles
- vi. SPP Annex 12: Minutes of the Academic Committee Meeting and Proposal Endorsement by University Management



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



WINDOW 5: Establishing Research coordination and Technology Transfer Office (RCTTO)

(Please submit section A and section B separately)

Section-A

*(This section is designed to be filled out anonymously, without disclosing any personal identifiers. Inclusion of any personal/Institutional information in this section will result in the proposal being considered **ineligible**.)*

1. Sub-project Title:

2. Implementation Period:

i. Commencement: (dd/mm/year)

ii. Completion: (dd/mm/year)

3. Total Budget: (i) In BDT (Lakh)

(ii) In Words.....

4. Sub-project Summary (Must not be more than 250 words):

(Please summarize the key components, activities, methods, expected results, outcomes, and strategies that will be utilized to achieve the specific objectives of the sub-project. You should clearly articulate the broad impact anticipated from the activities that will be conducted. Each section should be organized under individual paragraph headings.)

5. Objectives:

a. General Objective:

(Please note that a general objective is a statement that conveys the overall goal of the sub-project. Briefly mention the general objective that is aimed to be achieved in a single sentence.)

b. Specific Objectives:

(Please clearly state the specific objectives of the sub-project. Each objective will lead to results and outcomes that should be defined through milestones and evaluated using performance indicators.)

1.
2.
3.
.....

6. Need assessment of sub-project:

(Please provide empirical evidence that reflects the needs of the facilities to be developed. Need assessment may include input from relevant stakeholders, the entity's mission, vision, objectives and curriculum.)

7. SWOT Analysis:

a. *(Please identify the Strengths, Weaknesses, Opportunities, and Threats (SWOT) of the proposal submitting entity in relation to implementing the sub-project. **These should be aligned with background data substantiating the strategic analysis given in clause:06 of section B)***

Internal	Strengths	Weaknesses
External	Opportunities	Threats

b. *(Please explain how the above SWOT analysis will be addressed in the proposed sub-project.)*

--

8. Relevance of the Proposed Project:

(Please describe how the proposal aligns with project objectives, the university's strategic plan, national development goals, and the government's tertiary education sector development goals. Clearly illustrate the connections between the facilities to be developed under this sub-project and their relevance to curriculum.)

--

9. Beneficiaries (Qualitative and Quantitative):

(Please identify the beneficiaries of the project, including students, teachers, and other stakeholders, and explain how they will benefit from the project and justify the selection of the most cost-effective methods through a cost-benefit analysis.)

--

10. List of major Equipment (If any):

a. (Please list the major equipment proposed for procurement under the sub-project. Also, mention their relevance to the activities of the sub-project and the previous experience of the SPMT in using this equipment for teaching.)

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

b. Please justify the costs of items exceeding 15% of the total budget:

--

11. Summary of Estimated Budget:

(Please provide a summary of the major expenditure categories and their estimated costs, following Table 1 below. This table should include only the primary heads of expenditure and should not detail all the goods, services, and works that will be procured under the sub-project (Refer to Section 2.7.7 and 5.2 for guidance).)

Table 1. Summary of Estimated Budget

Economic Code*	Items of Expenditure	Unit	Quantity	Estimated Cost (Taka)	BDT in Lakh
					% of Estimated Cost
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32313	Training				
32441	Travel Expenses				
32551	Printing and Stationary				
32561	Chemicals				
41122	ICT Equipment				
41123	Machineries and Equipment				
41133	Computer Software				
Total Sub-Project Cost					

* Economic codes are available at

<https://ibas.finance.gov.bd/ibas2/HelpDocuments/OldToNewEconomic.pdf?v=687>

12. a. Operation & Maintenance of Equipment/Instrument/Facilities:

(Please provide information on the technical and financial capacity of the proposing entity to ensure the effective operation and maintenance of the equipment or instruments to be

acquired under this sub-project. Additionally, please outline the proposed plan to build any required additional capacity.)

--

b. Please describe the type of technical assistance/consulting required under the sub-project and its Terms of Reference (ToR) (if any):

--

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

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

14. Sustainability Plan:

(Please provide a summary of the sustainability analysis for this sub-project. This should include the measures and budget provisions that the entity or university is likely to commit to sustaining the activities and outcomes after the sub-project is completed. Additionally, you may include relevant information regarding other aspects of sustainability.)

--

15. Please attach the following completed SPP Annexes:

- i. SPP Annex 1: Milestones, Performance Indicators and Logical Framework
- ii. SPP Annex 2: Work/Activities Plan (excel spread sheet)
- iii. SPP Annex 3: Financing Plan (excel spread sheet)
- iv. SPP Annex 4: Procurement Plan Summary (Table A, Table B, Table C, Table D and Table E) excel spread sheet
- v. SPP Annex 5: Training visit/Study/Tour Plan
- vi. SPP Annex 6: Details of estimated Budget (Excel spread sheet)



বাংলাদেশ
বিশ্ববিদ্যালয় মঞ্জুরী কমিশন

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



WINDOW 5: Establishing Research coordination and Technology Transfer Office (RCTTO)

Section-B

1. a. Sub-project Title:

b. Name of University:

2. Implementation Period:

i. Commencement: (dd/mm/year)

ii. Completion: (dd/mm/year)

3. Total Budget: (i) In BDT (Lakh)

(ii) In Words.....

4. Sub-Project Management Team (Name, Designation and Entity):

a) SPM:

b) ASPM:

c) Member-1:

d) Member-2:

5. 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.

--

6. Please describe in detail the technologies, products and processes developed/innovated by the university through research:

7. Please describe the current state of use/application of each of these technologies/products/processes in the field:

1.
2.

8. 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	

9. 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.

--

10. Please describe if any of the technologies innovated in the university has been transferred to industry for mass production or business firm for commercialization.

--

11. 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		2021	2022	2023	2024	2025
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					

Items		2021	2022	2023	2024	2025
	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					
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.

A. 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				

Description of Facilities	Unit	Existing/ Available	Required	Comments
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.*

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

1. Name: Official designation (if any) Correspondence/Mailing Address: Email: mobile no. Field of Expertise.....
2. Name: Official designation (if any) Correspondence/Mailing Address: Email: mobile no. Field of Expertise.....
3. Name: Official designation (if any) Correspondence/Mailing Address: Email: mobile no. Field of Expertise.....

13. Please attach the documents as SPP Annexes in the manner outlined below:

- i. SPP Annex 7: Environment and Safety Checklist for Research/Innovation
- ii. SPP Annex 8: Attachment A: Environmental Monitoring and Mitigation Plan
- iii. SPP Annex 9: Social Screening Form
- iv. SPP Annex 10: Indicative Organogram of the Sub-project Management Office
- v. SPP Annex 11: Sub-project Management Team
 - CV of SPM, ASPM and SPMT members showing research experience and list of published Scopus indexed journal articles
- vi. SPP Annex 12: Minutes of the Academic Committee Meeting and Proposal Endorsement by University Management

University Grants Commission of Bangladesh

**Higher Education Acceleration and Transformation Project
Academic Transformation Fund**

**Appendix-3:
Sub-Project Proposal (SPP) Annexes**

CHAPTER- 11: SPP Annexes

SPP Annex 1

Annex-1: Milestones, Performance Indicators and Logical Framework of the Sub-project

Annex 1a: Milestones to evaluate sub-project implementation (Level 1)

	Milestones	Reference to Specific Objectives	Critical Activities	Verification methods	Assumptions
1.					
2.					
3.					
4.					
5.					

Annex 1b: Performance indicators to evaluate sub-project impact (Level 2)

	Indicators	Reference to Specific Objectives	Calculation Method	Assumptions	Verification Methods	Calculation of Base Value	Baseline Value in Year 2024	Desired Standard in Year....
1.								
2.								
3.								
4.								
5.								

*** Performance indicators must include two publications** (for both W-1 and W-3) that should be published in Scopus Indexed journals as outcomes of research project proposals (one should be in the middle of the project and another one would be before the end of the project)

Milestones and Performance Indicators¹

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

¹ Detailed note on performance indicators is given in ATFOM Annex-2

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 (particularly inputs/activities) direct relationship with proposed budget items also.*

Works/Activity Plan of the Sub-project

[illegible]

Financing Plan of the Sub-project

(Please prepare it in excel spread sheet as well.)

Type of Sub-project:

Sub-project Title:

<i>Broad E. Code</i>	<i>Specific E. Code</i>	Item of Expenditure /Activity	Year 1				Year 2			
			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								
32313	Training									
	3231201	Training								
32551	Printing and Stationary									
	3255101	Computer consumables								
	3255105	Other stationery								

Broad E. Code	Specific E. Code	Item of Expenditure /Activity	Year 1				Year 2			
			Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
32561	Chemicals									
	3256102	Chemicals								
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 at <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 BDT)	Total estimated value of prior review contract (BDT)	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

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																						
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	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
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-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																						
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 publication	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 Completion	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 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)																						

*as per delegation of financial power

Training/ Visit/Study Tour Plan

Subject of Training	Duration	Number of Participants	Place/Location of training within the home institute or not?	Estimated Cost	Period	
					From	To
Local:						
Foreign:						

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 Sub-project:

Sub-project Title:

Amount in word:

Proposed Budget for ATF (Details)-Sample Form

Revenue		(BDT in Lakh)						
Expenditure								
Economic Code		Description of Code	Unit	Quantity	Rate	Amount	% of Cost	
31113	Allowances							
	3111332	Honorarium				1.00	2.50%	
	3111332	Honorarium for ATF Secretariat				1.00	2.50%	
	3111332	Honorarium for Procurement purpose				1.00	2.50%	
	Sub Total of Honorarium		-	-	-	3.00	7.50%	
32111	Administrative Expenses							
	3211104	Contingent Staff;						
		Office Manager				1.00	2.50%	
		Accountant				1.00	2.50%	
		Computer Operator				1.00	2.50%	
		MLSS				1.00	2.50%	
		Additional Charge Allowance				1.00	2.50%	
		Meeting/ Entertainment expenses				1.00	2.50%	
	3211106							
	3211107	Transport hiring				1.00	2.50%	
	3211111	Seminar/Conference expenses				1.00	2.50%	
	3211112	Subscriptions				1.00	2.50%	
	3211117	Internet/Fax				1.00	2.50%	
	3211125	Advertising Expenses				1.00	2.50%	
	3211126	Audio- video/film production				1.00	2.50%	

	3211127	Books and Periodicals				1.00	2.50%
	3211128	Publication				1.00	2.50%
	3211130	Conveyance Expenditure				1.00	2.50%
	3211128	Publications				1.00	2.50%
					1.00	2.50%
	Sub Total of Administrative Expenses		-	-	-	17.00	42.50%
32313	Training						
	3231201	Training				1.00	2.50%
	Sub Total of Domestic Training		-	-	-	1.00	2.50%
32441	Travel Expenses						
	3244101	Travel Expenses				1.00	2.50%
	Sub Total of Travel Expenses		-	-	-	1.00	2.50%
32551	Printing and Stationary						
	3255101	Computer consumables				1.00	2.50%
	3255102	Printing and binding				1.00	2.50%
	3255105	Other stationery				1.00	2.50%
					1.00	2.50%
	Sub Total of Printing and Stationary		-	-	-	4.00	10.00%
32561	Chemicals						
	3256102	Chemicals				1.00	2.50%
	3256103	Consumable Items				1.00	2.50%
				1.00	2.50%
	Sub Total of Chemicals		-	-	-	3.00	7.50%
32571	Research						
	3257103	Research				1.00	2.50%
						
	Sub Total of Research		-	-	-	1.00	2.50%
32581	Repair and Maintenance						
	3258104	Office Equipments				1.00	2.50%
	3258107	Non-Residential Building				1.00	2.50%
	Sub Total of Repair and Maintenance		-	-	-	2.00	5.00%
	Sub-Total (Revenue)		-	-	-	32.00	80.00%
Capital Expenditure							

	Acquisition of Assets						
41122	ICT Equipment						
	4112205	ICT equipment				1.00	2.50%
	Sub Total of ICT Equipment		-	-	-	1.00	2.50%
41123	Machineries and Equipments						
	4112302	Camera and accessories				1.00	2.50%
	4112306	Laboratory equipment				1.00	2.50%
	4112310	Office equipment				1.00	2.50%
	4112314	Furniture				1.00	2.50%
	4112316	Machineries and equipment				1.00	2.50%
	Sub Total of Machineries and Equipments		-	-	-	5.00	12.50%
41133	Computer Software						
	4113301	Computer software				1.00	2.50%
				1.00	2.50%
	Sub Total of Computer Software		-	-	-	2.00	5.00%
	Sub-Total (Capital)		-	-	-	8.00	20.00%
	Total Proposed Budget		-	-	-	40.00	100.00%

BDT in Lakh

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 ²
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 impact on environment and ecosystem?			
15	Are there adequate fire-alarm system and fire-			

² If the answer of the questionnaire is 'Yes', please describe the possible negative environmental impact.

	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 1, **3a and 3b 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

Sl #	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?			

Sl #	Screening Questions	Yes	No	Remarks
	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

Activity/Issue	Potential Environmental Impacts	Proposed Mitigation Measures	Responsible Parties	Estimated Cost

Table 2: Typical Environmental Monitoring Plan

Issue	Parameters	Monitoring Frequency	Monitoring Location	Responsible Parties

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

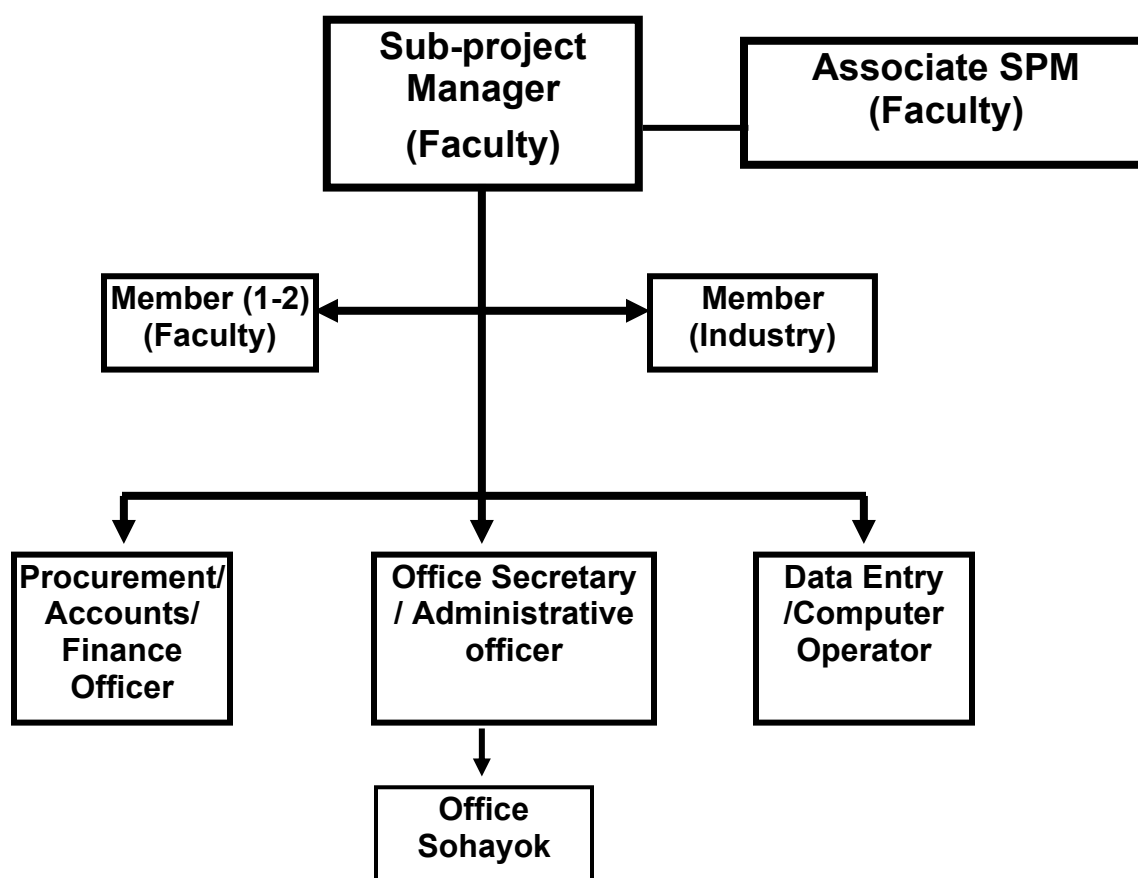
1. Will there be a need for additional lands to carry out the intended works?
☐ Yes ☐ No
2. Does this activity affect any community groups' access to any resources that they use for livelihood?
☐ Yes ☐ No
3. Does your institute's catchment area has a significant number of Indigenous People (IP)?
☐ Yes ☐ 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, ASPM, 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**
(Name of Management Staff)					
			SPM		
			ASPM		
			Member		
			Member		
Designation of Supporting Staff					

Please attach a resume of the **SPM**, **ASPM** 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 Scopus Index journals	Citations in Scopus
1		SPM				
2		ASPM				
3		Member				
4		Member				

SPP Annex 11 (Attachment)

RESUME of Sub-project Manager (SPM), Associate Sub-project Manager (ASPM) and SPMT Members

1. PERSONAL DATA

NAME AND DESIGNATION:				
DATE OF BIRTH	E-MAIL	TELEPHONE (OFFICE)	TELEPHONE (HOME)	MOBILE NUMBER
NID NUMBER	TAXPAYER I.D. NUMBER (TIN)	CURRENT POSITION		
PLACE OF BIRTH	NATIONALITY	CURRENT RESIDENT ADDRESS IN FULL		

2. ACADEMIC DATA

UNDERGRADUATE	UNIVERSITY	COUNTRY	YEAR
GRADUATE	UNIVERSITY	COUNTRY	YEAR

3. EXPERIENCE IN IMPLEMENTING PROJECT/RESEARCH

TITLE OF THE PROJECT/ RESEARCH ACTIVITY	NAME OF DONOR/ SPONSOR	AMOUNT IN BDT	POSTION IN THE PROJECT	YEAR	
				FROM	TO
Completed Projects					
Ongoing Projects					
Submitted Projects elsewhere (if any)					

*** Please provide relevant evidence.**

4. NUMBER OF RESEARCH PUBLICATIONS

NUMBER OF TOTAL RESEARCH PUBLICATIONS	NUMBER OF PUBLICATIONS IN SCOPUS INDEXED JOURNALS	CITATIONS IN SCOPUS	ORCID	SCOPUS PROFILE LINK

5. PRIOR POSITIONS

INSTITUTION	POSITION	FROM	TO

6. INSTITUTIONAL ADDRESS

NAME OF INSTITUTION	LOCATION & ADDRESS	WEBSITE	E-MAIL

7. LIST OF PUBLICATIONS WITH DIGITAL OBJECT IDENTIFIER (DOI).

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
.....
----- (Signature of the ASPM) with name, seal and date	----- (Signature of the SPM) with name, seal and date

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 of2025 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. Works and Deliverables by the Entity [Indicate key works to be done and deliverables produced by the university side, together with their estimated deadlines] Works and Deliverables by the Industry [Indicate key works to be done and deliverables produced by the industry side, together with their estimated deadlines]
3. Obligations and	The Parties shall provide the following facilities, equipment, and

Responsibilities	<p>services for the use of the joint research project.</p> <p>Obligation of the Entity</p> <p>[Provide a list of facilities, equipment, and services that the entity will make available for the sub-project]</p> <p>Obligation of the Industry</p> <p>[Provide a list of facilities, equipment, and services that the industry will make available for the sub-project]</p>
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	<p>The members of Sub-project Management Team from the Entity and Industry are as follows:</p> <p>[List members from the entity and industry]</p>

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 6**).

Signature (*Head of the Proposal Entity*)

Signature (*Industry Representative*)

Name:

Designation:

Date:

Official Seal

Name:

Designation:

Date:

Official Seal

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

Appendix- 4

Mark Distribution Matrices for AEP
Evaluation of Sub-project Proposal

Window-1 (AHSBL) Sub-Project Proposal Evaluation Form

Section-A

Area Evaluation Panel (AEP) Member & External Reviewer

Sub-Project No:

Sub-Project Title:

Total Marks Given:

Evaluator*:

Name:

Designation:

Name of Institute:

Mobile Number:

Email:

Signature:

Date:

**** Evaluators are requested to complete this form in FULL.***

Rubrics: Evaluation of Sub-Projects for window-1(AHSBL)

(Evaluators are requested to complete this form. They must not leave anything incomplete. Please award score for each item up to one decimal place.)

EVALUATION CRITERIA	Allocated Score	Awarded Score
Total score allocated for the sub-projects	80.0	
1. Abstract of the Proposed Research Project (Section A: 6a): How clear and well-written is the research project summary/abstract?	5.0	
2. Background (Section A: 7) Is the background of the study relevant to the problem, context-driven, significant, and feasible?	3.0	
3. Problem Statement and Research Questions/Hypotheses (Section A: 8) Are the problem statement and research questions/hypotheses clear and focused, relevant, and researchable?	4.0	
4.a. General Objective (Section A: 9a) Please check if the general objective is focused, and aligned with the problem statement and research questions/hypotheses	1.0	
4.b. Specific Objectives (Section A: 9b) Evaluate whether the specific objectives are clearly and appropriately written by checking if they are: <ul style="list-style-type: none"> clearly derived from the general objective and research questions or hypotheses. are precise, focused, and stated using appropriate action verbs. are measurable and achievable within the proposed scope, timeframe, and methodology. are logically organized, non-overlapping, and collectively addressed the purpose of the study. 	2.0	
5. Expected Outcome(s) (Section A: 10) Evaluate whether the expected outcomes of the proposed research are clearly and appropriately articulated by checking if they: <ul style="list-style-type: none"> clearly describe the expected results or findings of the study. are logically derived from the research objectives, questions, or hypotheses. are realistic and achievable within the proposed methodology scope and time frame. indicate how the findings may contribute to theory, practice, policy, or further research. demonstrate the relevance and usefulness of the expected outcomes to the context or relevant stakeholders. 	2.0	

<p>6. a. Literature Review and Research Gaps Identification (Section A: 11a) Evaluate whether the literature review and research gap identification are appropriately developed by checking if they:</p> <ul style="list-style-type: none"> • demonstrate adequate coverage of relevant, recent, and credible scholarly sources. • clearly synthesize (not merely summarize) key theories, concepts, and findings in the field. • show critical analysis by comparing, contrasting, and evaluating existing studies. • clearly identify and justify the research gap(s) based on limitations, inconsistencies, or unexplored areas in the literature. • establish a clear link between the identified gaps and the proposed research objectives and questions. 	5.0	
<p>6.b. Relevant Theoretical/Conceptual Framework (Section A: 11b): Evaluate whether the theoretical or conceptual framework of the proposed research is clearly and appropriately developed by checking if it:</p> <ul style="list-style-type: none"> • clearly identifies and explains the relevant theory or conceptual model guiding the study. • aligns logically with the research problem, objectives, and questions/hypotheses. • demonstrates understanding of key concepts and their relationships within the framework. • justifies the choice of theory or model in relation to the concept of the study and context. • provides a coherent basis for data collection, analysis, and interpretation of findings. 	3.0	
<p>7. Methodology: (Section A: 12)</p>	10.0	
<p>Part A: Methodology – Clarity & Appropriateness Evaluate whether the methodology is clear, coherent, and appropriate by checking if it:</p> <ul style="list-style-type: none"> • demonstrates coherence, clarity, and overall appropriateness of the methodological approach • clearly explains the research design and approach in general terms • addresses ethical considerations and feasibility within the study's scope and resources • provides a structured and scientifically sound methodology shows logical flow and clarity of methods for understanding and replication 	5.0	
<p>Part B: Sample Selection & Research Design Evaluate whether the research design and sampling are proper and justified by checking if it:</p> <ul style="list-style-type: none"> • specifies the population, sample, or data sources and justifies their selection • describes data collection methods and tools in sufficient detail for replication • explains data analysis procedures and their suitability for addressing research questions or testing hypotheses • ensures alignment of sampling and methods with research objectives and questions/hypotheses supports valid, reliable, and reproducible results 	5.0	

<p>8. Innovativeness/uniqueness/novelty of the proposed research project (Section A: 13): Evaluate whether the proposed research demonstrates innovativeness, uniqueness, or novelty by checking if it:</p> <ul style="list-style-type: none"> proposes/conceptualizes new ideas, approaches, perspectives, or methods not extensively explored in the field. addresses a research gap or problem in a way that adds original insight or value. offers potential for advancing theory, practice, or policy beyond existing studies. clearly differentiates the study from prior research, showing distinctiveness and originality. 	5.0																						
<p>9. SWOT Analysis of the entity (Section A: 14) Evaluate whether the SWOT analysis of the proposal-submitting entity is clear, comprehensive, and relevant by checking if it:</p> <ul style="list-style-type: none"> clearly identifies the entity's strengths that support effective implementation of the sub-project. accurately highlights weaknesses or limitations that could affect project execution. identifies opportunities in the context, environment, or any other relevant sector that the project can leverage. recognizes potential threats or risks that may hinder successful implementation. demonstrates strategic analysis showing how internal strengths are used to mitigate threats and how opportunities are explored to overcome weaknesses through the project. 	5.0																						
<p>10.a. Milestones (Section A: 24 (Annex 1)) To what extent do the described milestones indicate the critical activities, outcomes and expected results considered in the proposal?</p> <table border="1" data-bbox="167 1265 1233 1529"> <thead> <tr> <th>Characteristics of stated milestones</th><th>Allocated score</th><th>Awarded score</th></tr> </thead> <tbody> <tr> <td>Do milestones for all major phases, achievements and expected results conform to all objectives of the project?</td><td>1.0</td><td></td></tr> <tr> <td>Are the critical activities achievable and realistic?</td><td>1.0</td><td></td></tr> <tr> <td>Do milestones appropriately show verification methods and meaningful assumptions?</td><td>0.5</td><td></td></tr> </tbody> </table> <p>10.b. Performance Indicators and Logical Framework (Section A: 24 (Annex 1)): To what extent is the logical framework relevant to the specific objectives?</p> <table border="1" data-bbox="167 1688 1233 1986"> <thead> <tr> <th>Quality of the Performance Indicators and Logical Framework of the proposed SPP</th><th>Allocated score</th><th>Awarded score</th></tr> </thead> <tbody> <tr> <td>Goal, purpose, output, activities/inputs in the log frame are clear and coherent. The mapping with indicators, means of verification and assumptions is appropriate</td><td>1.5</td><td></td></tr> <tr> <td>Indicators are aligned with specific objectives, and the calculation method, verification method, and assumptions are appropriate</td><td>1.0</td><td></td></tr> </tbody> </table>	Characteristics of stated milestones	Allocated score	Awarded score	Do milestones for all major phases, achievements and expected results conform to all objectives of the project?	1.0		Are the critical activities achievable and realistic?	1.0		Do milestones appropriately show verification methods and meaningful assumptions?	0.5		Quality of the Performance Indicators and Logical Framework of the proposed SPP	Allocated score	Awarded score	Goal, purpose, output, activities/inputs in the log frame are clear and coherent. The mapping with indicators, means of verification and assumptions is appropriate	1.5		Indicators are aligned with specific objectives, and the calculation method, verification method, and assumptions are appropriate	1.0		5.0	
Characteristics of stated milestones	Allocated score	Awarded score																					
Do milestones for all major phases, achievements and expected results conform to all objectives of the project?	1.0																						
Are the critical activities achievable and realistic?	1.0																						
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Quality of the Performance Indicators and Logical Framework of the proposed SPP	Allocated score	Awarded score																					
Goal, purpose, output, activities/inputs in the log frame are clear and coherent. The mapping with indicators, means of verification and assumptions is appropriate	1.5																						
Indicators are aligned with specific objectives, and the calculation method, verification method, and assumptions are appropriate	1.0																						

<p>11. Relevance of the Proposed Project (Section A: 15) Evaluate whether the proposed research project is relevant by checking if it is aligned with:</p> <ul style="list-style-type: none"> • HEAT project objectives, • the university's strategic plan, • national development goals, and • the government's tertiary education sector development goals. 	2.0	
<p>12. Contribution(s) (Section A: 16) Evaluate whether the proposed research project demonstrates meaningful contributions by checking if it:</p> <ul style="list-style-type: none"> • clearly articulates how the study will add new knowledge, insights, or understanding to the field. • shows potential practical, policy, or societal impact of the findings. • demonstrates how the research outcomes may advance theory, methodology, or future studies. • identifies specific beneficiaries or sectors that could benefit from the research. 	3.0	
<p>13. Summary of Estimated Budget (Section A: 18) Evaluate whether the budget of the proposed research project is clear, realistic, and appropriate by checking if it:</p> <ul style="list-style-type: none"> • clearly lists all cost items, including personnel, materials, equipment, travel, and other expenses. • aligns with the scope, methodology, and timeline of the research. • is realistic, reasonable, and justified for each budget item. • demonstrates efficient and effective use of resources. • includes any contingency or unforeseen costs where necessary. • is transparent, well-organized, and easy to understand for review and approval. 	5.0	
<p>14. Brief Descriptions of the Probable Impact(s) of the Proposed Sub-Project (Section A: 20) Evaluate whether the proposal clearly identifies and describes the sub-project's likely impacts on:</p> <ul style="list-style-type: none"> • environment: soil, water, air, biodiversity, biomass, etc. • social & Human Development: women, children, employment, poverty reduction, human capacity. • institutional & Academic: performance, programs, research, innovation, quality assurance, governance, management. • economic & Production: food security, production innovation. • disaster Management & Risks: preparedness and mitigation. • other Relevant Areas: any additional significant impacts. <p>Check that impacts are realistic, significant, and aligned with the project objectives.</p>	2.0	
<p>15. Dissemination Strategy of Research Outcome(s) (Section A: 21) Evaluate whether the proposal clearly and effectively presents the dissemination strategy by checking if it:</p> <ul style="list-style-type: none"> • specifies how research findings will be shared with relevant stakeholders, including academia, policymakers, practitioners, and the public. • identifies appropriate channels and formats for dissemination (e.g., publications, conferences, workshops, reports, media). • demonstrates a clear plan to reach the target audience and maximize impact. 	3.0	

<ul style="list-style-type: none"> includes timelines and responsibilities for dissemination activities. ensures the strategy is feasible, practical, and aligned with the scope and objectives of the research. 		
16. Sustainability Plan (Section A: 22) Evaluate whether the proposal clearly and convincingly addresses sustainability by checking if it: <ul style="list-style-type: none"> demonstrates the potential for long-term continuation of project benefits beyond the implementation period. identifies financial, institutional, and technical mechanisms to maintain project outcomes. considers environmental, social, and economic sustainability aspects. shows strategies to build local capacity, stakeholder ownership, and community engagement. aligns sustainability measures with the project objectives, activities, and expected impacts. 	5.0	
17 List of References (APA 7th edition) (Section A: 23) Evaluate whether the proposal provides an appropriate list of references by checking if it: <ul style="list-style-type: none"> includes relevant, recent, and credible sources that support the research problem, objectives, and methodology. follows a consistent and recognized citation style. demonstrates breadth and depth of literature consulted. accurately cites all sources referenced in the proposal text. enhances the credibility and scholarly foundation of the proposed sub-project. 	5.0	
18. Proposal design (Section A: 1-24) How is the overall quality of the proposal, as related to the scope of HEAT Project? The title is concise, meaningful and reflecting the objectives; Motivations are clear; Expected results and outcomes are clear and realistic; Feasibility and potential benefits are stated; Well-articulated novelty/innovativeness; Sound background study reflecting a gap analysis; Quality of approach and methodologies; Justified performance indicators and workplan; Justified and realistic budget and procurement plan; Well-designed plan on sustainability ; Reflection of academic scholarship in the proposal *Please evaluate holistically	5.0	
Total	80.0	

Signature of Scrutinizer

Signature of Evaluator

REVIEW COMMENTS

*(Please give specific and in-depth comments. The comments must conform to the **awarded score.**)*

Section A

Strengths of the SPP
Weaknesses of the SPP
Overall assessment
Any other comments

Signature of Evaluator

Window-1 (AHSBL) Sub-Project Proposal Evaluation Form

Section-B

Area Evaluation Panel (AEP) Member & External Reviewer

Sub-Project No:

Sub-Project Title:

Total Marks Given:

Evaluator*:

Name:

Designation:

Name of Institute:

Mobile Number:

Email:

Signature:

Date:

**** Evaluators are requested to complete this form in FULL.***

Rubrics: Evaluation of Sub-Projects for Window-1 (AHSBL)

(Evaluators are requested to complete this form. They must not leave anything incomplete. Please award score for each item up to one decimal place)

EVALUATION CRITERIA				Allocated Score	Awarded Score
B. Experience of SPMT (Section B: 7 (Annex-11))				20.0	
1. Experience of SPM:				10.0	
1.1 Number of completed funded research projects (national & international) except thesis				4.0	
(a) Number of national/ international funded research projects completed by SPM.	Number of projects	Score			
	Between 1 and 2	0.5			
	Between 3 and 5	1.0			
	Between 6 and 8	1.5			
	More than 8	2.0			
(b) The value of completed project(s) in BDT by SPM.	Value in BDT	Score			
	≤ 2.0 lakhs	0.5			
	> 2.0 and ≤ 4.0 lakhs	1.0			
	> 4.0 and ≤ 6.0 lakhs	1.5			
	> 6.0 lakhs	2.0			
1.2 Number of research publications and citations of SPM				6.0	
(a) Number of published journal articles of the SPM (indexed by Scopus).	Number of articles	Score			
	Less than 7	1			
	Between 7 and 35	2			
	More than 35	3			
(b) Number of Scopus citations of the SPM.	No. of citations	Score			
	Less than 50	0.5			
	Between 50 and 100	1.0			
	Between 101 and 300	1.5			
	More than 300	2.0			
(c) Visibility of the SPM (Quality of Researcher)			Allocated score	Awarded score	
Overall International visibility in terms of journal/conference editorial board/committee, international standardization, thesis/exam evaluator of students in foreign universities, etc. of SPM			1.0		

2. Experience of ASPM			5.0	
2.1 Number of completed funded research projects (national & international) except thesis.			2.0	
(a) Number of national/international funded research projects completed by ASPM	Number of projects	Score		
	Between 1 and 5	0.5		
	More than 5	1.0		
(b) The value of completed project(s) in BDT by ASPM.	Value in BDT	Score		
	≤ 2.0 lakhs	0.5		
	> 2.0 lakhs	1.0		
2.2 Number of research publications and citations of ASPM			3.0	
a) Number of published journal articles of the ASPM (indexed by Scopus).	Number of articles	Score		
	Less than 7	0.5		
	Between 7 and 35	1.0		
	More than 35	1.5		
(b) Number of Scopus citations of the ASPM.	No. of citations	Score		
	Less than 50	0.5		
	More than 50	1.0		
(c) Visibility of the ASPM (Quality of Researcher)		Allocated score	Awarded score	
Overall International visibility in terms of journal/conference editorial board/committee, international standardization, thesis/exam evaluator of students in foreign universities, etc. of ASPM		0.5		
3. Experience of Member(s)			5.0	
3.1 Number of completed funded research projects (national & international) except thesis.			2.0	
(a) Number of national/international funded research projects completed by Member(s).	Number of projects	Score		
	Between 1 and 5	0.5		
	More than 5	1.0		
(b) The value of completed project(s) in BDT by Member(s).	Value in BDT	Score		
	≤ 2.0 lakhs	0.5		
	> 2.0 lakhs	1.0		

3.2 Number of research publications and citations of Member(s)			3.0	
a) Number of published journal articles of the Member(s) (indexed by Scopus).	Number of articles	Score		
	Less than 7	0.5		
	Between 7 and 35	1.0		
	More than 35	1.5		
(b) Number of Scopus citations of the Member(s).	No. of citations	Score		
	Less than 50	0.5		
	More than 50	1.0		
(c) Visibility of the Member(s). (Quality of Researcher)		Allocated score	Awarded score	
Average overall international visibility in terms of journal/conference editorial board/committee, international standardization, thesis/exam evaluator of students in foreign universities, etc. of Member(s).		0.5		
Total			20.0	

Signature of Scrutinizer

Signature of Evaluator

REVIEW COMMENTS

(Please give specific and in-depth comments. The comments must conform to the awarded score.)

Section B

Strengths of the SPP
Weaknesses of the SPP
Overall assessment
Any other comments

Signature of Evaluator

Window-1 (STEM) Sub-Project Proposal Evaluation Form

Section-A

Area Evaluation Panel (AEP) Member & External Reviewer

Sub-Project No:

Sub-Project Title:

Total Marks Given:

Evaluator*:

Name:

Designation:

Name of Institute:

Mobile Number:

Email:

Signature:

Date:

* *Evaluators are requested to complete this form in FULL.*

Rubrics: Evaluation of Sub-Projects for Window-1 (STEM)

(Evaluators are requested to complete this form. They must not leave anything incomplete. Please award score for each item up to one decimal place.)

EVALUATION CRITERIA	Allocated Score	Awarded Score												
Total score allocated for the sub-project:	80.0													
1. Background and Research Problem (Section A: 7 and 8) Are the problem statement and research project summary clear, focused, relevant and researchable?	3.0													
2. General objectives and specific objectives (Section A: 9a and 9b) Are the proposal's general objectives and specific objectives clear, coherent and realistic? <table border="1"> <thead> <tr> <th>Characteristics of proposed project objectives</th><th>Allocated score</th><th>Awarded score</th></tr> </thead> <tbody> <tr> <td>● Are all objectives specific, clear and achievable?</td><td>2.0</td><td></td></tr> <tr> <td>● Are the specific objectives clear and coherent?</td><td>2.0</td><td></td></tr> <tr> <td>● Are the objectives realistic?</td><td>1.0</td><td></td></tr> </tbody> </table>	Characteristics of proposed project objectives	Allocated score	Awarded score	● Are all objectives specific, clear and achievable?	2.0		● Are the specific objectives clear and coherent?	2.0		● Are the objectives realistic?	1.0		5.0	
Characteristics of proposed project objectives	Allocated score	Awarded score												
● Are all objectives specific, clear and achievable?	2.0													
● Are the specific objectives clear and coherent?	2.0													
● Are the objectives realistic?	1.0													
3. Expected Outcome(s): (Section A: 10) Evaluate whether the expected outcomes of the proposed research are clearly and appropriately articulated by checking, if they: <ul style="list-style-type: none"> clearly describe the expected results or findings of the study. are logically derived from the research objectives, questions, or hypotheses. are realistic and achievable within the proposed methodology scope and time frame. indicate how the findings may contribute to theory, practice, policy, or further research. demonstrate the relevance and usefulness of the expected outcomes to the context or relevant stakeholders. 	2.0													
4. a. Literature Review and Research Gaps Identification: (Section A: 11a) Evaluate whether the literature review and research gap identification are appropriately developed by checking, if they: <ul style="list-style-type: none"> demonstrate adequate coverage of relevant, recent, and credible scholarly sources. clearly synthesize (not merely summarize) key theories, concepts, and findings in the field. show critical analysis by comparing, contrasting, and evaluating existing studies. clearly identify and justify the research gap(s) based on limitations, inconsistencies, or unexplored areas in the literature. establish a clear link between the identified gaps and the proposed research objectives and questions. 	4.0													

<p>4. b. Relevant Theoretical/Conceptual Framework/Model: (Section A: 11b)</p> <p>Evaluate whether the theoretical/conceptual framework/model of the proposed research is clearly and appropriately developed by checking if it:</p> <ul style="list-style-type: none"> clearly identifies and explains the relevant theory or conceptual model guiding the study. aligns logically with the research problem, objectives, and questions/hypotheses. demonstrates understanding of key concepts and their relationships within the framework. justifies the choice of theory or model in relation to the concept of the study and context. 	1.0	
<p>5. Methodology: (Section A: 12)</p>	10.0	
<p>Part A: Methodology – Clarity and Appropriateness</p> <p>Evaluate whether the research methodology is clear, realistic, and appropriate by checking if it:</p> <ul style="list-style-type: none"> is designed based on an in-depth background study proposed technical steps are realistic and achievable within scope and resources is scientifically sound and well-structured includes clear and justified strategies for testing, validation, benchmarking, and expected deliverables <p>demonstrates coherence, clarity, and overall appropriateness of the methodological approach</p>	5.0	
<p>Part B: Sample Selection & Research Design</p> <p>Evaluate whether the research design and sampling are proper and justified by checking if it:</p> <ul style="list-style-type: none"> clearly explains the research design and approach, aligned with research objectives and questions/hypotheses specifies the population, sample, or data sources and justifies their selection describes data collection methods and tools in sufficient detail for replication explains data analysis procedures and their suitability for addressing research questions or testing hypotheses <p>addresses ethical considerations and feasibility within the study's scope and resources</p>	5.0	
<p>6. Innovativeness/uniqueness/novelty of the proposed research project: (Section A:13)</p> <p>Evaluate whether the proposed research demonstrates innovativeness, uniqueness, or novelty by checking if it:</p> <ul style="list-style-type: none"> proposes/conceptualizes new ideas, approaches, perspectives, or methods not extensively explored in the field. addresses a research gap or problem in a way that adds original insight or value. offers potential for advancing theory, practice, or policy beyond existing studies. clearly differentiates the study from prior research, showing distinctiveness and originality. 	5.0	
<p>7. SWOT Analysis: (Section A: 14)</p> <p>Evaluate whether the SWOT analysis of the proposal-submitting entity is clear, comprehensive and relevant by checking if it:</p>	5.0	

<ul style="list-style-type: none"> clearly identifies the entity's strengths that support effective implementation of the sub-project. accurately highlights weaknesses or limitations that could affect project execution. identifies opportunities in the context, environment, or any other relevant sector that the project can leverage. recognizes potential threats or risks that may hinder successful implementation. demonstrates strategic analysis showing how internal strengths are used to mitigate threats and how opportunities are explored to overcome weaknesses through the project. 																							
<p>8. a. Milestones (Section A; 24 (Annex-1))</p> <p>To what extent do the described milestones indicate the critical activities, outcomes and expected results considered in the proposal?</p> <table border="1" data-bbox="129 741 1171 987"> <thead> <tr> <th>Characteristics of stated milestones</th><th>Allocated score</th><th>Awarded score</th></tr> </thead> <tbody> <tr> <td>Do milestones for all major phases, achievements and expected results conform to all objectives of the project?</td><td>2.0</td><td></td></tr> <tr> <td>Are the critical activities achievable and realistic?</td><td>2.0</td><td></td></tr> <tr> <td>Do milestones appropriately show verification methods and meaningful assumptions?</td><td>1.0</td><td></td></tr> </tbody> </table> <p>8. b. Performance Indicators and Logical Framework: (Section A; 24 (Annex-1))</p> <p>To what extent is the logical framework relevant to the specific objectives?</p> <table border="1" data-bbox="129 1093 1171 1361"> <thead> <tr> <th>Quality of the Performance Indicators and Logical Framework of the proposed SPP</th><th>Allocated score</th><th>Awarded score</th></tr> </thead> <tbody> <tr> <td>Goal, purpose, output, activities/inputs in the log frame are clear and coherent. The mapping with indicators, means of verification and assumptions is appropriate</td><td>2.5</td><td></td></tr> <tr> <td>Indicators are aligned with specific objectives, and the calculation method, verification method, and assumptions are appropriate</td><td>2.5</td><td></td></tr> </tbody> </table>	Characteristics of stated milestones	Allocated score	Awarded score	Do milestones for all major phases, achievements and expected results conform to all objectives of the project?	2.0		Are the critical activities achievable and realistic?	2.0		Do milestones appropriately show verification methods and meaningful assumptions?	1.0		Quality of the Performance Indicators and Logical Framework of the proposed SPP	Allocated score	Awarded score	Goal, purpose, output, activities/inputs in the log frame are clear and coherent. The mapping with indicators, means of verification and assumptions is appropriate	2.5		Indicators are aligned with specific objectives, and the calculation method, verification method, and assumptions are appropriate	2.5		10.0	
Characteristics of stated milestones	Allocated score	Awarded score																					
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Quality of the Performance Indicators and Logical Framework of the proposed SPP	Allocated score	Awarded score																					
Goal, purpose, output, activities/inputs in the log frame are clear and coherent. The mapping with indicators, means of verification and assumptions is appropriate	2.5																						
Indicators are aligned with specific objectives, and the calculation method, verification method, and assumptions are appropriate	2.5																						
<p>9. Relevance of the Proposed Project: (Section A: 15)</p> <p>Evaluate whether the proposed research project is relevant by checking if it is aligned with:</p> <ul style="list-style-type: none"> HEAT project objectives, the university's strategic plan, national development goals, and the government's tertiary education sector development goals. 	3.0																						
<p>10. Contribution(s): (Section A: 16)</p> <p>Evaluate whether the proposed research project demonstrates meaningful contributions by checking if it:</p> <ul style="list-style-type: none"> clearly articulates how the study will add new knowledge, insights, or understanding to the field. shows potential practical, policy, or societal impact of the findings. demonstrates how the research outcomes may advance theory, methodology, or 	5.0																						

<p>future studies.</p> <ul style="list-style-type: none"> identifies specific beneficiaries or sectors that could benefit from the research. 											
<p>11.a. Summary of Estimated Budget: (Section A: 18)</p> <p>Evaluate whether the budget of the proposed research project is clear, realistic, appropriate and it leads to the stated specific objectives and expected outputs by checking if it:</p> <ul style="list-style-type: none"> clearly lists all cost items, including personnel, materials, equipment, travel, and other expenses. aligns with the scope, methodology, and timeline of the research. is realistic, reasonable, and justified for each budget item. demonstrates efficient and effective use of resources. includes any contingency or unforeseen costs where necessary. is transparent, well-organized, and easy to understand for review and approval. 	5.0										
<p>11.b. Expenditure and procurement plan:(Section A: 24 (Annex 4)</p> <p>The proposed cost for each item of expenditure and procurement plan is rational and justified</p>	2.0										
<p>11.c. Work plan (Section A: 24 (Annex 2))</p> <p>How are the clarity and quality of the work plan and its relevance to the proposal objectives?</p> <table border="1"> <thead> <tr> <th>Clarity and quality of the work plan</th><th>Allocated score</th><th>Awarded score</th></tr> </thead> <tbody> <tr> <td>▪ Work plan includes all activities of the log frame, and the sequence and duration of activities are rational</td><td>1.0</td><td></td></tr> <tr> <td>▪ The work plan is relevant to the proposal objectives</td><td>1.0</td><td></td></tr> </tbody> </table>	Clarity and quality of the work plan	Allocated score	Awarded score	▪ Work plan includes all activities of the log frame, and the sequence and duration of activities are rational	1.0		▪ The work plan is relevant to the proposal objectives	1.0		2.0	
Clarity and quality of the work plan	Allocated score	Awarded score									
▪ Work plan includes all activities of the log frame, and the sequence and duration of activities are rational	1.0										
▪ The work plan is relevant to the proposal objectives	1.0										
<p>12. Brief Descriptions of the Probable Impact(s) of the Proposed Sub-Project:(Section A: 20)</p> <p>Evaluate whether the proposal clearly identifies and describes the sub-project's likely impacts on:</p> <ul style="list-style-type: none"> environment: soil, water, air, biodiversity, biomass, etc. social & human development: women, children, employment, poverty reduction, human capacity. institutional & academic: performance, programs, research, innovation, quality assurance, governance, management. economic & production: food security, production innovation. disaster management & risks: preparedness and mitigation. other relevant areas: any additional significant impacts. <p>Check that impacts are realistic, significant, and aligned with the project objectives.</p>	3.0										

<p>13. Dissemination Strategy of Research Outcome(s):(Section A: 21) Evaluate whether the proposal clearly and effectively presents the dissemination strategy by checking if it:</p> <ul style="list-style-type: none"> • specifies how research findings will be shared with relevant stakeholders, including academia, policymakers, practitioners, and the public. • identifies appropriate channels and formats for dissemination (e.g., publications, conferences, workshops, reports, media). • demonstrates a clear plan to reach the target audience and maximize impact. • includes timelines and responsibilities for dissemination activities. • ensures the strategy is feasible, practical, and aligned with the scope and objectives of the research. 	3.0	
<p>14. Sustainability Plan:(Section A: 22) Evaluate whether the proposal clearly and convincingly addresses sustainability by checking if it:</p> <ul style="list-style-type: none"> • demonstrates the potential for long-term continuation of project benefits beyond the implementation period. • identifies financial, institutional, and technical mechanisms to maintain project outcomes. • considers environmental, social, and economic sustainability aspects. • shows strategies to build local capacity, stakeholder ownership, and community engagement. • aligns sustainability measures with the project objectives, activities, and expected impacts. 	5.0	
<p>15. List of References (APA 7th edition) :(Section A: 23) Evaluate whether the proposal provides an appropriate list of references by checking if it:</p> <ul style="list-style-type: none"> • includes relevant, recent, and credible sources that support the research problem, objectives, and methodology. • follows a consistent and recognized citation style. • demonstrates breadth and depth of literature consulted. • accurately cites all sources referenced in the proposal text. • enhances the credibility and scholarly foundation of the proposed sub-project. 	2.0	
<p>16. Proposal design (Section A: 1-24) How is the overall quality of the proposal, as related to the scope of HEAT Project? The title is concise, meaningful and reflecting the objectives; Motivations are clear; Expected results and outcomes are clear and realistic; Feasibility and potential benefits are stated; Well-articulated novelty/innovativeness; Sound background study reflecting a gap analysis; Quality of approach and methodologies; Justified performance indicators and workplan; Justified and realistic budget and procurement plan; Well-designed plan on sustainability ; Reflection of academic scholarship in the proposal Please evaluate holistically</p>	5.0	
Total	80.0	

Signature of Scrutinizer

Signature of Evaluator

REVIEW COMMENTS

(Please give specific and in-depth comments. The comments must conform to the awarded score.)

Section A

Strengths of the SPP
Weaknesses of the SPP
Overall assessment
Any other comments

Signature of Evaluator

Window-1 (STEM) Sub-Project Proposal Evaluation Form

Section-B

Area Evaluation Panel (AEP) Member & External Reviewer

Sub-Project No:

Sub-Project Title:

Total Marks Given:

Evaluator*:

Name:

Designation:

Name of Institute:

Mobile Number:

Email:

Signature:

Date:

**** Evaluators are requested to complete this form in FULL.***

Rubrics: Evaluation of Sub-Projects for Window-1 (STEM)

(Evaluators are requested to complete this form. They must not leave anything incomplete.

Please award score for each item up to one decimal place)

EVALUATION CRITERIA			Allocated Score	Awarded Score										
B. Experience of SPMT (Section B: 7 (Annex-11))			20.0											
1 Experience of SPM			10.0											
1.1 Number of completed funded research projects (national & international) except thesis.			4.0											
(a) Number of national/ international funded research projects completed by SPM.	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left; padding: 2px;">Number of projects</th> <th style="text-align: center; padding: 2px;">Score</th> </tr> </thead> <tbody> <tr> <td style="padding: 2px;">Between 1 and 2</td> <td style="text-align: center; padding: 2px;">0.5</td> </tr> <tr> <td style="padding: 2px;">Between 3 and 5</td> <td style="text-align: center; padding: 2px;">1.0</td> </tr> <tr> <td style="padding: 2px;">Between 6 and 8</td> <td style="text-align: center; padding: 2px;">1.5</td> </tr> <tr> <td style="padding: 2px;">More than 8</td> <td style="text-align: center; padding: 2px;">2.0</td> </tr> </tbody> </table>	Number of projects			Score	Between 1 and 2	0.5	Between 3 and 5	1.0	Between 6 and 8	1.5	More than 8	2.0	
Number of projects	Score													
Between 1 and 2	0.5													
Between 3 and 5	1.0													
Between 6 and 8	1.5													
More than 8	2.0													
(b) The value of completed project(s) in BDT by SPM.	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left; padding: 2px;">Value in BDT</th> <th style="text-align: center; padding: 2px;">Score</th> </tr> </thead> <tbody> <tr> <td style="padding: 2px;">≤3.0 lakhs</td> <td style="text-align: center; padding: 2px;">0.5</td> </tr> <tr> <td style="padding: 2px;">>3.0 and ≤ 5.0 lakhs</td> <td style="text-align: center; padding: 2px;">1.0</td> </tr> <tr> <td style="padding: 2px;">>5.0 and ≤10.0 lakhs</td> <td style="text-align: center; padding: 2px;">1.5</td> </tr> <tr> <td style="padding: 2px;">>10.0 lakhs</td> <td style="text-align: center; padding: 2px;">2.0</td> </tr> </tbody> </table>	Value in BDT			Score	≤3.0 lakhs	0.5	>3.0 and ≤ 5.0 lakhs	1.0	>5.0 and ≤10.0 lakhs	1.5	>10.0 lakhs	2.0	
Value in BDT	Score													
≤3.0 lakhs	0.5													
>3.0 and ≤ 5.0 lakhs	1.0													
>5.0 and ≤10.0 lakhs	1.5													
>10.0 lakhs	2.0													
1.2 Number of research publications and citations of SPM			6.0											
(a) Number of published journal articles of the SPM (indexed by Scopus).	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left; padding: 2px;">Number of articles</th> <th style="text-align: center; padding: 2px;">Score</th> </tr> </thead> <tbody> <tr> <td style="padding: 2px;">Less than 15</td> <td style="text-align: center; padding: 2px;">1.0</td> </tr> <tr> <td style="padding: 2px;">Between 15 and 50</td> <td style="text-align: center; padding: 2px;">2.0</td> </tr> <tr> <td style="padding: 2px;">More than 50</td> <td style="text-align: center; padding: 2px;">3.0</td> </tr> </tbody> </table>	Number of articles			Score	Less than 15	1.0	Between 15 and 50	2.0	More than 50	3.0			
Number of articles	Score													
Less than 15	1.0													
Between 15 and 50	2.0													
More than 50	3.0													
(b) Number of Scopus citations of the SPM.	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left; padding: 2px;">No. of citations</th> <th style="text-align: center; padding: 2px;">Score</th> </tr> </thead> <tbody> <tr> <td style="padding: 2px;">Less than 100</td> <td style="text-align: center; padding: 2px;">0.5</td> </tr> <tr> <td style="padding: 2px;">Between 100 and 200</td> <td style="text-align: center; padding: 2px;">1.0</td> </tr> <tr> <td style="padding: 2px;">Between 201 and 500</td> <td style="text-align: center; padding: 2px;">1.5</td> </tr> <tr> <td style="padding: 2px;">More than 500</td> <td style="text-align: center; padding: 2px;">2.0</td> </tr> </tbody> </table>	No. of citations			Score	Less than 100	0.5	Between 100 and 200	1.0	Between 201 and 500	1.5	More than 500	2.0	
No. of citations	Score													
Less than 100	0.5													
Between 100 and 200	1.0													
Between 201 and 500	1.5													
More than 500	2.0													
(c) Visibility of the SPM (Quality of Researcher)		<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left; padding: 2px;">Allocate d score</th> <th style="text-align: center; padding: 2px;">Awarded score</th> </tr> </thead> <tbody> <tr> <td style="padding: 2px;">Overall International visibility in terms of journal/conference editorial board/committee, international standardization, thesis/exam evaluator of students in foreign universities, etc. of SPM</td> <td style="text-align: center; padding: 2px;">1.0</td> </tr> </tbody> </table>	Allocate d score	Awarded score	Overall International visibility in terms of journal/conference editorial board/committee, international standardization, thesis/exam evaluator of students in foreign universities, etc. of SPM	1.0								
Allocate d score	Awarded score													
Overall International visibility in terms of journal/conference editorial board/committee, international standardization, thesis/exam evaluator of students in foreign universities, etc. of SPM	1.0													
2. Experience of ASPM			5.0											
2.1 Number of completed funded research projects (national & international) except thesis.			2.0											
(a) Number of national/ international funded research projects completed by ASPM	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left; padding: 2px;">Number of projects</th> <th style="text-align: center; padding: 2px;">Score</th> </tr> </thead> <tbody> <tr> <td style="padding: 2px;">Between 1 and 5</td> <td style="text-align: center; padding: 2px;">0.5</td> </tr> <tr> <td style="padding: 2px;">More than 5</td> <td style="text-align: center; padding: 2px;">1.0</td> </tr> </tbody> </table>	Number of projects			Score	Between 1 and 5	0.5	More than 5	1.0					
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Value in BDT	Score													
≤5.0 lakhs	0.5													
>5.0 lakhs	1.0													

2.2 Number of research publications and citations of ASPM			3.0	
a) Number of published journal articles of the ASPM (indexed by Scopus).	Number of articles	Score		
	Less than 15	0.5		
	Between 15 and 50	1.0		
	More than 50	1.5		
(b) Number of Scopus citations of the ASPM.	No. of citations	Score		
	Less than 300	0.5		
	More than 300	1.0		
(c) Visibility of the ASPM (Quality of Researcher)		Allocated score	Awarded score	
Overall International visibility in terms of journal/conference editorial board/committee, international standardization, thesis/exam evaluator of students in foreign universities, etc. of ASPM		0.5		
3. Experience of Member(s)			5.0	
3.1 Number of completed funded research projects (national & international) except thesis.				
(a) Number of national/international funded research projects completed by Member(s).	Number of projects	Score		
	Between 1 and 5	0.5		
	More than 5	1.0		
(b) The value of completed project(s) in BDT by Member(s).	Value in BDT	Score		
	≤5.0 lakhs	0.5		
	>5.0 lakhs	1.0		
3.2 Average number of research publications and citations of Member(s)				
a) Number of published journal articles of the Member(s) (indexed by Scopus).	Number of articles	Score		
	Less than 15	0.5		
	Between 15 and 50	1.0		
	More than 50	1.5		
(b) Number of Scopus citations of the Member(s).	No. of citations	Score		
	Less than 300	0.5		
	More than 300	1.0		
(c) Visibility of the Member(s). (Quality of Researcher)		Allocated score	Awarded score	
Average overall international visibility in terms of journal/conference editorial board/committee, international standardization, thesis/exam evaluator of students in foreign universities, etc. of Member(s).		0.5		
Total			20.0	

Signature of Scrutinizer

Signature of Evaluator

REVIEW COMMENTS

(Please give specific and in-depth comments. The comments must conform to the awarded score.)

Section B

Strengths of the SPP
Weaknesses of the SPP
Overall assessment
Any other comments

Signature of Evaluator

Window-2 Sub-Project Proposal Evaluation Form

Section-A

Area Evaluation Panel (AEP) Member & External Reviewer

Sub-Project No:

Sub-Project Title:

Total Marks Given:

Evaluator*:

Name:

Designation:

Name of Institute:

Mobile Number:

Email:

Signature:

Date:

**** Evaluators are requested to complete this form in FULL.***

Rubrics: Evaluation of Sub-Projects for Window-2

(Evaluators are requested to complete this form. They must not leave anything incomplete.

Please award score for each item up to one decimal place.)

EVALUATION CRITERIA	Allocated Score	Awarded Score
Total score allocated for the sub-projects	90.0	
1.a. General Objective (Section A: 7a) Please check if the general objective is focused, and aligned with the project needs.	2.0	
1.b. Specific Objectives (Section A: 7b) Evaluate whether the specific objectives are clearly and appropriately written by checking if they are: <ul style="list-style-type: none"> clearly derived from the general objective. are precise, focused, and stated using appropriate action verbs. are measurable and achievable within the proposed scope, timeframe, and methodology. are logically organized, non-overlapping, and collectively addressed the purpose of the project. 	3.0	
2. Need assessment of the sub-project (Section A: 8)	10.0	
Part 2A: Quality and Rigor of Needs Analysis Assess the extent to which the sub-project demonstrates a systematic and evidence-based needs analysis by checking if it: <p>includes a formal and empirical needs assessment (e.g., surveys, FGDs, data analysis) 2</p> <p>incorporates input from relevant stakeholders (students, faculty, administrators, employers, etc.) 1</p> <p>clearly identifies priority needs and justifies them with evidence. 1</p> <p>demonstrates contextual relevance (institutional, disciplinary, and local needs). 1</p>	5.0	
Part 2B: Alignment, Integration, and Documentation Assess how effectively the identified needs are translated into the sub-project design and supported by evidence by checking if it: <p>identified needs are clearly reflected in the sub-project design and activities. 2</p> <p>sub-project aligns with the institution's mission, vision, and strategic objectives. 1</p> <p>proposed facilities/resources support and fit the curriculum and learning outcomes. 1</p> <p>all supporting documents for the needs analysis are properly attached and clearly referenced by the SPMT. 1</p>	5.0	
3. SWOT Analysis of the entity (Section A: 9a & 9b) Evaluate whether the SWOT analysis of the proposal-submitting entity is clear, comprehensive, and relevant by checking if it: <ul style="list-style-type: none"> clearly identifies the entity's strengths that support effective implementation of the sub-project. accurately highlights weaknesses or limitations that could affect project execution. identifies opportunities in the context, environment, or any other relevant 	10.0	

<p>sector that the project can leverage.</p> <ul style="list-style-type: none"> recognizes potential threats or risks that may hinder successful implementation. demonstrates strategic analysis showing how internal strengths are used to mitigate threats and how opportunities are explored to overcome weaknesses through the project. 																							
<p>4. Quality and Clarity of Milestones, Performance Indicators and Log frame</p> <p>4. a. Milestones (Section A: 17 (Annex-1))</p> <p>To what extent do the described milestones indicate the critical activities, outcomes and expected results considered in the proposal?</p> <table border="1"> <thead> <tr> <th>Characteristics of stated milestones</th><th>Allocated score</th><th>Awarded score</th></tr> </thead> <tbody> <tr> <td>Do milestones for all major phases, achievements and expected results conform to all objectives of the project?</td><td>2.0</td><td></td></tr> <tr> <td>Are the critical activities achievable and realistic?</td><td>2.0</td><td></td></tr> <tr> <td>Do milestones appropriately show verification methods and meaningful assumptions?</td><td>1.0</td><td></td></tr> </tbody> </table> <p>4. b. Performance Indicators and Logical Framework: (Section A: 17(Annex-1))</p> <p>To what extent is the logical framework relevant to the specific objectives?</p> <table border="1"> <thead> <tr> <th>Quality of the Performance Indicators and Logical Framework of the proposed SPP</th><th>Allocated score</th><th>Awarded score</th></tr> </thead> <tbody> <tr> <td>Goal, purpose, output, activities/inputs in the log frame are clear and coherent. The mapping with indicators, means of verification and assumptions is appropriate</td><td>2.5</td><td></td></tr> <tr> <td>Indicators are aligned with specific objectives, and the calculation method, verification method, and assumptions are appropriate</td><td>2.5</td><td></td></tr> </tbody> </table>	Characteristics of stated milestones	Allocated score	Awarded score	Do milestones for all major phases, achievements and expected results conform to all objectives of the project?	2.0		Are the critical activities achievable and realistic?	2.0		Do milestones appropriately show verification methods and meaningful assumptions?	1.0		Quality of the Performance Indicators and Logical Framework of the proposed SPP	Allocated score	Awarded score	Goal, purpose, output, activities/inputs in the log frame are clear and coherent. The mapping with indicators, means of verification and assumptions is appropriate	2.5		Indicators are aligned with specific objectives, and the calculation method, verification method, and assumptions are appropriate	2.5		10.0	
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Indicators are aligned with specific objectives, and the calculation method, verification method, and assumptions are appropriate	2.5																						
<p>5. Relevance of the Proposed Project (Section A: 10)</p> <p>Evaluate whether the proposed research project is relevant by checking if it is aligned with:</p> <ul style="list-style-type: none"> HEAT project objectives, the university's strategic plan, national development goals, and the government's tertiary education sector development goals. 	5.0																						
<p>6. Beneficiaries (Qualitative and Quantitative; and external and internal beneficiaries) (Section A: 11)</p>	10.0																						
<p>Part 6A: Identification of Beneficiaries (Internal and External)</p> <p>Evaluate how effectively the project defines its beneficiaries:</p> <ul style="list-style-type: none"> clearly specifies internal beneficiaries, including students, teachers, departments, and the institution as a whole. clearly specifies external beneficiaries, such as employers, community members, industry partners, and policymakers. distinguishes between primary and secondary beneficiaries to show who benefits most directly and indirectly. demonstrates relevance and inclusivity, considering factors such as gender, disadvantaged groups, and other priority populations. 	5.0																						

<p>Part 6B: Nature, Scale, and Significance of Benefits</p> <p>Evaluate how effectively the project explains and justifies its expected benefits:</p> <ul style="list-style-type: none"> clearly describes qualitative benefits, such as skills development, enhanced competencies, capacity building, and institutional improvements. clearly describes quantitative benefits, including the number of beneficiaries, scope, frequency, and duration of impact. demonstrates a direct connection between project activities and the expected outcomes. provides realistic, measurable, and verifiable outcomes or indicators to assess impact. 	5.0	
<p>7. Summary of Estimated Budget (Section A: 13)</p>	10.0	
<p>Part 7A: Budget Clarity, Completeness, and Transparency</p> <p>Assess whether the proposed budget is clearly presented and comprehensive:</p> <p>Clearly lists all cost items (personnel, materials, equipment, travel, operational and miscellaneous costs) 2</p> <p>Budget is well-organized, itemized, and transparent, with clear headings and breakdowns 1</p> <p>Cost items are clearly explained and easy to understand for reviewers and approving authorities 1</p> <p>Includes contingency or unforeseen costs where appropriate, with justification 1</p>	5.0	
<p>Part 7B: Budget Realism, Alignment, and Cost-Effectiveness</p> <p>Assess whether the budget is appropriate, realistic, and strategically aligned with the project:</p> <p>Budget aligns with the project scope, methodology, and implementation timeline 2</p> <p>Each budget item is realistic, reasonable, and properly justified 1</p> <p>Demonstrates efficient and effective use of resources (value for money) 1</p> <p>Includes a cost–benefit or cost-effectiveness rationale to justify proposed methods and expenditures 1</p>	5.0	
<p>8. Operation & Maintenance of Equipment/Instrument/Facilities (Section A: 14a & 14b)</p> <p>Evaluate whether the operation and maintenance plan of the project is appropriate by checking if it:</p> <ul style="list-style-type: none"> clearly shows that skilled staff are available to operate the equipment includes a clear and realistic budget for operation and maintenance explains how the equipment and facilities will be used and maintained in the long term 	5.0	
<p>9. Brief Descriptions of the Probable Impact(s) of the Proposed Sub-Project: (Section A: 15)</p> <p>Evaluate whether the proposal clearly identifies and describes the sub-project’s likely impacts on:</p> <ul style="list-style-type: none"> environment: soil, water, air, biodiversity, biomass, etc. social & Human Development: women, children, employment, poverty reduction, human capacity. institutional & Academic: performance, programs, research, innovation, 	5.0	

<p>quality assurance, governance, management.</p> <ul style="list-style-type: none"> • economic & Production: food security, production innovation. • disaster Management & Risks: preparedness and mitigation. • other Relevant Areas: any additional significant impacts. <p>Check that impacts are realistic, significant, and aligned with the project objectives.</p>		
10. Sustainability Plan (Section A: 16)	10.0	
<p>Part 10A: Planning, Institutional Support, and Practical Steps</p> <p>Evaluate whether the project presents a practical and institutionally supported sustainability plan:</p> <ul style="list-style-type: none"> • clearly outlines practical steps to continue project activities and maintain outcomes after completion. • includes a budget and resource commitments from the institution to support the project beyond its initial period. • demonstrates strong institutional backing and alignment with existing policies and strategic priorities. • presents a well-structured, realistic, and feasible strategy for long-term sustainability. 	5.0	
<p>Part 10B: Long-Term Impact, Measurability, and Value</p> <p>Evaluate the project's long-term outcomes, educational value, and adaptability:</p> <ul style="list-style-type: none"> • defines clear and measurable sustainability objectives. • demonstrates that the project continues to meaningfully support teaching and learning over the long term. • ensures that technology, processes, or methods remain functional, relevant, and adaptable over time. • promotes environmentally responsible infrastructure and practices. • delivers lasting educational value and meaningful impact for all beneficiaries. • delivers lasting educational value 	5.0	
<p>11. Proposal design (Section A: 1-17)</p> <p>How is the overall quality of the proposal, as related to the scope of HEAT Project?</p> <p>The title is concise, meaningful and reflecting the objectives; Motivations are clear; Expected results and outcomes are clear and realistic; Feasibility and potential benefits are stated; Well-articulated novelty/innovativeness; Sound background study reflecting a gap analysis; Quality of approach and methodologies; Justified performance indicators and workplan; Justified and realistic budget and procurement plan; Well-designed plan on sustainability ; Reflection of academic scholarship in the proposal</p> <p>Please evaluate holistically</p>	10.0	
Total	90.0	

Signature of Scrutinizer

Signature of Evaluator

REVIEW COMMENTS

(Please give specific and in-depth comments. The comments must conform to the awarded score.)

Section A

Strengths of the SPP
Weaknesses of the SPP
Overall assessment
Any other comments

Signature of Evaluator

Window-2 Sub-Project Proposal Evaluation Form

Section-B

Area Evaluation Panel (AEP) Member & External Reviewer

Sub-Project No:

Sub-Project Title:

Total Marks Given:

Evaluator*:

Name:

Designation:

Name of Institute:

Mobile Number:

Email:

Signature:

Date:

**** Evaluators are requested to complete this form in FULL.***

Rubrics: Evaluation of Sub-Projects for Window-2

*(Evaluators are requested to complete this form. They must not leave anything incomplete.
Please award score for each item up to one decimal place)*

EVALUATION CRITERIA				Allocated Score	Awarded Score
B. Experience of SPMT (Section B: 7 (Annex-11))				10.0	
1. Experience of SPM				5.0	
1.1 Number of completed funded projects (national & international) except thesis.				5.0	
(a) Number of national/ international funded projects completed by SPM.	Number of projects	Score			
	Between 1 and 2	1.0			
	Between 3 and 6	1.5			
	More than 6	2.0			
(b) The value of completed project(s) in BDT by SPM.	Value in BDT	Score			
	≤2.0 lakhs	1.0			
	>2 and ≤ 5.0 lakhs	1.5			
	>5.0 lakhs	2.0			
(c) Administrative experience of SPM (e.g., Dean, Head, Chairperson, Director, Provost etc.)	Value in BDT	Score			
	No	0			
	Yes	1.0			
2. Experience of ASPM				2.5	
2.1 Number of completed funded projects (national & international) except thesis.				2.5	
(a) Number of national/ international funded projects completed by ASPM	Number of projects	Score			
	Less than 3	0.5			
	Between 3 and 6	1.0			
	More than 6	1.5			
(b) The value of completed project(s) in BDT by ASPM.	Value in BDT	Score			
	≤ 2.0 lakhs	0.5			
	> 2.0 lakhs	1.0			
3. Experience of Member(s)				2.5	
3.1 Number of completed funded research projects (national & international) except thesis.				2.5	
(a) Number of national/ international funded projects completed by Member(s).	Number of projects	Score			
	Less than 3	0.5			
	Between 3 and 6	1.0			
	More than 6	1.5			
(b) The value of completed project(s) in BDT by Member(s).	Value in BDT	Score			
	≤ 2.0 lakhs	0.5			
	> 2.0 lakhs	1.0			
Total				10.0	

Signature of Scrutinizer

Signature of Evaluator

REVIEW COMMENTS

(Please give specific and in-depth comments. The comments must conform to the awarded score.)

Section B

Strengths of the SPP
Weaknesses of the SPP
Overall assessment
Any other comments

Signature of Evaluator

Window-3a (AHSBL) Sub-Project Proposal Evaluation Form

Section-A

Area Evaluation Panel (AEP) Member & External Reviewer

Sub-Project No:

Sub-Project Title:

Total Marks Given:

Evaluator*:

Name:

Designation:

Name of Institute:

Mobile Number:

Email:

Signature:

Date:

**** Evaluators are requested to complete this form in FULL.***

Rubrics: Evaluation of Sub-Projects for Window-3a (AHSBL)

(Evaluators are requested to complete this form. They must not leave anything incomplete. Please award score for each item up to one decimal place.)

EVALUATION CRITERIA	Allocated Score	Awarded Score
Total score allocated for the sub-projects	80.0	
1. Abstract of the Proposed Research Project (Section A: 6a): How clear and well-written is the research project summary/abstract?	5.0	
2. Background: (Section A: 7) Is the background of the study relevant to the problem, context-driven, significant, and feasible?	3.0	
3. Problem Statement and Research Questions/Hypotheses (Section A: 8) Are the problem statement and research questions/hypotheses clear and focused, relevant, and researchable?	4.0	
4.a. General Objective (Section A: 9a) Please check if the general objective is focused, and aligned with the problem statement and research questions/hypotheses	1.0	
4.b. Specific Objectives (Section A: 9b) Evaluate whether the specific objectives are clearly and appropriately written by checking if they are: <ul style="list-style-type: none"> clearly derived from the general objective and research questions or hypotheses. are precise, focused, and stated using appropriate action verbs. are measurable and achievable within the proposed scope, timeframe, and methodology. are logically organized, non-overlapping, and collectively addressed the purpose of the study. 	2.0	
5. Expected Outcome(s) (Section A: 10) Evaluate whether the expected outcomes of the proposed research are clearly and appropriately articulated by checking if they: <ul style="list-style-type: none"> clearly describe the expected results or findings of the study. are logically derived from the research objectives, questions, or hypotheses. are realistic and achievable within the proposed methodology scope and time frame. indicate how the findings may contribute to theory, practice, policy, or further research. demonstrate the relevance and usefulness of the expected outcomes to the context or relevant stakeholders. 	2.0	

<p>6. a. Literature Review and Research Gaps Identification (Section A: 11a) Evaluate whether the literature review and research gap identification are appropriately developed by checking if they:</p> <ul style="list-style-type: none"> • demonstrate adequate coverage of relevant, recent, and credible scholarly sources. • clearly synthesize (not merely summarize) key theories, concepts, and findings in the field. • show critical analysis by comparing, contrasting, and evaluating existing studies. • clearly identify and justify the research gap(s) based on limitations, inconsistencies, or unexplored areas in the literature. • establish a clear link between the identified gaps and the proposed research objectives and questions. 	5.0	
<p>6.b. Relevant Theoretical/Conceptual Framework (Section A: 11b) Evaluate whether the theoretical or conceptual framework of the proposed research is clearly and appropriately developed by checking if it:</p> <ul style="list-style-type: none"> • clearly identifies and explains the relevant theory or conceptual model guiding the study. • aligns logically with the research problem, objectives, and questions/hypotheses. • demonstrates understanding of key concepts and their relationships within the framework. • justifies the choice of theory or model in relation to the concept of the study and context. 	3.0	
<p>7. Methodology: (Section A: 12)</p>	10.0	
<p>Part A: Methodology – Clarity & Appropriateness Evaluate whether the methodology is clear, coherent, and appropriate by checking if it:</p> <ul style="list-style-type: none"> • demonstrates coherence, clarity, and overall appropriateness of the methodological approach • clearly explains the research design and approach in general terms • addresses ethical considerations and feasibility within the study's scope and resources • provides a structured and scientifically sound methodology • shows logical flow and clarity of methods for understanding and replication 	5.0	
<p>Part B: Sample Selection & Research Design Evaluate whether the research design and sampling are proper and justified by checking if it:</p> <ul style="list-style-type: none"> • specifies the population, sample, or data sources and justifies their selection • describes data collection methods and tools in sufficient detail for replication • explains data analysis procedures and their suitability for addressing research questions or testing hypotheses • ensures alignment of sampling and methods with research objectives and questions/hypotheses • supports valid, reliable, and reproducible results 	5.0	

<p>8. Innovativeness/uniqueness/novelty of the proposed research project (Section A: 13)</p> <p>Evaluate whether the proposed research demonstrates innovativeness, uniqueness, or novelty by checking if it:</p> <ul style="list-style-type: none"> proposes/conceptualizes new ideas, approaches, perspectives, or methods not extensively explored in the field. addresses a research gap or problem in a way that adds original insight or value. offers potential for advancing theory, practice, or policy beyond existing studies. clearly differentiates the study from prior research, showing distinctiveness and originality. 	5.0																						
<p>9. SWOT Analysis of the entity (Section A: 14)</p> <p>Evaluate whether the SWOT analysis of the proposal-submitting entity is clear, comprehensive, and relevant by checking if it:</p> <ul style="list-style-type: none"> clearly identifies the entity's strengths that support effective implementation of the sub-project. accurately highlights weaknesses or limitations that could affect project execution. identifies opportunities in the context, environment, or any other relevant sector that the project can leverage. recognizes potential threats or risks that may hinder successful implementation. demonstrates strategic analysis showing how internal strengths are used to mitigate threats and how opportunities are explored to overcome weaknesses through the project. 	5.0																						
<p>10.a. Milestones (Section A: 24 (Annex 1))</p> <p>To what extent do the described milestones indicate the critical activities, outcomes and expected results considered in the proposal?</p> <table border="1" data-bbox="159 1254 1169 1534"> <thead> <tr> <th>Characteristics of stated milestones</th><th>Allocated score</th><th>Awarded score</th></tr> </thead> <tbody> <tr> <td>Do milestones for all major phases, achievements and expected results conform to all objectives of the project?</td><td>1.0</td><td></td></tr> <tr> <td>Are the critical activities achievable and realistic?</td><td>1.0</td><td></td></tr> <tr> <td>Do milestones appropriately show verification methods and meaningful assumptions?</td><td>0.5</td><td></td></tr> </tbody> </table> <p>10.b. Performance Indicators and Logical Framework (Section A: 24 (Annex 1)):</p> <p>To what extent is the logical framework relevant to the specific objectives?</p> <table border="1" data-bbox="159 1691 1225 2027"> <thead> <tr> <th>Quality of the Performance Indicators and Logical Framework of the proposed SPP</th><th>Allocated score</th><th>Awarded score</th></tr> </thead> <tbody> <tr> <td>Goal, purpose, output, activities/inputs in the log frame are clear and coherent. The mapping with indicators, means of verification and assumptions is appropriate</td><td>1.5</td><td></td></tr> <tr> <td>Indicators are aligned with specific objectives, and the calculation method, verification method, and assumptions are appropriate</td><td>1.0</td><td></td></tr> </tbody> </table>	Characteristics of stated milestones	Allocated score	Awarded score	Do milestones for all major phases, achievements and expected results conform to all objectives of the project?	1.0		Are the critical activities achievable and realistic?	1.0		Do milestones appropriately show verification methods and meaningful assumptions?	0.5		Quality of the Performance Indicators and Logical Framework of the proposed SPP	Allocated score	Awarded score	Goal, purpose, output, activities/inputs in the log frame are clear and coherent. The mapping with indicators, means of verification and assumptions is appropriate	1.5		Indicators are aligned with specific objectives, and the calculation method, verification method, and assumptions are appropriate	1.0		5.0	
Characteristics of stated milestones	Allocated score	Awarded score																					
Do milestones for all major phases, achievements and expected results conform to all objectives of the project?	1.0																						
Are the critical activities achievable and realistic?	1.0																						
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Quality of the Performance Indicators and Logical Framework of the proposed SPP	Allocated score	Awarded score																					
Goal, purpose, output, activities/inputs in the log frame are clear and coherent. The mapping with indicators, means of verification and assumptions is appropriate	1.5																						
Indicators are aligned with specific objectives, and the calculation method, verification method, and assumptions are appropriate	1.0																						

<p>11. Relevance of the Proposed Project (Section A: 15) Evaluate whether the proposed research project is relevant by checking if it is aligned with:</p> <ul style="list-style-type: none"> • HEAT project objectives, • the university's strategic plan, • national development goals, and • the government's tertiary education sector development goals. 	2.0	
<p>12. Contribution(s) (Section A: 16) Evaluate whether the proposed research project demonstrates meaningful contributions by checking if it:</p> <ul style="list-style-type: none"> • clearly articulates how the study will add new knowledge, insights, or understanding to the field. • shows potential practical, policy, or societal impact of the findings. • demonstrates how the research outcomes may advance theory, methodology, or future studies. • identifies specific beneficiaries or sectors that could benefit from the research. 	3.0	
<p>13. Summary of Estimated Budget (Section A: 18) Evaluate whether the budget of the proposed research project is clear, realistic, and appropriate by checking if it:</p> <ul style="list-style-type: none"> • clearly lists all cost items, including personnel, materials, equipment, travel, and other expenses. • aligns with the scope, methodology, and timeline of the research. • is realistic, reasonable, and justified for each budget item. • demonstrates efficient and effective use of resources. • includes any contingency or unforeseen costs where necessary. • is transparent, well-organized, and easy to understand for review and approval. 	5.0	
<p>14. Brief Descriptions of the Probable Impact(s) of the Proposed Sub-Project: (Section A: 20) Evaluate whether the proposal clearly identifies and describes the sub-project's likely impacts on:</p> <ul style="list-style-type: none"> • environment: soil, water, air, biodiversity, biomass, etc. • social & Human Development: women, children, employment, poverty reduction, human capacity. • institutional & Academic: performance, programs, research, innovation, quality assurance, governance, management. • economic & Production: food security, production innovation. • disaster Management & Risks: preparedness and mitigation. • other Relevant Areas: any additional significant impacts. <p>Check that impacts are realistic, significant, and aligned with the project objectives.</p>	2.0	

<p>15. Dissemination Strategy of Research Outcome(s) (Section A: 21) Evaluate whether the proposal clearly and effectively presents the dissemination strategy by checking if it:</p> <ul style="list-style-type: none"> • specifies how research findings will be shared with relevant stakeholders, including academia, policymakers, practitioners, and the public. • identifies appropriate channels and formats for dissemination (e.g., publications, conferences, workshops, reports, media). • demonstrates a clear plan to reach the target audience and maximize impact. • includes timelines and responsibilities for dissemination activities. • ensures the strategy is feasible, practical, and aligned with the scope and objectives of the research. 	3.0	
<p>16. Sustainability Plan (Section A: 22) Evaluate whether the proposal clearly and convincingly addresses sustainability by checking if it:</p> <ul style="list-style-type: none"> • demonstrates the potential for long-term continuation of project benefits beyond the implementation period. • identifies financial, institutional, and technical mechanisms to maintain project outcomes. • considers environmental, social, and economic sustainability aspects. • shows strategies to build local capacity, stakeholder ownership, and community engagement. • aligns sustainability measures with the project objectives, activities, and expected impacts. 	5.0	
<p>17. List of References (APA 7th edition) (Section A: 23) Evaluate whether the proposal provides an appropriate list of references by checking if it:</p> <ul style="list-style-type: none"> • includes relevant, recent, and credible sources that support the research problem, objectives, and methodology. • follows a consistent and recognized citation style. • demonstrates breadth and depth of literature consulted. • accurately cites all sources referenced in the proposal text. • enhances the credibility and scholarly foundation of the proposed sub-project. 	5.0	
<p>18. Proposal design (Section A: 1-24) How is the overall quality of the proposal, as related to the scope of HEAT Project? The title is concise, meaningful and reflecting the objectives; Motivations are clear; Expected results and outcomes are clear and realistic; Feasibility and potential benefits are stated; Well-articulated novelty/innovativeness; Sound background study reflecting a gap analysis; Quality of approach and methodologies; Justified performance indicators and workplan; Justified and realistic budget and procurement plan; Well-designed plan on sustainability ; Reflection of academic scholarship in the proposal Please evaluate holistically</p>	5.0	
Total	80.0	

Signature of Scrutinizer

Signature of Evaluator

REVIEW COMMENTS

*(Please give specific and in-depth comments. The comments must conform to the **awarded score.**)*

Section A

Strengths of the SPP
Weaknesses of the SPP
Overall assessment
Any other comments

Signature of Evaluator

Window-3a (AHSBL) Sub-Project Proposal Evaluation Form

Section-B

Area Evaluation Panel (AEP) Member & External Reviewer

Sub-Project No:

Sub-Project Title:

Total Marks Given:

Evaluator*:

Name:

Designation:

Name of Institute:

Mobile Number:

Email:

Signature:

Date:

**** Evaluators are requested to complete this form in FULL.***

Rubrics: Evaluation of Sub-Projects for Window-3a (AHSBL)

(Evaluators are requested to complete this form. They must not leave anything incomplete. Please award score for each item up to one decimal place)

EVALUATION CRITERIA			Allocated Score	Awarded Score
B. Experience of SPMT (Section B: 7 (Annex-11))			20.0	
1. Experience of SPM:			10.0	
1.1 Number of completed funded research projects (national & international) except thesis			4.0	
(a) Number of national/ international funded research projects completed by SPM.	Number of projects	Score		
	Between 1 and 2	0.5		
	Between 3 and 5	1.0		
	Between 6 and 8	1.5		
	More than 8	2.0		
(b) The value of completed project(s) in BDT by SPM.	Value in BDT	Score		
	≤ 2.0 lakhs	0.5		
	> 2.0 and ≤ 4.0 lakhs	1.0		
	> 4.0 and ≤ 6.0 lakhs	1.5		
	> 6.0 lakhs	2.0		
1.2 Number of research publications and citations of SPM			6.0	
(a) Number of published journal articles of the SPM (indexed by Scopus).	Number of articles	Score		
	Less than 7	1		
	Between 7 and 35	2		
	More than 35	3		
(b) Number of Scopus citations of the SPM.	No. of citations	Score		
	Less than 50	0.5		
	Between 50 and 100	1.0		
	Between 101 and 300	1.5		
	More than 300	2.0		
(c) Visibility of the SPM (Quality of Researcher)		Allocated score		
Overall International visibility in terms of journal/conference editorial board/committee, international standardization, thesis/exam evaluator of students in foreign universities, etc. of SPM		1.0		

2. Experience of ASPM			5.0	
2.1 Number of completed funded research projects (national & international) except thesis.			2.0	
(a) Number of national/international funded research projects completed by ASPM	Number of projects	Score		
	Between 1 and 5	0.5		
	More than 5	1.0		
(b) The value of completed project(s) in BDT by ASPM.	Value in BDT	Score		
	≤ 2.0 lakhs	0.5		
	> 2.0 lakhs	1.0		
2.2 Number of research publications and citations of ASPM			3.0	
a) Number of published journal articles of the ASPM (indexed by Scopus).	Number of articles	Score		
	Less than 7	0.5		
	Between 7 and 35	1.0		
	More than 35	1.5		
(b) Number of Scopus citations of the ASPM.	No. of citations	Score		
	Less than 50	0.5		
	More than 50	1.0		
(c) Visibility of the ASPM (Quality of Researcher)		Allocated score	Awarded score	
Overall International visibility in terms of journal/conference editorial board/committee, international standardization, thesis/exam evaluator of students in foreign universities, etc. of ASPM		0.5		
3. Experience of Member(s)			5.0	
3.1 Number of completed funded research projects (national & international) except thesis.			2.0	
(a) Number of national/international funded research projects completed by Member(s).	Number of projects	Score		
	Between 1 and 5	0.5		
	More than 5	1.0		
(b) The value of completed project(s) in BDT by Member(s).	Value in BDT	Score		
	≤ 2.0 lakhs	0.5		
	> 2.0 lakhs	1.0		

3.2 Number of research publications and citations of Member(s)			3.0	
a) Number of published journal articles of the Member(s) (indexed by Scopus).	Number of articles	Score		
	Less than 7	0.5		
	Between 7 and 35	1.0		
	More than 35	1.5		
(b) Number of Scopus citations of the Member(s).	No. of citations	Score		
	Less than 50	0.5		
	More than 50	1.0		
(c) Visibility of the Member(s). (Quality of Researcher)		Allocated score	Awarded score	
Average overall international visibility in terms of journal/conference editorial board/committee, international standardization, thesis/exam evaluator of students in foreign universities, etc. of Member(s).		0.5		
Total			20.0	

Signature of Scrutinizer

Signature of Evaluator

REVIEW COMMENTS

(Please give specific and in-depth comments. The comments must conform to the awarded score.)

Section B

Strengths of the SPP
Weaknesses of the SPP
Overall assessment
Any other comments

Signature of Evaluator

Window-3a (STEM) Sub-Project Proposal Evaluation Form

Section-A

Area Evaluation Panel (AEP) Member & External Reviewer

Sub-Project No:

Sub-Project Title:

Total Marks Given:

Evaluator:*

Name:

Designation:

Name of Institute:

Mobile Number:

Email:

Signature:

Date:

* *Evaluators are requested to complete this form in FULL.*

Rubrics: Evaluation of Sub-Projects for Window-3a (STEM)

(Evaluators are requested to complete this form. They must not leave anything incomplete. Please award score for each item up to one decimal place.)

EVALUATION CRITERIA			Allocated Score	Awarded Score	
Total score allocated for the sub-project:			80.0		
1. Background and Research Problem (Section A: 7 and 8) Are the problem statement and research project summary clear, focused, relevant and researchable?			3.0		
2. General objectives and specific objectives (Section A: 9a and 9b) Are the proposal’s general objectives and specific objectives clear, coherent and realistic?			5.0		
Characteristics of proposed project objectives		Allocated score			Awarded score
● Are all objectives specific, clear and achievable?		2.0			
● Are the specific objectives clear and coherent?		2.0			
● Are the objectives realistic?		1.0			
3. Expected Outcome(s): (Section A: 10) Evaluate whether the expected outcomes of the proposed research are clearly and appropriately articulated by checking, if they: <ul style="list-style-type: none">clearly describe the expected results or findings of the study.are logically derived from the research objectives, questions, or hypotheses.are realistic and achievable within the proposed methodology scope and time frame.indicate how the findings may contribute to theory, practice, policy, or further research.demonstrate the relevance and usefulness of the expected outcomes to the context or relevant stakeholders.			2.0		
4. a. Literature Review and Research Gaps Identification: (Section A: 11a) Evaluate whether the literature review and research gap identification are appropriately developed by checking, if they: <ul style="list-style-type: none">demonstrate adequate coverage of relevant, recent, and credible scholarly sources.clearly synthesize (not merely summarize) key theories, concepts, and findings in the field.show critical analysis by comparing, contrasting, and evaluating existing studies.clearly identify and justify the research gap(s) based on limitations, inconsistencies, or unexplored areas in the literature.establish a clear link between the identified gaps and the proposed research objectives and questions.			4.0		

<p>4. b. Relevant Theoretical/Conceptual Framework/Model: (Section A: 11b) Evaluate whether the theoretical/conceptual framework/model of the proposed research is clearly and appropriately developed by checking if it:</p> <ul style="list-style-type: none"> • clearly identifies and explains the relevant theory or conceptual model guiding the study. • aligns logically with the research problem, objectives, and questions/hypotheses. • demonstrates understanding of key concepts and their relationships within the framework. • justifies the choice of theory or model in relation to the concept of the study and context. 	1.0	
<p>5. Methodology: (Section A: 12)</p>	10.0	
<p>Part A: Methodology – Clarity and Appropriateness Evaluate whether the research methodology is clear, realistic, and appropriate by checking if it:</p> <ul style="list-style-type: none"> • is designed based on an in-depth background study • proposed technical steps are realistic and achievable within scope and resources • is scientifically sound and well-structured • includes clear and justified strategies for testing, validation, benchmarking, and expected deliverables • demonstrates coherence, clarity, and overall appropriateness of the methodological approach 	5.0	
<p>Part B: Sample Selection & Research Design Evaluate whether the research design and sampling are proper and justified by checking if it:</p> <ul style="list-style-type: none"> • clearly explains the research design and approach, aligned with research objectives and questions/hypotheses • specifies the population, sample, or data sources and justifies their selection • describes data collection methods and tools in sufficient detail for replication • explains data analysis procedures and their suitability for addressing research questions or testing hypotheses • addresses ethical considerations and feasibility within the study's scope and resources 	5.0	
<p>6. Innovativeness/uniqueness/novelty of the proposed research project: (Section A:13) Evaluate whether the proposed research demonstrates innovativeness, uniqueness, or novelty by checking if it:</p> <ul style="list-style-type: none"> • proposes/conceptualizes new ideas, approaches, perspectives, or methods not extensively explored in the field. • addresses a research gap or problem in a way that adds original insight or value. • offers potential for advancing theory, practice, or policy beyond existing studies. • clearly differentiates the study from prior research, showing distinctiveness and originality. 	5.0	

<p>7. SWOT Analysis: (Section A: 14) Evaluate whether the SWOT analysis of the proposal-submitting entity is clear, comprehensive and relevant by checking if it:</p> <ul style="list-style-type: none"> clearly identifies the entity's strengths that support effective implementation of the sub-project. accurately highlights weaknesses or limitations that could affect project execution. identifies opportunities in the context, environment, or any other relevant sector that the project can leverage. recognizes potential threats or risks that may hinder successful implementation. demonstrates strategic analysis showing how internal strengths are used to mitigate threats and how opportunities are explored to overcome weaknesses through the project. 	5.0																						
<p>8. a. Milestones (Section A: 24 (Annex-1)) To what extent do the described milestones indicate the critical activities, outcomes and expected results considered in the proposal?</p> <table border="1" data-bbox="151 763 1187 1010"> <thead> <tr> <th>Characteristics of stated milestones</th><th>Allocated score</th><th>Awarded score</th></tr> </thead> <tbody> <tr> <td>Do milestones for all major phases, achievements and expected results conform to all objectives of the project?</td><td>2.0</td><td></td></tr> <tr> <td>Are the critical activities achievable and realistic?</td><td>2.0</td><td></td></tr> <tr> <td>Do milestones appropriately show verification methods and meaningful assumptions?</td><td>1.0</td><td></td></tr> </tbody> </table> <p>8. b. Performance Indicators and Logical Framework: (Section A:24 (Annex-1)) To what extent is the logical framework relevant to the specific objectives?</p> <table border="1" data-bbox="151 1115 1187 1420"> <thead> <tr> <th>Quality of the Performance Indicators and Logical Framework of the proposed SPP</th><th>Allocated score</th><th>Awarded score</th></tr> </thead> <tbody> <tr> <td>Goal, purpose, output, activities/inputs in the log frame are clear and coherent. The mapping with indicators, means of verification and assumptions is appropriate</td><td>2.5</td><td></td></tr> <tr> <td>Indicators are aligned with specific objectives, and the calculation method, verification method, and assumptions are appropriate</td><td>2.5</td><td></td></tr> </tbody> </table>	Characteristics of stated milestones	Allocated score	Awarded score	Do milestones for all major phases, achievements and expected results conform to all objectives of the project?	2.0		Are the critical activities achievable and realistic?	2.0		Do milestones appropriately show verification methods and meaningful assumptions?	1.0		Quality of the Performance Indicators and Logical Framework of the proposed SPP	Allocated score	Awarded score	Goal, purpose, output, activities/inputs in the log frame are clear and coherent. The mapping with indicators, means of verification and assumptions is appropriate	2.5		Indicators are aligned with specific objectives, and the calculation method, verification method, and assumptions are appropriate	2.5		10.0	
Characteristics of stated milestones	Allocated score	Awarded score																					
Do milestones for all major phases, achievements and expected results conform to all objectives of the project?	2.0																						
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Quality of the Performance Indicators and Logical Framework of the proposed SPP	Allocated score	Awarded score																					
Goal, purpose, output, activities/inputs in the log frame are clear and coherent. The mapping with indicators, means of verification and assumptions is appropriate	2.5																						
Indicators are aligned with specific objectives, and the calculation method, verification method, and assumptions are appropriate	2.5																						
<p>9. Relevance of the Proposed Project: (Section A: 15) Evaluate whether the proposed research project is relevant by checking if it is aligned with:</p> <ul style="list-style-type: none"> HEAT project objectives, the university's strategic plan, national development goals, and the government's tertiary education sector development goals. 	3.0																						
<p>10. Contribution(s): (Section A: 16) Evaluate whether the proposed research project demonstrates meaningful contributions by checking if it:</p> <ul style="list-style-type: none"> clearly articulates how the study will add new knowledge, insights, or understanding to the field. shows potential practical, policy, or societal impact of the findings. demonstrates how the research outcomes may advance theory, methodology, or future studies. identifies specific beneficiaries or sectors that could benefit from the research. 	5.0																						

11.a. Summary of Estimated Budget: (Section A: 18) Evaluate whether the budget of the proposed research project is clear, realistic, appropriate and it leads to the stated specific objectives and expected outputs by checking if it: <ul style="list-style-type: none"> • clearly lists all cost items, including personnel, materials, equipment, travel, and other expenses. • aligns with the scope, methodology, and timeline of the research. • is realistic, reasonable, and justified for each budget item. • demonstrates efficient and effective use of resources. • includes any contingency or unforeseen costs where necessary. • is transparent, well-organized, and easy to understand for review and approval. 			5.0	
11.b. Expenditure and procurement plan:(Section A: 24 (Annex 4) The proposed cost for each item of expenditure and procurement plan is rational and justified			2.0	
11.c. Work plan (Section A: 24 (Annex 2)) How are the clarity and quality of the work plan and its relevance to the proposal objectives?			2.0	
Clarity and quality of the work plan	Allocated score	Awarde d score		
▪ Work plan includes all activities of the log frame, and the sequence and duration of activities are rational	1.0			
▪ The work plan is relevant to the proposal objectives	1.0			
12. Brief Descriptions of the Probable Impact(s) of the Proposed Sub-Project:(Section A: 20) Evaluate whether the proposal clearly identifies and describes the sub-project's likely impacts on: <ul style="list-style-type: none"> • environment: soil, water, air, biodiversity, biomass, etc. • social & human development: women, children, employment, poverty reduction, human capacity. • institutional & academic: performance, programs, research, innovation, quality assurance, governance, management. • economic & production: food security, production innovation. • disaster management & risks: preparedness and mitigation. • other relevant areas: any additional significant impacts. Check that impacts are realistic, significant, and aligned with the project objectives.			3.0	
13. Dissemination Strategy of Research Outcome(s):(Section A: 21) Evaluate whether the proposal clearly and effectively presents the dissemination strategy by checking if it: <ul style="list-style-type: none"> • specifies how research findings will be shared with relevant stakeholders, including academia, policymakers, practitioners, and the public. • identifies appropriate channels and formats for dissemination (e.g., publications, conferences, workshops, reports, media). • demonstrates a clear plan to reach the target audience and maximize impact. • includes timelines and responsibilities for dissemination activities. • ensures the strategy is feasible, practical, and aligned with the scope and objectives of the research. 			3.0	

14. Sustainability Plan:(Section A: 22) Evaluate whether the proposal clearly and convincingly addresses sustainability by checking if it: <ul style="list-style-type: none"> • demonstrates the potential for long-term continuation of project benefits beyond the implementation period. • identifies financial, institutional, and technical mechanisms to maintain project outcomes. • considers environmental, social, and economic sustainability aspects. • shows strategies to build local capacity, stakeholder ownership, and community engagement. • aligns sustainability measures with the project objectives, activities, and expected impacts. 	5.0	
15. List of References (APA 7th edition) :(Section A: 23) Evaluate whether the proposal provides an appropriate list of references by checking if it: <ul style="list-style-type: none"> • includes relevant, recent, and credible sources that support the research problem, objectives, and methodology. • follows a consistent and recognized citation style. • demonstrates breadth and depth of literature consulted. • accurately cites all sources referenced in the proposal text. • enhances the credibility and scholarly foundation of the proposed sub-project. 	2.0	
16. Proposal design (Section A: 1-24) How is the overall quality of the proposal, as related to the scope of HEAT Project? The title is concise, meaningful and reflecting the objectives; Motivations are clear; Expected results and outcomes are clear and realistic; Feasibility and potential benefits are stated; Well-articulated novelty/innovativeness; Sound background study reflecting a gap analysis; Quality of approach and methodologies; Justified performance indicators and workplan; Justified and realistic budget and procurement plan; Well-designed plan on sustainability ; Reflection of academic scholarship in the proposal Please evaluate holistically	5.0	
Total	80.0	

Signature of Scrutinizer

Signature of Evaluator

REVIEW COMMENTS

(Please give specific and in-depth comments. The comments must conform to the awarded score.)

Section A

Strengths of the SPP
Weaknesses of the SPP
Overall assessment
Any other comments

Signature of Evaluator

Window-3a (STEM) Sub-Project Proposal Evaluation Form

Section-B

Area Evaluation Panel (AEP) Member & External Reviewer

Sub-Project No:

Sub-Project Title:

Total Marks Given:

Evaluator*:

Name:

Designation:

Name of Institute:

Mobile Number:

Email:

Signature:

Date:

**** Evaluators are requested to complete this form in FULL.***

Rubrics: Evaluation of Sub-Projects for Window-3a (STEM)

(Evaluators are requested to complete this form. They must not leave anything incomplete. Please award score for each item up to one decimal place)

EVALUATION CRITERIA			Allocated Score	Awarded Score
B. Experience of SPMT (Section B: 7 (Annex-11))			20.0	
1 Experience of SPM			10.0	
1.1 Number of completed funded research projects (national & international) except thesis.			4.0	
(a) Number of national/international funded research projects completed by SPM.	Number of projects	Score		
	Between 1 and 2	0.5		
	Between 3 and 5	1.0		
	Between 6 and 8	1.5		
	More than 8	2.0		
(b) The value of completed project(s) in BDT by SPM.	Value in BDT	Score		
	≤3.0 lakhs	0.5		
	>3.0 and ≤ 5.0 lakhs	1.0		
	>5.0 and ≤10.0 lakhs	1.5		
	>10.0 lakhs	2.0		
1.2 Number of research publications and citations of SPM			6.0	
(a) Number of published journal articles of the SPM (indexed by Scopus).	Number of articles	Score		
	Less than 15	1.0		
	Between 15 and 50	2.0		
	More than 50	3.0		
(b) Number of Scopus citations of the SPM.	No. of citations	Score		
	Less than 100	0.5		
	Between 100 and 200	1.0		
	Between 201 and 500	1.5		
	More than 500	2.0		
(c) Visibility of the SPM (Quality of Researcher)		Allocated score	Awarded score	
Overall International visibility in terms of journal/conference editorial board/committee, international standardization, thesis/exam evaluator of students in foreign universities, etc. of SPM		1.0		
2. Experience of ASPM			5.0	
2.1 Number of completed funded research projects (national & international) except thesis.			2.0	
(a) Number of national/international funded research projects completed by ASPM	Number of projects	Score		
	Between 1 and 5	0.5		
	More than 5	1.0		
(b) The value of completed project(s) in BDT by ASPM.	Value in BDT	Score		
	≤5.0 lakhs	0.5		
	>5.0 lakhs	1.0		

2.2 Number of research publications and citations of ASPM			3.0		
a) Number of published journal articles of the ASPM (indexed by Scopus).	Number of articles	Score			
	Less than 15	0.5			
	Between 15 and 50	1.0			
	More than 50	1.5			
(b) Number of Scopus citations of the ASPM.	No. of citations	Score			
	Less than 300	0.5			
	More than 300	1.0			
(c) Visibility of the ASPM (Quality of Researcher)		Allocated score	Awarded score		
Overall International visibility in terms of journal/conference editorial board/committee, international standardization, thesis/exam evaluator of students in foreign universities, etc. of ASPM		0.5			
3. Experience of Member(s)			5.0		
3.1 Number of completed funded research projects (national & international) except thesis.					
(a) Number of national/ international funded research projects completed by Member(s).	Number of projects	Score			
	Between 1 and 5	0.5			
	More than 5	1.0			
(b) The value of completed project(s) in BDT by Member(s).	Value in BDT	Score			
	≤5.0 lakhs	0.5			
	> 5.0 lakhs	1.0			
3.2 Average number of research publications and citations of Member(s)					
a) Number of published journal articles of the Member(s) (indexed by Scopus).	Number of articles	Score			
	Less than 15	0.5			
	Between 15 and 50	1.0			
	More than 50	1.5			
(b) Number of Scopus citations of the Member(s).	No. of citations	Score			
	Less than 300	0.5			
	More than 300	1.0			
(c) Visibility of the Member(s). (Quality of Researcher)		Allocated score			Awarded score
Average overall international visibility in terms of journal/conference editorial board/committee, international standardization, thesis/exam evaluator of students in foreign universities, etc. of Member(s).		0.5			
Total					20.0

Signature of Scrutinizer

Signature of Evaluator

REVIEW COMMENTS

(Please give specific and in-depth comments. The comments must conform to the awarded score.)

Section B

Strengths of the SPP
Weaknesses of the SPP
Overall assessment
Any other comments

Signature of Evaluator

Window-3b Sub-Project Proposal Evaluation Form Section-A

for

Area Evaluation Panel (AEP) Member & External Reviewer

Sub-Project No:

Sub-Project Title:

Total Marks Given:

Evaluator*:

Name:

Designation:

Name of Institute:

Mobile Number:

Email:

Signature:

Date:

**** Evaluators are requested to complete this form in FULL.***

Rubrics of Distribution of Marks for Evaluation of Sub-projects for Window-3b

*[Note: **Please award score for each item up to one decimal place**].*

EVALUATION CRITERIA	Allocated Score	Awarded Score												
Total score allocated for the sub-projects	60.0													
1. Background and Research Problem (Section A: 6 and 7) Are the problem statement and research project summary clear, focused, relevant, and researchable?	3.0													
2. General objectives and specific objectives (Section A: 8a and 8b) Are the proposal's general objectives and specific objectives clear, coherent and realistic? <table border="1" style="width: 100%; margin-top: 10px;"> <thead> <tr> <th>Characteristics of proposed project objectives</th><th>Allocated score</th><th>Awarded score</th></tr> </thead> <tbody> <tr> <td>• Are all objectives specific, clear and achievable?</td><td>2.0</td><td></td></tr> <tr> <td>• Are the specific objectives clear and coherent?</td><td>2.0</td><td></td></tr> <tr> <td>• Are the objectives realistic?</td><td>1.0</td><td></td></tr> </tbody> </table>	Characteristics of proposed project objectives	Allocated score	Awarded score	• Are all objectives specific, clear and achievable?	2.0		• Are the specific objectives clear and coherent?	2.0		• Are the objectives realistic?	1.0		5.0	
Characteristics of proposed project objectives	Allocated score	Awarded score												
• Are all objectives specific, clear and achievable?	2.0													
• Are the specific objectives clear and coherent?	2.0													
• Are the objectives realistic?	1.0													
3. Expected Outcome(s) (Section A: 9) Evaluate whether the potential outcomes of the proposed research are clearly and appropriately articulated by checking if they: <ul style="list-style-type: none"> • clearly describe the expected results or findings of the study. • are logically derived from the research objectives, questions, or hypotheses. • are realistic and achievable within the proposed methodology scope and time frame. • indicate how the findings may contribute to theory, practice, policy, or further research. • demonstrate the relevance and usefulness of the expected outcomes to the context or relevant stakeholders. 	2.0													
4. a. Literature Review and Research Gaps Identification (Section A: 10a) Evaluate whether the literature review and research gap identification are appropriately developed by checking if they: <ul style="list-style-type: none"> • demonstrate adequate coverage of relevant, recent, and credible scholarly sources. • clearly synthesize (not merely summarize) key theories, concepts, and findings in the field. • show critical analysis by comparing, contrasting, and evaluating existing studies. • clearly identify and justify the research gap(s) based on limitations, inconsistencies, or unexplored areas in the literature. • establish a clear link between the identified gaps and the proposed research objectives and questions. 	4.0													

<p>4.b. Relevant Theoretical/Conceptual Framework/Model (Section A: 10b)</p> <p>Evaluate whether the theoretical/conceptual framework/model of the proposed research is clearly and appropriately developed by checking if it:</p> <ul style="list-style-type: none"> clearly identifies and explains the relevant theory or conceptual model guiding the study. aligns logically with the research problem, objectives, and questions/hypotheses. demonstrates understanding of key concepts and their relationships within the framework. justifies the choice of theory or model in relation to the concept of the study and context. 	1.0	
<p>5. Methodology (Section A: 11)</p>	7.0	
<p>Part A: Methodology – Clarity and Appropriateness</p> <p>Evaluate whether the research methodology is clear, realistic, and appropriate by checking if it:</p> <ul style="list-style-type: none"> is designed based on an in-depth background study proposed technical steps are realistic and achievable within scope and resources is scientifically sound and well-structured includes clear and justified strategies for testing, validation, benchmarking, and expected deliverables <p>demonstrates coherence, clarity, and overall appropriateness of the methodological approach</p>	3.5	
<p>Part B: Sample Selection & Research Design</p> <p>Evaluate whether the research design and sampling are proper and justified by checking if it:</p> <ul style="list-style-type: none"> clearly explains the research design and approach, aligned with research objectives and questions/hypotheses specifies the population, sample, or data sources and justifies their selection describes data collection methods and tools in sufficient detail for replication explains data analysis procedures and their suitability for addressing research questions or testing hypotheses <p>addresses ethical considerations and feasibility within the study's scope and resources</p>	3.5	
<p>6. SWOT Analysis of the entity (Section A: 13)</p> <p>Evaluate whether the SWOT analysis of the proposal-submitting entity is clear, comprehensive, and relevant by checking if it:</p> <ul style="list-style-type: none"> clearly identifies the entity's strengths that support effective implementation of the sub-project. accurately highlights weaknesses or limitations that could affect project execution. identifies opportunities in the context, environment, or any other relevant sector that the project can leverage. recognizes potential threats or risks that may hinder successful implementation. demonstrates strategic analysis showing how internal strengths are used to mitigate threats and how opportunities are explored to overcome weaknesses 	3.0	

through the project.				
7. a. Milestones (Section A: 23 (Annex-1)) To what extent do the described milestones indicate the critical activities, outcomes and expected results considered in the proposal?			5.0	
Characteristics of stated milestones and indicators	Allocated score	Awarded score		
Do milestones for all major phases, achievements and expected results conform to all objectives of the project?	1.0			
Are the critical activities achievable and realistic?	1.0			
Do milestones appropriately show verification methods and meaningful assumptions?	1.0			
7. b. Performance Indicators and Logical Framework (Section A: 23 (Annex-1)) To what extent is the logical framework relevant to the specific objectives?				
Quality of the Performance Indicators and Logical Framework of the proposed SPP	Allocated score	Awarded score		
Goal, purpose, output, activities/inputs in the log frame are clear and coherent. The mapping with indicators, means of verification and assumptions is appropriate	1.0			
Indicators are aligned with specific objectives, and the calculation method, verification method, and assumptions are appropriate	1.0			
8. Relevance of the Proposed Project (Section A: 14) Evaluate whether the proposed research project is relevant by checking if it: <ul style="list-style-type: none">• address HEAT project objectives.• aligns with <i>the university's strategic plan</i>.• demonstrates <i>national development goals</i>.• shows <i>the government's tertiary education sector development goals</i>.			2.0	
9. Contribution(s) (Section A: 15) Evaluate whether the proposed research project demonstrates meaningful contributions by checking if it: <ul style="list-style-type: none">• clearly articulates how the study will add new knowledge, insights, or understanding to the field.• shows potential practical, policy, or societal impact of the findings.• demonstrates how the research outcomes may advance theory, methodology, or future studies.• identifies specific beneficiaries or sectors that could benefit from the research.			2.0	

<p>10.a. Summary of Estimated Budget (Section A: 17)</p> <p>Evaluate whether the budget of the proposed research project is clear, realistic, appropriate and it leads to the stated specific objectives and expected outputs by checking if it:</p> <ul style="list-style-type: none"> clearly lists all cost items, including personnel, materials, equipment, travel, and other expenses. aligns with the scope, methodology, and timeline of the research. is realistic, reasonable, and justified for each budget item. demonstrates efficient and effective use of resources. includes any contingency or unforeseen costs where necessary. is transparent, well-organized, and easy to understand for review and approval. 	4.0										
<p>10.b. Expenditure and procurement plan (Section A: 23 (Annex 4))</p> <p>The proposed cost for each item of expenditure and procurement plan is rational and justified</p>	2.0										
<p>10.c. Work plan (Section A: 23 (Annex 2))</p> <p>How are the clarity and quality of the work plan and its relevance to the proposal objectives?</p> <table border="1" data-bbox="145 947 1185 1155"> <thead> <tr> <th>Clarity and quality of the work plan</th><th>Allocated score</th><th>Awarded score</th></tr> </thead> <tbody> <tr> <td>▪ Work plan includes all activities of the log frame, and the sequence and duration of activities are rational.</td><td>1.0</td><td></td></tr> <tr> <td>▪ The work plan is relevant to the proposal objectives.</td><td>1.0</td><td></td></tr> </tbody> </table>	Clarity and quality of the work plan	Allocated score	Awarded score	▪ Work plan includes all activities of the log frame, and the sequence and duration of activities are rational.	1.0		▪ The work plan is relevant to the proposal objectives.	1.0		2.0	
Clarity and quality of the work plan	Allocated score	Awarded score									
▪ Work plan includes all activities of the log frame, and the sequence and duration of activities are rational.	1.0										
▪ The work plan is relevant to the proposal objectives.	1.0										
<p>11. Brief Descriptions of the Probable Impact(s) of the Proposed Sub-Project (Section A: 19)</p> <p>Evaluate whether the proposal clearly identifies and describes the sub-project's likely impacts on:</p> <ul style="list-style-type: none"> environment: soil, water, air, biodiversity, biomass, etc. social & human development: women, children, employment, poverty reduction, human capacity. institutional & academic: performance, programs, research, innovation, quality assurance, governance, management. economic & production: food security, production innovation. disaster management & risks: preparedness and mitigation. other relevant areas: any additional significant impacts. <p>Check that impacts are realistic, significant, and aligned with the project objectives.</p>	3.0										
<p>12. Dissemination Strategy of Research Outcome(s) (Section A: 20)</p> <p>Evaluate whether the proposal clearly and effectively presents the dissemination strategy by checking if it:</p> <ul style="list-style-type: none"> specifies how research findings will be shared with relevant stakeholders, including academia, policymakers, practitioners, and the public. identifies appropriate channels and formats for dissemination (e.g., publications, 	3.0										

<p>conferences, workshops, reports, media).</p> <ul style="list-style-type: none"> • demonstrates a clear plan to reach the target audience and maximize impact. • includes timelines and responsibilities for dissemination activities. • ensures the strategy is feasible, practical, and aligned with the scope and objectives of the research. 		
<p>13. Sustainability Plan (Section A: 21)</p> <p>Evaluate whether the proposal clearly and convincingly addresses sustainability by checking if it:</p> <ul style="list-style-type: none"> • demonstrates the potential for long-term continuation of project benefits beyond the implementation period. • identifies financial, institutional, and technical mechanisms to maintain project outcomes. • considers environmental, social, and economic sustainability aspects. • shows strategies to build local capacity, stakeholder ownership, and community engagement. • aligns sustainability measures with the project objectives, activities, and expected impacts. 	5.0	
<p>14. List of References (APA 7th edition) (Section A: 22)</p> <p>Evaluate whether the proposal provides an appropriate list of references by checking if it:</p> <ul style="list-style-type: none"> • includes relevant, recent, and credible sources that support the research problem, objectives, and methodology. • follows a consistent and recognized citation style. • demonstrates breadth and depth of literature consulted. • accurately cites all sources referenced in the proposal text. • enhances the credibility and scholarly foundation of the proposed sub-project. 	2.0	
<p>15. Proposal design (Section A: 1-23)</p> <p>How is the overall quality of the proposal, as related to the scope of HEAT Project?</p> <p>The title is concise, meaningful and reflecting the objectives; Motivations are clear; Expected results and outcomes are clear and realistic; Feasibility and potential benefits are stated; Well-articulated novelty/innovativeness; Sound background study reflecting a gap analysis; Quality of approach and methodologies; Justified performance indicators and workplan; Justified and realistic budget and procurement plan; Well-designed plan on sustainability ; Reflection of academic scholarship in the proposal</p> <p>Please evaluate holistically</p>	5.0	
Total	60.0	

Signature of Scrutinizer

Signature of Evaluator

REVIEW COMMENTS

Please give specific and in-depth comments. The comments should be in conformity with the **awarded score**.

Section A

Strengths of the SPP
Weaknesses of the SPP
Justification of overall assessment
Any other comments

Signature of Evaluator

Window-3b Sub-Project Proposal Evaluation Form

Section-B

for

Area Evaluation Panel (AEP) Member & External Reviewer

Sub-Project No:

Sub-Project Title:

Total Marks Given:

Evaluator*:

Name:

Designation:

Name of Institute:

Mobile Number:

Email:

Signature:

Date:

**** Evaluators are requested to complete this form in FULL.***

Rubrics of Distribution of Marks for Evaluation of Sub-Projects for Window-3b

[Note: Please award score for each item up to one decimal place].

EVALUATION CRITERIA			Allocated Score	Awarded Score
B. Experience of SPMT (Section B: 16 (Annex-11))			20.0	
1 Experience of SPM			10.0	
1.1 Number of completed funded research projects (national & international) except thesis.			4.0	
(a) Number of national/ international funded research projects completed by SPM.	Number of projects	Score		
	Between 1 and 2	0.5		
	Between 3 and 5	1.0		
	Between 6 and 8	1.5		
	More than 8	2.0		
(b) The value of completed project(s) in BDT by SPM.	Value in BDT	Score		
	≤3.0 lakhs	0.5		
	>3 and ≤ 5.0 lakhs	1.0		
	>5 and ≤10.0 lakhs	1.5		
	>10.0 lakhs	2.0		
1.2 Number of research publications and citations of SPM			6.0	
(a) Number of published journal articles of the SPM (indexed by Scopus only).	Number of articles	Score		
	Less than 15	1.0		
	Between 15 and 50	2.0		
	More than 50	3.0		
(b) Number of Scopus citations of the SPM.	No. of citations	Score		
	Less than 100	0.5		
	Between 100 and 200	1.0		
	Between 201 and 500	1.5		
	More than 500	2.0		
(c) Visibility of the SPM (Quality of Researcher)		Allocated score	Awarded score	
Overall international visibility in terms of journal/conference editorial board/committee, international standardization, thesis/exam evaluator of students in foreign universities, etc. of SPM		1.0		
2. Experience of ASPM			5.0	
2.1 Number of completed funded research projects (national & international) except thesis.			2.0	
(a) Number of national/ international funded research projects completed by ASPM	Number of projects	Score		
	Between 1 and 5	0.5		
	More than 5	1.0		
(b) The value of completed project(s) in BDT by ASPM.	Value in BDT	Score		
	≤5.0 lakhs	0.5		
	>5.0 lakhs	1.0		

2.2 Number of research publications and citations of ASPM			3.0	
a) Number of published journal articles of the ASPM (indexed by Scopus only).	Number of articles	Score		
	Less than 15	0.5		
	Between 15 and 50	1.0		
	More than 50	1.5		
(b) Number of Scopus citations of the ASPM.	No. of citations	Score		
	Less than 300	0.5		
	More than 300	1.0		
(c) Visibility of the ASPM (Quality of Researcher)		Allocated score	Awarded score	
Overall international visibility in terms of journal/conference editorial board/committee, international standardization, thesis/exam evaluator of students in foreign universities, etc. of ASPM		0.5		
3. Experience of Member(s)			5.0	
3.1 Average number of completed research projects (national & international) except thesis and collected funds for these research projects.			2.0	
(a) Average number of national/international research projects completed by Member(s).	Number of projects	Score		
	Between 1 and 5	0.5		
	More than 5	1.0		
(b) The value of completed project(s) in BDT by Member(s).	Value in BDT	Score		
	≤5.0 lakhs	0.5		
	>5.0 lakhs	1.0		
3.2 Average number of research publications and citations of Member(s)			3.0	
a) Average number of published journal articles of the Member(s) (indexed by Scopus).	Number of articles	Score		
	Less than 15	0.5		
	Between 15 and 50	1.0		
	More than 50	1.5		
(b) Average Number of Scopus citations of the Member(s).	No. of citations	Score		
	Less than 300	0.5		
	More than 300	1.0		
(c) Visibility of the Member(s). (Quality of Researcher)		Allocated score	Awarded score	
Average overall international visibility in terms of journal/conference editorial board/committee, international standardization, thesis/exam evaluator of students in foreign universities, etc. of Member(s).		0.5		

<p>4. Innovativeness and Potential Impact of the Technologies (Section B: 7) Evaluate whether the proposal clearly shows innovation and impact by checking if it:</p> <ul style="list-style-type: none"> • clearly explains the technology or process, with evidence of prior research, feasibility, or prototypes, and plans to sustain outcomes • shows clear novelty and improvement over existing technologies • explains why industry is interested (market need, cost, scalability, competitiveness) • demonstrates strong economic and social benefits (jobs, productivity, import substitution, exports, sustainability) 	3.0	
<p>5. Assessment of Potentiality and Feasibility for Commercialization (Section B: 8) Evaluate whether the proposal clearly shows commercialization potential and feasibility by checking if it:</p> <ul style="list-style-type: none"> • presents a clear and realistic plan for commercialization with a timeline • shows a clear competitive advantage supported by market demand and market size • clearly identifies potential customers and competitors, and realistically explains risks and production challenges • explains whether and how the university can start a commercial arm within the existing legal framework 	4.0	
<p>6. Assessment of Potentiality for Patenting (Section B: 9) Evaluate whether the proposal shows clear patenting potential by checking if it:</p> <ul style="list-style-type: none"> • includes a clear patent search showing the work is original and does not overlap with existing patents • lists any relevant patents filed in the last 10 years • presents a clear and realistic plan to patent the project outcomes 	2.0	
<p>7. Identification of Technological Risks (Section B: 10) Evaluate whether the proposal identifies technological risks by checking if it:</p> <ul style="list-style-type: none"> • clearly explains the main technological and partnership-related risks • suggests practical ways to reduce or manage these risks 	1.0	
<p>8. Strategies and Methods of Collaboration (Section B: 11) Evaluate whether the proposal shows collaboration strategies by checking if it:</p> <ul style="list-style-type: none"> • clearly explains research and marketing activities with the industry partner • defines roles, deliverables, and timelines for both university and industry • describes any past collaboration with the partner and how it is used in the current project 	3.0	
<p>9.a. Industry/Company Profile (Section B: 12a) Evaluate whether the proposal shows the industry/company is suitable by checking if it:</p> <ul style="list-style-type: none"> • clearly describes the industry profile, including products, production volume, market share, R&D policy, and website • submits all required documents completely 	1.0	

9. b. Assessment of Industrial Research Capacity (Section B: 12b) Evaluate whether the proposal shows the industry's research capacity by checking if it: <ul style="list-style-type: none"> • clearly shows past joint research with industries, commercialization experience, and revenue generation • describes relevant publications, joint research, and achievements • has adequate logistics and resources to carry out the proposed research 	2.0	
9. c. Background Information on Industry Partner (Section B: 12c) Assess the industry partner's capacity by checking if it: <ul style="list-style-type: none"> • provides clear data on R&D spending, facilities, and staff • describes relevant joint research, and achievements • lists patents and other notable research outcomes with brief details • shows strong R&D capability and active research involvement 	2.0	
10. Plan for Promoting Innovations within the Entity (Section B: 13) Assess the plan for promoting innovations within entity by checking if it: <ul style="list-style-type: none"> • clearly explains plans for institutional reforms, capacity building, and awareness activities • shows how the plans will help build a strong culture of innovation and support technology transfer 	2.0	
Total	40.0	

Signature of Scrutinizer

Signature of Evaluator

REVIEW COMMENTS

Please give specific and in-depth comments. The comments should be in conformity with the **awarded score**.

Section B

Strengths of the SPP
Weaknesses of the SPP
Justification of overall assessment
Any other comments

Signature of Evaluator

Window-4 Sub-Project Proposal Evaluation Form

Section-A

Area Evaluation Panel (AEP) Member & External Reviewer

Sub-Project No:

Sub-Project Title:

Total Marks Given:

Evaluator*:

Name:

Designation:

Name of Institute:

Mobile Number:

Email:

Signature:

Date:

**** Evaluators are requested to complete this form in FULL.***

Rubrics: Evaluation of Sub-Projects for window-4

(Evaluators are requested to complete this form. They must not leave anything incomplete. Please award score for each item up to one decimal place.)

EVALUATION CRITERIA	Allocated Score	Awarded Score
Total score allocated for the sub-projects	80.0	
1.a. General Objective (Section A: 5a) Please check if the general objective is focused, and aligned with the sub-project needs.	2.0	
1.b. Specific Objectives (Section A: 5b) Evaluate whether the specific objectives are clearly and appropriately written by checking if they are: <ul style="list-style-type: none"> clearly derived from the general objective. are precise, focused, and stated using appropriate action verbs. are measurable and achievable within the proposed scope, timeframe, and methodology. are logically organized, non-overlapping, and collectively addressed the purpose of the project. 	3.0	
2. Need assessment of the sub-project (Section A: 6)	10.0	
Part A: Quality and Rigor of Needs Analysis Assess the extent to which the sub-project demonstrates a systematic and evidence-based needs analysis by checking if it: <ul style="list-style-type: none"> includes a formal and empirical needs assessment (e.g., surveys, FGDs, data analysis) incorporates input from relevant stakeholders (students, faculty, administrators, employers, etc.) clearly identifies priority needs and justifies them with evidence. demonstrates contextual relevance (institutional, disciplinary, and local needs) 	5.0	
Part B: Alignment, Integration, and Documentation Assess how effectively the identified needs are translated into the sub-project design and supported by evidence by checking if it: <ul style="list-style-type: none"> identified needs are clearly reflected in the sub-project design and activities. sub-project aligns with the institution's mission, vision, and strategic objectives. proposed facilities/resources support and fit the curriculum and learning outcomes. all supporting documents for the needs analysis are properly attached and clearly referenced by the SPMT. 	5.0	
3. SWOT Analysis of the entity (Section A: 7a & 7b) Evaluate whether the SWOT analysis of the proposal-submitting entity is clear, comprehensive, and relevant by checking if it: <ul style="list-style-type: none"> clearly identifies the entity's strengths that support effective implementation of the sub-project. accurately highlights weaknesses or limitations that could affect project execution. identifies opportunities in the context, environment, or any other relevant sector that the project can leverage. recognizes potential threats or risks that may hinder successful implementation. demonstrates strategic analysis showing how internal strengths are used to mitigate threats and how opportunities are explored to overcome weaknesses through the project. 	5.0	

4. Quality and Clarity of Milestones, Performance Indicators and Log frame 4.a. Milestones (Section A: 16 (Annexe-1)) To what extent do the described milestones indicate the critical activities, outcomes and expected results considered in the proposal?			5.0	
Characteristics of stated milestones	Allocated score	Awarded score		
Do milestones for all major phases, achievements and expected results conform to all objectives of the project?	2.0			
Are the critical activities achievable and realistic?	2.0			
Do milestones appropriately show verification methods and meaningful assumptions?	1.0			
4.b. Performance Indicators and Logical Framework (Section A: 16 (Annexe-1)) To what extent do the described milestones indicate To what extent is the logical framework relevant to the specific objectives?			5.0	
Quality of the Performance Indicators and Logical Framework of the proposed SPP	Allocated score	Awarded score		
Goal, purpose, output, activities/inputs in the log frame are clear and coherent. The mapping with indicators, means of verification and assumptions is appropriate	2.5			
Indicators are aligned with specific objectives, and the calculation method, verification method, and assumptions are appropriate	2.5			
5. Relevance of the Proposed Project (Section A: 8) Evaluate whether the proposed project is relevant by checking if it: <ul style="list-style-type: none"> • address HEAT project objectives. • aligns with the university's strategic plan. • demonstrates national development goals. • shows the government's tertiary education sector development goals. 			5.0	
6. Beneficiaries (Qualitative and Quantitative) (Section A: 9) Evaluate whether the project shows meaningful contributions by checking if it: <ul style="list-style-type: none"> • clearly identifies who will benefit (students, teachers, and other stakeholders) • clearly explains how these groups will benefit, both qualitatively and quantitatively • uses a cost–benefit analysis to justify that the methods are cost-effective 			5.0	

<p>7. Fab Lab Design (Section A: 10a) Evaluate whether the Fab Lab design of the project is clear, realistic, and appropriate by checking if it:</p> <ul style="list-style-type: none"> Clearly describes the Fab Lab structure and main instruments suitable for the planned activities Provides a detailed plan for product development, prototyping, services, and innovation activities Clearly explains how industry partners will be engaged and collaborations established Explains how the Fab Lab will support teaching and student learning Explains how the Fab Lab will support research, experimentation, and innovation <p>i Lab Design (Section A: 10b) Evaluate whether the i-Lab design of the project is clear, realistic, and appropriate by checking if it:</p> <ul style="list-style-type: none"> Clearly describes the logistics needed and the full range of planned activities Clearly explains the mode of working, virtual lab features, and how it will be used in university-level teaching <p>Business Incubator (Section A: 10c) Evaluate whether the business incubator of the project is clear, realistic, and appropriate by checking if it:</p> <ul style="list-style-type: none"> Clearly describes the planned incubation activities Clearly explains the logistics needed and links with the Fab Lab and i-Lab Clearly outlines business incubation plans, potential opportunities, and possible partners 	10.0	
<p>8. Summary of Estimated Budget (Section A: 12)</p>	10.0	
<p>Part A: Budget Clarity, Completeness, and Transparency Assess whether the proposed budget is clearly presented and comprehensive:</p> <ul style="list-style-type: none"> clearly lists all cost items (personnel, materials, equipment, travel, operational and miscellaneous costs) budget is well-organized, itemized, and transparent, with clear headings and breakdowns cost items are clearly explained and easy to understand for reviewers and approving authorities includes contingency or unforeseen costs where appropriate, with justification 	5.0	
<p>Part B: Budget Realism, Alignment, and Cost-Effectiveness Assess whether the budget is appropriate, realistic, and strategically aligned with the project:</p> <ul style="list-style-type: none"> budget aligns with the project scope, methodology, and implementation timeline each budget item is realistic, reasonable, and properly justified demonstrates efficient and effective use of resources (value for money) includes a cost–benefit or cost-effectiveness rationale to justify proposed methods and expenditures 	5.0	
<p>9. Operation & Maintenance of Equipment/Instrument/Facilities (Section A: 13a & 13b) Evaluate whether the operation and maintenance plan of the project is appropriate by checking if it:</p> <ul style="list-style-type: none"> clearly shows that skilled staff are available to operate the equipment includes a clear and realistic budget for operation and maintenance explains how the equipment and facilities will be used and maintained in the long term 	5.0	

<p>10. Brief Descriptions of the Probable Impact(s) of the Proposed Sub-Project: (Section A: 14)</p> <p>Evaluate whether the proposal clearly identifies and describes the sub-project's likely impacts on:</p> <ul style="list-style-type: none"> • environment: soil, water, air, biodiversity, biomass, etc. • social & Human Development: women, children, employment, poverty reduction, human capacity. • institutional & Academic: performance, programs, research, innovation, quality assurance, governance, management. • economic & Production: food security, production innovation. • disaster Management & Risks: preparedness and mitigation. • other Relevant Areas: any additional significant impacts. <p>Check that impacts are realistic, significant, and aligned with the project objectives.</p>	5.0	
<p>11. Sustainability Plan (Section A: 15)</p> <p>Evaluate whether the proposal properly addresses sustainability by checking if it:</p> <ul style="list-style-type: none"> • Clearly explains practical steps to continue project activities and results • Includes a clear budget and commitment from the institution after the project ends • Shows strong support from the institution and alignment with its policies • Presents a realistic and well-planned long-term sustainability strategy 	5.0	
<p>12. Proposal design (Section A: 1-16)</p> <p>How is the overall quality of the proposal, as related to the scope of HEAT Project?</p> <p>The title is concise, meaningful and reflecting the objectives; Motivations are clear; Expected results and outcomes are clear and realistic; Feasibility and potential benefits are stated; Well-articulated novelty/innovativeness; Sound background study reflecting a gap analysis; Quality of approach and methodologies; Justified performance indicators and workplan; Justified and realistic budget and procurement plan; Well-designed plan on sustainability ; Reflection of academic scholarship in the proposal</p> <p>Please evaluate holistically</p>	5.0	
<p>Total</p>	80.0	

Signature of Scrutinizer

Signature of Evaluator

REVIEW COMMENTS

*(Please give specific and in-depth comments. The comments must conform to the **awarded score**.)*

Section A

Strengths of the SPP
Weaknesses of the SPP
Overall assessment
Any other comments

Signature of Evaluator

Window-4 Sub-Project Proposal Evaluation Form

Section-B

Area Evaluation Panel (AEP) Member & External Reviewer

Sub-Project No:

Sub-Project Title:

Total Marks Given:

Evaluator*:

Name:

Designation:

Name of Institute:

Mobile Number:

Email:

Signature:

Date:

* Evaluators are requested to complete this form in FULL.

Rubrics: Evaluation of Sub-Projects for window-4

(Evaluators are requested to complete this form. They must not leave anything incomplete. Please award score for each item up to one decimal place.)

EVALUATION CRITERIA			Allocated Score	Awarded Score
B. Experience of SPMT (Section B: 11 (Annex-11))			10.0	
1 Experience of SPM			5.0	
1.1 Number of completed funded projects (national & international) except thesis.			5.0	
(a) Number of national/ international funded projects completed by SPM.	Number of projects	Score		
	Between 1 and 2	1.0		
	Between 3 and 6	1.5		
	More than 6	2.0		
(b) The value of completed project(s) in BDT by SPM.	Value in BDT	Score		
	≤2.0 lakhs	1.0		
	>2 and ≤ 5.0 lakhs	1.5		
	>5.0 lakhs	2.0		
(c) Administrative experience of SPM (e.g., Dean, Head, Chairperson, Director, Provost etc.)	Value in BDT	Score		
	No	0		
	Yes	1.0		
2. Experience of ASPM			2.5	
2.1 Number of completed funded projects (national & international) except thesis.			2.5	
(a) Number of national/ international funded projects completed by ASPM	Number of projects	Score		
	Less than 3	0.5		
	Between 3 and 6	1.0		
	More than 6	1.5		
(b) The value of completed project(s) in BDT by ASPM.	Value in BDT	Score		
	≤ 2.0 lakhs	0.5		
	> 2.0 lakhs	1.0		
3. Experience of Member(s)			2.5	
3.1 Number of completed funded research projects (national & international) except thesis.			2.5	
(a) Number of national/ international funded projects completed by Member(s).	Number of projects	Score		
	Less than 3	0.5		
	Between 3 and 6	1.0		
	More than 6	1.5		
(b) The value of completed project(s) in BDT by Member(s).	Value in BDT	Score		
	≤ 2.0 lakhs	0.5		
	> 2.0 lakhs	1.0		

<p>4. Approach for Community Engagement (Section B: 6)</p> <p>Evaluate whether the proposal properly addresses community engagement by checking if it:</p> <ul style="list-style-type: none"> Clearly describes activities to engage entrepreneurs, youth, and innovators and encourage start-ups Focuses on motivating young people and promoting idea sharing and networking Clearly plans participation in events, competitions, or international forums 	2.0	
<p>5. Describe how teaching and research can be promoted through the use of Fab Lab and i-Lab (Section B: 7)</p> <p>Evaluate whether the proposal shows effective use of the Fab Lab and i-Lab by checking if it:</p> <ul style="list-style-type: none"> Clearly explains how the Fab Lab/i-Lab will support teaching and student learning Clearly explains how the Fab Lab/i-Lab will support research, innovation, and experimentation 	3.0	
<p>6. Assessment of the Management Team Capacity of the ISF (Section B: 8)</p> <p>Evaluate whether the proposal shows strong management team capacity by checking if it:</p> <ul style="list-style-type: none"> Shows strong experience in using digital fabrication machines and managing related projects Shows clear experience in research work and active community engagement activities 	2.0	
<p>7. Assessment of the University's Capacity in utilizing ISF Potential for Innovation (Section B: 9)</p> <p>Evaluate whether the proposal shows the university's capacity to use ISF for innovation by checking if it:</p> <ul style="list-style-type: none"> Clearly explains how departments will use ISF facilities for teaching and learning Clearly explains how ISF facilities will support research and innovation Shows involvement of multiple departments or centers with clear benefits 	3.0	
Total	20.0	

Signature of Scrutinizer

Signature of Evaluator

REVIEW COMMENTS

(Please give specific and in-depth comments. The comments must conform to the awarded score.)

Section A

Strengths of the SPP
Weaknesses of the SPP
Overall assessment
Any other comments

Signature of Evaluator