



Introduction to **ATF Sub-Project** Proposal Writing

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Objectives of this Workshop

1. Share information about:

- HEAT Project
- Academic Transformation Fund
- **ATF Sub-project Proposal Writing**
- Online submission of ATF SPP

2. **Delegate responsibility of imparting training on ATF sub-project proposal writing at universities**

Outline of Presentation

- 1. HEAT Project Components**
- 2. HEAT Project Activities**
- 3. Academic Transformation Fund (ATF)**
- 4. ATF Windows**
- 5. Sub-project Proposal Formats**
- 6. Details of SP Proposal**
- 7. Online submission of SPP**

HEAT: Project Overview

➤ Project Title

- Higher Education Acceleration and Transformation(HEAT) Project

➤ Sponsoring Ministry/Division

- Secondary and Higher Education Division

➤ Implementing Agency

- University Grants Commission (UGC) of Bangladesh

➤ Project Implementation Period

- Date of Commencement : July 2023
- Date of Completion : June 2028
- IDA Credit Closing : December 2027

➤ Estimated Cost: 401,657

HEAT: Main Components

Component Name and Sub-component Name	Total cost (in BDT Lac)	IDA (in BDT Lac)	GoB (in BDT Lac)
<p>Component 1: Strengthening Regional and Global Partnerships in Higher Education</p>		76210.00	
<p>Sub-Component 1.1: Institutionalization of Regional Mechanisms, Systemic Resilience, and Digital Connectivity</p>	17714.00	17,714.00	-
<p>Sub-Component 1.2: Regional Network of Women's Higher Education Institutions</p>	58496.79	58496.79	-
Total	76210.00	76210.00	5

HEAT: Main Components

Component Name and Sub-component Name	Total cost (BDT Lac)	IDA (BDT Lac)	GoB (BDT Lac)
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Component 2:

Transforming Higher Education In Bangladesh

294357.25

Sub-Component 2.1:

Business Continuity under Covid-19

67468.00 17548.00 49920.00

Sub-Component 2.2:

Strengthening the Market Relevance of HE Programs in Bangladesh

184899.25 80883.75 104015.50

Sub-Component 2.3:

Improving the Governance and Quality of the HE Sector

41990.00 15,375.00 26,615.00

Total	294357.25	113806.75	180550.50
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Component 3:

Project Management, Results Monitoring, Communication and contingency

31090.34

Grand-Total	401657.31	198346.0	203311.0
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HEAT: Major Activities

Component 1:

Strengthening Regional and Global Partnerships in Higher Education

- International Partnership and Collaboration
- Student Exchange Programs
- **Collaboration with NRENs through BdREN**
- Development of an academic center at AUW
- Establish a network of women's universities and colleges in Bangladesh

HEAT: Major Activities

Component 2:

Transforming Higher Education In Bangladesh

- **Improving digital connectivity and infrastructure**
 - Develop National Learning Management Infrastructure (LMI)
 - Upgrade the Bangladesh Research and Education Network (BdREN)
- **Faculty Professional Development (FPD)**
 - Establish UTTA at rental premises and Train 5000 faculty members
- **Competitive Grants**
 - Research grants to promoting advanced research, innovation and entrepreneurship skills
 - Project grants to improve teaching learning facilities
- **Quality assurance and Accreditation**
 - Support the full operationalization of BAC
 - Strengthening the operation of IQACs
 - Performance based budgeting

2.2 Competitive Grants

Academic Transformation Fund(ATF):

- Normally accessed by recipients through a **competitive mode**
 - Proposal call -- Proposal submission -- Peer review--
Management approval
- **Approved proposals** become time bound SPP and are implemented through performance contracts
 - Include budget and measurable outcome indicators
- **ATF grants** are used to improve the quality of:
 - Teaching-learning and research,
 - Strengthen university linkages with industry aiming at commercialization of research outcome/products, etc.

Sub-component 2.2: Competitive Grants Schemes

The Grants will be known as:

Academic Transformation Fund (ATF)

ATF will have **5 Windows**:

- **Window 1: Pandemic Readiness Related Research and Development**
- **Window 2: Improvement of Teaching-Learning Infrastructure**
- **Window 3: Research Grants:**
 - (a) Advanced Research in Priority Areas
 - (b) Collaborative Research with Industry
- **Window 4: Establish Innovation Facilities**
(Fab Labs, *i*-Labs, Business incubators)
- **Window 5: Establish Technology Transfer Office (TTO)**

ATF Allocations to Five Windows

Window	Allocation for the window (Tk. Lac)	Allocation for this type	Allocation to individual SPP (lower ceiling)	Allocation to individual SPP (upper ceiling)
W-1 Pandemic Res & Dev	6000	6000	100	500
W-2: TL infrastructure	24200	24200	50	500
W-3a: Adv. Research	62960			
3ai: STEM		38960	200	600
3ai : AHSBL		10000	50	100
3aii: Jun Res		10000	Same as 3ai	
3aiii: Climate Res		4000		
W-3b: U-I Collab. Res	20000	20000	200	1000
W-4: Fab Lab	5740	5500	200	600
FL Network		240	20	100
W-5: TTO	3500	3500	20	100

Group of Universities

Group	Number of Universities	Name of Universities
A	30	1. DU, RU, BAU, BUET, CU, JU, SUST, JnU, NSU, DIU, KU, BRACU, IU, KUET, AIUB, BSMRSTU, HSTU, 30. Independent University, Bangladesh
B	30	1. IIUC, IUBAT, UIU, PUST, BSMRSTU, UAP, BRU, JKKNIU, CVASU, ULAB, 30. KYAU
C	102	1. BSMRSTU Pirojpur, BSMRMU, BAUST Saidpur, BSMRAAU, DIU, EU, BIU, EDU, AUB, 102. Queens University

Eligible University and Entity

W i n d o w s:		Entity & University Group
Win-1	Pandemic Research	Bio-science, Pharmacy and Social Science Depts. of Group A & B Universities
Win-2	Teaching-Learning Infrastructure	All Departments/Institutes of eligible public Universities
Win-3a	Advanced Research: Priority Areas	Departments/Institutes of all eligible Universities
Win-3b	Advanced Research: Industry Collaboration	Departments/Institutes of all eligible Universities
Win-4	Establishing Fab Lab	Group A Universities
Win-5	Establishing TTO	Group A Universities

Proposal Format Selection (6)

W i n d o w s:		SPP Format
Win-1	i. COVID R&D-1: Biochemical/Virological ii. COVID R&D-2: Medical/Pharmaceutical iii. Social adaptation and Institutional readiness during/after pandemic	SPP Anx-1
Win-2	Improvement of Teaching-Learning Infrastructure	SPP Anx-2
Win-3a	Advanced Research Grants: Priority Areas	SPP Anx-3a
Win-3b	Advanced Research Grants: Industry Collaboration	SPP Anx-3b
Win-4	Establishing Innovation Support Facilities	SPP Anx-4
Win-5	Establishing Technology Transfer Office	SPP Anx-5

Duration of ATF Sub-Projects

Maximum duration:

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

- In extreme circumstances, SP duration may be extended, but should be completed **06** months before the closing date of HEAT project.

Structure of ATF Sub-Project Proposal

1. Conceptual part

Analysis of present status → Identifying area and extent of Capacity Building → Conceptualizing in terms of Objective (s) Activities, Outputs, and Outcome

SWOT Analysis, Logframe

2. Implementation part

Identifying major items of Expenditure → **Work Plan** → **Training Plan** → **Procurement Plan** → **Budget** → **Financing Plan**

3. Monitoring part

Milestones, Performance Indicators & Logframe

Characteristics of Development Proposals

- An objectively analyzed **need assessment: SWOT**
- Formulation of realistic **objective(s)**
- Identifying major **activities and inputs**
- A realistic **Budget**
- An unambiguous, time-bound **Implementation plan**
- Identifying **Monitoring** Instruments
- Identifying probable **Risks** and their management plan

Cluster of disciplines for sub-projects:

- 1. AHSS:** (Arts, Humanities, Social Sciences))
- 2. CCDM:** (Climate Change and Disaster Management)
- 3. PCMSI:** (Physics, Chemistry, Biology, Mathematics, Statistics, ICT)
- 4. ETTCLW:** (Engineering, Technology, Textiles, Ceramic, Leather, Wood)
- 5. MBPPHNS:** (Medical, Biochemical, Medical Physics, Pharmaceutical, Public Health and Nutritional Sciences)
- 6. AG:** (Agriculture including Crops, Fisheries, Livestock, Veterinary, Poultry & Horticulture)
- 7. BL:** (Business and Law)

Window 1: Pandemic Readiness Related Research and Development

Indicative Activities:

- (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.

Eligible Entities:

Bio-science, Pharmacy and Social Science Depts. of Group **A & B Universities**

Budget Limit: :BDT. 100-500 Lac

Window 2: Improvement of Teaching-Learning Infrastructure

Improving Infrastructure for Teaching-Learning:
The funds from this window will finance:

1. **Modern ICT** systems for teaching and learning;
2. Upgrading of **STEM labs**;
3. Updating/modernizing **curricula** and teaching-learning materials; and
4. Upgradation/renovation of **childcare facilities** and ensuring campus **safety for women**.

Eligible Entities

All Depts./Institutes of eligible public Universities

Budget Limit: BDT. 50-500 Lac

Window 3a(i): Advanced Research in Priority Areas

STAGE/STEM disciplines:

Smart agriculture, food safety, sustainable agriculture, smart textiles, computational biology, bio-medicines, biotechnology, poultry, fisheries and livestock, Veterinary, nanotechnologies and engineering, artificial intelligence, sustainable materials, ceramic, jute fabrics, biodegradable polymer, wood, metallurgy, and leather technologies, ship recycling, carbon emission, robotics and automation, etc.

Eligible Entities:

Departments/Institutes of all eligible Universities

Budget Limit:

:BDT. 200-600 Lac

Window 3a(i): Advanced Research in Priority Areas

AHSBL disciplines:

Economic, anthropological, sociological studies, globalization, production systems, livelihood pattern changes, rural and urban social transformation, ecosystem degradation impact on communities, migration, capital market, judicial and legal system, etc.

Eligible Entities:

Departments/Institutes of all eligible Universities

Budget Limit:

:BDT. 50-100 Lac

Window 3a: Advanced Research in Priority Areas

Activities: (Same as 3a(i))

- I. Research Projects lead by Junior Researchers
- II. Climate change

Eligible Entities:

Departments/Institutes of **all** eligible Universities

Budget Limit:

:BDT. 200-600 Lac

Window 3b: Collaborative Research with Industries and Research Institutes

Activities:

University-industry collaborative research targeting patenting and commercialization of research products.

Eligible Entities:

Departments/Institutes of **all** eligible Universities

Budget Limit:

:BDT. 200-1000 Lac

Window 4: Establishing Innovation Support Facilities

SPP Type-1:

Fab Labs, i-labs, Business incubators

Activities:

Establish new Fab Labs, i-labs, upgrading existing Fab labs, Business Incubation Centers tagged with Fab labs and i-Labs

Eligible Entities:

Group A universities

Budget Limit:

:BDT. 200-600 Lac

Window 4: Establishing Innovation Support Facilities

SPP Type-2:

Networking with other Fab Labs

Activities:

Establish Fab Lab Bangladesh Network`,
become member of Fab Lab Asia Network
and Fab Foundation

Eligible Entities: **Group A** universities

Budget Limit: :BDT. 20-100 Lac

Window 5: Establishing Technology Transfer Office

Activities:

Establishing new Technology Transfer Offices

Eligible Entities: **Group A** universities

Budget Limit: **BDT. 20-100 Lac**

PROJECT PROPOSAL

C O M P O N E N T S

Proposal Components

1. Proposal title
2. Implementation Period
3. Total cost: BDT & US\$
4. General objectives
5. Specific objectives
6. Sub-project summary
7. Strategic Analysis
8. Background Data Substantiating the Strategic Analysis
9. Description of proposed field of research

Proposal Components

- | |
|---|
| 10. Table of Milestones (Annex-1)
Table Performance Indicators (Annex-1)
Table of Logical Framework (Annex-1) |
| 11. Relevance |
| 12. Benefits (Qualitative and Quantitative) |
| 13. Operation & Maintenance of Equipment/
Instrument |
| 14. Summary of Estimated Budget |
| 15. Work/Activities Plan (Annex-2) |
| 16. Financing Plan (Annex-3) |
| 17. Procurement Plan (Annex-4: Tables A-E) |
| 18. Training Plan (Annex-5) |

Proposal Components

19. Detail Budget (Annex-6)
20. Technical assistance/consulting
21. Linkages/collaboration
22. Effect/impact of the sub-project
23. Sustainability
24. Environment Safety Checklist & Mitigation Plan (Annex-7)
25. Social Screening Form (Annex-8)
26. Experience in similar project

Proposal Title

- **Informative, not creative**
- Brief, precise, direct & **comprehensive**
- **Reflect objectives**
- Should include all known “keywords”
- Institutional and project responsibilities should be well established
- Complete “at the end of writing”

Institutional information

Self-explanatory

General objectives

- Should reflect the title; Repeat keywords if possible
- Should be commensurate with vision, mission, goal of the University, entity
- State main problem addressed by the proposal
- State objectives referred to medium-term results and impact that the institution would like to achieve
- **Single Sentence**

Specific objectives

- Should support the General Objectives
- Several specific objectives against one General objective
- Identified and numbered
- **Clear and Specific**
- **Measurable**, not necessarily quantified
- **Achievable** during lifetime of the project but outreach beyond
- Relevant in the local context
- Should allow periodic M&E

Proposal Summary

- **250 words for SPP**
- A first concise view of the proposal
- Follow logical framework approach
 - a. **Goal & Purpose**
 - General Objectives
 - b. **Purpose & Output**
 - Specific Objective
 - Expected Result
 - Outcome
 - c. **Output & Input**
 - Activities, Methods etc.
- Item-wise paragraph captions

Strategic Analysis (SWOT)

Internal

- Strength
- Weakness

External

- Opportunities
- Threat

Strategic Analysis

- **Basically SWOT analysis**
- Should clearly indicate that all categories of **stakeholders** participated in the exercise
- **Both internal** (strength & weaknesses) and **external** (opportunities & threats) factors should be analyzed & highlighted
- **Link SWOT results with:**
 - **objective, activity,**
 - **outcome, performance indicator**

Background Data

- Should link the background data with SWOT (S & W part)
- Should generate extra relevant information along with the given questions
- Data should relate to the sub-project issues
- Some quantitative facts about the entity
- Some important items not to be omitted: Basic academic indicators (input, output, outcomes); physical facilities, institutional tendencies

Note: SWOT analysis & background data should be related

Project Indicators

■ Level 1. Milestones

- Describe progress in sub-project implementation
- Expressed in terms of critical activities/outcome

■ Level 2. Performance indicators

- key variables that affect beneficiaries

■ Refer to Annex-2 of ATFOM

■ Logical Framework

- **Essential for M&E**, measurement of achievement of results, effectiveness in resource's use and improvement of project design.

Milestones (Level 1)

- **Achievement** of critical activities / Results
- **Only critical activities & critical results**
- Activity-Result relation should be well visible and self explanatory
- Should indicate a new level in implementation
- Must be objectively verifiable
- **Relate to Work plan, Procurement plan, Financing plan**

Performance Indicators (level 2)

- Relation between milestones & performance indicators, log frame
- Log-frame: Input → Output → Purpose → Goal

Performance Indicator **Milestone**

- May be within the SPP period, some may go beyond
- May be quantitative and qualitative (but verifiable)
- Assumptions should be realistic
- Verification methods clear, operational
- Refer to general objective, specific objectives, benefits, University characteristics etc.

Table of Milestones (example from HEAT)

Milestone	Specific Objective	Critical activities	Verification method	Assumption
ATFOM published	Teaching – learning, research	Manuscript printing contract	Physical, Record	Sufficient no. of tenders
ATF started	-Do-	Proposal call evaluation contract sign	List of sub-projects	All time schedule maintained
BDREN first phase	High speed Internet	Design Fiber laying NOC creation	Physical	No administrative hindrance Univ. coop-n

Table of PI (example from HEAT)

Indicator	Specific objective	Cal. method	Assumption	Verif. method	Cal. base value	Base value 2024	Desired value 2026
Devt. of new curriculum	Teaching-learning	%	Academic Council Approval	M&E report	%	****	****
Student access to Internet	High speed Internet	%	Sufficient internal connectivity	Survey	%	****	****

Relevance

Explicit:

- University & Entity relevance
(eg. Agri Univ. projects should be agri related)
- Regional relevance
- National relevance
- **Relate to sub-project activities, specific objective, SWOT results**

Benefits (qualitative and quantitative)

- Be imaginative but objective
- Direct and indirect benefit
- **Relate to general objective, specific objective**
- **Relate to performance indicators**
- **Some examples**
 - **Better R&D** infrastructure and capacity
 - **Wider PhD** disciplinary coverage, enrolment and graduation
 - **Higher research** outputs, productivity and international linkages

Operation and Maintenance of equipment and instruments

Institutional capacity in operation and maintenance of equipment and instruments that will be used in the project:

- In-house preventive maintenance
- In-house servicing
- Repair parts
- Externally procured servicing

Budget (Aggregate and Detail)

- **Detail and aggregate are structurally related**
- Detail first and Aggregate will follow
- Employ New Economic Code
(7-digit; SPP Annex-3)
- **Prepare in Excel Sheet**
- **Comply ceiling and rates e.g.**
 - SPM team incentive, Consultant hire, Renovation, etc.
 - Ph.D., MPhil scholarship, Training, Collaboration, Foreign visit, etc.

Eligible and Non-Eligible Expenditure

A. Indicative Eligible Expenditure (Art-2.7)

- Training of permanent academic staff (all **Windows**)
- Teaching aids-materials (**W-2**)
- Equipment/ stationeries (**all Windows**)
- Local conference/seminar/workshops (all Windows)
- Research support to Masters/MPhil./PhD (**W-3**)
- Financial support to research students (**W-3**)
- Research stay abroad (Fellows & host) (**W-3**)
- Academic collaboration visit (all **Windows**)

Eligible and Non-Eligible Expenditure

B. Ineligible Expenditure (Art.-2.7.7)

- Salary and allowances for permanent staff
- Any establishment/recurring/revenue expenditures of the entities
- **Large civil works** (exceeding 10% of total sub project cost)
- Expenditure **not included** in the sub project work/financing/procurement plans and **budget**

Workplan: Actions in time chart (Gantt chart)

- **Work plan** should be progressive and realistic
- **Activities** should be logically sequenced
- Where, **when** and **who** questions should be answered
- Clear **milestones** should be set
- Duration of preparation versus implementation should be realistic

Training/Workshop Plan

Training for Human Resource Development of the Entity

Types: Training, Workshops

Location: Local & Foreign

- Should be **logically sequenced**
- Academic **staff upgrading**
- Academic staff development. Post-graduate degrees, **local and abroad**. New qualified staff
- Support/ management staff, Technicians

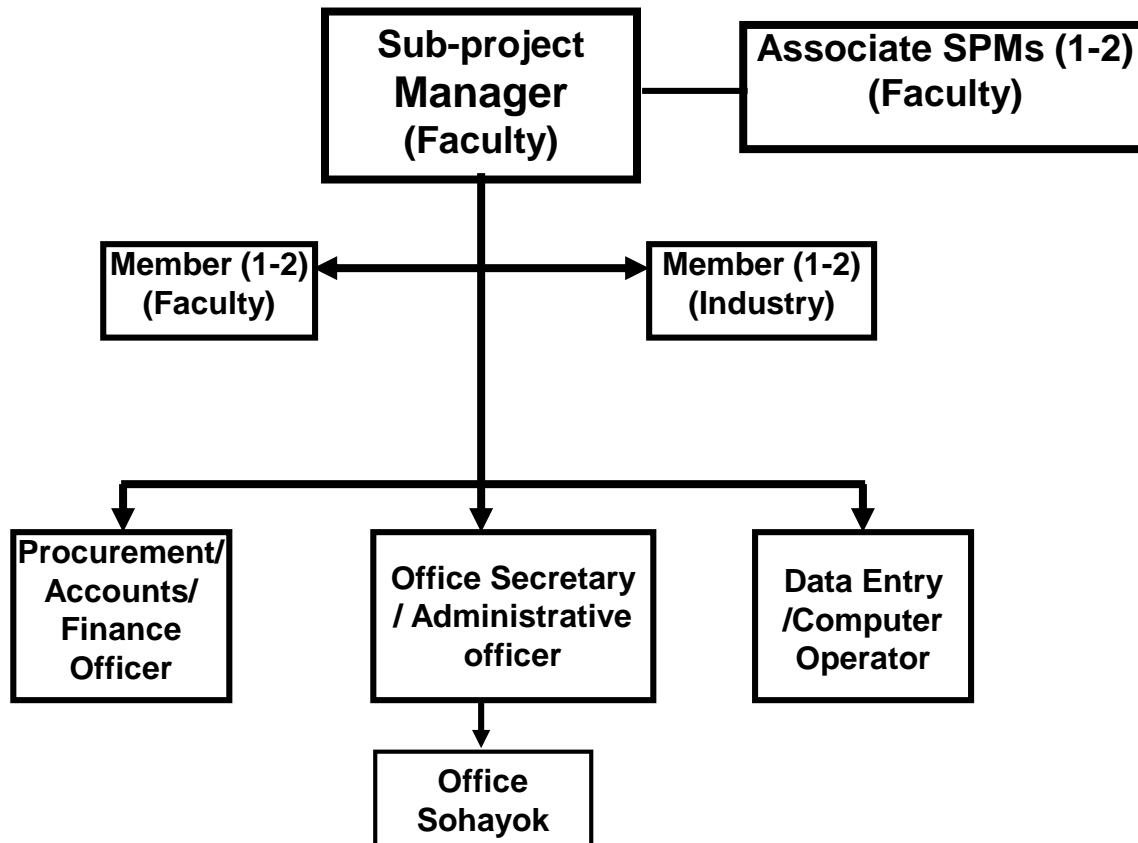
Procurement Plan

- **Goods, Works, Consultant Service and Non-Consultant Services separately**
- **Use format given in ATFOM SPP Annex-4**
- Useful management tool for project activity planning and implementation of purchases
- **Links to budget and work plan (Coherence)**
- On time adjustments for delays and contingencies will allow on time updates of work-plan and efficiency improvements
- Careful management of procurement will normally produce project savings that can be used to support other project purposes
- **It is a LIVING DOCUMENT**

Sub-project Management Team

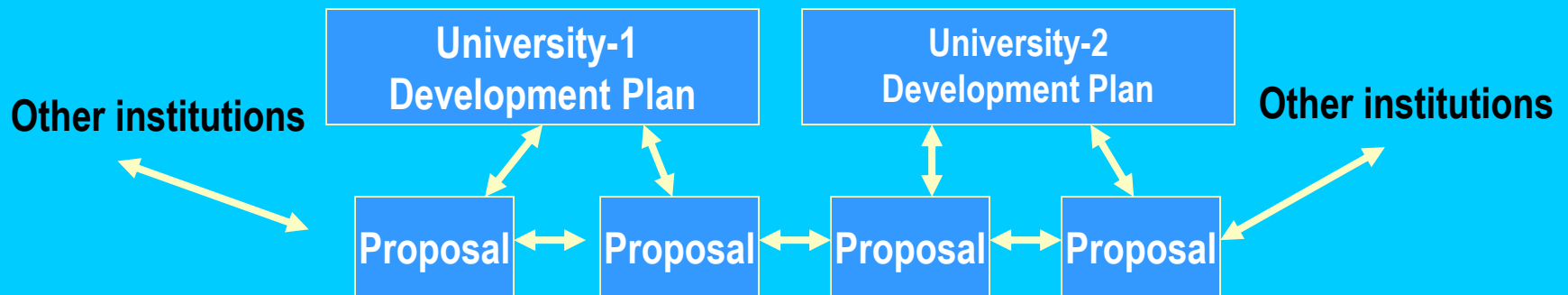
- **Sub-project Management Team includes SPM, ASPM & Member of SPMT (total ≤ 4)**
- **Human resources behind a project**
- **Responsibilities and challenges**
- **Institutional role**
- **Academic role**
- **Project organization**
- **Technical committee**

Indicative Organogram of the Sub-project Management Office



Institutional linkages

- Links with other improvement programs in the institution
- Links with other universities.
- Links with other organizations; example: industry
- If possible, consider their participation in the first design stages



Effects and Impacts

1. Environment
2. Women and children
3. Employment and poverty reduction
4. Institutional performance
5. Academic program
6. Entity
7. Research
8. Human development
9. Food security
10. Productive innovation
11. Academic innovation
12. Quality Assurance Program (if any)
13. Governance
14. Management practices
15. Disaster management
16. Any other (please specify)

Proposal Sustainability

- **Continuation after the contract can be foreseen and is realistic**
 - Capitalisation on previous experiences
 - Medium/long term impact can be expected
 - Long-lasting effect on institutions/target groups
 - Environmental, safety hazard protection and risk mitigation have been considered
 - Institutional commitments on implementation and sustainability are clear and convincing

Annexes in SPP

SPP Annex 1: Milestones, Performance Indicators and Logical Framework

SPP Annex 2: Work/Activities Plan (excel spread sheet)

SPP Annex 3: Financing Plan (excel spread sheet)

SPP Annex 4: Procurement Plan Summary (Table A, Table B, Table C, Table D and Table E) excel spread sheet

SPP Annex 5: Training visit/ Study Tour Plan

SPP Annex 6: Details of estimated Budget (Excel spread sheet)

SPP Annex 7: Environment and Safety Check List for Research and Innovation

SPP Annex 8: Attachment A: Environmental Monitoring and Mitigation Plan

SPP Annex 9: Social Screening Form

SPP Annex 10: Indicative Organogram of the Sub-project Management Office

SPP Annex 11: Sub-project Management Team and Resume

Attachment: Resume of SPM, ASPM and SPMT Members.

Upload: CV of SPM, ASPM and SPMT members online.

SPP Annex 12: Proposal Endorsement by University Management

13. Collaboration MoU, for collaboration SPP



Special Attention

- **A faculty** in more than one SPP not allowed
- Faculty engaged in other research costing above 100 lac are not allowed to submit ATF sub-project
- All paragraphs/items should be organized & filled
- Justification of budget asked for major items (>15%)..
- Budget & all plans should be given in **xls format**
- Foreign visit restricted & needs UGC permission
- SPP hardcopy binding should be properly done
- **SPP submission needs both online and Hardcopy**
- **Endorsement by university authority**
- **UGC BATF** may apply complementary selection criteria
-

Don't Cross the Boundary



- **Total** budget of SPP
- SPM team **incentives**
- **Number of MPhil/PhD** fellowship
- Research **stay abroad** (Student/Faculty)
- Number of **foreign training** (Faculty)
- Collaboration **visit abroad** (# Faculty)
- Total remuneration for **consultants** (<10%)
- **Renovation** works (<10%)
- **Operational** costs (<2%)

Sub-project Proposal Evaluation Criteria

1. Clarity & quality of the SWOT analysis, objectives & expected results & innovative nature of the proposal (4)	20
2. Quality and clarity of the milestones and performance indicators to measure progress, results and impact (2)	10
3. Access to Higher Education and Research (2)	10
4. Clarity and Justification of the proposed budget (2)	10
5. Quality and clarity of the proposed work, financing and procurement plans (2)	10
6. Experience of SPMT: Research & Publication (2)	20
7. Impact the Sub-project (2)	10
8. Sustainability (2)	10
Total	100

Excellent=5, Good=4, Fair=3, Weak=2, Deficient=1 and Incomplete=0

Thanks for Participation

- **Questions ???**
- **Comments !!!**