

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 k^{no}wledge. 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
Category-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	Bangabandhu Sheikh Mujibur Rahman Agricultural University
17	Hajee Mohammad Danesh Science and Technology University
18	Bangladesh University of Professionals
19	Rajshahi University of Engineering & Technology
20	Jashore University of Science and Technology
21	Chittagong University of Engineering & Technology
22	Patuakhali Science and Technology University
23	Sher-e-Bangla Agricultural University

24	Sylhet Agricultural University
25	Noakhali Science and Technology University
26	Mawlana Bhashani Science and Technology University
27	East West University
28	Ahsanullah University of Science and Technology
29	Dhaka University of Engineering & Technology
30	Independent University, Bangladesh
Category-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	Bangabandhu Sheikh Mujibur Rahman Science and Technology University, Gopalganj
6	University of Asia Pacific
7	Begum Rokeya University, Rangpur
8	Jatya Kobi Kazi Nazrul Islam University
9	Chittagong Veterinary and Animal Sciences University
10	University of Liberal Arts Bangladesh
11	Bangabandhu Sheikh Mujib Medical University
12	Green University of Bangladesh
13	Southeast University
14	Comilla University
15	Bangladesh Open University
16	National University
17	Bangladesh University of Business and Technology
18	Stamford University Bangladesh
19	University of Barishal
20	BGC Trust University Bangladesh
21	Northern University Bangladesh
22	Bangladesh University of Textiles
23	World University of Bangladesh
24	Uttara University
25	State University of Bangladesh

26	University of Development Alternative
27	City University
28	University of Science and Technology Chittagong
29	Bangladesh University of Health Sciences
30	Khwaja Yunus Ali University
Category-C Universities	
1	Bangabandhu Sheikh Mujibur Rahman Science & Technology University, Pirojpur
2	Bangabandhu Sheikh Mujibur Rahman Maritime University, Bangladesh
3	Bangladesh Army University of Science and Technology (BAUST), Saidpur
4	Bangabandhu Sheikh Mujibur Rahman Aviation and Aerospace University (BSMRAAU)
5	Dhaka International University
6	Eastern University
7	Bangladesh Islami University
8	East Delta University
9	Asian University of Bangladesh
10	Khulna Agricultural University
11	Chittagong Independent University
12	Premier University
13	Bangladesh Army University of Engineering & Technology (BAUET), Qadirabad
14	Primeasia University
15	Prime University
16	European University of Bangladesh
17	Varendra University
18	BGMEA University of Fashion & Technology (BUFT)
19	University of Information Technology and Sciences
20	Manarat International University
21	Sonargaon University
22	Trust University, Barishal
23	Atish Dipankar University of Science & Technology
24	Leading University
25	Hamdard University Bangladesh
26	Southern University Bangladesh
27	Rabindra Maitree University, Kushtia

28	North Bengal International University
29	Shanto-Mariam University of Creative Technology
30	University of South Asia
31	Bangladesh University
32	Notre Dame University Bangladesh
33	Gono Bishwabidyalay
34	Exim Bank Agricultural University, Bangladesh
35	Bangamata Sheikh Fazilatunnessa Mujib Science and Technology University
36	Metropolitan University
37	ASA University Bangladesh
38	Port City International University
39	Central University of Science & Technology
40	Canadian University of Bangladesh
41	R. P. Shaha University
42	North Western University
43	Northern University of Business and Technology, Khulna
44	Presidency University
45	Fareast International University
46	University of Creative Technology, Chittagong
47	University of Scholars
48	International Standard University
49	Pundra University of Science & Technology
50	Anwer Khan Modern University
51	CCN University of Science & Technology
52	University of Global Village
53	Bangabandhu Sheikh Mujibur Rahman Digital University, Bangladesh
54	Bangladesh Army International University of Science and Technology (BAIUST), Cumilla
55	ZNRF University of Management Sciences
56	University of Skill Enrichment and Technology
57	Rajshahi Science & Technology University (RSTU), Natore
58	German University Bangladesh
59	Royal University of Dhaka
60	Tagore University of Creative Arts, Uttara, Dhaka, Bangladesh

61	Rajshahi Medical University
62	Sheikh Fazilatunnesa Mujib University
63	Central Women's University
64	The Millennium University
65	First Capital University of Bangladesh
66	Feni University
67	Times University, Bangladesh
68	N. P. I University of Bangladesh
69	Z. H. Sikder University of Science and Technology
70	R. T. M Al-Kabir Technical University
71	The People's University of Bangladesh
72	Sheikh Hasina University
73	Britannia University
74	North East University Bangladesh
75	Cox's Bazar International University
76	University of Brahmanbaria
77	Rangamati Science and Technology University
78	Rabindra University, Bangladesh
79	Sylhet International University
80	Global University Bangladesh
81	Victoria University of Bangladesh
82	Islamic Arabic University
83	Ishakha International University Bangladesh
84	Chittagong Medical University
85	Sheikh Hasina Medical University, Khulna
86	Sunamganj Science and Technology University
87	Shah Makhdum Management University, Rajshahi
88	Bangamata Sheikh Fazilatunnesa Mujib Medical University, Sylhet
89	Chandpur Science and Technology University
90	Bangabandhu Sheikh Mujibur Rahman University, Kishoreganj
91	Hobiganj Agricultural University
92	Kurigram Agricultural University
93	Rupayan A. K. M. Shamsuzzoha university

94	Ahsania Mission University of Science and Technology
95	Khulna Khan Bahadur Ahsanullah University
96	Bandarban University
97	Microland University of Science and Technology
98	Sheikh Hasina University of Science and Technology
99	Chattogram BGMEA University of Fashion and Technology
100	IBAIS University
101	The University of Comilla
102	Queens University

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

² Data collected from scopaus database

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

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

ATF PERFORMANCE CONTRACT FORMAT (Time Based)

Between

University Grants Commission of Bangladesh

And

University

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

Contract No. :

Title of Sub-Project :

Sub-Project Proposal No. :

Total ATF Grant Amount :

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

Contract Date :

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

PREAMBLE

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

- i. Whereas the International Development Association (hereinafter called the IDA) and the Government of Bangladesh (hereinafter called the GoB) have entered into Financing Agreement dated June 13, 2023 (hereinafter called the FA), whereby IDA is to make a Credit in an amount equivalent to one hundred thirty-three million, one hundred thousand Special Drawing Rights (SDR 133,100.000)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),dated2024;
- 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 **UGCTHEFS** through the **SECOND PARTY** in writing the reasons for the delay, and if necessary request an extension of the time allowed for implementation. **THIRD PARTY** should not exceed the time period specified in the approved sub-project proposal, unless so authorized in writing by the **FIRST PARTY**, provided, that the **FIRST PARTY** shall do so in accordance with the relevant provisions of the *OM* in respect of duration of sub-projects.

Clause 3 RESPONSIBILITIES OF FIRST PARTY

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

Clause 4 RESPONSIBILITIES OF SECOND PARTY

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

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

Clause 5

RESPONSIBILITIES OF THIRD PARTY

- 5.1** **THIRD PARTY** shall be responsible for the overall timely implementation of the sub-project in accordance with work/activities plan, financing plan, procurement plan, and training plan included in the approved sub-project proposal;
- 5.2** **THIRD PARTY** shall be responsible for submitting to **FIRST PARTY** and copies to **UATFS** the following reports:
- (a) monthly and quarterly financial reports in formats provided by the **UATFS**;
 - (b) six-monthly progress report in a format provided by the **UATFS**;
 - (c) data and information on achievements of the sub-project milestones and performance indicators;
 - (d) a Project Completion Report (hereinafter **PCR**) summarizing all the activities implemented and the results achieved over the entire period of the sub-project (due within two months of the completion of all activities specified in the sub-project proposal);

- 5.3 **THIRD PARTY** shall be held accountable for any non-compliance with the operational procedure laid down in the *OM* of **ATF**, and misuse, transfer and/or misappropriation of **ATF** funds received from the **FIRST PARTY**, and mis-procurement with **ATF** grants as well as for inefficiency that may cause delay in implementation and non-attainment of crucial milestones and performance indicators mentioned in the sub-project proposal.

Clause 6 PROCUREMENT

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

Clause 7 FINANCE

A. Sub-Project Cost and Financing

- 7.1 The estimated total cost, including applicable taxes as per expenditure nature, of the sub-project is BDT, as approved by the **UGC BATE**;
- 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

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.

specify by notice to **THIRD PARTY**. Further release of funds shall be made only after and to the extent that **FIRST PARTY** have been satisfied that all such amounts remaining in the **ATF** sub-project **OA** maintained by **THIRD PARTY** will be utilized in making payments for eligible expenditures;

- 7.11** (a) If **FIRST PARTY** has the evidence at any time that any amount out of **ATF** sub-project operating account maintained by **THIRD PARTY**:
- (i) was made for an expenditure or in an amount not eligible pursuant to section 13 of the ***ATF Operations Manual*** or
 - (ii) was not justified by the financial rules and regulations of the **GoB/IDA**,
- (b) **SECOND PARTY** shall, promptly upon notice from **FIRST PARTY**:
- (i) provide such additional evidence as **FIRST PARTY** may request; or
 - (ii) If **FIRST PARTY** shall so request, refund to **FIRST PARTY** an amount equal to the amount of such payment or the portion thereof not eligible or justified. Unless **FIRST PARTY** decides otherwise, no further release of fund by **FIRST PARTY** into the operating account maintained by **THIRD PARTY** shall be made until **SECOND PARTY** has made such deposit or refund, as the case may be.
- (c) If **FIRST PARTY** has evidence at any time that any amount outstanding in the **ATF** sub-project operating account maintained by **THIRD PARTY** will not be required to cover further payments for eligible expenditures, or/and amount deposited in the operating account maintained by the **THIRD PARTY** shall remain unutilized or/and unspent, then the **THIRD PARTY** shall promptly upon notice from **FIRST PARTY**, refund such outstanding or/and unspent amount to **FIRST PARTY**;
- (d) Refunds to **FIRST PARTY** made pursuant to Clauses 7.11 (a) and (b) shall be credited to the Designated Account maintained by **FIRST PARTY** for the implementation of **ATF** sub-projects.

Clause 8

SUB-PROJECT ASSETS AND SERVICES

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

- 8.5. The **SECOND PARTY** may assign to the **THIRD PARTY** the responsibility of maintaining the scientific instruments procured under the sub-project. The **THIRD PARTY** may be allowed to earn revenues by providing analytical services with the help of the instruments. Such revenues must be spent in accordance with appropriate rules adopted by the university.

Clause 9

PENALTIES

- 9.1 In cases where disbursed ATF grants, or goods procured under the ATF grants for a sub-project are misappropriated by the **SECOND PARTY** and **THIRD PARTY** and/or if the **SECOND PARTY** and **THIRD PARTY** transfer amounts deposited in the ATF operating account maintained by them to a separate bank account, and/or withdraw fund from the ATF operating account and spend such fund for purposes not included in ATF sub-project proposal, then the **SECOND PARTY** and **THIRD PARTY** shall refund the entire such withdrawn/transferred fund to the designated account maintained by the **FIRST PARTY** without fail;
- 9.2 If the **SECOND PARTY** and **THIRD PARTY** do not comply with the provision mentioned above, then the **FIRST PARTY** shall take recourse to recover the misappropriated and/or transferred ATF fund, among others, by deducting such equivalent amount from any other fund earmarked for the **SECOND PARTY** and **THIRD PARTY** that is held by the **FIRST PARTY**.

Clause 10

SUSPENSION AND TERMINATION

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

Clause 11

SETTLEMENT OF DISPUTES

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

Clause 12

OTHERS

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

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

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

Name, signature and seal of the [FIRST PARTY]

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

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

Witnesses

1. _____

2. _____

3. _____

4. _____

Approved Sub-project Proposal

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

ATFOM Annex 5

HIGHER EDUCATION ACCELERATION AND TRANSFORMATION PROJECT

FINANCIAL MANAGEMENT GUIDELINES AND FORMATS FOR ATF SUB-PROJECTS

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Cash Book

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

LEDGER

Item of Expenditure:

Economic Code:

Approved budget as per **SPP**

Amount received

Tk.

Tk.

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

Petty Cash Book

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

Cheque Book Register

Account No. -----

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

Income Tax Register

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

VAT Register

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

Receipt of Fund and Payment of Eligible Expenditure

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

Supplier’s Register

Name of Supplier:

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

Fixed Asset Register

Description of Assets:

Group:

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

Payroll Register

Name:

Date of Joining:

Designation

Pay-scale

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

Consultant's Remuneration Register

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

RECONCILIATION CERTIFICATE

BANK HOLDINGS

As on

CASH AT BANK:

Balance as per Bank Statement:

As on

Account no.	Amount Tk.
.....

.....

Less: Cheque issued but not yet debited by bank:

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

Add: cheque deposited but not yet credited by bank:

Date	Voucher no.	Cheque no.	Amount Tk.

ACTUAL BANK BALANCE:	
----------------------	--

.....

As on

BALANCE AS PER CASH / BANK BOOK:

As on

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

Less: debited entry to be posted next month

Sonali Bank not credited

-

Add: credit entry to be posted next month

-

ACTUAL BANK BALANCE:	
----------------------	--

.....

As on

-------	--	--	--	--

Accounts and Finance Officer

Sub-project Manager

UNIVERSITY ATF SECRETARIAT (UATFS)

Consolidated Financial Statement

Name of Institution _____

For the Quarter:

(in Lakh Taka)

Particulars		Current Quarter			Year to Date			Cumulative to Date			Approved Budget of the Sub-project
		IDA	Others	TOTAL	IDA	Others	TOTAL	IDA	Others	TOTAL	
1		2	3	4	5	6	7	8	9	10	11
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 (IUFRR)

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: South-Asian Harmonious area for Research and Education										
Component-2: Transforming Higher education in Bangladesh										
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 BDT

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		
IUF Rs			
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 Agreement³ 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

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).

financed, in whole or in part, by the Bank. These Guidelines cover fraud and corruption in the direct diversion of 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

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.

collusive practice; and/or threatening, harassing or intimidating any party to prevent it from disclosing its knowledge of matters relevant to the investigation or from pursuing the investigation, or (ii) acts intended to materially impede the exercise of the Bank's contractual rights of audit or access to information.¹³

1. The above practices, as so defined, are sometimes referred to collectively in these Guidelines as "fraud and corruption".

Borrower Actions to Prevent and Combat Fraud and 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:

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.

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

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.

- (b) if the Bank determines that any such recipient of Loan proceeds is also a potential provider of goods, works or services, declare it ineligible under paragraph 1.8 (d) of the Procurement Guidelines or paragraph 1.11 (e) of the Consultant Guidelines (as appropriate); and
- (c) declare a firm, consultant or individual ineligible under paragraph 11 (a) above if such firm, consultant or individual has been declared ineligible under paragraph 1.14 of the Procurement Guidelines or under paragraph 1.22 of the Consultant Guidelines.

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
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

N° of Internal Staff*	N° of Students (if any)	N° of Consultants***	Full Time (how many out of total staff)	Part time (how many out of total staff)	N° of Provisional Staff**
Name of Internal Staff	Designation (In the Entity)	Hiring Date (In the sub-project)	Type of Contract (Lump sum=1; Daily Basis= 2; Monthly=3; Others)	Duration (Months)	Expected Total Cost (Lakh Taka)

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

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

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

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

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

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

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

--

06. Update on Milestone status

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

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

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

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

Note: Copy 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. Comments

10.

11.

12. Declaration

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

Signature:

Name of Sub Project Manager:

Name of the Sub-Project:

Name of Entity/University.....

Date:

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

Half-Yearly Status Report Format for UATFS

Name of University:-----

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

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

Signature of Head UATFS

Date

Seal

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

SUB-PROJECT COMPLETION REPORT FORMAT

SPP No:

A. SUB-PROJECT DESCRIPTION:

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

04. Objectives of the Sub-Project:

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				Disbursed fund	Actual Expenditure & Physical Progress			
	Total	ATF		Physical %		Total	ATF		Physical %
Year (Qtrly)	2	3	4	5	6	7	8	9	10
1									
Y-1, Q-1									
Y-1, Q-2									
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			
	Supplies & Services			
	Travel Expenses			
	Website development & maintenance			
	Publication on Research Findings			

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

Economic Code	Items of Expenditure/Activities	Budget Allocation (as per the original SPP)	Actual Expenditure	Reasons for deviation (±)
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	

	Particulars of Item	Remarks
	the sub-project	
4	Challenges in the sustainability of facilities and equipment created by the sub-project	
5	Innovative technologies created under the project and potentiality of technology transfer and patenting	
6	Possibility of further development and application of research outputs to practical use and/or commercialization	
7	Further collaboration with other universities and industries and government entities (please specify the areas of possible collaboration)	
8	Potential future impact on Socio-Economic activity and poverty reduction in Bangladesh	
9	Impact on management and governance of the entity	
10	Impact on quality assurance	
11	Impact on environment (soil, air, water, biodiversity, etc)	
12	Other noteworthy impact on the entity (department, university)	

2. Problems encountered during Implementation

	Items	Remarks(Please use separate rows for each problem)
1	Sub-project Management (Financial management, Procurement execution)	
2	Project Director/ATF unit/Procurement unit HEATPIU	
3	Environmental Hazards	
	Support from University/Department Authority	
5	Consultancy	
6	Contractor	
7	Manpower for SPMT	
8	Law & Order, Political Interference	
9	Tender Process (e.g. tender box snatching)	
9	Natural Calamity (e.g. flood, cyclone, fire, earthquake)	
10	Project Financing, Allocation and Release	

11	Design Formulation and Approval	
12	Project Fund Disbursement	
13	Mission of the development partners.	
14	Time & Cost Over-run	
15	Project Supervision/Inspection	
16	Delay in Decision-making	
17	Transport	
18	Training	
19	Approval Procedure	
20	Others	

3. Recommendations of the SPM/ISM:

Date:

Signature and seal of the SPM/ISM

4. Remarks/Comments of Head of Entity

Date:

Signature and Seal of Head of Entity

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

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

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

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

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; Under any circumstances the total financial incentives for sub-project management team shall not exceed Taka. 2.5 million (Taka 3.0 million for joint sub-projects between entities and between universities) or 10% of the total project cost, whichever is lower.
Associate Sub-project Managers (ASPMs)	Two months' basic salary* per year	
Member of the Sub-Project Management Team (SPMT)	One month's basic salary* per year	

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