Implementation Procedure

Higher Education Research Endowment Fund



Higher Education Department
Government of Khyber Pakhtunkhwa

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Background:

The Khyber Pakhtunkhwa Higher Education Research Endowment Fund has been approved at a cost of Rs. 500 million under the amended Khyber Pakhtunkhwa Higher Education Research Endowment Fund Act 2011.

The Board in its 3rd meeting held on 09.12.2016 decided to utilize the accrued profit through provisional implementation procedure to be drafted by the committee notified for the purpose. The committee in its meeting held on 28.03.2017 under the chair of Additional Secretary, HED authorized a subcommittee chaired by Dr. Fazlur Rehman, and membered by Dr. Afzal Khan, Mr. Abid Sohail and DPD, PMU to finalize implementation procedure, advertisement, proforma for submission of research proposals, proformas for scrutiny, monitoring & evaluation, technical evaluation and other associated requirements.

The subcommittee recommends the following draft implementation procedure for smooth implementation of the program.

Definitions:

In these procedures unless there is anything repugnant in the subject or context:-

a) **"Act"** means Khyber Pakhtunkhwa Higher Education Research Endowment Fund (Amended) Act, 2004;
b) **"Board"** means the Board of the Fund constituted under Section 6 of the Act;
c) **"Chairman"** means Chairman of the Board;
d) **"Fund"** means the endowment fund established under section 3;
e) **"Member"** means a person appointed by the Government as a Member of the Board under the Act;
f) **"Government"** means the Government of the Khyber Pakhtunkhwa;
g) **"Province"** means the Province of the Khyber Pakhtunkhwa;
h) **"Proposal"** means any research proposal submitted in prescribed manner for the purpose of receiving grant under the Act;
i) **"Grant"** means grant sanctioned to a research or any other project approved for funding in prescribed manner;
j) **"Grantee"** means any university, organization or association of persons or an individual who receives grant from the Fund.
k) "**Principal Investigator**" means the Principal Investigator who submits a research proposal in the prescribed manner for the purpose of receiving grant under the Act.
l) **"CO-PI"** means the Investigator who assist the Principal Investigator in preparation of research proposal, conducting research, preparation of progress reports etc.

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1. **Purpose of the fund.**

The Khyber Pakhtunkhwa Higher Education Research Endowment Fund Act, 2004, provides for utilization of the fund under sub section-1 to 4 of section 4 for which the Board has already approved amendments. Therefore, the profit from the fund may be utilized as per provision of section 4(1) which states that "The amount credited into fund shall be utilized for financing research in the natural and social sciences in all the public sector universities" and Section 4(4) which states that "Research grant shall also be made to deserving scholars and scientist from the private sector and retired/experienced government servants having a science & technology and development economics backgrounds.

2. **Priority areas and apportionment of the accrued profit.**

The sub committee recommends that initially the profit may be utilized in areas that focus on the natural resources of the province, local industry, import export potential and its contribution to the economy. The committee therefore recommends the following broad categories with special focus to the above mentioned areas.

S.No.	Category	Apportionment
1	Engineering/Applied Sciences/Physical Sciences	60%
2	Medical/Biological Sciences	30%
3	Social Sciences/Management/I.T/ Humanities	10%

General Guidelines: Preference will be given to

a) Short termed projects of 1 year duration
b) Research projects with cost up to 2.5 million, in exceptional cases the amount can be reviewed by the competent authority.
c) Research based on indigenously developed technologies
d) Research which could be utilized for import substitutions.
e) Research with the potential of commercialization after completion
f) Components including salaries or machinery/equipment will be discouraged.

3. **Advertisement and applications.**

Advertisement (Annex-I) for submission of research proposal shall be published annually in the leading national dailies on the prescribed application form (Annex-II) available on the website of the department. The applications received within due date shall be preliminary scrutinized by a scrutiny committee. Scrutinized application forms shall be placed for technical review by the Technical Review Committee that will shortlist feasible and viable proposals for a presentation before the committee.

Successful applications recommended by the technical committee along with observations/comments on the financial component shall be placed before the Board for approval. Disbursement to the approved proposals will be made in two installments directly to the institutions for payment to the PI/Co-PI.

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The PI shall submit six monthly progress reports to the department. The Monitoring and Evaluation committee will monitor the activities as per the timeline and phasing recommended by the Technical Committee.

Credentials of the Principal Investigator (PI) and Co-PI.

The PI and Co-PI shall meet the following eligibility criteria:

a) Atleast the PI or Co-PI shall be a regular employee/faculty member of a public sector university or a research institute with sufficient research background.
b) PI and Co-PI shall not be below the rank of lecturer, research officer, junior scientist or BPS-17 in case of retired government servants with sufficient research background.
c) Both the PI and Co-PI shall have a PhD or equivalent degree.
d) The PI and Co-PI shall have domicile of Khyber Pakhtunkhwa or working in Khyber Pakhtunkhwa based university/research institute or carry out the intended research in Khyber Pakhtunkhwa in collaboration with a public sector university/research institution located in Khyber Pakhtunkhwa.

4. Composition and function of the Scrutiny Committee.

Composition:

1. PD, PMU	Chairman
2. Director, S&T or his representative	Member

Functions:

a) To scrutinize the research proposals/projects in light of priority areas.
b) Categorization of the application forms according to the categories mentioned at serial No. 2.
c) Preliminary shortlisting of the complete applications.
d) To recommend applications complete in all respect to the technical committee along with incomplete applications for further actions.

5. Composition and function of the Technical Committee:

Composition:

1. Additional Secretary, HED	Chairman
2. Director, S&T or his representative	Member
3. PD, PMU	Member
4. Rep of Higher Education Department	Member
5. Two subject related experts for each discipline (nominated by the Chair)	Members

Functions:

a) Technical evaluation of research proposals/projects and its viability;

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b) Review annual progress of the project and furnish recommendations for further support to the project or otherwise;
c) Review changes proposed by the Principal Investigator in light of justifications submitted;
d) Conduct technical (scientific) audit at the end of each research project.
e) Furnish guidelines for finance committee regarding various inputs (equipments, salaries, TA/DA) mentioned in the project proposal.

Note:

a) The committee shall use the technical review proforma (Annex-III) and dully assign marks against each indicator provided in the proforma.
b) The list of technical experts used by Directorate of S&T shall be used for the time being. HED shall prepare its own list of technical experts for the purpose in future.
c) The committee shall invite the shortlisted proposal for a presentation before the committee.

6. Composition and function of the Finance Committee:

Composition:

1.	Additional Secretary, HED	Chairman
2.	Rep of Higher Education Department	Member
3.	Director, S&T or his representative	Member
4.	Rep of Finance Department	Member
5.	PD, PMU	Member
6.	Rep of Planning & Development Department	Member
7.	Three members nominated by the Chair	Members

ToRs:

a) Review and examine financial implications of the projects received from technical committee and recommend feasible and viable projects to the Board for approval.
b) Prepare and review annual budget for the Fund, annual statement of accounts and expenditure;
c) Conduct financial audit at the end of each research project.
d) Recommend honoraria for PI/CoPI.

7. Composition and function of the Monitoring & Evaluation Committee

Composition:

1.	Additional secretary, HED	Chairman
2.	Rep of Higher Education Department	Member
3.	Rep of Finance Department	Member
4.	Director, S&T or his representative	Member
5.	PD, PMU	Member
6.	Rep of Planning & Development Department	Member
7.	Two Subject related experts nominated by the Chair preferably the same involved in technical evaluation.	Member

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ToRs:

a) Review six monthly progress reports of all projects submitted by PI.
b) Submit recommendations to the Board/Finance Committee regarding the achievements/progress of the project.
c) Recommend to Finance Committee continuation of the ongoing projects to the next year based on solid justification.
d) Develop proforma for Monitoring & Evaluation of the project;
e) Develop monitoring indicators;
f) Submit report to the relevant committee(s) and Board.

8. Administrative Cost:

a) The administrative cost regarding expenditure on advertisement, TA/DA, honoraria/remuneration, POL, stationary etc shall be worked out by the Finance Committee and paid from the profit proceeds of the fund.
b) The technical experts of all the committees shall be paid at the rate of actual TA/DA permissible to the government servants as per TA Rules or they may be paid at a flat rate of Rs. 5000/- per activity.

9. Powers and Duties of the Board:-

The Board shall:-

a) Manage and control the fund;
b) Review and approve investment plans recommended by the relevant committee(s) for the Fund;
c) Constitute committees required to fulfill purpose of the Act;
d) Review and approve the annual statement of accounts, budget estimates, bank reports, receipts and expenditure out of the Fund;
e) Delegate any of its powers to its Chairman or any other member;
f) Determine, review and approve priority areas for funding under the Act;
g) Approve panels of technical experts for different committees;
h) Approve criteria as set by the technical committee for the execution of such programs, interventions and development schemes as may be necessary to carry out objectives of the Fund;
i) Review/approve and decide about the recommendations of technical committee/Finance Committee regarding proposals submitted for funding or already funded projects and honoraria to the PI or CoPI.
j) Approve receipt of funds through investments, donations, bequests, gifts, grants and contributions from industries, philanthropists, donors, trusts, or other volunteer organizations.

10. Responsibilities of Secretary to the Board: -

The Additional Secretary, Higher Education Department shall act as Secretary to the Board and shall have the responsibilities to:-

a) Act in accordance with the Act and rules made there under;
b) Ensure transparency, effectiveness and efficiency in internal process and procedures;

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c) Ensure transparency in financial matters and efficient human resource management;
d) Keep informed the Board/Government of all major activities, issues, progress and achievements;
e) Request for audit by the office of Auditor General of Pakistan and effectively follow up the audit recommendations including internal audit;
f) Prepare agenda for the Board meetings and submit for the approval of the Chairman;
g) Record minutes of the meetings, maintain record of the proceedings and circulate approved minutes to the members of the Board;
h) Advertise annual/biannual Call for Proposals with timeline, manner of submission, details required etc;
i) Prepare and update list of Technical Experts, submit panel of experts (for scrutiny/ technical committee) to the Board for approval;
j) Submit the proposals so received to the scrutiny committee and dispatch scrutinized proposals to the technical committee for review;
k) Receive comments of the technical committee, submit these to the Finance Committee and subsequent placement of the report before the Board for approval;
l) Process the release of the approved grants and operational expenses;
m) Ensure Monitoring & Evaluation (M&E) of the ongoing research projects through M&E committee and submit six monthly progress to the Board for review;
n) Prepare and submit to Finance Committee, the annual statement of accounts, budget estimates, bank reports, receipts and expenditure out of the Fund;
o) Submit the findings and recommendations of the relevant committee(s) to the Board for review.

11. Meetings of the Board:-

a) The office of the Additional Secretary, Higher Education Department will be the secretariat of the Board;
b) The Secretary to the Board with the approval of the Chairman shall summon the meetings of the Board;
c) The Board shall meet on quarterly basis or at an early date on such a place as the Chairman may determine;
d) The Chairman of the Board shall preside over meetings of the Board. In his absence, Minister for Science & Technology and Information Technology or any other member nominated by the Chairman shall chair the meeting;
e) Minutes of the meeting shall be recorded by Secretary to the Board and circulated after the approval of the Chairman;
f) The minutes shall be submitted in the next meeting of the Board for confirmation;

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g) The quorum of the meeting shall be one half. The Chairman shall have a casting vote in case there is tie among the members;

h) All orders shall be passed in writings. Where a verbal order is given, it shall be reduced to writing at the earliest opportunity by the officer receiving it;

i) All actions taken shall be expressed to be taken by the Board;

j) All agreements/MoUs shall be made and executed on behalf of the Board.

12. Mode of payment:

a) The funds approved for projects shall be disbursed to the university/institutions in two (02) installments per year for payment to PI/Co-PI. The first installment will be released to the institutions on the acceptance of project, thereafter a progress report shall be submitted to the monitoring and evaluation committee and the second installment will be released after satisfactory progress review of the committee.

b) Disbursement of remuneration to the technical experts of all the committees after each activity shall be made through cross cheques.

13. Disposal of Deliverables:

a) Machinery and equipments purchased for the projects shall be disposed of by the Higher Education Department upon successful completion of the project.

b) The research output shall be a joint property of the PI/Co-PI and the university/ institution as per intellectual Property Rights (IPR) rules.

c) The PI/Co-PI in collaboration with the university/ institutions shall take steps for the implementation of the research output.

14. Agreement/Undertaking:

a) After the Research Grant is approved for funding, a written agreement shall be signed between the KPHED, the grantee (PI) and his/her institute (and collaborating partner if any). The agreement shall include following salient features subject to any amendments from KPHED from time to time.

b) The host institute must administer the grant according to the agreement and provide laboratory space, and other facilities necessary for the project.

c) Machinery and equipments purchased for the projects shall be property of the institutions after successful completion of the project.

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d) The Project(s) will be cancelled, if PI is not following the terms & conditions of the execution of the project as recommended by the Technical Review Committee.

e) PI shall be required to submit a short six monthly and annual progress report along with audited funds utilization report of the project within fifteen days of the completion of each period.

f) Progress report should highlight major achievements during the reporting period and completion of targets/goals as envisaged in the Proposal for the subject year.

g) The final report stating the objectives/goals major achievements, commercialization etc with financial statements shall be submitted to HED.

h) Is PI executing any HEC/S&T/SDU project whose completion is delayed by three (03) years?

i) Is PI currently executing or has submitted two or more projects simultaneously under HEREF?

j) Has PI been black listed by any funding agency?

k) Report generated by Turnitin is attached.

l) Clearance certificate from Institutional Bioethics Committee (IBC) of the university/Institute concerned (if required).

15. Audit and Accounts of the Fund:

a) The Bank shall submit monthly statement of receipt and payments to the Additional Secretary, Higher Education Department who will maintain the Accounts of the Fund;

b) No amount from the Fund shall be withdrawn unless it is approved by the Board. Withdrawal of amount shall be permissible only under the joint signatures of Additional Secretary and Secretary Higher Education Department, in their capacity as Secretary and member of the Board respectively;

c) Accounts of the Fund shall be audited by the Auditor General of Pakistan.

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