University of Management and Technology

UMT External Grant Facilitation and Management Framework

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Table of Contents

1 **Objective** 3

2 **Scope** 3

3 **Policy Pillars (Support Mechanisms)** 3

4 **Governance Structure** 4

5 **Policy Process: Lifecycle of a Grant** 4

6 **Roles and Responsibilities** 5

7 **Project Closure** 5

8 **Associated Forms and Documents** 5

9 **Review and Monitoring** 6

10 **Pre Project Management Workflow** 6

11 **Post Project Award Management Workflow** 7

12 **Project Financial Management Workflow** 7

13 **Grant Routing & Management Procedure** 7

1 Objective

The primary objective of this policy is to establish a structured and dedicated grant facilitation mechanism. It aims to:

a. Strengthen UMT's external grant acquisition and management system.

b. Reduce delays in grant submission and execution through specialized support systems.

c. Improve coordination across administrative units, including the ORIC, OTR and Procurement.

d. Provide a comprehensive framework for both pre-award and post-award project phases.

e. Align grant-seeking activities with UMT's Applied Research Program (ARP) and intellectual property objectives.

f. Support faculty engagement with national and international funding agencies identified by ORIC.

g. Ensure compliance with HEC guidelines, UMT's Research Ethics Policy, and relevant funding agency requirements.

2 Scope

a. This policy applies to all faculty members, researchers, and administrative staff involved in the conceptualization, submission, and management of externally funded research projects at UMT.

b. This framework covers all externally funded grants sourced from national agencies (e.g. HEC, PHEC, PMRC, PARC, PCST) and international agencies (e.g. USAID, World Bank, British Council, European Commission, Islamic Development Bank Group, UNDP, UNICEF etc).

3 Policy Pillars (Support Mechanisms)

The framework is built upon four critical support pillars:

3.1 Pre-Award Grant Development Unit

a. **Focus**: Active facilitation of funding opportunity matching, collaboration development, and proposal conceptualization.

b. **Services**: Provision of dedicated budget support, proposal editing assistance, and institutionalization of an internal peer review system.

c. **Grant Alerts**: ORIC shall disseminate funding opportunity alerts to faculty and researchers on a regular basis, drawing from its comprehensive national and international funding agency database.

d. **ORIC Internal Funding Form**: Faculty may also apply for ORIC's internal seed funding using the ORIC Internal Funding Form available on the ORIC downloads page.

3.2 Post-Award Management and Support Unit

a. **Focus**: Efficient financial and administrative coordination for funded projects.

b. **Mechanism**: Proposal of a fast-track Procurement Facilitation Mechanism.

c. **Funded Research Award**: Upon successful award, the PI shall submit a Funded Research Award Claim Form to ORIC for institutional recognition and incentive processing.

3.3 Policy and Incentive Framework

a. **Focus**: Addressing time and workload constraints for active researchers.

b. **Incentives**: Introduction of teaching load reductions, seed funding for pilot research, and grant-linked career recognition in annual performance evaluations.

c. **IP and Commercialization**: Research outputs generating intellectual property shall be processed in accordance with UMT's Policy for Applied Research and Intellectual Property Rights (IP Policy). Faculty are encouraged to file invention disclosures using the Invention Disclosure Form available on the ORIC website.

3.4 Capacity Building and Training

a. **Focus**: Developing global competitiveness and industry-relevant research capabilities.

b. **Mechanism**: Implementation of mentorship-based learning and specialized training modules for grant writing and industry-linked research.

c. **Ethics Training**: All researchers involved in externally funded projects shall familiarize themselves with UMT's Research Ethics Policy and, where applicable, obtain approval from the Research Ethics and Support Committee (RESC) prior to project commencement.

d. **TISC Network**: ORIC's Technology and Innovation Support Centre (TISC) Network provides additional capacity building support related to intellectual property, patent filing, and technology transfer for researchers engaged in applied and industry-linked research.

4 Governance Structure

4.1 ORIC Steering Committee

a. ORIC Steering Committee is responsible for strategic planning, setting and monitoring of research standards, mobilizing resources, publicizing research achievements, identifying synergies, and developing relationships with key external partners.

b. The Committee provides dedicated advice to the Rector on matters within the scope of ORIC.

4.2 Research Ethics and Support Committee (RESC)

a. The Research Ethics and Support Committee (RESC) oversees ethical compliance for all research projects at UMT. Where a funding agency requires ethical approval prior to proposal submission, the PI must submit the proposal along with the Research Ethics Approval Form to RESC for review and approval before external submission.

4.3 Dean ORIC

b. The Dean ORIC provides academic leadership and oversight for all grant facilitation activities and represents ORIC at the highest decision-making level within the university's research governance structure.

5 Policy Process: Lifecycle of a Grant

5.1 Proposal Development and Internal Approval

a. **Preparation**: Faculty develops the research proposal with support from the Pre-Award Unit.

b. **Internal Submission**: The proposal is submitted to ORIC for initial compliance screening.

c. **Peer Review: Where required, an internal Review Committee evaluates the proposal for scientific quality and provides feedback. The PI incorporates the required revisions before final institutional approval.**

d. **Final Authorization: ORIC verifies the revised proposal for sponsor and UMT compliance and coordinates institutional authorization, including approval from the Rector where required.**

e. **Agency Submission: The PI submits the institutionally authorized proposal through the sponsor portal or other prescribed channel, with ORIC support and recordkeeping.**

f. **Ethics Review: Where prior ethical approval is required, the PI submits a complete application to the Research Ethics and Support Committee (RESC). The normal review target is 10 working days; however, the timeline may follow the committee meeting schedule and excludes time taken by the PI to address observations.**

5.2 Project Execution and Financial Management

a. **Account Opening: Upon receipt of the award documents, approved budget and other complete requirements, the Office of Treasurer (OTR) opens a project-specific account/project code within 4 weeks.**

b. **Procurement: Upon receipt of a complete and approved requisition, the Procurement Office completes the applicable procurement process and issues the Purchase Order (PO) within up to 4 weeks. Delivery follows the vendor's confirmed lead time and may vary for imported, customized or specialized items.**

c. **Financial Validation: OTR and the Internal Audit Office validate complete expenditure records, confirm budget alignment, and process the final financial report within 5 working days, subject to resolution of any observations.**

d. **Vendor Payments: Complete and duly approved vendor-payment requests shall be processed by OTR within 2-3 weeks, subject to applicable financial controls and resolution of any observations.**

6 Roles and Responsibilities

a. **ORIC**: Responsible for the overall facilitation framework, including funding alerts, internal reviews, and centralized grant monitoring.

b. **Dean ORIC**: Provides academic and institutional leadership for all ORIC operations. Signs off on final proposals before Rector review where required.

c. **Principal Investigator (PI)**: Responsible for project execution, compliance with agency guidelines, and timely submission of reports.

d. **Office of Treasurer (OTR)**: Responsible for financial management, disbursement of funds, and audit compliance.

e. **Procurement Office**: Responsible for the timely acquisition of resources required for the project.

7 Project Closure

a. **Final Reporting: The PI submits the final technical and financial reporting package, endorsed by the relevant Chair and Dean, to ORIC. ORIC coordinates validation and signatures from OTR, Internal Audit, Dean ORIC and the Rector, where applicable.**

b. **Closure and Handover: Within 7–10 working days of receiving the sponsor's completion certificate and all required closure documents, ORIC completes institutional closure and coordinates the formal handover of project assets to the relevant school.**

c. IP Disclosure: Any intellectual property generated during the project shall be disclosed to ORIC using the Invention Disclosure Form prior to project closure, in compliance with UMT's IP Policy.

8 Associated Forms and Documents

The following forms and documents, available for download on the ORIC website (www.umt.edu.pk/oric/Downloads.aspx):

a. Funded Research Award Claim Form

b. Research Ethics Approval Form

c. ORIC Internal Funding Form

d. Invention Disclosure Form

e. Description Document for Filing Patent Application

f. Policy for Applied Research and Intellectual Property Rights (IP Policy)

g. Research Ethics Policy

h. Applied Research Program (ARP)

i. HEC Anti Plagiarism Policy

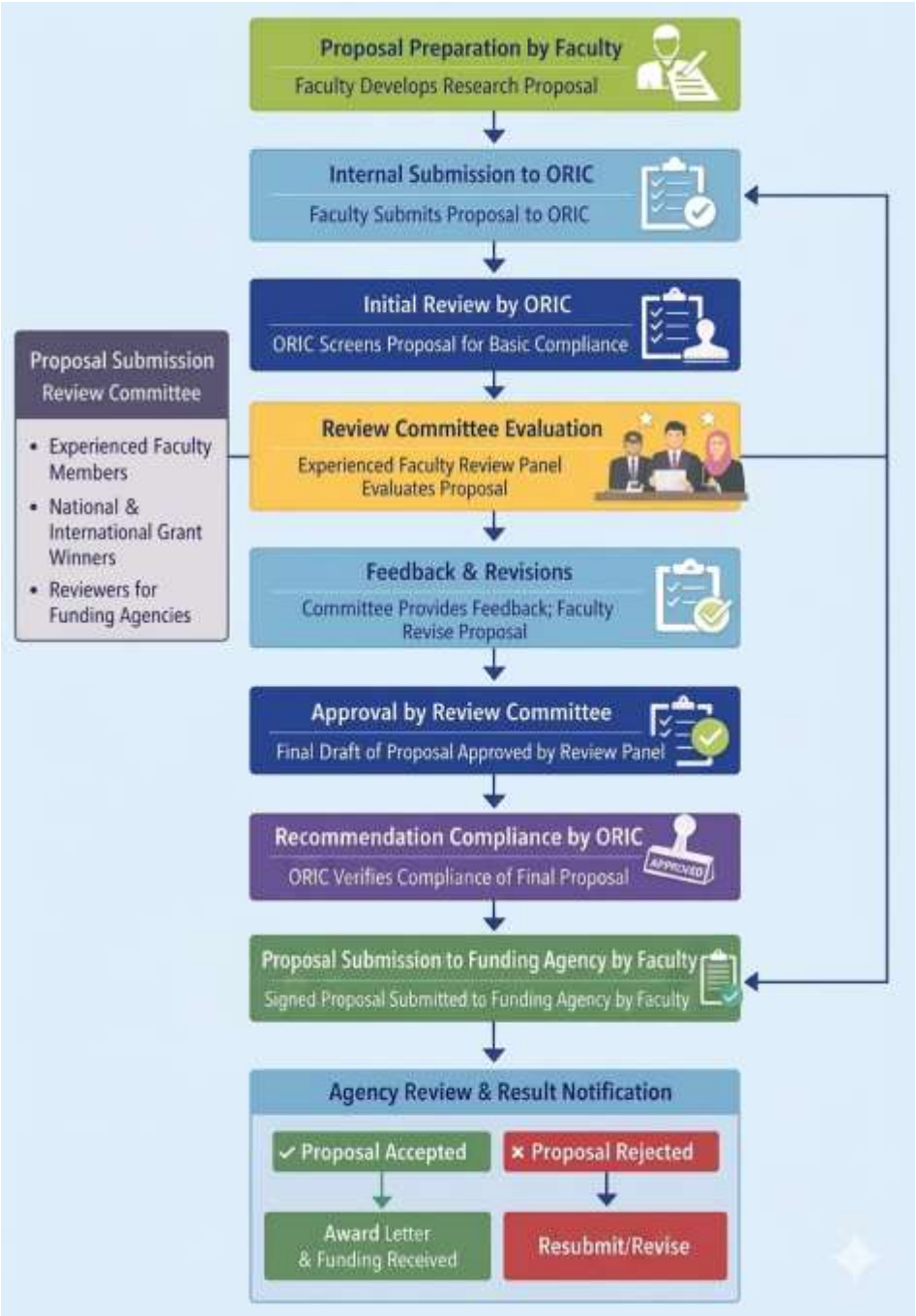
9 Review and Monitoring

a. The ORIC Steering Committee shall conduct an annual review of grant facilitation performance, tracking metrics including the number of proposals submitted, success rates, funds mobilized, and compliance with timelines specified in this framework.

b. Results shall be reported to the Rector and published in ORIC's annual research performance report.

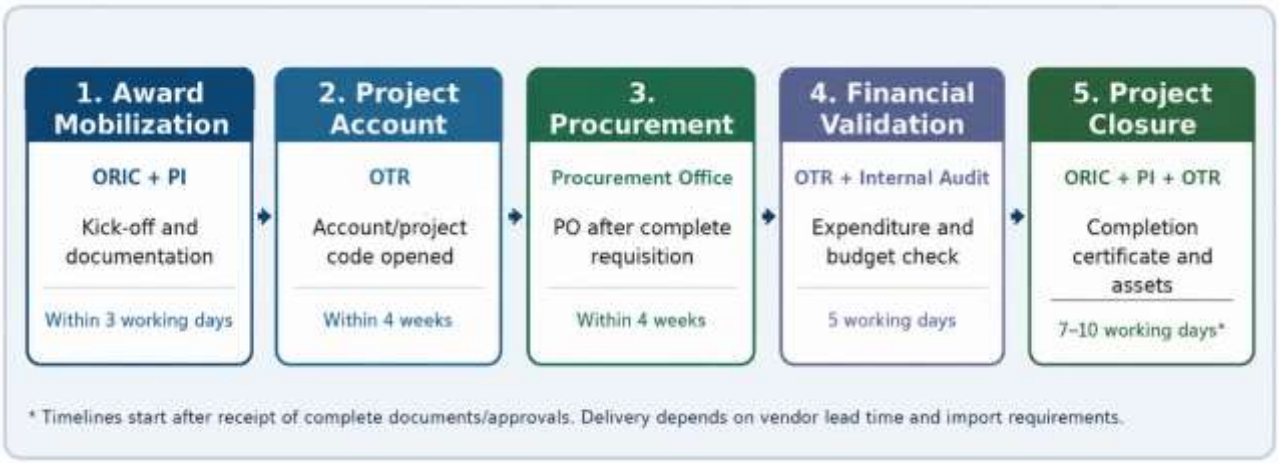
c. This policy shall be reviewed every three years to ensure it remains responsive to faculty needs and aligned with national and international funding trends.

10 Pre Project Management Workflow

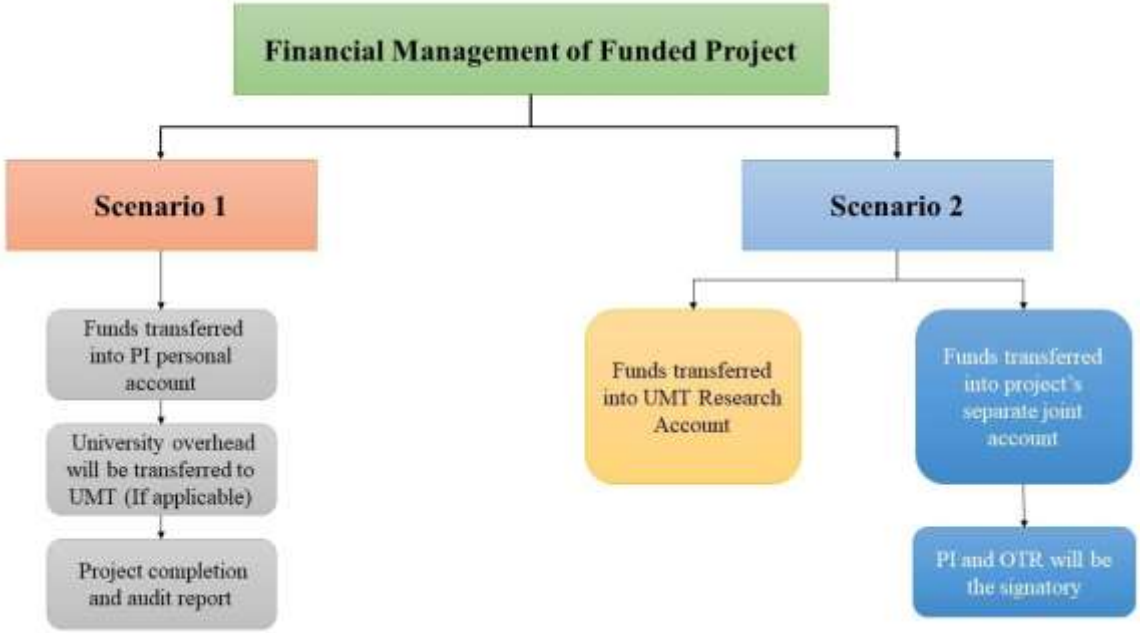


Proposal Review and Submission Workflow

11 Post Project Award Management Workflow



12 Project Financial Management Workflow



Project Financial Management Workflow

13 Grant Routing & Management Procedure

Timeline convention: All internal timelines are stated in working days and begin only after receipt of complete and correctly approved documents. Time spent by the PI in revision, by committees between scheduled meetings, or in resolving observations is excluded. Sponsor deadlines always take precedence.

Sr. No.	Responsibility	Procedure / Activity	Output	Timeline
1	ORIC/ PI	ORIC/ Faculty member may identify funding opportunity. ORIC disseminates funding alerts to faculty regularly via email and the ORIC website.	Call for Proposal Communication	-

Sr. No.	Responsibility	Procedure / Activity	Output	Timeline
2	PI	PI prepares the proposal and budget as per the guidelines shared by the Funding Agency.	Proposal draft/budget	-
3	Department Chair (Relevant Department)	The Department Chair reviews and endorses the proposal and budget, and forwards them to the Dean.	Proposal and budget endorsed by Department Chair	2 working days
4	Dean (Relevant School)	The Dean reviews and endorses the proposal and budget, and forwards them to ORIC.	Proposal and budget endorsed by Dean	2 working days
5	ORIC / Relevant Review Committee	ORIC screens the proposal for compliance with sponsor guidelines and UMT policies. Where required, ORIC arranges internal peer review. If prior ethics approval is required, ORIC routes the complete application to the relevant committee. The PI addresses review observations before final approval.	Compliance review, peer-review feedback and/or ethics decision	ORIC screening: 3 working days Peer review: 5 working days Ethics: normally 10 working days or as per committee schedule PI revision: 3–5 working days
6	ORIC	After receiving the final proposal endorsed by the PI, relevant Chair, Dean and Dean ORIC, ORIC coordinates Rector approval where required and confirms institutional authorization.	Proposal approved by relevant authorities	3 working days
7	PI / ORIC	The PI submits the institutionally authorized proposal to the Funding Agency through the prescribed channel. ORIC retains the final submission record.	Submitted proposal and acknowledgement	By sponsor deadline
8	Funding Agency	The Funding Agency reviews and approves or rejects the proposal.	Award/rejection communication	As per sponsor schedule
9	ORIC / PI / OTR	Following award notification, ORIC conducts a project mobilization meeting covering the award conditions, budget, account opening, procurement, staffing, reporting, audit, intellectual property, commercialization and asset ownership requirements.	Award implementation checklist / finalized agreement	Within 3 working days of complete award documents
10	OTR	ORIC submits the complete account-opening request and approved award documents to OTR; OTR opens the project-specific account/project code.	Project account/code opened	Up to 4 weeks
11	PI	The PI submits complete requisitions for staff appointments, remuneration, vendor payments, equipment, chemicals or other approved project expenditure to ORIC.	Complete requisition package	As required; preferably at least 10 working days before the needed date
12	ORIC	ORIC verifies budget availability, assigns the grant number, endorses the complete requisition and forwards it to OTR, OHCM or the Procurement Office, as applicable.	Endorsed requisition	2 working days

Sr. No.	Responsibility	Procedure / Activity	Output	Timeline
13	Procurement Office	The Procurement Office processes the complete approved requisition under the applicable procurement method, issues the PO and monitors delivery. Delivery timing is based on the vendor's confirmed lead time.	Request for Quotations, Comparative Technical Analysis, PO and delivery of equipment/chemicals	PO: up to 4 weeks Delivery: vendor lead time; normally 2–8 weeks, with longer periods possible for imported/customized items
14	OTR	OTR processes a complete and approved vendor-payment request, subject to financial controls and resolution of observations.	Vendor payment upon delivery, successful installation and satisfactory report from the concern	2-3 weeks
15	PI / Department Chair / Dean	The PI submits the complete project closure package, including technical and financial reports, endorsed by the relevant Chair and Dean, to ORIC.	Endorsed final reporting package	Within 5 working days of project end or sponsor deadline, whichever is earlier
16	ORIC / OTR / Internal Audit	ORIC coordinates validation and signatures from OTR, Internal Audit, Dean ORIC and the Rector, where applicable. The clock pauses while observations are being resolved by the PI.	Institutionally approved final report	5–7 working days after receipt of a complete package
17	PI / ORIC	The PI submits the institutionally approved final report to the Funding Agency, with ORIC retaining the submission record.	Final report and submission acknowledgement	By sponsor deadline
18	PI / ORIC / Relevant School	After receipt of the sponsor's completion certificate, the PI initiates closure. ORIC confirms administrative and financial closure and coordinates formal handover of project assets to the relevant school.	Project closure record and asset handover	7–10 working days after receipt of complete closure documents



