

**Score card for the Development of University Business Linkage Cells at State Universities in Sri Lanka based on the University Grants Commission circular N0. 10/2016 with support from the Government of Sri Lanka-World Bank funded “Accelerating Higher Education Expansion and Development” (AHEAD)Operation**

AHEAD Results Area Three: Promote Research, Development, Innovation and Commercialization

University:

Contact person (Director, UBL Cell):

Contact details(email, phone):

Contact details of the OTS Director (Name, email, phone):

Reporting requirement:

Quarterly and annual reports of the progress of the UBL cells across all phases, as relevant, will be reported to the University and UGC (with a copy to the OMST throughout the life of the AHEAD operation). Confidential technical information should not be included in the scorecards.

Signature of the Vice Chancellor:

**Phase 1**

Action	Multiplication factor	Score <sup>i</sup>	Total score	Target date (month/year)	Achieved date (month/year)	Comments
<b>Phase 1: Establishment of Core UBL Cell (Maximum score = 100)</b>						
Appointment of UBL advisory board	1					
Appointment of the Director, UBL Cell	1					
Appointment of UBL faculty coordinators	1					
Drafting the UBL Cell constitution	1					
Preparation of the action plan for UBL activities at Faculty level	2					
Identification of monitoring and evaluation system for UBL activities	2					
Preparation of UBL Cell benefit sharing plan	2					
Adopting the Intellectual Property policy with suitable changes (Council approval date)	2					IP Policy documents already developed can be adapted to the university.
Finalizing the Invention Disclosure form (IDF)	1					
Finalizing a template for Non Disclosure Agreement (NDA)	1					
Finalizing template for license agreement	1					

Finalizing template for Material Transfer Agreement (MTA)	1					
Identification of a procedure to enable faster and more flexible procurement processes	2					
Identification of a procedure to to enable faster and more flexible financial processes	2					
<b>Total score for Phase 1</b>						

### Application Procedure:

1. Vice chancellor of the university will submit a letter to the Chairman, UGC indicating the intent to start the UBL cell at a particular university along with the Table for Phase 1. A copy of the letter and Table will be sent to the OMST. The column highlighted in grey must be filled and submitted along with the aforementioned letter.
2. UGC will forward the two documents to OMST for filing. A letter of receipt will be send to the Vice Chancellor by OMST.
3. Upon completion of activities in Phase 1, Director UBL Cell will fill the **complete Table for Phase 1** (complete the self evaluation: eg if target date and achieved date is “3 months apart”, score is 4. If the multiplication factor is 1, the total score in column 3 is 4.
4. Maximum score for phase 1 = 100. However only a minimum score of 70 is required to receive funds from AHEAD. This self evaluation table signed by the Vice Chancellor along with all documents related to Phase 1 should be sent to OMST by Director UBL Cell. This should be **accompanied by the Phase 2 score card**, however only the column in grey should be filled. (Copy to Chairman UGC and Director OTS)
5. OMST will send the letter of acceptance and request the Director UBL Cell to prepare a procurement plan for Phase 2. Total allocation for this phase is **Rs. 4 million**. It is advisable to allocate Rs. 55,000 per month for the UBL Cell manager. The EPF and ETF payment should also be made for the manager as per government regulations. The Director UBL Cell can be paid an allowance of Rs. 15,000/= per month.<sup>ii</sup> However these personal payments are not mandatory and the whole allocation for Phase 2 can be used for other activities for the development of the UBL cell.
6. The score card for phase 1, partially completed score card for phase 2 and the proposed procurement plan will be submitted to World Bank by OMST for no objection for the technical contents.
7. An agreement to receive funding will be signed between the OMST and the Vice Chancellor.

## Phase 2

Action	Multiplication factor	Score <sup>1</sup>	Total score	Target date (month/year)	Achieved date (month/year)	Comments
<b>Phase 2: Completion of the infrastructure for the UBL Cell (Maximum Score = 75)</b>						
<i>Connected to AHEAD Intermediate Results Indicator 4: Completion of Phase 2 is considered as UBL offices established</i>						
Develop an overview of what are the R&D and innovation projects at the university which have potential commercialization value. Who are the faculty members and senior students who are involved? Which disciplines are involved? Which are the companies and other sponsors already involved as “clients” in these projects.	2					
Identification of UBL cell physical resources	1					
Preparation of a procurement and expenditure plan (PEP) for purchase of physical resources from AHEAD	1					With advice from OTS
Completion of the procurement	1					By OTS
Establishment of a Technology Innovation Support Centre (TISC)	2					With the technical support from WIPO to the extent possible
Availability of permanent office space for UBL Cell (including TISC)	2					
Availability of furniture for UBL Cell	1					
Availability of office equipment for UBL Cell	2					
Availability of internet and telephone facilities for UBL Cell	1					
Availability of support staff for UBL Cell	2					UBL cell manager must be appointed at this stage. Additional staff if required can be contract staff paid from the earnings of the cell
<b>Total score for Phase 2</b>						

### **Application Procedure continued:**

1. Upon completion of activities in Phase 2, Director UBL Cell will fill the complete Table for Phase 2 (complete the self evaluation: eg if target date and achieved date is “9 months apart” score is 2. If the multiplication factor is 1, the total score in column 3 is 2.
2. Maximum score for phase 2 = 75. However only a minimum score of 50 is required to receive funds from AHEAD. This self evaluation table signed by the Vice Chancellor along with all documents including an overview of the R&D and innovation projects at the university which have potential commercialization value, and **photographs** related to Phase 2 should be sent to OMST by Director UBL Cell. This should be accompanied by the **Phase 3 score card**, however only the column in grey should be filled. (Copy to Chairman UGC and Director OTS)
3. OMST will send the letter of acceptance and request the Director UBL Cell to prepare a procurement plan for Phase 3. Total allocation for this phase is **Rs. 2 million**. Leftover funds from Phase 2 can be carried forward to Phase 3 and Phase 4. It is advisable to allocate Rs. 55,000 per month for the UBL Cell manager. The EPF and ETF payment should also be made for the manager as per government regulations. A payment up to a maximum of Rs. 55,000 plus EPF and ETF can be paid to obtain the services of another manager/accounts officer during this phase. The Director UBL Cell can be paid an allowance of Rs. 15,000/= per month.<sup>ii</sup> However these personal payments are not mandatory and the whole allocation can be used for other activities for the development of the UBL cell. During this phase it is recommended to allocate funds for obtaining patents and to support any commercialization process.
4. It is recommended to have a robust plan to save funds to pay the staff at the UBL Cell upon completion of Phase 3. **AHEAD funds are not expected to be used to pay salaries after Phase 3. The UBL Cell is expected to be self sustained after Phase 3.**
5. The completed score card for phase 2, partially completed score card for phase 3 and the proposed procurement plan will be submitted to World Bank by OMST for no objection for technical contents.
6. An agreement to receive funding will be signed between the OMST and the Vice Chancellor.

### Phase 3

Action	Multiplication factor	Score <sup>1</sup>	Total score	Target date (month/year)	Achieved date (month/year)	Comments
<b>Phase 3: Operationalization of UBL Cells (Maximum Score = 225)</b>						
<i>Connected to AHEAD Intermediate Results Indicator 4: Completion of Phase 3 is considered as UBL offices functioning to specified standards</i>						
Building network of entrepreneurs, investors, small and large businesses (at least 10)	5					Can be national or regional depending on the location of universities and opportunities available
Inviting private sector to participate at the University undergraduate/postgraduate symposia	2					Once to complete Phase 3
Liaising researchers with industry partners	2					At least 3 to complete Phase 3
Supporting RIC (and ICE if relevant) and DOR (if potential is found) grants winners in commercialization endeavors	5					
Supporting other (non-AHEAD) grant winners in commercialization endeavors	4					At least 3 to complete Phase 3
Number of MOUs or Number of collaborative research agreements	6					At least 3 to complete Phase 3
Number of Invention disclosure forms submitted	6					At least 3 to complete Phase 3
Number of assignments completed	5					At least 1 to complete Phase 3
Number of license agreements	5					At least 1 to complete Phase 3
Number of assignments under implementation	5					At least 3 to complete Phase 3
<b>Total score for Phase 3</b>						

#### Application Procedure continued:

1. Upon completion of activities in Phase 3, Director UBL Cell will fill the complete Table for Phase 3 (complete the self evaluation: eg if target date and achieved date is “12 months apart” score is 1. If the multiplication factor is 5, the total score in column 3 is 5).

2. Maximum score for phase 3 = 225. However only a minimum score of 150 is required to receive funds from AHEAD for phase 4.
3. The completed self evaluation for Phase 3 signed by the Vice Chancellor along with all documents/**photographs** related to Phase 3 should be sent to OMST by Director UBL Cell. (Copy to Chairman UGC and Director OTS)
4. This should be accompanied by the **Phase 4 score card**, however only the column in grey should be filled. In Phase 4, depending on the activities conducted in Phase 3, UBL Cell director must identify what activities will be conducted in Phase 4. All items in Phase 4 need not be attempted.
5. OMST will send the letter of acceptance and request the Director UBL Cell to prepare a procurement plan for Phase 4. Total allocation for this phase is **Rs. 4 million**. This money should mainly be used to develop the innovation projects with commercial potential identified in Phase 2 above. Leftover funds from Phase 3 can be carried forward to Phase 4. **Payment of salaries are not allowed using AHEAD funds in Phase 4.**
6. The completed score card for phase 3, partially completed score card for phase 4 and the proposed procurement plan will be submitted to World Bank by OMST for no objection for technical contents.
7. An agreement to receive funding will be signed between the OMST and the Vice Chancellor.

#### Phase 4

Action	Multiplication factor	Score <sup>i</sup>	Total score	Target date (month/year)	Achieved date (month/year)	Comments
<b>Phase 4: Outcome of UBL Cells (Required Score = 100)</b>						
At least half million rupees royalty revenue	5					
Sale of technology transfer or IP worth a minimum of one million	5					
One technology developed to enhance the profit of a firm in Sri Lanka	5					
One policy designed or improved based on research conducted by STEM, HEMS or the combination of STEM and HEMS research	5					
One industry process/logistics improved through research conducted by STEM, HEMS or the combination of STEM and HEMS	5					

One company investing to commercialize a technology developed by STEM, HEMS or the combination of STEM and HEMS	5					
One foreign direct investment to commercialize a technology developed by STEM, HEMS or the combination of STEM and HEMS	5					
One Business Process Out sourcing solution developed via research	5					
One e-commerce solution	5					
One PCT (Patent Corporation Treaty) submitted by STEM, HEMS or the combination of STEM and HEMS	5					
One international trademark developed by STEM, HEMS or the combination of STEM and HEMS	5					
One startup company based on a technology developed by STEM, HEMS or the combination of STEM and HEMS	5					
Creation of employment opportunities (at least two) by a start-up company	5					
Any other proposed activity based on the work conducted in Phase 3 which will be agreed with the MHEH through the OMST and with a no objection from the World Bank						
<b>Total score for Phase 4</b>						

At the completion of Phase 4 a report will be provided to the university with a copy to the OMST. Based on satisfactory progress the UBL cell will be given a further 5 million rupees for the future expansion and development of innovation commercialization activities in the university. Thereafter progress of the UBL cell will be reported annually to the university with a copy to the UGC and OMST.

Acronyms: MHEH = Ministry of Higher Education and Highways  
UGC = University Grants Commission  
OMST = Operations and Monitoring Support Team

---

<sup>i</sup> Self evaluation score

- 5: If the target date and achieved date are no more than 1 month apart.
- 4: If the target date and achieved date are no more than 3 months apart
- 3: If the target date and achieved date are no more than 6 months apart
- 2: If the target date and achieved date are no more than 9 months apart
- 1: If the target date and achieved date are no more than 12 months apart
- 0: If the target date and achieved date are greater than 12 months

<sup>ii</sup> Terms and conditions of this payment to be discussed with UGC and Universities