

# HIGHER EDUCATION COMMISSION

## Research & Innovation Wing

### Annual Performance Scorecard for Office of Research, Innovation & Commercialization

#### 1 BACKGROUND

In order to support and organize research and commercialization activities at the Universities, the Higher Education Commission (HEC) has introduced the concept of Offices of Research Innovation & Commercialization (ORICs). Through ORICs, the Universities are envisioned to become centers of innovation, high impact applied research and commercialization. So far, HEC has notified 71 ORICs at different public and private sector HEIs.

#### 2 KEY OBJECTIVES OF THE ORICs

The core objectives of the ORICs in accordance with HEC ORIC Policy 2021 include:

- Enhance research quality, relevance, and competitiveness, and promote innovation and commercialization at HEIs.
- Support university-based research through strategic planning, streamlining of internal processes, establishing and monitoring of standards, mobilizing resources for research, publicizing research achievements, identification of synergies, and development of relationships with key external partners.

#### 3 ANNUAL PERFORMANCE SCORECARD

In order to quantify the performance verses envisioned research and commercialization profile of the ORICs, an Annual Performance Scorecard has been designed. The Scorecard has four (04) broader domains and activities and each has further Key Performance Indicators. The broader domains include:

- Human Resource & Operations
- Research Excellence
- Innovation & Commercialization
- Sustainability & Capacity Building

Each KPI is quantified by relevant measurable activity and each activity is allocated a score in accordance with its relativity.

#### 4 IMPLEMENTATION, PERFORMANCE MONITORING & EVALUATION

The Annual Performance Scorecard will be rolled out to all HEC notified / recognized ORICs during the month of May every year and the ORICs will be requested to submit their duly filled scorecard along with relevant annexures and supporting documents within a one-month timeline. The performance of the ORICs will be evaluated via the Scorecard on fiscal year basis, i.e. from July till June every year.

Subsequent to the submission of Annual Performance Scorecard by the ORICs, HEC will evaluate and validate the claimed scores against the submitted evidences and supporting documents. Physical monitoring visits may also be carried out by the HEC's M&E team in order to ensure

quality assessment. The following ranking criteria shall be used during the annual performance reviews:

Category	Score	University Overhead
W	80 and above	15%
X	60 to 79	10%
Y	40 - 59	05%
<b>Non-Performing</b>	Below 40	-

## 5 DETAILED GUIDELINES AND RELEVANT DEFINITIONS OF EACH KEY PERFORMANCE INDICATOR

### 5.1 GENERAL GUIDELINES

The Annual Performance Scorecard has been designed in MS Excel format for the facilitation and ease of concerned ORIC. The focal person for ORIC, i.e. the Head of the ORIC shall make sure that the scorecard is duly filled and all relevant annexures / required supporting documents are enclosed.

**The ORIC shall forward an electronic copy of the duly filled scorecard, endorsed by the head of the university, to the HEC at [oric@hec.gov.pk](mailto:oric@hec.gov.pk).**

The electronic copy must include the following documents:

- (a) Duly Filled and Signed Cover Page of the Scorecard (PDF copy)
- (b) Annual Scorecard (MS Excel Format File)
- (c) Single PDF Format File for Supporting Documentary Evidences, having proper page numbering in conformity with the relevant page number as mentioned in the Scorecard.

The ORIC Head shall make sure that the final submission of ORIC Scorecard to the HEC is strictly in accordance with the aforementioned guidelines, any deviation to the same will be treated as non-submission.

### 5.2 HUMAN RESOURCE AND FACILITATION

This section covers the details about the available facilities at the ORIC, University related information, and details about Personnel working in the ORIC, in accordance with guidelines mentioned in the HEC ORIC Policy 2021. In addition to the broad categories under HR & Operations, the **Index-A** of the Scorecard pertains to HR & Operations. The ORIC, as a supporting document, will have to provide pictorial evidences of available facilities, along with notification / joining reports / updated resumes of personnel working for the ORIC.

### 5.3 RESEARCH EXCELLENCE

This section covers the initiatives taken by the management of ORIC for the uplift of a standardized and well acclaimed research grants management system. The annexed

requirements of this section are covered via **Index-B** in the scorecard. Brief details about the sub-sections included in this category are following:

**5.3.1 Research Grants Management:** This sub-section entails the KPIs relevant to activities being undertaken by the ORIC to support and facilitate the research grants and publications through its effective management system. Brief details about the KPIs included in this category are following:

**5.3.1.1 Competitive Research Grant Opportunities Identified and Circulated to Faculty / Researchers (National or International):** Research funding opportunities are sources of ideas that widely impact research agendas by providing impulse for academic research. ORICs are envisioned to remain engaged with their researchers and academicians by communicating them national and international research funding opportunities to trigger idea generation process.

**5.3.1.2 Research Proposals Submitted / Approved for Funding by HEC and Non-HEC Sources:** HEC offers a number of competitive research grants for researchers and faculty members of Universities throughout the year, such as NRPU, GCF, LCF, TTSE, etc. Moreover, different national and international funding agencies such as PSF, IGNITE, Campus France, DAAD, European Commission, etc. announce different funding opportunities in research and innovation. The KPI entails submission and approval of research proposals to funding bodies as a percentage of PhD faculty members in the University.

**5.3.1.3 Research Projects Completed:** The research grants and projects won by the faculty members of HEI require active involvement of the ORIC to give them due support in timely and effective completion of the project in agreement with the envisioned objectives and outcomes of the project. The KPI covers the successfully completed projects which were due to be completed during the reporting year.

**5.3.1.4 Joint Research Grants & Projects:** Joint Research enables production of more creative research outcomes by establishing common research themes with other Universities, private companies, or public research institutes. Joint Research Projects provide access to diversified specialist knowledge along with equipment and facilities of research partners. Through this KPI, the ORICs will be geared to bring in close connections between top researchers having common research themes.

**5.3.1.5 Volume of R&D Funding Secured:** The amount of R&D funding secured by the University by winning different research grants and projects is included in this KPI.

**5.3.1.6 Research Proposals Reviewed by IRB:** Ethical Institutional Review Board (IRB) will facilitate the ORIC in conducting meticulous reviews of research proposals before submission to funding bodies. As a KPI, the ORIC will exercise its due diligence to get the proposals reviewed by IRB.

#### **5.3.1.7 Policy Advocacy or Case Studies Presented to Government Departments:**

Evidence based policy advocacy and case studies help government departments at the district, provincial, or federal level make well informed decisions about policies, programs and projects by putting the best available evidence from research at the heart of policy development and implementation. Policy inputs may be in the form of papers that can be called “Policy Paper” and studies involving in-depth research on a subject or problem called as “Case Studies”. ORICs, being strong advocate of high impact research carried out in the HEI, through this KPI, will develop liaison with certain departments for presenting research backed policy proposals and case studies to them.

**5.3.2 Research Linkages, Coordination & Networking:** This sub-section entails the KPIs relevant to activities being undertaken by the ORIC to support and facilitate the research linkages, coordination activities and networking through its effective involvement. Brief details about the KPIs included in this category are following:

**5.3.2.1 Research Links Established with HEIs / Corporate Sector / Industry / Community at National or International Level:** Strong linkages help in formulation of research agendas based on common problem identification. Moreover, linkages also support the enhancement of research and innovation through joint activities, improvement in teachings, learnings and knowledge sharing, along with targeting new streams of funding for researchers. ORICs play a vital role in taking on board other HEIs / Corporate Sector Entities / Industry / Community etc. for collective research activities.

**5.3.2.2 Contract Research Awarded by Industry or Government Organizations at National or International Level:** Contract Research occurs where a request is made by Industry or Government Organization for a specified research project with identified aims and objectives. Through contract research, the funds are provided to the University by the organization and activities normally result in a deliverable product or a report of commercial importance to the organization. Through this KPI, ORICs are entrusted with the responsibility to connect Industry or Government Organizations (who is looking for a research backed solution) to its researchers.

**5.3.2.3 Volume of Contract Research Awarded by Industry or Government Organization at National or International Level:** The amount of R&D funding secured by the University by winning different contract research projects is included in this KPI.

**5.3.2.4 Civic Engagement Events / Initiatives on Issues of Public Concern:** Civic engagement events are opportunities for any individual or group activity addressing issues of public concern. The participation of an ORIC or holding an activity with citizens to protect public values or make a change or difference in the community are common types of civic engagement events. Civic engagement initiatives include working with communities on multiple socio-economic

opportunities, challenges, and avenues to develop their resilience and adapt to the evolving phenomenon. The goal of civic engagement is to address public concerns and promote the quality of the community.

**5.3.2.5 Consultancy Opportunities Identified and Circulated to Researchers / Consultancy Contracts Executed through ORIC with Industry, Commerce or Government:** Consultancy Contracts refer to the provision of expert advice and work, which involves higher degree of analysis, measurement or testing and crucially dependent on intellectual input from the researcher(s) to the client, without creation of new knowledge. Through this KPI, ORIC is required to identify such opportunities to its researchers and faculty members, moreover, ORIC also play pivotal role in executing such contracts with clients such as industry, commerce or government bodies.

**5.3.2.6 Liaison Developed with University's Advance Studies & Research Board (AS&RB):** Through this KPI, ORIC will develop continued relationship with AS&RB and provide it with an annual report describing priority areas for research for graduate studies and highlighting the research achievements of the University.

#### **5.4 INNOVATION & COMMERCIALIZATION (I&C)**

This section covers the initiatives taken by the management of ORIC for the uplift of a standardized and well acclaimed innovation and commercialization ecosystem. The annexed requirements of this section are covered via **Index-C** in the scorecard. Brief details about the sub-sections included in this category are following:

**5.4.1 Research & IP Legislation:** This sub-section entails the KPIs relevant to policy-level activities being undertaken by the ORIC to streamline and provide unified guidelines for its researchers and faculty members on Intellectual Property (IP) and Commercialization related matters. ORICs are required to draft, approve and formally implement its Research and IP Policy. Moreover, ORICs having approved Research Ethics Policy / Technology Transfer Policy / Research Conflict of Interest Policy or other policies focused on the strengthening of I&C framework, have an added advantage.

**5.4.2 Patents / Trademarks / Designs:** The ORIC has a dedicated responsibility to help and facilitate its researchers and faculty members in securing their Intellectual Property and associated rights. For instance, the ORIC will provide facilitation in IP Disclosures being made to patent departments or patent attorneys so as to determine whether patent protection should be sought for the invention or not. Moreover, ORIC also supports continuously in patent drafting, filing and granting process, by providing technical guidance along with connecting with funding bodies supporting patent filing.

**5.4.3 Commercialization & IP Licensing:** This sub-section entails the KPIs relevant to commercialization and IP Licensing being undertaken by the ORIC to support and

facilitate the researchers of its HEI. Brief details about the KPIs included in this category are following:

**5.4.3.1 IP Licensing at National or International Level:** An IP License enables a researcher to protect its invention by finding a suitable business / industrial partner who brings the product to the market in exchange for royalties. ORICs play an important role by finding appropriate industrial / business partners for its researchers who have an innovative technology at their end, connecting both of them for negotiations and helping the researchers throughout the signing process, which includes but not limited to, IP protection, license duration, university's share as per IP policies, indemnifications and termination, etc.

**5.4.3.2 Research Products / Process / Prototype Gone into Prefeasibility / Industrial Scale Testing or Prototype Development:** A prefeasibility, industrial scale test or prototype gives the researcher the ability to explore his/her idea and demonstrate features in order to capture investments in the product's complete development or plan a commercialization process. Availability of makers' lab at ORICs or through its linkages help and support researchers in developing prototypes, thus, this KPI will push the ORICs to facilitate and promote research commercialization.

**5.4.3.3 Science / Arts Products or Any Creative Activity Performed / Displayed at National or International Level:** A cultivar is a plant that is produced and maintained by horticulturists but does not produce true-to-seed; whereas, a variety is a group of plants within a species that has one or more distinguishing characteristics and usually produces true-to-seed. Livestock or animal breed is the differentiation of livestock species into breeds that has been responsible for the creation of populations adapted to specific environments and used for specific functions/products. Consequently, the breed represents the most important unit in genetic diversity assessment and conservation. This KPI pertains to forms of creative activity that is performed/ displayed (performing art products) which includes paintings, calligraphy, monographs, portraits, photography, film, documentary, drama, music, and dance, etc. through active involvement and facilitation by ORIC.

**5.4.4I&C Linkages, Coordination and Networking:** This sub-section covers the KPIs relevant to developing linkages, coordinating and networking of innovation and commercialization activities being undertaken by the ORIC to support and facilitate the researchers of its HEI. Brief details about the KPIs included in this category are following:

**5.4.4.1 Visits by Representatives of Industry or Community Members Regarding Potential Research Subjects:** The ORIC through its effective university-industry linkages mechanism can take on board by inviting potential industry or community members interested in exploring the research backed solutions for output optimization and industrial problems. The visits by such members increases

the confidence of industrial members on research backed solutions by having interactive sessions with the research fraternity within the University.

**5.4.4.2 Agreements Signed for Collaboration with Industry, Government or Community at National or International Level:** Collaborations with industry, government or community give an added leverage to the Universities in terms of research funding and diversification in research priority areas. The collaborations also result in feedback and guidance from the partners leading to an aligned approach from research till product development. Through this KPI, the ORICs are considered to be in stronger positions provided their collaborations and linkages are efficient and ever increasing.

**5.4.4.3 National or International Honors or Awards Won (in Research Excellence, Innovation & Commercialization):** This KPI pertains to recognition and acceptance of an accomplishment/ accomplishments referred to as an honor i.e. Sitara e Imtiaz. While an award is a prize someone receives for something special they have achieved i.e. Nobel Prize or HEC Best Teacher/Researcher Award. This can be conferred by international or national authorities/ organizations or forums.

## **5.5 SUSTAINABILITY & CAPACITY BUILDING**

**5.5.1 Revenue Generation from R&C Activities:** This KPI entails the activities undertaken the ORIC that have resulted in generating a sustainable revenue stream for the ORIC. HEC Notified ORICs are entitled to 15% overhead under HEC sponsored competitive research grants, depending upon the performance of the ORIC. Similarly, this KPI also includes revenue earned from licensing, royalties, policy advocacy, or other related academic activities, etc.

**5.5.2 ORIC Five-Year Strategic Plan:** The plan is a useful insight about university's research agenda, with objectives, strategies, tasks and annual targets for research, innovation and commercialization. The plan helps the ORIC to have a consistent improvement in university's research achievements. The five-year strategic plan should include but not limit to the following main heads:

- a) Executive Summary: An overview of the HEI, specialties, research expertise, linked with ORICs core objectives.
- b) ORIC – the mission, vision, values, competitive advantage and information on leadership
- c) Roles, Responsibilities and Services Offered at ORIC
- d) Yearly Objectives, Short-Term, Medium-Term, Long Term-Goals, Performance Indicators and Action Plans
- e) ORICs SWOT Analysis
- f) Reviews and Updating

**5.5.2 Trainings, Mentoring & Workshops:** This KPI covers the initiatives taken by the management of ORIC towards provision of capacity building and mentoring

facilities for the researchers and faculty members. Effective and targeted capacity building programs being organized by the ORIC will help the researchers and faculty members to develop a sense of ownership and strengthens their future needs.

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