CHAPTER ONE

Introduction

1.0 Background
Makerere University’s mission is to provide quality teaching, carry out research and offer professional services to meet the changing needs of society by utilizing world wide and internally generated human resources, information, and technology to enhance the University’s leading position in Uganda and beyond. However, there are problems meeting objectives of this mission; especially as it relates to research.

1.2 Problems of Research at Makerere University

1.2.1 Effectiveness of Current Research
A lot of research is going on at Makerere but there is no appropriate mechanism for disseminating it to end-users. Also, there is lack of interdisciplinarity in the current research and this makes the outputs ineffective in solving societal problems.

1.2.2 Funding for research
Despite the importance of research in solving societal problems, it is inadequately funded. Less than 1% of the total University income is allocated to research as opposed to the 3% recommended by the Lagos Plan of Action. Part of the problem is that the School of Graduate Studies is not proactive enough in soliciting research and publication funds.

Even the limited research funding is neither regular nor consistent.

There is no clear mechanism for allocation of available funds for research.

1.2.3 Human Resource and Institutional Capacity Building
Academic staff heavily rely on foreign textbooks and very rarely do any research-based teaching. This is a great drawback.

The training of students to become researchers is not satisfactory in spite of existence of a compulsory University wide Research Methodology course.

The majority of staff are not equipped with up to date research skills. Also, they are not sufficiently motivated to engage in research and publication.
The research infrastructure at Makerere in terms of labs, equipment, chemicals, ICT, field stations etc is still very weak.

1.2.4 **Marketing beyond the borders**

Research findings are largely disseminated through seminars and workshops and remain unpublished. They are therefore out of reach for the majority of the would-be users. Even the publishing going on is still limited and rarely uses the conventional forms such as academic Journals and books. In addition the use of non-traditional forms such as the media and electronic publishing.

Research at University is not disseminated to professional research users in government, NGOs, the private sector and other institutions which have the capacity to use it to make a difference.

Even after publication the research output is not used to formulate innovations and solutions that can be patented for Commercial users. Opportunities to generate income for research innovators, the University and the Community are thus lost.

1.3 **Conclusion**

Makerere still has a number of challenges to surmount if it is to establish a firm research and publication culture, and the above are only some of them. The University needs a clear research policy, which would act as an enabling framework within which the problems that inhibit research would be addressed. This policy document is intended to layout strategies for strengthening research practice and co-ordination, and point at means that could be used to expand the research resource base. If the policy is implemented, the acquisition of research skills by students and staff will greatly improve, as will the utilization and dissemination of the research output to end users. The researchers will also be motivated and rewarded through promotion, public and University recognition and the patenting of their output for commercial use. This will restore Makerere to its leading position as a premier institution for teaching, research and publication.
CHAPTER TWO

2.0 RESEARCH AND PUBLICATION POLICY

2.1 General Principles

It is recognized that research results into publication. The goal of the research Policy is to facilitate the conversion of research outputs into publications and inventions. The Research and Publications should address issues which are nationally and culturally relevant. The publications would then form a basis for teaching.

2.1.1 Provide knowledge for scientific and non scientific communities

The policy will support efforts that meet scientific objectives in terms of knowledge growth. It will also support efforts aimed at addressing emergent problems and topical issues. Ensure that staff are fully aware of the national research agenda and participate in the process of drawing up a research agenda in their disciplines. Writing and publication efforts shall be supported when they demonstrate clear orientation to science, policy, or practice.

2.1.2 Promote the provision and dissemination of knowledge through a mentoring and apprenticeship approach

Production and dissemination of research products are professional processes which are best mastered through experience built with persistent practice. For this reason, research and publication are refined processes which are best mastered through research and publication is refined processes which are best mastered through experience rather than lectures or any other form of knowledge accumulation. For this reason the policy will encourage and support all senior members of the academic community who are prepared to work with junior members of staff or their colleagues to produce joint publications.

2.1.3 Guarantee quality through using conventional channels of publication

There are conventional channels of publications that every academic member should aspire to. These channels are found with international and other publishers that have inbuilt quality control. The policy shall support all academics to aim first for these channels. For this purpose all research output shall be subjected to peer review before being disseminated to international, regional and local level. In addition authors shall be expected to identify potential international or regional publishers and write the final manuscript following the relevant editorial guidelines.

c.c. The Deputy Vice Chancellor (Academic Affairs)
2.1.4 Generate knowledge to put across perspectives that influence international discourse about Uganda and Africa region.

The policy shall encourage authors to publish their research products in internationally recognised publishing houses and outlets. This will promote the outsiders’ understanding of our problems from the local perspective. Quite often our perspectives are ignored because they are inaccessible to conventional outlets.

2.1.5 Generate knowledge to put across perspectives that influence national policy and practice.

The policy shall encourage authors to publish their research products about national issues and in such a form that is usable for policy making and implementation.

2.1.6 Generate knowledge to put across perspectives that influence regional policy and practice.

The policy shall encourage authors to publish their research products about regional concerns such as COMESA, EAC and AU and in such a form that is usable by relevant communities and regional bodies.

2.1.7 Supervised work will be jointly owned by the supervisor and supervisee.

The policy encourages publishing Masters’ and PhD theses. The ownership shall belong to both the supervisor and supervisee. None of the parties shall publish without including the name of the other.

2.1.8 Jointly generated work shall be proportionately owned.

The policy encourages joint writing and publication effort. The ownership of such effort shall be proportionately shared based on agreed formula by research units. In joint work, the originator of the research idea shall be considered as the first author unless otherwise agreed among the parties.

2.1.9 At least 20% of the academic’s time shall be given to research output with particular emphasis on publication and dissemination of knowledge.

There is a tendency for academics to consider a research report as a terminal output. The policy shall encourage authors to complete the process of knowledge creation and dissemination by publishing their work. For that purpose academic units shall ensure that at least 20% of the academics’ time is devoted to the dissemination and publication of their writing effort.
2.1.10 Create a research supportive environment.
The policy shall

- Encourage and facilitate regional and international collaboration – global networking.
- Provide research support services including continuous modern management information systems that facilitate access to international literature and data bases.
- Create a stable, internal, conducive research environment. This shall include the provision of research management support and maintenance of equipment.
- Provide basic financial management support and training to research coordinators as well as personnel in key research administrative units.
- Provide free access to the internet for purpose of knowledge creation and dissemination at every academic/research unit.

2.1.11 The University shall commit itself to the generation and dissemination of knowledge as defined above in the following way:

a. Vice Chancellor’s List for international book publishing = $1,000
c. Vice Chancellor’s List for Journal article international publishing= $300
d. Vice Chancellor’s List for Journal article regional publishing= $200

2.1.12 Grade the international and regional publishers and select deserving contenders.
The policy requires assessing published books and journal articles. Awards will go to authors who succeed in publishing their research output with the more competitive international and regional publishers.

2.1.13 Academic staff shall account for their contribution to knowledge every two years
There is an emerging tendency for academic staff to spend disproportionately more time in teaching and marking at the detriment of knowledge creation and dissemination. This has deprived Makerere University of research based teaching and quality supervision. The policy requires every academic member of staff to account for their role in knowledge creation and dissemination. After two years the staff should show cause why they have not published or researched.
2.1.14 **Makerere University shall generate a research agenda on a periodic basis based priorities of academic units.**

The policy requires different faculties, institutes, schools and colleges to formulate research priorities leading to a university research agenda. The priorities shall reflect national research objectives, priorities and relevant international trends. The research agenda will be reviewed within a period of ten years.

2.1.15 **Commission occasional paper to respond to urgent knowledge needs by Makerere University.**

To energize the academic community and to keep Makerere Community on top of current topics of national concern, the policy shall commission annual competitive occasional papers.

2.2 **Management of the Policy**

2.2.1 **Generate sponsorship for research and publications**

- Create a mechanism for dialogue with the government, in cooperation with other stakeholders, for an increased share of research funding in line with the Lagos Plan of Action of 1980.
- Provide information on possible sources of funding Makerere University to the University Community.

2.2.2 **Research Funding**

Makerere University shall:

- Contend, in collaboration with other research institutions, for an increased share of national financial resources allocated for research. Three percent of the GNP shall form the target benchmark in line with the Lagos Plan of Action.
- Continue to solicit research funds from sources other than public sources including international and local sources, both public and private. Solicitation of funding will be encouraged, facilitated at individual, departmental, faculty or institute, and college levels.
- Provide general information on possible sources and modes of research funding both within and from outside the University on a regular basis.
- Encourage and facilitate the establishment of professorial research chairs in faculties and institutes.
• Require Research fee of shs.150,000/= to be paid by each graduate student per annum.
• Require a Research fee of 50,000/= to be paid by each undergraduate student per annum.
• Ensure that basic research receives an appropriate share of research funding.

2.2.3 Create Mechanism for Management of funds of Research and Publications

Operational Procedures

• Provide for modality of research coordination at Makerere University
• Strengthen institutional capacity for strategic, technical training and operational planning, and administration of research at the University including information management systems budgeting and control for research.
• Encourage regional and international collaboration-global university/research networking.
• Set guidelines on ethics in research and environmental issues in research.
• Set up, strengthen and equip a core office responsible for the overall research coordination at the University level. This shall mean strengthening and equipping a research and publications desk with a deputy director and a professional editor. Create formal linkages with the research units at Colleges, Faculties, Schools and Institutes.
• Ensure that staff is fully involved in the research planning process and maintain a good balance between teaching, research and consultancy.
• Ensure that staff are fully aware of the national research agenda and participate in the process of defining the research agenda for their areas of research.
• Follow one general framework guiding the preparations and approval of research projects. The research projects approval process is included in Annexure I to this Policy. The framework addresses the following issues/processes:
  - Initiation of a research project;
  - Formats of research proposals. A sample format is included in Annexure II to this Policy;
  - Scrutiny and approval process for research proposals shall focus on relevance, need, soundness and resources requirements (including financial resources). This will clearly spell out the roles and powers of different units within the relevant University administrative hierarchy.
An example of a research proposal evaluation form is included in *Annexure III to this Policy*;

- Planning and budgeting guidelines, including applicable rates for cost estimates. An example of such budgeting format is included in *Annexure IV*;

- Financial regulations governing financing of research; Procurement of equipped and consumables. These have to be within relevant University procurement policies and procedures, and in principle all equipment is the property of Makerere University;

- Registration of research projects – whether internally or externally funded;

- Standard contracts between the funding agency, the University and the researcher(s). An example of a research contract is included in *Annexure V* to this Policy;

- Progress reporting requirements, control and monitoring. An example of a research progress report format is included in *Annexure VI* to this Policy;

- Regulations regarding employment within research projects. These have to be within approved Human Resource Management (HRM) policies; and

- Formats for research reports. An example of such format is included in *Annexure VII* to this Policy.

- Ensure that all *research proposals* which are funded through Makerere University are subjected to research process. Encourage Makerere University staff to channel their processes and funding through Makerere University.

- Enter into a *research contract* with the researcher when the project has been approved irrespective of the source of funding. (Contract format is suggested in *Annexure V* to this Policy). Where there is an interest of joint ownership of research results/output, the contract shall be between the researcher as one party and joint financiers as the other party.

### 2.2.4 Contributions to the Research Administrative Infrastructure

Makerere University shall:

- Require that research projects contribute at least 10% of the total project research costs to the institutional overheads.
• Ensure that the research overhead contribution is shared amongst the research administrative units at the various administrate levels. Sharing of the administrative overheads shall ensure that priority is given to where research activity is taking place. In this respect, a minimum of 4% shall be contributed to the School of Graduate Studies (or section), 3% to the respective Department and 3% to the College and University level.

2.2.5 Sharing of Research Resources

Makerere University shall:

• Demand that Faculties, Institutes and Departments have transparent and objective criteria of making research opportunities known to members of staff and for allocating such opportunities.

• Encourage sharing or research project resources in order to utilize fully the available research resources.

• Encourage and coordinate sharing of information and information sources of academic value. Such source shall include books, journals, electronic information, (e.g CD-ROMS) and sources of such electronic information through the INTERNET (e.g electronic databases).

• Facilitate by setting up procedures for utilizing project research facilities for other tasks/research projects. This may be necessary where research project resources are underutilized, e.g project vehicles, computers, photocopiers, etc.

• Encourage and facilitate common services such as word-processing, data summary and analysis services.

• Permit a researcher to retain priority access to equipment for confirmed academic growth and publication of research.

• Where facilities are shared the running costs should be met by the participating units.

2.2.6 Staff Remuneration

• Remunerate research activity in order to make research financially attractive by ensuring that staff receive a reasonable compensation for opportunity cost. This shall be implemented within the context of the “evidence based on professional services” advanced in the Makerere University mission statement through an attractive Board of Research and Publications.
• Remunerate research programmes in order to retain key quality staff.
• Review the remuneration scheme on a regular basis.
• Recognize and reward outstanding performance in research in its endeavour to excel in knowledge and human resource capacity building. This shall be performed on a regular basis.

2.2.7 Internal Procedures for Approval, Control and Monitoring of research Projects.
• Give priority of projects within the main research agenda when approving research funding. Research proposals have to demonstrate that they are within the stated agenda.
• Promote collaborative and interdisciplinary research projects and ensure that they are relevant.
• Ensure that the output for publication conforms to an international or regional publisher’s editorial guidelines. An example of a format for a research report is included in annexure VII to this Policy.
• Financial approval for research for a Master’s programme within the humanities can be budgeted up to seven million shillings (7,000,000/).
• Financial approval for research for a PhD programme within the humanities can be budgeted up to twenty million. (20,000,000/).
• Financial approval for research for a Master’s programme within the natural and biological sciences be budgeted up to fifteen million shillings (15,000,000/).
• Financial approval for research for a PhD programme within the natural and biological sciences can be budgeted up to forty million shillings (40,000,000/).
• Financial approval for inaugural lecture preparation can be budgeted up to twenty million shillings (20,000,000).
• Financial approval for post-doctoral research can be budgeted up to shs. 20m.

2.2.8 Research Contract and Funding
An approved research proposal shall only be funded once the researcher(s) has signed a contract with appropriate offices. These shall be at Faculty/Institute or University level depending on where funding is sourced. In any case, the contracts signed at Faculty/Institute level shall be deemed to be contracts with University. Format for research contracts is included in Annex V. Originals of research contracts shall be signed by the Director for research irrespective of the source and level of funding.
2.2.9 Interim Progress Reports

At the end of each phase, the researchers are required to produce interim progress reports giving the up-to-date research findings through the Faculty of Higher Degree and Research Committee (FHDRC) DHDRC. A format for such progress reports is given as Annex VI of these guidelines.

If as a result of the progress report there is a need to modify the contract (or schedule of payments), this request should be formally made through and recommended to the FHDRC by the DHDRC.

In some cases, the DHDRC might wish to send the interim report(s) to an independent reviewer before approving the next phase. Such cases will involve research projects handling massive data that is not easy to interpret or research projects involved in very technological developments not well established in the department concerned. However, in any case, the funds for the next phase can only be released after the approval of the progress report by the BRP.

2.2.10 Final Research Report

At the conclusion of the research, a final research report should be submitted in the format of stand-alone chapters to facilitate the progress from research to publication. This should include chapters organized as academic journal manuscripts. Chapters will contain one or more objectives, hypotheses, or questions as the case may be. In addition each chapter will describe its background, statement of the problem, literature review methodology, data analysis and interpretation as well as discussion, conclusion, and future research issues. *A sample of the contents of the Report appears at Annexure VII to this policy.*
CHAPTER THREE

3.0 POLICY ON INTELLECTUAL PROPERTY RIGHTS MANAGEMENT

3.1 Background
At its First meeting held on 26 February 2004, the Reconstituted Board of Research and Publications constituted a Committee to formulate a Research Policy for the University in general and an Intellectual Property Rights Management Policy in particular.

A draft Research Policy has been formulated. The emphasis here is, therefore, on Intellectual Property Rights (IPR) Management Policy.

3.2 Objectives of IPR Management
The rationale for an IPR Management Policy is five fold as follows:

1. To implement the Makerere University Vision of providing research and service relevant to sustainable development needs of society.

2. To commercialize government/university-funded research for the public good.

3. To facilitate the recruitment, reward and retention of faculty and staff resulting from the financial proceeds of licensing innovations commercially.

4. To induce collaborations with the private sector generally and industry in particular for the ultimate public good.

5. To promote economic activity arising from the products of research and innovation.

3.3 Definition of Terms
The IPR Management Policy covers the handling of Intellectual Assets and Intellectual Property of the University or which are generated by the Faculty and staff of Makerere University.

3.3.1 Intellectual Assets (IAs)
Intellectual Assets refer to all intellectual products that are created by the personnel working in Makerere University. In specific terms these are items in which personnel have:
- Put their ideas;
- Taken particular decisions in respect of different choices;
- Thought of ways to solve particular problems, etc.

3.3.2 Intellectual Property (IP)

Intellectual property is a subset of Intellectual assets. However, IPs are protected under the laws that give the originator(s) certain rights over their creations/products. The relevant laws are the Copyrights Act Cap 215, Patent Act Cap 216, Trade Marks Act 217. These specify:
- The asset to be protected;
- Other requirements such as the country of residence of the originator(s) and the owner of the asset.

3.4 Makerere University Vision and Mission

3.4.1 The Vision

To be a center of academic excellence, providing world-class teaching, research and service relevant to sustainable development needs of society.

3.4.2 The Mission

To provide quality teaching, carry out research and offer professional services to meet the changing needs of society by utilizing world wide and internally generated human resources, information and technology to enhance the University’s leading position in Uganda and beyond.

3.4.3 Both the Vision and Mission of the University envisage the use of research findings for service, human resource and general development. Research is therefore, seen as a tool for innovation and development.

3.5 Guidelines for the Management of Intellectual Assets and Property

3.5.1 Research Findings

3.5.1 Research findings arising from research duly carried out constitute intellectual assets and when protected under the relevant laws would be transformed into intellectual property.

3.5.2 Persons engaged in approved research at the University shall, in the case of scientific research maintain a Laboratory Notebook of their findings which shall contain the information set out in Appendix I to this Policy and submit a copy thereof to the Intellectual Property Manager through their Supervisor/Head of Department.
3.5.3 Researchers shall be required to complete the *Intellectual Asset Identification Form* set out in Appendix II to this Policy and submit a copy thereof to the Intellectual Property Manager through their Supervisor/Head of Department.

3.5.4 A Research Report approved for the award of a University Degree or Diploma shall constitute an intellectual asset, which upon protection under the relevant law will be transformed into intellectual property.

3.5.5 Researchers shall seek the assistance of the Intellectual Property Manager in applying for registration of patents/designs under the relevant laws or trying to commercialize their innovation(s).

3.6 Other Intellectual Assets Management

3.6.1 The Intellectual Property Manager shall:

- Create a Central database where the information on Intellectual Assets can be recorded and accessed by interested persons.
- Receive copies of Laboratory Notebooks and Asset Identification Forms for purpose of maintaining an inventory thereof.

3.6.2 The inventory of Intellectual Assets shall include the following items:

- Employment Contracts;
- Collaborative Agreements;
- Confidentiality Agreements;
- Laboratory Notebooks/Notes;
- Field Data/Notes;
- Licenses – reagents, software;
- Databases;
- Software/Simulations;
- Information/Data from Third Parties;
- Other “tangible” items e.g. cell lines and monoclonal antibodies;
- Copyright issues;
- Institutional Policy;
- National Legislation;
- International Agreements.

3.7 Evaluation of Innovation.
The Intellectual Property Manager shall, an liaison with the Scientist/ Inventor/Author, evaluate the Intellectual Assets to determine their potential for transfer to the public/private sector.

3.8 **Intellectual Asset Transfer Plan**

The University shall be guided by an *Intellectual Assets Transfer Plan*, which shall:

- Identify the potential users of research findings/innovations;
- Assess the state of development of the asset as a working solution to the identified problem;
- Identify what else, if any, needs to be developed so that the asset is ready for transfer.

3.9 **Action Plan**

The Intellectual Property Manager shall:

- draw up an **action plan** for the relevant steps, from final development of the innovation to distribution, to proceed;
- identify who will perform the additional development;
- identify who will distribute the innovation;
- assess the costs associated with the final development and distribution;
- build an impact evaluation method in the distribution process.

3.10 **Duties of the Intellectual Property Manager**

The Intellectual Property Manager is charged with:

- The collection of data on employment contracts, student exchange Agreements/Linkage/Collaborative Agreements, Funding/Donor Agreements, Licences/Material Transfer Agreements (MTAs), National and International Laws on the Intellectual Property used or produced by the University, and outputs/Products;
- The design of a Data Management System for the University;
- The establishment of a working relationship with the supervisor or persons in the custody of Intellectual Property Related Information;
- The internalization of National and International Legal Instruments;
- Initiation of commercialization of innovations through product development partnerships with the private sector.
3.10.1 Intellectual Property Manager shall:
- Be a trainer on Intellectual Property/Assets issues;
- Analyse reports on Intellectual Assets/Property to determine ownership;
- Be knowledgeable about the law and intellectual assets of the University;
- Oversee the implementation of Intellectual Property Management Policy or assist to develop and/or refine the policy;
- Advise the University on the management issues of Intellectual Assets/Property.

3.11 Intellectual Asset Identification Form
The Intellectual Asset Identification Form (set out in Appendix II to this Policy) shall:
- Be completed by the Scientist/Inventor/Author or the person interviewing the Originator/Inventor of the Innovation;
- Emphasize useful assets;
- Describe
  - the problem
  - the solution to the problem (innovation) including drawings/figures, if any;
- Specify
  - whether the solution is new or novel and if so how this is different from other solutions;
  - what is the stage of development;
  - a list of inputs of intellectual property;
  - a list of funding sources.

3.12 Material Transfer Agreement
3.12.1 The University shall, in appropriate cases, utilize Material Transfer Agreements (MTAs) for purposes of exchanging materials for research or development of innovations.
3.11.2 The University may use the MTA format, set out in Appendix III to this Policy, with such modifications (s) as may be deemed appropriate.

3.13 Ownership of Innovations/Inventions
3.13.1 Makerere University shall endeavour to foster the development of its inventions and discoveries through patenting and licensing to industry in particular and generally to the private sector.
3.13.2 A patent is recognized as an incentive for a company to license an invention from the University and to invest in developing and marketing products based on the invention.
3.13.3 Licensing proceeds provide a means for the University to recognize and reward the creative efforts of inventors and to support additional research.

3.13.4 Any discovery or invention that satisfied the following circumstances shall belong to the University (hereinafter referred to as: University Inventions):

(a) results from research carried on by, or under the direction of any employee of the University which is supported by University funds or funds controlled or administered by the University, or

(b) results from an employee’s duties with the University, or

(c) has been developed in whole or in part through the utilization of University resources or facilities not available to the general public.

3.13.5 Any discovery or invention arising from joint collaboration between the University or its employees and other institutions shall proportionately belong to the parties.

3.14 Disclosure

3.14.1 To assist the University in protecting University Inventions, University employees and students (including postdoctoral appointees, graduate and undergraduate students) shall disclose any University Inventions to the University prior to disclosing such discoveries or Inventions through publications, presentations or communications with third parties (including research sponsors) in a manner, which may inhibit or preclude the University from obtaining patent protection.

3.14.2 The disclosure mentioned under 9.5.1 (above) may also be required to comply with legal and/or contractual obligations owed to governmental or non-governmental research sponsors.

3.14.3 University staff shall not disclose University Inventions in the course of performing Outside Work for Reward unless and until the University has had the opportunity to take the steps necessary to protect University Inventions through patent or otherwise.

3.15 Responsibility of the University

3.15.1 While the University’s objective is to manage University Inventions in such a way as to produce the greatest benefit to the University and to the public, it may, but is not obliged to seek to protect any University Inventions by patent or otherwise.
3.16 Costing and Share of Proceeds of Innovation

3.16.1 The University shall recover all direct expenses incurred for the patenting, protection and licensing of each University invention form its licensing proceeds before distributing the net proceeds remaining among:

3.16.2 The inventor/innovator (s);

3.16.3 The inventor’s major administrative unit, and

3.16.4 The University according to the following formula:

Net Licensing Proceeds: Inventor (s); Major Administrative Unit; University

<table>
<thead>
<tr>
<th>Amount</th>
<th>Inventor (s)</th>
<th>Major Administrative Unit</th>
<th>University</th>
</tr>
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<tbody>
<tr>
<td>First US $5,000</td>
<td>80%</td>
<td>10%</td>
<td>10%</td>
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<tr>
<td>Next US $50,000</td>
<td>50%</td>
<td>25%</td>
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<td>Next US $250,000</td>
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<td>Next US $500,000</td>
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</tr>
<tr>
<td>All Additional Net Licensing Proceeds over US $1,000,000.</td>
<td>50%</td>
<td>25%</td>
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3.17 Overall Responsibility for Administration of IPR Management Policy

3.17.1 The Vice Chancellor shall be responsible for administering this policy and managing University Inventions, including technological know-how that may be licensable but may not be patented or patentable.

3.17.2 The Vice Chancellor has delegated this authority under this Policy to the Deputy Vice Chancellor for Academic Affairs and Research.

3.17.3 The Vice Chancellor may authorize exceptions to this Policy that she/he determines to be in the best interest of the University.

Annex I: Guidelines for the Approval of Research Proposals

1.0. Initiation of a Research Project

A research proposal should be prepared by interested researchers in accordance with the formal given in Annex II. The Proposal should then be submitted to the Departmental Higher Degrees and Research Committee (DHDRC)
To ensure maximum efficiency and to minimize administrative problems, a researcher is normally recommended to limit the number of research projects undertaken at any one time. The number and sizes of research projects will be dependent upon the DHDRCs assessment of the individual researcher’s ability to handle several research projects at a time. In any case, consideration shall be given to the guidelines presented in the Board of Research and Publications to ensure a reasonable balance between involvement in research, teaching and consultancy.

The approval of research proposals shall be based upon previous satisfactory performance. In general group research work will be given preference over individual ones. Makerere University encourages international collaborative research and where funding is available, these should be given special preference.

2.0. Action by the Departmental Higher Degrees and Research Committee (DHDRC)

The proposal should be discussed by the DRPC. Once the DRPC is satisfied with the relevance, the need, soundness and the financial estimates of the submitted research proposal it will be forwarded through proper channels to the Faculty Higher Degrees and Research Committee (FHDRC) with appropriate recommendations. However, if the Departmental Higher Degrees and Research Committee is not satisfied with the research proposal, there are three possible courses of action that it can take:

- To return the proposal to the researcher(s) for review and subsequent resubmission.
- To interview the researcher(s) and then either subject the proposal to the action above or approve it subject to minor revision. Another outcome of the interview could be approval of the proposal as it is.
- To reject it outright if the committee is sufficiently convinced that the proposal is of substandard nature in both the content and presentation.

In case a research proposal is rejected and the applicant is not entirely satisfied with the decision one can appeal to the Head of Department who might choose either to return it to the DHDRC with recommendations or endorse the rejection. However, if the proposal is rejected by the DHDRC for the second time, no further appeals should be entertained. As a guideline, the DHDRC should limit its evaluation to a maximum of three months.
3.0 Action by the Faculty Higher Degrees and Research Committee (FHDRC)

The FHDRC will scrutinize the research proposal, especially the research objectives, research methodology, time schedule, phasing etc. The FHDRC shall particularly scrutinize the cost estimates and can make other specific recommendations on the area coverage and resources required although academic responsibility and evaluation lies with the departments.

If the FHDRC is not satisfied with the research proposal, it is proposed that the courses of action to be taken shall be similar to those taken by the DHDRC. The only exception is that, in the case of an appeal after the first rejection by the FHDRC, the proposal is forwarded to the Dean or Director of the Faculty/Institute who shall make his/her recommendations to the FHDRC. As a guideline, the maximum evaluation period of a research proposal at Faculty/Institute level should not exceed three months. For projects funded at Faculty/Institute level the FHDRC have the final say on the approval of project (with room for appealing to the Dean/Director).

The projects shall be registered appropriately and both a copy of research proposal and the registration number forwarded to the Directorate for research.

For University funded research applications the FHDRC shall make recommendations for funding to the appropriate University level committee.

4.0 Action by University Board of Research and Publications (BRP)

The Board of Research and Publications shall receive and consider any proposal for funding after being satisfied of the relevance, need soundness and financial estimates. The BRP shall have the following alternative courses of action:

- To accept the proposal for funding when the committee is satisfied.
- To return the proposal to the FHDRC for review and subsequent re-submission if the guidelines are not followed or if the procedures have not been adhered to.
- To approve it subject to minor revisions to be made by the applicant(s).
- To reject it outright if the committee is sufficiently convinced that the proposal is of sub-standard nature in both the content and also the presentation.

In case a research proposal is rejected and the applicant is not entirely satisfied with the decision, one can appeal to the VC who might choose to either return it to the University Board of Research and Publications with recommendations.
5.0 Approval and Registration

All research projects shall be registered with the Directorate responsible for research whether they are funded at Faculty/Institute or University level. A Research proposal shall be numbered serially preceded with Faculty/Instituted and Department and year codes as follows:

```
FoE  EE  98  01  Project No. 1
    Registration in the year 1998
    Department of Electrical Engineering
    Faculty of Engineering
```

The Directorate for research shall coordinate research project registration. The directorate shall also maintain an up to date database of all research projects within the University.

6.0 Research Contract and Funding

An approved research proposal shall only be funded once the researcher(s) has signed a contract with appropriate offices. These shall be at Faculty/Institute or University level depending on where funding is sourced. In any case, the contracts signed at Faculty/Institute level shall be deemed to be contracts with University. Format for research contracts is included in Annex V. Originals of research contracts shall be signed by the Director for research irrespective of the source and level of funding.

7.0 Interim Progress Reports

At the end of each phase, the researchers are required to produce interim progress reports giving the up-to-date research findings through the departmental DHDRC. A format for such progress reports is given as Annex VI of these guidelines.

If as a result of the progress report there is a need to modify the contract(or schedule of payments), this request should be formally made through and recommended to the FHDRC by the DHDRC.

In some cases, the DHDRC might wish to send the interim report(s) to an independent reviewer before approving the next phase. Such cases will involve research projects handling massive data that is not easy to interpret or research projects involved in very technological developments not
well established in the department concerned. However, in any case, the funds for the next phase can only be released after the approval of the progress report by the BRP.

### 8.0 Final Research Report

At the conclusion of the research, a final research report should be submitted in the format contained in **Annex VII**. This should include all the data, results and findings obtained during the execution of the research project. The interim progress reports will normally form the basis for the final consolidation research report. The draft final research report should be sent to the DHDRC which shall appoint an independent reviewer and then submit the review report to the DHDRC together with their comments within one month after receipt of the researcher’s report. The guidelines for reviewers are given in **Annex III**.

The Researcher(s) will be required to modify the draft report as much as possible according to the reviewer’s recommendations if there are no major differences in their opinions. In the case of serious differences in the opinions, the DHDRC will have to appoint a second independent reviewer who will have to finish the review exercise within two weeks. In such a case, the DHDRC will have a final say on the required modifications to the draft report after receiving the second reviewer’s report. No appeals will be encouraged at this stage.

These final research reports should have a standard front cove (see **Annex VII**) and a unified printing format similar to the one demand by international journals. All final research reports will have a unified code number e.g. FoE/ME/3*/1991. The Research directorate will assign these numbers after the approval of the draft final report. The numbers marked with an asterisk (*) should be in serial order.

At least 6(sic) copies of the final research report should be submitted to the FHDRC for final approval. After the approval, these copies will be distributed as follows: Directorate of Research, FHDRC, Head of department, coordinator DHDRC, Makerere University Main Library and the section library where this exists. The abstracts of the final reviewed research reports should be published periodically in respective Faculty/Institute journals.
9.0 Research Seminars
The researchers should be required to give a seminar/conference at the conclusion of their research work and should also be encouraged to give periodic seminars during the research work. The seminar/conference presentation will in principle be the last item to be handled by the researcher(s) after completion of the exercise of reviewing the final draft report. This shall be a pre-condition for the release of the final payment to the researcher(s).
Annex II: Format for Research Proposals

1.0 Title of the Project
The title should be scientifically valid and sufficiently descriptive to reflect the nature of the proposed work. The title of the project once approved cannot be changed or modified without the written consent of the respective FHDRC.

2.0 Summary of the Project
A summary of the proposed project should be submitted taking into account the objectives, methodologies and the budget. Considerable attention should be given to the preparation of this item. It is suggested that you write this item last.

3.0 Objectives of the Project
A clear statement of the general problem(s) or issue(s) at hand should be given Strategic goal(s) to which the solution of the stated problem(s) will contribute should be explicitly stated. Specific objectives and targets must be clearly stated in order to facilitate monitoring and evaluation of the project.

4.0 Literature Review and Contribution of Project
The research applicant must show the interrelationship of what has been done by others in the field and what he/she intends to do. It should reflect a thorough survey of the existing state of knowledge and how in which way the intended work is going to contribute to the advancement of knowledge in the context of the problem to be solved or bring about socio-economic development.

5.0 Methodology
The researcher should clearly and thoroughly spell out the research plan for the project. The plans should identify and describe the different phases of the project. It should also indicate that the proposed methods and analytical techniques are feasible. This section should also describe the facilities and major items or equipment to be used. The researcher should also show the relationship of his/her project to other ongoing projects in as far as sharing of physical facilities, equipment and data is concerned.
6.0 **Project Duration**
The anticipated duration of the project must be given to enable the appropriate Makerere University organs set aside the funds approved for that duration. It will also assist in drawing up monitoring schedules.

7.0 **Organizational and Management Plan**
The details and rationale for human power needs, budget requested, work schedules and organizational structure of the project should be given here. Bar charts and key decision points should be used to illustrate the research plan, including contingency plans.

8.0 **Anticipated Output and Utilization Plan**
Specific solutions to the specific problem(s) or issue(s) that were addressed in the research projects constitute the anticipated output of the project. These outputs must tally with the objectives spelt out. In this section discussions on the steps already taken or planned to be taken to utilize the research results must be given. It should clearly list direct and indirect beneficiaries of the research output.

9.0 **Education and Training Components**
Specific educational and training requirements and programs geared at improving the professional capability of the staff involved in the project should be discussed in this section.

10.0 **Facilities and Funding**
The applicant should show the breakdown of all the funds being requested under the following: equipment (type of equipment and costs); travel (fares and places to be visited); others (specify). Where the applicant has applied for funds from some other sources he/she should specify the name of the organization, the date of application, the amount requested and its planned use.

11.0 **Justification or Rationale**
This section should clearly show the importance of the project by stating that the anticipated benefits of the project exceed the expected expenditure. The proposal should also show how the results of the research would be able to reach the end udders and bring about socio-economic development. The researcher should discuss the following issues as they relate to his/her project:-

- Technical feasibility
- Research costs
- Relevance
- Researchability
- Contribution to long-term capability building
- Probability of research success
- Availability of outside scientific inputs.

12.0 Publication
Indicate where and in which form the results of the work may be disseminated/published.

13.0 Work Plan
The proposal should indicate the roles of the key researchers and timing of their involvement. The plan should clearly show the role of the principal investigator.

14.0 Budget
The estimated budget for the research proposal should be itemized and presented in a clear format as shown in Annex IV.

15.0. Curriculum Vitae
Where deemed necessary, CVs of the key researchers shall be attached to the proposal.
### Annex III: Format for Evaluation of Research Proposals

1. **SUMMARY**  
   - YES
   - NO  
   [ ] Is clear and concise  

   Comments: ____________________________________________

2. **LITERATURE REVIEW**  
   - YES
   - NO  
   [ ] Comprehensive, relevant and up to date  

   Comments: ____________________________________________

3. **GOALS & OBJECTIVES**  
   - YES
   - NO  
   [ ] Clearly stated, priority clear and objectives achievable  

   Comments: ____________________________________________

4. **STATEMENT OF PROBLEM**  
   - YES
   - NO  
   [ ] Clearly stated and proposal is well reasoned out.  

   Comments: ____________________________________________

5. **METHODOLOGY**  
   - YES
   - NO  
   [ ] Proper, well designed, and related to all objectives stated.  

   Comments: ____________________________________________

6. **PERSONNEL (CVs)**  
   - YES
   - NO  
   [ ] The applicant(s) is scientifically and technically capable  

   Comments: ____________________________________________

7. **BUDGET**  
   - YES
   - NO  
   [ ] Realistic  

   Comments: ____________________________________________
8. CONCLUSION: Do you recommend approval of this proposal?

[ ] [ ] Yes as presented

[ ] [ ] Yes, subject to minor revisions shown under, “Comments”

[ ] [ ] No, see detailed comments under item 9

9. ANY OTHER COMMENTS:

[ ] [ ] No, do not recommend it.

Comments: (Use a separate paper for detailed comments)

Note: You may use a separate sheet of paper for detailed Comments on each of the above sections
Annex IV: Standard Research Budget Format

1. Cost Estimate

Cost estimates for research Project proposals should be given under various subheadings such as:

(i) Equipment, books, tools, costs (if any)
(ii) Payments to supporting staff*
(iii) Labour costs
(iv) Consumables/materials**
(v) Travel and accommodation costs***
(vi) Report writing costs
(vii) Honoraria; mention names of recipients, applicable rates and duration
(viii) Contingencies; usually 10-15% should be allowed for
(ix) Research administrative costs- at least 8% of all costs

The cost estimates should conform to approval rates.

- Indicate which cadre of supporting staff, for how long and state the basis of payment i.e either a fixed rate per hour or lump-sum payment(s).
- For consumables/materials, indicate the local/foreign cost component.
- Here state the applicable per diem or the estimated ticket cost, duration of stay, accommodation charges per night, food cost/allowance, if traveling by road in a faculty/personal vehicle indicate the total distance to be traveled and applicable rates allow the driver’s expenses.

2. Budget Format and Payment Schedule (next page)

MAKERERE UNIVERSITY
SUMMARY OF RESEARCH PROJECT BUDGET

<table>
<thead>
<tr>
<th>Date</th>
<th>Project Title</th>
<th>Project No</th>
<th>Name of Researcher</th>
<th>Total Funds</th>
<th>10% Admin Fee</th>
<th>5% Publish Fee</th>
<th>1st Install.</th>
<th>2nd Install</th>
<th>Faculty</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>


Annex V: Research Contract Format for Researchers

MAKERERE UNIVERSITY

Directorate of Research, Publications and Graduate Studies

Contract for Research

1. Name of Researcher(s) 1.______________________________________
   (Principal Researcher)
   2. ____________________________________________
   3. ____________________________________________
   4. ____________________________________________

2. I, the Principal Researcher mentioned above, undertake to carry out the research project, titled …………………………………………………………………………………
The details of which are contained in the attached approved proposal.

3. The duration of doing the research will be …………………… Months.

4. Makerere University undertakes to provide funding for the proposal project for the total amount of Uganda shillings …………………………… subject to the availability of funds.

5. The payment will be in accordance with the approval schedule that is attached to this contract.

6. All supporting staff, e.g secretarial, technical and auxiliary will be from among Makerere University staff/students. Permission to employ staff outside Makerere University, if for an extended period of time and/ or on regular basis should be obtained from the Director, R & P before it is effected.

7. Makerere University reserves the right to withhold payment partially or fully, if it is not satisfied with the progress of the project.

8. The researcher(s) shall be required to refund the Makerere University payments received fully or in part in case of non-performance.

9. Makerere University will have copyrights on the research.

10. The research project has been assigned a unified Makerere University Code No. …………………

_________________________  ____________________________
Principal Researcher  Witness

_________________________  ____________________________
Director, Research and Publications Graduate Studies  Date
Annex VI: Research Progress Report Format

1.0 Project Description

Section A: Summary of Administrative Information

1.1 Project Number & title: ________________________________________________

1.2 Principal Researcher
   Name: ____________________.
   Department: ___________________________

1.3 Period (month/year) covered by this report
   From ___________________________ to ___________________________

1.4 Period (month/year) covered by previous progress report:
   From ___________________________ to ___________________________

1.5 Starting date of project: _____________________________________________

1.6 Estimate duration of Project __________________________________________
   Date of estimated completion _________________________________________
   Initial: ___________________________
   Latest: ___________________________

1.7 Estimated cost of project in (Ushs): ________________________________

1.8 Funds allocated to project in Ushs)
   Phase 1  Phase 2  Phase 3  Phase 4  Total
   __________  __________  __________  __________  __________

2.0 Project Objectives

Briefly state the project objects, indicate which (if any) are changed or new, and give the reason for
any revision (1) since the start of the project, and (2) since the latest progress report.

1.0 Progress since Last Report

A Scientific Progress

Include sufficiently detailed summaries of work carried out and results obtained to permit an
informed critical scientific assessment of the work by the respective committees and per reviewers.
If possible, results should be presented in tabular or graphic form. Summaries should be complete
in themselves and as brief as possible, consistent with clarity (a maximum of two pages is required.)
**Section B: Progress Towards Achieving Project Objectives**

Describe advances and/or problems encountered towards the completion of the plan of work for this reporting period. Interpret new findings (both positive and negative) in terms of the objectives of the project and state if they are expected to increase (or decrease) the duration, total cost, and/or likelihood of success of the project. If findings indicate potentially fruitful alternative and/or additional lines of research, indicate so with sufficient explanatory information to ensure understanding by reviewers.

2.0 **Financial Statement of Income and Expenditure during the Period Covered by the Report.**

<table>
<thead>
<tr>
<th>Period Covered (Date)</th>
<th>To</th>
<th>Amount ¹ Brought Forward</th>
<th>Fund ² Received</th>
<th>Funds ³ Expended</th>
<th>Balance ⁴</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td></td>
<td>Direct Expenditure</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td></td>
<td>Travel and Transport</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td></td>
<td>Per Diem</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td></td>
<td>Honoraria</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Grand Total</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

1. Amount should be shown in Ushs.
2. The breakdown should be as shown in the budget approved for the reporting period.
3. Include as funds expended those for which commitments have been made.
4. This amount is the sum of amounts in the first two columns, less the amount in the third. The balance should be reconciled with approved budget indicated in Annex IV.
Annex VII: Format for the Final Research Report

1.0 Research Report Content

A research report should include the following headings:

- Abstract
- Acknowledgements
- Table of contents
- List of Figures
- List of symbols
- Introduction
- Objectives
- Literature review
- Methodology
- Experimental details
- Results
- Analysis and Discussion of the results
- Conclusions and Recommendations
- References/Bibliography
- Tables
- Plates
- Appendices

2.0 Report Format

- All headings should be left justified.
- Line spacing should be single and fonts should be 12cpi.
- Left margin should be 1.5in and 1 inc on all other sides.
- Typing should be on both sides of the A4 page.
- Format for quoting reference numbers in the text and reference should be standard. British Citation Standard BS5605: 1990 is recommended. Any other standard that is recommended for certain professions could also be used.
- Report cover shall be as shown in the attached format.
Annex VIII: Criteria for Sharing of Copyright Ownership for Research Out

1.0 Criteria

Six criteria for sharing copyright ownership are proposed. These are described below:

1.1 Intellectual contribution
Intellectual contribution is based on academic qualifications and seniority of the research team members. The following points shall apply:

<table>
<thead>
<tr>
<th>Level</th>
<th>Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>PhD or equivalent</td>
<td>4 – 5</td>
</tr>
<tr>
<td>MSc, Mphil, MA and Postgraduate Diploma or equivalent</td>
<td>2 – 3</td>
</tr>
<tr>
<td>BSc, BA and HND (or equivalent)</td>
<td>1 – 2</td>
</tr>
</tbody>
</table>

1.2 Professional experience
Professional experience shall be evaluated by considering the working experience in terms of years of employment in that particular profession according to the following scale:

<table>
<thead>
<tr>
<th>Duration of Experience</th>
<th>Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Above 10 years</td>
<td>3</td>
</tr>
<tr>
<td>Between 5 – 10 years</td>
<td>2</td>
</tr>
<tr>
<td>Below 5 years</td>
<td>1</td>
</tr>
</tbody>
</table>

1.3 Technical staff support
Under this criterion, technical support contribution shall be awarded a points ranging from 1-4 depending on the relative contribution of the technical staff irrespective of rank.

1.4 Time involvement
The time of involvement is evaluated by breaking down the duration of all project activities into person hours and then determining the equivalent person hours spend by each individual.

1.5 Financial contribution
1.5.1 Honoraria payments are not included in financial contribution because each institution pays honoraria to its personnel based on the respective company/institution’s policies.
1.5.2 Financial contribution shall therefore include investment cost, cost of materials and consumables and operational expenses.

1.6 Facilities for research
The cost of using any machine shall be calculated as a product of time spend on the machine and the machine charge rate. These rates shall be computed at the end of the respective project, by mutual agreement of team members on the times and rates for the facilities used.
2.0 Evaluation of shares

2.1 Weighting
2.1.1 Fundamental research and product development projects shall carry different weighting factors, and the weighting should add up to 1.0
2.1.2 Fundamental research is that which starts from basic principles to develop a concept into a project.
2.1.3 Product development or innovation is work input to an existing concept or product to produce a better product.
2.1.4 The details of the weighting factors for both fundamental research and product development work are summarized in Table IX.2

2.2 Ownership share percentage evaluation

The format to be used in all co-sponsored research projects, for computation of the percentage share ownership is shown in Table IX.2.
Appendix I  Tips for Keeping Laboratory Notebooks for Intellectual Property Purposes:

- You don’t need to use a “commercial” lab notebook. However, use a bound notebook, with consecutively numbered pages. When you fill one notebook, number the next notebook volumes sequentially.

- You may need to have more than one notebook that is “active” at the same time. This happens if you are working on several different projects. Especially, if the projects are funded by different donors or grants.

- Identify the project to which all data relate. If possible, indicate the project or experiment number, or at a minimum give a brief descriptive heading.

- Use permanent ink, not pencils. Do not erase entries; instead, mark through what you would have erased.

- Never tear or cut pages from a laboratory notebook.

- Date and sign all entries. If you do not work on the project for a period of time, indicate the reasons and dates spent any from the research.

- Record all experimental data, conceptions, drawings, calculations, and other observations on a daily basis.

- Define all abbreviations and acronyms when first used.

- Have entries witnessed by someone that understands the science, but that is not a co-inventor/originator. Have someone review and witness the entries by signing and dating the notebook pages on a regular basis (weekly, or even monthly is acceptable).

- Record your ideas as well as your data. Include explanatory notes with all figures. Draw circuit diagrams, for instance, as comprehensively as possible, using blocks or similar notations to indicate conventional parts. Flow diagrams can also be very useful.

- Avoid loose pages and inserts. If a sketch or note is made on a loose piece of paper and you wish to place it in your book without making another entry, permanently affix it in the notebook and have its placement witnessed by another investigator.

- Permanently attach additional material or data, such as computer printouts and photographs, and refer to the attached information in a notebook entry.

- Make notations of the progress and completion of compounds, assemblies, or models being prepared for testing. Relate these entries to previous sketches or entries that explain how the compound or equipment is being made.
Appendix II  Intellectual Asset Identification Form

Disclosure Number: 2003-01

Name of person filling in/receiving this form_V. Hensone-Apollonio
Signature

Date 07-05-03 Type of asset 13 method

Originator: _V. Hensone-Apollonio Signature

Others working with you CAS IP contacts, CGIAR Center IP Managers, Director of F&W CP. (Names provided in attachment)

1. Description of technology and suggested scope:
   Title of asset: Method for Identifying Intellectual Assets to Facilitate Asset Management, including use.
   How would you characterize the stage of this technology? (Check appropriate box)
   π Concept π Reduced to practice → Working prototype (if yes, Documentation Y or N)

2. What is the problem you are trying to address?
   A tangible way.

3. What is your solution to this problem?
   My solution was to prepare a new form that guides the originator of an intellectual asset through a series of questions. When these questions are answered, the information therein should describe, through text and figures, an individual intellectual asset in such a way as to permit an intellectual asset to be recognized and identified in a tangible mode.

1. An intellectual asset is a new creation that has required human thought. In this context an asset is, for example, any idea or concept, publication, model, innovation, data, database that is useful.
2. The type of asset would be, for example, a software application, data, database, innovation (method, machine, composition), germplasm, a publication.
4. **Who would be the intended users of this asset?**
Specific users are: scientists, researchers, and staff of CGIAR institutes. More broadly, anyone that is an originator of an intellectual asset that desires to make that asset more explicit.

5. **Novel features:**
Are there solutions to this problem? If so, please describe and list who is working on these solutions.

Other solutions include the many forms, of a similar nature, that are available as public disclosures, many in the public domain.

How does your solution differ from these other solutions?
Other forms are used to disclose and identify inventions in order to evaluate their potential as formal intellectual property (IP), as a patent, trade secret, and the like, usually for commercial use. These forms are usually called invention disclosures forms.

6. **Date of conception**
What is the date when the basis of this asset was first conceived? January 2003

Do you have this information in a notebook or is it documented elsewhere? No

7. **Project inputs and sources (including funding) used:**
My time, funding from CAS budget, provided by the CGIAR.

8. **3rd party inputs and sources used:**
Computer, word processing application (MS Word).

9. **Collaborators that contributed to the conceptual ideas:**
None

10. **Public disclosure of your asset:**
Have you described your solution to anyone outside your groups? Yes.

Appendix III  Material Transfer Agreement

PARTIES:

ARS: ______________________________________ (ARS Scientist)
_________________________________________ (MU Name)
_________________________________________ (Address)
Recipient: ___________________________________ (Recipient Scientist)
_________________________________________
_________________________________________

PURPOSE:

To provide Recipient with and associated know how, hereinafter collectively referred to as the Material.

The Material is released to Recipient under the following conditions:

1. The Material and associated know-how shall only be used for (give the specific purposes) that the material may be used for).

2. Recipient shall not transfer the Material, in whole or in part, to a third party without express written consent of ARS. Any third party requesting a sample shall be referred to ARS.

3. The Material shall remain the property of ARS and shall not be used for commercial or profit making purposes without an appropriate license or other permission from ARS.

4. Recipient shall keep ARS informed of the results obtained through your use of the Material and shall provide ARS with any manuscript that describes the work with the Material prior to submission for publication and acknowledge ARS’s contribution to the work reported.

5. Recipient shall not in any way state or imply that this Agreement or the results of this Agreement is an endorsement of its organizational units, employees, products, or services.

6. Recipient shall comply with all laws, regulations, and/or guidelines applying to the use of the Material and to assume sole responsibility for any claims or liabilities which may arise as a result of the recipient’s use of the Material. It is the responsibility of Recipient to obtain any required permits for the Material before the Material is shipped.

7. ARS GIVES NO WARRANTIES OR GUARANTEES EXPRESSED OR IMPLIED FOR THE MATERIAL INCLUDING MERCHANTABILITY OR FITNESS FOR A PARTICULAR PURPOSE.

8. Upon completion of the activities performed using the Material, the Material shall be returned, destroyed or otherwise disposed of as instructed by ARS.