



Addis Ababa University
University-Industry Linkage Policy

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Abbreviations

AAU	Addis Ababa University
ECTS	European Credit Transfer System
IPR	Intellectual Property Rights
MoU	Memorandum of Understanding
RTT	Research and Technology Transfer Associate Dean Office/or equivalent
VPRTT	Vice President for Research and Technology Transfer
TT	Technology Transfer
UIL	University Industry Linkage
UILTT	University-Industry Linkage and Technology Transfer

Section 1: Introduction

1.1. Background

Addis Ababa University, as a pioneer university in Ethiopia, has initiated various programs to link its academic units to the industry needs and better serve the nation. The initiatives taken so far have resulted in acknowledged relations with industries of various nature: manufacturing, service giving, governmental, non-governmental, commercial businesses and so many more. The university has served these industries through several modalities, in collaboration with external stakeholders. Recognitions and acceptance built so far relies heavily on the quality of service delivered for industries from its pool of knowledge. However, with growing need and competition to serve industries better, building internal capacity stronger and becoming a desirable university needs to be systematic. This demands a structured and organized modality of working programs and initiatives. Among the working modalities, this policy looks into University-Industry Linkage related issues.

A meaningful collaboration between universities and industries could provide a variety of benefits. These benefits are primarily related to income generation, access to technology and equipment, practical experience, curriculum development, community service, and image building, and employment opportunities for students. In addition, University-industry Linkage is a very important concept that bridges the theoretical excellence of universities with real-world experience of industries. Without such a linkage, the two sectors of the economy would not function properly and demand huge resources and time to become competitive in the current dynamic world economy. Universities around the world have initiated different approaches of work for collaborative relations with industries. Among these, student internships, staff externships, consultancy services, specialized training, and problem-solving industrial projects,

and tailored academic programs are major ones. Addis Ababa University is not new to these practices. It has been serving various types of industries as part of its teaching, learning, and research initiatives or based on the request from industries. The close relation between the two parties also assists in making the University curricula more meaningful by creating the chance for incorporating contextualized content. The linkage provides the opportunity for the University to contribute towards the development of their community. This also adds to image-building by promoting the status of the University in the public.

However, the service delivered is fragmented and prone to various disputes among stakeholders. The non-uniformity of such services also poses a concern for industries and even the University community. It is thus important to structure and direct the path the University shall follow in linking with and serving the industry better. Given this, Addis Ababa University visions to be among the top African graduate and research universities in 2023, which certainly demands a focused university-wide policy framework. This policy strives for the integrity of the university's mission and operations and reflects the governance structure of the University to serve industries and the country better through University-Industry Linkage and Technology Transfer. It builds upon the current situation of the University and targets to scale-up related affairs to outstanding performance.

The University-Industry Linkage (UIL) policy has been divided into the following sections and subsections:

1. Student Internship and staff externships;
2. Consultancy and training services;
3. Industry-sponsored projects/researches

Each of these sections is elaborated from their guiding principles, purpose, objective, scope, policy statements, and waiver standpoints.

1.2. Definitions

For the purposes of this Policy, the following definition of terms shall be applicable:

Academic Unit: A unit within the University as a department, school, or center responsible to deliver one or more academic program(s).

College/Institute RTT/UILTT Office – an office or unit within colleges and institutes of AAU, which is responsible for University-Industry Linkage and Technology Transfer tasks of the University.

Consultancy means professional work carried out on behalf of a third party utilizing the knowledge and expertise of a member(s) of university staff and, in some cases, the equipment and facilities of the University.

The above two definitions (Training & Consultancy) exclude:

- Conferences and seminars to disseminate research findings;
- Service on public sector or charitable committees/community service;
- Authorship of, or royalties from, the publication of books;
- External examiner and academic assessment duties;
- Editorship of academic journals or the publication of academic articles;
- Office holder of a professional body/government public body in the capacity of an expert;
- Over load teaching; and
- Teaching and advising in another university.

Consultant means a member of university staff engaged in the provision of Consultancy.

Industry: any private or public companies, enterprises, associations, governmental institutions, and any other organizations that deliver services and/or manufacture products.

Industry-sponsored research: Research or research-related activities that are funded in whole or in part by an Industry.

Industry-sponsored research agreement: is a written agreement used when a company or an organization provides funds to Addis Ababa University or any of its academic units/faculties/schools/institutes, etc. for an organized research project.

Industry supervisor – an experienced employee of the internship placement organization who is assigned to consult, give direction and supervise the performance of the student in an internship to streamline the student’s work with the need of the organization.

Intellectual Property (IP):

- (a) any proprietary right which arises under, or is capable of being obtained under, legislation relating to copyright, patents, utility models, industrial designs, trade marks, or plant varieties; and
- (b) other intellectual property, including know-how, trade secrets, and confidential information which can be protected by the laws of unfair competition; and includes such rights to the extent that they are added to or varied from time to time by amendments to relevant legislation.

Research: The creation of new knowledge and/or the use of existing knowledge in a new and creative way to generate new concepts, methodologies, inventions, and understandings. This could include synthesis and analysis of previous research to the extent that it is new and creative.

Staff externship: A program/arrangement in which academic staff members of an academic unit spend a predefined period (usually short) in an industry relevant to their field of study to get practical exposure and better understand challenges to serve the industry;

Stakeholder: Private, governmental, and/or non-governmental organizations and industries, which have concern and relation with the university

Student internship: A program in academic learning whereby students spend a predefined period in an industry that enables them to practice their technical knowledge and get hands-on experience on challenges in practical working situations;

Trainer means a member of university staff engaged in providing on-line, face-to-face, tailored, and generic training activity.

Training refers to any form of professional or technical short-term training rendered through the appropriate university channel (Institute, college, unit, department, center, or school) to any organizations, individuals, or groups. This policy covers the following training service provided by the university: on-line, face-to-face, tailored, and generic courses.

University means Addis Ababa University

University-Industry Linkage (UIL): is the interaction between Industry and the University with the goal of solving technical problems, working on research & development, innovative projects, or gathering scientific and/or technological knowledge.

University mentor – an academic staff assigned as a guide for a student in an internship program. He/she shall guide the student in academic, work-life, and related issues encountered in the internship program

Section 2: Student Internship and Staff Externship Policy

2.1. Introduction

Internships and externships offer a supervised work environment where students can put their training into practice and academic staff could build their capacity to better understand industry-specific challenges respectively. Through internship programs, students work with a wide variety of employees and in a range of practice areas that supplement their employability. Externship programs, on the other hand, enhance academic staff's ability to integrate real-life field-specific challenges into their teachings. AAU recognizes that student internship and staff externship programs are vital for enriching practice-based learning and training opportunities as well as to capacitate research idea development. These off-campus student internships and staff externship placements are designed to significantly enhance the academic and professional goals of the student. They are essential learning experiences that are substantially relevant to deliver quality academic goals and directly augment their programmatic studies. These programs also benefit the industry to utilize the expertise of students and academic staff under their placement to their advantage and ascertain graduates are fitted to their needs. In general, these programs are believed to strengthen students' employability and staffs' practical working environment exposure along with problem-solving research opportunities.

2.2. Policy Principles

In this policy implementation, the University shall be dictated by the following principles. In other words, they are the signposts of the University's internship and externship program engagements with students, staff members, and other stakeholders.

- 2.2.1. The UILTT office shall establish accountability for acknowledgment and assumption of responsibility for actions, products, decisions, and policies within the scope of the office, associate deans for RTT/UILTT of colleges/institutes and academic units, and be answerable for resulting consequences;
- 2.2.2. Internship and externship programs shall be made fair to all stakeholders in equally treating people or organizations involved or in a way that is right or reasonable to all parties involved;
- 2.2.3. Colleges and institutes of the University shall establish sustainable relation with target industries in making student internships and staff externships beneficial to the industry as well as practical knowledge building of students and staffs;
- 2.2.4. Academic units, college/institute RTT/UILTT Offices, and UILTT Director office of AAU shall be responsive to issues pertaining to internship and externship programs to better serve the industry and build the capability of students and staffs;
- 2.2.5. Placement, monitoring, and follow-up activities of internship and externship programs shall be executed with respect and un-biasedness to all stakeholders involved;

2.3. Purpose

The importance of having internship and externship programs focuses upon enhancing the quality of education and professionally serving the industry. This is achieved through staff practical engagements via externship programs along with exposing students to an industrial working environment and challenges via internships. These programs are designed to enable staff and students to understand the pragmatic professional work environment prevailing in industries. Even though the importance of these programs is generally understood and accepted, their implementation is fragmented and less emphasized. This policy addresses the need to have

a uniform and streamlined implementation of these programs to elevate the quality of service delivered by the University. Furthermore, these programs emphasize improving the competitiveness of industries by addressing quality and productivity concerns via students' and staffs' problem identification and resolutions.

2.4. Objective

2.4.1. Streamline internship and staff externship programs across AAU academic programs with a guiding direction of implementation;

2.4.2. Structure programs to enable practical knowledge enrichment of staff and students to better serve the industry and the University;

2.5. Scope

2.5.1. Policy directions given in this document on internships apply to all BSc/BA students unless approved and exempted by the respective college/institute academic commission followed by the AVP office. MSc/MA and Ph.D. students are not obligated to participate in these programs. However, the specific academic unit may decide to make this policy applicable to MSc/MA and Ph.D. students when approved by the respective academic commission;

2.5.2. Staff externship shall be highly encouraged for all permanent academic staff.

2.5.3. This policy strongly encourages the engagement of competent staff from the Industry to deliver lectures (as guest lecturer), review/examine theses/projects, provide lab technical supports, share practical experiences, mentor interns/externs, and involve in other related activities based on a predefined scheme/schedule by the respective academic units;

2.5.4. This policy shall not apply to support staff and faculty employed on a temporary basis such as adjunct professors, visiting fellows, etc.

2.6. Internship Programs

- 2.6.1. Each academic unit shall incorporate a student internship program in its curriculums with a predefined grading system. The timing for the internship shall be determined by the respective curriculum, considering the course work required to be covered before the program.
- 2.6.2. The minimum grading scale for an internship program shall be set for each college/institute through the respective academic commission, considering the nature of the variety of fields available;
- 2.6.3. Student internships shall be scheduled for a period of one semester before final year project work
- 2.6.4. College/institute RTT/UILTT offices shall strategize modalities of student internship placement and identify organizations for placement of students based on predefined/prescheduled period from the academic units;
- 2.6.5. Colleges/institutes may provide a transportation and meal allowance for students in an internship as per the standard to be set by the VPRTT office;
- 2.6.6. Each student shall have one mentor from the university academic staff and a supervisor from the industry side. The mentor and supervisor must define the specific tasks/project the student would be engaged in during the internship program;
- 2.6.7. Mentors are expected to visit students during their internship in the host company at least three times during the internship period;
- 2.6.8. The workload for mentorship shall be calculated as 0.4 Lecture Equivalent Hours (LEH) per student as per Article 58.1 of AAU legislation for undergraduate project advising;

- 2.6.9. Mentors shall be provided transport service or transportation allowance for visiting assigned students during the internship;
- 2.6.10. In addition to the transportation allowance, mentors shall be given per-diem for the visit days. Duration of the visit shall be determined by respective academic unit heads/deans and location of the internship placement;
- 2.6.11. Students shall prepare and submit a well-compiled report, with a minimum of one project based on existing problem of the company, and performance evaluation from the company supervisor which shall constitute in overall evaluation for student internship;
- 2.6.12. An intern must abide by all the rules and regulations of the host organization;
- 2.6.13. Follow-up procedures and control mechanism shall be developed by College/institute RTT/UILTT offices to monitor both students and mentors;
- 2.6.14. Each college and institute shall be encouraged have uniform internship program initiation, agreement, follow-up, and control procedure under their respective research and TT offices. Such procedures shall be developed and disseminated by AAU – UILTT Director Office;

2.7. Externship Programs

- 2.7.1. Identification and scheduling of staff externship shall be the responsibility of the staff as collaborating with respective industries is highly encouraged in higher education institutions. The academic unit, however, could facilitate such placement when the opportunity presents itself;
- 2.7.2. Academic staffs must get approval from their respective academic unit before going for an externship;

- 2.7.3. An academic staff on an externship program may be considered as on a research leave, given the conditions given by this policy, for practical teaching and problem-solving capacity development as per Article 41.2 and 41.3 of AAU Senate Legislation;
- 2.7.4. Staffs in externship program may get a financial incentive from the externship hosting company, arranged by the free will of the company, during the program period in addition to regular salary from the University;
- 2.7.5. An extern must abide by all the rules and regulations of the host organization;
- 2.7.6. After finalizing the externship program, the academic staff is expected to present his/her experience to his/her academic unit in a public lecture setup to convey gained experience;
- 2.7.7. Academic staffs and respective units shall schedule staff externships based on their semester workload to avoid any staff scarcity for course delivery;
- 2.7.8. Staff members willing to engage in externship programs during the summer period (after the end of the second semester);
- 2.7.9. The academic unit and college/institute UILTT office shall communicate with the externship hosting company regularly and assure the professional service is being delivered properly;
- 2.7.10. Company evaluation over the externship of an academic staff must be filled, sealed, and submitted to the College/Institute UILTT office. Such evaluation shall be filled by the immediate supervisor for the extern or top management of the organization;
- 2.7.11. An evaluation scheme of staff externship shall be setup by the college/institute UILTT office and used for the improvement of the program;

2.8. Internship and Externship Additional Matters

- 2.8.1. Each College/institute RTT/UILTT office shall conduct an annual survey and prepare a feedback report by approaching hosting organizations, students, and staff. Such report shall be completed before initiation of subsequent student and staff placement and must be submitted to AAU UILTT Director Office;
- 2.8.2. Colleges and institutes shall organize workshops and ‘industry day’ events to nurture the industry culture on students’ internships and staff externship programs;
- 2.8.3. AAU Director for UILTT shall synthesize reports submitted from all colleges and institutes and give directions for improvement. The office shall also conduct an industry reflection survey every two years and organize workshops to learn and improve from previous internship and externship programs;
- 2.8.4. AAU Director for UILTT in collaboration with College/institute RTT/UILTT offices shall raise awareness, conduct events to attract the industry, facilitate the negotiation and agreement with identified industries for placement of academic staff for externship program;
- 2.8.5. College/institute RTT/UILTT offices shall prepare reports on student and staff placements, stakeholders’ feedback, an event organized, and other initiatives on a semester basis;
- 2.8.6. Any IPR issue obtained through student internship and staff externship programs shall be governed by AAU’s IP Policy unless explicitly indicated and agreed otherwise in agreements made with the organization(s) involved;
- 2.8.7. Research ideas developed as a result of internship and externship programs shall be governed by the industry-sponsored research policy indicated in this policy;

2.9. Roles and Responsibilities

- 2.9.1. Director for University-Industry Linkage and Technology transfer shall own this policy and implement it through college/institute RTT/UILTT offices and specific academic units;
- 2.9.2. Academic staff must identify hosting organizations by themselves and need to communicate the respective academic unit and college/institute RTT/UILTT offices;
- 2.9.3. Student internship placement organizations must be identified by the college/Institute RTT/UILTT office. Students, however, could also take the initiative to identify placement in advance and notify the college/Institute UILTT office before placement announcement period;
- 2.9.4. College/institute RTT/UILTT offices and academic units shall schedule students and staff placement programs as part of their annual plan. Academic units via their college must provide the required support to mentors and control mentorship with prearranged procedures;
- 2.9.5. College/institute RTT/UILTT offices shall organize orientation sessions before sending students for internships to acquaint them to expectations of the program;
- 2.9.6. Mentors have a responsibility to identify impactful intervention areas in the industries, support technically, and evaluate the student's performance in collaboration with company supervisors. Minimum requirement of communication between mentor and mentee shall be set and strictly followed up by the academic unit and college/institute RTT/UILTT offices;
- 2.9.7. Academic staff and students are expected to prepare a report of their stay according to the expected format to be provided by the college/institute RTT/UILTT offices;

2.10. Waiver

This internship and externship policy shall be binding to all students of an academic and research units of the university that set internship as a requirement, unless waived. A waiver shall be obtained from the AVP of the University ahead of time to avoid delay. Such waiver is applicable only when:

- 2.10.1. Students have special conditions wherein participating in internship programs would result in unbearable physical/moral/psychological consequences. Such cases should be scrutinized starting from the academic unit and further assessed at college or institute level and be reported to AAU Director for University-Industry Linkage and Technology Transfer;
- 2.10.2. Force majeure situations occur that inhabit the student to conduct or finalize internship and is unable to fulfill such requirements. These incidences shall be critically examined and approved by the college academic commission;

2.11. Reporting

- 2.11.1. Mentors of interns should report to the academic units or respected office periodically, and to the extent required;
- 2.11.2. The reporting channels are as follows: mentors must report to the units, units to deans through College RTT/UILTT Offices, deans to the VPRTT through the UILTT Director Office using a standard formats to be prepared by the UILTT Director Office.

Section 3: Consultancy and Training Policy

3.1. Introduction

This policy deals with consulting and training, that is, where the University staff are engaged by a third party on a fee-for-service basis for the primary purpose of obtaining the benefit of professional knowledge, skills, or expertise. Consulting and training activity is one of the important means by which staff at AAU can make available their knowledge and expertise to government, public sector organizations, community groups, and business. Such interactions, in turn, benefit the University, as staff brings back to their teaching, research, and other roles the insights, experiences, and contacts they have gained as consultants and trainers.

The University recognizes the value of its staff undertaking consultancy and training for industries hence, encourages them to undertake consultancy and training because this creates and enhances links between the university and industries; increases academic competence and advancement of professional expertise of staff member and also it may generate additional income for the staff member and increased funding for the university.

The provision of professional consultancy and training services entirely coincides with these objectives and will contribute to greater interaction with businesses and society, the sharing of skills and knowledge, and the creation of economic opportunity.

The University further recognizes staff members' rights to engage in such university consulting and training activities. However, such engagements shall accord with the parameters of this policy, the overall visions and missions of the University and/or those of the specific college, school, institute, or department, and comply with the stated standards of the academic profession. Hence, the purpose of this document is to lay down the principles and guidelines that govern the

management and staff members of AAU to successfully and efficiently provide consultancy and training services to the community and also fully harness the benefits obtainable from the provision of the service. The policy will serve as an important tool in enabling the University to accomplish its missions and visions with due regard to its values.

3.2. Policy Statement

The University is committed to supporting external engagements that facilitate knowledge and technology transfer contributing to economic and social impact. This external engagement takes many forms but in defined circumstances may be considered as a “consulting and training” activity.

3.3. Guiding Principles

The following principles provide guidance to those who are undertaking consultancy and training services representing the University. These principles could also be used as criteria to guide institutional decisions about the kinds of consultancy and training services that the University should support.

- 3.3.1. Consultancy and training service provision is based on quality management procedures and high-level standards to meet the needs and demands of the industries. It should also be in swift and efficient service delivery system and communication channel;
- 3.3.2. The University promotes the participation of the academic staff members on grounds of qualification, competence, and experience based on the request of the customer;
- 3.3.3. The University strives to promote sustainability of consultancy and training services in all its aspects to ensure continuous capacity building under the situation of dynamic needs;
- 3.3.4. Consultancy and training service is initiated and undertaken in partnership with industries and the contexts of mutual learning, knowledge, and experience exchanges;

3.3.5. Consultancy and training service should be relevant to the needs and demands of the industries and communities through appropriate assessment.

3.4. Purpose

3.4.1. To ensure that AAU extends quality and efficient consultancy and training services to the industries based on knowledge and innovation gained in academic teaching, research, and provision of services for the mutual benefit of the industries and the University;

3.4.2. To creates and enhances links between the University and external organizations that will aid the University in areas such as increasing research opportunities thereby helping the University in achieving its objective and mission of knowledge transfer to improve the local and regional economies;

3.4.3. To increases academic competence and advancement of professional expertise of staff member and provides a continuing professional education opportunity in the world outside academia and research;

3.4.4. To generate additional income for the Staff Member and increased funding for the University.

3.5. Objectives

The overall objective of this consultancy and training policy is to indicate the framework and guiding principles in which the University's consultancy and training activities operate to ensure the quality of consultancy and training services provided to the industries. Specifically:

3.5.1. To provide a flexible management framework to cover the range of consultancies and training customarily undertaken by staff members using the University's name, services, space, facilities, equipment, intellectual property, and/or paid work time, including

consultancies and training directed toward charitable purposes, community service, and strategic priorities for the University;

- 3.5.2. To define the University's management and quality control expectations for consultancy and training contracts involving or implicating the University, including those relating to risk management and accountability;
- 3.5.3. To provide guidance to persons inside and outside the University as to when and how consultancies and training may be undertaken using the University's name, services, space, facilities, equipment, intellectual property, and/or paid work time;
- 3.5.4. To set guidelines for sharing the income from consultancy and training activities across various legitimate participants. And to set guidelines that will ensure equitable access to consultancy and training assignments by all staff members, including junior and female staff members.

3.6. Scope

- 3.6.1. The policy covers any work or activity undertaken by the University academic staff in their field of expertise, for industries in government, private sectors, or external agencies for which some financial return is provided in the form of professional fees or honorarium. Staff other than academic staff may only engage in consultancy and training activities where specific arrangements have been approved on an individual basis by the UILTT Director office. However, they can engage as a support staff without any other further approval from the director office;
- 3.6.2. The policy addresses all issues of the consultancy and training process; which includes matters related to service management, delivering the service, cost related to the service, authority, service quality, etc.

3.7. Consultancy and Training Services Initiation

The consultancy and training services rendered by the University could be initiated either by the industry requesting the University to provide the services, or the University may initiate consultancy and training services in consultation with the concerned bodies. The initiated consultancy and training services shall be categorized into Strategic Consultancy & Training, and Negotiated Consultancy & Training:

3.7.1. **Strategic Consultancy & Training** refers to the professional service or work that would normally be undertaken to provide public services aligned with the University's strategic priorities as set out in the University establishment document. This may be the government assignment or direct request from public sector institutions or industries.

3.7.2. **Negotiated Consultancy & Training** refers to the provision of professional service or works to external parties/industries based on a contract signed between the University and the client. This could be received as a direct request from the client or as a tender from the market or could be by the request of the University. However, a negotiated consultancy and training agreement must not be in conflict with other core businesses of the University (teaching, research, and community service).

3.8. Consultancy and Training Management

3.8.1. The University Management shall be responsible for the University's consultancy and training services. Therefore, each institute, colleges, department, schools, and units should submit a report to the UILTT director or vice president for research and technology transfer as per the time table stated by the University;

3.8.2. All consultancy and training projects shall be coordinated by the respective offices and/or with the UILTT Office of the University;

3.8.3. If the consultation and training project is a multi-disciplinary activity, the UILTT Directorate is the one who is responsible to coordinate, but if the consultation and training are from one single institute, colleges, department, schools, units, the respective offices are responsible to coordinate the project in consultation with the UILTT Office.

3.9. Negotiations and Contract Authorization

3.9.1. All consultancy and training projects shall involve detailed negotiations of contract terms and signing of contracts in the form of agreement;

3.9.2. Negotiations shall take into account public service priorities and the mission of the University;

3.9.3. Negotiations may be made using different mechanisms supporting by necessary documents;

3.9.4. Negotiations may be initiated by the VPRTT and/or UILTT director and/or head of the institute, colleges, department, schools, and units;

3.9.5. The contract agreement shall cover various aspects, which are mentioned during negotiation such as deliverables, milestones, payment schedules, role and responsibilities of the parties, disputes resolution, liability, and arbitration has to be included in the contractual documents;

3.9.6. If the University undertakes consultancy and training services in partnership with other external consultants, trainee, or firms, a clear Memorandum of Understanding (MoU) or contractual agreement shall be signed between the two Parties;

3.9.7. The consultancy and training service shall be delivered after a contract is signed with representatives of the industries and the President of AAU, head of the University;

- 3.9.8. If the contract is for training service and if applicable, the contract shall specify the quality of service (training, materials, and hospitality); the cost of facilities and professional fees; the time and place of the training;
- 3.9.9. Copy of the contract shall be sent to all responsible bodies including UILTT Director Office, Budget and Finance Directorate of the University or colleges or institute or units for follow up and to use as a reference during consultant and trainer payment;
- 3.9.10. An internal contract shall be signed between the hosting colleges/institutes/units and the consultant(s) and/or trainer(s) assigned by the University entities. Payment shall be made to the consultants and/or trainers assigned by institute/colleges/departments/schools/units and other external trainers according to the payment procedure of the University.

3.10. Expertise Involvements

- 3.10.1. Consultancy and training assignments shall be carried out by individuals or team of experts from different disciplines based on the nature of the assignment;
- 3.10.2. The consultancy and training team shall comprise a qualified and experienced team leader and relevant experts believed capable to undertake the assignment;
- 3.10.3. The level of involvement of academic staff in consultancy and training services shall be as per the rule indicated on the Senate Legislation of the University;
- 3.10.4. Assignment/selection of staff as consultants and trainers shall be transparent, fair, and competence-based. To this effect, there shall be selection criteria;
- 3.10.5. The assignment/selection of staff shall consider the fair and transparent appointment of junior and female staff. To this effect, there shall be selection criteria;
- 3.10.6. Staff members, who participate in consultancy and training services, should be as per their academic achievement and expertise level. The assignment shall not be made on a

quota basis, because quality will be affected when staff members who cannot deliver services are assigned to execute consultancy and training services;

3.10.7. In consultancy and training assignments where there is a lack of proper expertise and experience or shortage of consultants and trainers from within, consultants and trains from the associate staff list shall be considered. Associate staff shall be identified from other local and international similar organizations through the signing of a Memorandum of Understanding (MoU) to sustain partnerships and produce effective services. The partnership we establish to execute consultancy and training services shall be the organization to an organization; it shall not be the organization to an individual(s).

3.11. Consultancy and Training Project Proposals

3.11.1. To translate customer needs and expectations into a well-defined consultancy and training assignment Terms of Reference (TOR) and/or official service requisition letter is a prerequisite for all consultancy and training services to be provided;

3.11.2. Project proposals shall be prepared for all consultancy and training services to be done and approved by the respective University entity;

3.11.3. The consultancy and training project proposals shall be formulated according to the standardized consultancy and training project proposal format produced by the University.

3.12. Certification (For training only)

3.12.1. For all training, regardless of the duration, certificates shall be issued to participants based on training objectives attainment for those who attend at least 80% of the training time. Participants with more than 20% of absence in a training program shall not be given a certificate;

3.12.2. Certificates shall be handed over immediately when the training is wound up;

3.12.3. The certificate will be signed by the VPRTT and/or UILTT Director and/or respective Institute directors and/or college deans and/or department heads and/or unit heads;

3.12.4. When training is delivered jointly with other Industries (governmental or private), the certificate shall be signed by both parties (the University and the Partner), and the logos of both shall appear on the certificate.

3.13. Costing of Consultancy and Training Service

3.13.1. The cost of consultancy and training service will depend on how much the resource of the University will be used by the project. In general, the cost will have two components: The cost of the experts and the overhead cost. Depending on the variation of University resource utilization the overhead cost shall be categorized into two:

3.13.1.1. Overhead for no usage of the University major resource: In this case, the consultant/trainer shall use office utilities, projectors, and related resource only;

3.13.1.2. Overhead for the usage of University resources: In this case, the consultant/trainer shall use class/training rooms, laboratory equipment, computer laboratory, workshop machinery, and related non-consumable facilities in addition to the one, which is indicated under sub section 3.13.1.1.

3.13.1.3. Depending on the categories made under sub section 3.13.1, the cost of consultancy and training will be generated as follows:

a) **Cost of consultancy and training with no usage of the University major resource:** The cost of consultancy and training work shall incorporate the cost of expert/professional fee and overhead cost. The overhead cost shall be **20%** of the total contract value for the consultancy

and training. If the consultancy and training work involved field work, industry visits, and other activities, which have an extra cost in addition to the expert fee, the cost will be clearly indicated.

- b) **Cost of Consultancy and Training with the usage of the University resource:** The cost of consultancy and training work shall incorporate the cost of expert and overhead cost. For this case, the overhead cost shall be **25%** of the total cost (i.e., total contract value of the consultancy/training). If the consultancy and training work requires consumables and other external inputs, the extra cost will be clearly indicated..

3.13.2. If the consultancy and training activity requires the laboratory equipment and workshop machinery intensively, a separate facility cost will be considered. The cost will be generated by the respective institute/schools/department/units where the equipment, machinery, facility belongs to. In this specific case, the cost of the consultancy and training will be the sum of expert fees, overhead cost, and cost of the facility.

3.14. Overhead Cost Distribution

3.14.1. The distribution of the 20% or 25% overhead cost will be varying on the consultancy and training management participation (on having a role in consultancy and training activities). The consultancy and training shall be managed by the UILTT Directorate office or by the College/institute only given the provision under Article 3.8.3 of this Policy. Then, the overhead cost will be distributed among the University organs through the following two categories;

3.14.1.1. Cost of consultancy and training with no usage of the University major resource (of the 20% overhead):

- ✓ Addis Ababa University: 45% of the total cost
- ✓ College/Institute: 45% of the total cost
- ✓ Finance: 10%

3.14.1.2. Cost of consultancy and training with usage of the University resource (of the 20% and 25% overhead):

- ✓ Addis Ababa University: 45% of the total cost
- ✓ College/Institute: 45% of the total cost
- ✓ Finance: 10%

3.14.2. The 45% share of the overhead cost, which is directed to the College/Institute, shall be used to strengthen the activity, which is expected to be conducted by the office, and used to initiate staff and student research and project work.

3.14.3. Collages/Institutes shall have a scheme approved by the management of the University to distribute the 45% overhead cost depending on the involvement and effort of schools/departments/centers/units in coordinating the consultancy and training work conducted;

3.14.4. The distribution scheme of the facility cost will be prepared and managed by the respective college/institute in collaboration with the schools/departments/centers/unites that has stakes in the utilized resources/facilities;

3.14.5. Utilization of the overhead cost by non-academic unit shall be approved by the respective college dean if the service is delivered at college/school level or the VPRTT if the central unit of the University delivers the service.

3.15. Consultancy and Training Contract Values and Approval Level

- 3.15.1. For any size of consultancy and training contract amounts the contract will be signed by the University President. However, the President of the University may delegate the VPRTT and/or Heads of Colleges/Institutes in the hierarchy for signing the contracts with amounts to be defined by the President.
- 3.15.2. The contract document shall be prepared a minimum of five (05) copies. One copy for the client, one copy for the University/College/Institute, one copy for the Budget and Finance Directorate, one copy for the UILTT Director office, and one copy for the Legal office. If the consultancy and training work is conducted by a single department/school/center/unit, one more copy shall be added for the respective department/school/center/unit.
- 3.15.3. Before signing, any consultancy and training contract with the industry, the final draft contract document shall be submitted and commented on by the legal department of the University/Institute /College.
- 3.15.4. Representative of the UILTT Directorate office or the respective college/institute RTT/UILTT Office shall put his/her signature on the contract document as one of the witnesses for the University/institute/college side.
- 3.15.5. For consultancy and training work, the UILTT Director office/colleges/department/institute/school/units may prepare an internal contract agreement, which include the professional payment scheme, for experts. The payment will be as per the signed agreement.
- 3.15.6. For any of the consultancy and training service contracts, hosting colleges/department/institute/school/units deans/heads, Principal Investigator (PI) of the consultancy and training project, UILTT Director of the University, the VP RTT and

Vice President for Administration and Student Services shall sign on a datasheet centrally prepared by the UILTT Director Office.

3.16. Quality Assurance and Feedback

3.16.1. The core staff shall be evaluated by users and/or trainees, specialized team leader/director, and peers to assure the quality of the consultancy and/or training service rendered. Consultant and/or trainer evaluation will be done by users and/or trainees at the end of the consultancy and training program;

3.16.2. If the service provided by the University is a training service, the following evaluation will be done:

3.16.2.1. Pre-training evaluation may be carried out depending on the nature of the training and customers' request;

3.16.2.2. The daily evaluation shall be carried out at the end of each day and/or the next day to gather feedback and the feedback shall be communicated to the trainers the same day;

3.16.2.3. End-of-Training evaluations shall be carried out in a written form. In addition to this, the oral evaluation shall be made to get feedback from the target group for further improvement on the training program.

3.16.3. The Impact of the consultation and training will be regularly assessed once a year to update the consultation and training service and build the consultants' and/or trainers' capacity. This can be ensured by collaborative work between the University and Industry.

3.17. Reporting

3.17.1. Staff Members must report their Consultancy and training to the respected office periodically, and to the extent required;

3.17.2. The reporting channels are as follows: staff members must report to the units, units to deans through the RTT/UILTT offices, deans to the VPRTT through the UILTT Director Office.

3.18. Responsibility for Implementation

3.18.1. The responsibility for the implementation of this policy shall rest with the VPRTT office of the University who may delegate that responsibility to another office whom he/she may deem appropriate;

3.18.2. Through the coordination of the UILTT Directorate Office and supervision of the VPRTT Office, a detailed working procedure or guideline including detailed overhead cost sharing shall be generated.

3.18.3. Procedures that are not aligned with this Policy may be adopted by a committee formed by the VPRTT at the request of the UILTT Directorate office.

Section 4: Industry-Sponsored Research Policy

4.1. Introduction

Collaborating with industries on research projects is part of Addis Ababa University's goal of being a leader in addressing the issues and challenges facing the industries. Industry-Sponsored research helps the University fulfill its mandate to help transfer the results of research to the society. Besides, it brings additional funding; provides access to interesting, high-value problems; and provides researchers and students with valuable exposure to industrial problems. This policy must be used together with the research policy of the University.

4.2. Guiding Principles

- 4.2.1. The development of a shared vision and values between the collaborating institutions is crucial for successful collaboration;
- 4.2.2. AAU shall devote resources, facilities, and attention to maintaining relationships and work together with the industry in an ongoing effort to facilitate productive, transparent outcomes and ensure success of sponsored researches;
- 4.2.3. Commitments contained in industry-sponsored research agreements concerning future research results and patents shall be consistent with all applicable laws and regulations and with any contractual obligations AAU or industry may owe to others.

4.3. Purpose

- 4.3.1. The purpose of this policy is to facilitate the research activities that must be done to support industries/stakeholders etc. Ethiopian companies are struggling to substitute imports and promote export. Thus, the main purpose of this policy is to facilitate staff's engagement on Industry-sponsored research;

4.3.2. Addis Ababa University encourages its researchers to create a link with industries and to bring funds to undertake research activities that can help those industries. This research will also help the student to engage more with stakeholders.

4.4. Objective

The objective of this Industry-sponsored research policy is:

4.4.1. To establish a framework to support industry-sponsored research projects;

4.4.2. To engage researchers to work on industry projects and solve their problems practically as well as the problems of the industries. In doing so, the researchers shall get practical experience, the University shall get an additional source of income and the industries shall get service to improve their product/service.

4.5. Scope

4.5.1. This Policy applies to all units of the University, both academic and support staff that are engaged in any form of research activities with industries. These are all hereinafter collectively referred to as the 'University'. Since administrative staff in some cases support the research activities, this policy must also apply to administrative staff.

4.6. Policy Statements

4.6.1. The purpose of this policy is to outline mechanisms to do industry-sponsored research activities effectively so that to contribute to the University's mission and goals. The research activities must be done to ensure effective and efficient collaboration with stakeholders for mutual benefits and to increase the feasibility of the University;

4.6.2. The office of University-Industry linkage and TT must frequently contact industries and find ways to work together. Since the industries are vast, during contact it is good to involve staffs depending on the industry profile;

- 4.6.3. The office of University-Industry Linkage and Technology Transfer shall coordinate and initiate industry research together with the responsible office from each college, institute, school, and centers depending on the research types;
- 4.6.4. In implementing its Industry-sponsored research, Addis Ababa University is committed to ensuring that the research outputs are high standards of quality and shall add value to the companies who sponsored the research project;
- 4.6.5. The agreement between the partners needs to be documented in a Memorandum of Understanding (MoU) and followed by a contract agreement. The memorandum of understanding between the Industry and the University must be signed by the University president. However, the task can be done by the unit that brought the industry research to the University;
- 4.6.6. All sponsored research must be conducted under an appropriate contract or other legal agreement and be approved by an authorized university higher official;
- 4.6.7. Researchers must take responsibility to uphold the reputation of the University;
- 4.6.8. Industry-sponsored projects require arrangements to be agreed upon before a project begins. The agreement shall be a written contract agreement. These contract agreements will cover the cost, intellectual property, confidentiality, authorship and publication, ethics approval, conflict of resolution, detailed deliverables, and deadlines;
- 4.6.9. After successful completion of the research, PI and CO-PI shall be incentivized (this can be done in line with the AAU research policy).

4.7. Roles and Responsibilities

4.7.1. The University

- 4.7.1.1. The department that initiates the research project shall prepare the Memorandum of Understanding. However, it must pass through the External Relations, Partnerships, and Communications office of the University;
- 4.7.1.2. The External Relations, Partnerships, and Communications office of the University shall handle all matters related to the Memorandum of Understanding including contacting the legal office for the review of the Memorandum of Understanding, incorporating all the comments coming from the legal office, arranging the signing of the documents between both parties;
- 4.7.1.3. All Memorandum of Understanding (MoU) must be signed by the President of the University;
- 4.7.1.4. Based on the signed MoU, the unit who initiates the research project must prepare and enter into a contract for the Industry-sponsored research project;
- 4.7.1.5. A copy of the signed contract document shall be submitted to the UILTT Office and the External Relations, Partnerships, and Communications office of the University;
- 4.7.1.6. Based on the signed MoU, the unit that initiates the research project shall carry out the task;
- 4.7.1.7. If any issue arises concerning the signing of the Memorandum of Understanding, the unit shall contact the External Relations, Partnerships, and Communications office;
- 4.7.1.8. After completion of the task, the responsible unit who performed the research activities must report to the External Relations, Partnerships, and Communications office;

- 4.7.1.9. The agreement must detail partners' specific roles and responsibilities, practical issues such as timeframes and financial arrangements, and any other terms and conditions of the agreement, such as confidentiality and intellectual property;
- 4.7.1.10. The office of University-Industry Linkage and Technology Transfer is the responsible unit to initiate and coordinates Industry Research Projects in collaboration with each college associate dean for Research and Technology Transfer;
- 4.7.1.11. The college's Associate Deans for Research and Technology Transfer must communicate with each college/school/ center head to find the right person for the research coming from the industry side;
- 4.7.1.12. The college/school/ center head must assign experts based on completion and specialization. The assigned person must be responsible and deliver the research outcome on time.

4.7.2. **Researchers**

- 4.7.1.1. That all Sponsored Research in which they are involved is conducted under an appropriate contract or other legally binding agreement;
- 4.7.1.2. That a reasonable time frame is provided to prepare and negotiate all required agreements;
- 4.7.1.3. They must aware that during negotiation the overhead of the University must be included while engaging in industry-sponsored research project;
- 4.7.1.4. They have to deliver their task on time and with great responsibility and agreed outcomes;

4.7.1.5. They can negotiate scope, timing, and deliverables; however, formal terms of the agreement and any requests to enter into confidentiality or non-disclosure agreements will need to be discussed with the applicable University delegate.

4.8. Overhead Cost Distribution

4.8.1. The overhead cost for the industry sponsored projects shall be distributed in accordance to the Research Policy and Procedure Manuals of Addis Ababa University;

4.8.2. The Schools/Departments/Centers/Units shall utilize as per the University/colleges/institute internal financial system;

4.8.3. The distribution of the facility cost will be prepared and managed by the respective college/institute in collaboration with the schools/departments/centers/unites that have stakes in the utilized resources/facilities.

4.9. Industry-Sponsored Research Contract Values and Approval Level

4.9.1. For any size of amounts of an industry-sponsored research project, the contract will be signed by the University President. However, the President of the University may delegate the VPRTT and/or Heads of Colleges/Institutes in the hierarchy for signing the contracts with amounts to be defined by the President.

4.9.2. The contract document shall be prepared in a minimum of five (05) copies. One copy for the client, one copy for the University/College/Institute, one copy for the Budget and Finance Directorate, one copy for the UILTT Director Office, and one copy for the Legal office. If the industry-sponsored research work is conducted by a single department/school/center/unit, one more copy shall be added for the respective department/school/center/unit

- 4.9.3. Before signing any industry-sponsored research contract with the industry, the final draft contract document shall be submitted and commented on by the legal department of the University/institute /college.
- 4.9.4. Representative of the UILTT Directorate Office or the respective college/institute UILTT Office shall put his/her signature on the contract document as one of the witnesses for the University/institute/college side.
- 4.9.5. For the industry-sponsored research work, the UILTT Director office/colleges/department/institute/school/units may prepare an internal contract agreement, which includes the professional payment scheme, for experts. The payment will be as per the signed agreement.
- 4.9.6. For any industry-sponsored research work contracts, hosting colleges/department/institute/school/units deans/heads, Principal Investigator (PI) of the consultancy and training project, UILTT Director of the University, the VPRTT and Vice President for Administration and Student Services shall sign on a datasheet centrally prepared by the UILTT Director Office.

4.10. Sanctions

- 4.10.1. Staff members and/or individuals that are employees of AAU or that have an official affiliation with AAU, including faculty, students, and visiting scholars who breach or violate the content of this Policy, shall be subjected to disciplinary action specified in terms of the Addis Ababa University Disciplinary Policy and Procedures.

4.11. Ownership of Intellectual Property

Industry-sponsored projects give rise to a range of issues such as authorship, ownership of intellectual property, conflicts of interest, and commercialization of findings.

4.11.1. There should be agreement on such matters at the outset of the collaboration and arrangements must be consistent with relevant University policies and procedures as well as relevant legislation and codes of practice. All agreements, between University and the company who sponsored the research, must be clearly articulated in writing and be executed in accordance with University policy regarding the exercise of contractual authority;

4.11.2. In the absence of agreement between research collaborators, the allocation of patents, Copyright, etc. shall be governed by the existing Addis Ababa University Intellectual Right Policy.

4.12. Dispute resolution

4.12.1. The University shall assist in facilitating the resolution of disputes between Research collaborators and the University;

4.12.2. Disputants shall first seek to resolve their dispute amicably between themselves using the good offices of the Principal Investigator if he or she is not a party to the dispute;

4.12.3. In the event that, an amicable resolution of the dispute is not or cannot be achieved with the principal investigator, the disputants shall refer the dispute to the responsible office that is leading the research. The office may assign or appoint a senior member of the academic staff of the department or Faculty to act in his or her stead to resolve the issue;

4.12.4. In the event that, the dispute is not resolved in accordance with section 9.3, the disputants shall take the issues to a higher position in the University in achieving a resolution;

4.12.5. In the event the dispute is not resolved in accordance with section 9.4, the disputant shall take the issues to the Ethiopian court.

4.13. Responsibility for Implementation

- 4.13.1. The responsibility for the implementation of this policy shall lie with the VPRTT office of the University who may delegate that responsibility to another office whom he/she may deem appropriate;
- 4.13.2. Through the coordination of the UILTT Directorate Office and Supervision of the VPRTT office, a detailed working procedure including detail overhead cost-sharing shall be generated.
- 4.13.3. Procedures that are not aligned with this Policy may be adopted by a committee formed by the VPRTT in a request of UILTT Directorate Office.
- 4.13.4. All responsible offices of the University at all levels will monitor the status of the industry-sponsored research activities. All industry-sponsored activities, after completion, must be reported to the office of University-industry linkage and technology transfer so that the University can have data for future purposes.

2.12. Reporting

- 2.12.1. PIs of the industry-sponsored research projects should report to the academic units or respected office periodically, and to the extent required;
- 2.12.2. The reporting channels are as follows: PIs must report to the units, units to deans through College RTT/UILTT Offices, deans to the VPRTT through the UILTT Director Offices using a standard formats to be prepared by the UILTT Director Office.

Section 5: Policy Enforcement, Review, Approval, and Version control

5.1. Responsibility for Implementation

- 5.1.1. The responsibility for the implementation of this policy shall lie with the VPRTT office of the University who may delegate that responsibility to another office whom he/she may deem appropriate;
- 5.1.2. Through the coordination of the UILTT Directorate Office and Supervision of the VPRTT office, a detailed working procedure or guideline including detailed overhead cost-sharing shall be generated.
- 5.1.3. Procedures that are not aligned with this Policy may be adopted by a committee formed by the VPRTT at the request of the UILTT Directorate Office.

5.2. Contacts

AAU Industry Linkage and Technology Transfer Office shall be the main contact office for this policy; followed by RTT/UILTT offices in each College/Institute.

5.3. Related Documentation

This policy shall be used in conjunction and reference to the following Policies

- AAU Legislation
- AAU IP Policy
- AAU Research Policy, AAU Research Manual
- University Students' Discipline Rules and Regulations
- AAU Incubation Center Establishment Documents

5.4. Policy Enforcement

This policy shall be enforced throughout the University in all academic units. Violation of this policy shall result in poor academic performance for students and misconduct shall result in disciplinary measures according to the University Students' Discipline Rules and Regulations. Renewal of staff members' employment renewal shall depend on performance on externship programs and evaluation from industrial stakeholders in which the staff has been engaged in. Issues beyond this should be common to all sections of the UILTT Policy

5.5. Policy Review

This policy shall be reviewed and updated every five years. The office of Industry Linkage and Technology Transfer Office shall take the responsibility for the review and update.

5.6. Approval

This policy is approved by the Senate of AAU on 7 October 2021.

5.7. Version Control

Document and Version control	
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