



UGANDA MANAGEMENT INSTITUTE

PARTNERSHIPS AND COLLABORATIONS POLICY

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Partnerships and Collaborations Policy

1.0 Preamble and Policy Statement

This **Partnerships and Collaborations** (P&Cs) policy lays out Uganda Management Institute's (UMI's) framework for establishment and management of cooperative efforts with other organisations. The policy was born out of a need for the Institute to engage in strategic “alliances and partnerships¹” that add value to UMI, and are financially beneficial, sustainable and; in line with the Institute's mandate. Such interfaces ought to be mutually beneficial to all participating party(ies). The Policy is part of the Institute's continued endeavour towards its vision to be “*a World Class Management Development Institute*” and its mission “*to excel in developing sustainable management capacity*”.

Policy Statement

The Institute is committed to participating in mutually beneficial partnerships and collaborations. While partnerships and collaborations are valuable tools for targeting cross-cutting strategic and operational issues, they can at the same time be costly. They can only be justified when the achievements of such partnerships and collaborations outweigh the costs, both in terms of staff and financial resources. The policy shall be executed in accordance with higher education regulatory provisions under Universities and Other Tertiary Institutions Act (UOTIA) 2001 as aligned with national planning and policy imperatives; and in consistence with other duly adopted Institute policies.

2.0 Definition of Terms

Partnerships

UMI defines a partnership as a formal working arrangement involving one or more independent bodies, from any sector², who share responsibility and agree to co-operate towards a common

¹ UMI Governing Council resolution arising from Strategic Plan 2008-2013 Mid-Term Review on 28th August 2010.

² Businesses, Industries, Universities, Tertiary institutions, School systems, Service organizations, Government and Non-profit organizations

goal. A formal agreement (Memorandum of Agreement) is made by all partners to work together for specific outcomes.

Collaborations

In this policy, collaboration (co-labouring) is defined as a formal inter-organizational relationship involving processes where people with diverse interests share knowledge and resources to improve outcomes. It requires a Memorandum of Understanding (MoU) about expectations, and a willingness to share ideas, activities and resources, as well as to blur the boundaries between previously discrete areas, such as responsibilities, activities, locations and client groups. Collaboration may include Information Sharing, Networking, and Cooperation as defined in Appendix 1.

Projects

In the context of UMI, projects are understood as discrete endeavours undertaken to create a physical product or to serve (through teaching, training and consultancy) a particular client(s) within a specified time to satisfy their needs. As part of partnerships and collaborations, projects can be undertaken.

Other concepts used in this policy document are provided in the glossary (Appendix 1).

3.0 Scope of policy application

1. The policy on partnerships and collaboration applies to both domestic and international cooperative efforts whether initiated by UMI (i.e. by Chancellor, Councils Members, Management, Academics and Non-academic employees) or by UMI's potential and existing partners/collaborators.
2. The policy encompasses Academic cooperation, Capacity building for teaching and learning, specially designed projects, Articulation, Joint Degree/diploma/certificate arrangements with international institutions and other partnerships, Staff and Student/Participant exchanges, Collaborative research, Collaboration with international organizations, Cooperation with and participation in international professional bodies,

knowledge transfer, consortia (i.e. for tendering purposes), material development and exchanges, development of affiliates, and pooling/exchange of resources including Public-Private, and Public-Public partnerships in physical infrastructure development.

This policy excludes procedures for nomination and approval of individuals for **Honorary Awards** as provided for in Section 47 of Universities and Other Tertiary Institutions Act 2001 of Uganda.

4.0 Entering into partnership or collaboration

4.1 Guiding principles

The management of partnerships and collaborations exposes the Institute to a variety of risks, both financial and reputational. Due diligence (REF. Section 9 below) and best practice requires the Institute to adopt processes based on sound business, Quality Assurance principles, clear academic, strategic and operational objectives. UMI partnerships and collaborations will be guided by the following principles:

- a) Partnerships and collaborations will only be tenable with legally recognized institutions, and in the case of academic and training institutions, only those institutions recognized and accredited by the National Council for Higher Education (NCHE) or its equivalent abroad.
- b) Such cooperative arrangements should deliver net financial benefits (surplus), either directly in fees or deliver significant reputational benefits to the Institute. They should be beneficial to all parties involved.
- c) Proper costing to make provision for all costs, academic and administrative.
- d) In case of academic institutions, priority for entering into partnerships or cooperation; be given to public higher education institutions.
- e) Minimize the Institute exposure to financial or reputational risk.

- f) Be consistent with the Institute's strategic objectives; National and International development imperatives.

4.2 Agreeing on the partnership or collaboration

An Official proposing a partnership or collaboration will be required in the first instance to complete a **Partnership and Collaboration Information Form** which covers the following areas:

- a) Name of Partnership or Collaboration
- b) Main purpose of Partnership or Collaboration
- c) Specific Objectives of the Partnership or Collaboration
- d) Relationship between Partnership or Collaboration objectives to Institutional Strategic Objectives
- e) Roles of respective partners/collaborators
- f) Other organisations that will be involved
- g) Institute resources required (staff and participants' time/funding)
- h) Short and long terms benefits to be gained from the Partnership or Collaboration
- i) Duration of the Partnership or Collaboration
- j) Possible risks for the Institute

The data from the Partnership and Collaboration Information Form will be analysed as part of due diligence (REF. Section 9 below). A clear decision making process shall be followed before committing the Institute.

5.0 Approval and Management Processes

5.1 Identification of Partnerships and Collaborations

- a) It is the responsibility of Deans of Schools and Heads of Departments to prospect and recommend potential partnerships and collaborations, although any official of the Institute (Ref. 3.0(1) could propose a partnership/collaboration.

- b) Once potential partners/collaborators have been identified, the Director Finance and Administration shall advise on their suitability, including legal clearance or compliance. A **Partnership and Collaboration Standing Committee** will be set up to support the DFA in this role. Its terms of reference shall be developed by DFA and appended to the Policy. The Partnership and Collaboration Committee may co-opt or set-up an ad hoc Technical Committee to support their work.
- c) The Director General is responsible for approving entrance into new partnerships and collaborations or changes to existing relationships, based on advice from senior managers and appropriate Institute Committees and Boards (see Appendix 2). The Director General of the Institute may exercise this authority in consultation with the Chairman of the Institute Governing Council. Notwithstanding, the Executive Authority of the Director General, in his absence the Director Programmes and Student Affairs, and Director Finance and Administration are authorised signatories of the Institute. In all instances, the Director General, will have prior scrutiny of such agreements as part of the due diligence process.
- d) Institute Senate approval is required on the academic content and structure of partnerships and collaborations. As a matter of principle, such approval is required for any program delivered at a new location, even where approval has been previously granted for the same program delivered by the same partner institution at another location.
- e) A Partnership and Collaboration Register will be maintained by the Director Finance and Administration.

5.2 Key Roles and Responsibilities

- a) Identifying new Partnerships and Collaborations - *Responsibility of Dean(s) of School and Head(s) of Departments in liaison with the DFA and DPSA.*
- b) Identifying projects including the development of proposals - *responsibility of the Projects Office (PO) of the Institute*

- c) Initial due diligence on partner institutions to determine whether to proceed further or not – *responsibility of Partnership and Collaboration Committee.*
- d) Negotiations with partner/collaborating institutions on academic and financial arrangements - *responsibility of Partnerships and Collaboration Committee, Institute Bursar and relevant Heads of Departments.*
- e) Academic and business plan to be developed - *responsibility of Dean(s) with support from the Director Finance and Administration and Director of Programmes and Student Affairs.*
- f) Academic approval - *responsibility of Institute Senate.*
- g) Final approval and appointment of Partnership/Collaboration Task Manager– *responsibility of Director General*
- h) Ongoing review and administration of program once established –*Planning, Monitoring and Evaluation Office; and Quality Assurance Office, respectively.*

5.3 Clearing House for Information

- a) The Director General will act as a central clearing house and may delegate this role to a particular Partnership/Collaboration Task Manager for information on partnership and collaboration operations, facilitating a coordinated approach. All agreements and relevant documents must be copied to this office.
- b) The offices of the DFA and DPSA will ensure that all directorate staffs are kept informed on partnership and collaboration arrangements.
- c) Notwithstanding that all documentation must be copied to the clearing house, each partnership and collaborative institution will communicate via a point of contact at UMI who may also be the Collaboration/Partnership Task Manager.

- d) Where the partnership or collaboration is specific to a single School or Department, the point of contact will be the head of that school or department until a Partnership/Collaboration Task Manager has been appointed. The Director General can appoint a Task Manager from any Department irrespective of where the Partnership may be domiciled.
- e) Where there is a broader partnership involving more than one school or department, or encompassing other forms of partnership/collaboration (e.g. research collaboration, physical infrastructure development) the point of contact will be the office of the Director General who may delegate this role to a Partnership/Collaboration Task Manager.

5.4 Management of Academic Partnerships and Collaborations

The following will constitute the forms of *Academic Partnerships and Collaborations* which UMI may engage in:-

- a) Exchange of scientific materials, publications, and information:** This may involve the exchange of publications, research, datasets and teaching materials for learning, capacity building and knowledge exchange;
- b) Exchange of Staff:** UMI will encourage collaboration between and among staff of the Institute and with other personnel from credible institutions to undertake short visits, fixed-term visiting assignments, post doctoral and sabbatical leave. The terms and conditions of each visit or assignment, including those concerning stipend, travel, and housing, will be worked out between UMI and the partnering/collaborating institution under a Memorandum of Understanding (MoU) or other forms of agreements.
- c) Exchange of students:** The MOU or any other form of agreement on the exchange of students should specify Duration of the Stay, Numbers of Exchange students, Status of Exchange Students (e.g. non-regular students who do not aim to obtain a degree from the host institutions), Arrangement for reasonable and appropriate accommodation, Acceptance Procedures, Study Program, Academic Record, Tuition and Other Fees, Financial Responsibility, Insurance policies, Medical cover, Commencement date and Duration of the Agreement.

The recruitment of students internationally remains the responsibility of Schools in consultation with the Institute Registrar. Together with international partners, Schools and the Projects Office will facilitate marketing initiatives and recruitment of students.

International Student and Admissions Registration: While the evaluation, admission and registration of international students is the responsibility of Schools and Student administration, no international students shall be denied registration without prior and timely consultation with the Partnership/Collaboration Task Manager upon admission. International students are entitled to the same rights and privileges as national students, subject to the provisions of national bilateral agreements and protocols. All internal stakeholders are expected to inform themselves appropriately and apply these provisions consistently and fairly.

d) Joint research: UMI shall ensure that there is collaboration with leading research and higher education institutions of learning globally. These joint research programmes shall be consistent with the UMI research policy.

e) Materials development and exchanges: UMI staff can jointly develop teaching materials and resources with partnering/collaborating institutions. Ownership/copyrights of materials shall be agreed upon prior to commencement.

f) Capacity building: The parties involved shall ensure that one or either parties benefit from the others' expertise for purposes of strengthening the Skills, Knowledge, Attitudes, and Competencies, in lacking areas where the other has a comparative advantage.

g) Joint awards: The principal purpose is to:

i) Utilize related and relevant expertise towards the award, and

ii) Establish partnerships between different Universities/Higher Institutions of Learning for their mutual benefits in terms of income, visibility and research.
(Please refer to Appendix 4 for guidelines and procedures for joint degree awards)

h) **Accreditation:** Accreditation of educational programmes is a prerogative of the National Council for Higher Education (NCHE) under the provisions of the Universities and other Tertiary Institutions Act, 2001. Other forms of accreditation include a course being prescribed as a requirement for entry or promotion for certain schemes of service.

i) **Affiliates:** A tertiary institution may, for the purpose of promoting its academic programmes, and with the approval of the National Council for Higher Education, affiliate with UMI if the affiliate's standards governing the performance, operations and conduct are acceptable to UMI Institute Council. The affiliation will comply with UOTIA Act 2001 provisions.

5.5 Management of P&C involving professional bodies and associations

- a) UMI will pursue *Partnerships and Collaborations* with professional awarding bodies in order to enhance participants' employability and professional development prospects.
- b) Where appropriate, such programmes may have 'dual badging' which is a reciprocal arrangement giving UMI participants the chance to gain a full professional body membership upon completing their UMI programme and conversely, prospective UMI participants with approved professional body memberships may apply to be exempted from certain course units on some UMI programmes.
- c) UMI will seek accreditation from established professional bodies such as Project Management Institute (PMI), Chartered Institute of Personnel and Development (CIPD), Association of Chartered Certified Accountants (ACCA), Chartered Institute of Marketing (CIM) and develop MOUs to become a training centre for those professional awarding bodies.

- d) UMI will seek memberships to professional bodies and associations such as International Association of Schools and Institutes of Administration (IASIA), African Association of Public Administration and Management (AAPAM), PMI and others to promote best practices, excellence and professionalism in research, training and consultancy in management.

5.6 Working arrangements on Special Projects

For special designated projects, both as part or as a result of partnerships and collaborations, the Institute has already designated this work to the Projects Office; the *modus operandi* in place shall apply. This will include instances where UMI is entering a consortium for tendering purposes. A Project Management Task Force will be appointed for each project.

5.7 Management of Community relations

Community-Institute relations will aim to facilitate shared learning and collaborative research between communities and the UMI by:

- Establishing a process for Community-Institute partnerships
- Linking Community organizations and Institute researchers
The Institute will build a network of ‘communities of practice’ (see Appendix 1) in the major areas of teaching, training, consultancy and research. These communities have a potential to strengthen the Alumni Association and enhance research work.
- Identifying ethical issues and best practices in Community-Institute collaborative research including facilitating Symposia through the Uganda Development Policy Management Forum (UDPMF) or any such arrangements.
- Posting discussion papers and making resources on Community-Institute partnerships more widely available.

5.8 Management of Partnerships and Collaborations Involving International Visits

a) Hosting of international visitors/delegations

The Institute hosts a number of high level visitors representing governments, institutions of higher learning and international organisations who come for study tours, conferences, seminars, workshops, bilateral consultations and in pursuit of partnerships and collaborations with UMI. While the initial contacts for such visits may originate from various internal stakeholders of the Institute or even by an external agent, the responsibility for coordinating these visits will rest with the Public Relations Office. This will be done in close consultation with UMI Schools, Departments, Projects Office, and potential partners/collaborators.

b) International Visits or Missions by UMI Staff

All UMI officials undertaking missions abroad are expected to inform the Public Relations Office of their scheduled international visits. Upon receiving information of UMI mission abroad, the Public Relations Office shall facilitate contacts with Ugandan diplomatic missions and UMI partners, prior to the officials undertaking their visits. Upon return from official visits and missions, all officials will be required within two weeks of return to report to Accounting Officer and copy their reports to relevant Partnership/Collaboration Task Manager.

6.0 Monitoring, Review and Evaluation of P&C

Each partnership and collaboration should be reviewed to provide assurance that proper systems are in place and that its outcomes and performance can be monitored and evaluated regularly to measure the impact of the partnership/collaboration's activities and outcomes achieved.

The Task Manager before his/her appointment, the DFA shall be required to complete an assessment of the partnership and submit this information to Top Management Team (TMT). Assessment Forms will be developed by the Planning, Monitoring and Evaluation Office (PMEO) of the Institute to facilitate monitoring, review and evaluation of *Partnerships and*

Collaborations. These exercises (monitoring, review and evaluation) may be jointly undertaken between UMI and representatives of the Partners/Collaborators.

A clear exit strategy must be in place for all partnerships and collaborations, whether with a known lifespan or not so as to reduce risks to the Institute and other parties involved.. All partnerships and collaborations that come to an end should be evaluated by the PME, Quality assurance Office, representative(s) of the Partners/Collaborators; a report of key findings submitted to the TMT for information and to the designated Office of the Partner/Collaborator. The evaluation should highlight the lessons learnt and main outcomes achieved. The evaluation report shall be circulated appropriately.

Annual reports on the status and performance of partnerships and collaborations shall be submitted to the Director General, Partnerships and Collaborations Committee and to the designated Office of the Partner/Collaborator by the Task Manager.

7.0 Funding and types of Agreements

Mobilisation of resources for partnerships and collaborations shall be the responsibility of appropriately identified internal stakeholders of the Institute in conjunction with its partners. Before entering into any agreement, UMI and/or its partners shall identify sources of possible funding.

1. Financial limit; each partnership or collaboration shall declare the financial limit for the transactions, i.e. the maximum amount payable under the relationship;
2. There shall be an independent account which shall be subjected to an independent audit; this account need not be maintained separately in a bank. It can be an arrangement within the Institute Bursar's Office.
3. Financial reporting; this will be clear on who will provide the financial and narrative reports explaining in detail accurate information on progress made in connection with the project and all expenditures to be charged. Such reports shall detail achievements, constraints, and impact with regard to the utilization of funding, with original invoices, receipts, and other acknowledgements of proof;

4. All financial arrangements shall be negotiated well in advance of any implementation, and shall specify on the surplus sharing scheme if the intention of the project is to make money;

5. Every funding arrangement shall include a five percent (5%) mark up as development fund;

The following are types of partnership and collaborative agreements that the Institute may engage in:

1. **Memorandum of Understanding;** This is a general statement of intent on a partnership or which usually precedes the Memorandum of Agreement. It is usually not legally binding on either party. A Memorandum of Understanding (MOU) can be entered into by UMI and a foreign institution or any other entity for the purpose of exploring possible cooperative efforts in instruction, research, and outreach activities. An MOU is general in nature and carries no financial implications. It specifies mutually agreed-upon expectations between two (or more) entities to collaborate on a cooperative effort without exchange of funds. In all instances an MOU will be reviewed by the Institute's legal counsel before signatures are affixed.

a) **Memorandum of Agreement;** This is a legally binding agreement which may be preceded by an MOU or signed directly. It outlines the obligations of each of the parties, and detailed terms of the agreement, including exit clauses. This also covers special projects that may include employee and student exchange programmes, tailor-made offerings and programmes, capacity building and development projects and other memoranda of agreement that do not fall under the normal MOU .

b) **International Institutional Agreement (IIA);** An IIA is a formal agreement between the Institute and a Partner Institution, which documents the agreed on details including those concerning participant and faculty mobility activities; collaborative international and in-country Scholarly, Research and Creative (SRC) activities; and, the joint implementation of international development projects. An IIA must outline all key information relevant to the partnership and activities to be carried out, including the following:

- i. The objectives of the collaboration, and its relevance to mandates and priorities of the two institutions;
- ii. A description of the areas of collaboration, and where available, an outline of specific activities to be carried out;
- iii. The terms and conditions governing the partnership or collaboration;
- iv. The roles and responsibilities of Institute and the partner/collaborator institution(s), including the financial responsibilities of each institution; and
- v. The duration of the agreement; the monitoring and review of the partnership, and conditions for the continuation and/or termination of the partnership and associated instruments.
- vi. The applicable law or forum

Other types of agreements may include Sponsored Agreements, Grant Agreement, Special Project Contract, Sub-Contracts, A cooperative agreement, Un-funded Agreements, Activity Agreements, Teaming Agreement; Affiliation Agreement, Material Transfer Agreement among others. These are defined in Appendix 1.

8.0 Due diligence and Assessment of Partnerships and Collaborations

Due Diligence will be defined as the part of the risk management process by which UMI assesses the suitability of a partner or collaborator and evaluates the business opportunity before signing a Memorandum of Understanding or a binding contract. This assessment will follow the UMI Risk Management Policy.

The overriding purpose of due diligence is to gather as much information as possible to analyse and assess the risks and opportunities associated with the partnership/collaboration. Information gathered should drive the partnership/collaboration plan and allow UMI to strategically consider a number of options including:

1. *Withdrawal from the partnership/collaboration* – if the due diligence identifies high risks such as reputational risks, organizational risks, financial risks or risk of legislative non-compliance.

2. *Adjustment to the partnership/collaboration* if after UMI has re-assessed the value and type of services being offered.
3. *Mitigate against the risk* – it may be possible for the issue to be resolved or mitigated against before finalizing the deal.

The due diligence procedure used to investigate potential partners' characteristics may consider the following principles:

- a) Corporate Profile and reputation,
- b) Legal Considerations, and
- c) Financial Considerations.

Assessment of partners

The Partnership/Collaboration Committee, in consultation with the relevant internal stakeholders, will undertake prior screening of prospective partners to ascertain their viability. UMI will solicit business plans, organisational profiles and other information that may be deemed necessary from prospective partners/collaborators.

Quality assurance

The Partnership/Collaboration Task Manager, in consultation with relevant internal stakeholders and the Quality Assurance Office will undertake periodic evaluations of existing partnerships and cooperation agreements in line with the Quality Assurance processes of the Institute and the provisions of the NCHE.

9.0 Policy violation

Non adherence to this policy will undermine the strategic management of UMI and will call for appropriate corrective measures in accordance with UMI rules and regulations, and/or the national laws as the case may be.

Appendix

Appendix 1: Definition of more terms

Forms of Collaborations

1) **Information sharing** is a process of exchanging data, reports, facts and similar resources with people or organizations who may interact in ‘**networks**’ or ‘**communities of practice**’ and others forms of interaction.

Networks are personal relationships which are accumulated when people interact with each other in families, workplaces, neighbourhoods, local associations and a range of informal and formal meeting places. **Networking** or connecting with people of similar interests to exchange information, explore opportunities and share best practice. Networking does not usually involve working together and requires limited time or commitment on the part of collaborating organizations.

Communities of practice (CoP) are groups of people who share a concern or a passion for something they do and learn how to do it better as they interact regularly.

3) **Cooperation** is a process of working or acting together in harmony, side by side or in parallel; on a task, sharing ideas, activities and resources, with a commitment to collective outcomes. Cooperation requires a significant time commitment and a high degree of trust among those in a collaboration who may be both intentional and non-intentional agents.

Other types of agreements

Sponsored Agreements

Sponsored agreements set out requirements for accepting funds in support of a specific project or program. The requirements ("terms and conditions") included in these agreements usually specify time periods for expending funds and contain provisions for financial and technical reporting and intellectual property assignments, including patents and copyrights.

Grant agreement

A grant is a type of financial or other assistance awarded to an organization for the conduct of research or other program as specified in an approved proposal. A grant is used when the sponsor anticipates no substantial programmatic involvement with the recipient during the performance of the project. Terms

and conditions on grants are flexible, including fiscal management of awards. Grants are the most commonly used type of sponsored agreement.

Contract

A contract is used when the principal purpose of the agreement is to provide tangible results or other "deliverable" items or to carry out a prescribed service for the direct benefit or use of the funding agency. Terms and conditions on contracts usually are strict, and fiscal management normally is not flexible. Many types of contracts exist. The most common type on educational institutions is the cost-reimbursement contract, in which the sponsor pays for the full costs incurred in the conduct of the work up to an agreed-upon amount. The Institute should not accept fixed-price contracts, in which the awarding agency pays a predetermined amount rather than reimbursing actual expenditures. Fixed-price contracts can create serious financial burdens.

Cooperative Agreement

A cooperative agreement is used when the purpose of the agreement is similar to that of a grant, but substantial programmatic involvement of or coordination by the funding agency is anticipated during the project.

Subcontract

A collaborative sub-award is written under the authority of and consistent with the terms and conditions of an award (a grant, contract or cooperative agreement) that transfers a portion of the research or substantive effort of the Institute's prime award to another institution or organization. These agreements commonly referred to as subcontracts, can be in the form of a sub-grant, subcontract, or sub-agreement.

Inter-Institutional sub allocation

An Inter-Institutional sub-allocation is the term for a sub-award transferring funds between two institutions. The agreement takes the form of a brief memo from one Institution to the other. As with other sub-awards, an Inter-Institutional sub-allocation from one Institution typically passes on to the other on the same terms and conditions of the prime award from the funding agency.

Intra-Institute Transaction

An intra-Institute transaction is the award mechanism for where one department within the institution awards research funds to the Institute. This kind of agreement can be governed by the Memorandum of Understanding.

Consulting Agreements

A consultant is an independent contractor hired to provide expert advice for short or intermittent time periods. The Projects Office writes consultancy agreements for contractors on the Institute including how revenue will be shared.

Un-funded Agreements

Unfunded agreements set out expectations, terms, and requirements to protect the interests of the investigators and the participating organizations. Such agreements may also involve use of Institute property and space, faculty time, students, protocol for human and animal subjects that must be approved by Institute Management and Research Committees. Unfunded agreements from industry often contain restrictive language that may conflict with basic academic and intellectual property rights, and other terms that must be negotiated.

Activity Agreements

Once an MOU has been executed between UMI and another entity, a detailed agreement for services can be developed.

Teaming Agreement

A teaming agreement is used when two or more parties want to collaborate in producing a proposal in response to a solicitation. All parties agree in advance how they will work together if the award is made.

Visitor Agreement

An agreement is sometimes required by the employer of a visiting fellow or other industrial visitor to the Institute. The visitor agreement specifies terms of their participation in research on campus, often addressing issues such as intellectual property rights.

Affiliation Agreement:

This type of agreement could be signed by UMI and another institution or organization to formalize a cooperative relationship in a study abroad program. It may involve an expression of intent to recommend a particular program, recruit participants, and/or cooperate on study abroad activities. It may involve reduced program costs or other benefits for the participants.

Material Transfer Agreement

A material transfer agreement (MTA) is a contract that governs the transfer of tangible research materials (usually biological) between two organizations. The National Council for Science (NCST) and Technology or The National Research Organisation (NARO) negotiates the MTA when an investigator wishes to receive materials from another institution.

Gifts. Unlike funds governed by agreements, gifts are awarded irrevocably and without contractual requirements (with "no strings attached"). Gifts will be treated according to the Uganda Leadership Cord.

Appendix 2: Institute Boards and Committees

No.	Name of Board/Committee	Mandate
1.	Institute Governing Council	Responsible for overall performance of the Institute
2.	Institute Senate	Overall responsibility on academic matters
3.	Top Management Team (TMT)	Responsible for formulation and administering policy
4.	Directorate Board of Programmes and Student Affairs	Responsible for student academic and welfare issues
5.	Directorate Board of Finance and Administration	Responsible for the Institute physical, financial health and staff matters
6.	Board of Higher Studies	Plays Advisory role on Masters and PhD programmes
7.	School Boards	Oversee the running of Schools and their departments
8.	Departmental Committees	Oversee the running of departments and their programmes

Appendix 3 - Pro forma questions for performance review of partnerships and collaborations

The Director Programmes will receive reports from the relevant School Deans every Teaching Period for the first year and thereafter annually on each of the partnerships and collaborations. These reports should address the following questions:

1. Does the program continue to meet the strategic objectives of the Institute?
2. What are student enrolments and how do these compare with the projections of the Business-Plan?
3. How has the program performed financially (income and expenditure) compared with the projections of the Business Plan?
4. Have all costs of delivery been met as identified in the Business Plan and has payment to the Institute been prompt and in full?
5. What are the assessment profiles of the program and how have students performed in examinations and other assessments?
6. What evidence, quantitative and otherwise, is there of student satisfaction? What are the results of Student evaluation reports or other measures as routinely used by the School(s)?
7. Have student progression rates over time been satisfactory?
8. What evidence is there of adequate infrastructure, including IT and Library support?
9. Who teaches on the program and what are their qualifications?
10. How have the administrative and support needs of the program been met and paid for?
11. What student services are provided and what evidence is there that these services are-adequate?
12. What evidence is there of regular staff evaluation and where appropriate staff training?
13. What policies and procedures are in place to ensure academic quality?
14. Are there any problems with the program that the Director General needs to be aware of?

The following performance indicators will also need to be collected annually for Quality Assurance purposes:

- Numbers of students
 - Performance in examinations and other assessments
 - Progression rates
-
-

Appendix 4. Joint Awards

a) Collaborating Institutions

i) Collaboration can only be made with recognized institutions

iii) There shall be in existent structures and expertise to manage, teach, supervise, examine and carry out research for the Joint Award.

iii) Ethical issues related to the award shall be noted and agreed upon jointly by either Institute/Institution.

iv) Students and staff involved shall be made aware of the Joint Award procedure by relevant authorities from the awarding institutions.

b) Agreement

A collaborative agreement justifying and strengthening the complementary and equal partnership between institutions shall be made.

c) Funding Mechanism

There shall be a clear and agreed upon funding mechanism for the joint award.

d) Intellectual Property Rights

Intellectual Property Rights shall belong to the partner Universities/institutions and the details of sharing financial proceeds shall be worked out as applicable in each Institute/university, following a mutual agreed format.

e) Admission Requirement

The admission requirements of the relevant institution/university shall be equivalent and any modifications to such qualifications shall be mutually agreed.

f) Application Requirements and Procedure of Application

i) The application requirements of the relevant institution shall be equivalent and any modifications/additions to such qualifications shall be mutually agreed upon.

ii) The programme shall be openly advertised for equal opportunity for candidates to apply and information given to staff to appreciate as they participate.

g) Duration of Study and Residence

The duration of study shall be defined but it shall not significantly differ from the existing ones in participating universities. Duration of stay in a particular Institute shall be prescribed as a requirement before the award is given.

h) Fees Payment and Sharing of Fees between Collaborating Institutions

The mode of fees payment and sharing shall be established between the partner Universities/Institutions.

i) Coordinating Office

The Institute organs to manage and coordinate the award shall be clearly identified in each Institute and a Coordinator shall be identified.

j) Course and Coursework Load

The type of course and coursework required by the collaborating Universities towards the awards shall be defined.

k) Quality Assurance

The methods of progress monitoring shall be agreed upon using the existing methods from either party. However, UMI will not compromise its quality assurance procedures in any case.

l) The Examination Process and Grading

The examination process and grading of the award shall be agreed upon by both institutions but shall not be significantly different from the existing ones at either institution.

m) Format of Dissertation

The format of results presentation in case of research project or dissertation presentations shall be agreed upon to include a comprehensive monograph and peer-reviewed published scientific articles (the acceptable number shall be defined).

n) Withdrawal of Students

Mechanism of withdrawal from the Joint Award shall be granted only following an investigation.

o) Transcripts

Documentation of results shall be through existing transcripts, which would be accepted by the partner Universities with the words “Transcript for the Joint Award” included in the document.

p) Award Certificate

- i) The name of the award must be in existence at either Institute or both official languages be used in the Award Certificate as agreed upon.
- ii) The Joint Award Certificate shall bear both/all Universities/institutions Logos side by side, a statement attributed to the awarding bodies in the partnerships, title of the degree (class if applicable), candidates name, date of award and signature of the relevant Institute authorities, Quality of paper used shall be agreed upon and relevant Institute seals embossed.

q) Arbitration

- i) Special situation shall be resolved by consultation of bodies responsible for the Joint Awards in the partner Universities.
- ii) The agreement shall provide for the appointment of Arbitrator(s).
- r) Termination of the Joint Award

The termination of the Join Award Programme by any of the Universities shall be by one year’s notice with mutual consent, but shall not affect the registered students until their studies have been completed or until deregistered.

Appendix 5. Guidelines for Hosting International ‘guests’

International guests described in this policy short-term visitors coming to UMI as courtesy visit, as guest lecturer, visiting researcher and scholar or to have meetings with UMI.

1. Hosting visitors from abroad is the primary responsibility of the party inviting the guest(s) in conjunction with the Public Relations Office. The host should clarify with the visitor(s) in advance who is responsible for costs related to the visit. The host is also responsible for arranging “meet and greet,” housing, transportation, logistics, and itineraries for the visitor(s). The Public Relations Officer provides advice on protocol, cultural issues, representational events, and schedules.

2. For visitors from countries that require a visa and a formal “invitation letter” the Public Relations Office can prepare and send such a letter signed by the Director General.

3. International guests are welcome to visit the Institute and its centers around the country and the Public Relations Office (PRO) shall provide tour guidance. The PRO can also provide a brief PowerPoint overview of UMI.

For VIP Visitors, the Public Relations Officer shall liaise with the Ministry of Foreign Affairs on matter of Protocol and Security.

4. If a representational function (lunch, dinner, reception, etc.) is required, Public Relations Office shall make the arrangements and provide protocol guidance. All associated costs shall be part of the Partnership and Collaboration related account.

5. *Formal Agreements.* If the purpose of the visit includes establishing or renewing an agreement with UMI, the Director of Finance and Administration can assist with preparation of the document and organizing a signing ceremony (if required). In most circumstances, the agreement needs to be finalized by the time of the visit to ensure that the document fulfills all requirements, and to avoid any last minute delays.

6. *Visits Initiated from Abroad.* If an international institution or individual contacts UMI directly to initiate a visit, the Public relations Office will contact the appropriate Directorate to determine the level of interest and potential support.