SOUTH EASTERN KENYA UNIVERSITY

INNOVATION AND COMMERCIALIZATION POLICY

SEKU, APRIL 2026

DOCUMENT APPROVAL FORM

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Approved by: Prof. Francis N. Wachira **Management Representative**	**Sign:**	**Date:** ..11.6.26....
Authorized by: Prof. Eng. Douglas Shitanda **Vice Chancellor**	**Sign:**	**Date:** 11/06/2026

THE MANDATE, VISION, MISSION, VALUES AND PHILOSOPHY

(1) Mandate

The core mandate of the University is research, teaching and learning, community service, innovation and commercialization.

(2) Vision

A globally competitive Centre of Excellence in Research, Teaching and Learning, Community Service, Innovation and Commercialization.

(3) Mission

To provide quality education through research, teaching, extension, innovation and entrepreneurship with emphasis on food and nutrition security, health, engineering and technology, environment and natural resources management for sustainable development.

(4) Core Values

In order to achieve the vision and mission, the University will be guided by the following core values:

a) Patriotism
b) Professionalism
c) Democracy and good governance
d) Innovation
e) Integrity, transparency and accountability
f) Inclusivity, equity and equality
g) Freedom of thought
h) Teamwork
i) Sustainability

(5) Philosophy

Arid to green .... Transforming lives.

PREFACE

It is with great pride that I present the **South Eastern Kenya University Innovation and Commercialization Policy (SEKU–IC Policy)**. Since attaining its Charter on 1st March 2013, SEKU has remained committed to fostering research, creativity, and entrepreneurship that drive societal transformation.This Policy provides a framework for promoting, protecting, and commercializing innovations developed by staff, students, and collaborators. It strengthens institutional mechanisms for intellectual property management, incubation, and technology transfer, ensuring that research outputs and creative ideas generate real-world impact.

The Policy embodies SEKU's guiding principles of integrity, inclusivity, sustainability, and professionalism, aligning innovation efforts with Kenya's Vision 2030 and global best practices. It also reinforces the University's role as a catalyst for knowledge-driven economic and social development.

On behalf of the University Council, I commend the collective effort of all who contributed to this important milestone. The Council fully supports its implementation and remains committed to providing strategic oversight and resources necessary to make SEKU a leading hub of innovation and commercialization in Kenya and beyond.

PROF. CRISPUS KIAMBA
CHAIRPERSON, COUNCIL

FOREWORD

The South Eastern Kenya University Innovation and Commercialization Policy (SEKU–IC Policy) marks a significant step in strengthening our institutional capacity to transform ideas into impactful solutions. As a research-led University, SEKU is committed to fostering a culture of innovation, creativity, and entrepreneurship among staff, students, and collaborators. This Policy provides a framework through which the University promotes, supports, protects, and commercializes innovations arising from research, non-research ideas, and community-based initiatives. It ensures that our innovations contribute meaningfully to national development, sustainable growth, and improved livelihoods. In alignment with our vision and mission, the Policy underscores the importance of integrity, inclusivity, professionalism, and collaboration as guiding principles in the innovation ecosystem. It also establishes structures such as the Technology Transfer Office, and Incubation and Startup Units to coordinate implementation and drive impact. I extend my appreciation to the University Council, management, staff, students, and partners whose dedication made this Policy possible. Its successful implementation will position SEKU as a leading driver of innovation and commercialization, advancing Kenya's knowledge economy and inspiring societal transformation.

PROF. ENG. DOUGLAS SHITANDA
VICE CHANCELLOR

ACRONYMS AND ABBREVIATIONS

ICT	Information and Communication Technology
IP	Intellectual Property
IPR	Intellectual Property Rights
KEMRI	Kenya Medical Research Institute
KENIA	Kenya National Innovation
KECOBO	Kenya Copyright Board
KIRDI	Kenya Industrial Research and Development Institute
KIPI	Kenya Industrial Property Institute
KNBS	Kenya National Bureau of Statistics
MoU	Memorandum of Understanding
M&E	Monitoring and Evaluation
NACOSTI	National Commission for Science, Technology and Innovation
NGO	Non-Governmental Organization
PCT	Patent Cooperation Treaty
PPP	Public-Private Partnership
TTO	Technology Transfer Office
TVET	Technical and Vocational Education and Training
UNESCO	United Nations Educational, Scientific and Cultural Organization
WIPO	World Intellectual Property Organization

DEFINITIONS OF TERMS

For the purposes of this Policy, the following terms shall have the meanings assigned to them below:

Commercialization: The process of transforming an innovation, research output, or creative work into marketable products, services, or processes through licensing, sale, startup creation, or other revenue-generating mechanisms.

Community-Based Innovation: Innovations developed in collaboration with or originating from local communities, incorporating indigenous knowledge, practices, or grassroots solutions.

Conflict of Interest: A situation where personal, financial, or professional interests may compromise or influence an individual's objectivity in decision-making related to innovation or commercialization activities.

Creator / Innovator: Any staff member, student, or collaborator who conceives, develops, or contributes to the creation of an innovation, invention, or intellectual property.

Disclosure (Innovation Disclosure): The formal process through which an innovator reports an invention, idea, or creative work to the University for evaluation, protection, and possible commercialization.

Intellectual Property (IP): Creations of the mind, including inventions, literary and artistic works, designs, symbols, names, and images used in commerce, which are eligible for legal protection.

Intellectual Property Rights (IPR): Legal rights granted to creators and owners of intellectual property to protect their work from unauthorized use, including patents, copyrights, trademarks, and industrial designs.

Incubation: A structured support process that nurtures early-stage innovations or startups through mentorship, training, workspace, funding access, and technical assistance.

Innovation: A novel or significantly improved product, process, service, or business model that creates value and has potential for societal or economic impact.

Innovation Ecosystem: The network of institutions, policies, resources, and stakeholders that support the development, protection, and commercialization of innovations.

Licensing: A legal agreement through which the University grants permission to a third party to use, produce, or commercialize intellectual property under defined terms and conditions.

Prototype: An early model or sample built to test the feasibility, design, and functionality of an innovation before full-scale production.

Revenue Sharing / Benefit Sharing: The distribution of financial returns or other benefits derived from the commercialization of innovations among the University, innovators, and other stakeholders in accordance with approved guidelines.

Spin-off Company: A company established to commercialize a university-developed innovation, typically involving participation by the innovator(s) and/or the University.

Startup: A newly established business entity formed to develop and scale an innovative product, service, or process.

Technology Transfer: The process of transferring knowledge, innovations, or technologies from the University to industry, government, or other users for commercialization or societal application.

Technology Transfer Office (TTO): The designated University unit responsible for managing intellectual property, facilitating technology transfer, and supporting commercialization activities.

University Resources: All forms of support provided by the University, including funding, facilities, equipment, personnel, data, and institutional affiliation.

Joint Ownership: A situation where two or more parties share legal ownership of intellectual property arising from collaborative efforts.

Public-Private Partnership (PPP): A collaborative arrangement between the University and private sector entities for the development, funding, or commercialization of innovations.

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1.0 INTRODUCTION

1.1 Background Information

South Eastern Kenya University (SEKU) is a fully-fledged public university awarded its Charter on 1st March 2013 by the then President of the Republic of Kenya, His Excellency Hon. Mwai Kibaki. The University's main campus is located in Kitui County, 12 kilometres off Kwa-Vonza Township along the Kitui–Machakos Road, in a serene and conducive learning environment.

As a centre of academic excellence, SEKU is committed to advancing research, innovation, and knowledge transfer as key enablers of social and economic transformation. The University develops and implements policies to guide decision-making processes, ensure accountability, and foster creativity. In line with national and global aspirations, SEKU recognizes innovation and commercialization as critical pathways to achieving the Sustainable Development Goals (SDGs), Kenya Vision 2030, AU agenda 2063 and the Bottom-Up Economic Transformation Agenda (BETA).

This Policy provides a structured framework to promote, manage, protect, and commercialize innovations arising from research, community engagement, and creative initiatives within the University ecosystem

1.2 Purpose of the Policy

The purpose of this Policy is to establish a comprehensive and coherent framework that guides the promotion, support, protection, development, and commercialization of innovations generated within the University ecosystem. It ensures that all innovations, whether arising from research, creative work, digital technologies, community engagement, or non-research productive activities are managed in a structured, transparent, and accountable manner that advances SEKU's mandate, vision, and mission. The Policy also seeks to align the University's innovation efforts with national priorities, global best practices, and the requirements of regulatory bodies responsible for research, intellectual property, and innovation governance.

1.3 Policy Objectives

The objectives of this policy are to:

1) Promote a Culture of Innovation and Entrepreneurship: Foster creativity, innovation, and entrepreneurial thinking among staff, students, and collaborators.

2) Establish an Effective Institutional Framework: Provide clear structures and governance mechanisms for managing innovation and commercialization activities.

3) Strengthen Intellectual Property Management: Facilitate the identification, protection, and management of intellectual property in line with applicable laws and University policies.

4) Facilitate Commercialization and Technology Transfer: Support the translation of research outputs and innovative ideas into marketable products, services, and enterprises.

5) Enhance Innovation Support Infrastructure: Develop and strengthen incubation centres, innovation hubs, and technology transfer systems.

6) Promote Strategic Partnerships and Collaboration: Build linkages with industry, government, and development partners to scale innovations and mobilize resources.

1.4 Rationale

South Eastern Kenya University generates diverse ideas, research outputs, creative works, and commercially viable products with significant potential for societal and economic impact. However, many remain underutilized due to limited structured mechanisms for protection, incubation, and commercialization. In addition, the University produces goods and services through non-research activities that also have commercial value and require structured pathways for development, marketing, and revenue generation. This Policy therefore provides a framework to institutionalize innovation management, technology transfer, and commercialization, ensuring that all viable outputs, whether arising from research, innovation, or non-research productive activities, are effectively developed, protected where applicable, and commercialized for the benefit of the University, innovators, and society.

1.5 Scope of the Policy

The Policy applies to all members of the University community—including staff, students, visiting researchers, collaborators, and external partners—who engage in innovation, intellectual property creation, technology development, commercialization activities, or the production of goods and services under the auspices of SEKU or using

University resources. It covers the full spectrum of innovation and commercialization activities undertaken within the University ecosystem, including:

a) Research-based innovations arising from basic, applied, or translational research conducted using University facilities, funding, data, or institutional affiliation.
b) Non-research innovations and creative works developed through teaching, training, consultancy, workshops, competitions, hackathons, or other University-supported programmes.
c) Digital and ICT-based innovations, including software, mobile applications, data-driven solutions, algorithms, digital content, and emerging technology outputs.
d) Community-based and co-developed innovations where SEKU contributes knowledge, infrastructure, technical expertise, or other institutional support in partnership with communities, indigenous groups, or grassroots innovators.
e) Products, goods, and services generated through University units, farms, laboratories, workshops, or income-generating activities that possess commercial value.
f) Collaborative innovations developed jointly with industry, government agencies, development partners, NGOs, or other institutions under formal or informal agreements.
g) Spin-offs, startups, and entrepreneurial ventures arising from university-supported innovation processes, incubation programmes, or technology transfer initiatives.

1.6 Guiding Principles

(1) Integrity and Accountability: All activities must be conducted honestly, transparently, and in compliance with laws and regulations.
(2) Inclusivity and Equity: Opportunities and benefits from innovation and commercialization should be accessible to all eligible participants.
(3) Sustainability: Innovations and commercialization processes should contribute to long-term economic, social, and environmental sustainability.
(4) Professionalism: Stakeholders should uphold high standards of competence, ethics, and diligence.

(5) Collaboration and Interdisciplinarity: Encourage teamwork across disciplines, departments, and external partners to enhance innovation outcomes.
(6) Transparency: Policies, processes, contracts, and revenue distribution must be clear and openly communicated.
(7) Compliance with Legal and Policy Frameworks: Activities must align with University, national, and international laws, regulations, and best practices.
(8) Global Competitiveness: Innovation and commercialization efforts should aim to meet international standards and benchmarks.

2.0 POLICY STATEMENT, LEGAL FRAMEWORK AND CITATION

2.1 Policy Statement

The University supports the development and commercialization of research outputs, innovations, and other marketable products. It promotes creativity, entrepreneurship, intellectual property protection, and equitable benefit sharing, and positions itself as a driver of sustainable and inclusive development aligned with national priorities and international best practices.

2.2 Legal Framework

This Policy is anchored in the following national and international frameworks:

(1) The Constitution of Kenya (2010):
(2) The Universities Act, 2012 (Revised 2016, 2021)
(3) South Eastern Kenya University Statutes
(4) The Science, Technology and Innovation (ST&I) Act, 2013
(5) The Technical and Vocational Education and Training (TVET) Act, 2013
(6) The Industrial Property Act, 2001
(7) The Copyright Act, 2001 (Revised 2019)
(8) The Trademarks Act (Cap. 506).
(9) The Kenya Industrial Property Institute (KIPI) Regulations
(10) Kenya Innovation Ecosystem Master Plan
(11) SEKU Research Policy
(12) SEKU Intellectual Property Policy
(13) Public Private Partnerships Act, 2021

2.3 Citation

This document shall be cited as the *South Easten Kenya University Innovation and Commercialization Policy (**SEKU-IC** Policy).*

3.0 GENERAL PROVISIONS

3.1 Use of University Resources.

For purposes of this Policy, use of the University resources shall include utilization of institutional facilities, equipment, laboratories, research funding, ICT systems, staff or student expertise, or any other form of support provided under the name or affiliation of SEKU.

3.2 Institutional and Joint Ownership

Innovations developed through the University-supported activities shall be owned or co-owned by SEKU in accordance with the SEKU IP Policy.

3.3 Commercialization of Innovations

All innovation and commercialization activities at the University shall be implemented in accordance with this Policy, the Research Policy, and the Intellectual Property (IP) Policy, to ensure coherence in research, innovation, and knowledge transfer processes.

3.4 Commercialization of Other Commercializable Products.

All activities relating to the commercialization of consultancies, creative works, professional services, training programmes, income-generating activities, and other commercializable products or outputs that do not arise from formal research or innovation processes shall be governed by this Policy, IP policy and other applicable University policies to ensure consistency, transparency, and equitable benefit-sharing.

3.5 Innovation Pipeline and Commercialization Framework

This Policy establishes a structured and stage-gated Innovation Pipeline to guide the systematic transformation of ideas, research outputs, and creative works into commercially viable products, services, and enterprises. It is intended to enhance innovation efficiency, ensure quality assurance, promote intellectual property protection, and facilitate commercialization and societal impact. The innovation and commercialization activities will be guided by the frameworks outlined in Appendices

C to H, as well as by additional procedures that may be developed from time to time as the need arises.

3.6 Exclusions

Innovations or creative works developed entirely without university resources, funding, or affiliation, and outside the scope of employment or academic duties, shall remain the sole property of the creator(s) in SEKU in accordance with the SEKU IP Policy.

3.7 Relation to Other Policies

This Policy shall be read and implemented in conjunction with the University's Research Policy, Intellectual Property Policy, and related frameworks. Where inconsistencies arise, the SEKU IP Policy shall take precedence on matters of ownership and protection of IP rights.

4.0 POLICY IMPLEMENTATION AND COORDINATION FRAMEWORK

4.1 University Organs

The University organs and management structures that will be involved in the coordination of Innovation and Commercialization Policy are as follows:

4.1.1 The Council

The University Council shall approve and oversight implementation of the Policy

4.1.2 The University Senate/ Management Board

The Senate shall be responsible for academic programmes and policies related to innovation and commercialization. The UMB will be responsible for innovation and commercialization related activities in administrative processes.

4.1.3 Directorate of Research, Innovation and Commercialization (DRIC)

(1) DRIC is the **policy custodian** responsible for ensuring that innovation and commercialization activities are developed, implemented, and monitored in accordance with this Policy and related institutional regulations.

(2) It shall consolidate reports, track institutional performance, and advise the University Management Board, Senate, and Council on innovation and commercialization progress.

(3) Specific role of DRIC under innovation and commercialization framework include the following strategic, coordination and oversight roles:

   (1) Develop, maintain, and periodically review the University's Innovation and Commercialization Frameworks.

   (2) Ensure alignment of innovation and commercialization activities with the University's mission, vision, and strategic plan.

   (3) Provide technical guidance, advisory services, and training to Schools, Departments, and operational units.

   (4) Consolidate performance data and prepare quarterly and annual reports.

   (5) Oversee institutional compliance with relevant laws, policies, and national frameworks governing innovation, IP, and commercialization.

   (6) Coordinate cross-unit collaboration and synergy between innovation, research, and commercialization offices.

   (7) Monitor implementation of operational guidelines, manuals, and benefit-sharing schedules.

   (8) Serve as the liaison with national and international agencies involved in innovation and technology transfer.

   (9) Recommend improvements to innovation governance structures and report emerging opportunities or challenges

(4) While DRIC retains strategic oversight, this Policy establishes technology transfer office (TTO) to execute the specific functional activities of innovation and commercialization. The duties and responsibilities of the TTO are as in appendix I.

(5) DRIC shall be responsible for developing comprehensive Standard Operating Procedures (SOPs) to guide all activities related to innovation and commercialization.

4.1.4 Schools and Department

Schools and Departments shall:

1) Integrate innovation, creativity, and entrepreneurship into teaching, research, and community engagement.
2) Identify, support, and forward innovations for disclosure, evaluation, and protection.
3) Collaborate with DRIC in incubation, prototyping, and commercialization activities.
4) Maintain internal records of innovation activities and submit periodic reports to DRIC.

4.2 Innovation Funding and Sustainability

South Eastern Kenya University recognizes that sustainable funding is essential for fostering creativity, developing prototypes, protecting intellectual property, and facilitating the commercialization of innovations. In line with its strategic goal of becoming a research-led and innovation-driven institution, the University commits to the following:

(1) **Establishment of an Innovation and Commercialization Fund (ICF):**
The University will allocate at least 0.5% of its total annual budget to support innovation and commercialization initiatives.

(2) **Resource Mobilization and Partnerships:**
The University will actively mobilize external resources through collaborations with government agencies, development partners, industry, and venture capital entities to support innovation and commercialization activities.

(3) **Accountability and Sustainability:**
All funds will be managed transparently in accordance with the University financial regulations and public finance laws. Revenue generated from commercialization shall be reinvested to strengthen innovation infrastructure, support future projects, and reward innovators, ensuring long-term sustainability of the innovation ecosystem as guided by the SEKU-IP Policy.

5.0 MONITORING, EVALUATION, REPORTING AND LEARNING

Monitoring & Evaluation provides regular and timely information in support of evidence-based decision-making serving as a key driver towards the realization of an organization's goals. The University shall implement a robust monitoring, evaluation, reporting, and learning (MERL) system to ensure that innovation and commercialization activities are effective, accountable, and continuously improving.

5.1 Monitoring

The DVC, ARI will be responsible for monitoring the implementation of this Policy. The monitoring process will ensure that the Key Performance Indicators (KPI) on Innovation and Commercialization are met by each unit and appropriate feedback for continual improvement is recommended. The University shall ensure that:

(1) Appropriate monitoring tools, indicators, and reporting mechanisms will be developed to monitor implementation of this Policy;

(2) Constraints and challenges in the policy implementation process have been identified.

(3) Ways to improve resource utilization, funding allocation, and compliance with all regulations have been devised.

(4) Lessons learnt from the process have been documented and used in planning future initiatives.

5.2 Evaluation

The Vice-Chancellor will be responsible for coordination of periodic evaluation. The evaluation of the Policy will focus on efficiency, effectiveness and measurement of actual performance against targets arising from activities derived from the policy objectives. The differences, if any, will be identified and appropriate recommendations and intervention measures taken.

5.3 Reporting and Learning

The heads of functional areas shall prepare and submit reports on public participation exercises as and when required. The information prepared includes progress made, challenges encountered and identified emerging issues. This information will also be used to promote a culture of learning and application of lessons learned. The lessons learnt shall be considered at the time of review of the policy in order to ensure that the policy addressing old and emerging issues with regard to environmental management. Reporting on the progress made will done biennially.

5.3 Review

The policy may be reviewed after every five (5) years or as need arises to address emerging issues and with an aim to enhance efficient delivery of effective outcomes.

APPENDICES

Appendix A: Implementation Activities

No.	SOP / Activity Area	Key Activities	Lead Office / Unit	Supporting Offices	Indicative Timeframe	Key Outputs
1	**Innovation Disclosure and Evaluation**	- Receive and assess innovation disclosures. - Evaluate novelty, technical feasibility, and market potential. - Recommend for protection or incubation.	**Innovation and Startup Office**	DRIC, TTIPO, Schools/Departments	Continuous	Evaluation reports; registered disclosures
2	**Prototyping, Incubation, and Startup Support**	- Guide innovators through design, prototyping, and incubation. - Coordinate mentorship	**Innovation and Startup Office**	TTIPO, Finance, Schools	Continuous / Biannual	Incubated startups; mentorship reports

No.	SOP / Activity Area	Key Activities	Lead Office / Unit	Supporting Offices	Indicative Timeframe	Key Outputs
		and entrepreneurship training. - Support registration of startups and spin-offs.				
3	**IP Protection and Commercialization**	- Manage IP disclosure, protection, and registration. - Facilitate licensing, spin-offs, and benefit-sharing. - Ensure compliance with IP policy and contracts.	**Technology Transfer and Industry Partnerships Office (TTIPO)**	DRIC, Legal, Finance	Continuous	Filed patents; licensing agreements; IP register
4	**Industry and Research Partnerships**	- Identify and negotiate partnerships and MoUs. - Facilitate collaborative research and technology transfer. - Support market linkages and funding mobilization.	**Technology Transfer and Industry Partnerships Office (TTIPO)**	DRIC, Innovation & Startup Office, Legal	Continuous	Signed MoUs; partnership database
5	**Monitoring, Evaluation,**	- Collect and analyse	**DRIC Secretaria**	All Units, DVC (RIE)	Quarterly / Annual	M&E reports;

No.	SOP / Activity Area	Key Activities	Lead Office / Unit	Supporting Offices	Indicative Timeframe	Key Outputs
	and Learning (MEL)	innovation data. - Prepare quarterly and annual performance reports. - Conduct review and learning sessions.	**t / M&E Officer**			dashboards
6	**Benefit-Sharing and Revenue Distribution**	- Track commercialization revenues. - Apply approved benefit-sharing schedule. - Disburse funds and record transactions.	**TTIPO + Finance Division**	DRIC, Legal, Schools	As revenues accrue	Payment records; annual summary
7	**Policy Awareness and Capacity Building**	- Conduct sensitization sessions for staff and students. - Develop policy briefs and promotional materials.	**DRIC**	HR, Communications, Schools	Semi-annual	Trained participants; awareness materials
8	**Review and Continuous Improvement**	- Evaluate policy and operational effectiveness.	**DRIC + UMB**	DVC (ARI), Council	Every 3 years or as need arises	Revised policy and

No.	SOP / Activity Area	Key Activities	Lead Office / Unit	Supporting Offices	Indicative Timeframe	Key Outputs
		- Update SOPs, manuals, and guidelines. - Integrate feedback from stakeholders.				frameworks

Appendix B. Performance and Reporting Schedule

Reporting Level	Responsible Office	Report Type	Frequency	Submitted To
Operational Unit Reports	Innovation & Startup Office; TTIPO	Progress & Output Reports	Quarterly	DRIC
Consolidated Directorate Report	DRIC Secretariat	Innovation & Commercialization Report	Quarterly / Annual	DVC (ARI), Senate
Institutional Performance Report	DVC (ARI)	Annual Innovation & Commercialization Report	Annually	Council
External Reporting	DRIC	Reports to NACOSTI, KENIA, partners	As required	Regulators / Stakeholders

Appendix C: Innovation Management Procedure

C1. Purpose

C1.1 This Section establishes a formal and structured framework for the identification, disclosure, evaluation, protection, development, and commercialization of innovations arising within the University.

C1.2 The purpose of this procedure is to ensure that all innovations are managed in a manner that maximizes institutional, societal, and economic value while safeguarding the rights and interests of all stakeholders.

C2. Scope and Application

C2.1 This Procedure shall apply to all members of the University, including staff, students, researchers, and any external collaborators engaged in research, innovation, or creative activities under the auspices of the University.
C2.2 This Section shall apply to all innovations developed:
(a) using University resources;
(b) within the course of employment or study; or
(c) under University-funded or externally sponsored projects administered by the University.

C3. Obligation to Disclose Innovations

C3.1 Any person to whom this Policy applies shall promptly disclose any innovation to the University through the prescribed Innovation Disclosure Form (IDF).
C3.2 Disclosure shall be made prior to any public communication, publication, or dissemination that may compromise the novelty or protectability of the innovation.
C3.3 Failure to disclose an innovation in accordance with this provision may result in forfeiture of rights or other administrative action as determined by the University.

C4. Preliminary Review and Screening

C4.1 Upon receipt of the Innovation Disclosure Form, the Directorate of Research, Innovation, and Commercialization (DRIC) shall conduct a preliminary review to:
(a) verify completeness of the disclosure;
(b) determine compliance with this Policy; and
(c) assess alignment with the strategic objectives of the University.
C4.2 The Directorate may request additional information from the innovator(s) where necessary.

C5. Evaluation and Due Diligence

C5.1 The University shall subject all disclosed innovations to a formal evaluation process, which may include technical, legal, and commercial assessments.
C5.2 Without prejudice to the generality of Clause C5.1, the evaluation shall consider:
(a) novelty and inventiveness;
(b) technical feasibility;
(c) market potential and scalability;
(d) social, environmental, and ethical implications; and
(e) compliance with applicable laws and regulations.
C5.3 The University may engage internal committees or external experts to support the evaluation process.

C6. Intellectual Property Protection

C6.1 The University shall determine, at its sole discretion, the appropriate form of intellectual property protection for each innovation.
C6.2 The University shall take reasonable steps to secure legal protection, including but not limited to patents, copyrights, trademarks, and trade secrets.
C6.3 Innovators shall cooperate fully with the University in all processes related to the protection and registration of intellectual property.
C6.4 No innovator shall disclose or publish any aspect of the innovation prior to securing appropriate intellectual property protection without written authorization from the University.

C7. Development and Support

C7.1 The University may provide technical, financial, and administrative support for the further development of innovations, subject to resource availability.
C7.2 Such support may include:
(a) proof-of-concept development;
(b) prototyping and pilot testing;
(c) mentorship and technical advisory services; and
(d) access to laboratories, equipment, and incubation facilities.

C8. Commercialization of Innovations

C8.1 The University shall determine the most appropriate commercialization pathway for each innovation, which may include:
(a) licensing to third parties;
(b) formation of start-ups or spin-off companies;
(c) joint ventures or strategic partnerships; or
(d) direct commercialization by the University.
C8.2 All commercialization agreements shall be subject to formal approval in accordance with the University's governance structures.
C8.3 The University shall ensure that all commercialization activities comply with applicable laws, regulations, and contractual obligations.

C9. Revenue and Benefit Sharing

C9.1 Revenue derived from the commercialization of innovations shall be shared among the University, the innovator(s), and any other entitled parties in accordance with the SEKU-IP Policy.

C10. Confidentiality

C10.1 All parties involved in the innovation management process shall maintain strict confidentiality regarding disclosed innovations.
C10.2 Confidential information shall not be disclosed to third parties without prior written authorization, except where required by law or for purposes of evaluation and commercialization under appropriate confidentiality agreements.

C11. Monitoring and Reporting

C11.1 The Directorate shall monitor the progress and performance of all innovations under development and commercialization.
C11.2 Periodic reports shall be submitted to the relevant University organs detailing:
(a) status of innovations;
(b) intellectual property secured;
(c) commercialization outcomes; and
(d) revenue and impact metrics.

C12. Dispute Resolution

C12.1 Any disputes arising from the implementation of this Procedure shall, in the first instance, be referred to the Directorate for mediation.
C12.2 Where disputes remain unresolved, the matter shall be escalated to the appropriate University committee or authority for determination in accordance with the University statutes and applicable laws.

C13. Review and Amendment

C13.1 This Procedure shall be subject to periodic review to ensure alignment with emerging best practices, legal requirements, and institutional priorities.
C13.2 The University reserves the right to amend this Procedure from time to time.

Appendix D: Commercialization Procedure

D1. Purpose

D1.1 This Section establishes a structured and accountable framework for the commercialization of:
(a) innovations and intellectual property developed under the auspices of the University; and
(b) products, services, and outputs that may not necessarily arise from formal research or innovation processes but are developed using University expertise, resources, or institutional capacity.

D1.2 The objective is to enhance revenue generation, promote entrepreneurship, and maximize the socio-economic impact of university activities.

D2. Scope

D2.1 This Procedure shall apply to:
(a) all intellectual property and innovations owned or co-owned by the University;
(b) products and services developed through teaching, consultancy, community engagement, or institutional initiatives;

(c) externally sourced or co-developed products commercialized through the University under formal agreements.

D2.2 This Section shall apply to all staff, students, and collaborators involved in commercialization activities.

D3. Classification of Commercializable Outputs

For purposes of this Policy, commercializable outputs shall include:

(a) Innovation-Based Outputs: Patents, prototypes, technologies, and research-derived products.

(b) Non-Innovation-Based Outputs: Products and services that may not qualify as formal innovations but have commercial value, including:

- i. Consultancy services and expert advisory outputs;
- ii. Training programmes, short courses, and professional certifications;
- iii. Educational materials, manuals, and digital content;
- iv. Agricultural, industrial, or artisanal products developed through university activities;
- v. Creative works, designs, and media productions;
- vi. Institutional services offered on a commercial basis.

D4. Guiding Principles

D4.1 Commercialization shall be guided by:
(a) Value creation and sustainability;
(b) Equity and fair benefit-sharing;
(c) Accountability and transparency;
(d) Market responsiveness and competitiveness;
(e) Compliance with applicable laws and University regulations.

D5. Commercialization Pathways

D5.1 The University may commercialize outputs through:
(a) Licensing or franchising;
(b) Direct sale of products or services;
(c) Consultancy and service contracts;
(d) Establishment of start-ups or spin-off enterprises;
(e) Public-private partnerships and joint ventures;
(f) Digital platforms and online delivery systems.

D6. Commercialization Procedure

D6.1 Identification and Registration

D6.1.1 All commercializable outputs shall be declared to the Directorate of Research, Innovation, and Commercialization (DRIC) or designated unit.
D6.1.2 For non-innovation outputs, a Commercial Activity Disclosure Form (CADF) shall be submitted.

D6.2 Screening and Categorization

6.2.1 The University shall classify the output as:
(a) innovation-based; or
(b) non-innovation-based commercial output.

6.2.2 The level of review shall be proportionate to the nature, scale, and risk of the activity.

D6.3 Feasibility and Market Assessment

D6.3.1 The University shall assess:
(a) market demand and viability;
(b) pricing and revenue potential;
(c) operational and delivery capacity;
(d) regulatory and compliance requirements.

D6.3.2 Simplified assessment procedures may be applied for low-risk or service-based activities.

D6.4 Approval and Authorization

D6.4.1 All commercialization activities shall require formal approval by the appropriate university authority.
D6.4.2 Activities involving significant financial, legal, or reputational implications shall undergo enhanced review.

D6.5 Intellectual Property and Rights Management

6.5.1 Where applicable, intellectual property rights shall be identified and protected.
6.5.2 For non-innovation outputs, ownership and usage rights shall be clearly defined, particularly for:
(a) training content;
(b) consultancy outputs;
(c) branded institutional services.

D6.6 Pricing and Financial Management

D6.6.1 Pricing of products and services shall be guided by:
(a) cost recovery principles;
(b) market competitiveness;
(c) value proposition.

D6.6.2 All revenues shall be receipted and managed in accordance with the University financial regulations.

D6.7 Partner Engagement and Contracting

D6.7.1 Where external parties are involved, formal agreements shall be executed, including:
(a) service contracts;
(b) consultancy agreements;
(c) partnership agreements.

D6.7.2 All agreements shall define deliverables, timelines, financial terms, and responsibilities.

D6.8 Implementation and Delivery

D6.8.1 Approved commercialization activities shall be implemented in accordance with agreed plans.
D6.8.2 Units responsible shall ensure quality assurance and timely delivery of products or services.

D6.9 Monitoring and Performance Evaluation

6.9.1 The University shall monitor commercialization activities based on:
(a) revenue performance;
(b) customer satisfaction;
(c) operational efficiency;
(d) compliance with agreements.

D6.10 Revenue Distribution

D6.10.1 Revenue generated from both innovation-based and non-innovation-based activities shall be distributed in accordance with the approved Benefit-Sharing Frameworks at SEKU-IP Policy, subject to:
(a) applicable cost recovery;
(b) specific contractual obligations;
(c) nature of the activity.

D6.10.2 The University may adopt differentiated sharing ratios for service-based activities, subject to approval.

D7. Risk Management

D7.1 The University shall manage risks associated with commercialization, including financial, legal, operational, and reputational risks.
D7.2 Appropriate internal controls shall be established.

D8. Conflict of Interest

D8.1 All participants shall disclose any actual or potential conflict of interest.
D8.2 The University shall implement measures to manage such conflicts in accordance with institutional policies.

D9. Record Keeping and Reporting

D9.1 All commercialization activities will be documented and reported to the relevant University authorities.
D9.2 Periodic reports will include financial performance, outputs delivered, and impact achieved.

D10. Review and Continuous Improvement

D10.1 This Procedure may be reviewed periodically to ensure responsiveness to emerging opportunities, including consultancy markets, professional training, and service innovation.

Appendix E: COMMERCIALIZATION APPROVAL WORKFLOW

E1. PURPOSE

This Workflow establishes a structured, transparent, and accountable process for the review, approval, and implementation of all commercialization activities undertaken within or in association with the University.

E2. SCOPE

This Workflow applies to:
(a) Innovations disclosed through the **Innovation Disclosure Form (IDF)**;
(b) Non-innovation commercial activities disclosed through the **Commercial Activity Disclosure Form (CADF)**;
(c) All staff, students, and collaborators engaged in commercialization.

E3. TRACKING AND REGISTRATION

E3.1 All submissions shall be assigned a unique reference number:

- **IDF/SEKU/YYYY/XXX** (Innovation-based activities)
- **CADF/SEKU/YYYY/XXX** (Non-innovation activities)

E3.2 No commercialization activity shall proceed without a valid tracking number.

E4. WORKFLOW STAGES

STEP 1: SUBMISSION AND REGISTRATION

Responsible Unit: Applicant / DRIC

i. Submission of IDF or CADF

ii. Supporting documentation attached

iii. Assignment of tracking number

iv. Entry into Innovation/Commercialization Register

Timeline: ≤ 2 Working Days

Outcome:

✓ Registered

✗ Returned for incomplete submission

STEP 2: INITIAL SCREENING

Responsible Unit: DRIC

Assessment Criteria:

i. Completeness of submission

ii. Classification (innovation vs non-innovation)

iii. Policy compliance

iv. Preliminary risk identification

Timeline: ≤ 5 Working Days

Outcome:

✓ Proceed to Evaluation

↻ Revision Required

✗ Rejected

STEP 3: TECHNICAL AND MARKET EVALUATION

Responsible Unit: Evaluation Committee (DRIC Board + Subject Experts + Finance Representative)

Assessment Areas:

i. Technical feasibility (if applicable)

ii. Market demand and competitiveness

iii. Value proposition

iv. Operational feasibility

Timeline: ≤ 14 Working Days

Outcome:

✓ Recommended for Approval

↻ Revision Required

✗ Not Viable

STEP 4: FINANCIAL AND LEGAL REVIEW

Responsible Units: Finance Office + Legal Office

Assessment Areas:

i. Costing and pricing validation

ii. Revenue projections

iii. Financial risks

iv. Legal compliance and contractual requirements

Timeline: ≤ 7 Working Days

Outcome:

✓ Financially and legally cleared
↻ Revision Required
✕ Not Approved

STEP 5: RISK CLASSIFICATION AND APPROVAL LEVEL

Risk Level	Description	Approval Authority	Timeline
◍ Low Risk	Routine services (short courses, consultancy)	Director, DRIC	≤ 7 Days
◍ Medium Risk	Moderate revenue activities	Deputy Vice-Chancellor (ARI)	≤ 14 Days
◍ High Risk	Strategic/high-value ventures	University Management Board / Council	As scheduled

STEP 6: APPROVAL AND AUTHORIZATION

Responsible Unit: VCs Office

i. Formal written approval issued

ii. Conditions of approval specified

iii. Revenue-sharing framework confirmed

Outcome:

✓ Approved
✕ Not Approved

STEP 7: CONTRACTING AND AGREEMENTS

Responsible Units: DRIC + Legal Office

i. Drafting and execution of agreements:

   a) Licensing agreements

   b) Consultancy contracts

   c) Partnership agreements

ii. Signing by authorized University officers

Timeline: ≤ 21 Working Days

STEP 8: IMPLEMENTATION AND DELIVERY

Responsible Unit: Implementing Department/Unit

i. Execution of activity

ii. Quality assurance mechanisms

iii. Compliance with approved plan

STEP 9: REVENUE MANAGEMENT

Responsible Unit: Finance Office

i. All payments processed through university accounts

ii. Application of Benefit-Sharing Framework

iii. Financial tracking and reporting

STEP 10: MONITORING AND PERFORMANCE EVALUATION

Responsible Unit: DRIC

Key Indicators:

i. Revenue generated

ii. Market performance

iii. Client satisfaction

iv. Impact (economic/social)

Frequency: Quarterly

STEP 11: POST-ACTIVITY REVIEW AND CLOSURE

Responsible Unit: DRIC + Finance

i. Financial reconciliation

ii. Performance assessment

iii. Documentation and archiving

iv. Lessons learned and improvement recommendations

E5. ESCALATION AND DISPUTE HANDLING

E5.1 Any disputes arising during the workflow shall be referred, in the first instance, to DRIC for mediation.
E5.2 Unresolved matters shall be escalated to the appropriate University authority in accordance with institutional statutes.

E6. COMPLIANCE REQUIREMENT

E6.1 No commercialization activity shall be undertaken outside this workflow.
E6.2 Any unauthorized activity shall be subject to disciplinary action in accordance with the University regulations.

E7. RECORD KEEPING AND AUDIT

E7.1 All workflow stages shall be documented and stored in the University's commercialization registry.
E7.2 Records shall be subject to internal and external audit.

E8. REVIEW AND CONTINUOUS IMPROVEMENT

This workflow shall be reviewed periodically to enhance efficiency, reduce turnaround time, and align with best practices.

Appendix F: INNOVATION DISCLOSURE FORM (IDF)

CONFIDENTIALITY NOTICE

This Innovation Disclosure Form and all information contained herein are **strictly confidential** and are submitted to South Eastern Kenya University (SEKU) for the sole purpose of evaluation, protection, and potential commercialization of the disclosed innovation.

By submitting this Form:

1. The Innovator(s) acknowledge that the information provided may constitute proprietary and/or patentable subject matter.
2. The University undertakes to treat all disclosed information with the highest level of confidentiality and shall not disclose such information to third parties without the prior written consent of the Innovator(s), except where disclosure is necessary for evaluation, protection of intellectual property, or commercialization, and subject to appropriate confidentiality agreements.
3. The Innovator(s) agree not to publicly disclose the innovation (including through publications, presentations, or digital platforms) prior to consultation

with the Directorate of Research, Innovation and Commercialization (DRIC), where such disclosure may compromise intellectual property protection.

4. This confidentiality obligation shall be subject to applicable laws, contractual obligations, and University policies.

DOCUMENT CONTROL AND TRACKING

Item	Description
Form Title	Innovation Disclosure Form (IDF)
Tracking Number	**IDF/SEKU/______ / ______**
Year	________________
Serial Number	________________
Date of Submission	________________
Responsible Office	Directorate of Research, Innovation and Commercialization (DRIC)

Tracking Number Format

All submissions shall be assigned a unique reference number in the format:

IDF/SEKU/YYYY/XXX

Where:

- **IDF** = Innovation Disclosure Form
- **SEKU** = South Eastern Kenya University
- **YYYY** = Year of submission
- **XXX** = Sequential number (e.g., 001, 002, 003…)

Example: IDF/SEKU/2026/015

SECTION A: GENERAL INFORMATION

1. Title of Innovation: ______________________________________
2. Name(s) of Innovator(s): ______________________________________
3. Staff/Student ID(s): ______________________________________
4. Department/School/Unit: ______________________________________

5. Contact Details (Email/Phone): ______________________________

SECTION B: DESCRIPTION OF THE INNOVATION

6. Type of Innovation (tick all applicable):
   ☐ Product
   ☐ Process
   ☐ Service
   ☐ Software/Digital Technology
   ☐ Creative Work
   ☐ Other (Specify): ________________________

7. Detailed Description:

____

____

____

____

____

____

SECTION C: PROBLEM STATEMENT AND NOVELTY

8. Problem Addressed: ______________________________________

9. Novelty/Uniqueness: _____________________________________

10. Advantages over existing solutions: ________________________

SECTION D: DEVELOPMENT STATUS

11. Stage of Development:
    ☐ Concept ☐ Prototype ☐ Pilot ☐ Market-Ready

12. Has the innovation been publicly disclosed? ☐ Yes ☐ No
    If Yes give details: ______________________________________

SECTION E: INTELLECTUAL PROPERTY STATUS

13. IP Protection Sought? ☐ Yes ☐ No

If Yes:

☐ Patent ☐ Copyright ☐ Trademark ☐ Trade Secret

Details: ______________________________________

SECTION F: FUNDING AND SUPPORT

14. Source of Funding: ______________________________

SECTION G: CONTRIBUTION OF INNOVATORS

Name	Contribution (%)	Role

SECTION H: COMMERCIALIZATION POTENTIAL

15. Potential Applications: ______________________________

16. Target Market: ______________________________

17. Preferred Commercialization Pathway:

    ☐ Licensing ☐ Start-up ☐ Joint Venture ☐ Other

SECTION I: SUPPORT REQUIRED

☐ IP Protection
☐ Funding
☐ Prototyping
☐ Business Development
☐ Mentorship

SECTION J: DECLARATION

I/We declare that the information provided is true and complete and agree to abide by SEKU policies.

Name: ____________________
Signature: ________________
Date: ____________________

SECTION K: OFFICIAL USE (DRIC)

- Date Received: ____________________
- Assigned Tracking Number: ____________________
- Initial Assessment: ☐ Complete ☐ Incomplete

Recommendation:
☐ Proceed to Evaluation

☐ Revision Required

☐ Not Eligible

Comments: ____

SECTION L: APPROVAL

Stage	Name	Signature	Date
TTO Officer			
Technical Committee			
Director, DRIC			

Appendix G: COMMERCIAL ACTIVITY DISCLOSURE FORM (CADF)

CONFIDENTIALITY NOTICE

This Commercial Activity Disclosure Form and all information contained herein are **strictly confidential** and are submitted to South Eastern Kenya University (SEKU) solely for the purposes of evaluation, approval, and management of commercialization activities.

By submitting this Form:

1. The Applicant(s) acknowledge that the information provided may include proprietary, financial, or commercially sensitive information.
2. The University undertakes to treat all disclosed information with due confidentiality and shall not disclose such information to third parties without prior written consent, except where necessary for evaluation, approval, contracting, or compliance purposes under appropriate confidentiality arrangements.
3. The Applicant(s) agree to comply with all University policies, financial regulations, and legal requirements governing commercialization activities.
4. This confidentiality obligation shall be subject to applicable laws and institutional policies.

DOCUMENT CONTROL AND TRACKING

Item	Description
Form Title	Commercial Activity Disclosure Form (CADF)
Tracking Number	**CADF/SEKU/______ / ______**
Year	__________________
Serial Number	__________________
Date of Submission	__________________
Responsible Office	Directorate of Research, Innovation and Commercialization (DRIC)

Tracking Number Format

All submissions shall be assigned a unique reference number in the format:

CADF/SEKU/YYYY/XXX

Where:

- **CADF** = Commercial Activity Disclosure Form
- **SEKU** = South Eastern Kenya University
- **YYYY** = Year of submission
- **XXX** = Sequential number (e.g., 001, 002, 003…)

Example: CADF/SEKU/2026/021

SECTION A: APPLICANT INFORMATION

1. Name of Applicant(s): ____
2. Staff/Student/External Partner ID: ____________________________
3. Department/School/Unit: _____________________________________
4. Contact Details (Email/Phone): _______________________________

SECTION B: DESCRIPTION OF COMMERCIAL ACTIVITY

5. Title of Product/Service: ____________________________________
6. Type of Activity (tick all applicable):
   ☐ Consultancy Service
   ☐ Training / Short Course

☐ Product Development
☐ Digital Content / E-learning
☐ Agricultural / Industrial Output
☐ Creative Work / Media
☐ Other (Specify): ____________________

7. Detailed Description of Activity:

____

____

____

____

SECTION C: ORIGIN OF ACTIVITY

8. Source of Activity (tick all applicable):
☐ Research Output
☐ Teaching Activity
☐ Community Engagement
☐ Independent Expertise (Non-research)
☐ Institutional Initiative
☐ External Collaboration
☐ Other: __________________

SECTION D: MARKET AND COMMERCIAL VIABILITY

9. Target Market/Clients: ____________________________

10. Estimated Demand: ________________________________

11. Competitors/Alternatives: __________________________

12. Unique Value Proposition: __________________________

SECTION E: RESOURCE REQUIREMENTS

13. Resources Required (tick where applicable):
☐ University Facilities
☐ Laboratory/Equipment
☐ Staff Time
☐ Financial Support
☐ External Partners

14. Estimated Resource Cost (KES): ______________________

(*Attach a Budget*)

SECTION F: INTELLECTUAL PROPERTY (IF APPLICABLE)

15. Does the activity involve intellectual property?
    ☐ Yes ☐ No

If Yes, specify:

☐ Copyright ☐ Trademark ☐ Trade Secret ☐ Patent

Ownership: ______________________________

SECTION G: PRICING AND REVENUE PROJECTIONS

16. Proposed Pricing Model:
    ☐ Cost-Based
    ☐ Market-Based
    ☐ Value-Based
17. Proposed Price (KES): ______________________________
18. Estimated Revenue (KES): ______________________________

SECTION H: PARTNERSHIPS AND CONTRACTS

19. Are external partners involved?
    ☐ Yes ☐ No

If yes, provide details:

20. Type of Agreement Required:
    ☐ Consultancy Agreement
    ☐ Service Contract
    ☐ Partnership Agreement
    ☐ Other: ____________________

SECTION I: RISK AND COMPLIANCE

21. Identify potential risks (tick where applicable):
    ☐ Financial
    ☐ Legal
    ☐ Operational
    ☐ Reputational
22. Regulatory or compliance requirements:

____

SECTION J: SUPPORT REQUIRED FROM UNIVERSITY

☐ Approval/Authorization
☐ Marketing Support
☐ Financial Management
☐ Legal Support
☐ Infrastructure Access
☐ Other: ______________________

SECTION K: DECLARATION

I/We hereby declare that:

- The information provided is true and accurate;
- The activity complies with university policies;
- All revenues will be processed through university systems.

Name: ______________________
Signature: ____________________
Date: ______________________

SECTION L: OFFICIAL USE (DRIC)

- Date Received: ______________________
- Assigned Tracking Number: ______________________
- Initial Review: ☐ Complete ☐ Incomplete

Recommendation:
☐ Approved
☐ Revision Required
☐ Rejected

Comments: ____

SECTION M: REVIEW AND APPROVAL

Stage	Name	Signature	Date
Director DRIC			

Stage	Name	Signature	Date
Director Finance & Accounting			
DVC, ARI			
VC			

Appendix H: Innovation Pipeline Stages

H.1.1 Stage 1: Ideation and Problem Identification

1) The University will promote the generation of innovative ideas addressing societal, industrial, and scientific challenges, particularly within arid and semi-arid lands (ASALs).

2) Activities will include:
   a) Innovation challenges, hackathons, and research initiatives;
   b) Community engagement and problem mapping;
   c) Integration of innovation into teaching and learning processes.

3) Outputs will include concept notes and problem-solution statements.

4) Progression to the next stage shall be subject to evaluation of relevance, originality, and feasibility.

H.1.2 Stage 2: Concept Development and Validation

1) Innovators will refine and validate ideas through:
   a) Prior art and novelty searches;
   b) Market needs assessments;
   c) Technical and economic feasibility studies;
   d) Development of proof of concept (PoC).

2) An Innovation Disclosure Form shall be submitted to DRIC at this stage.

3) Outputs will include a Concept Validation Report and preliminary business case.

4) Advancement shall be based on demonstrated feasibility, novelty, and societal relevance.

H.1.3 Stage 3: Research, Prototype Development, and Testing

1) The University will support the development of prototypes or Minimum Viable Products (MVPs).

2) Activities will include:
   a) Laboratory and field-based research;
   b) Prototype design and development;
   c) Testing, validation, and iterative improvement.

3) Outputs will include functional prototypes and technical documentation.

4) Progression shall depend on demonstrated functionality, reliability, and user acceptance.

H.1.4 Stage 4: Intellectual Property Protection

1) All innovations with potential commercial value shall be disclosed to DRIC for IP evaluation.

2) The University will facilitate:
   a) Assessment of patentability, utility, and originality;
   b) Filing of appropriate IP rights, including patents, utility models, trademarks, and copyrights;
   c) Development of IP management and protection strategies.

3) Outputs shall include formal IP filings and ownership agreements.

4) Advancement shall be subject to determination of IP protection viability and strategic value.

H.1.5 Stage 5: Product Development and Market Readiness

1) Innovations will be refined to meet market and regulatory requirements.

2) Activities will include:
   a) Product optimization and scaling;
   b) Compliance with applicable standards and certifications;
   c) Development of business models and commercialization strategies;
   d) Market validation through pilot testing.

3) Output will include market-ready products/services and comprehensive business plans.

4) Progression shall be based on commercial viability and readiness level.

H.1.6 Stage 6: Commercialization and Technology Transfer

1) The University will facilitate commercialization through:
   a) Licensing agreements with industry partners;
   b) Establishment of startups and spin-off companies;

c) Public-private partnerships;
d) Community-based enterprise models.

2) DRIC in collaboration with the university legal office will oversee negotiation and execution of commercialization agreements.

3) Outputs shall include executed agreements, registered enterprises, and commercialization contracts.

4) Advancement shall depend on demonstrated market entry readiness and financial sustainability.

H.1.7 Stage 7: Incubation, Scaling, and Impact

1) The University will support scaling and sustainability of innovations through:
   a) Business incubation and acceleration programmes;
   b) Access to funding and investment opportunities;
   c) Market expansion strategies;
   d) Continuous innovation and product improvement.

2) Outputs will include scaled enterprises, job creation, and measurable societal impact.

H.2 Stage-Gate Review Mechanism

1) Each stage of the Pipeline shall be subject to formal review by the relevant committees.

2) Decisions at each gate shall include:
   a) Proceed (Go);
   b) Revise (Pivot);
   c) Hold;
   d) Terminate.

3) All decisions shall be documented and communicated to the innovator(s) within 21 days.

H.3 Monitoring and Evaluation of the Innovation Pipeline

DRIC shall establish a Monitoring, Evaluation, and Learning (MEL) framework, where the key performance indicators shall include:

a) Number of innovations generated;
b) Prototypes developed;
c) IP filings and grants;
d) Startups and spin-offs established;
e) Revenue generated;
f) Societal and economic impact.

H.4 Risk Management

1) The University shall identify and mitigate risks associated with innovation, including:
   a) Technical risks;
   b) Market risks;
   c) Financial risks;
   d) Legal and IP risks.

2) Risk mitigation strategies shall be integrated at each stage of the Pipeline.

Appendix I. Duties and Responsibilities of the Technology Transfer Office (TTO)

I.1 General Mandate

The Technology Transfer Office (TTO) shall be responsible for the identification, protection, management, development, and commercialization of intellectual property and innovations arising from the University.

I.2 Core Duties and Responsibilities

I.2.1 Innovation Disclosure and Intake Management

a) Receive, register, and acknowledge all innovation and invention disclosures.

b) Maintain a secure and confidential disclosure management system.

c) Provide guidance to innovators on disclosure requirements and procedures.

d) Ensure timely processing and tracking of all submitted disclosures.

I.2.2 Technology Assessment and Evaluation

a) Conduct preliminary and detailed evaluation of disclosed innovations.

b) Assess novelty, inventiveness, utility, and industrial applicability.

c) Evaluate technical feasibility, scalability, and readiness level.

d) Undertake market assessment, including demand, competition, and value proposition.

e) Recommend appropriate development and commercialization pathways.

I.2.3 Intellectual Property (IP) Management

a) Coordinate prior art searches and patentability assessments with Kenya Industrial Property Institute.

b) Facilitate filing, prosecution, and registration of IP rights (patents, utility models, trademarks, copyrights).

c) Develop and implement IP protection strategies for each innovation.

d) Maintain and manage the institutional IP portfolio and database.

e) Monitor IP timelines, renewals, and compliance obligations.

f) Safeguard confidential information and trade secrets.

I.2.4 Technology Development Support

a) Advise innovators on prototype development, validation, and scaling.

b) Facilitate access to laboratories, technical expertise, and external partners.

c) Support proof-of-concept and prototype funding applications.

d) Coordinate technical mentorship and expert advisory services.

I.2.5 Commercialization and Technology Transfer

a) Identify and recommend appropriate commercialization pathways (licensing, startups, joint ventures, etc.).

b) Develop commercialization strategies and market entry plans.

c) Identify, engage, and manage relationships with potential licensees, investors, and industry partners.

d) Negotiate, draft, and manage commercialization agreements (licenses, assignments, NDAs, MoUs).

e) Facilitate technology transfer to industry, government, and community enterprises.

f) Ensure alignment with national innovation frameworks, including Kenya National Innovation Agency.

I.2.6 Startup and Spin-off Development

a) Support the formation, registration, and structuring of startups and spin-offs.

b) Advise on business models, governance structures, and equity arrangements.

c) Facilitate access to incubation, acceleration, and co-working spaces.

d) Link startups to funding opportunities, investors, and venture capital networks.

e) Monitor performance and growth of the University-supported enterprises.

I.2.7 Industry Linkages and Partnerships

a) Establish and maintain strategic partnerships with industry, government, and development partners.

b) Promote collaborative research, contract research, and consultancy opportunities.

c) Facilitate public-private partnerships and joint innovation initiatives.

d) Represent the University in innovation networks, exhibitions, and commercialization platforms.

I.2.8 Innovation Pipeline Coordination

a) Coordinate and support innovators across all stages of the innovation pipeline.

b) Organize and facilitate stage-gate reviews in collaboration with relevant committees.

c) Track progress of innovations from ideation to commercialization.

d) Ensure alignment of innovations with institutional priorities and national development goals.

I.2.9 Legal and Regulatory Compliance

a) Ensure compliance with all applicable laws, regulations, and institutional policies.

b) Liaise with regulatory bodies.

c) Manage legal documentation related to IP and commercialization.

d) Address disputes related to IP ownership, licensing, and revenue sharing in collaboration with the University legal office.

I.2.10 Revenue Management and Benefit Sharing

a) Administer revenues generated from commercialization activities.

b) Ensure fair and transparent distribution of revenues in accordance with the SEKU IP policy.

c) Maintain accurate financial records and audit trails.

d) Provide periodic financial reports on commercialization performance.

I.2.11 Capacity Building and Awareness

a) Develop and deliver training programmes on innovation, IP, and entrepreneurship.

b) Conduct awareness campaigns on IP protection and commercialization processes.

c) Provide advisory and mentorship services to innovators.

d) Promote a culture of innovation and entrepreneurship across the University.

I.2.12 Monitoring, Evaluation, and Reporting

a) Develop and track key performance indicators (KPIs) for innovation and commercialization.

b) Maintain comprehensive records of all TTO activities.

c) Prepare periodic technical and financial reports for university management.

d) Support internal and external audits, reviews, and evaluations.

I.2.13 Incubation and Enterprise Support

a) Collaborate with the University Innovation Hub to deliver incubation and acceleration programmes.

b) Provide technical, business, and legal advisory support to incubated enterprises.

c) Facilitate access to markets, funding, and strategic partners.

d) Support scaling and sustainability of innovation-driven enterprises.

I.2.14 Strategic and Policy Functions

a) Develop and implement institutional strategies for technology transfer and commercialization.

b) Identify priority areas for innovation and commercialization aligned with university strengths.

c) Benchmark against regional and international best practices in technology transfer.

d) Provide policy advice to University Management on innovation and commercialization matters.

I.2.15 Administrative and Operational Functions

a) Develop and implement Standard Operating Procedures (SOPs) for TTO functions.

b) Maintain proper documentation, records, and data management systems.

c) Ensure confidentiality and secure handling of sensitive information.

d) Provide secretariat services to relevant committees (e.g., IP Committee, Innovation Review Committee).

I.2.16 Ethical and Social Responsibilities

a) Ensure fairness, transparency, and accountability in all operations.

b) Protect the rights of inventors, collaborators, and communities.

c) Respect traditional knowledge and cultural expressions.

d) Promote responsible, inclusive, and sustainable innovation.

I.3 Accountability

1. The TTO shall be accountable to the Director, Research, Innovation, and Commercialization (DRIC).
2. The Director DRIC shall submit regular operational, financial, and impact reports to University Management.