



**THE LOGO OF THE  
MDA**

**Reporting Template for  
Science, Technology and Innovation Mainstreaming  
Indicator  
For  
Performance Contracting for 2021/2022 FY**

**Indicate the Quarter for  
Reporting**

**i.e Quarter I**

**2021/2022**

## SCIENCE, TECHNOLOGY AND INNOVATION MAINSTREAMING REPORTING TOOL

For effective implementation of the STI performance indicator, MDAs are required to: -

1. Appoint a Focal person and Champions to coordinate STI mainstreaming in their institutions.
2. MDAs will be required to document available Research, Technology and Innovation as per the PC 18th Cycle guidelines.
3. Use the provided template that provides a simplified reporting tool to capture the relevant data

<b>Name of the Contact/Focal/reporting Person.</b>	
<b>Telephone number of the Contact Person.</b>	
<b>Name of the Institution</b>	

**PC Indicator 1: Develop the Institutional Science, Technology and Innovation (STI) Strategy using the table below. 30 %**

Institutions are expected to provide the information below which will be used in the assessment on the status of STI competencies and readiness in terms of Human Resource Capacity, Research, Technology and Innovation (RTI) equipment, Status on of the Institutional Scientific and Ethical Review Committee (ISERC) and Research and Intellectual Property (IP) Policies. (10%)

**Human Resource Capacity:** Institutions will be required to provide the numbers and qualifications of research, technology and innovation personnel in the institutions based on the five broad areas as specified in the Table below

**Table 1 (a) Human Resource Capacity of the Institutions by specialty, qualifications, and gender (1.5%)**

<b>FIELD OF STUDY</b>		<b>Qualifications</b>					
		<b>PHD</b>		<b>MASTERS</b>		<b>BACHELORS</b>	
		Male	Female	Male	Female	Male	Female
1.	Natural Sciences						
2.	Engineering and Technology						
3.	Medical and Health Sciences						
4.	Agriculture and Veterinary Sciences						
5.	Humanities and Social Sciences						
<b>Total</b>							

**Table 1 (b) Human Resource Capacity of the Institutions by specialty, qualifications, and age (1.5)**

<b>FIELD OF STUDY</b>		<b>Qualifications</b>		
		<b>PHD</b>	<b>MASTERS</b>	<b>BACHELORS</b>

		50 years and below	Above 50 years	50 years and below	Above 50 years	50 years and below	Above 50 years
1.	Natural Sciences						
2.	Engineering and Technology						
3.	Medical and Health Sciences						
4.	Agriculture and Veterinary Sciences						
5.	Humanities and Social Sciences						
<b>Total</b>							

<b>Table 1 (c): Research, Technology and Innovation (RTI) equipment: Institutions</b> will be required to provide Research, Technology and Innovation equipment whose cost amounts to over Kshs 0.5 million. Any additional equipment acquired in subsequent quarters will be reported for the relevant quarter. (2%)				
	Name of equipment	Laboratory name	Estimated cost of equipment. Kshs (millions)	Capability of the equipment
1.	Natural Sciences			
2.	Engineering and Technology			
3.	Medical and Health Sciences			
4.	Agriculture and Veterinary Sciences			
5.	Humanities and Social Sciences			
<b>Total</b>				

**Status Report of the Institutional Scientific and Ethical Review Committee (ISERC)(2.5%)**

An institution shall be required to establish an Institutional Scientific and Ethical Review Committee (ISERC) which shall be accredited by the Commission or be affiliated with an existing accredited ISERC in a University or a Registered Research Institution in Kenya.

- (1) Have you established an Institutional Scientific and Ethical Review Committee (ISERC)? *Kindly note that as part of transition, existing Institutional Ethics Review Committees (IERC) will be considered to be the same as Institutional Scientific and Ethical Review Committees (ISERC).*

(Tick as appropriate)

Yes	<input type="checkbox"/>	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>
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(2) Based on your answer to (1) above:

If “No”, state the plans, strategies and timelines for establishing an Institutional Scientific and Ethical Review Committee (ISERC), or being affiliated with an existing accredited ISERC in a University or a Registered Research Institution in Kenya, within the next six months from the date of this report.

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If “Yes”, provide a summary report of the Institutional Scientific and Ethical Review Committee (ISERC) covering membership of the Committee, functions, number of meetings/activities undertaken in the preceding quarter and cumulatively, summary of cases handled in the preceding quarter and cumulatively, and concluding remarks (in a tabular format);

**Research and Intellectual Property Policies (2.5%)**

An institution shall put in place policies on Research, and Intellectual Property Rights in line with the relevant law(s) for the time being in force.

(1) Have you established Research, and Intellectual Property policies in line with the relevant law(s) for the time being in force?

*(Tick as appropriate)*

Yes			No	
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(2) Based on your answer to (1) above:

If “No”, state the plans, strategies, and timelines for establishing Research, and Intellectual Property policies within the next six months from the date of this report.

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If “Yes”, list the evidence of staff sensitization on the Research, and Intellectual Property policies, as well as evidence of impacts of the same on the institution’s mandate and service delivery to citizenry.

<b>Develop the Institutional Science, Technology and Innovation (STI) Strategy using the template provided in Annex 1 (20%)</b>			
<b>Table 2: Specific Activities:</b>	<b>Outputs</b>	<b>Verifiable indicator(s)</b>	
1.			
2.			
3.			
4.			
5.			

<b>PC Indicator 2: Implement the developed Institutional STI Strategy by undertaking the following interventions, with a total score of 70 %</b>								
<b>PC Indicator 2 (i):</b> Document Research programmes/ projects in their respective institutions and funding Sources: Government (exchequer and A-in-A) and Donors. (10%)								
<b>Table 3a:</b> All the Research Programmes/Projects being undertaken in the institution (6%)								
No.	Title of Programme/ Project	Principal Investigator, Co-PIs & their Institutions	Start date	End date	Status (Completed or Ongoing) (% of completion)	Source of Funding		Total Funding (Kshs 000)
						GoK (Kshs 000)	Partners (Kshs 000)	
1.								
2.								
3.								
<b>Total Funding</b>								

Table 3b: Research Programmes/Projects being undertaken in the institution and involving quadruple helix partnership with research institutions/universities/industry/private sector, and local communities/civil society. (4%)									
No.	Title of Programme/ Project	Principal Investigator, Co-PIs & their Institutions	Start date	End date	Status (Completed or Ongoing) (% of completion)	Source of Funding		Indicate the name of the partner	Total Funding (Kshs000)
						GoK (Kshs 000)	Partners (Kshs 000)		
1.									
2.									
3.									
<b>Total Funding</b>									

PC Indicator 2 (ii): Ensure annual budgetary allocation for R&D is at least 2% of the operational budget (Provide total institutional budget and the total expenditure in R&D) (10%)							
Table 4: Institutional Research, Technology and Innovation Expenditure							
No.	Sources of funding		Total Recurrent Budget (Kshs 000)	Annual Operational Budget (Kshs 000)	Actual Operational Expenditure (Kshs 000)	Total Expenditure on R&D (Kshs 000)	% of R&D Expenditure to Operational Expenditure (Kshs 000)
1.	GoK Grants						
2.	Donors/ Partners (specify)	a)					
		b)					
3.	Appropriation-in-Aid (A-in-A) (specify)	a)					
		b)					
<b>Total</b>							

<b>PC Indicator 2 (iii):</b> Undertake research & technology innovation, and technology transfer & commercialization (publications, patents, innovations developed, technology transfer and commercialization of products/services) (35%) <i>(MDAs are required to identify, implement and report on any four (4) outputs from Table 5 below)</i>			
<b>Table 5: Research Technology and Innovation Outputs.</b>			
No.	Type of Research, Technology, and Innovation Output (in numbers)	Details of the products/services (Indicate numbers/percentage etc)	Period developed/ published /registered/granted
1.	Publications (Peer reviewed journals/Books and book chapters)		
2.	Intellectual property (Patents, Trademarks and Utility models (registered/granted)		
3.	Technologies developed		
4.	Technologies Transferred		
5.	Innovations developed		
6.	Products developed		
7.	Commercialized products		
8.	MoU's and Partnerships geared towards STI mainstreaming and strengthening		
9.	Technologies/innovations incubated		

<b>PC Indicator 2 (iv):</b> Disseminate research findings/recommendations, and technology innovations through conferences, workshops, seminars among others. (15%)			
<b>Table 6: Dissemination of Research, Technology, and Innovation products/services</b>			
No.	Mode of dissemination	Details of the activity	Period undertaken
1.			
2.			
3.			
<b>TOTAL</b>			<b>100</b>