



**NATIONAL COUNCIL FOR SCIENCE AND TECHNOLOGY
(MINISTRY OF HIGHER EDUCATION, SCIENCE AND TECHNOLOGY)**

**PROCEDURES AND GUIDELINES
FOR
RESEARCH AUTHORIZATION IN KENYA**

November, 2009

(NB: This is a summarized version of guidelines and procedures. Detailed information can be obtained from National Council for Science and Technology)

All Correspondences should be addressed to:

**THE SECRETARY
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1: INTRODUCTION

Research clearance and authorization process was instituted in Kenya in 1966 and that all research work in the country can be conducted only on issuance of a Research Permit from the National Council for Science and Technology (NCST). NCST is a Semi Autonomous Government Agency established on 1st July 1977, by the Science and Technology Act (Cap 250) of the Laws of Kenya, and is mandated to coordinate, promote and advise on national matters of Science, Technology and Innovation in the country.

2: DEFINATION OF RESEARCH

Research is defined as any creative systematic activity undertaken to increase the stock of scientific and technical knowledge and to devise new applications and includes fundamental research, applied research in such fields as agriculture, medicine, natural and physical sciences etc; and experimental development work leading to new devices, products or processes.

For purposes of research clearance in Kenya, this also includes general purpose data collection, bioprospecting as well as geological and genetic resources surveys. In the social sciences, it includes activities of a research nature related to the solution of economic or social problems and routine data collection activities such as routine statistical surveys, censuses, market studies and general purpose interviews.

3: OBJECTIVES OF RESEARCH PERMIT

To examine research proposals and to make sure that permits are issued to projects, which are in the interest of the Government and people of Kenya; and to facilitate access to data from public institutions and officials as well as other sources. The purpose for affiliation to Kenyan public institutions places the researcher in contact with facilities and experts highly knowledgeable on Kenyan conditions and sources of data. These are enormous advantages, which make the tasks of the researcher considerably easier. Therefore research clearance in Kenya is to be seen both as a screening as well as a facilitating mechanism for research.

4: WHO SHOULD APPLY

The following are to apply:-

- All Non-Kenyans intending to do research in Kenya.
- Foreign students intending to come for study tours or undergraduate students coming for a short duration.
- All Kenyans who are studying abroad and intend to do research in the country.
- Private institutions either Kenyan or Non-Kenyan intending to do research in the country.
- All Kenyans except employees of Government Research Institutions/ Ministries /Departments who are required to do research as part of their duties or have a Standing Research Clearance.
- In all cases where the research involves acquiring information/data from the country or public and Government organizations.

5: ISSUE OF RESEARCH PERMIT

Research Permit will be issued in the name of the applicant who is the project leader, or the expedition leader or the leader of the institution in the case of Standing Research Clearance. It is must that each researcher pays appropriate fee and for each permit the number of researcher for institutional/company permit should not exceed three researchers per permit. The holder of the research permit will be held responsible for making sure that the regulations governing the permit are observed.

6: RESEARCH AUTHORIZATION PROCESS

The process involves the following steps:-

Step 1: Complete appropriate application form that can be downloaded from the website: www.ncst.go.ke

Step 2: Submit the fully furnished application form together with appropriate non-refundable fee and necessary documents to the National Council for Science and Technology office in Utalii House, Nairobi, Kenya.

Step 3: Application forms received by the Research Coordination Division which will forward to relevant experts of the scheduled sciences for assessment and advice.

Step 4: Research Coordination Division on receipt of the comments of the relevant science schedule will deal appropriately by issuing Research Permit or inform applicant, in case a further information are required.

Step 5: on completion and finalization of research work the researcher must submit two copies of research reports to NCST. No Research Permit will be issued for subsequent research work if the reports of previous research work were not submitted.

(NB: see below for other requirements on ethical approval, materials transfer, standing research clearance, protected areas and affiliation institutions).

7: APPLICATION FEE STRUCTURE

Current research application fee structure is:-

a) Kenya Citizens and Institutions

Student/Attachment/Undergraduate/Diploma	Ksh.100
Research (Academic) Masters	Ksh.1,000
Research (Academic) PhD	Ksh.2,000
Research (Individual/Post Doctoral)	Ksh.5,000
Research (Public Institutions)	Ksh.10,000
Research (Private Institutions/Companies)	Ksh.20,000
Extensions	Half of the rate concerned.

(b) Non-Kenyan citizens and institutions

Student Attachment/Undergraduate/Diploma	US\$150
Research (Academic) Masters	US\$350
Research (Academic) PhD	US\$400
Research (Individual/Post-Doctoral)	US\$500
Research (Institution)	US\$1,000

Research (Private Companies)
Extensions

US\$10,000
Half of the rate concerned.

8: AFFILIATION INSTITUTION

Non-Kenyan researchers and Kenyans who are studying abroad and intend to do research in the country must be affiliated with a relevant Kenyan public research institution. A list of institutions approved for affiliation purposes is appended in the application forms.

Private and foreign institutions can have special collaborative arrangement with Kenya public institutions. In such case the Kenyan institutions will be required to submit to the NCST details of the nature of collaboration. Other organization e.g. voluntary organization will be considered according to merits for each case. Companies, CBOs, NGOs and other voluntary organization must attach letter of registration and institution profile to their applications.

9: ETHICAL REQUIREMENTS

All research projects that involve human beings as research participants (e.g. clinical investigations, drugs, social behavioural studies, biological studies involving human organs or specimen) should satisfy the ethical standards for research as provided for in the **Guidelines for Ethical Conduct of Biomedical Research involving Human Subjects in Kenya (2004)** and any other applicable internationally recognized ethics guidance documents. Letter of ethical approval from recognized ethical research committees must be attached to the applications.

10: FIELD RESEARCH BY COLLEGE STUDENTS

Students registered in an educational institution in Kenya and intend to conduct field research should be introduced to the NCST by their head of college/institution. The head of college/institution should provide to the NCST information on name(s) of student(s), subject of research assignments, area in which research is to be done, duration of the research and name(s) of supervisor(s).

11: RESEARCH IN PROTECTED AREAS

Researchers intending to conduct research in protected areas (e.g. wildlife and forest reserves or other conservation sites) are required to obtain access permits from those institutions or agencies in charge of the said areas prior to submitting their research project applications to the NCST for approval and clearance.

12: ACCESS TO AND EXCHANGE/ TRANSFER OF MATERIALS FOR RESEARCH

All experimental tests, analyses and investigational procedures of materials should be undertaken within Kenya, but where it is proven that no capacity for a particular tests, analyses and investigation of a material exists in Kenya, or where exchange is needed for quality assurance purposes, the researcher wishing to transfer or export samples abroad for research purposes shall write a letter of request for the exchange, transfer, acquisition or export to the Secretary, NCST.

The request letter should be accompanied by a Material Transfer Agreement (MTA) document between the providing institution (i.e. the affiliation institution on behalf of researcher) in Kenya and the recipient institution abroad.

13: MONITORING AND EVALUATION OF AUTHORIZED PROJECTS

NCST shall have access to data and the research premises of the project and it may from time to time visit the research projects to familiarize with the work going on and make appropriate recommendations on the project. The affiliating institutions may give to the NCST an evaluation of the preliminary or progress report and to indicate areas that need further action if necessary.

14: TRAINING AND RESEARCH ASSISTANTS

Research projects that will take over 3 years should have a training component for local personnel depending on the duration, nature and scale of the project. It is generally disapproved to have non-Kenyan research assistants particularly where it is obvious that Kenyans can be recruited for such tasks. Any additional non-Kenyan research personnel in an on-going research project must be approved by NCST giving reasons for such need and provide curriculum vitae of the personnel concerned.

15: WORK PERMITS/VISA

Granting of a research permit does not in any way absolve the researcher from the requirement of a work permit or visa. It is up to the researcher to secure the necessary work permit or visa upon arrival in Kenya.

16: EXTENSION OF RESEARCH PERMIT

A researcher who wishes to continue with the research project, beyond the expiry date of the research permit, is required to make a request by filling the Research Authorization Extension Request Form (**Form C**) for an extension or renewal to the Secretary, NCST. The request should be made at least two (2) months before the expiry of the Permit.

17: ACKNOWLEDGEMENT

Researchers are required to acknowledge Kenyan collaborators and/or participants on all papers and books written out of the research. Kenyan Government research permit must also be acknowledged. The affiliating institution must be acknowledged and address of the affiliating institution must be shown as the second address for the researcher for the specific project.

18: STANDING RESEARCH CLEARANCE

Standing research clearance is given to an institution to conduct research within its own mandate under a Memorandum of Understanding (MoU) between itself and the NCST without having to submit an application for research clearance for each individual projects. The research projects should be reported to the NCST, by means of submission of annual reports and / or final project

report. Standing research clearance are given to public institutions (e.g. public research institutions and foundations; universities and international UN organizations).

19: HOW TO APPLY FOR STANDING RESEARCH CLEARANCE

Institutions should apply to the NCST by providing information on the names and nationalities of directors/board members of the institution; mandate and core functions; institution's source of funds; justification for requiring a standing research clearance; Memorandum of Understanding with Kenya Government or Articles of Association; reports on all completed research projects for the last five years; details of on-going research projects and the planned research projects/programs in the next 3 years; details of research or professional personnel including their curriculum vitae and role in specific research project; facilities available for doing research such as laboratories, equipments, vehicles, building, land etc; and indication of any existing research collaborative arrangement with Kenyan or Non-Kenyan research institutions. Annual fee to be paid to NCST for standing research clearance is **Ksh.20,000 (twenty thousands Kenya shillings)**. Standing research clearance will be reviewed after every 5 (five) years or before the expiry of the five years if the NCST finds it necessary.

20: TERMINATION OF RESEARCH PERMIT

The NCST reserves the right to terminate, suspend or revoke a research permit in the event of gross misconduct or violation of the provision of these Guidelines or when necessary in the prevailing circumstance.

Application Checklist:

- 1. Complete application form (all).**
- 2. Photographs (all)**
- 3. Payment receipt for appropriate fee (all).**
- 4. Identity card/passport copies (all).**
- 5. CV (all).**
- 6. Letter from sponsor if not self-sponsored.**
- 7. Letter of affiliation (all).**
- 8. Letter from host institution abroad (Non-Kenyan).**
- 9. Letter of ethical approvals (see guideline).**
- 10. Research proposal (all).**
- 11. Company/institution registration & profile (see guideline).**
- 12. MTA (see guideline).**