KENYA MARINE AND FISHERIES RESEARCH INSTITUTE

KMFRI RESEARCH POLICY (KRP)

June 2021

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KENYA MARINE AND FISHERIES RESEARCH INSTITUTE	
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FOREWORD

The Kenya Marine and Fisheries Research Institute (KMFRI) is established under Cap 250, Science and Technology Act, to undertake research in "marine and freshwater systems". Its mandate is to provide scientific data and information for the sustainable management, conservation and exploitation of these aquatic ecosystems. KMFRI is also empowered to address various national, regional and international trans-boundary issues which the Kenya Government has committed itself through regional and international agreements and conventions. Since the promulgation of the New Constitution of Kenya (2010), and guided by her vision of "A Centre of Excellence in aquatic research for blue growth", KMFRI is committed to creating and improving enabling structures, policies, regulations, procedures and standards that promote quality research, enhances corporate governance practices, as well as support organizational growth in the attainment of her strategic goals and performance targets (especially in the realization of the 4E's – efficiency, economy, equity, and effectiveness).

The current research policy is developed pursuant to these intents and initiatives. The research policy is aligned to the Strategic Plan (2018 – 2022) which has set the strategic goals and outcomes according to her mandate. The research policy has set the tone for undertaking research by providing attention to specific requirements and guidelines for the design, appraisal, approval, implementation, monitoring and evaluation, and termination of research projects at KMFRI. Besides, it has also set the philosophy for the general management of research. It aims at improving "institutional frameworks" and reporting lines (linkages) between KMFRI and (i) the Board of Management/Trustees, (ii) the Parent Ministry, (iii) The National Treasury, and (iv) Regional and International Collaborators.

While I appreciate the effort already being put by the scientific community at KMFRI in undertaking various ongoing research projects with very good outcomes, we all have to migrate to the provisions and requirements of this policy framework. This will ensure ongoing and future research activities are well-structured, well-coordinated, results - oriented and are always aligned to international best practices. By adopting this policy, we will be enhancing the already established profile of KMFRI as "A centre of excellence in aquatic research for blue growth", as well as ensure KMFRI remains relevant and competitive in the global research arena.

Prof. James M. Njiru, PhD
DIRECTOR-GENERAL

1.0 INTRODUCTION

Being a research organization legally mandated to undertake multi-disciplinary research, research at KMFRI often involves multi-institutional collaborations at the national, regional and international levels in bilateral/ multilateral research programs. As such KMFRI requires a research policy for streamlining research activities and outputs to the global standards of excellence. Research activities world over are dynamic and require institutions to be adaptable to various challenges. Furthermore, this policy establishes the conducive research environment within which researchers will carry out their research and provides an overarching framework for the development, management and implementation of all research at KMFRI. This research policy is expected to promote;

(i) Efficient management of research programs and collaborations;
(ii) Enhancement of opportunities for fund-raising through competitive collaborative project proposals;
(iii) A robust framework that guides the dissemination of research findings;
(iv) Regulation of consultancy work; and
(v) Reduction of conflicts that may arise in the process of undertaking research and its management.

1.1 Policy objectives

The goal of this research policy is to guide research processes, conduct, collaboration, partnership, implementation, dissemination, data management and extension.

The strategic objectives of this policy are to:
- Maintain KMFRI as a Center of Excellence in aquatic research for blue growth nationally, regionally and internationally;
- Initiate, strengthen and maintain collaborative research with national, regional and international institutions; and
- Collaborate with industry/private sector in research knowledge management, innovation and wealth creation.

For achievement of the aforementioned strategic objectives, the research policy offers guidance on: project administration, protocols for visiting researchers and volunteers, fundraising and budgeting for research, management of sponsored projects, administrative expenses, co-financing in research, research gifts, management of research equipment and facilities, product testing, industrial collaboration, safety in the work environment, biosafety, data management, ethics and integrity in research, communication of research findings, training and professional development, curriculum development and risk management.

1.2 Scope of the policy

This policy applies to all research undertaken at KMFRI. The Policy requires that all research assignments, contracts and other legal documents vested in KMFRI, all rights to inventories, discoveries and patents are managed with its provisions. The policy will also apply to partners who are collaborating with KMFRI, volunteers, interns and students on attachment.

2.0 GUIDING PRINCIPLES OF THE POLICY

This policy is guided by the KMFRI's core values of:

(i)   Integrity;
(ii)   Transparency and accountability;
(iii)   Professionalism;
(iv)   Innovation;
(v)   Equity and equality; and
(vi)   Sustainable development.

In addition, the policy focuses on:
(i) Providing guidance for research procedures, facilitating dissemination of research findings, protecting ideas and innovations;
(ii) Promotion of transparency, accountability, confidentiality, partnership and collaboration;
(iii) Conducive research environment that promotes fair reporting of research findings, ensures the protection of experiments and laboratory animals; and
(iv) Gender equity in line with the KMFRI Gender Policy.

3.0 MANAGEMENT OF RESEARCH AT KMFRI

Research undertaken in KMFRI will be aligned with the Corporate Strategic Plan. To ensure alignment with the Strategic Plan, research scientists are free to carry out research on any subject matter in their areas of interest but are expected to carry out research, scholarship and/or creative activities that are appropriate to their discipline aligned to the Key Result Areas (KRA) of the KMFRI Corporate Strategic Plan.

3.1 Project Administration

The Principal Investigator (PI) is the team leader having the overall responsibility for technical and fiscal management of a research project. Specifically, the roles of the Principal Investigator are as follows:
(i)   To ensure the highest ethical standards in the conduct of the research and dissemination of research findings;
(ii) To detect irregular practices in research procedures and introduce remedial measures;
(iii) To keep, record and retain research data and information according to KMFRI internal data policy and the scientific and industrial best practices; and

(iv) To disseminate and report research results including the ethical considerations of authorship.

3.2 Visiting Researchers and Volunteers

KMFRI recognizes the potential of partnering with skilled persons to provide research services to the Institute. These skilled persons may include a visiting researchers or volunteers. Such skilled persons may have developed grant proposals administered at the Institute. The following will apply:

(i) Research volunteer/visiting researcher shall apply for affiliation with KMFRI;
(ii) All visiting personnel shall sign a standard research participation agreement (Appendix II);
(iii) A grant proposal may be developed in collaboration with a KMFRI scientist; and
(iv) Remuneration will be guided by the provisions and conditions under the approved research grants.

3.3 Sabbatical leave

Research Scientists can go on Sabbatical leave as stipulated in the Human Resource Management Policies and Procedures Manual, 2021 Section 6.

3.4 Fundraising and budgeting for research

Researchers are encouraged to seek extraneous support for their work. The research proposals submitted for bids for grants should have comprehensive budgets to sufficiently cover the proposed activities and overheads.

KMFRI shall ensure that all sources of funds to be appropriated for research are clearly identified and distinctly accounted for to avoid duplication in payments for research activities.

3.5 Sponsored projects

Projects should be clearly defined and categorized as either sponsored project or KMFRI funded projects for efficient handling and management and to ensure accountability.

3.6 Administrative expenses

KMFRI may charge administrative fees to cover operational and oversight costs. The recommended administrative fee is 10% of the total grant or project budget. These charges may vary from project to project and may depend on donor conditionalities.

3.7 Co-financing in research

KMFRI may contribute to donor projects through co-financing option by meeting indirect costs including staff salaries, internet, allowances, transport, office space, laboratory bench space, postage, telephone etc.

Where direct co-financing is a requirement under the project/ grant arrangement the respective research project may make provisions and prepare appropriate budgets.

3.8 Gifts by sponsors for research

KMFRI staff shall declare gifts received from research sponsors in accordance to the Gifts policy. Such gifts may be in the form of items, finances or direct services promised to or received by KMFRI. The institute shall ensure that the received gift is used for the intended and agreed purposes and there shall be periodic progress reports and summary reports of the expenditures/ usage to ensure accountability.

3.9 Research equipment and facilities

As a research institution, KMFRI is a custodian of diverse array of technical and strategic equipment and facilities. These include laboratories, aquariums, aquaculture facilities, research vessels, library, reagents, and Information and Communication Technology (ICT) facilities. In particular:

(i) KMFRI shall ensure that it keeps updated equipment inventories and catalogues;

(ii) KMFRI shall check and maintain equipment, while continually replacing outdated technologies to ensure overall prosperity in research;

(iii) KMFRI shall also develop a code of conduct for use of research equipment and facilities to minimize breakdowns and enhance the service life of such equipment and facilities;

(iv) Equipment purchased through sponsored research projects shall automatically revert to being the property of KMFRI at the end of the research project unless otherwise stated in the project/ grant agreement;

(v) KMFRI shall accept equipment on loan in accordance with specific agreements with partners; and

(vi) KMFRI may share research equipment and facilities with a collaborating partner under specifically and purposefully crafted agreements.

3.10 Research demonstration sites and facilities

KMFRI shall make use of research demonstration sites and facilities in furtherance of research extension services and training.

3.11 Product test agreement

A commercial vendor may request KMFRI to test and evaluate their products. KMFRI is also mandated to develop innovative products that are consumed by various customers, which may be subject to product testing before release. To ensure ease of product testing:

(i) KMFRI will develop protocols and mechanisms to carry out verifications and validations; and

(ii) KMFRI shall submit her products to third party agencies for certification.

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3.12 Industrial collaboration agreement

Research Institutions, Companies, Non-Governmental Organizations and Non-commercial entities are increasingly getting into joint partnerships in research and development. Formal contracts called Industrial Collaboration Agreements are required for harmonious working relationships.

KMFRI shall ensure that all agreements entered into are drawn to generate value to the Institute.

3.13 Safety in the working environment

KMFRI will ensure a safe working environment conducive for research. Researchers will adhere to KMFRI's *Environment, Health and Safety Policy, and Health and Safety Responsibilities Procedures.*

3.14 Bio-Safety

KMFRI shall put in place precautionary measures to safeguard its research staff from potential hazards in biotechnology research and facilities. In doing so, KMFRI shall develop and implement the *Hazard and Hygiene Contingency Plan* to ensure safety in the research facilities.

This aspect of the policy shall apply to all projects, which use:
- (i) Hazardous chemicals;
- (ii) GMO which may be hazardous to humans and other animals;
- (iii) Potentially oncogenic biological materials;
- (iv) Infectious biological materials in the laboratory or in the field;
- (v) Biological toxins and venoms;
- (vi) Transgenic materials which may be harmful to humans, other animals and plants;
- (vii) Invasive species; and
- (viii) Introduced species.

4.0   DATA MANAGEMENT

Research data shall be managed according to the requirements of *KMFRI Research Data Management Plan* (Appendix III) and KMFRI *Intellectual Property Rights Policy.*

Further, KMFRI will maintain a database of all research projects.

5.0   ETHICS AND INTEGRITY IN RESEARCH

To guide research ethics and integrity in research, the following specific aspects shall be given due diligence:

(i) Respect for the truth and the rights of those affected by their research;

(ii) Management of conflicts of interest so that ambition and personal advantage do not compromise ethical or scholarly considerations;

(iii) Adoption of appropriate methods for achieving the aims of each research proposals;

(iv) Refrain from all forms of plagiarism in the course of generation of research articles, reports and concepts.

(v) Ensuring accuracy in citation of awards and degrees conferred;

(vi) Ensuring accuracy in citation of research publications, including the status of any publication, such as under review or in press;

(vii) Ensuring that research findings are disseminated responsibly and in accordance with the *Authorship, Peer Review and Publication of Research Outputs Procedures* related to the disciplines of science;

(viii) Minimizes adverse effects on the wider community and the environment, while conducting research; and

(ix) Adherence to national and international statutes and regulations that govern research conduct.

5.1 Clearance in research

In order to enhance research accountability there is need to institute review and clearance mechanisms of research work. This includes the proposal and publication review and clearance, as well as ethical reviews. They will function as follows;

(i) **Clearance of proposals**: KMFRI shall also ensure that all proposals undergo internal review prior to submission;

(ii) **Ethical clearance**: KMFRI shall ensure that relevant clearance is obtained prior to use of personal information including photos, images, figures and social survey data; and

(iii) **Publication clearance**: KMFRI shall put in place mechanisms to ensure that publications arising from research activities are only published in indexed journals and not submitted to predatory journals.

5.2   Transfer of samples

There may arise the need to share samples between KMFRI and partners in other countries to facilitate scientific work. In recognition of this important aspect of collaborative research, material (sample) transfer agreements will be developed between the partners for managing such transfers.

5.3   Research misconduct and fraud

The conduct and integrity of a researcher has significant effect on the acceptability of the research outputs by peers, stakeholders and the public. Additionally, it affects the image of the organization. Therefore, safeguards are important to promote good conduct and integrity.

In the event that there is gross misconduct and fraud, a formal complaint may be raised to the Institute Management. The procedure for Investigating and reporting of research misconduct and fraud is detailed in Appendix IV.

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5.4   *Confidentiality*

Confidentiality is an important aspect of research. Research activities, materials and related documents which require confidentiality will be handled with integrity and necessary diligence deserved. Therefore, KMFRI staff shall observe confidentiality in accordance with signed confidentiality agreements.

5.5   *Conflicts of interest and commitment*

Quality research can best be conducted in an atmosphere that is free from conflict of interest. Conflicts of commitment and interest compromise the integrity and objectivity of the researcher. Conflict of interest should therefore be disclosed at the earliest opportunity in any research endeavor.

KMFRI staff owe` their professional allegiance to the Institute and therefore have to commit their time and intellectual energy in research activities of the Institute. In order to ensure this;

(i) KMFRI shall develop tools to ensure that staff balance their work responsibilities with external activities; and

(ii) KMFRI staff may disclose a consultancy to the Institute so as to be awarded a performance credit. Upon disclosure, the terms and conditions of the *KMFRI Consultancy Policy will apply*; and

(iii) KMFRI staff shall not use KMFRI facilities for non-disclosed consultancies or for any other purpose that are unrelated to KMFRI research.

6.0   COMMUNICATION OF RESEARCH FINDINGS

KMFRI is mandated to disseminate her research findings. In this case;

(i) Researchers will ensure that research findings are disseminated responsibly as guided by *KMFRI Communications Strategy*;
(ii) Researchers have to strive to publish in Indexed Journals; and
(iii) Research results may be withheld or embargoed as required by *KMFRI Intellectual Property Policy* where "a good reason" exists; to the extent permitted by law.

7.0   RESEARCH TRAINING AND PROFESSIONAL DEVELOPMENT

KMFRI will promote effective training, mentoring and coaching of researchers using various statutory documents, which include:
(i) *The KMFRI Training Policy;*
(ii) *The Mentoring and Coaching Policy (MCP);*
(iii) *The Performance Improvement Plan (PIP); and*
(iv) *KMFRI Intellectual Property Rights policy.*

8.0 RESEARCH AND TRAINING CURRICULUM DEVELOPMENT

Universities and tertiary institutions are increasingly collaborating with research Institutions to train their students (attaches, undergraduate and postgraduate students) and it is necessary therefore, that a collaborating institution develops its own *Research and Training Curriculum Agreement* with KMFRI for the training of their students. KMFRI shall ensure that there is an agreement to define the scope of collaboration in training the students in the desired curriculum.

9.0 RISK MANAGEMENT

A risk assessment of research projects will be undertaken and mitigation measures (risk treatment) put in place as guided by *KMFRI Risk Management Policy*.

10.0 IMPLEMENTATION STRATEGY

KMFRI undertakes research anchored on its defined mandate and driven by her *Strategic Plan*, which is reviewed from time to time to accommodate emerging research and development issues. KMFRI will implement this *Research Policy* based on guidance from the following organs:

(i)   The KMFRI Board of Management through its committees; and
(ii)   The KMFRI Scientific and Technical Committee.

KMFRI Directorates will implement resolutions from above committees in the implementation of this Research Policy. Furthermore, the Directorates shall continuously create awareness of this policy to all stakeholders.

11.0 MONITORING AND EVALUATION

This Policy will be monitored and evaluated in accordance with the *KMFRI Corporate Strategic Plan*. The following are the quantifiable principal indicators for monitoring and evaluation of the policy. They function by determining their trends and dynamics during policy implementation;

(i)   Research projects development and implementation;
(ii)   Research collaboration and net-works;
(iii)   Research publications, communication and awareness;
(iv)   Research innovations and inventions;
(v)   Economic impact of research;
(vi)   Impact of research in national, regional and international arenas;
(vii)   Capacity to undertake quality research;
(viii) Sustainability of research funding and support; and
(ix)   Gender balance and equity.

The institutional *Monitoring and Evaluation Committee* will oversee the effective implementation of this policy.

12.0   KMFRI RESEARCH POLICY REVIEW

This policy will be reviewed every three years and amended as necessary, or earlier in accordance with any forthcoming national legislation.

APPENDICES

Appendix I: Definition of terms

1.1 Administrative Expenses

Administrative expenses are indirect costs incurred by management through offering services to the project and through the use of the institution's facilities. A fee is therefore levied on the sponsored project to pay for these costs. Other costs that cover for salary for research staff, travel costs, consumables, capital items, equipment and logistics are described as direct costs.

1.2 Confidential Agreement

It is a legal document that is commonly used when a researcher wishes to discuss the outcome (whether known to him/her or not) of research, for example, to a potential commercialization partner or author. It is mandatory that information relating to patentable invention or discovery, when discussed with an external entity, a confidentiality agreement is signed. Confidential information is restricted for use within the terms and conditions stated in the agreement. Information on human subjects which may be unethical to disclose is also regarded as confidential. Socio-economics research also involves interviewing people using various methods including questionnaires. The individual identity of people giving the information will be handled confidentially for various ethical reasons.

1.3 Conflict of Commitment

Involves a situation in which an employee engages in an outside activity that interferes or appears to interfere with the fulfillment of the employee's obligation to KMFRI. This is irrespective whether or not that outside activity is valuable to KMFRI or contributes to the employee's professional development and competence.

1.4 Conflict of Interest

This is a situation in which a researcher has significant financial or other personal considerations that may compromise or have the appearance of compromising the professional judgment or integrity in conducting or reporting research or undertaking an assignment.

1.5 Consultancy

Consultancy is generally defined as a paid professional activity related to the researcher's expertise where a fee for service is negotiated with external institution by the Officer in case of individual consultancy or by KMFRI in case of institutional consultancy. In consultancy, the researcher agrees to use his/her professional capabilities to perform the third party's given activity for financial gain.

1.6 Copyright

Copyright protects the original literary or artistic works in a variety of forms, including written materials and computer software. Copyright does not protect ideas but rather the expression of such ideas. It prevents anyone from copying, publishing, translating or broadcasting a work without the copyright owner's permission.

1.7 Equipment Loan Agreement

This is an agreement whereby a sponsor may loan certain equipment to a research organization such as hardware and software for research use in a joint program and share the results including data. The agreement does not involve money but enables the research organization and the collaborating institution opportunity to use each other's facilities.

1.8 Ethics

Ethics are often explained as moral standards or norms for behavior by which human beings judge other people who are under common governance or management in a defined institution. Institutions have their own specific guiding ethics and the ethical or moral standards are also referred to as code of conduct or rules of conduct by which their employees abide in pursuit of their institutional mandates and values.

1.9 Gift

A gift is an item of value given to an Institution (including its staff) by a partner who expects nothing in direct return but would like to see the value and recognition through intended use as per the partners wish or agreement with the Institution.

1.10 Industrial Collaboration Agreement

Research Institutions and Companies are increasingly getting into joint research partnerships. Formal contracts called Industrial Collaboration Agreements are required for harmonious working relationships.

1.11 Innovation

The term innovation means a new way of doing something and may refer to incremental, radical and revolutionary changes in thinking, products, processes or organizations.

1.12 Intellectual Property

Intellectual Property (IP) is defined as any form of knowledge or expression created with one's intellect and includes such things as inventions and even simple knowledge on how to do something. In research work, it is necessary to put in place forms of statutory protection for intellectual property to safeguard inventions. The two most relevant forms of statutory

protections are copyrights and patents. Generally, whereas copyright protect the expression of an idea, patents protect inventions.

1.13 Invention

An invention is ordinarily defined as being a new or useful machine article of manufacture, composition of matter, process, or any new use of the same.

1.14 Investigator

Any member of the research staff who participates in a research or other role intended to create, apply or disseminate new knowledge is termed an investigator.

1.15 Material (Sample) Transfer Agreement

These are contracts by which tangible research property (e.g., biological organisms) is provided by external sources to a research organization for research or vice versa.

1.16 Patent

Patents protect inventions such as a creations or discoveries which is new or not obvious and useful items including devices, chemical compound, transgenic animals and plant varieties. What makes inventions new is that it has not been publicly disclosed prior to filing of a patent application.

1.17 Principal Investigator

The team leader of a research team who has the overall responsibility for conducting a research including but not limited to supervision and training of other participating investigators is termed as principal investigator.

1.18 Product Test Agreement

This is a contractual agreement between commercial vendors and research organization whereby the commercial vendor wants research organization to test and evaluate their products development. The products may be software, chemical and equipment, among others.

1.19 Research Contract

It is a legal document that defines the terms and conditions under which the research will be undertaken at KMFRI. The research may be a sponsored project, Institute project or program research.

1.20 Research Misconduct

This refers to any action of fabrication, falsification, plagiarism, or other practices that seriously deviate from those commonly accepted practices within the scientific community or scholars in conducting, reviewing, reporting research data and information. Research misconduct also includes retaliation of any kind against a person who reported or provided information about suspected or alleged misconduct and who has not acted in bad faith. However, research misconduct does not include honest errors or honest differences in interpretations or judgments.

1.21 Sponsored Projects

A sponsored research project is that which is funded by external donor resources which may be through a competitive application and award process. KMFRI funded projects are those funded from KMFRI funds arising from internally generated income (e.g., technology licensing income, operating budget) and Government grants. A further source may be, for example, funds generated within a research program such as aquaculture programs which may generate appreciable income to fund its own research. Such projects are characterized by a statement of work, financial accountability, guidance for the disposition of tangible properties (equipment, vehicles, records and technical reports) or intangible properties (rights in data, copyrights and inventions).

1.22 Volunteer(s)

These are trained technicians, technologists and graduates from tertiary institutions and universities wishing to make a career in the aquatic and fisheries research disciplines and who are ready to offer their services at no cost to the research institution and in so doing not only contribute to the profession but also enable themselves to gain expertise to enhance their skills.

***Appendix II: Research Participation Agreement for KMFRI Staff/Visiting
Scientists/Volunteers***

In order that KMFRI may fulfill its mandate as per Cap 250 of the Science and Technology Act, legal and contractual obligations to sponsors of research and in consideration of my employment by KMFRI as a researcher, or my participation in sponsored research, or my use of funds, facilities or other resources provided by or through KMFRI, I hereby agree to the following:-

1. I abide with the terms of the KMFRI Research Policy;

2. I affirm to disclose any invention which concurred or practiced arising from my research in the course of my employment at KMFRI, or from participating in work directly related as a professional or through employment at KMFRI including consultancies or from work carried out on KMFRI time, or at KMFRI expenses, or resources under grants or otherwise.

3. I shall appropriately assign to KMFRI any invention as prescribed in the KMFRI Intellectual Property Rights (IPR) Policy;

4. I shall fully cooperate with KMFRI and/or its agent in the preparation and prosecution of patents, in the registration of copyrights for works I have participated in;

5. I accept the provisions of sharing research funds, consultancy fees and royalties from patented inventions as provided for in the KMFRI Intellectual Property Rights Policy;

6. I agree that this agreement is effective from the date of my engagement at KMFRI.

NAME:---

SIGNATURE: --

DATE:---

ID/PASSPORT NUMBER: --

NATIONALITY: ---

AFFILIATION: --

COUNTERSIGNED BY KMFRI:------------------------- DESIGNATION: ---------------------

Appendix III: KMFRI Research Data Management Plan Template

Title of project:

1. Project Description
A few sentences about your research to give some perspective to the remainder of the plan.

2. Survey of Existing Data
List any existing data that could be used or is relevant to your research.

No	Data Item	Description
1		
2		
3		

3. Data to be Created
List any original data to be created from your research. Measurements from experiments, photographs, publications, etc.

No	Data Item	Description
1		
2		
3		
4		
5		

DATA ADMINISTRATION ISSUES

4. Funding and legislative requirements
List any relevant policies that affect your data. Does any of your data contain personal or commercially valuable information?

5. Access and Security
Who will have access to the data while the project is in progress (typically just you and your supervisor and collaborating researchers). If the data is sensitive, what security measure will be taken?

•

6. Data owners and stakeholders
Who will own the data created and what groups would be interested in using this data?

•

7. File formats and standards
List the file formats you intend to create the data in. Discuss any issues relating to these file formats (are they proprietary, if so, are they widely used?)

Microsoft Excel will be used as the format of the data entry and storage since many data analysis and product generation software and models are excel comparable & compatible. The excel format will be password protected as it is not in the form of a database.

The file format is consistent and meaningful for easy allocation and identification. There is application of standard dataset vocabulary adopted from Natural Environmental Research Council (NERC) from UK

Below system will be the schematic applied for file naming (see example):

Abbreviated term of the data vocabulary	Date ISO 8601 (yyyy-mm-dd) For end of sampling	Submitting project acronym	KMFRI Station	Location where work was done	Name of submitting officer
Litter	20190608	MASMAML	Mombasa	Mkomani	L. Kiteresi

Example: Litter_20190608_masmaml_mombasa_mkomani_lkiteresi.xlsx

Access and security

Who will have access to the data while it is in use (typically just you and your supervisor and collaborating researchers). If the data is sensitive, what security measure will be taken?

8. Data Organization Methods
8.1 Backups

Is there an automated backup service available to you (e.g., your department's fileserver)? Is this service adequate for your needs (i.e., is there enough storage space?) and if not, what alternatives are there? If the data is sensitive, how will it be backed up?

No	Item	Description
1		•
2		•
3		•
4		•

8.2 Other

List any other organisation methods that you might use.

1.

Appendix IV: Procedure for Investigating and Reporting of Research Misconduct

The processing of an allegation will be guided first by the principle that requires protecting the rights and reputation of all parties involved which include the accused and the individual or individuals who in good faith report the alleged misconduct. All aspects of the investigation shall be handled confidentially. The following steps shall be taken: -

(a) Inquiry into an alleged misconduct for validation by concerned heads of Research Directorates;

    (i) An individual or individuals who have in good faith a cause to file an allegation of misconduct against an investigator will write to the Research Director who will initiate a confidential inquiry by notifying the appropriate individuals in the research chain of responsibility to conduct a confidential inquiry. The purpose of this initial exercise is to validate the allegation and the process should be completed within a month of receipt of the allegation;

    (ii) When the inquiry is completed, all affected individuals shall be given the opportunity to comment on the findings of the inquiry concerning the alleged misconduct;

    (iii) If the alleged misconduct is not substantiated by the inquiry, formal efforts through the Research Director will be made to restore the reputations of the researcher and all other affected individuals; and

    (iv) Any person aggrieved by any action proposed as a result of the inquiry shall have the right to appeal to the Director General in writing within a month of notification.

(b) Where inquiry report has established a case for substantive investigation by an appointed Committee;

    (i) The Director General will appoint a three-member investigative committee who will have broad experience in research and knowledge of the area of the alleged misconduct. Members of the investigative committee must not have served in the disciplinary committee;

    (ii) The Committee shall initiate a substantive confidential investigation with an aim of establishing whether or not the accused is guilty of the charges and should be disciplined;

    (iii) The Committee shall conclude within 3 months and hand over their report which includes their recommendations to the Director General;

    (iv) If the committee finds that the allegations of misconduct have not been substantiated, formal efforts shall be made to restore the reputation of the researcher and others under investigation; and

    (v) If the committee finds that the allegations of misconduct have been substantiated, then the committee may recommend disciplinary action, in which case the Director General will accordingly determine the appropriate, disciplinary action and report to the KMFRI Board of Management.

Appendix V: Research Policy Implementation Matrix

Policy Gap	Responsible	Monitorable indicators
Development of a Gender Policy	Director General	Gender policy in place and in use
Development of a code of conduct of use of research equipment and facilities	Director (Ocean and Coastal Services) and Director (Freshwater Services)	Code of conduct for use of equipment and facilities in place and in use
Development of protocols and mechanisms to carry out verifications and validations of products	Director (Ocean and Coastal Services) and Director (Freshwater Services)	Product testing protocols in place and in use
Development of Environment, Health and Safety Policy, and Health and Safety Responsibilities Procedures	Director (Ocean and Coastal Services) and Director (Freshwater Services)	Procedures in place and in use
Development of Hazard and Hygiene Contingency Plan	Director (Ocean and Coastal Services) and Director (Freshwater Services)	Plan in place and in use
Development of protocols for research clearance	Director (Ocean and Coastal Services) and Director (Freshwater Services)	Protocols for research clearance in place and in use
Development of a KMFRI Consultancy Policy	Director (Ocean and Coastal Services) and Director (Freshwater Services)	KMFRI Research Consultancy Policy in place and in use
Monitoring and Evaluation	Director (Ocean and Coastal Services) and Director (Freshwater Services)	Policy implementation reviewed regularly and feedback given to the Director General