



KENYA FORESTRY RESEARCH INSTITUTE

RESEARCH DATA MANAGEMENT REGULATIONS

KEFRI is ISO 9001:2015 and ISO 14001:2015 certified



KENYA FORESTRY RESEARCH INSTITUTE

RESEARCH DATA MANAGEMENT REGULATIONS

July 2020

© KEFRI 2020

This publication may be produced in whole or in part in any form for educational purposes or non-profit uses without permission of the copyright holder provided acknowledgement is made.

Citation:

KEFRI, 2020. Research Data Management Regulations, KEFRI, Muguga, Kenya.

Published by:

Kenya Forestry Research Institute

P.O. Box 20412-00200, Nairobi Kenya

Tel: +254 724 259 781/2, +254 734 251 888, 0722 157 414

E-mail:director@kefri.org

Website:www.kefri.org

Layout & Design: Evans Abuje

Foreword

Kenya Forestry Research Institute (KEFRI) is mandated to undertake research in forestry and allied natural resources thus generates research data that is the Institute's main asset. Management of research data is an essential part of good research practice and KEFRI has an obligation to appropriately collect, store, manage and share its data.

KEFRI has developed this Research Data Management Regulations in order to streamline the process of managing research data. Objectives of these regulations are: to provide guidelines on the process and activities related to data management; and to assign roles and responsibilities to various stakeholders on research data management.

To ensure implementation of this Regulation, KEFRI management will strengthen Biometrics and Geographic Information Systems (BGIS) Section by availing necessary resources to enable proper storage and sharing of research data.

These regulations are guided by Access to Information Act as anchored under Article 35 of the Constitution of Kenya 2010 and shall be read together with other relevant government legislations and regulations.



Joshua K. Cheboiwo (PhD)

Director, Kenya Forestry Research Institute

Table of Contents

Foreword.....i

Definition of Terms.....iv

1.0 Background.....1

2.0 Scope.....2

3.0 Research Data Portal.....2

4.0 Data Management Cycle.....3

 4.1 Data Collection.....3

 4.1.2 Protocol Development.....3

 4.1.3 Data Collection Tools.....4

 4.2 Data Management.....4

 4.2.1 Data Entry, Cleaning, Analysis and Publishing ..5

 4.2.2 Data Storage and Accessibility.....5

5.0 Deployment and Clearance from the Institute.....6

6.0 Terms of Reference (ToR) for External Partners.....7

7.0 General Principals.....7

8.0 Disclosure of Information.....8

9.0 Exceptions.....8

10.0 Access to Research Information.....9

11.0 Fees.....10

12.0 Management of Records.....10

13.0 Review of Regulations.....10

Definitions of Terms

Data	Biophysical and socio-economic research data that Kenya Forestry Research Institute (KEFRI) handles. These data can be either primary or secondary.
Data Manager	The person responsible for keeping data and information organized and secure including re-arranging data, re-naming documents and other similar activities, but does not personally own or create the data.
Scientist	A person who has the responsibility and authority to access, create and modify certain data, authorize or deny access by others to that data, and is responsible for data confidentiality, integrity and availability.
Meta-data	A summarized description of data, which makes finding and working with data easier.
Research protocol	A detailed set of activities for a proposed project. It is a valuable practical timetable and guide to project activities and shows some foresight into what is to be achieved.
Information	Facts learned, especially about a certain subject or event.

Data Management	Refers to the collection, storage, processing, analyzing, disseminating and efficiently using the information.
Knowledge	A familiarity, awareness or understanding of data, such as facts, information or descriptions.
Research data portal	The platform which is the main storage and access point for data from KEFRI research activities.
Biometrics and Geographic Information System (BGIS) Section	A section within KEFRI mandated with managing KEFRI's research data.

1. Introduction

1.0 Background

Kenya Forestry Research Institute (KEFRI) is a State Corporation established in 1986 under the Science and Technology Act, Chapter 250 of the Laws of Kenya, which has since been repealed to Science, Technology and Innovation Act No. 28 of 2013.

KEFRI is mandated to: conduct research in forestry and allied natural resources; disseminate research findings to stakeholders; build capacity of stakeholders; and establish partnerships and cooperate with other research organizations and institutions of higher learning in joint research and training. In accomplishing its mandate, KEFRI generates research data that is the main asset of the Institute. The Institute is committed to making its data accessible to all stakeholders. However, KEFRI is bound to loose its wealth of data if it is not properly managed. These regulations sets out procedures on how research data will be secured, managed and shared by the Institute.

Specific objectives of the regulations are:

- (i) To provide guidelines on the process and activities related to data management.
- (ii) To assign roles and responsibilities to various stakeholders on research data management.

2.0 Scope

These regulations is binding to KEFRI management, employees and stakeholders.

3.0 Research Data Portal

- 3.1 KEFRI Information Communication Technology (ICT) Section shall develop the Research Data Portal in consultation with Biometrics and Geographic Information System (BGIS) Section.
- 3.2 The KEFRI ICT shall ensure that the Data Portal configuration security is assured.
- 3.3 The developed Research Data Portal shall be equipped with adequate servers hosted at the BGIS Section.
- 3.4 The Research Data Portal shall be configured in a manner to enable hosting of both spatial data and non-spatial data.
- 3.5 The operational portal shall be fully administered by a Data Manager who shall be a staff appointed within BGIS Section.
- 3.6 The Data Manager shall ensure that accessibility rights are enforced accordingly.
- 3.7 There shall be a link between the Research Data Portal and KEFRI Knowledge Management System.

4.0 Data Management Cycle

4.1. Data Collection

- (i) The data collection phase shall only commence after development and submission of a research proposal and a Research Protocol.
- (ii) Disbursement of funds shall be on the basis of submitted raw data from previous research, a research proposal and a Research Protocol for subsequent study.

4.1.2 Protocol Development

- (i) The Scientist shall develop a Research Protocol in accordance with the Guidelines on Developing a Research Protocol.
- (ii) During Protocol development, the Scientist shall consult BGIS Section for advice.
- (iii) The BGIS Section shall review a Research Protocol within seven (7) working days from the date of submission.
- (iv) The Scientist shall submit a reviewed and accepted Research Protocol to BGIS for storage in the KEFRI central repository and to the Thematic Leaders for funding, through the respective Regional Directors (RDs) for scientists based at Eco-regions or through the Senior Deputy Director Research and Development (SDD-R&D) for RDs and scientists based at the KEFRI Headquarters.

4.1.3 Data Collection Tools

- (i) The Scientist shall develop data collection tools.
- (ii) Development of the data collection tools shall be done as per the Research Protocol and in consultation with the BGIS Section.
- (iii) Digitization process shall be advanced in all the data collection tools, which shall be implemented gradually as KEFRI adopts digital technology.
- (iv) The Scientist shall submit the final data collection tools to BGIS for storage in the Research Data Portal and to respective Thematic Leader through the respective RDs for scientists based at Eco-Regions or through the SDD-R&D for RDs and scientists based at the KEFRI Headquarters.

4.2 Data Management

- (i) Data management shall begin with raw data and shall encompass data entry, cleaning, coding and organization. In some cases such as Remote Sensing, raw data may constitute data acquisition and pre-processing.
- (ii) Submission of raw data shall be done within fourteen (14) working days from the time of completion of data collection.

4.2.1 Data Entry, Cleaning, Analysis and Publishing

- (i) The Scientist in consultation with the BGIS Section shall ensure that the collected raw data is entered into a computer, cleaned, processed and organized.
- (ii) The Scientist shall analyze the organized data in consultation with BGIS.
- (iii) The Scientist shall publish their data within three (3) years of data collection.
- (iv) All publications shall be submitted to BGIS for storage through the respective RDs for scientists based at Eco-Regions or through the SDD-R&D for RDs and scientists based at the KEFRI Headquarters.

4.2.2 Data Storage and Accessibility

- (i) The Scientist shall submit the final organized data to BGIS through the respective RDs for scientists based at Eco-Regions or through the SDD-R&D for RDs and scientists based at the KEFRI Headquarters.
- (ii) The BGIS Section shall ensure that the organized data is uploaded onto the Research Data Portal for storage.
- (iii) The Scientist and the BGIS staff shall compile a metadata of the organized data in a prescribed format and store it in the Research Data Portal.
- (iv) The Data Manager shall allow view rights of metadata to the general public.
- (v) The Data Manager shall allow exclusive full data rights to the Scientist only for a period of three (3) years from the date the organized data was uploaded onto the Research Data Portal.

Upon expiration of this period, the rest of KEFRI fraternity shall access the full data for two years. Thereafter, the full data shall be made public beyond KEFRI.

- (vi) Any party in the public domain interested with the data shall write officially to the Director KEFRI specifying the interest he/she has on the data.
- (vii) The KEFRI Director upon receipt of the request shall officially communicate with the applicants specifying the terms of access to data.
- (viii) No data shall be distributed or redistributed without written authority from the Director KEFRI.

5.0 Deployment and Clearance from the Institute

- (i) A Scientist shall be required to submit all their research data to BGIS Section through the respective RDs for scientists based at Eco-Regions or through the SDD-R&D for scientists based at the KEFRI Headquarters, in order to be cleared for the following
 - (a) To pursue further studies
 - (b) Deployment to another programme, project, Region, Centre or position
 - (c) Change of office
 - (d) Resignation
 - (e) Retirement
- (ii) RDs and scientists based at the KEFRI Headquarters shall be required to submit their data to BGIS Section through the SDD-R&D.

6.0 Terms of Reference (ToR) for External Partners

TOR for engaging external partners interested with KEFRI data:

- (i) The parties interested with particular KEFRI data for purposes of publication shall be required to do so in collaboration with respective principle investigators for joint publication.
- (ii) The parties interested with KEFRI data for other purposes other than publication shall be required to pay a modest fee as per KEFRI's regulations.

7.0 General Principals

- (i) KEFRI recognizes that any information held by it as an agent of the Government should be accessible to the public upon request promptly and at a reasonable cost, where applicable.
- (ii) In accordance with section 4 (2) of the Access to Information Act, the Institute recognizes that the public's right to access information should not be affected by:
 - (a) Any reason the person gives for seeking access, or
 - (b) The Institute's belief as to what are the person's reasons for seeking research data and information
- (iii) In making this determination, the Institute shall consider whether the disclosure or non-disclosure of research information is likely to cause harm to specific parties or interests that outweigh the benefit of disclosure or non-disclosure or whether the sought information contains or makes reference to information as prescribed under Section 6 of the Access to Information Act.

8.0 Disclosure of Information

- (i) In making disclosure, the Institute shall employ all practical means to facilitate access to research data and written information cost effectively and timely.

9.0 Exceptions

- (i) The Institute shall take into account the following considerations in disclosing its information Pursuant to Article 24 of the Constitution and the right of access to research information under Article 35 of the Constitution in respect of information whose disclosure is likely to include the following Personal information:
 - (a) Personal staff records,
 - (b) Medical information,
 - (c) Personal communications
 - (d) Information relating to staff appointment and selection processes;
 - (e) Information relating to proceedings of internal conflict resolution mechanisms; and
 - (f) Information relating to investigations of allegations of staff misconduct and personal conflicts of interest.

10.0 Access to Research Information

- (i) Where a decision is taken to provide the information applied for, the Director shall send to the applicant a written response within twenty one (21) days of receipt of the application, advising:
 - (a) That the application has been granted;
 - (b) That the information will be contained in an edited copy, where applicable;
 - (c) The details of any fees or further fees to be paid for access to information
 - (d) The method of payment of such fees, if any;
 - (e) The proposed process of accessing the information once the payment if any is made; and
 - (f) That an appeal may be made to the Institute in respect of the amount of fees required or the form of access proposed to be provided.
- (ii) Any information to be made accessible to an applicant shall be produced forthwith at the place where it is kept, for inspection in the form in which it is held unless the applicant requests that it be made available in another form and, if it is practicable to do so, such information may be copied, reproduced or used for conversion to a sound transmission at the expense of the applicant.

11.0 Fees

- (i) No fee shall be levied in relation to the submission of an application on access to research information.
- (ii) The Institute may charge a prescribed fee for provision of the research information and the fee shall not exceed the actual cost of making copies of such information and if applicable, supplying them to the applicant, or as regulated by the Board of Directors.

12.0 Management of Records

- (i) The Institute shall keep and maintain records as provided for in: the KEFRI IMS Procedures 2018; Records Management Procedures Manual for the Public Service of May 2010; and the Kenya National Archives and Documentation Services Act Chapter 19 revised edition 2015.

13.0 Review of Regulations

- (i) These regulations shall be revised on a five year basis.
- (ii) In the course of five years, the BGIS Section shall receive comments on implementation of these regulations.
- (iii) However, if need arises, the KEFRI Director shall authorize its revision.

Kenya Forestry Research Institute
P.O. Box 20412-00200, Nairobi Kenya
Tel: +254 724 259 781/2, +254 734 251 888, 0722 157 414
E-mail: director@kefri.org • Website: www.kefri.org
