



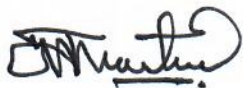
KENYA PLANT HEALTH INSPECTORATE SERVICE

Regulatory Research Policy

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PREFACE

The Kenya Plant Health Inspectorate Service seeks to provide a science-based regulatory service that assures plant health, food security, economic growth and sustainable development. To achieve this, science, technology and innovation programmes are critical. The corporation appreciates the role regulatory research plays in informing KEPHIS decisions. Therefore, this Regulatory Research Policy is a master plan to lay ground and streamline all research related activities at KEPHIS, build capacity and achieve the corporation's core mandate. It is desired that the Regulatory Research Policy will stimulate research activities at KEPHIS, provide guidelines on financial support, management, monitoring, evaluation, reporting and output dissemination. Further, it is hoped that this Regulatory Research Policy will fully anchor day to day regulatory decisions on scientific grounds and consequently enable KEPHIS to achieve its mission and vision.



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MANAGING DIRECTOR

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1.0 INTRODUCTION

1.1 Background

Kenya Plant Health Inspectorate Service (KEPHIS) was established under the State Corporations Act (Cap 446) pursuant to Legal Notice No. 305 of 18th October 1996. This was further strengthened by the enactment of the KEPHIS Act No.54 of 2012 that was assented to on 31st December 2012 by H.E. the President of Kenya.

The corporation is a regulatory agency mandated to enforce measures for the prevention of introduction, spread and establishment of plant pests and diseases in Kenya. Other services provided by the institution include seed certification and analytical services for diagnostics and compliance. Therefore, KEPHIS is always at the forefront of protecting Kenya's plant health through among other activities regulatory research to facilitate safe trade of plants, plant products and regulated articles.

The mission of KEPHIS is to assure plant health, quality of agricultural inputs and produce towards a food secure nation and safe trade. This mission is anchored on scientific evidence and therefore, KEPHIS recognizes the role of regulatory research to achieve its mission. Scientific findings play a critical role in informing regulatory decisions made by the corporation.

This KEPHIS Regulatory Research Policy outlines a detailed framework to be implemented in ensuring that all research activities at the institution are relevant to its core mandate, efficient in resource utilization and effective. The Regulatory Research Policy will streamline various research programmes at KEPHIS to provide uniformity. The policy outlines planning and administration of research programmes, approval of project proposals, monitoring and evaluation processes. In addition, the policy provides an elaborate framework on resource sharing, provision of an enabling regulatory research environment by the organization, dissemination and ownership of research outputs, and ethical/environmental considerations.

1.2 Coordination of research at Kenya Plant Health Inspectorate Service

The department of Regulatory Research & Compliance under the Directorate of Planning and Strategy will be responsible for coordinating research activities at KEPHIS.

1.3 Vision and mission of Kenya Plant Health Inspectorate Service

All regulatory research programmes undertaken at KEPHIS, after the approval of this policy by KEPHIS Board of Management, shall be aligned to the corporation's mission and vision as outlined below.

1.3.1 Mission of KEPHIS

To assure plant health, quality of agricultural inputs and produce towards a food secure nation and safe trade.

1.3.2 Vision of KEPHIS

Excellence in Plant health and quality assurance in agriculture.

1.4 OBJECTIVES OF THE REGULATORY RESEARCH POLICY

1.4.1 Overall aim

The aim of this Regulatory Research Policy is to provide a framework that guides conceptualization, review, execution, monitoring, evaluation and output dissemination of all research programmes at KEPHIS.

1.4.2 Specific objectives

To effectively enact the Regulatory Research Policy framework, the following specific objectives are desired by the corporation:

- 1) To enhance funding allocation to research activities at KEPHIS
- 2) To enhance research skills among technical staff through trainings
- 3) To create a conducive research environment by motivating staff members involved in research
- 4) To increase the number of research programmes and encourage partnerships
- 5) To improve the quality of research programmes undertaken
- 6) To implement research findings
- 7) To share research findings with relevant stakeholders in an effective manner
- 8) To promote social responsibility through research activities
- 9) To upscale and scale-out research outputs beneficial to the economy
- 10) To safeguard intellectual property rights related to all research activities (IPR).

1.5 Objective policy statements

To achieve the specific Regulatory Research Policy objectives, KEPHIS shall deliberately undertake the following policy statements.

Specific policy objective	Policy statements
1) To enhance funding allocation to research activities at KEPHIS	a) Allocate specific funds (2% of annual budget) to support research at KEPHIS each financial year b) Mobilize additional funds from external sources to specifically support research activities c) Reward researchers who attract research funds
2) To enhance research skills among technical staff through trainings	a) Map research skill gaps b) Train staff on proposal writing, research methods, data analysis and output communication c) Enhance laboratory and research capacity

3) To create a conducive research environment by motivating members of staff involved in research	a) Encourage collaborative research b) Mentor young researchers to write funding proposals and conduct research
4) To increase the number of research programmes and encourage partnerships	a) Link research to KEPHIS projects funds b) Provide mentorship on research grant writing c) Institutionalize research culture d) Encourage private sector to fund specific problem-solving research programmes at KEPHIS
5) To improve the quality of research programmes undertaken	a) Scrutinize each research programme to be undertaken
6) To implement research findings	a) Utilize research results in decision making b) Engage and share research results with the stakeholders (c) Enhance compliance (d) Management of quarantine @invasive species
7) To share research findings with relevant stakeholders in an effective manner	a) Support platforms for presenting research findings with stakeholders b) Set guidelines for electronic research information sharing with third parties (c) Methods development and validation (d) Publication in scientific Journals (e) Workshops and conferences to share and present findings
8) To promote social responsibility through research activities	a) Establish community linkages and empowerment programmes
9) To upscale and scale-out research outputs beneficial to the economy	a) Market and mobilize private sector to take up viable KEPHIS research findings for upscaling

	b) Develop IPR framework when engaging third parties on upscaling KEPHIS research outputs
10) To safeguard intellectual property rights related to research activities (IPR)	a) Adhere to KEPHIS IPR policy

2.0 KENYA PLANT HEALTH INSPECTORATE SERVICE RESEARCH PRIORITY AREAS

To undertake regulatory research programmes that articulate the core mandate of KEPHIS and demonstrates value for money, the corporation shall adopt an all-inclusive approach involving relevant Directorates, Departments and government ministries. In addition, certain research priority areas may require consultations with stakeholders in the agricultural sector. All research priority areas will be reviewed periodically for relevance. In general, KEPHIS will conduct research in the following priority areas:

Theme	Priority areas for research
1. Phytosanitary and biosecurity	a) Surveillance b) Plant pests (pest status, host preferences & identity) c) Disease vectors (status) d) Soil health (presence of pests, nutrient profile & beneficial microbes) e) Water for irrigation (microbial and microbials contamination levels) f) Pest risks (impact on trade, phytosanitary measures required) g) Biotechnology (genetic characterization) h) Microbial communities (co-infection) i) Phytosanitary measures/official controls (effectiveness, gaps) j) Trade and markets (opportunities and requirements) k) Pesticide residues (levels in produce, type of residues) l) Phytosanitary treatment m) Pest free areas/Areas of low pest prevalence and Pest Free areas of production
2. Seed	a) Variety performance (DUS)

	b) Seed production and multiplication (technologies, certification) c) Post certification d) Farming practices and seed use (Agro-inputs, seed access, knowledge levels) e) Pests and diseases (seed related pests and diseases, official controls) f) Genetic purity (seeds imported, seeds multiplied) g) Biotechnology (Profiling genetically modified organisms)
3. Information, Communication & Technology (ICT)	a) Systems developments b) Software to support phytosanitary c) Systems/network security (weaknesses, gaps and strengths) d) Databases (gaps and safety of them) e) e-phyto (gaps and weaknesses) f) Information Systems Management policy (ISMs) g) e-commerce (existing regulations, policy gaps)
4. Corporate governance	a) Governance (policy gaps and effectiveness of existing policies) b) Finance (resource utilization, fiscal policies, gaps and effectiveness) c) Human Resource (staffing, capacity building) d) Gender, youth and minority groups (opportunities and corporate responsibility) e) Cultural (policies, infrastructural support) f) Leadership (skill gap, succession strategies)
5. Planning	a) Resource mobilization & use (sources, strategies in place, efficiency) b) Transportation (capacity, staffing needs) c) Monitoring and evaluation (capacity available) d) Science, Technology & Innovation (implementation strategies and gaps) e) Safety (policies, gaps, technical capacity available)

	f) Land use (land tenancy, physical gaps, efficiency in resource use) g) Construction (Infrastructural capacity, energy efficiency and cost effectiveness in constructions)
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The corporation shall develop an annual research program and allocate sufficient funds to implement research activities. Additional funds for regulatory research should be mobilized from development partners to bridge resource gaps.

3.0 POLICIES AND IMPLEMENTATION STRATEGIES

3.1 Research funding

- a) Research programmes for funding shall be vetted by KEPHIS Research Council before recommendation for approval by the Managing Director
- b) Funding for research programmes can be sourced from KEPHIS annual budget, development partners or the private sector. Departments and individual staff are encouraged to raise funds for research
- c) Basic applied research that is aligned to compliance shall be given priority in funding
- d) The corporation shall provide resources to support research proposal writing and this include but, not limited to literature review and planning workshops
- e) The corporation shall establish a KEPHIS Research Council. The council shall comprise of research leaders in priority areas among other members to recommend funding allocations to research activities in KEPHIS
- f) Research leaders should be selected based on subject matter competency, publications, research experience and ability to attract funds
- g) The Research Council shall have representatives in the KEPHIS Projects committee.

3.2 Research, planning and administration

There shall be a Research Council to oversee all research activities at KEPHIS. Relevant departments should establish research committees to recommend departmental priorities to the Research Council.

3.3 The corporation Research Council

There shall be established a Research Council at KEPHIS. The Research Council shall be responsible for vetting, approval and recommendation for funding all KEPHIS proposed research activities.

3.3.1 Composition of the Research Council

The KEPHIS Research Council shall comprise of 13 members as follows:

- a) Director, Phytosanitary and Biosecurity- Chair
- b) Deputy Director, Projects & Business Development- Vice chair
- c) Deputy Director, Regulatory Research & Compliance- Secretary
- d) Deputy Director, Plant Health & Molecular laboratories

- e) Deputy Director, ACL & Food safety
- f) Deputy Director, Seed Testing Laboratories
- g) Deputy Director, Pest Forecasting & Surveillance
- h) Deputy Director, Plant Variety Testing & Protection
- i) Deputy Director, Planning
- j) Deputy Director, Seed Certification
- k) Three (3) appointed research leaders (on ad hoc basis) with track records as subject matter experts and ability to compete for research grants.

3.3.2 Terms and reference of the Research Council

- a) To peer review all regulatory research proposals and make recommendations to the Managing Director for considerations through relevant Directorates
- b) To review all research agreements involving KEPHIS and individual staff members and make recommendations to the Managing Director
- c) To participate in periodic review of the KEPHIS Regulatory Research Policy
- d) To annually recommend research priorities to KEPHIS management
- e) To mobilize external funds for research activities through competitive grant writing & mentorship
- f) To review research reports, manuscripts and support out-put dissemination
- g) To lobby the private sector in supporting regulatory research at KEPHIS
- h) To recommend to the Managing Director motivational awards for KEPHIS staff involved in research and resource mobilization
- i) To participate in annual reporting of all research activities undertaken at KEPHIS.

3.4 Approval, monitoring and control of research projects

- a) All research proposals to be undertaken in KEPHIS facilities shall be reviewed and technically approved by the Research Council. This applies to staff initiated, KEPHIS funded, private sector sponsored and postgraduate student projects
- b) All research projects undertaken by KEPHIS staff shall be aligned to organizational and national priorities
- c) All research proposals shall be guided by the guidelines annexed in this Regulatory Research Policy (*Annex 5.1-5.8*)
- d) Joint research activities involving different institutions, multinational organizations and individuals shall be promoted
- e) The corporation shall provide a platform to support postgraduate students undertaking regulatory research at KEPHIS or partner institutions
- f) The corporation shall enter into an agreement with staff researchers and external financiers when the proposal has been approved for funding. This is to protect IP rights of both parties
- g) All projects shall be monitored and unsatisfactory ones terminated. Project termination will be initiated after three quarterly evaluations reports are shown to be unsatisfactory.

3.5 Administration costs for externally funded research activities

- a) The corporation shall charge 10% of the total research cost as overhead. This contribution shall only apply to externally funded research projects being undertaken in KEPHIS facilities
- b) The overhead costs shall be used in offsetting general utility bills (water, electricity, telephone, internet and maintenance), administration and staff support
- c) Members of staff linked to externally funded research projects should factor in overhead costs while developing budgets or negotiating for such activities. In case where the donor/private organization does not allow for overhead costs, then, contingency funds shall factor in overhead costs
- d) Where applicable, the Research Council shall advise the Managing Director to allocate overhead costs of each research project as follows:
 - General utilities 3%
 - Compensation (allowances) of research support staff 3%
 - Support to implementing Department 2%
 - Support to management of research activities 2%

3.6 Sharing of research project resources

- a) All Directorates and Departments shall disclose and guide KEPHIS members of staff on available research opportunities. The opportunities available shall be made known to members of staff in a timely and transparent manner
- b) All funds allocated to research projects-both internal and external shall be utilized strictly as per the budget lines
- c) All equipment and accessories acquired to support research projects shall be handed over to KEPHIS at the end of the project unless there is a contrary contractual agreement
- d) Procurement procedures on disposal of obsolete items shall apply at the end of all research projects
- e) Sharing of research information such as data, digital images, books, publications and reports shall be encouraged by KEPHIS but, adhere to existing IP and ISMs Policies
- f) Common resources such as printing, conference rooms and laboratory infrastructure shall be shared to support research activities.

3.7 Motivation of staff involved in regulatory research

- a) The corporation shall motivate staff members to undertake research by compensating them above the normal emoluments. This is to increase research outputs and cultivate research ethics. The motivation shall be for successful external proposals in form of:
 - i. An appropriate amount drawn from overhead costs (Section 3.5)
 - ii. Token awards in form of certificates of recognition, public plaque etc.
 - iii. Copyright, patent rights or other IP ownership
 - iv. Any other reward shall be at the discretion of the Managing Director

- b) The corporation shall integrate in its HR policy the aspect of staff capacity building with a focus on research. Targeted training programmes shall be crafted to enhance research capacity of the corporation.

3.8 Creating a conducive research environment

- a) The corporation shall allocate funds to support regulatory research
- b) The corporation shall strengthen administrative, financial, infrastructural and ICT systems to support research activities
- c) Staff members involved in research activities shall be encouraged and capacity built to undertake regulatory research
- d) The corporation shall work towards a conducive environment by addressing staff research needs, motivation and infrastructural requirements
- e) The corporation shall encourage partnerships to support research activities
- f) The corporation shall support platforms and initiatives of disseminating research outputs.

3.9 Dissemination of research findings

- a) The corporation shall support wide dissemination of research outputs. This shall be in form of publications, reports, posters, conference presentations, seminars and workshops
- b) Outputs from research activities involving external financiers shall be made public for the greater good of intended beneficiaries
- c) Each research activity shall release progress reports for review and recommendations
- d) The corporation shall encourage uptake of research findings by the private sector for upscaling and dissemination
- e) All research progress and terminal reports shall be prepared according to the prescribed formats (*Annex 5.7-5.8*)
- f) The Department of Regulatory Research & Compliance shall keep a publicly accessible database of all research activities at KEPHIS
- g) The Department of Regulatory Research & Compliance shall publish quarterly Bulletins with abstracts of all on-going and newly funded research activities
- h) The Department of Regulatory Research & Compliance shall disseminate research reports, publications, conference proceedings, books and other materials to KEPHIS regional offices
- i) Seminars, workshops and conferences to disseminate research outputs shall be planned for by the corporation and included in annual workplans.

3.10 Ownership of research findings

- a) The corporation shall take ownership of all regulatory research activities undertaken unless expressly stated in contract agreements with donor partners
- b) In cases where donor parties are interested in co-ownership of research outputs, then, the desire shall be expressed prior to commencement of research activities and documented in a contractual agreement.

3.11 Evaluating research impact

- a) The corporation shall monitor and evaluate the relevance and effectiveness of research activities undertaken
- b) Research activities shall be re-engineered periodically to address local and national problems.

3.12 Environmental and biosecurity considerations

- a) All proposed research activities shall be evaluated to minimize environmental impact
- b) All proposed research activities involving quarantine organisms shall be vetted to minimize biosecurity risks. International obligations such as those outlined in the Nagoya Protocol on movement of biological organisms shall be honoured.
- c) All environmental and biosecurity concerns related to any research project shall be handled and approved by the Research Council
- d) The Research Council may invite subject matter experts to review certain proposals before making an informed decision
- e) The Research Council shall not approve any research activity with a potential of negative environmental impact or biosecurity concerns
- f) The corporation shall constitute an ad hoc committee to evaluate ethical issues related to some proposed research activities in case they arise.

4.0 CONCLUSION

The KEPHIS Regulatory Research Policy seeks to streamline regulatory research at the corporation. Through this Regulatory Research Policy, all research activities will be more relevant and effective in the delivery of KEPHIS mandate.

The KEPHIS Regulatory Research Policy outlines steps the corporation shall undertake to create a conducive research environment, prioritize research activities and strengthen the Directorate of Regulatory Research & Compliance. Creation of a KEPHIS Research Council through this policy is meant to establish a uniform infrastructure of approving, managing, monitoring and evaluating all research activities undertaken at the corporation.

The KEPHIS Regulatory Research Policy is meant for use by all staff members, potential donors, the private sector and any other stakeholder willing to be part of regulatory research activities at KEPHIS. Therefore, the policy outlines steps to be followed by staff members and external stakeholders before, during and after carrying-out research activities at KEPHIS. The corporation appreciates the potential role of donors and the private sector in supporting research activities geared towards solving problems in the agricultural sector.

It is aspired that the Regulatory Research Policy is written in a concise, simple and clear manner to support research activities at KEPHIS. Areas not captured in this Regulatory Research Policy will be included in subsequent revisions to make it better and fit-for-purpose.

5.0 Exceptions

1. Exceptions made under this regulatory research policy will only be agreed on the basis that they do not in any way prejudice the institutional Vision, Mission and Mandate.
2. The Managing Director with the advice of KEPHIS Research Council may make variations to this policy by express written consent on a case-by-case basis.

The Managing Director with the advice of KEPHIS Research Council shall recommend amendments to this policy

6.0 Amendment

This Policy may be amended from time to time upon recommendation of the KEPHIS Research Council.

In this case:

- a. all Regulatory research undertaken *prior* to the effective date of the amendment shall be governed by the Policy prior to such amendment, provided that the provisions of the Policy (as amended) shall apply to all; and
- b. all regulatory research conducted on or after the effective date of such amendment shall be governed by the Policy as amended

7.0 ANNEXES

Annex 7.1: Guidelines for approval of regulatory research projects

I. Initiating a research proposal

- a) The KEPHIS Research Council shall periodically make calls for submission of research proposals. This should be done two (2) months before the start of every new financial year or any time that may deem appropriate
- b) A KEPHIS member of staff can initiate a research activity as long as it is aligned to the corporation's priority areas
- c) The management of KEPHIS through relevant Directorates/departments can also initiate a research project
- d) Donors and private partners can only initiate regulatory research activities at KEPHIS through technical staff or in consultation with management
- e) All parties (b-d above), intending to undertake regulatory research activities at KEPHIS, shall develop and submit project proposals in the prescribed format (*Annex 5.3*) to the Research Council for review. Research proposal submitted in prospective donor format shall also be considered by the Research Council.

II. Review of research proposal by KEPHIS Research Council

- a) The KEPHIS Research Council shall meet as it may be determined from time to time to review research proposals
- b) The proposal shall be reviewed based on relevance to KEPHIS and national priorities, availability of resources, prevailing situation, technical capacity of staff members involved and projected impact of results
- c) Review of research proposals shall not take more than two (2) months upon receipt.

III. Approval of research proposals and communication

- a) If the research proposal is found to be satisfactory, the Research Council shall make recommendations to the Managing Director through relevant Directorates for approval
- b) If a research proposal is found unsatisfactory, the Research Council shall:
 - i. Communicate the decision to the member of staff or donor who had submitted the proposal on relevant changes to be made before re-submission for review
 - ii. Further engage the member of staff/donor intending to undertake a given research activity before in-depth review of a research proposal
 - iii. Reject a research proposal with reasons.
- c) Parties whose research proposals have been rejected can appeal through relevant heads of Departments. The heads of Departments shall then review the proposal, make recommendations to the Research Council for considerations. The Research Council shall review the recommendations from the head of department and make a determination. If the proposal is rejected for a second time, the decision shall be final

- d) Department of Regulatory Research & Compliance shall keep records of all communications and copies of reviewed research proposals
- e) Department of Regulatory Research & Compliance shall assign unique serial numbers to all approved research proposals.

IV. Funding approved research activities

- a) Research activities at KEPHIS can be funded through the corporation budget or
- b) Donor/private organization funds
- c) Externally mobilized funds shall be guided by a contractual agreement between KEPHIS and the donor.

Annex 7.2: Format for a regulatory research concept note

A research concept note shall be a summary of the project proposal. It is a compressed form of proposed activities addressing the following key areas:

- i. Title of the research project
- ii. Background
- iii. Rationale (problem & justification)
- iv. Expected findings and impact
- v. Research methods
- vi. Strategy to be implemented (timing, groups involved and work plan)
- vii. Required resources to achieve set objectives
- viii. Period of implementation
- ix. Funding sources
- x. References

Annex 7.3: Format for developing a regulatory research proposal

All regulatory research proposals submitted to the Research Council for approval shall adopt the following framework:

a) Cover page & project title

The cover page shall bear KEPHIS logo, title of the proposed research activity, name of the Directorate, Department and initiating member of staff. If there is a private financier, the name should all appear on this page.

b) Executive summary

This should provide a brief description of project background, problem, justification, objectives, research area, anticipated outputs and resources required. The summary shall be written as an abstract with a maximum of 300 words and should preferably be written last.

c) Introduction & Literature review

This section should document information about proposed area of research. It should provide detailed information on what is known, existing knowledge gaps and the need for the proposed research project. The section should conceptualize the area of research and demonstrate how the proposed work will solve existing problem and contribute to regulatory work of KEPHIS. Accurate referencing should be adhered to in this section. Section should cover a maximum of three (3) pages.

d) Problem statement

This section shall provide a clear picture of the problem that the proposed work seeks to solve. A maximum of 500 words is desired.

e) Justification

Each proposal shall highlight the need for conducting a particular research activity. The section should demonstrate project relevance, technical capacity to undertake the research activity, cost effectiveness and the overall contribution to solving a particular problem in the society. A maximum of 500 words is desired.

f) Project goal

The proposal should clearly state the overall goal which is the broad vision of the research activity. A maximum of 50 words is desired.

g) Project objectives

Each proposal shall state clearly the intended outcomes of the project which are achievable. The objectives must be SMART and a maximum of three (3) objectives is desired.

h) Project outputs

These are the immediate outcomes of each objective. An objective can have more than one output but, proposals shall limit themselves to a maximum of four (4). The outputs outlined will define the activities to be undertaken in the project cycle.

i) Research methods

Proposals shall describe in a concise manner all research methods that will be applied to achieve results during the project cycle. The methods should be relevant, accurate, reliable and reproducible. The methods adopted should cover (where applicable) research design (sampling area, sample sizing and timing), sampling procedures, laboratory analysis, data collection and processing. Research methods adopted should be referenced. A maximum of five (5) pages is desired in the section.

j) Logical framework

This is a project management outlay that demonstrates in a logical way how each process is handled in order to achieve project objectives and goal. All proposals shall adopt the logical framework outlined in the Table below.

Project hierarchy	Indicators	Means verification	of	Assumptions/ risks
Goal (one)				
Objectives (max 3)				
Output (max 4 per objective)				
Activities (max 4 per output)				

k) Implementation plan

All proposals should provide a clear plan on the timelines by which each activity outlined in the logical framework will be accomplished. The implementation plan should illustrate a link between each activity and this can be done using a simple Gantt chart method.

l) Monitoring & evaluation

The research proposal shall clearly indicate the monitoring and evaluation schedule. If this is a KEPHIS funded project, the monitoring and evaluation systems in place shall automatically apply.

m) Project management

A regulatory research project shall demonstrate how the project will be managed and the role of various parties involved. Research projects initiated by KEPHIS shall ride on existing management structure but, each project proposal should demonstrate the role of each participant.

n) Budget of resources required

Regulatory research projects should provide a detailed list of resources required to successfully achieve set objectives. The research budget should disclose the amount of money required, donor funds granted (if applicable) and any form of in-kind support to the project.

