



THE REPUBLIC OF KENYA

LAWS OF KENYA

**THE SCIENCE, TECHNOLOGY AND INNOVATION (REGISTRATION
AND ACCREDITATION OF RESEARCH INSTITUTIONS) REGULATIONS**

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Science, Technology and Innovation Act

The Science, Technology and Innovation (Registration and Accreditation of Research Institutions) Regulations

Legal Notice 106 of 2014

Legislation as at 31 December 2022

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The Science, Technology and Innovation (Registration and Accreditation of Research Institutions)
Regulations (Legal Notice 106 of 2014)

Contents

1. Citation	1
2. Interpretation	1
3. Objectives	1
Part II – REGISTRATION	2
4. Vetting committee	2
5. Application for registration	2
6. Notification of decision	2
7. Revocation of registration	3
Part III – ACCREDITATION	3
8. Application for accreditation	3
9. Criteria for accreditation	3
10. Process of accreditation	3
11. Standards for accredited institutions	3
12. Monitoring and evaluation	3
13. Duration of accreditation	3
Part IV – MISCELLANEOUS	3
14. Information and records	3
15. Recognition of researchers	4
FIRST SCHEDULE [r. 5(1)]	4
SECOND SCHEDULE [r. 5(7)]	5
THIRD SCHEDULE [r. 5(8)]	6
FOURTH SCHEDULE [r. 8(2)]	7
FIFTH SCHEDULE [r. 9]	8
SIXTH SCHEDULE [r. 10]	8
SEVENTH SCHEDULE [rr. 11, 12]	9

SCIENCE, TECHNOLOGY AND INNOVATION ACT

THE SCIENCE, TECHNOLOGY AND INNOVATION (REGISTRATION AND ACCREDITATION OF RESEARCH INSTITUTIONS) REGULATIONS

LEGAL NOTICE 106 OF 2014

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1. Citation

These Regulations may be cited as the Science, Technology and Innovation (Registration and Accreditation of Research Institutions) Regulations, 2014.

2. Interpretation

In these Regulations, unless the context otherwise requires—

"accreditation" refers to the establishment of the status, legitimacy or appropriateness of an institution, programme of research;

"Act" means the Science, Technology and Innovation Act (Cap. 511);

"Commission" means the National Commission for Science, Technology and Innovation established under section 3 of the Act;

"committee" means the Registration and Accreditation committee established under Regulations 4;

"eligible" means meeting the stipulated requirements;

"institution" means a research institution registered under the Act;

"secretary" means the Secretary of the Commission appointed under section 8 of the Act;

"scientific research" refers to any investigation or research or inquiry or interview that aims to collect data or information, academic or non-academic, in areas of humanities or pure sciences or engineering or technology or for purpose of marketing survey or opinion polls that will lead to new knowledge or information;

"scheduled science" means any of the groups of sciences listed in the Second Schedule to the Act;

"eligibility" has the meaning assigned it under the law relating to Universities Act (Cap. 210).

3. Objectives

The main objective of these Regulations is to uphold the standard of research in the country and secure public confidence in the national research systems.

Part II – REGISTRATION

4. Vetting committee

- (1) There shall be a Registration and Accreditation committee which shall be appointed by the Commission.
- (2) The committee shall be a standing committee of the Commission and shall consist of—
 - (a) five persons appointed from the Commission; and
 - (b) two other persons co-opted by the Secretary from time-to-time from outside the Commission on the basis of their specialization in any particular case.
- (3) The committee may determine the procedure for its meetings.

5. Application for registration

- (1) An application for registration under section 17 of the Act shall be in the form set out in the First Schedule.
- (2) The applicant shall forward the application form to the Secretary together with an application fee of two hundred and fifty thousand shillings.
- (3) The Secretary shall upon receipt of the application under paragraph (2), refer it to the committee.
- (4) A research institution shall be eligible for registration is—
 - (a) it is competent to undertake scientific research in the area of discipline;
 - (b) it has the capacity in terms of human and financial resources to carry out research;
 - (c) it has a physical location for its offices and research facilities; and
 - (d) at least half of its directors are Kenyans with relevant expertise.
- (5) The committee of the Commission shall present its preliminary reports regarding the application to the Secretary within a period of thirty days from the date of receipt.
- (6) The committee shall thereafter consider the application and present a detailed report to the Commission within a period of sixty days together with its recommendation as to whether the research institution in respect of which the application is made should be registered.
- (7) Where the committee recommends registration, the Secretary shall forward the same to the Cabinet Secretary who may then proceed to grant, within one hundred and twenty days from the date of receipt of the application, a Certificate of Registration in the form set out in the Second Schedule subject to such conditions as the Cabinet Secretary may specify.
- (8) All research institutions registered under these regulations shall adhere to the standards set out in the Third Schedule and code of ethics and guidelines for research.

6. Notification of decision

The Secretary shall notify every applicant of the decision of the committee within fourteen days of receipt of the application, and, where the committee rejects any application, it shall furnish the concerned applicant with reasons thereof.

7. Revocation of registration

The registration of a research institution may be revoked by the Cabinet Secretary where the institution fails to comply with any of the conditions or the standards and guidelines for research after recommendation by the Commission.

Part III – ACCREDITATION

8. Application for accreditation

- (1) A research institution which is registered under these Regulations may after the expiration of the period of one year after such registration, apply to the Commission for accreditation.
- (2) An application for accreditation shall be in the form set out in the Fourth Schedule and shall be forwarded to the Secretary together with a fee of two hundred and fifty thousand shillings.

9. Criteria for accreditation

A research institution shall be eligible for accreditation if it satisfies the criteria set out in the Fifth Schedule.

10. Process of accreditation

The Commission shall carry out the accreditation of a research institution in accordance with the process set out in the Sixth Schedule.

11. Standards for accredited institutions

A research institution which is accredited under these regulations shall be required to adhere to the standards and guidelines set out in the Seventh Schedule.

12. Monitoring and evaluation

- (1) The Commission shall at least once in every three years monitor and evaluate accredited research institutions to ensure compliance by research institutes with the standards set out in the Seventh Schedule.
- (2) Notwithstanding paragraph (1), research institutions shall be required to carry out annual monitoring and evaluation internally and to submit the report to the Commission.

13. Duration of accreditation

- (1) Accreditation shall be granted to eligible institutions for a period of three years after which it may be renewed on application to the Commission in accordance with these regulations.
- (2) There shall be payable a fee of two hundred and fifty thousand shillings in respect of an application of renewal.

Part IV – MISCELLANEOUS

14. Information and records

- (1) Research findings and information regarding research systems shall be stored in a designated section of the research institution with clear labeled subject area.

- (2) Research findings carried by staff or the research institution shall be in form books or documents and must be bound and the title of the research, author, year and other the relevant information be printed clearly on the cover page.
- (3) A report of research work by staff and research institution must be submitted to the commission within two months after publication or compilation of the report of the research work.

15. Recognition of researchers

- (1) The Commission shall register, license and regulate researchers in the Scheduled science areas in the Second Schedule to the Act.
- (2) The Commission may accredit competent organization or societies to carry out this function on its behalf.

FIRST SCHEDULE [r. 5(1)]

FORM FOR APPLICATION FOR REGISTRATION

APPLICATION FOR REGISTRATION/RENEWAL

PART I (To be completed by the applicant)

1. Personal Information

- (a) Full name of Applicant
- (b) Name of Institution applying for registration
- (c) Position of applicant in the Institution
- (d) National Identification Number (ID No.)/Passport
- (e) Permanent Residence Address
- (f) Postal Address
- (g) Contacts: Telephone Fax

E-mail

(Please attach the CV of Applicant and the employees in the top management board)

2. Personal References

(Give names and full addresses of two senior academic/professional referees who are not employees of the research institution to be registered. These should be professionally qualified in the field of research institution intends undertake).

- (i) Name
- Address
- Occupation
- Contacts: Telephone Fax
- E-mail
- Date
- (Referee's Signature)
- (ii) Name

Address

Occupation

Contacts: Telephone Fax

E-mail

Date

(Referee's Signature)

3. (a) Is your research institution registered in another country? Yes/No
(b) If yes, please give the details such as country of registration and number registration certificate and date below

.....

4. What is the proposed governance structure of the research institution (please attach the structure to application).....
5. Give initial financial capital and fixed assets for research activities of the proposed research institution
.....
6. Provide in details the area of discipline the proposed research institution shall undertake
.....

I certify that I have read and understood the regulations on the registration and accreditation of research institutions in Kenya, 2013.

Signature Date

PART II

(For official use by NACOSTI only)

Date Application was received Signature

Approved/not approved

Date Signature

Secretary, National Commission for Science, Technology and Innovation

SECOND SCHEDULE [r. 5(7)]

CERTIFICATE OF REGISTRATION

FRONT PAGE

Certificate No.

Name of Research Institution

Physical Address

Telephone E-mail

Signature Date

BACK PAGE

Conditions:

1. The certificate of registration is not transferable to another entity.
2. The area of research for which certificate of registration was applied for cannot be changed.
3. The research institution cannot change its physical location without approval of the Secretary of the Commission.
4. The research institutions must notify the Secretary of the Commission in case there are changes in information provided during application of registration.
5. The research activities to the Secretary of the Commission by 31st January every year.
6. The Cabinet Secretary on the advise of the Secretary of the Commission may revoke the Certificate of Registration if the research does not comply with these conditions.

THIRD SCHEDULE [r. 5(8)]

STANDARDS FOR REGISTERED INSTITUTIONS

An institution must apply to be accredited to Secretary of the Commission

The applying Institution must submit eligible application in a prescribed form as indication of interest to the National Commission of Science, Technology and Innovation. (Application form for accreditation to be drawn from Part IV (17)(3))

Compliance is required for each of the following standards and each standard should be interpreted and applied in the context of the institution's mission and purposes.

Standard 1: Mission, Goals and Objectives

1. The institution's mission must clearly define its purposes within the context of science, technology and innovation and explain whom the institution serves and what it intends to accomplish.
2. The institution's stated goals and objectives, consistent with the aspirations and expectations of research, science and technology must clearly specify how the institution will fulfill its mission.
3. The mission, goals and objectives have been developed and recognized by the institution with its members and its governing body and should be utilized to develop and shape the institution's programs and practices and to evaluate its effectiveness.

Standard 2: Planning, Resource Allocation and Institutional sustainability

1. The institution must be able to conduct ongoing planning and resources allocation based on its mission and should be able to use the results of its assessment activities for institutional sustainability.
2. The implementation and subsequent evaluation of the success of the strategic plan a resource allocation support the development and change necessary to improve and maintain institutional quality.

Standard 3: Institutional Resources and sustainability

The institution should demonstrate its ability to mobilize human, financial, technical, physical facilities, and other resources necessary for the achievement of its mission, including environmental sustainability and institutional policy on issues of physical challenges. Documentary evidence needed for human resources (sources of funding and sustainability.)

Standard 4: Leadership, Governance and integrity

The institution's policy should clearly define the roles of institutional constituencies in policy development and decision-making. The governance should include active governing body with sufficient autonomy to assure adherence to ethical standards institutional to fulfill its responsibilities of policy and resources development, consistent with the mission of the institution. In the conduct of its programs and activities involving the institution to demonstrate adherence to ethical standards.

Standard 5: Institutional Assessment

The institution has developed and implemented an assessment plan and process that evaluates its overall effectiveness in: achieving its mission and goals; implementing planning, resource allocation, and institutional renewal processes; using institutional resources efficiently; providing leadership and governance; providing administrative structure and services; demonstrating institutional integrity; and assuring that institutional processes and resources support appropriate learning and other outcomes for its students and graduates,

Standard 6: Institutional Database

The institution should maintain research database that can be accessed by Commission.

FOURTH SCHEDULE [r. 8(2)]

APPLICATION FOR ACCREDITATION

PART I (To be completed by the applicant)

1. Personal Information

- (a) Full name of Applicant
- (b) Name of Institution to be accredited
- (c) Position of Applicant in the Institution
- (d) National Identification Number (ID No.)/Passport
- (e) Permanent Residence Address
- (f) Postal Address
- (g) Contacts:
Telephone E-mail

(Please attach the CV of Applicant and the employees' in the top management/board)

2. Have you applied for accreditation before? Yes/No

If you have applied for accreditation before, please give the details of date of application and accreditation certificate number below

.....

3. What is the governance structure of the research institution (please attach the structure to application).

.....

4. Provide in details the area of discipline the research institution undertakes.

.....

I certify that I have read and understood the regulations on the registration of research institutions and accreditation of research institutions in Kenya, 2014

Signature

Date

PART II

(For official use by NACOSTI only)

Date Application was Received

Signature

Approved/not approved

Date Signature

Secretary, National Commission for Science, Technology and Innovation

FIFTH SCHEDULE [r. 9]

CRITERIA FOR ACCREDITATION

1. Copy of registration
2. Audited financial statement
3. Mou of collaborating institutions.
4. Copy of institutional organogram.
5. List of available equipment.
6. List of research activities.
7. Vicinity map.
8. Payment or non-refundable fee for accreditation process.

SIXTH SCHEDULE [r. 10]

PROCESS OF ACCREDITATION

The accreditation procedures

The institutions applying for accreditation will be assessed in accordance with clearly defined procedures. The process will be outlined as follows;

1. Application procedure
 - Request for accreditation
 - Application for accreditation reviewing of the application and submitted documents.
 - Acknowledge receipt of confirmation
 - Payment of prescribe fees.
2. Assessment procedure
 - Assessment will be carried out by committee
 - Vetting committee to inspect facilities of the institution.
 - Vetting committee prepare assessment report.
3. Accreditation procedure
 - Evaluation of the technical assessment reports by the Commission.
 - Decision on accreditation by the Commission.
 - Issuance of Accreditation certificate.

- The Gazettement of the accredited institution.
- 4- surveillance procedure
- Annual internal monitoring.
 - Evaluation after three years the commission.
 - Apply for renewal of accreditation after every three years.

GUIDELINES FOR APPLICATION OF ACCREDITATION

1. Compliancy with Government regulation- Institution must be registered with the commission (certificate of registration and documents showing legal status)
2. Credibility- must have been in existence for last one year (The institution must have been operational for at least one year)
3. Vision, mission and mandate and values-
4. Financial status- latest audited financial statement and sources of funding.
5. Organization profile and Human Resource- organogram and research programme, qualifications of staff (CVs)
6. Facilities-permanent offices, equipment and calibration log, IT equipment's, libraries
7. Validity of accreditation:
 - Accreditation granted shall be for three (3) years unless withdrawn by commission.
 - Institution shall be authorized to conduct within their mandate as specified in certificate of accreditation.

SEVENTH SCHEDULE [rr. 11, 12]

STANDARDS FOR ACCREDITED INSTITUTIONS

Compliance is required for each of the following standards and each standard should be interpreted and applied in the context of the institution's mission and purposes.

Standard 1: Mission, Goals and Objectives

1. The institution's mission must clearly define its purposes within the context of science, technology and innovation and explain whom the institution serves and what it intends to accomplish.
2. The institution's stated goals and objectives, consistent with the aspirations and expectations of research, science and technology must clearly specify how the institution will fulfill its mission.
3. The mission, goals and objectives have been developed and recognized by the institution with its members and its governing body and should be utilized to develop and shape the institution's programs and practices and to evaluate its effectiveness.

Standard 2: Planning, Resource Allocation and Institutional sustainability

4. The institution must be able to conduct ongoing planning and resources allocation based on its mission and should be able to use the results of its assessment activities for institutional sustainability.
5. The implementation and subsequent evaluation of the success of the strategic plan and resource allocation support the development and change necessary to improve and to maintain institutional quality.

Standard 3: Institutional Resources and sustainability

The institution should demonstrate its ability to mobilize human, financial, technical, physical facilities, and other resources necessary for the achievement of its mission, including environmental sustainability and institutional policy on Issues of physical challenged. Documentary evidence needed for human resources (sources of funding and sustainability.)

Standard 4: Leadership and Governance

The institution's system of governance should clearly define the role of institution constituencies in policy development and decision making. The governance structure should include active governing body with sufficient autonomy to assure institution integrity and ethical standard to fulfill its responsibilities.

Standard 5: Integrity

In the conduct of its programs and activities, the institution should demonstrate adherence to ethical standards.

Standard 6: Institutional Assessment

The institution should have an inbuilt mechanism for monitoring and evaluating effectiveness.

Standard 7: Institutional Database

The institution should maintain research database that can be accessed by the commission.