British Institute in Eastern Africa

RESEARCH POLICY

REVIEWED: December 2024
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1. Purpose and management of the Research Policy

The BIEA's Research Policy (RP) provides all protocols and documents required to ensure that research carried out either by, or in association with, the BIEA is conducted to the highest standards of scientific investigation and ethical management. It details the BIEA's research procedures, expectations, and requirements. It also outlines protocols the BIEA will follow if and when an allegation of scientific / ethical misconduct is received; and potential consequences if misconduct is proven.

This policy will be reviewed annually in February by the BIEA Vice-President, Director, Kenya Director, and Research officer to ensure that it is up-to-date and compliant, including with the PBO Board regulations in Kenya. Amendments will be reviewed and approved by the Research Committee. This will ensure that a fully compliant RP is available from the start of the new financial year. If amendments to the policy are made during this annual review, the updated version will be circulated to all BIEA / BIEA-associated researchers in early April.

Oversight and implementation of the policy is the responsibility of the Country Director and the Director. However, research-active BIEA staff and BIEA-associated researchers have a responsibility to abide by all BIEA policies and procedures, and so are expected to familiarise themselves with, and conform to, the protocols set out in this policy. The RP will be explained to new research-active staff members by the Country Director during the induction process and will be sent to other BIEA-associated researchers.

If you would like to discuss the RP, please contact the Director at biea.director@thebritishacademy.ac.uk and Country Director at director.kenya@biea.ac.uk

2. Research at the BIEA: an introduction.

The BIEA's goal is to promote research excellence and academic freedom, governed by the values of honesty, integrity, trust, inclusivity and accountability. As such, the BIEA initiates, leads, participates, and supports collaborative, interdisciplinary, world class research. We are committed to the advancement of high-quality research across the Arts, Humanities and Social Sciences in Eastern Africa and beyond.

The BIEA's research strategy is overseen by the Research Committee (RC), chaired by the BIEA's Vice President for Research. The RC, comprised of several of the BIEA's Trustees, members of the Kenya Board, academics from Africa and the UK, and several BIEA staff members, meets three times per year. The RC defines and revises the BIEA's research themes (https://biea.ac.uk/researchpartners/). A selection of RC members (at least three) review applications for competitive grants to researchers.

We support research in several ways including:

- Four annual competitive grant calls (https://biea.ac.uk/fundingopportunities/):
  - Thematic Grants based on our current research themes. These grants provide academics affiliated to a recognised Higher Education Institute or similar organisation with funds to support original research.
  - Dissemination Grants for academics who have recently completed PhDs to return to their area of research, communicate results to stakeholders, and discuss further research opportunities.
  - Writing Fellowships to provide academics who have recently completed PhDs, with a three-month stipend to support the production of an article based on the PhD thesis for submission to one of the BIEA's society journals.
  - Workshop grants to enable a meeting of academics in a workshop format, to discuss current and/or future research.

- An affiliation programme to facilitate researchers in obtaining NACOSTI (the National Commission for Science, Technology and Innovations, Kenya) permits to conduct research in Kenya.
- Processing of research passes for foreign researchers/ affiliates working in Kenya
- Logistical research support including equipment hire (GPS, Drone, field equipment) and the provision of technicians, and advice on vehicles and accommodation in Nairobi.
- Hosting and organising events in the Seminar Room seating up to 70 people; our Video Conference Room seating up to 15 people; and our large garden and marquee.
- Research facilities including a well-stocked library and research spaces.
- We also act as the in-country research hub and local academic collaborator for numerous small to large scale research projects.
- Our research active staff conduct their own world-class research projects and play a role in collaborative research.
- Via our society peer-reviewed, high-impact publications (*Azania: Archaeological Research in Africa* and *The Journal of Eastern African Studies)*, we actively contribute to the dissemination of some of the most significant research being conducted across Africa today.

Researcher freedoms

To carry out the BIEA's research mission effectively, researchers are guaranteed certain freedoms. Researchers have the right to academic freedom in the pursuit and support of research BIEA's mission statement mindful that, as a Charity in the UK and as an NGO in Kenya, the BIEA cannot engage in political activity.

Researchers have the right to disseminate the results and findings of their research without suppression or modification from external sponsors, beyond those provisions explicitly stated in relevant policies.

Intellectual Property rights lie with the researcher, unless otherwise contractually stipulated.

Along with these freedoms come corresponding responsibilities outlined below.

Research Partnerships

The BIEA can enter into research partnerships with researchers and their host institutions for the purpose of grant applications. In these cases, in addition to providing the usual support and services, the BIEA can play an academic partnership role, and the project can be developed and conducted collaboratively between a BIEA research staff member and a researcher from another institution.

Such projects are required to be developed with the BIEA to ensure appropriate costings. For further details please email biea.director@thebritishacademy.ac.uk.

The BIEA does not have Independent Research Organisation (IRO) status and so cannot be lead Host on UKRI and some other grant applications.

3. Research Categories

Any researcher associated with the BIEA will fall into one of the following categories (A-G). Various requirements and expectations associated with each category of researcher are outlined below.

	Type of Researcher	Home institution	BIEA role
A	BIEA research-active employees	BIEA	Employer, possible funder, host research institution
B	BIEA (Senior) Honorary Research Fellow	BIEA and / or university or other research institution	Host / co-host research institution
C	Project Researcher, BIEA contract	BIEA, with PI's institution providing major oversight	Employer providing academic, administrative, logistic support
D	BIEA Grant Holder	University or other research institution	Funder
E	BIEA GAS	BIEA	Funder and supervisor
F	BIEA Affiliated Researcher	University or other research institution	Affiliation body
G	Externally Funded Researcher	University or other research institution and / or BIEA	Administrative and logistic

In exceptional circumstances the BIEA will consider a research relationship with an individual who does not have a formal relationship with an alternative university or research institution. Entering such a partnership is decided on a case-by-case basis by the Director and Country Director.

4. Research Requirements and Expectations

Researchers in all categories above are expected to sign a BIEA Code of Conduct (RP Form 1)

All those conducting research for or associated with the BIEA must only conduct research with relevant permits in place and must ensure that they enter a country on the correct type of visa.
It is the responsibility of the researcher to ensure all necessary permits, clearance, and approvals are in place before research commences.

The BIEA expects all researchers to abide by their discipline's professional codes of conduct and the relevant national legislation, and policies governing research in the country / countries in which they undertake their research, and to always operate to the highest standards of academic and ethical integrity. The BIEA is committed to ensuring that all research undertaken by our employees or any individual or institution associated with the BIEA does no harm, that it maintains the dignity, rights, and privacy of the participants, and ensures the health and safety of all those involved.

*General Requirements and Expectations for **all BIEA / BIEA-associated researchers***

- Valid membership of the BIEA for, at minimum, the lifetime of the research project.
- Before field-based research commences, provision to the BIEA of the following documents:
  - Copy of the written approval / research permit from the relevant research body of the country within which the research will be conducted.
  - Copies of approved ethics, risk assessment, and data protection forms. When a researcher is not employed by the BIEA and no other host institution is available, they must supply ethics approval from an independent IRB board in Kenya, and use the BIEA's Risk Assessment (RP Form 2) and Data Management Plan (RP Form 3). Researchers in Category C must supply copies of these documents from

the PI's host institution, ensure ethics approval is obtained from an independent IRB board in Kenya, and use the BIEA's Risk Assessment (RP Form 2) and Data Management Plan (RP Form 3).
- Researchers in Categories D, F and G must supply ethics, risk, and data approved documentation from their own universities / organisations.

- All researchers must ensure their research is covered by their own institutional insurance and must ensure full travel and health insurance is in place for all team members. Researchers in categories A, C, and E are covered by the BIEA's own institutional insurance.
- As often as possible, each researcher should review the intellectual and tangible property rights and responsibilities (for management of data in all media, for proper authorship attribution, etc.), with all members of a group under his or her direction, including staff, students, postdocs etc. Each member has the right to know who is sponsoring the research and supporting his or her salary or stipend.
- Each researcher is also responsible for training members of his or her team in appropriate health and safety procedures for that research area and for ensuring all team members have read and understood the ethical requirements, data plan, and risk assessment. They are also responsible for the management of those procedures in their workspaces.
- BIEA support must be acknowledged in resulting output. We encourage BIEA-associated researchers to consider our society journals for publication output (https://www.tandfonline.com/journals/raza20; https://www.tandfonline.com/journals/rjea20). Soft copies / links of output should be provided to the BIEA. The BIEA logo can be obtained from the media officer (media@biea.ac.uk).
- Within 6 weeks of the completion of research funded by the BIEA, an academic report including high resolution images and timetable for outputs must be sent to director.kenya@biea.ac.uk for inclusion in BIEA reporting.
- Within 6 weeks of the completion of research funded by the BIEA, complete financial accounts (including scanned copies of all numbered receipts), must be submitted to finance@biea.ac.uk. Research Policy Form 4 should be used.
- At least one research post for upload to our website blog page, newsletter and social media platforms should be supplied by researchers funded by the BIEA. BIEA researchers not directly funded by the BIEA but associated in some other way, are also encouraged to supply such posts. The logos of the host university / institution should be provided so that these can be included. All posts should be sent to media@biea.ac.uk who will work on the review with the Country Director before posting. Guidelines for blog posts can be found in Appendix 1. Guidelines for social media posts can be found in Appendix 2.
- Unless contractually stated, the BIEA are not liable for submitting reports or financial accounts for any project.
- All requests to hire equipment, staff time, and events space must be made using the guidelines and following the policies outlined in Appendix 3.

A. BIEA research-active employees

Please refer to the BIEA's HR Manual for further details regarding requirements and expectations.

Research-active employees are required to get **ethics approval** for all relevant research from an accredited IRB in Kenya before the research takes place. The BIEA does not automatically cover this cost unless agreed with the Country Director as part of any research funding provided to the researcher.

Research-active employees are required to complete a **risk assessment** before embarking on any activity which takes them away from the usual working environment (e.g., for conference attendance, fieldwork, etc.).

Activities taking place in Kenya or elsewhere in low-risk environments (green zones according to the FCDO), and involving low-risk activity, will be assessed by the Country Director, Senior Research Fellow, and one other BIEA

researcher. The Country Director will decide whether an activity represents low risk or not. Where there is any doubt, or where activity and / or location are medium -high risk, the Director will join the assessment panel and can be joined by the Vice President for Research if necessary.

Research-active employees are required to complete a **Data Management** form (RP Form 3), before collecting any data.

B. Honorary Research Fellow / Honorary Senior Research Fellow

An Honorary Research Fellow is expected to abide by all BIEA policies and procedures. In addition to the privileges enjoyed by all BIEA members, the honorary research fellow may apply for research funding using BIEA as the named host institution with written permission from the Director.

Honorary Research Fellows must follow the same instructions as BIEA research active employees in relation to ethics, risk, and data as outlined above, before conducting any research.

C. Project Researcher

The BIEA can enter collaboration agreements with external organisations following the project approval processes outlined in the BIEA Finance Policy. The BIEA may employ staff members to work on such projects (Project Researchers). Project Researchers are employed on BIEA staff contracts and as such, receive all standard BIEA benefits (unless contractually stated), abide by all BIEA policies, and are directly supervised by a BIEA employee.

In addition to following any protocols laid out by the project host institution and working under academic leadership provided by the project PI, the BIEA Project researcher must follow the same instructions as BIEA research-active employees in relation to ethics, risk, and data as outlined above, before conducting any research.

D. Grant Holder

Successful applicants to our competitive grant schemes are required to follow the terms and conditions laid out in their grant award letters. For grant applications involving research, awardees must supply copies of their approved ethics application, risk assessment, and a data management plan from their host institution, before BIEA releases the awarded funds.

E. BIEA Graduate Attaché Researchers

BIEA Graduate Attachés (GAS) may only conduct desk-based research of their own during their time at the BIEA. If this desk-based research requires the use of facilities outside the BIEA, they must submit a risk assessment to the Country Director for consideration before conducting such research. The GAS must seek advice on whether such research requires a research permit and ensure any necessary permits are in place before the activity takes place.

As part of their time with the BIEA, GAS may participate in the research and activities of other researchers. This will have already undergone ethics, risk, and data management assessment.

F. Affiliated researcher

Affiliation to a registered research institution is a mandatory requirement to apply for a research permit with the National Commission for Science, Technology and innovation (NACOSTI) or the relevant permit-issuing body of the country within which the research is taking place. It is mandatory requirement that BIEA associated researchers must ensure necessary permits are in place before undertaking research in any country.

Researchers requiring affiliation with the BIEA are required to submit

- Letter of Introduction from academic department/ university
- Letter of Ethical Clearance
- Research Proposal
- An approved fieldwork Risk Assessment form filled by the researcher/ letter from home University
- An approved Data Protection form filled by the researcher/ letter from home University

Charges for affiliation are as follows:

- Student researchers: KES 15,000
- Postdoctoral researchers (based in Africa): KES 25,000
- Postdoctoral researchers (based outside of Africa without research funding): KES 25,000
- Postdoctoral researchers (based outside of Africa with research funding): KES 40,000

Those applying for affiliation in advance of NACOSTI application are advised that these processes can take several months and so applications should begin as early as possible to prevent delays, for which the BIEA cannot be held accountable.

Research passes

The government of Kenya expects that researchers conducting research in Kenya should have a research pass alongside a research permit. The BIEA can assist researchers to apply for the research pass at a fee.

Charges for processing research passes are as follows:

-Student researchers: KES 15,000
-Postdoctoral researchers (based in Africa): KES 25,000
-Postdoctoral researchers (based outside of Africa without research funding): KES 25,000
-Postdoctoral researchers (based outside of Africa with research funding): KES 40,000

Those applying for the research passes are advised that this process can take several months and so the applications should start as early as possible to prevent delays, for which the BIEA cannot be held liable.

G. Externally funded researcher

A researcher may approach the BIEA to provide administrative and or logistical support for an active research project or to provide costings for such services at the point of grant writing. The BIEA is well equipped to provide such support, which may include hiring staff, organising local events, providing equipment and office space, GIS technical services, and administering funds in-country.

Costings for such services and associated staff time can be supplied relatively quickly. Researchers should contact the Director at biea.director@thebritishacademy.ac.uk in the first instance. This relationship will require a contract between the BIEA and the host institution or university detailing the roles and responsibility of each organisation, as

well as a timetable and schedule of payments. The BIEA follows a strict Project Approval process which can take some time to enable the BIEA to conduct all due diligence.

General principles, all researchers

The BIEA maintains records of all research documentation for every researcher and project. Soft copies of all documentation are kept for the lifetime of the research from which 2 years after this they are destroyed, and soft copies 7 years before being deleted. All information is stored securely at the BIEA premises or within our cloud-based storage with access limited to pre-authorised staff members.

5. Honorary (Senior) Research Fellows

The BIEA will accept applications from researchers with or without a current host institution or university on an *ad hoc* basis for individuals to be appointed to the position of Honorary Research Fellow or where appropriate, Honorary Senior Research Fellow. Applications must be submitted using RP Form 5 and associated guidelines. All applicants must be members of the BIEA and must have a research-based reason for their application that will contribute to the research agenda of the BIEA. Applications are considered by the RC, and if approved, will be forwarded to Council for appointment. Such appointments are usually made for a period of 1-2 years and are non-salaried.

6. Ethical approval to conduct research: BIEA protocols.

The BIEA is not accredited by NACOSTI to issue ethics approval. Therefore, any researcher pursuing research that require ethics clearance, such as (but not limited to) research involving living human participants (mindful that research involving children and / vulnerable adults will require additional security clearance), must be able to supply evidence of all necessary approvals from an accredited body before beginning any field research. It is highly recommended that in addition to any home institutional approvals, a local accredited board is also used to provide local ethical clearance. The BIEA's Country Director can advise on local accredited research institutions which may be able to offer this.

The BIEA operates under the strictest ethical principles. Research conducted ethically minimises the risk of harm to participants, researchers, environment and third parties.

NB: the BIEA is a research institution supporting research across the Arts, Humanities and Social Sciences. We do not support medical or biological research, including any research on living animals.

7. Risk Assessment (RA)

All research (or any activity which takes those in categories A, B, C and E outside their usual working environment), must be risk assessed by the host university / research institution. Only in certain cases (i.e. for staff, GAS, and exceptionally in other circumstances) can the BIEA approve RA. In these cases, RP Form 2 must be completed and submitted to the Country Director for review.

RA ensure that the health and safety of all researchers, participants, and members of the public is protected. This is done through a careful consideration of all possible risks and the implementation of sensible strategies to mitigate

and minimise these risks. The RA also provides the definition of reasonable processes which must be followed in the event of an incident.

The RA requires the identification of hazards that could cause risks, their detailed evaluation and imminent precautions.

All researchers must provide evidence of their risk assessment approval along with the other documentation outlined in section 3 above, before commencing with their research or other activity requiring an approved RA.

8. Data Management (DM)

All research conducted in association with the BIEA must conform to the General Data Protection Regulations (GDPR: https://www.gov.uk/government/collections/data-protection-act-2018), and to the data regulations of the countries in which they are working (e.g. Kenya Data Protection Act 2019). The GDPR exist to protect the data and privacy of individuals.

The GDPR requires that personal data is:

"a) Processed lawfully, fairly and in a transparent manner in relation to individuals.

b) Collected for specified, explicit and legitimate purposes and not further processed in a manner that is incompatible with those purposes; further processing for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes shall not be considered to be incompatible with the initial purposes;

c) Adequate, relevant and limited to what is necessary in relation to the purposes for which they are processed.

d) Accurate and, where necessary, kept up to date; every reasonable step must be taken to ensure that personal data that are inaccurate, having regard to the purposes for which they are processed, are erased or rectified without delay;

e) Kept in a form which permits identification of data subjects for no longer than is necessary for the purposes for which the personal data are processed; personal data may be stored for longer periods insofar as the personal data will be processed solely for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes subject to implementation of the appropriate technical and organisational measures required by the GDPR in order to safeguard the rights and freedoms of individuals; and

f) Processed in a manner that ensures appropriate security of the personal data, including protection against unauthorised or unlawful processing and against accidental loss, destruction or damage, using appropriate technical or organisational measures."

GDPR also relates to personal depictions (images) of individuals, for which informed consent must be obtained before such images are used in any form of research or popular output.

Additional GDPR relate to research involving children and / or vulnerable adults.

The BIEA requires that any researcher collecting personal details submit an approved Data Management Plan from their university or research institution. BIEA researchers (categories A, B and C) must complete an internal Data Management Plan (RP Form 3) in advance of collecting any data and submit this to the Compliance and Contract Manager for approval (compliance@biea.ac.uk). Researchers must also consult and adhere to the BIEA's Data Management Policy.

9. Financial accounting for fieldwork

The BIEA expect researchers who are being funded (in full or part) by the BIEA, for example staff and those in receipt of a BIEA grant, to complete their financial accounts as outlined in RP Form 4. Please note, all spending must be evidenced with receipts that should be numbered in relation to the spreadsheet, scanned, and submitted as soft copy with RP Form 4. The project lead is responsible for all the project spending and accounting. At the end of the project, a full financial account must be submitted to the BIEA within 6 weeks. Certain items cannot be bought with BIEA funds:

- Alcohol
- Hotel rooms above a 3* rating (unless agreed by the Country Director)
- Travel other than economy class

10. Safeguarding and appropriate behaviour

The BIEA upholds the strictest policies on all aspects of safeguarding to provide all BIEA members, staff, visitors, researchers, participants, and the public with a safe environment free from harassment, sexual misconduct or any form of abuse. Abuse is a violation of an individual's human and civil rights by another person or persons.

We are committed to ensuring our staff and anyone officially associated with the BIEA operates in an appropriate and ethical manner and takes responsibility for the safeguarding of all those related to the work of the BIEA, or associated with the BIEA.

The BIEA's comprehensive policies on the following matters can be found on our website:

All policies must be adhered to at all times.

- Smoking, drugs and alcohol

- Email, internet and phone

- Safeguarding

- Sexual harassment

- Bullying and harassment

- Modern slavery and trafficking

Concerns may be reported to the Director (biea.director@thebritishacademy.ac.uk). Concerns may also be reported to the President (president@biea.ac.uk).

11. Whistleblowing

The BIEA is committed to the highest possible standards of correctness, transparency, and accountability. Anyone with serious concerns about any aspect of the BIEA's work is encouraged to voice such concerns rather than overlook a problem or blow the whistle outside the organisation.

It is recognised that certain cases will have to proceed on a confidential basis. Whistle-blowers can voice their concerns without fear of reprisals or victimisation resulting from them reporting a criminal offence, failure to comply with a legal obligation, miscarriage of justice, breach of health and safety rules, sexual harassment, damage to the environment, ethically dubious actions, or the deliberate act of concealing any of the above.

Concerns may be reported to the Director (biea.director@thebritishacademy.ac.uk). Concerns may also be reported to the President (president@biea.ac.uk).

Independent of the organisation, free confidential advice can be obtained from Public Concern at Work, an independent UK whistle blowing charity. Public Concern at Work can be contacted either by telephone on 0044 20 3117 2520, website www.pcaw.co.uk, or e-mail helpline@pcaw.co.uk.

12. Allegations of scientific / ethical / safeguarding misconduct.

Any concerns in relation to individuals or projects following the BIEA's safeguarding policies, acting unethically, or failing to uphold the highest standards of academic scientific integrity and methodologies, should be reported to the Director in the first instance (biea.director@thebritishacademy.ac.uk) or to the President (president@biea.ac.uk). The identity of those raising such concerns will be protected.

The Director will convene a panel which may include the Country Director, members of BIEA's Council of Trustees, and Board members. The Director or President will lead an investigation into the allegations.

If the panel finds that misconduct has occurred, a course of action will be agreed by the panel which may include reporting the researcher to relevant bodies and institutions, and banning the individual from membership of the BIEA.

RP Form 1 **BIEA Code of conduct***

The BIEA Code of Conduct should be signed by all BIEA researchers, associated researchers, and grant awardees before any research is conducted.

By signing this Code of Conduct I confirm that I will:

- Abide by the terms of the BIEA's Research Policy, and hereby other related BIEA policies.
- Comply with the law of the country within which the research is taking place, including entering the country on the correct visa and ensuring necessary permits are in place before I conduct any research.
- Protect the BIEA's compliance with the law, including exercising compliance with environmental, safety, and research.
- Always act ethically and responsibly including when dealing with the BIEA's finances, products, partnerships, communication and publicity.
- Shun discrimination, harassment, bullying, or/and victimisation, and always respect my colleagues.
- Protect BIEA property and facilities.
- Always demonstrate professionalism including in my appearance, promptness, and dealings with my colleagues and members of the public, and when representing the BIEA.
- Show integrity by not accepting gifts or bribes and avoiding any personal, financial or other interests that might impact my performance or the performance of others.
- Ensure that standards of good behaviour extend to the online world, for example by not using social media in a way that breaches the Code of Conduct.
- Fulfil my work promptly and to the best of my abilities, in a transparent and collegiate manner.

I confirm I have read and understood the information in the BIEA's Research Policy, and any other information given to me by the BIEA. I have sought clarification on any points I was unclear about.

Should a problem arise, I will immediately seek guidance and work to resolve this with the BIEA.

I understand I am required to preserve the confidentiality of the affairs of the BIEA.

I have where necessary provided the BIEA with the following documentation:

Item	Provided? (Y / N)	Reason for not providing
Research grant application		
Research grant award letter		
Ethical clearance		
Approved Risk Assessment		
Approved Data Protection form		

Name:

Signature:

Date:

*By completing and submitting this form, and entering into this correspondence, you give consent for BIEA to hold and process your personal data in line with the BIEA Data Policy. See www.biea.ac.uk/forms & policies for more details.

RP Form 2 **BIEA RISK ASSESSMENT FORM**

This form must be completed and submitted to the Research Office for review.

The Risk Assessment (RA) should ensure that the health and safety of all researchers, participants and members of the public is protected by enabling a careful consideration of all possible risks and the implementation of sensible strategies to mitigate and so minimise these risks. It also provides for the definition of reasonable processes which must be followed in the event of an incident.

This form requires the identification of hazards including who may be harmed and how, an evaluation of the risks, and decisions on precautions.

RAs submitted to the BIEA will be considered by the RA team which includes a selection of Research Committee members and the Kenya Country Director who's in-country experience will guide the process.

Section 1: Assessment Overview

Name of Researcher				
Location(s) to be visited				
Duration of research	**Date from**		**Date to**	
Description of activities/task to be assessed				

Section 2: Persons Affected

Who might be affected by this work? *[Please provide list]*	Employees	**Are any vulnerable groups affected?** *[delete as applicable]*	Yes/No	**How many people are affected?**	

Section 3: Project Documentation

Type of document, e.g., research permit	Date of document review at BIEA	Reviewed by	Signature

Research Permit (NACOSTI)			
Ethical Review Committee			

Section 4: Risk Assessment

Type of Research (anthropological, archival, archaeological etc.)	
Aims and objectives of research	
Methodology	
Travel Advise	
Summarize the current Travel advise for areas to be visited as applicable: There is no travel advisory for the research area *FCO Travel advice:* Foreign travel advice - GOV.UK (www.gov.uk)	
Is there an FCO 'advise against all but essential travel' advisory in place for your destination or transit areas?	
Travel Health	
Where relevant, have all travellers been advised to consult with a travel health clinic to verify that they are up to date with required vaccinations required by the required by the destination and have access to any required prophylaxis, for instance, antimalarial etc.	
Are any travellers travelling against medical advice?	
Insurance	
Will you obtain suitable and comprehensive insurance for your trip?	
Drivers	
Have all drivers been approved and vetted?	
Please provide the full names of drivers as listed on their driving licence	

Section 5: Risk Matrix

Based on the information presented in the preceding pages, please use the matrix to assess the risk your research presents to you as a researcher, to members of your research team (if relevant), and research participants. Ensure you include as much detail about the control measures you are putting in place to mitigate each risk.

Hazard Severity Score		Likelihood		Severity / Probability	1	2	3
Negligible Injury or Damage	1	Unlikely	1	1	Low	Medium	Medium
Minor Injury or Damage	2	May Happen	2	2	Medium	Medium	High
Major Injury or Damage	3	Almost Certain	3	3	Medium	High	High

No.	Description of Hazard	Hazard Score	Initial Likelihood Score	Initial Risk	Controls	Residual Likelihood Score	Residual Risk
Environmental Considerations							
1.	Weather & Climate						
2.	Animals						
3.	Terrain (farmland)						
4.	Terrain challenging (hilly, rocky, sandy)						
5.	Water availability						
6.	Darkness, limited visibility during the night						
7.	Other						
Social Considerations							
1.	Terrorism						

2.	Kidnapping						
3.	War/Military Action						
4.	Localized social unrest						
5.	Petty crime including theft of passports, credit cards, valuable etc.						
6.	Serious crime including carjacking, armed, robbery, fraud, corruption etc.						
7.	Imprisonment/detention or physical harm due to cultural misunderstanding/offence						
8.	Other						
Traffic & Travel Considerations							
1.	Traffic						
2.	Travel						
Health & Safety							
1.	Death or Injury resulting from road traffic accident						
2.	Illness e.g. contracting of COVID-19, malaria, typhoid, yellow fever etc.						
3.	Pre-existing conditions						
4.	Scrapes, lacerations, minor injuries from fieldwork						
5.	Dental problems						

6.	Exhaustion						
7.	Allergic reactions						
8.	Anaphylactic shock						
9.	Lone working						
10.	Equipment Failure						
11.	Lack of training						
12.	Working on/near water						
13.	Working close to a road						
14.	Slips, trips, falls at the same level/unlevel ground						
	Other						

Based on the information presented in the preceding pages, please use the matrix to rate the risk your research presents to your researchers by providing details about the following procedures.

Personal Protective Equivalent provided	
Training provided for team members	
Equipment safety checks	
First Aid Provisions	
Hospitals and Clinics	
Communication methods between team members and in the event of an emergency	

Please note that as a researcher/lead researcher, it is your responsibility to ensure that you have considered, identified and mitigated risks to protect yourself, your researcher and your participants as well as members of the public.

It is your responsibility to update your risk assessment and send it to BIEA should any circumstances change.

It is your responsibility to ensure that your team members are familiar with the risk assessment, what to do if they believe risks have increased and they are aware of emergency procedures.

BIEA does not take responsibility for injury, illness or death, or loss or damage to equipment.

BIEA recommends that if you have a team of researchers working for you, you ask all members to provide you with copies of insurance details and details of their designated emergency contacts.

BIEA will communicate the assessment of your risk assessment within two weeks of submission.

Please send completed forms to the Director: biea.director@thebritishacademy.ac.uk

Section 6: Assessment Sign-Off

Assessor's Signature		Position	
Assessor's Name		Date	
Additional Comments			

RP Form 3 **Data Management**

Please note that data must only be collected following the presentation and discussion of a clear information sheet and the signing of an informed consent form, and only where an ethics approval and risk assessment have been passed.

Name of Applicant	
Date of application	
Title of Project	
Highest degree of applicant	
Other university / research institution association and details	
Location of research	
Duration of research	
Type of research (anthropological, archival, archaeological etc.)	
Team members and highest qualification (please list)	
Aims and objectives of research (250 words)	
Methodology (250 word)	

DATA COLLECTORS	
Name	
Position	
University	
Email	
Name	
Position	
University	
Email	
Name	
Position	
University	
Email	

Please provide information below regarding the nature of the personal details being collected (including images). You must attach your Participant Information sheet and Informed Consent form in English and translated into any other required language.

RP Form 4 **Financial Accounting**

Name of Budget Holder	
Title of Project	
Budget submission type (e.g., complete accounts / half-way point, etc.)	
Date of accounts submission	
Total funding awarded by BIEA including currency	
Total money accounted for including currency	

Financial breakdown
(Note only scans of receipts are required; each receipt scan should be numbered in relation to the list provided below. Any unclear submissions will be returned).

Receipt no.	Date of spend	Description of spend	Total

Please continue in the same format in a new document if there is insufficient space above. All expenses incurred require a full receipt as proof of purchase. The following template can be printed and used where BIEA funds, or funds provided via the BIEA, are being expended:

Authorised Receipt **Receipt number:** _____

Name of Budget Holder: _____

Date of spend: _____

Item: _____

_____

_____

Total cost (inc. currency): _____

SIGNATURES

Purchaser: Seller: Witness:

BIEA INNOVATIVE RESEARCH IN AFRICA

Authorised Receipt **Receipt number:** _____

Name of Budget Holder: _____

Date of spend: _____

Item: _____

_____

_____

Total cost (inc. currency): _____

SIGNATURES

Purchaser: Seller: Witness:

Completed Financial Accounts should be submitted within 3 weeks of the completion of fieldwork to financeassist.kenya@biea.ac.uk

RP Form 5 Honorary (Senior) Research Fellow Application

Eligibility

Applicants must have completed a PhD and be members of the BIEA for the duration of their position.

Applicants must demonstrate a research-based reason for their application that will contribute to the research agenda of the BIEA. They must either be in possession of a research grant or in the process of applying for a research grant at the time of their application.

Applicants should be affiliated with another university or research institution but will be considered for an Honorary Research position at the BIEA in certain circumstances.

Applicants cannot be on BIEA payroll.

Terms & Conditions

Honorary status will be granted for the duration of a funded research project. The exact duration will be specified in the appointment contract. Extensions will require approval by Research Committee.

Those appointed are expected to abide by all BIEA procedures and policies.

Those appointed are expected to acknowledge the BIEA in all output and use the appropriate BIEA logo and templates in all communications.

No renumeration is provided by the BIEA.

Honorary Research Fellows will receive a BIEA email address for the duration of their appointment and are expected to provide a photo and short bio for the website.

No additional services are provided by the BIEA and standard charges apply for hire of space, equipment, accommodation etc.

Successful applicants may apply for external research funding using the BIEA as the named host institution with advanced written permission from the Director.

Process

Applications are accepted at any time and should be sent to the Director at: biea.director@thebritishacademy.ac.uk

Complete applications will be considered by the Research Committee at their next meeting.

Applications approved by the Research Committee are forwarded to Council for appointment.

A contract outlining the nature of the appointment must be signed by both parties.

Please complete the details below and forward this form, in addition to a detailed CV, research proposal, and two letters of recommendation to the Director.

Name:

Title:

Institutional affiliation (where available):

Requested Honorary Title (Honorary Research Fellow / Honorary Senior Research Fellow):

Period of Honorary status requested (from, to):

Research title:

Funding in place (please provide details):

Supporting case including any grant application plans:

For office use:

Research Committee assessment:

Council assessment:

Appendix 1 **Blog guidelines**

Our aim for the blog:
The overall aim for the BIEA blog is to provide a forum to showcase the activity of the institute, its members, and associated researchers. Through this medium, we aim to interact with a wider audience within both the academic and non-academic communities. This also provides the opportunities for our community to promote their own projects and foster engagement and interaction with their work.

Submission
Please send your submission to media@britac.ac.uk

- Submit your blog as an attached **Word Document**.
- **Length: 500-1000 words**
- **Title** – short and catchy!
- Please include an **author's bio** (max 70 words) and a **colour photo headshot**
    - may include author's social media links if desired
- **Referencing**
    - The blog should be a **standalone** piece, reflecting your '**on the ground experience.**' If references are required, please use hyperlinks to online sources whenever possible or in-text citation if source is not available online.

By sending your post to us, we understand that you give us permission to post it after editorial assessment. This will include such forums as our website, social media, and newsletters.

Format and Text
With the blogs, we are looking to attract readers from a wide audience, both academic and non-academic. The style should be **direct and informal with shorter sentences/paragraphs and concise language.** Do not assume your audience is from your field of research. Explain any jargon/terms/acronyms/etc.

- Try to use 1st person whenever possible
- **Lead with the best**
    - When writing, imagine an inverted pyramid. Start with the conclusion and work backwords.
- Each **paragraph should contain only one main poin**t and be a maximum of 4-5 sentences.

Below are suggestions for formatting, but please get creative!

- Introduce your research with the intent of hooking in your audience. Share something unique or provide an anecdote. Even pose a question that you will later answer. Explain what makes your research/project/publication unique.
    - Include/introduce the articles keywords.
- Explain the main points of your research/project/publication. Include any interesting/surprising information discovered along the way. This can be related to the actual work or something that happened during the process.
- Describe your methodology (if relevant). Be informative without becoming too technical or wordy.
- State how BIEA is involved (grant, publication, affiliation, partner, etc.)
- Close with a call to the future. Where can it go next? What did this open for you? Did the project help you in applying for something else? Did you find that a field needs more developing? Leave your reader thinking forward.

Illustrations
Images are key in grabbing the reader's attention and for guiding them through the blog. Generally, they are the first thing the reader registers, so descriptive and eye-catching images/illustrations are best.

- **At least one image is required**, additional images/illustrations are strongly encouraged.
- Images should be submitted as **separate .jpeg files** and not embedded into your document.
- Include **caption** and annotate its **placement** within your post

- If not your own image, please label with image credit

Editing process

Blog posts will be reviewed by our editorial team, who may edit the piece to enhance readability to the blog's wider audience. These edits will include:

- Shortening of text if the post is above our stated 1,000-word limit
- Removal of specialist jargon or overly academic language that might confuse the lay reader
- The addition of a narrative-style to sum up the post's main findings
- The addition of short introductory paragraph outlining the post's author, their main arguments and findings, and any relevant background information for readers.
- Re-ordering of content
- Re-titling of your post

Any edits will be passed by the author prior to publication.

If a blog is deemed not to meet the editorial requirements, we will discuss with authors on how best to rewrite or edit posts so that we are able to publish them.

Please note -

Our editorial team reserves the right to take all regular editorial decisions: acceptance / rejection of posts and photos, publication timing, and editing, as well as to remove posts. We do always undertake to keep you informed and are happy to discuss and receive constructive criticism but, ultimately, our decisions are final.

The author has the right to ask for content to be removed, which we will endeavour to do within 7 days of receipt of the request. We will ask you why.

Appendix 2: Hire (Staff, events spaces, logistical support and equipment)

Staff

Several BIEA staff with specific technical skills can be hired by BIEA members to become part of a team of researchers for a specific period. These include John Kanyingi our Survey and GIS Technician, our trained BIEA drivers, and other technically specialised staff.

The minimum cost per day of a staff member is 12,000 KeS per day in the field. For desk-based research this cost is 7,000 KeS per day. The team is expected to provide accommodation, food, and drinks, and ensure that the BIEA staff member is not required to work over the usual BIEA working hours. Should this be necessary an additional overtime charge will be invoiced to the project leader.

NB certain staff member daily hire costs will be higher depending on seniority and experience.

Staff time bookings must be coordinated with the Research Project Manager at research@biea.ac.uk who will coordinate with relevant staff at the BIEA. Requests must be submitted well in advance and the BIEA cannot guarantee staff availability.

Events spaces and logistical support

The BIEA has several events spaces that can be hired by BIEA members to hold events relevant to the BIEA's research agenda. These include:

Space	**Rates (valid April 2024 – March 2025) Incl. 16% VAT**
Conference Rooms	
Seminar Room, seating 50-70 people	
Full day hire (9am – 5pm)	Ksh. 37,360.93
Half-day hire (9am – 1pm or 1pm – 5pm)	Ksh. 18,680.47
Video Conferencing room seating 10-15 people	
Full day hire	Ksh. 22,422.16
Half-day hire	Ksh. 11,211.69
Grounds/Marquee	
Full day hire @ flat rate	Ksh. 29,892.16
Full day hire with evening event	Ksh. 38,319.25
Evening event (5.30pm – 10pm)	Ksh. 21,212.44

Included in this price are tables and chairs set up as requested, and the use of the BIEA's audio-visual technician and equipment where required, and the pack-up following the event.

The BIEA's Research Officer must be contacted on research@biea.ac.uk to organise space bookings.
Bookings are operated on a first come – first served basis and the BIEA cannot guarantee availability.
The BIEA can organise catering for an event.

Events terms & conditions (a copy to be kept by the BIEA and the individual hiring the space):

1. If an event requires an additional security presence this will be organised by the BIEA and invoiced to the individual hiring the space. The BIEA will inform the individual hiring the space in advance.

2. An event of a politically sensitive nature or involving particularly large numbers of people (60 and above), requires police approval in advance. A template letter can be provided by the BIEA, who must be copied to all correspondence. It is the responsibility of the individual hiring the space to ensure that approval is obtained in advance.

3. Parking spaces are limited at the BIEA and cars must not be parked on the road outside the BIEA. Once the BIEA carpark is full cars will have to be parked at the Kasuku centre, Laikipia Cottages or other alternative parking space. We recommend people share cars or attend in a taxi.

4. Alcohol must not be served on BIEA premises beyond 10pm. All event attendees must have left the property by 11pm.

5. BIEA equipment may only be used and operated by a BIEA member of staff.

6. An attendance list for invited or registered guests should be printed out and given to the security guard ahead of the event to ease the registration process and ensure security during public events.

7. Should an event go beyond the normal working hours (9:00 am-5:00 pm) Overtime will be billed to the event owner if at all this was not costed in the initial budget.

Event contract

Name:

Date(s) of event:

Spaces hired:

Space	Check as appropriate	Number of Days	Daily rate incl.16% VAT	Total cost (KES)
Seminar room full day	☐		Ksh. 37,360.93	
Seminar room half day	☐		Ksh. 18,680.47	
Video conference room full day	☐		Ksh. 22,422.16	
Video conference room half day	☐		Ksh. 11,211.69	
Grounds / marquee full day	☐		Ksh. 29,892.16	
Grounds / marquee full day plus evening	☐		Ksh. 38,319.25	
Grounds / marquee evening	☐		Ksh. 21,212.44	

By signing this agreement, I accept all terms & conditions set out in Appendix 3 of the BIEA's events policy, 'Events at the BIEA'.

As the individual hiring the events space, I understand my roles and responsibilities and agree to confirm to all conditions.

Name:

Signed:

Equipment

All equipment-related matters are handled by our GIS Technician John Kanyingi at john.kanyingi@biea.ac.uk.

BIEA has a variety of field equipment that can be hired by any category of BIEA associated researchers as outlined below. To hire this equipment researchers must complete the request column of the form and send this to the BIEA with at least 3 weeks' notice. BIEA cannot guarantee the equipment requested will be available. Any damage to equipment will be charged to the hirer with a 10% administration charge.

Half of the total cost of hire must be paid before the hire period commences and the remaining half will be charged on return of the items.

Equipment hire form

Name:

Date equipment requested:

Date equipment was hired:

Date equipment is due to be returned:

I confirm I have checked the hired equipment with _____ (for the BIEA) and am satisfied with the condition and working order of all items.

I confirm that the equipment is my responsibility during the period of hire and any loss or breakage (beyond reasonable wear and tear) will be charged, with a 10% administration fee to replace losses.

Signed:

Signed (for the BIEA):

Camping	Cost per item per day (KeS)	Quantity requested	Quantity hired	Cost charged	Quantity returned	Cost incurred during hire
1 & 2 person tent	150					
3 – 6 person tent	200					
Canvas Tsavo tents (3-4 persons)	250					
Canvas mess tent, seats up to 10 people	350					
Tarpaulin	50					
Safari bed	100					
Sleeping matt	50					
Mattress	100					
Sleeping bag	150					
Blankets	100					
Mosquito Net	50					
Jerrycan shower	100					
Small folding table	50					
Medium folding table	100					
Large folding table	150					
Metal stool	50					
Wooden stool	50					
Metal folding chair	100					
Wooden folding chair	100					
Metal trunk	50					
Plastic jerrycan	50					
Metal jerrycan	150					
plastic basin	50					
metal bucket	100					
plastic bucket	50					
Hurricane lamp	100					
Solar panel & accessories	200					
Solar batteries	200					
Generator	2000					
Camping gas cylinder	50					
Total gas cylinder	300					
Camping gas double burner	100					
Total gas burner	300					
gas lamp fixture	100					
Paraffin funnel	50					
Total KeS						

Kitchen	Cost per item per day (KeS)	Quantity requested	Quantity hired	Cost charged	Quantity returned	Cost incurred during hire
Cool box	100					
Plastic water jug	20					
Dishwashing plastic basin	50					
Metal plate	10					
Plastic plate	5					
Metal bowl	10					
Plastic bowl	5					
Metal mug	10					
Plastic mug	5					
Sharp knife	50					
Table knife	10					
Bread knife	50					
Fork	10					
Tablespoon	10					
Teaspoon	10					
Metal serving spoon	30					
Wooden serving spoon	30					
Metal cooking spoon	30					
Wooden cooking spoon	30					
Metal serving dish	50					
Plastic serving dish	50					
Tin opener	50					
Bottle opener	50					
Peeler	50					
Sieve	100					
Tea strainer	30					
Grater	100					
chopping board	50					
Frying pan	100					
Sufuria (saucepan)	100					
Sufuria lid	20					
Plastic storage can (sugar/salt etc.)	30					
Dish rack	30					
Kettle	100					
Chapatti roller	20					

Kitchen (continued)	Cost per item per day (KeS)	Quantity requested	Quantity hired	Cost charged	Quantity returned	Cost incurred during hire
Chapatti board	20					
Saltshaker	20					
Meat roasting grill	30					
Thermos flask	30					
Beer crate	50					
Soda crate	50					
Total KeS						

Excavation	Cost per item per day (KeS)	Quantity requested	Quantity hired	Cost charged	Quantity returned	Cost incurred during hire
Munsell chart	150					
50m tape	20					
30m tape	10					
20m tape	10					
10m tape	10					
7.5m hand tape	10					
5m hand tape	10					
3m hand tape	10					
Line level	30					
Plumb bob	30					
Archaeological trowel	20					
Photographic scales	20					
North arrow	20					
Gardening trowels	10					
File	10					
Pipe wrench	10					
Spring weight balance (500 mg)	50					
Digital scale	50					
Salter basin weighing balance	50					
Tool kit	150					
Shovel	30					
Jembe	30					
Small jembe	30					
Foldable spade	30					
Large pick	30					
Small pick	30					
Axe	30					
Screen 5mm	50					

Screen 2 mm	50					

Excavation	Cost per item per day (KeS)	Quantity requested	Quantity hired	Cost charged	Quantity returned	Cost incurred during hire
Environmental sieve (set of 3)	150					
Panga	30					
Slasher	30					
Root cutters	30					
Metal Hand Shovel/ dust pans	20					
Small section shovel	20					
Hand gloves	20					
Geological hammer	30					
Auger (for coring)	100					
Crowbar	20					
Ammunition box	50					
Hard hats	50					
Chisels	20					
Planning frame	50					
Hand brushes	20					
Paint brushes	20					
Sledgehammer	30					
Planning boards	30					
Clipboards	30					
Drawing Kit	50					
Metal troughs	30					
Rip saw	50					
Total KeS						

Technical equipment	Cost per item per day (KeS)	Quantity requested	Quantity hired	Cost charged	Quantity returned	Cost incurred during hire
Abney level	300					
Aneroid surveying barometer	300					
Surveying compass	100					
Dumpy level (orange – 487710)	300					
Dumpy level (green – 125640)	300					

Technical equipment	Cost per item per day (KeS)	Quantity requested	Quantity hired	Cost charged	Quantity returned	Cost incurred during hire
Theodolite (VO32219)	300					
Tripod for dumpy/Theodolite	100					
4 m detail pole for dumpy	200					
Leica Total Station TCRA 1105	1200					
External battery for TC (GEB70)	200					
RCS 1100 for Leica TCRA	500					
Tripod for TCRA 1105	100					
2.15 m detail pole	300					
Leica total prism reflectors (1)	300					
Ranging pole	150					
Plane table and Tripod	150					
Camera tripod	150					
Motorola Walkie-talkies	300					
Trimble Geo-explorer GPS and charger	500					
Garmin Map60C GPS	500					
Thuraya Satellite phone	500					
Canon D450 SLR camera and charger	500					
Canon zoom lens	400					
Canon 50 mm lens	400					
Canon wide angle lens	400					
Sony digital 20.1 megapixel	500					
Leica SR20 GPS	500					
Dictaphone	350					
Total Ksh						