



NATIONAL CRIME RESEARCH CENTRE

RESEARCH PROTOCOL

2016

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Vision

To be a World Class Crime Research Institution

Mission

To provide quality and authentic research into causes of crime, its prevention with a view to achieving a crime free society

Core Values

The Centre will conduct its business guided by core values including:

- (i) Concern for public safety
- (ii) Integrity of research
- (iii) Professionalism
- (iv) Transparency and accountability
- (v) Public participation
- (vi) Partnership with others

Guiding Principles

The Centre will adhere to core values driven by the principles of Public Service including:

- (i) Professionalism and high standard of ethical practice
- (ii) Consultative and involvement of the people in the process of crime research
- (iii) Openness and respect for national diversity
- (iv) Responsive and prompt provision of services.

Acronyms and Abbreviations

APA	American Psychological Association (referencing style)
CEO	Chief Executive Officer
FGD	Focused Group Discussion
GC	Governing Council
MOU	Memorandum of Understanding
NCRC	National Crime Research Centre
OAG & DoJ	Office of the Attorney General & Department of Justice

A Glossary of Terms

- Bias:** The tendency for research results to reflect the researcher's subjective opinions, unproven assumptions, political views, or personal or financial interests, rather than the truth or facts.
- Confidentiality:** The obligation to keep some types of information confidential or secret. In research, confidential information typically includes private data pertaining to human subjects, papers or research proposals submitted for peer review, personal records, proceedings from misconduct inquiries or investigations, and proprietary data.
- Conflict of interest:** A situation in which a person has a financial, personal, political or other interest which is likely to bias his or her judgment or decision-making concerning the performance of his or her ethical or legal obligation or duties.
- Contracted staff:** A temporary, short term employee, consultant, resource person, research assistant, supervisor, peer reviewer, editor etc., hired for a specific job at a specific rate of pay and is not considered a permanent employee.
- Copyright:** A right granted by a government, which prohibits unauthorized copying, performance or alteration of creative works.
- Data:** Recorded information used to test scientific or research hypotheses or theories. Data may include field notes, transcribed interviews, spreadsheets, digital images, audio or video recordings, and outputs from machines. Original or primary data drawn directly from the data source (people); secondary or derived data is based on the primary data.
- Ethics:** Moral principles that govern a person's behaviour or the conducting of research. Many of the norms of research promote a variety of other important moral and social values, such as social responsibility, human rights, and animal welfare, compliance with the law and public health and safety.

Honesty: The ethical obligation to tell the truth and avoid deceiving others. In research, some types of dishonesty include data fabrication, falsification and plagiarism.

Human subjects in research: research involving the collection of data through interaction with a living individual or collection of private information concerning a living human being.

Informed consent: the process of making a free and informed decision (such as to participate in research). Individuals who provide informed consent must be legally competent and have enough decision making capacity to consent to research. Research regulations specify the types of information that must be disclosed to the subject.

Integrity: Is the quality of being honest and having strong moral principles.

Plagiarism: Is the action or practice of taking someone else's work, idea, etc., and passing it off as one's own.

Protocol: A set of steps, methods, or procedures for performing an activity, such as a scientific research.

Quality control/quality assurance: Processes for planning, conducting, monitoring, overseeing, and auditing an activity such as research to ensure that it meets appropriate standards of quality.

Research: A systematic investigation into and study of materials and sources in order to establish facts and reach new conclusions.

Research Agreement: An agreement entered into or proposed to be entered into by the NCRC in respect of research and includes any sponsored research agreement and any agreement to provide or receive funding, materials, information or data, or any other tools to facilitate research.

Staff: Shall mean any person (internal or external) employed by the Centre on contractual or permanent basis. Other persons covered under this policy include interns, officers on deployment or secondment, resource persons, consultants, resource persons, peer reviewers, editors, external funding agencies, collaborators, partners, other research institutions and any other entities that work for or are associated with NCRC.

Preamble of NCRC Research

The NCRC undertakes impartial and contemporary policy-relevant research of the highest standard on crime, causes of crime and its prevention to assist Government improve its efforts to promote public safety and reduce crime.

NCRC has the cardinal responsibility of maintaining the highest standards of integrity, ethics and safe practices in research, preservation and the strengthening of confidence in its operations as a world class research institution.

Objectives of NCRC's Research Protocol

The purpose of this protocol is to provide a guiding framework to facilitate research activities of the Centre. The delivery of NCRC's mandate is underscored by the need to carry out objective research into the causes of crime and its prevention and to disseminate the research findings and recommendations to Government agencies concerned with the administration of criminal justice and other stakeholders.

Given the sensitive nature of crime research, NCRC is committed to the highest standards of practice and ethical conduct of research; that research participants are treated safely and with respect; and that research is supported and developed through prudent resource management and the structured securing of external funding, partnerships and collaborations.

NCRC research seeks to comply with requisite legislation, guidelines, policies and directives with regard to ethical and safe practices in research both in Kenya and internationally.

It is against this background that NCRC espouses ethical virtues of truth, transparency, integrity, honesty and professionalism in its research undertakings. NCRC expects of its internal staff, contracted persons (including consultants, peer reviewers, editors, research supervisors and research Assistants) strategic partners, collaborators and other stakeholders, the highest standards of ethics in the conduct of research. Researcher(s), including third parties incorporated into the research processes at NCRC are expected to maintain the highest degrees of intellectual honesty in the design, conduct, data collection, analysis, reporting and dissemination of research findings.

This protocol covers broadly the obligations and expectations of and from internal and contracted staff with regard to the research processes, the researchers, the respondent, data handling and management, quality assurance and NCRC's research format.

1.0 RESEARCH PROCESSES

1.1 Approval of Research Themes/topics and Budget

The Research and Development Committee of the Governing Council (GC) will approve all research themes/topics and budgets before implementation of particular studies. The Committee will also review research reports for quality assurance.

1.2 Guidelines on Joint, Partnership or Collaborative Research

Where NCRC is involved in a joint or collaborative research project, a Memorandum of Understanding (MOU) or an agreement must be reached in writing with the collaborating organization(s) detailing issues to do with funding, management of the research processes, intellectual property and copyrights, ethics and reporting of research findings. The collaborating parties will identify a person to be involved in the management of research data, primary materials and other items to be retained at the end of the research.

The collaborative/partnership research must be carried out as appropriate, in compliance with the highest standards of ethical integrity and practice in research.

1.3 Sources of Funding for Research

The main source of NCRC research funding is from the Government of Kenya, channeled through Office of the Attorney General and Department of Justice (OAG & DoJ). The Centre has a Resource Mobilization strategy targeting donors, development partners, research institutions and other stakeholders towards meeting budgetary deficits. This will be done through signing of Memorandum of Understanding (MOU) on external funding.

2.0 THE RESEARCHER

2.1 Responsibilities of the Researcher

- Preparation of study proposals for the research projects, including the questionnaires, interview guides, budgets and work plans.
- Train and manage field teams conducting data collection and audit enumerators and performing review/checks on the incoming data.
- Ensure adherence to general research design, sample selection, data management and analysis, and overall research project management in addition to supervising data collection, storage, cleaning, coding, entry analysis and report writing.
- Ensure the integrity and security of all soft and hard copy research data during fieldwork collection, at the office and data stored in computer systems in accordance with NCRC consultancy agreements, policies, operational manuals, procedures and best practices.
- Oversee data cleaning, entry, analysis and undertake report writing.
- Support the dissemination of study findings and recommendations through presentations and reports to various audiences.

2.2 Consultants, Resource Person, Research Assistant and Supervisor

- All contracted staff must be vetted for suitability to undertake research work and must sign a contract with NCRC stipulating the terms of reference, key deliverables, reporting lines, obligations, and duration of engagement before commencement of any assignment.
- All staff must disclose any conflict(s) of interest in any research undertaking.
- Research Assistants and Supervisors are obligated to ensure strict adherence to the general research design, sample selection and primary data collection in the field. Contracted staffs are required to conduct themselves with utmost decorum and respect in accordance to NCRC's procedures and expectations.
- All NCRC staff (internal and external) shall at all times ensure the integrity and security of all research data and records under their custody during fieldwork or data held in computers and other electronic devices.

- Payment of professional fees for contracted staff will be made after review and satisfaction with the quality of work, filled questionnaires, case study interview reports and any other allocated assignments.
- Termination of contract/employment: NCRC has the sole discretion to terminate a contract at any time if it deems the objectives of the assignment are not being achieved or circumstances are beyond the control of NCRC, which necessitates the termination. On termination, NCRC will only pay for the days worked and only when the output is satisfactory. Any misconduct by staff (internal/external) that brings into disrepute the stature of NCRC will lead to automatic termination of employment services.
- Strict rule of confidentiality, copyright and intellectual property rights of both the Centre and its clients must be observed by all staff (external external) working for or are associated with the Centre. Staff members shall not, at any time use, copy, disclose, communicate, alter, and/or publish any confidential information or research data which they receive or obtain during the course of or as a result of their employment with the Centre.
- Any projects completed while on NCRC permanent, consultancy, contractual employment or engagement automatically becomes the property of the Centre. It is a Criminal Offence for an individual or institution to plagiarize and pass off the research work of the Centre. Publication of works must receive explicit written permission by the director.
- NCRC Property: All staff must on completion of a research or other assignments or in the event of termination of engagement, must promptly return all properties and monies belonging to Centre.

3.0 THE RESPONDENT

3.1 Informed Consent

- NCRC researchers will obtain informed consent from all selected research respondents, who must be fully informed about the purpose of a research study and thereafter, requested to participate voluntarily.
- Consent to a child's or minor participation in research study must be obtained from: the child or young person whenever he or she has sufficient competence to make this decision; or the parents/guardians in all but exceptional circumstances; or any organization or person required by law to represent or make decisions on behalf of the child.
- NCRC does not condone any form of coercion, undue influence/inducement or exploitation to get people to participate in its research.

3.2 Confidentiality

- All information provided by respondents in the course of a study will be treated with utmost confidentiality and will not be used against them in any way whatsoever.
- NCRC research does not collect personal identifiable data from research subjects. Sensitive personal data includes identifiable information on individuals' name, identity card number, contacts, work station, residence, physical appearance, health status, sexual life, the commission or alleged commission of offences, and criminal proceedings against the individual, among others. If collected, NCRC will de-identify and anonymize such data to protect research subjects and guarantee privacy and confidentiality. Confidentiality arises from law, policy or practice and covers personal or third party data or information which is provided in confidence.

3.3 Protecting Humans as Research Subjects

- Researchers collecting primary or secondary data in the field must respect respondents' personal space, cultures, views and opinions. Respect also applies to vulnerable populations who include minors, children, prisoners, pregnant, physically handicapped, mentally disabled, old, economically disadvantaged, and educationally disadvantaged or subordinates in hierarchical groups.
- NCRC researchers have an obligation to minimize possible harm to research respondents. Harm, in this context, extends beyond physical harm to a wide range of psychological or emotional distress.

4.0 DATA HANDLING AND MANAGEMENT

4.1 Objectivity in Research Undertaking

Objectivity in NCRC research will be exercised by establishing standards that provide a reasonable expectation that the design, conduct and reporting of research, including that supported by donors, partner grants, cooperative agreements and contracts will be free from bias resulting from donor, partner, investigator, consultant, or financial conflicts of interest and or any form of influence.

4.2 Research Data Storage and Security

NCRC research data and records will be retained and stored appropriately to enable accuracy, veracity and a basis of research findings and methods to be tested, established and scrutinized.

- The Centre will establish a data repository system with inventory of all research activities undertaken.
- All official NCRC personal computers, laptops, ipads and mobile phones will be password and access trail-enabled to secure information held in digital and other electronic devices.
- Hardcopy questionnaires, reports and other primary data will be under key and lock in secure cabinets and shelves at the Resource Centre.
- The possession and control of all NCRC research data will be protected by controlled officers-level-restricted access at different stages, including data from the field, data under analysis, report writing stages. This is intended to safeguards research data and information against loss, unauthorized access, use, modification or disclosure, and against other misuse.
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4.3 Dissemination of Research Findings

NCRC firmly believes in honest and fair reporting as the hallmark of scientific endeavour. The Centre shall ensure research outcomes/findings are made available to Government Agencies charged with the administration of criminal justice and other stakeholders through print publication, soft copies - online, seminars, workshops and other appropriate means.

4.4 Request for Information or Statistical Data by External Parties/ Individuals

The Director/CEO will vet and authorize requests for research information held by Centre. Only unclassified information will be granted. For study data requests, researchers and students will be required to adduce research authorization permit from the National Council for Science and Technology or other relevant statutory bodies. No disclosure of information whatsoever will be allowed, only unclassified, public research information will be shared.

4.5 Intellectual Property and Copy Rights

NCRC maintains all copyright and intellectual property rights of all its research undertakings – raw data, policy briefs, reports, publications and any other research material. NCRC’s staffs (permanent, contracted, external partners and consultants) are NOT authorized to publish any (part of or in whole) research information acquired in the course of their engagement with the Centre for personal or other purposes.

5.0 QUALITY ASSURANCE

5.1 Validation and Peer Review of Research Reports

All completed research reports of the Centre will be reviewed by the Research and Development Committee of the Governing Council. The reports will also be subjected to stakeholders' peer review and validation before official launch.

5.2 Monitoring and Evaluation

Monitoring and evaluation will take place at all levels in the research processes at the Centre. Management will produce periodic reports on progress made in implementing this protocol.

5.3 Research Misconduct

Research misconduct includes fabrication, falsification, plagiarism or deception in proposing, carrying out or reporting the results of research and failure to declare or manage a serious conflict of interest and posing unreasonable risk or harm to humans or the environment. It also includes gross deviations or persistent negligence and the willful concealment or facilitation of research misconduct by others. Research misconduct does not include honest differences in judgment in management of the research or honest errors that are minor or unintentional.

The Governing Council and the Research and Development Committee will institute necessary disciplinary measures and mechanisms to address misconduct in research.

5.4 Date of Issue and Revision Clauses

This protocol comes into effect immediately upon approval by the Governing Council and will be reviewed from time to time as the need may arise.

6.0 FORMAT OF RESEARCH REPORTS

All NCRC research reports will follow the format outlined below:

TITLE (ON COVER PAGE)

COPYRIGHT PAGE e.g, Copyright © 2016, National Crime Research Centre (NCRC)

TABLE OF CONTENTS

LIST OF TABLES

LIST OF FIGURES

ACKNOWLEDGEMENTS

FOREWORD

ABBREVIATIONS/ACRONYMS

GLOSSARY (where applicable)

OPERATIONAL DEFINITION OF TERMS

EXECUTIVE SUMMARY

CHAPTER ONE: INTRODUCTION

- 1.1 Background of the Study
- This section should present (in continuous prose but in different paragraphs) the background information and literature review; problem statement; and research questions (or hypotheses when used);
- 1.2 Justification of the Study
- 1.3 Assumptions of the Study
- 1.4 Scope of the Study
- 1.5 Theoretical and/or Conceptual Framework of the Study

CHAPTER TWO: METHODOLOGY OF THE STUDY

- 2.1 Introduction
- 2.2 Research Design
- This section should present information (in continuous prose) on: site of the study; population; sampling design (techniques); and sample size
- 2.3 Methods and Tools of Data Collection
- 2.3.1 Data Collection Methods (Sources of data also to be discussed in this section)
- 2.3.2 Data Collection Tools
- 2.4 Data Collection and Management Procedures
- 2.5 Methods of Data Analysis
- 2.6 Ethical Considerations

CHAPTER THREE: FINDINGS AND DISCUSSION

- 3.1 Introduction
- 3.2, 3.3, 3.4, 3.5, etc (sections to address research questions)

CHAPTER FOUR: SUMMARY OF FINDINGS, CONCLUSION, AND RECOMMENDATIONS

Please note that Chapter Four should not be more than three pages and should have the following sections:

- 4.1 Introduction
- 4.2 Summary of Major Findings
- 4.3 Conclusions
- 4.4 Recommendations
 - 4.4.1 Policy Recommendations
 - 4.4.2 Areas of further research

REFERENCES –adopts the American Psychological Association (APA) Style

APPENDICES (TORs, questionnaires, interview schedules, observation schedule, FGD Guides, research time schedule, etc)

7.0 DECLARATION

All NCRC staffs (internal or external) are required to acquaint themselves with provisions in this protocol and sign this declaration fully aware and cognizant of the serious consequences that may result from its breach.

Name of Staff:

Signature:

Date:



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