CHAPTER:	1	Administration and Management	**1.1.23**
SECTION:	1	General Administration	**EFFECTIVE DATE: 7/ 21 / 2020**
SUBJECT:	23	**RESEARCH**	
STANDARDS: ACA – 4 – ALDF: 1F-09			
APPROVED: _____ **Dale Glass** **COMMISSIONER OF CORRECTIONS**			**REVIEW DATE: 7 / 21 / 20** **REVISION DATE: 7 / 30 / 20**
Rescind: 1.1.23 dated 10/25/06 Cancel:			

I. POLICY

To ensure that all proposals for Division data collection and analysis are expeditiously and professionally processed, Division personnel will review, prioritize, and fulfill requests for research according to procedures below.

II. RESPONSIBILITIES

All Division of Corrections staff are responsible for adhering to the following procedures.

III. DEFINITIONS

Detailed Human Subject Research Proposal: includes all the following: research methodology, time lines, assignments, and expected outcomes.

Policy and Administrative Operations Research: consists of data collection and analysis designed to provide basic descriptive information regarding Division programs, activities and inmate population. This includes data collection procedures conducted as part of the teaching or training of individuals; junior-level research that requires only the reporting of publicly-available statistics; performance of therapeutic procedures for the sole and direct benefit of the person involved; activities conducted for the purpose of monitoring compliance with Divisional, local, state, and federal rules and regulations; and activities conducted for local formative and summative program evaluation purposes. Examples of policy and administrative operations research may include file audits, data compilation for specific behavior management programs, undergraduate class projects that solely report public data, and reports prepared for annual reviews and planning.

Policy and administrative research do not include human subject research as defined below.

Human Subject Research: research involving human participants, including:

1. The collection of data through:

    a. examination of individual human beings and their bodily products;

    b. observation of performance and activities by individual human beings or groups of human beings;

    c. observation of physical or psychological reactions of individual human beings or groups of human beings to stimuli;

    d. observation or evaluation of the products of individual performance of tasks or individual reactions to stimuli; and

    e. examination and analysis of data derived from the types of examinations listed above.

2. The scope of research involving human participants may include physical, chemical, or psychological stimulation of responses, as well as interviews, observation of behavior, administration of tests, or other techniques of measurement for the evaluation of individual humans.

3. Human subject research limitations: inmates are prohibited from participating in medical, cosmetic, or pharmaceutical testing for research purposes, however, this policy does not preclude individual treatment of an inmate based on an inmate's need for a specific drug or medical procedure that is not readily available. Inmate participation in medical or pharmaceutical research is limited to therapies likely to benefit the inmate as a subject. Such studies must not present more than minimal risk to the inmate, must involve full and ongoing inmate consent, and must be fully approved by the Superintendent. This does not apply to routine follow-up by medical staff to study the effectiveness of a prescribed medication.

Research Review Committee, (RRC): A committee established by the Division of Corrections as designated by the Appointing Authority:

This committee will receive and initially review all research and evaluation project proposals. The RRC fulfills simple requests and policy and administrative operations research. The RRC inquires whether sufficient resources exist to complete requested research. If, in the opinion of the RRC, sufficient resources are not available to fulfill a research request, the RRC forwards this recommendation to the Superintendent for final

action. If sufficient resources exist to complete a research project, the RRC places the request on a prioritized master list.

Informed Consent (Human Subject Research Only): a signed statement by human subject research participants indicating that they fully understand the research protocol, the expectations for participation, the risks/benefits associated with that participation, and the option to discontinue participation at any time.

Minimal Risk (Human Subject Research Only): the probability and degree of harm/discomfort anticipated during the course of the human subject research is no greater than the harm/discomfort encountered in the course of one's daily routine or during the performance of routine physical or psychological examinations.

Research and Evaluation Advisory Committee (REAC): A Division advisory group comprised of the Healthcare Administrator, a mental health professional, Deputy Superintendents, Chief of Security, and Human Resource Manger who review all proposals for Human Research Proposal. The REAC inquires whether sufficient resources exist to complete requested research and whether or not the research can be done legally and safely. If, in the opinion of the REAC, sufficient resources are available to fulfill a research request and the research is safe and legal, the REAC forwards a recommendation to the Superintendent for final action

IV. PROCEDURES

A. Research Initiation

1. All research proposals must be submitted to the Research Review Committee Chairperson on official agency letterhead and must include:

    a. The work unit and location or comparable contact information (for outside requestors).

    b. Project name.

    c. Submittal data and deadline date. If the research is legally mandated, the proposal must indicate so and state the authority mandating the research.

    d. The project sponsor's name and contact information (phone and email) must be included, as well as the sponsor's signature.

    e. A summary of the research, methods and statement of goals must be included, as well as identifying available sponsor.

    f. Person(s) conducting research and participants.

2. Determination of Research Type

   a. Upon receipt of a completed proposal, the Research Review Committee Committee will determine whether the proposal constitutes a simple request for data or merits a human subject research review. Simple data requests will be fulfilled.

   b. If the Research Review Committee determines that the proposal involves human subject research, the proposal will be forwarded to the (REAC) for review and recommendations.

B. Policy and Administrative Operations Research

1. Upon receipt of a policy and administrative operations research proposal the Research Review Committee will review and determine whether there are sufficient resources to fulfill the request. Should the RRC need more information, it will contact the research proponent.

2. If the RRC determines that insufficient resources exist to complete the research, it will refer the research proposal to Superintendent who will take final action on the research proposal and may approve, disapprove or modify the RRC recommendation. The Superintendent will forward all approved request to the respective department head for action

3. The assigned unit will complete or assist in completing the research.

4. The RRC will maintain records of all policy and administrative operations research proposals, changes to protocols, and official Division correspondence regarding research projects, for a minimum of three years after project completion. The records will be available to staff upon request.

5. Employees will not engage in research that impedes the ability to do their job, interferes with their responsibilities, or takes advantage of city time, facilities, supplies, or influence for private gain.

6. Any research conducted by Division staff on city time or using Division resources is the intellectual property of the Division.

C. Human Subject Research

1. Upon determining that the proposal involves human subject research, the RRC will forward the proposal to the REAC.

2. The REAC will review all incoming research proposals within three weeks of receipt and will make recommendations regarding feasibility, utility, and acceptability of the proposal and forwards it to the Superintendent.

3 In making its determination, the REAC will convene as needed to conduct the final review of any research proposal that is deemed psychological or medical in nature or that demonstrates more than minimal risk to staff/inmate(s).

4. Within three weeks of receipt, the REAC will review all human subject research proposals and make a written recommendation for approval, disapproval, or further review to the Superintendent.

5. The Superintendent will forward all approved request to the respective department head for action.

6. Rejected proposals are returned to the research proponent.

7. The assigned unit will complete or assist in completing the research.

8. Requirements for Human Subject Research Proposals will include the following:

    a. The names and contact information for all researchers who will be involved in the project;

    b. Documentation of prior endorsement/approval by a recognized research organization (i.e., a university, college, or private foundation) certifying that the research proposal meets established professional standards. Undergraduate researchers may substitute documentation of faculty sponsorship for organizational approval;

    c. If the research is psychological/medical in nature, a written statement of approval from a recognized research organization's human subjects committee;

    d. An abstract summarizing the objectives, methods, and implications of the research;

    e. A literature review explaining the foundation and relevance of the research;

    f. A concise research question, including the hypotheses and null hypothesis, if applicable, to be tested;

    g. A list of facility resources (including staff time) to be used for the study. If the researcher is a Division employee and the research is not considered

a part of their regular job responsibilities, this portion of the research proposal must also contain a discussion of how the researcher will maintain the separation of work and research duties, including a paragraph noting when the research will be conducted and what resources used;

h. A description of the study population, the process of selecting subjects and/or records, inclusion/exclusion criteria, and the sampling methods to be used;

i. A description of the tasks each subject will be asked to complete including copies of instruments used for these purposes);

j. A description of the methods used to obtain informed consent;

k. A description of the procedures used to maintain confidentiality;

l. A description of the anticipated risks and benefits of the study;

m. A description of the procedures used to minimize risk and the provisions made to care for subjects in case of accident or injury;

n. A description of how results will be interpreted and communicated, including a provision for the Superintendent's review and comments prior to any publication. Any such comments will be included with the publication of the findings;

o. Follow-up provisions, when appropriate, taking into account the varying lengths of individual inmate's confinement;

p. A description of how results will be interpreted and communicated; and

q. A signed Non-Disclosure Agreement.

9. Informed Consent Requirements for Human Subject Research

a) Informed consent will be obtained from each participant prior to all human subject research activities. When the participant is a youthful offender (17 years of age or younger), that inmate's legal guardian may grant consent when necessary. Case workers will be informed of an inmate's inclusion in any research activities.

b) Informed consent includes:

(1) A brief statement of the research purpose;

(2) An explanation of the research procedures (including how subjects are selected) and an identification of those that are experimental in nature;

(3) A description of the potential discomforts and risks, as well as an explanation of how those discomforts will be addressed;

(4) A description of the potential benefits, to the subject or others;

(5) A disclosure of the appropriate alternative procedures;

(6) An offer to answer any questions and concerns, and the contact information for research personnel assigned to this task;

(7) A written statement (containing no exculpatory language that could be interpreted to mean that the inmate waives any legal rights or releases the Division/facility of liability for negligence) that the inmate/guardian may withdraw consent or discontinue participation at any time without penalty. Procedures for withdrawal will be noted, as will the circumstances under which researchers may terminate the subject's participation without the subject's consent.

(8) A statement regarding the confidentiality of records/data and how that confidentiality will be maintained; and

(9) A space for signatures and a date.

10. Dissemination Limitations on Human Subject Research

a) As a pre-condition to conducting human subject research under this policy, a non-employee must grant in writing to the Division a royalty-free and irrevocable right to use the materials/information developed as a result of such research. Use will include reproduction, extraction, and interpretation of research in official department correspondence, reports, Internet sites, and other mediums as Division staff determines appropriate.

b) The non-employee must also forward to the REAC a hard copy of the data collected during research and a copy of the final report.

11. Any changes to research protocols must be approved in writing by the Superintendent prior to implementation.

12. Permission to conduct a research project may be denied or withdrawn at any time for violation of the above procedures or any conditions set by the RRC for policy

and administrative research or REAC for human subject research. A violation of data privacy regulations regarding inmate information may subject the researcher to civil or criminal liability.

a. Any report of noncompliance will result in the immediate suspension of research and an investigation by the RRC. Upon completing the investigation, the RRC will report its findings and vote to dismiss the allegation, reinstate the research with additional protections/supervision, require corrective measures, or terminate the research.

b. If a researcher is found to be in noncompliance after data collection is complete, the Division reserves the right to restrict the release of research results.