

 <p>ARIZONA DEPARTMENT OF CORRECTIONS</p> <p>DEPARTMENT ORDER MANUAL</p>	<p>CHAPTER: 200</p> <p>PUBLIC/PUBLIC ACCESS</p>	<p>OPR:</p> <p>SS</p>
	<p>DEPARTMENT ORDER: 203</p> <p><b>RESEARCH PROJECTS</b></p>	<p>SUPERSEDES:</p> <p>DO 203 (09/02/02)</p>
		<p>EFFECTIVE DATE:</p> <p>MAY 4, 2009</p>

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## PURPOSE

The purpose of this Department Order is to specify procedures allowing approval to conduct research involving Department staff, facilities and inmates, which contributes to academic disciplines concerned with correctional programs, services, management techniques and/or administrative practices.

The above *Substantive Policy Statement* is advisory only. A *Substantive Policy Statement* does not include internal procedural documents that only affect the internal procedures of the agency and does not impose additional requirements or penalties on regulated parties or include confidential information or rules made in accordance with the Arizona Administrative Procedure Act. If you believe that this *Substantive Policy Statement* does impose additional requirements or penalties on regulated parties you may petition the agency under Arizona Revised Statutes section 41-1033 for a review of the statement.

## RESPONSIBILITY

The Director has the final responsibility for approving research projects involving significant use of Department resources, significant inmate contact, and significant access to staff or Department facilities.

The Division Director or Administrator may approve projects as outlined in this Department Order and shall have responsibility for monitoring all research projects in their area of operations.

The Division Director for Offender Operations is responsible for coordinating access to inmates when such contact has been approved by the Director.

The Planning, Budget and Research Administrator is responsible for coordinating research project applications and reviewing final reports on behalf of the Director.

## APPLICABILITY

This Department Order applies to all research projects requiring resources from the Department, whether such resources include access to facilities, staff, inmates or other assistance. Contract Beds are included when any research project requires access to staff, inmates or information from the Department. Research projects conducted by government entities shall take precedence and may be permitted more complete access to facilities, inmates and staff.

This Department Order does not apply to access to inmates for the purposes of visitation or to access inmates by the media. See Department Order #911, Inmate Visitation, for visitation issues and Department Order #201, Information Release, for procedures related to media access.

## PROCEDURES

**203.01 RESEARCH PROPOSALS** - Employees not acting in their official capacity, other government agencies, private individuals and private companies or research groups may submit research proposals.

1.1 Requirements for Research Proposals - The person(s) requesting approval to conduct a research project shall submit a proposal to Planning, Budget and Research Administrator (PB&R) at least 90 days prior to the anticipated start date of the project. Proposals shall include the following:

- 1.1.1 The resume and credentials of the Project Director and the names and credentials of all other research staff.
  - 1.1.2 The number of staff and inmates that will be involved in the project and the type and amount of any proposed use of Department resources. Access to individual inmates is subject to the conditions outlined in section 203.04.
  - 1.1.3 The principal research location(s) and the source of the project's funding.
  - 1.1.4 The project title, purpose statement and needs statement, and the proposed methodology and/or design to be used.
  - 1.1.5 The projected research activity schedule and the projected length of the project.
  - 1.1.6 When applicable, justification of the need to access data with specific staff and/or inmate identifiers.
  - 1.1.7 When applicable, justification of the need to disseminate or reveal specific information with staff and/or inmate identifiers to other researchers or organizations.
  - 1.1.8 The projected application of the research findings and the benefit(s) the Department should derive from the completed project, including the final distribution, publication and/or use of the findings from the research project.
- 1.2 Prohibitions - The Department prohibits any human medical, pharmaceutical or cosmetic research or experimentation. Requests for this type of research shall be immediately denied.
- 1.3 Recommendation - The PB&R Administrator shall:
- 1.3.1 Review each research proposal for:
    - 1.3.1.1 Purpose, method and originality.
    - 1.3.1.2 Credibility of the method to be used and essential need for the research.
    - 1.3.1.3 Availability of outside resources, including equipment, funding, space and personnel.
    - 1.3.1.4 Availability of requested Department resources, including equipment, funding, space and personnel.
    - 1.3.1.5 Requests for an exception to criteria prohibiting face-to-face access to inmates.
    - 1.3.1.6 Adherence to the US Health and Human Services guidelines for behavioral and medical research projects.  
<http://www.hhs.gov/humansubjects/guidance>
  - 1.3.2 Ensure all the required information is contained in the research proposal and prepare written recommendations to approve or disapprove each research proposal, detailing specific reasons for each recommendation.

- 1.3.3 Provide assistance to a requestor when incomplete proposals are received, to include providing copies of this Department Order, necessary forms and an explanation of the requirements to the requestor. If appropriate, a requestor may be referred to public electronic records for information.
- 1.3.4 Within 15 work days after receipt of the proposal, prepare research proposal packets for the Division Director or Administrator involved, including a copy of the research proposal; the recommendation; and an approve, disapprove or approve with revisions letter for signature.
- 1.3.5 Forward research proposal packets to the appropriate Division Director or Administrator for review and approval.

1.4 Review - The Division Director or Administrator shall, within ten work days of receipt, review research proposals and recommendations, sign the applicable letter to approve, disapprove or approve with revisions for each proposal, and return the packet to PB&R. The Division Director or Administrator shall certify that the prospective project does not:

- 1.4.1 Subject participants to potential mental, physical or emotional trauma.
- 1.4.2 Jeopardize security.

## **203.02 FINAL REVIEW AND AUTHORIZATION**

1.1 The PB&R Administrator shall:

- 1.1.1 When a proposal is disapproved by the Division Director or Administrator, notify the Project Director of the disapproval within five work days of receipt.
- 1.1.2 When a proposal is approved, prepare research proposal packets for the Director's signature, which includes a copy of the research proposal, the recommendation and an approval or denial letter for the Director's signature, within 15 work days after receipt of the returned packets.

1.2 Research projects shall not be initiated without the express written consent of the Director or designee, who shall:

- 1.2.1 Provide written approval prior to any research project being initiated, or disapprove any research project when it is not in the best interest of the Department and/or participants, and forward research packets with attached approvals or disapproval's to the PB&R Administrator.
- 1.2.2 Provide written approvals prior to dissemination or publication of any research findings and manuscripts, or disapprove dissemination or publication of research findings and manuscripts when they are not in the best interest of the Department and/or participants.
- 1.2.3 When applicable, provide written approvals for the dissemination of data or information with staff or inmate identifiers.

## **203.03 COORDINATION AND MONITORING** - When a project is approved by the Director, the Deputy Director or Division Director in charge of the area in which the project is to be conducted shall assign a research coordinator. Research coordinators shall:

1.1 Prior to the beginning of any project that requires access to prison units or inmates, ensure that any individual working on the project:

- 1.1.1 Signs a Waiver of Liability and Consent to Comply, Form 203.3.
- 1.1.2 Has a security clearance completed as outlined in Department Order #205, Contractor Security and Department Order #121, Arizona Criminal Justice Information and Identification System.
- 1.2 Ensure that, where needed, researchers are issued Department contract identification cards, and collect the identification cards upon completion of the project.
- 1.3 Ensure researchers receive standard pre-service orientation training for contractual staff in accordance with Department Order #509, Employee Training/Education.
- 1.4 Monitor the progress of projects and ensure compliance with this Department Order.
- 1.5 Serve as the liaison between the organizational unit involved in the research project and PB&R while a project is being conducted and arrange initial contacts between the researchers and the institutions/facilities involved.

**203.04 ACCESS TO INMATES** - Researchers may correspond with inmates through the mail as outlined in Department Order #914, Inmate Mail.

- 1.1 Researchers may telephonically interview inmates, as long as such interviews are identified in the project request and approved by the Director. The Research Coordinator for the project shall coordinate telephone interviews with the Division Director for Offender Operations.
- 1.2 Researchers shall not have access to inmates for the purpose of interviewing them face-to-face. However, unusual circumstances may arise where a correctional, law enforcement or public safety need can best be served by allowing researchers to have face-to-face contact with the inmates. In these instances, the Director may approve an exception to this rule.
  - 1.2.1 Requests for special access to inmates shall be included in the original project request. Sufficient detail shall be included to allow for an informed decision. The PB&R Administrator shall make note of the request in the cover memorandum for the research proposal packet.
  - 1.2.2 If face-to-face interviews or other access is approved, the Research Coordinator for the project shall coordinate access to the inmate(s) with the appropriate Offender Operations staff.
  - 1.2.3 No access to secure facilities is permitted until the person(s) needing access meet appropriate security and training requirements.

**203.05 PARTICIPATION** - Participation in a research project by staff or inmates shall be permitted only on a voluntary basis.

- 1.1 The researcher shall obtain a completed Inmate Research Participant Consent, Form 203-2, or an Employee Research Participant Consent, Form 203-1, from each participant prior to the beginning of the project.
- 1.2 The original completed form(s) shall be retained by the researcher, and a copy of each form shall be forwarded to Personnel Files for employee forms or to Offender Records for inmate forms.

- 1.3 Researchers may pay inmates for participating in research projects, but shall not pay employees participating in research projects.
- 1.4 Confidentiality - To ensure the participant's right to privacy, the researcher shall sign the Non-Disclosure Agreement for Non-Criminal Justice Agencies/Individuals, Form 203-4, and Non-Disclosure of Personnel Information Agreement, Form 203-5, agreeing to maintain the confidentiality of information that could identify an employee or inmate.

#### **203.06 DISSEMINATION OR PUBLICATION OF RESEARCH FINDINGS**

- 1.1 Researchers shall submit copies of any research findings and manuscripts to the PB&R Administrator for review prior to submitting them to a publisher or disseminating them to the public, other agencies, professional organizations or the media. The intent of the review is to prevent dissemination of information that may be factually erroneous or which may violate the right of privacy of an employee or inmate.
- 1.2 The PB&R Administrator shall prepare and submit a recommendation to the Director within ten work days after receipt.
- 1.3 Publication and/or dissemination of research findings shall not be permitted until the Director has approved such release. See Department Order #302, Contracts and Procurement, and the associated Technical Manual.
- 1.4 At the discretion of the Director, researchers may be required to submit periodic progress reports.
- 1.5 Once a research project is complete, the Researchers shall submit a complete final report to the Research coordinator that includes all findings, recommendations and suggested future research projects.
- 1.6 One copy of the final report and any manuscripts shall be submitted to the PB&R Administrator to be maintained in a research activity file.

#### **203.07 SURVEYS/INFORMATION REQUESTS**

- 1.1 The Deputy Director or designee shall:
  - 1.1.1 Review all surveys or information requests sent to the Department.
  - 1.1.2 Forward all approved surveys to the PB&R for completion.
- 1.2 The PB&R Administrator shall:
  - 1.2.1 Review the survey questions and assign them to the appropriate subject matter experts for completion. The subject matter experts shall complete the assigned questions and return them to the PB&R.
  - 1.2.2 Upon receipt of the completed questions, review the material for completeness and consolidate the responses as necessary.
  - 1.2.3 Complete the entire survey packet, when appropriate.

- 1.2.4 Prepare a response letter for the Director or designee's signature.
- 1.2.5 Return the completed survey to the requestor.

{Original Signature on File}

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CHARLES L. RYAN  
Director

#### **FORMS LIST**

- 203-1, Employee Research Participant Consent
- 203-2, Inmate Research Participant Consent
- 203-3, Waiver of Liability and Consent to Comply
- 203-4, Non-Disclosure Agreement for Non-Criminal Justice Agencies/Individuals
- 203-5, Non-Disclosure of Personnel Information Agreement

#### **AUTHORITY**

A.R.S. 31-222, Research and Evaluation Programs; Acceptance of Funds; Revolving Fund.