

**CHAPTER: 200**

**Public/Public Access**

**DEPARTMENT ORDER:**

**203 – Research Projects**

**OFFICE OF PRIMARY  
RESPONSIBILITY:**

**COS**

**Effective Date:**

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**ACCESS**

**Contains Restricted Section(s)**

# Arizona Department of Corrections Rehabilitation and Reentry



**Department Order Manual**

A handwritten signature in black ink, appearing to read "Ryan Thornell", is written over a horizontal line.

Ryan Thornell, Director

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## **PURPOSE**

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

## **APPLICABILITY**

This DO applies to all research projects requesting resources from the Department, whether such resources include access to **institutions/facilities**, staff, inmates or other assistance. Private prisons 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 receive additional consideration for access to **institutions/facilities**, inmates, and staff.

This DO does not apply to access to inmates for the purposes of visitation or to access inmates by the media. See DO #911, Inmate Visitation, for visitation issues, and DO #207, Media Relations, for procedures related to media access.

## **RESPONSIBILITY**

The **Strategic Planning Manager** is responsible for coordinating research project applications and reviewing final reports on behalf of the **Chief of Staff**.

The Assistant Director for Prison Operations is responsible for coordinating access to inmates when such contact has been approved by the Deputy Director.

## **PROCEDURES**

### **1.0 RESEARCH PROPOSALS**

1.1 Government agencies, private individuals, private companies, research groups, or employees not acting in their official capacity may submit research proposals. Assistance may be provided, **as needed**, to support the research project, determine research needs, establish priorities, assist **with** research design, data collection, assessment, and evaluation, **so long as it does not disrupt approved projects and exceed Department staff resources available**.

1.1.1 Inmates may elect to participate in medical or pharmaceutical research. The biomedical research shall be in compliance with all state and federal guidelines.

1.1.1.1 Inmates may voluntarily participate in non-medical, non-pharmaceutical, and non-cosmetic research programs.

1.1.2 Utilizing the procedure outlined in 1.1.3 through 1.2.3, Wardens and Administrators are encouraged to use outside professionals, when time and personnel constraints prevent the use of Departmental employees, to conduct needed research relevant to the facility's programs, services, and operations. **Requests for approval of external resources shall be made in writing to the Chief of Staff or designee.**

1.1.3 Proposal Requests – The person(s) requesting approval to conduct a research project shall submit a proposal to the **Strategic Planning Manager**, at least 90 calendar days prior to the anticipated start date of the project.

- 1.1.3.1 **All research requests involving human subjects or identifiable private information requires Institutional Review Board approval process.**
  - 1.1.3.2 **All person(s) requesting to conduct a research project must provide proof/documentation of industry recognized training in research, ethics, compliance, and safety as part of their request.**
  - 1.1.4 The requestor shall complete the Research Proposal Request, Form 203-6, and also attach a formal proposal detailing all aspects of the project, and forward it to the **Strategic Planning Manager**.
    - 1.1.4.1 Once received, the **Strategic Planning Manager** shall review and initiate the Proposal **Request Review**, Form 203-7.
      - 1.1.4.1.1 The Proposal **Request Review**, Form 203-7, shall be submitted to the **Chief of Staff and then the Deputy Director**, for final approval.
  - 1.2 Once a project is approved, a Research Liaison **shall be assigned by the Strategic Planning Manager**. The Research Liaison shall:
    - 1.2.1 Ensure the researchers are informed of all:
      - 1.2.1.1 Policies related to their research, especially those regarding confidentiality of information.
      - 1.2.1.2 The requirement for submission and review of the research results by the Warden/Administrator and corresponding subject matter expert and/or Office of Primary Responsibility prior to being sent to the **Strategic Planning Manager** for review and dissemination or publishing.
    - 1.2.2 Serve as the liaison between the organizational unit involved in the research project and the Research Unit while a project is being conducted, **including, but not limited to the arrangement of** initial contacts between the researchers and the institutions/facilities involved.
    - 1.2.3 Monitor the approved project utilizing the Research Project Coordination and Monitoring, Form 203-8, and report monthly to the Research Unit who is responsible for tracking all Department approved projects.
- 2.0 ACCESS TO INMATES** – Researchers may correspond with inmates through the mail as outlined in DO #914, Inmate Mail.
- 2.1 Researchers may telephonically interview inmates, if interviews are identified in the project request and approved. If approved, the Research Unit shall coordinate telephone interviews **through** the Assistant Director for Prison Operations or designee.
  - 2.2 Researchers shall not have access to inmates for the purpose of interviewing them face-to-face. **Exceptions must be approved in accordance with section 1.1.4.1.1.**

- 2.2.1 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 **Strategic Planning Manager** shall make note of the request in the cover memorandum for the research proposal packet.
- 2.2.2 The Research Liaison for the project shall coordinate access to the inmate(s) with the appropriate Prison Operations staff.
- 2.2.3 No access to secure **institutions**/facilities is permitted until the person(s) requiring access meet appropriate **background check**, and training requirements.

**3.0 PARTICIPATION** – Participation in a research project by staff or inmates shall be permitted only on a voluntary basis **as part of an approved research project**.

- 3.1 The researcher shall obtain a completed Inmate Research **Informed** Consent, Form 203-2, or an Employee Research **Informed** Consent, Form 203-1, from each participant prior to the beginning of the project.
- 3.2 Researchers may request to pay an inmate for **their** participation in research projects by contacting the Research Unit. Researchers shall not pay employees for participation in research projects. (A.R.S. §31-323)
- 3.3 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/or Non-Disclosure of Personnel Information Agreement, Form 203-5, agreeing to maintain the confidentiality of information that could identify an employee or inmate.

**4.0 DISSEMINATION OR PUBLICATION OF RESEARCH FINDINGS**

- 4.1 Researchers shall submit copies of any research findings and manuscripts to the **Strategic Planning Manager** 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.
- 4.2 At a schedule established by the **Strategic Planning Manager**, researchers shall be required to submit periodic progress reports.
- 4.3 Once a research project is complete, the researchers shall submit a final report to the **Strategic Planning Manager** that includes all findings, recommendations, suggested future research projects, and any manuscripts. The final report and manuscripts shall be maintained in a research activity file **and saved for three years**.

**5.0 SURVEYS/INFORMATION REQUESTS**

- 5.1 The **Chief of Staff** or designee shall:
  - 5.1.1 Review all surveys or information requests sent to the Department.
  - 5.1.2 Forward all approved surveys to the **Strategic Planning Manager** for assignment and completion.

5.2 The **Strategic Planning Manager** shall:

5.2.1 Review the survey questions and coordinate with the appropriate Assistant Director for completion by a subject matter expert.

5.2.1.1 The subject matter experts shall complete the assigned questions and return them to the **Strategic Planning Manager** through their Assistant Director.

5.2.2 Upon receipt of the completed questions, review the material for completeness and consolidate the responses as necessary.

5.2.3 Complete the entire survey packet, when appropriate.

5.2.4 Prepare a response letter for the **Chief of Staff** or designee's signature.

5.2.5 Return the completed survey to the requestor.

## **FORMS LIST**

203-1, Employee Research **Informed** Consent

203-2, Inmate Research **Informed** Consent

203-4, Non-Disclosure Agreement for Non-Criminal Justice Agencies/Individuals

203-5, Non-Disclosure of Personnel Information Agreement

203-6, Research Proposal Request

203-7, Proposal **Request** Review

203-8, Research Project Coordination and Monitoring

## **AUTHORITY**

A.R.S. §31-222, Research and Evaluation Programs

A.R.S. §31-321, Prisoner Participation in Approved Programs

A.R.S. §31-323, Compensation for Prisoner Participation in Approved Programs; **Trust Fund or Retention Account**