

CHAPTER: 200

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DEPARTMENT ORDER:

203 – Research Projects

OFFICE OF PRIMARY  
RESPONSIBILITY:

DIR

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# Arizona Department of Corrections Rehabilitation and Reentry



Department Order Manual

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

David Shinn, Director

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## **STANDARDS**

American Correctional Association (ACA) Standards: 5-ACI-1F-13, 5-ACI-1F-14, 5-ACI-1F-15, 5-ACI-1F-16, 5-ACI-1F-17, 5-ACI-1F-18, and 5-ACI-6C-09 (M)

## **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. {5-ACI-1F-13}

## **APPLICABILITY**

This Department Order applies to all research projects requesting resources from the Department, whether such resources include access to 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 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 #207, Media Relations, for procedures related to media access.

## **RESPONSIBILITY**

The Policy and Research Unit Administrator is responsible for coordinating research project applications and reviewing final reports on behalf of the Director. {5-ACI-1F-17}

The Assistant Director for Prison Operations is responsible for coordinating access to inmates when such contact has been approved by the respective 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, which does not disrupt approved projects and exceed Department staff resources available to support the research project, to determine research needs, establish priorities, and assist in the research design, data collection, assessment and evaluation. {5-ACI-1F-15}

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. {5-ADC-6C-09 (M)} (A.R.S. §31-321)

1.1.1.1 Inmates may voluntarily participate in non-medical, non-pharmaceutical and non-cosmetic research programs. {5-ADC-1F-18}

- 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. Approval of external resources shall be in writing from the Deputy Director. {5-ACI-1F-13} {5-ACI-1F-14}
  - 1.1.3 Proposal Requests – The person(s) requesting approval to conduct a research project shall submit a proposal to the Policy and Research Unit Administrator, at least 90 calendar days prior to the anticipated start date of the project.
  - 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 Policy and Research Unit Administrator.
    - 1.1.4.1 Once received, the Policy and Research Unit Administrator shall review and initiate the Research Proposal Review, Form 203-7.
      - 1.1.4.1.1 The form shall be submitted, through the appropriate Assistant Director, to the respective Deputy Director for final approval.
  - 1.2 Once a project is approved by the respective Deputy Director or designee in charge of the area in which the project is to be conducted shall assign a Research Liaison, who shall:
    - 1.2.1 Ensure the researchers are informed of all the policies related to their research, especially those regarding confidentiality of information and 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 Policy and Research Unit Administrator for review and dissemination or publishing. {5-ACI-1F-16}
    - 1.2.2 Serve as the liaison between the organizational unit involved in the research project and the Policy and Research Unit while a project is being conducted, and arrange 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 Policy and 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 Department Order #914, Inmate Mail.
- 2.1 Researchers may telephonically interview inmates, if interviews are identified in the project request and are based on staff availability and approval of the respective Deputy Director. If approved, the Policy and Research Unit shall coordinate telephone interviews with the Assistant Director of the Prison Operations Division.
  - 2.2 Researchers shall not have access to inmates for the purpose of interviewing them face-to-face. The respective Deputy Director will consider approval of any exceptions.

- 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 Policy and Research Unit Administrator 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 facilities is permitted until the person(s) requiring access meet appropriate security and training requirements.

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

- 3.1 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.
- 3.2 Researchers may request to pay an inmate for his/her participation in research projects by contacting the Policy and Research Unit. Researchers shall not pay employees, who have participated 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. {5-ACI-1F-16}

**4.0 DISSEMINATION OR PUBLICATION OF RESEARCH FINDINGS**

- 4.1 Researchers shall submit copies of any research findings and manuscripts to the Policy and Research Unit 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. {5-ACI-1F-16}
- 4.2 At the schedule established by the respective Deputy Director, 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 Policy and Research Unit Administrator that includes all findings, recommendations and suggested future research projects, and any manuscripts. The final report and manuscripts shall be maintained in a research activity file.

**5.0 SURVEYS/INFORMATION REQUESTS**

- 5.1 The Deputy Director 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 Policy and Research Unit Administrator for assignment and completion.

- 5.2 The Policy and Research Unit Administrator 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 Policy and Research Unit Administrator 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 Deputy Director or designee's signature.
  - 5.2.5 Return the completed survey to the requestor.

## **FORMS LIST**

- 203-1, Employee Research Participant Consent
- 203-2, Inmate Research Participant 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, Research Proposal 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