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Robert Patton, Director Oklahoma Department of Corrections		Signature on File	

Procedures Regulating Research

The Department of Corrections (DOC) encourages and cooperates with research activities by outside individuals and groups, such as colleges and universities, and by individuals within the department while protecting offenders who are involved in research activities. (2-CO-1F-10, 2-CO-1F-11, 4-4108, 4-4109, 4-APPFS-3D-16, 4-APPFS-3D-35, 4-APPFS-3D-36)

All research activities are in accordance with federal laws and regulations to include “Protections Pertaining to Biomedical and Behavioral Research Involving Prisoners as Subjects,” 43 FR 53655, November 16, 1978, as amended. Research results will be used to analyze the department's present activities and as a guideline for future decision-making and policy development. (4-4110) Guidelines for the submission of research proposals, standards for research, research related activities and dissemination of research results are as follows. (2-CO-1F-09, 4-4110, 4-4111, 4-4112, 4-ACRS-7D-12, 4-APPFS-3D-36, 4-APPFS-3D-37)

I. Submission and Review of Research Proposals

A. Submission of Research Proposal

Research proposals must be submitted to the chief administrator of Analytics and Systems Quality Services (ASQS) for consideration. At a

minimum, the following information must be provided:

1. Credentials of researcher(s) with a description of previous research projects conducted and subsequent publications;
2. Title of proposed research, purpose, proposed methodology and/or design;
3. Expected outcomes of the research request with an explanation of how the research may benefit DOC and how and by whom the research results will be used;
4. Source(s) of funding for the research project;
5. DOC resources required to complete the research request;
6. Copies of any survey(s), questionnaire(s), or other data collection sources;
7. List of any devices to be used for data collection;
8. Preferred DOC facilities or other locations to be accessed for the research;
9. Documentation from the sponsoring entity's Federally approved/compliant institutional review board, grant manager, or other authorities from whom the researcher obtains consent as required by relevant federal guidelines and sponsor procedures;
10. Projected time frame; and
11. Possible risks associated with the implementation of the research request.

B. Review of Research Proposal

Proposals will be evaluated by the chief administrator of ASQS or designee(s) with respect to the following:

1. Soundness of research design and methodology;
2. Knowledge of existing literature and findings regarding the research subject matter;
3. Duplication of other projects underway or proposed;
4. Relevance of the proposal in relation to the goals and objectives of DOC;

5. Amount and type of assistance required from DOC personnel;
6. Assurance of maintaining confidentiality of offenders and DOC staff participants; and
7. Impact of research activities on the security and safety of the agency's operations and/or offenders.

C. Approval of the Research Proposal

1. If the chief administrator of ASQA recommends approval of the proposal, the proposal will be forwarded for field review by the affected parties, the associate director/affected division manager (s) affected facility head/district supervisor, and general counsel. (2-CO-1F-12, 4-4112, 4-ACRS-7D-12, 4-APPFS-3D-35, 4-APPFS-3D-36)
 - a. Upon notification by field reviewer(s) and general counsel that the proposal is supported, the chief administrator of ASQS will notify and advise the researcher(s) of any special conditions and establish a timeline for project completion. The field reviewers will be notified and, if necessary, be requested to perform required logistics to facilitate the research.
 - b. Field reviewer(s) identifying problems with the proposal will notify the chief administrator of ASQS, who may work with the researcher(s) to resolve issues if the chief administrator determines that the best interests of DOC will be served by continuation of the process. If the chief administrator does not so determine, the researcher(s) will be notified and the proposal returned as declined.
 - c. The chief administrator of ASQS may advise the field reviewer(s) of any issue resolutions and notify the researcher(s) and field reviewer(s) of any special conditions and establish a timeline for project completion.
 - d. If proposal issues remain unresolved, the chief administrator will determine whether the best interests of DOC will be addressed by the research. If the interests are addressed, the chief administrator will notify the researcher(s) and establish a timeline for completion. The field reviewer(s) will be notified and, if necessary, be requested to perform required logistics to facilitate the research. If not, the researcher(s) will be notified and the proposal returned.

2. If the chief administrator of ASQS does not recommend approval of the proposal, based on Section I. item B. above, the researcher(s) will be notified and the proposal returned as declined.

II. Protection of Offenders Involved in Research Projects

A. Restrictions

1. In accordance with state and federal laws and regulations, DOC does not conduct or allow others to conduct medical, pharmaceutical, or cosmetic experiments involving offenders. (2-CO-1F-14, 4-4402M, 4-ACRS-4C-20M) However, this policy does not prohibit an offender's physician from determining a need to treat the offender with a new medical procedure or treatment regimen, and from executing an informed consent agreement between the offender and the physician that outlines the positive and negative aspects of the proposed treatment.
2. Research involving medical and protected health information records may be permitted as long as procedures are in accordance with state and federal (HIPAA) laws and regulations.
3. Offenders may participate in other research activities only when the research does not place the participants at risk physically or emotionally.

B. Voluntary Participation

All offender participation in approved research will be voluntary. Prior to participation in any such research activity, the "Informed Consent to Participate in Research" ([DOC 021501A](#), attached) or an equivalent consent form approved by the chief administrator of ASQS and the researcher(s)' institutional review board will be completed and signed by the offender. (2-CO-IF-13, 4-4113, 4-ACRS-7D-12, 4-APPFS-3D-37)

C. Confidentiality and Access to Offender Information (2-CO-1F-15, 4-APPFS-3D-36)

To visit a DOC facility, private facility, or a building owned or leased by DOC, researcher(s) will sign and adhere to the terms of the "Compliance Agreement" ([Attachment C](#), attached).

1. Researcher(s) will take all necessary measures to safeguard the confidentiality of the offender files used in the research project and will guarantee the anonymity of subjects in the published findings.
2. Individuals or outside agencies may obtain access to offender criminal case history information for use in research, evaluation, or

statistical analysis pursuant to a written agreement with DOC using the "Request for Access" form ([Attachment A](#), attached).

3. To ensure confidentiality and security of the offender criminal case history information, the researcher(s) will sign the "Nondisclosure Agreement for Criminal Case History Information" ([Attachment B](#), attached).
4. Access to other offender information or records will be governed by the provisions of [OP-020108](#) entitled "Information Requests and Release of Information from Agency Records and Media Access to the Department of Corrections," the requirements of [OP-060210](#) entitled "Maintenance and Access of Offender Records" and [OP-140108](#) entitled "Privacy of Protected Health Information."
5. Any DOC employee who is approved to conduct research projects with DOC will also follow the procedures established above regarding the privacy and security of offender records.

III. Dissemination of Research Results (4-APPFS-3D-36)

A. Provision of Results by Researcher(s)

Upon completion of the project, the researcher(s) will provide the results, at a minimum, in an Executive Summary or an Abstract to the chief administrator of ASQS prior to its publication and/or other dissemination. If requested by the chief administrator, the researcher(s) will also provide a minimum of three paper copies and one electronic version of the complete project.

B. Dissemination to DOC

The chief administrator of ASQS will retain one copy of the submitted results and the complete project, if requested as in Section III. item A. of this procedure, to have available to provide field staff who reviewed the initial proposal, the general counsel and the director. The chief administrator will forward appropriate responses from these parties to the researcher(s) and may distribute the submitted results to additional staff as relevant and necessary.

C. Dissemination to the General Public

1. DOC will not discourage the publication of any approved research request but does retain the right to review and comment on the research prior to its publication. All published research materials will include a disclaimer that the publication may not necessarily reflect the opinion of the Oklahoma Department of Corrections. The chief administrator will provide comments to the researcher within 30 days of the receipt of the research results.

2. Results of all significant research projects, as defined by the chief administrator of ASQS, will be distributed to the Oklahoma Department of Libraries Publications Clearinghouse in accordance with [OP-020303](#) entitled "Dissemination of the Oklahoma Department of Corrections Publications." The researcher(s) may be required to submit up to 25 additional copies of any analytic and systems quality services publications.
3. DOC may also request that the researcher(s) provide copies to other appropriate local, state, or federal criminal justice agencies and non-profit organizations.

D. Dissemination to Professional Organizations

Researcher(s) will provide the agency a courtesy notification prior to presenting research results to a professional organization.

IV. References

Policy Statement No. P-020800 entitled "Guidelines for Research and Research-Related Activities"

OP-020108 entitled "Information Requests and Release of Information from Agency Records and Media Access to the Department of Corrections"

OP-020303 entitled "Dissemination of the Oklahoma Department of Corrections Publications"

OP-060210 entitled "Delayed Sentencing Program for Young Adults for Confined Offenders"

OP-140108 entitled "Privacy of Protected Health Information"

"Protections Pertaining to Biomedical and Behavioral Research Involving Prisoners as Subjects" 43 FR 53655, November 16, 1978.

Department of Justice Regulations, Title 28 and beyond entitled "How to Implement Privacy and Security" 1976, pages 10-11, 40-64.

V. Action

All division managers are responsible for compliance with this procedure.

The chief administrator of Analytics and Systems Quality Services is responsible for the annual review and revisions.

Any exception to this procedure will require written approval of the director.

This procedure is effective as indicated.

Replaced: Operations Memorandum No. OP-021501 entitled "Procedures Regulating Research" dated September 12, 2013

Distribution: Policy and Operations Manuals
Agency Website

<u>Referenced Forms</u>	<u>Title</u>	<u>Location</u>
DOC 021501A	"Informed Consent to Participate in Research"	Attached

<u>Attachments</u>	<u>Title</u>	<u>Location</u>
Attachment A	"Request for Access "	Attached
Attachment B	"Nondisclosure Agreement"	Attached
Attachment C	"Compliance Agreement"	Attached