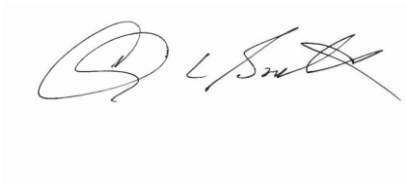
	DISTRICT OF COLUMBIA DEPARTMENT OF CORRECTIONS **POLICY AND PROCEDURE**	**EFFECTIVE DATE:**	September 10, 2018	**Page 1 of 16**
		SUPERSEDES:	1311.1H October 10, 2016	
		OPI:	STRATEGIC PLANNING AND ANALYSIS	
		REVIEW DATE:	September 10, 2019	
		Approving Authority	Quincy L. Booth Director	
	SUBJECT:	**RESEARCH ACTIVITY**		
	NUMBER:	**1311.1I**		
	Attachments:	Attachment A – RRB Request to Conduct Research Checklist Attachment B – Request to Conduct Research at the DOC Attachment C – Full Disclosure and Inmate Consent Form		

SUMMARY OF CHANGES:

Section	Change
	Minor changes made throughout.

APPROVED:



_____ **9/10/2018**

Quincy L. Booth, Director ***Date Signed***

1. PURPOSE AND SCOPE. To establish guidelines for conducting research within the D.C. Department of Corrections (DOC).

2. POLICY

a. It is the policy of the DOC to support aggregate data collection, research and demonstration projects, and evaluation and technical assistance to carry out its mission, improve programs, services and operations, and contribute to the body of knowledge in the field of Corrections.

b. DOC prohibits use of inmates for medical, pharmaceutical or cosmetic experiments.

c. All research is required to comply with ethical, legal and regulatory standards.

d. All research is required to be reviewed to ensure that proper safeguards are maintained prior to approval.

3. RESTRICTIONS. DOC, contract employees, volunteers, and non-employees shall not use data that is created or maintained by DOC or conduct any form of research that DOC has not authorized in advance, nor shall any person use DOC data or conduct research contrary to the stipulations in this directive.

4. APPLICABILITY. This directive applies to non-employees and external researchers who participate in, conduct or evaluate approved research activities; DOC employees, contractors, and volunteers who conduct and/or manage approved research activities; and inmates who may be the subject of research activity.

5. NOTICE OF NON-DISCRIMINATION

a. In accordance with the DC Human Rights Act of 1977, as amended, DC Official Code section § 2-1401.01 *et seq.*, (Act) the District of Columbia does not discriminate on the basis of : race, color, religion, national origin, sex, age, marital status, personal appearance, sexual orientation, gender identity or expression, familial status, family responsibilities, matriculation, political affiliation, genetic information, disability, source of income, status as a victim of an intrafamily offense, or place of residence or business. Sexual harassment is a form of sex discrimination which is also prohibited by the Act. Discrimination in violation of the Act will not be tolerated. Violators will be subject to disciplinary action.

6. PROGRAM OBJECTIVES. The expected results of this program are:

a. Researchers shall review the Research Review Board (RRB) Request to Conduct Research Review Checklist (Attachment A) prior to submitting a Request to Conduct Research (Attachment B) to confirm their research complies with state and federal law as well as DOC policies.

b. The DOC RRB shall review the Request to Conduct Research submitted by the researcher using the DOC RRB Request to Conduct Research Checklist (Attachment A) to ensure compliance before making a determination on whether to accept or deny the research project.

c. DOC shall document, that they have informed the Researcher about policies and procedures relating to their research, as determined by the RRB, especially those regarding confidentiality of information which researchers shall acknowledge in writing,

d. The research design, roles, responsibilities, resources, logistics and other requirements of staff and/or researchers or consultant shall be fully understood and agreed upon before any research project proceeds.

e. Any research conducted shall be formally authorized and adequately monitored so that the interests of the research subjects and DOC are safeguarded.

f. Researchers are required to provide DOC with pre-publication/pre-release research findings and reports for review and comment. Researchers are also required to provide DOC with a copy of the final report.

g. DOC may use the results of the research to develop agency goals and objectives and/or improve DOC programs and operations.

7. DIRECTIVES AFFECTED

a. **Directive Rescinded**

1) PP 1311.1H Research Activity (10/10/16)

b. **Directives Referenced**

1) PP 1300.1 Freedom of Information Act (FOIA)

2) PM 1300.3 Health Information Privacy

3) PS 2000.2 Retention and Disposal of Department Records

4) PM 6000.1 Medical Management

8. AUTHORITY

a. 28 § CFR 512.10 et seq. Research

b. 28 § CFR 46.01 et seq Protection of Human Subjects

c. D.C. Code § 24-211.02 Powers; Promulgation of Rules.

d. D.C. Code § 7-241 et seq. (7-242(4)), Use and Disclosure of Health and Human Services Information..

e. D.C. Code §§ 7-1201.01, 7-1201.02 Mental Health Information.

f. 45 C.F.R. 164.501 et seq. The Health Insurance Portability and Accountability Act of 1996 (HIPAA).

9. STANDARDS REFERENCED

a. American Correctional Association (ACA) 3rd Edition Standards for Adult Local Detention Facilities: 4-ALDF-7D-18

10. RESEARCH

Research is the systematic investigation into and study of data, materials or sources in order to establish facts and reach new conclusions. It is a detailed study of a subject in order to discover information or achieve a new understanding of it. It is divided into two general categories: (1) Basic research is inquiry aimed at increasing knowledge, and (2) Applied research is effort aimed at using basic research for solving problems or developing new processes, or techniques.

Statistical tabulations, program reviews, and analyses undertaken by DOC employees for agency management or administrative or informational purposes do not constitute research projects. Research initiated by DOC to accomplish its mission and goals, conducted by DOC employees, contractors or consultants, similarly, does not constitute a research project.

11. REQUIREMENTS FOR RESEARCH PROJECTS

a. In all research projects the rights, health, and human dignity of individuals involved must be respected.

The project must have an adequate research design and contribute to the advancement of knowledge about corrections.

b. The project must not involve medical experimentation, cosmetic research, or pharmaceutical testing.

c. The project must minimize risk to subjects; risks to subjects must be reasonable in relation to anticipated benefits.

d. The selection of subjects within any one institution must be equitable.

e. When applicable, informed consent must be sought and documented.

f. Incentives may not be offered to help persuade inmate subjects to participate. However, soft drinks and snacks to be consumed at the test setting may be offered. Reasonable accommodations such as nominal monetary recompense for time and effort may be offered to non-confined research subjects: who are both:

1) no longer in DOC custody, and

2) participating in authorized research being conducted by DOC employees or contractors.

12. RESEARCH REVIEW BOARD (RRB)

a. The DOC Director shall establish a standing Research Review Board (RRB) to review each research proposal prior to its implementation. The RRB will scrutinize the research requests and confirm that the research will not interfere with Department programs. The RRB will also check that the research will result in positive benefits for inmates, the public, the discipline of corrections, and/or the Department. The primary function of the RRB is to assist researchers in ensuring the protection of the rights and welfare of human participants. RRB may add members to review specific proposals according to the nature of the proposal so as to include the subject matter experts with the most relevant knowledge or experience. The RRB will review the research projects for:

1) Compliance with this directive, and associated procedures,
2) Its impact on and relevance to inmates and to corrections,
3) Its potential impact on security practices and operations, privacy, data quality, resource issues, and the impact upon DOC employee time and attention that would be associated with the external data request,
4) Its impact on DOC resources when the research proposal involves significant data,
5) Its potential value to DOC and to corrections as a discipline,
6) Fairness,
7) Identification and minimization of risk,
8) Confidentiality,
9) Ethical and other legal considerations, and
10) The methodology to be used.

b. Upon completion of review the RRB will forward a written recommendation to the DOC Director for review and final approval.

c. Accountability and progress of the research project will be tracked by the RRB.

d. The RRB will monitor all research conducted within the Department and will convene periodically to ensure the integrity of the research request and compliance with this directive is maintained.

e. Prior to implementing any major changes in the methodology, Researchers must submit changes in writing to the RRB for approval.

13. REQUIREMENTS FOR RESEARCHERS

a. The researcher must have academic preparation or experience in the area of study of the proposed research.

b. The researcher must assume responsibility and liability for actions of any person engaged to participate in the research project as an associate, assistant, or subcontractor to the researcher.

c. The researcher must not provide research information which identifies a participant to any person.

d. The researcher must adhere to applicable provisions of the D.C. Freedom of Information Act, the Privacy Act of 1974 and regulations pursuant to this Act and other applicable federal and local privacy and confidentiality laws.

e. The research design must be compatible with the safe, secure or orderly operation of the DOC facilities and protection of human subjects. The researcher must observe the rules of the institution or office in which the research is conducted.

f. Any researcher who is a non-employee of DOC must sign a statement in which the researcher agrees to adhere to this policy.

g. Records which contain non-disclosable information directly traceable to a specific person may not be stored in, or introduced into, an electronic retrieval system.

h. The researcher must submit planned methodological changes in a research project to the Research Review Board (RRB) for approval, and may be required to revise study procedures in accordance with the new methodology.

a. Any researcher is required to submit a request to conduct research activity at the DC Department of Corrections on the Request to Conduct Research Form (Attachment B). Research activity is required to be consistent with the safety, security and order of the institution.

14. RESPONSIBILITIES

a. Director

1) The Director has responsibility for referring researchers to this policy and their requests to the RRB to review. The Director has final authority to approve or disapprove all research projects.

2) Review and provide comments and clarity on collected data and findings, and

3) Approve or disapprove any disclosure and/or dissemination of information and data consistent with privacy and confidentiality federal and local laws

The Director has the authority to plan a research project to use Department information and data to study, evaluate or otherwise examine operations, programs or services provided or received by the Department.

b. **Office of Information Technology Services (OIT).** Under the general direction of the Deputy Director for Management Support, IT shall ensure that agency data is accessed, utilized, managed and disseminated in accordance with this and other DOC directives.

c. **DOC Privacy Officer.** Pursuant to the Health Insurance Portability and Accountability Act of 1996 (HIPAA), the DOC Privacy Officer shall authorize the use and/or disclosure of any Protected Health Information (PHI) which has been de-identified, prior to research taking place in the DOC or DOC contract facility.

d. **Warden.** The Warden of the Central Detention Facility (CDF) and Correctional Treatment Facility (CTF) is required to ensure that appropriate correctional supervision is provided while research is being conducted.

e. **Managers, Supervisors and Employees.** Full cooperation with external research authorities is required and expected. Questions concerning the disclosure of specific documents or information shall be referred to the senior level manager who may also consult with the General Counsel, DOC Privacy Officer, Office of Government and Public Affairs (OGPA), and/or the Office of Accreditation and Compliance (OAC).

f. **Inmates as Subjects.** All inmates must acknowledge and complete the Inmate Consent Form (Attachment C) that provide full disclosure regarding the research prior to participation in any research activity conducted in DOC facilities. If an inmate is selected to participate in a research activity and denies participation, the inmate's denial must be documented on the Inmate Consent Form.

g. **Employees as Subjects.** Employee participation as subjects shall be in accordance with any existing provisions or collective bargaining agreement dealing with the administration of tests and questionnaires to employees.

1) Senior level managers, in consultation with the General Counsel, Office of Government and Public Affairs and Office of Accreditation and Compliance or other appropriate DOC points of contact, are required to resolve questions concerning the disclosure of specific documents or information according to applicable DOC directives.

15. RESEARCH REQUESTS

a. **DOC Employees.** Research applicants who are DOC employees, contract employees, and volunteers providing services on behalf of DOC are required to initiate the review process at their site of employment and obtain the respective Warden's, Administrator's or Office Chief's affirmative recommendation prior to forwarding a proposal package to the Director.

b. **Non-Employees**

1) All outside research proposals/requests are required to be submitted for approval to the DOC Director.

2) Must sign a statement in which the non-employee researcher agrees to adhere to the provisions of this directive.

3) When submitting a research proposal, the applicant is required to complete, in its entirety, the *Request to Conduct Research at the DC Department of Corrections* (Attachment B).

Must comply with HIPAA and all federal and local confidentiality and privacy laws and regulations and approved by the RRB and the DOC Privacy Officer. Approved PHI shall be provided by DOC and used by the Researcher only as specifically authorized to adhere to the research protocol.

4) Authorized Protected health information may only be accessed on DOC's premises during the review; it is required to remain on-site at all times. The DOC RRB is required to provide researchers with a copy of the PM 1300.3, *Health Information Privacy.*

16. RESEARCH PROPOSAL. When submitting a research proposal, the applicant shall provide the following information:

a. A summary statement which includes:

1) Name(s) and current affiliation(s) of the researcher(s);;
2) The title of the study;
3) Purpose of the project; ;
4) Location of the project; Methods to be employed;
5) Anticipated results; Duration of the study;

b. Number of participants (staff/inmates) required and amount of time required from each; and Indication of risk or discomfort involved as a result of participation. A comprehensive statement which includes:

1) Review of related literature;
2) Detailed description of the research method;
3) Significance of anticipated results and their contribution to the advancement of knowledge;
4) Specific resources required from the DOC;
5) Description of all possible risks, discomforts, and benefits to individual participants or a class of participants, and a discussion of the likelihood that the risks and discomforts will actually occur;
6) Description of steps taken to minimize any risks described in (b)(5) of this section.
7) Description of physical and/or administrative procedures to be followed to:
   a) Ensure the security of any individually identifiable data that are being collected for the project, and
   b) Destroy research records or remove individual identifiers from those records when the research has been completed.
8) Description of any anticipated effects of the research project on institutional programs and operations; and

9) Relevant research materials such as vitae, endorsements, sample informed consent statements, questionnaires, and interview schedules.

17. DOC MONITORING. The designated DOC manager shall monitor research projects for compliance with DOC policies.

a. At a minimum, a yearly review of each ongoing research project is required to be conducted.

b. After a project begins, matters of concern are required to be referred to Office of Accreditation and Compliance staff. Protected Personal Health Information data concerns shall be directly referred to the DOC Privacy Officer.

c. Those coordinating the research project are required to report any violations of research policy to Office of Accreditation and Compliance.

d. In conjunction with the General Counsel, Deputy Director(s) and affected Office Chief/Administrator where the research is conducted, a review and comment on research is required prior to publication. The purpose of the review is to detect and resolve material errors or address alleged or potential non-compliance with this directive. The desired outcome is to assure researchers' publication of project results is accurate as well as fully compliant with DOC directives.

18. TERMINATION OR SUSPENSION. The Director may suspend or terminate a research project if the project violates research policy or that its continuation may prove detrimental to the inmate population, the staff, or the orderly operation of the facility.

19. ACCESS TO DOC DATA AND RECORDS

a. Employees, including consultants, of the DOC who are conducting authorized research projects with the express written approval of the Director or the Director's designee are provided access to those records relating to the participant, which are necessary to the purpose of the research project without having to obtain the participant's consent.

b. A non-employee of the DOC is limited in access to information available under the Freedom of Information Act except as provided in Sections c and d below.

c. If the participant gives written consent, a non-employee conducting an authorized research project shall have access to de-identified records of the participant.

d. A non-employee of the DOC may receive records in a form not individually identifiable when advance adequate written assurance that the record will be used solely to compile aggregated datasets or reports is provided to the agency, and receipt of the record is approved by the Privacy Officer.

20. FULL DISCLOSURE AND INFORMED CONSENT

a. Before commencing a research project requiring participation by staff or inmates, researchers are required to give each participant a written informed consent statement, presented at a reading level and in language that is understandable to the participants, containing the following information:

1) Identification of the principal investigator(s).

2) Objectives of the research project.

3) Procedures to be followed in the conduct of research.

4) Purpose of each procedure.

5) Anticipated uses of the results of the research.

6) A statement of benefits reasonably to be expected.

7) A declaration concerning discomfort and risk, including a description of anticipated discomfort and risk.

8) A statement that participation is completely voluntary and that the participant may withdraw consent and end participation in the project at any time without penalty or prejudice (the inmate is required to be returned to regular assignment or activity by staff as soon as practicable).

9) A statement regarding the confidentiality of the research information and exceptions to any guarantees of confidentiality required by federal or state law. For example, if a participant indicates intent to commit future criminal conduct or harm to himself/herself or someone else, or, if the participant is an inmate, indicates intent to leave the facility without

authorization, researchers are required to inform the participant that they cannot guarantee confidentiality and report the statement to an appropriate DOC supervisor or staff person. The DOC supervisor or staff person receiving such information is required to comply with DOC incident notification policy PP 1280.2, *Reporting and Notification Procedures for Significant Incidents and Extraordinary Occurrences*.

10) A statement that participation in the research project will have no effect on the inmate participant's release date or parole eligibility.

11) An offer to answer questions about the research project.

12) Appropriate additional information as needed to describe adequately the nature and risks of the research.

13) The estimated date of completion of the research project.

b. **A researcher who is an employee of the DOC** shall include in the informed consent statement a declaration of the authority under which the research is conducted.

c. **A researcher who is an employee of the DOC**, in addition to presenting the statement of informed consent to the participant, shall also obtain the participant's signature on the statement of informed consent, when:

1) The participant's activity requires something other than response to a questionnaire or interview, or

2) It is determined that the research project or data-collection instrument is of a sensitive nature.

d. **A researcher who is employed by DOC**, **or is a contract employee**, and is conducting research for official DOC purposes is exempt from informed consent requirements when the research involves non-Protected Health Information archival data analysis exclusively and does not require direct (active) inmate participation.

e. **A researcher who is not employed by DOC** is required to:

1) Present participants with the statement of informed consent, and

2) Obtain participants' signatures on the statements of informed consent prior to initiating research activity.

3) Researchers are not required to obtain signatures if they can demonstrate that the only link to the subject's identity is the signed statement of informed consent, the material is not PPHI or that there is significantly more risk to the subject if the statement is signed.

f. The original signed statement of informed consent is required to be placed in the specific research project's DOC file.

g. A copy of the signed consent form that grants a researcher access to an Inmate's Central File is required to be placed in the non-disclosable portion of the Inmate's File and a copy is required to be offered to the inmate.

h. An authorization for the use or disclosure of protected health information for a research study may be combined with any other type of written permission for the same or another research study including consent to participate in research.

21. RESEARCH PROGRESS/STATUS REPORTS. Researchers are required to submit progress reports on the research and at least one report of findings. The following applies to the report of findings:

a. At least once a year, or, more often if required by the Director, researchers must provide the RRB with a report on the progress of the research;

b. Researchers are required to distribute one copy of the report to each of the following at least twelve (12) working days prior to the release of any report of findings:

1) Director

2) Deputy Director(s)

3) Proposal Review Committee, and

4) Primary DOC Manager/coordinator for the project.

c. Researchers are required to include an abstract in the report of findings; and

d. DOC managers are required to take relevant research findings into consideration in assessing their programs.

22. PUBLICATION OF RESULTS OF RESEARCH PROJECT

a. Researchers may publish in book form and professional journals the results of any research project conducted under the following conditions:

1) In any publication of results, researchers shall acknowledge the DOC's facilitation of and participation in the research project;

2) Researchers comply with this DOC directive and have provided DOC the opportunity to review and determine factual accuracy,

3) Researchers have addressed any factual inaccuracies and DOC has determined full compliance with this directive; and,

4) Researchers expressly disclaim approval or endorsement of the published material as an expression of the policies or views of the DOC.

b. Prior to submitting for publication the results of a research project conducted under this directive, researchers are required to provide two copies of the material, for informational purposes only, to DOC. DOC Managers receiving such material are required to provide it to OAC for archival purposes.

23. COPYRIGHT PROVISIONS

a. An employee (DOC or contract staff) may not copyright any work prepared as part of his/her official duties.

b. As a precondition to conduct research under this rule, a non-employee shall grant in writing to the DOC a royalty-free, non-exclusive, and irrevocable license to reproduce, publish, translate, and otherwise use or authorize others to publish and use original materials developed as a result of research conducted under this directive.

c. Subject to a royalty-free, non-exclusive, and irrevocable license, which the DOC reserves to reproduce, publish, translate, and otherwise use and authorize others to publish and use such materials, a non-employee may copyright original materials developed as a result of research conducted under this rule.

24. RECORD-KEEPING

a. DOC is required to maintain a file on each research request or project covered by this policy in accordance with PS 2000.2, *Retention and Disposal of Department Records.*

b. The DOC Privacy Officer is required to maintain a record of PHI use and disclosure for research purposes in accordance with PM 1300.3, *Health Privacy Information.*

Research Review Board (RRB) Checklist
Request to Conduct Research at the DC Department of Corrections

The following is required before a research request may be granted. Please review this list and mark whether the requirement has been met, not met or discussed between you and the researcher. Please leave notes in the comment section for further explanation.

☐ met ☐ not met	**1. Research Requirements** In all research projects the rights, health, and human dignity of individuals involved must be respected.	Comments:
☐ met ☐ not met	**2. Research Requirements** The project must have an adequate research design and contribute to the advancement of knowledge about corrections.	Comments:
☐ met ☐ not met	**3. Research Requirements** The project must not involve medical experimentation, cosmetic research, or pharmaceutical testing.	Comments:
☐ met ☐ not met	**4. Research Requirements** The project must minimize risk to participants.	Comments:
☐ met ☐ not met	**5. Research Requirements** The risks or discomfort to participants must be reasonable in relation to anticipated benefits.	Comments:
☐ met ☐ not met	**6. Research Requirements** The selection of subjects within any one institution must be equitable.	Comments:
☐ met ☐ not met	**7. Research Requirements** Full disclosure informed consent is provided to be signed by the participant.	Comments:
☐ met ☐ not met	**8. Research Requirements** Incentives may not be offered to help persuade inmate participants to participate. However, soft drinks and snacks to be consumed at the test setting may be offered.	Comments:
☐ met ☐ not met	**9. Researcher Requirements** The researcher must have academic preparation or experience in the area of study of the proposed research.	Comments:
☐ met ☐ not met	**10. Researcher Requirements** The researcher must assume responsibility for actions of any person engaged to participate in the research project as an associate, assistant, or subcontractor to the researcher	Comments:
☐ met ☐ not met	**11. Researcher Requirements** The researcher must obtain approval from the Privacy Officer before obtaining any access to the participant's records and data - both identifiable and de-identifiable.	Comments:

☐ met ☐ not met	**12. Researcher Requirements** The researcher must not provide research information which identifies a participant to any person.	Comments:
☐ met ☐ not met	**13. Research Requirements** The researcher must adhere to applicable provisions of FOIA, the Privacy Act of 1974, HIPAA and all other federal and local privacy and confidentiality laws and regulations.	Comments:
☐ met ☐ not met	**14. Research Requirements** The research design must be compatible with both the operation of prison facilities and protection of human subjects.	Comments:
☐ met ☐ not met ☐ discussed	**15. Researcher Requirements** The researcher must observe the rules of the institution or office in which the research is conducted.	Comments:
☐ met ☐ not met	**16. Researcher Requirements** Any researcher who is a non-employee of DOC must sign a statement in which the researcher agrees to adhere to the provisions of this policy and all policies of the DOC	Comments:
☐ met ☐ not met	**17. Researcher Requirements** Records which contain non-disclosable information directly traceable to a specific person may not be stored in, or introduced into, an electronic retrieval system.	Comments:
☐ met ☐ not met	**18. Researcher Requirements** The researcher must submit planned methodological changes in a research project to the Research Review Board (RRB) for approval, and may be required to revise study procedures in accordance with the new methodology.	Comments:
☐ met ☐ not met	**19. The Research Proposal Requirements** A summary statement which includes: • Full name(s) and current affiliation(s) of the researcher(s).	Comments:
☐ met ☐ not met	**20. The Research Proposal Requirements** A summary statement which includes: • The organization they represent, if any.	Comments:
☐ met ☐ not met	**21. The Research Proposal Requirements** A summary statement which includes: • Name and title of person who will supervise the project.	Comments:

☐ met ☐ not met	**22. The Research Proposal Requirements** A summary statement which includes: • Researchers curriculum vita with relevant research experience and capabilities.	Comments:
☐ met ☐ not met	**23. The Research Proposal Requirements** A summary statement which includes: • A list of publications or related literature.	Comments:
☐ met ☐ not met	**24. The Research Proposal Requirements** A summary statement which includes: The title of the study.	Comments:
☐ met ☐ not met	**25. The Research Proposal Requirements** A summary statement which includes: The purpose of the project.	Comments:
☐ met ☐ not met	**26. The Research Proposal Requirements** A summary statement which includes: The location of the project.	Comments:
☐ met ☐ not met	**27. The Research Proposal Requirements** A summary statement which includes: The mission of the project.	Comments:
☐ met ☐ not met	**28. The Research Proposal Requirements** A summary statement which includes: A detailed description of the research methods to be employed.	Comments:
☐ met ☐ not met	**29. The Research Proposal Requirements** A summary statement which includes: The significance of anticipated results and their contributions to the advancement of knowledge.	Comments:
☐ met ☐ not met	**30. The Research Proposal Requirements** A sample informed consent statement.	Comments:
☐ met ☐ not met	**31. The Research Proposal Requirements** A summary statement which includes: Questionnaires.	Comments:
☐ met ☐ not met	**32. The Research Proposal Requirements** A summary statement which includes: Interview schedules.	Comments:
☐ met ☐ not met	**33. The Research Proposal Requirements** A summary statement which includes: The general problem and specific purpose of the	Comments:

	proposed project: • Describe the nature of the problem.	
☐ met ☐ not met	**34. The Research Proposal Requirements** A summary statement which includes: The general problem and specific purpose of the proposed project: • The objective to be met and the outcome that the project is expected to achieve.	Comments:
☐ met ☐ not met	**35. The Research Proposal Requirements** A summary statement which includes: The general problem and specific purpose of the proposed project: • Include definitions of terms.	Comments:
☐ met ☐ not met	**36. The Research Proposal Requirements** A summary statement which includes: The general problem and specific purpose of the proposed project: • Provide a list of ongoing and past research that relates to the project.	Comments:
☐ met ☐ not met	**37. The Research Proposal Requirements** A summary statement which includes: The anticipated results highlighting immediate or potential benefits, innovations or new knowledge.	Comments:
☐ met ☐ not met	**38. The Research Proposal Requirements** A summary statement which includes: A description of all possible risks, discomforts, and benefits to individual participants or a class of participants, and a discussion or the likelihood that the risks and discomforts will actually occur.	Comments:
☐ met ☐ not met	**39. The Research Proposal Requirements** A summary statement which includes: A description of steps taken to minimize any risks.	Comments:
☐ met ☐ not met	**40. The Research Proposal Requirements** A summary statement which includes: A description of physical and/or administrative procedures to be followed to ensure the security of any individually identifiable data that are being collected for the project, and destroy research records or remove individual identifiers from those records when the research has been completed.	Comments:

☐ met ☐ not met	**41. The Research Proposal Requirements** A summary statement which includes: The duration of the study.	Comments:
☐ met ☐ not met	**42. The Research Proposal Requirements** A summary statement which includes: The methodology used, what is to be done, how and by whom.	Comments:
☐ met ☐ not met	**43. The Research Proposal Requirements** A summary statement which includes: Data elements to be collected, sources of information and all planned methods of analysis.	Comments:
☐ met ☐ not met	**44. The Research Proposal Requirements** A summary statement which includes: Copies of data collection tools	Comments:
☐ met ☐ not met	**45. The Research Proposal Requirements** A summary statement which includes: Any relevant reasons (time contraints, budgets, etc,) for selecting the techniques.	Comments:
☐ met ☐ not met	**46. The Research Proposal Requirements** A summary statement which includes: The number of participants (staff/inmates) required and the amount of time required from each.	Comments:
☐ met ☐ not met	**47. The Research Proposal Requirements** A summary statement which includes: Incentives to be offered, if any, and justification of involvement where proposed. List contacts/sources within the department.	Comments:
☐ met ☐ not met	**48. The Research Proposal Requirements** A summary statement which includes: The specific resources required from the DOC.	Comments:
☐ met ☐ not met	**49. The Research Proposal Requirements** A summary statement which includes: A description of any anticipated effects of the research project on institutional programs and operations.	Comments:
☐ met ☐ not met	**50. The Research Proposal Requirements** A summary statement which includes: A formal memorandum of understanding, interagency agreement or contract may be affected where an arrangement is recommended with another agency, non-governmental organization or individual that involves the use of resources, such as manpower, space, facilities, supplies or equipment. All necessary elements to be	Comments:

	included in such an agreement or draft agreement should be submitted for consideration.	
☐ met ☐ not met	**51. The Research Proposal Requirements** A summary statement which includes: Whether the project will, in fact, be terminated after the project duration expires or whether a second phase or continuation of some type will be proposed or required. If yes to either, indicate whether the DOC's cooperation and participation will again be requested.	Comments:

ADDITIONAL COMMENTS:

DATE: _____

REQUEST TO CONDUCT RESEARCH AT THE DC DEPARTMENT OF CORRECTIONS

A request to conduct research at the D.C. Department of Corrections shall include the following information set forth below. Please submit your request with all of this information as organized in the same order and mail it to the Director, DC Department of Corrections, 2000 14th ST. NW, Washington, DC 20009. You may review Attachment C, the RRB Checklist, against your request to ensure it is a complete submission.

1. **Name –**
   a. List full name and address of researcher(s); and
   b. The organization they represent, if any;
   c. Include the researcher(s) curriculum vita with relevant research experience and capabilities; and
   d. A list of publications or related literature, if any.
2. **Title of project**
3. **Purpose of project**
4. **Proposed location of the project**
5. **Name and title of person who will supervise the project**
6. **Project Summary** – Include
   a. A summary of the mission of the project;
   b. A detailed description of the research method;
   c. The significance of anticipated results and their contribution to the advancement of knowledge;
   d. Sample informed consent statements,
   e. Questionnaires,
   f. Interview schedules.
7. **Statement of general problem and specific purpose of the proposed project –**
   a. Describe the nature of the problem;
   b. The objective to be met and the outcome that the project is expected to achieve;
   c. Include definitions of terms;
   d. Provide a list of ongoing and past research that related to the project.
8. **Anticipated results -** Describe anticipated results, highlighting the significant immediate or potential benefits, and innovations or new knowledge likely to result.
9. **Description of risks –**
   a. Description of all possible risks, discomforts, and benefits to individual participants or a class of participants, and a discussion of the likelihood that the risks and discomforts will actually occur;
   b. A description of steps taken to minimize any risks,
   c. A description of physical and/or administrative procedures to be followed to ensure the security of any individually identifiable data that are being collected for the project, and destroy research records or remove individual identifiers from those records when the research has been completed;

10. **Project Duration** – Show proposed beginning and ending dates.
11. **Methodology –**
    a. Describe what is to be done, how and by whom.
    b. Specify data elements to be collected, sources of information and all planned methods of analysis.
    c. Provide copies of data collection tools, such as questionnaires and interview schedules, should be attached.
    d. Specify any relevant reasons (time constraints, budget, etc.) for selecting the techniques.
12. **Specific Resources required from the DOC –**
    a. Describe staff and inmate involvement by number, type and nature of required participation.
    b. Include amount of time required from each.
    c. Show incentives to be offered, if any, and justify involvement where proposed. List contacts/sources within the department.
13. **Resources –**
    a. State the specific resources required from the DOC;
    b. A description of any anticipated effects of the research project on institutional programs and operations;
    c. Where an arrangement is recommended with another agency, non-governmental organization or individual that involves the use of resources, such as manpower, space, facilities, supplies or equipment, a formal memorandum of understanding, interagency agreement or contract may be affected. Therefore, all necessary elements to be included in such an agreement or draft agreement should be submitted for consideration.
14. **Project continuation -** Indicate whether project will, in fact, be terminated after project duration expires or whether a second phase or continuation of some type will be proposed or required. If yes to either, indicate whether the DOC's cooperation and participation will again be requested.

Please include the following signature block on the submission:

Research's Signature: _____ Date:_____

Company/Program: _____

ID Number: _____

Address: _____

_____

Research Title: _____

Telephone No. : **Fax No.:**

Email: _____

List of Attachments Provided:

DC DEPARTMENT OF CORRECTIONS

FULL DISCLOSURE AND INMATE CONSENT FORM - RESEARCH ACTIVITY

(Please Print)

1. Date_____
2. Name_____DCDC#_____
3. Correctional Facility_____
4. Researcher/ Organization_____
5. Type of Information Requested_____
6. Research Purpose_____
7. Expected Research Benefits_____

_____
_

8. Description of Research or Attach Description:_____

_____
_____
_____
_____
_____
_____
_____
_____

I, the above named inmate, do hereby freely give permission to the above named researcher to interview, evaluate, or otherwise conduct research on me on (date)_____. I do hereby authorize the above named researcher to use any approved information legally gathered about me during the duration of the research project and subsequent document review for legitimate research purposes. I further authorize the District of Columbia Department of Corrections and their designated representatives to release documents or information relating to allegations or comments made by me during the duration of the research project.

I am of the understanding the following conditions will be met:

a. My participation is completely voluntary and I may end participation at any time without penalty or prejudice.

b. I will not receive compensation of any kind in return for my participation.

c. This research does not involve medical experimentation, cosmetic research or pharmaceutical testing.

d. My rights, health, right to privacy, and human dignity will be respected.

e. The researcher will maintain confidentiality of my personal information in accordance with federal and District laws.

f. Participation in this research will have no effect on my ability to receive good time credits or release date.

g. The results of this research may be published, however all research data collected that identifies me as an individual shall be subject to the same confidentiality and security standards required for inmate records.

h. I recognize that I have a right to consult with my attorney before granting any interview and should do so if any information I release could have an impact on any civil or criminal litigation.

If applicable, the following discomfort(s) and risk(s) that may result from this research has been explained to me

_____
_____
_____

Inmate's Signature_____
Date:_____

Witness_____ Date
_____

Title_____

I, the above named inmate, refuse permission to the above named researcher to use me as a participant in the listed research project.

Inmate's Signature_____
Inmate's DCDC# _____

Witness Signature _____ Date_____

Title: _____

Researcher's Signature _____Date:
_____

Research Title:_____

Research Address: _____
_____

Completion Date of Research: _____

_____**Check if the DOC HIPAA Compliant Release is required for release of PHI and attach the fully executed HIPAA Release.**

Inmate's Copy
Inmate Institutional File
Inmate Medical Record (if PHI is required)
Researcher's Copy
DOC Privacy Officer (If PHI is required)
RRB File Copy