

STATE OF OHIO



DEPARTMENT OF REHABILITATION
AND CORRECTION

SUBJECT: Research Approval Process	PAGE <u> 1 </u> OF <u> 3 </u> .
	NUMBER: 06-RES-01
RULE/CODE REFERENCE:	SUPERSEDES: 06-RES-01 dated 10/15/08
RELATED ACA STANDARDS: 4-4108; 4-4109, 4-4110; 4-4111; 4-4112; 4-4113; 2-1066; 2-1067; 1-CTA-1D-02; 2-CO-1F-10; 12; 4-APPFS-3D-35; 36; 37	EFFECTIVE DATE: September 20, 2013
	APPROVED: 

I. AUTHORITY

This policy is issued in compliance with Ohio Revised Code 5120.01 which delegates to the Director of the Department of Rehabilitation and Correction the authority to manage and direct the total operations of the Department and to establish such rules and regulations as the Director prescribes.

II. PURPOSE

The purpose of this policy is to establish procedures that authorize and encourage research, program planning and evaluation in the Ohio Department of Rehabilitation and Correction.

III. APPLICABILITY

This policy applies to all Departmental employees, all persons under contract, and all persons not employed by or not under contract with the Department who wish to conduct research within the department.

IV. DEFINITIONS

Confidentiality - As human subjects of research, inmates, offenders on parole, post-release control or offenders with records in other ODRC databases, have a right to expect that non-public information gathered about them for a particular study will not be divulged in a manner which identifies any individual offender and/or specific facts about that offender. The expectation of confidentiality applies not only to the procedures by which the research is carried out and to the published findings of the research, but also to non-research related communications of the researcher.

Human Subjects Research Review Committee - The Human Subjects Research Review Committee is a group, appointed by the Director or the Director's designee, created to review research studies to be conducted by individuals outside the Department (and, in some cases, by individuals or groups within the Department) to determine compliance with guidelines dealing with the use of human subjects in research and with professional research standards.

Research - Research is the careful and systematic study and investigation of a field of knowledge, which is undertaken to discover or establish facts or principles, to determine the impact and/or effectiveness of practices, or to study the possible impact of change on a system.

V. POLICY

It is the policy of the Ohio Department of Rehabilitation and Correction to encourage the development of criminal justice knowledge through research. The Department shall actively support outside researchers who request to conduct any research. The Department's Human Subjects Research Review Committee shall encourage and facilitate reasonable research efforts by individuals from outside the Department and shall review all research proposals to determine compliance with departmental standards. The participation of offenders under the jurisdiction of the Department in medical, pharmaceutical, and/or cosmetic research projects is prohibited unless there is clear benefit for the inmate given his/her health status. The Ohio Department of Rehabilitation and Correction (DRC) shall pursue and support research by its own staff for the improvement of the Department, for more successful accomplishment of departmental goals, and for the improvement of society and the criminal justice system.

VI. PROCEDURES

- A. The Department shall create and maintain a capacity to conduct internal research studies (e.g., descriptive, evaluative) and to provide information and guidance to those who need to develop or improve practices and policies. This capacity shall reside, primarily in the Bureau of Research and Evaluation which holds a permanent status in DRC. The capacity shall be balanced between an ability to provide short-term, immediate assistance to decision makers in the Department and an ability to systematically identify and support key departmental needs for which research can be usefully conducted and to conduct that research.
- B. Any research project conducted using information from the Department concerning inmates, offenders on parole or post-release control or others under the jurisdiction of the Department will adhere to generally-accepted standards of confidentiality of the subjects' identity.
- C. Information may be provided for departmental managers with emphasis on the following:
 1. How to develop programmatic planning concepts in terms of program outcome and the record keeping necessary to measure performance.
 2. How to set up record keeping practices that will allow program managers to assess their own programs and performance.
- D. The Department shall encourage the development of relationships with outside researchers to further criminal justice research and knowledge, including:
 1. Participation in major national efforts to develop comparable data among jurisdictions.

2. Completion of surveys received from individuals or organizations; surveys shall be approved if it is determined that the information to be gained is sufficiently beneficial to counter the level of difficulty of the survey itself.
 3. Encouragement of outside researchers to approach the Department with research proposals that relate to criminal justice.
- E. All requests for research to be conducted by outside researchers and certain requests from researchers within the Department must be submitted to the departmental Human Subjects Research Review Committee for review and approval. The procedures followed by this Committee are detailed in Department Policy 06-RES-02, Human Subjects Research Policy. Certain requests for information for research purposes from other governmental agencies do not necessarily require Human Subjects Research Review Committee review and approval if there is an administrative determination that human subject concerns are appropriately considered and assured.
- F. Articles for publication generated by employees within the Bureau of Research and Evaluation shall be reviewed and approved by an appropriate Deputy Director before publication.
- G. Any staff member in the department may suggest topics for research by departmental researchers. If it would be a large scale project, such suggestions should be routed through the suggestor's Deputy Director for concurrence and then to the Bureau of Research and Evaluation.
- H. It is the practice of Department researchers to consult with field staff at every level and to solicit input from all relevant stakeholders with an interest in the proposed research. This input may affect both the design of the study itself and the presentation of findings.