

MICHIGAN DEPARTMENT OF CORRECTIONS <b>POLICY DIRECTIVE</b>	EFFECTIVE DATE 03/08/1999	NUMBER 01.04.120
	SUBJECT RESEARCH INVOLVING CORRECTIONS FACILITIES OR OFFENDERS	
		SUPERSEDES 01.04.120 (3-1-75)
		AUTHORITY MCL 791.201
		ACA STANDARDS 2-CO-1E-06 - 08; 2-CO-1F-09 - 15.
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**POLICY STATEMENT:**

The Department encourages and will facilitate research that may provide new insights or creative approaches to providing correctional services or that evaluates the Department's programs for both impact and efficiency, subject to available resources and legal restrictions.

**DEFINITION:**

**Offender** is any probationer, prisoner or parolee under the supervision of the Department.

**POLICY:**

- A. The Department will not approve any medical, pharmaceutical or cosmetic testing or research involving offenders as participants.
- B. All approved research projects must protect the rights of all participants, minimize disruption of normal correctional operations and prevent unwarranted imposition on offenders, staff, facilities or programs.
- C. Individuals committed to the care and control of the Department are presented with a situation in which their customary freedom is restricted in various ways. Therefore, exceptional care must be exercised in protecting all prospective or actual research participants' freedom of choice. Since research involves possible dangers and abuse, as well as benefits, the following guidelines are to apply:
  - 1. Freedom of choice must be guaranteed for all potential subjects who are to participate actively in any research, even if that participation involves nothing more than answering questions or expressing opinion. Offenders who actively participate in any research project must sign a letter of consent that will be placed in the offender's institution or field office record.
  - 2. Coercion of any sort shall not be allowed; the decision to participate or not to participate in any research shall not result in any sanctions, penalties, or loss of privileges.
  - 3. Research activities which involve only the use of automated databases, manual files or source documents and no direct offender participation are not covered by C.1 and C.2. However, the research shall be conducted in such a way so as to preserve the offender or staff confidentiality in any research reports or publications. The individual researcher who is approved for conducting research shall be required to sign a confidentiality of information agreement before he/she is given access to any files, documents, records or data bases.
- D. The Department reserves the right to review any reports or publications for factual accuracy of descriptive statements concerning the Department prior to issuance, and may request a file copy of all reports of potential value to the Department.

RESEARCH REQUEST APPROVAL

- E. All research or program evaluation proposals will be submitted to the Department's Manager of the Research Section, Office of Planning, Research and Management Information Services (OPRMIS) for

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approval. All research requests are to be submitted in the form of a proposal which specifies:

1. the purpose of the research,
  2. the hypotheses to be investigated,
  3. the size of the sample to be studied,
  4. the amount and nature of staff or offender time required,
  5. any equipment, facilities, or costs involved,
  6. the method of collecting and analyzing the data, and
  7. the uses to which the results of the research will be put.
- F. The Research Section Manager or designee shall be responsible to ensure that researchers do not use documents or forms which are prohibited from access or release by law.
- G. It will be the responsibility of the Research Section Manager or designee to properly inform and consult with the affected Deputy Director, Central Office Administrator and/or Warden or Field Office Regional Administrator in which the research is to be done before approval is granted. The Research Section in conjunction with the affected operational staff shall ascertain that the research will not seriously impede security, program or administrative efficiency.
- H. Research requests will be judged primarily on the relevance of the research to the issues of the corrections system and its members; the degree of disruption to normal activities; the methodological merits of the proposed research, and the probability of achieving the stated research aims. A research project which is redundant, of inappropriate design, or deemed to be unlikely to produce results will not receive approval.
- I. The Research Section shall maintain a file of all research or evaluation project requests which shall record at least the following information:
1. A copy of the research proposal,
  2. Documentation related to Department staff being consulted prior to approval,
  3. Date the project is approved or denied, and if denied the reason for the denial, and
  4. If approved, a copy of the researcher's confidentiality agreement, if one is required.

#### AUDIT ELEMENTS

- J. A Primary Audit Elements List has been developed to ensure compliance with this policy by providing staff with a tool for self auditing. The list shall be used by OPRMIS to assist with the self audit of this policy, pursuant to PD 01.05.100 "Self Audit of Policies and Procedures."

BM:OPH:02/10/99