



STATE OF WASHINGTON  
DEPARTMENT OF CORRECTIONS

APPLICABILITY  
**DEPARTMENT WIDE**  
OFFENDER/SPANISH MANUALS

REVISION DATE  
12/29/06

PAGE NUMBER  
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NUMBER  
**DOC 260.050**

**POLICY**

TITLE  
**RESEARCH REVIEW AND USE**

**REVIEW/REVISION HISTORY:**

Effective: 12/31/96  
 Revised: 1/15/97  
 Revised: 9/10/99  
 Revised: 3/2/01  
 Revised: 8/27/02  
 Revised: 12/29/06

**SUMMARY OF REVISION/REVIEW:**

Numerous changes to reflect current practices

**APPROVED:**

Signature on File

\_\_\_\_\_  
**HAROLD W. CLARKE**, Secretary  
 Department of Corrections

11/27/06  
 \_\_\_\_\_  
 Date Signed

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**REFERENCES:**

DOC 100.100 is hereby incorporated into this policy; ACA 4-4070; ACA 4-4109; ACA 4-4111; ACA 4-4112; ACA 4-4113; ACA 4-4402; ACA 4C-20; ACA 7D-12; ACA 3D-16PP; ACA 3D-31PP; ACA 3D-33PP; ACA 3D-35PP; ACA 3D-36PP; ACA 3D-37PP; Code of Federal Regulation – Title 45, Part 46, U.S. Department of Health and Human Services; DOC 280.510 Public Disclosure of Records; DOC 590.350 Offender Change Programs; Department’s Research Review Procedures Packet

**POLICY:**

- I. Planning and implementation of policies, practices, and programs should reflect the most current information available from the research and practice literature or from operational studies and program evaluations. [4-4109] [3D-35PP]
- II. Research will be in compliance with professional and scientific ethics and with state and federal guidelines for the use and dissemination of research findings. [4-4111] [4-4402] [7D-12]
- III. Research projects designed and conducted by outside professionals are encouraged. [4-4109] The Department collaborates with colleges and universities to conduct research. [3D-16PP] Members of the Executive Leadership Team collaborates with researchers. [3D-36PP]
- IV. No facility, Community Corrections office, or Headquarters unit will permit or participate in the conduct of research unless the plans or protocols for such research have been reviewed according to Department guidelines and approved by the Secretary/designee. [3D-37PP]
- V. The Department is responsible for safeguarding the rights and welfare of persons under its legal jurisdiction and its employees who potentially could serve as subjects in research directed, sponsored, or approved by the Department or whose personal records are disclosed for the purpose of such research. [3D-37PP]

**DIRECTIVE:**

- I. General Requirements
  - A. The Budget Resource Management Administration will coordinate and assist in the conduct of research projects and data requests, as well as conduct research, program evaluations, and operational studies. [3D-35PP]
  - B. The Research Advisory Board will develop research recommendations and priorities and review research requests.

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- C. Department staff and outside professionals will follow confidentiality requirements of DOC 280.510 Public Disclosure of Records when conducting and responding to research requests. [4-4070] [3D-37PP]
- D. Staff working with external research project teams will conduct the collection of operational data as outlined in the research design approved by the Research Review Committee.
- E. The results of research conducted by outside professionals will be distributed to ensure that relevant results may be applied to practice in a timely manner. [4-4109] [4-4111]
- F. Staff will use relevant research in the development of new programs and proceed with implementation per DOC 590.350 Offender Change Programs. [3D-35PP]

II. [3D-36PP] Research Review Approval Process

- A. The Research Review Committee, composed of representation from Prisons, Community Corrections, Administrative Services, Correctional Industries, and Health Services, chaired by Budget and Resource Management, will:
  - 1. Review all internal and external research requests, to include the questions to be addressed, data to be gathered, and how the data should be presented.
  - 2. Make recommendations to the Secretary.
  - 3. Establish status reporting requirements on each approved research project.
  - 4. Retain a copy of the published reports.
  - 5. Notify Department stakeholders of the published report and forward a copy of the published report to the Budget Resource Management Library at Headquarters, and support efforts to make information readily available to staff. [4-4111] [3D-37PP]

III. Internal Requests for Research or Evaluations

- A. [4-4111] [4-4112] Any facility/office may initiate a research request using Application to Seek Approval of a Research Project (Attachment 1). Staff will send requests to the Appointing Authority or designee for review and approval. [7D-12] Approved requests will be forwarded to Budget Resource Management for review by the Research Review Committee. Any appeals of denied requests

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will be forwarded to Budget Resource Management for consideration by the Office of the Secretary.

1. [7D-12] When a request for a formal research project is approved by the Research Review Committee, the facility Appointing Authority or designee will appoint a staff to be responsible for providing a final report, through the Appointing Authority or designee, to the Research Review Committee.
  - a. The Appointing Authority will review and comment on research projects before they are disseminated or published.

#### IV. External Requests for Research

- A. All requests must be submitted to the Chair of the Research Review Committee, using Application to Seek Approval of a Research Project (Attachment 1).

#### V. Budget Resource Management Responsibilities

- A. Assume a leadership role in research in the retrieval of Department information and data analysis that is a part of research and operational studies. [3D-31PP]
- B. At a minimum, provide quarterly reports on research programs and post on docnet with a copy to the Secretary. [3D-33PP]
- C. Maintain a Research Library.
- D. Routinely provide statistical reports on the offenders under the Department's jurisdiction and on selected programs.

#### VI. Rights and Use of Human Subjects

- A. [4-4402] [4C-20] The use of offenders for medical, pharmaceutical or cosmetic experiments is prohibited. This does not preclude individual treatment based on an offender's need for a specific medical procedure that is not generally available.
- B. [4-4113] [7D-12] Offenders may volunteer for participation in non-medical, non-pharmaceutical, and non-cosmetic research. There will not be any reward, favor, reduction of time, or any other benefit, either written or implied, for participation in research by staff or offenders under the legal jurisdiction of the Department. There will not be any negative sanctions imposed on either staff or offenders under the legal jurisdiction of the Department for refusing to participate in research.
- C. The review of research will determine that:

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1. The rights and welfare of persons are adequately protected,
  2. Risks to individuals are minimized and are outweighed by the potential benefits to them or by the knowledge to be gained, and
  3. The proposed project design and methods are adequate and appropriate in relation to stated project purposes. [4-4112]
- D. The Department's Research Review Procedures Packet will be used by those who wish to conduct research and is available through Budget Resource Management.

**DEFINITIONS:**

Words/terms appearing in this policy may be defined in the glossary section of the Policy Manual.

**ATTACHMENTS:**

Application to Seek Approval of a Research Project (Attachment 1)

**DOC FORMS (See Appendix):**

None