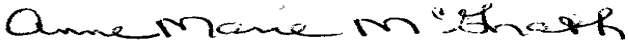
 Corrections and Community Supervision DIRECTIVE	TITLE		NO. 0403
	Research Studies and Surveys		DATE 01/10/2020
SUPERSEDES DIR# 0403 Dtd. 10/14/15	DISTRIBUTION A	PAGES PAGE 1 OF 4	DATE LAST REVISED
REFERENCES (Include but are not limited to) See Section II	APPROVING AUTHORITY 		

I. PURPOSE: It is the Department of Corrections and Community Supervision (DOCCS)'s policy to promote research in the field of Corrections and Community Supervision and to support professional studies of Departmental operations. Research involving administrative data, staff, and Departmental operations will be authorized and conducted in accordance with the guidelines and procedures contained in this directive. The Division of Program Planning, Research and Evaluation will have the primary responsibility to oversee/monitor/guide research involving data and/or the participation of inmates and staff in focus groups, surveys, questionnaires, interviews and/or observations, regardless of purpose.

II. REFERENCES

- ACA Expected Practice 4-4102
- ACA Expected Practice 4-4108
- ACA Expected Practice 4-4109
- ACA Expected Practice 4-4110
- ACA Expected Practice 4-4111
- ACA Expected Practice 4-4112
- ACA Expected Practice 4-4113
- ACA Expected Practice 4-4402
- ACA Expected Practice 2-CO-1F-09
- ACA Expected Practice 2-CO-1F-10
- ACA Expected Practice 2-CO-1F-11
- ACA Expected Practice 2-CO-1F-12
- ACA Expected Practice 2-CO-1F-13
- ACA Expected Practice 2-CO-1F-14
- ACA Expected Practice 2-CO-1F-15
- ACA Expected Practice 2-CO-4E-01
- ACA Expected Practice 4-APPFS-3D-16
- ACA Expected Practice 4-APPFS-3D-34
- ACA Expected Practice 4-APPFS-3D-35
- ACA Expected Practice 4-APPFS-3D-36
- ACA Expected Practice 4-APPFS-3D-37
- ACA Expected Practice 2-1064
- ACA Expected Practice 2-1065
- ACA Expected Practice 2-1066
- ACA Expected Practice 2-1067
- ACA Expected Practice 2-1068
- ACA Expected Practice 2-1069
- ACA Expected Practice 4-JCF-4C-48
- ACA Expected Practice 4-JCF-6F-06
- ACA Expected Practice 4-JCF-6F-07
- ACA Expected Practice 1-ABC-1F-02
- ACA Expected Practice 1-ABC-1F-03
- ACA Expected Practice 1-ABC-1F-05
- ACA Expected Practice 1-ABC-1F-06
- ACA Expected Practice 1-ABC-1F-07
- ACA Expected Practice 1-ABC-1F-08
- ACA Expected Practice 1-ABC-1F-09
- ACA Expected Practice 1-ABC-4E-49

III. POLICY

- A. Medical or Cosmetic Experimentation and Pharmaceutical Testing: Medical or cosmetic experimentation and pharmaceutical testing may not be conducted on inmates. Inmates may not be used as subjects for any non-therapeutic medical experimentation, including the use of unestablished drugs and unapproved medical techniques. This applies to any inmate in the custody of the Department regardless of the location of that inmate (e.g., in a State facility, jail, State institution, or other facility). It is not intended that this policy in any way limit the use of accepted diagnostic and therapeutic measures, nor the collection of data relative to the use of such measures, when performed for bona fide medical indications under acceptable medical supervision. This does not preclude the use of U.S. Department of Health and Human Services' approved clinical trials, including diagnostic and therapeutic measures that may be warranted for the diagnosis or treatment of a specific inmate when recommended by the responsible physician and approved by the facility Medical Director. Such measures must have the prior full informed written consent of the affected inmate and must be conducted under conditions approved by the U.S. Department of Health and Human Services, DOCCS Deputy Commissioner, and DOCCS Chief Medical Officer.
- B. Undergraduate and Graduate Students: Requests from undergraduate college students to conduct research studies will not be approved. Research proposals from graduate students will be reviewed three times a year during the months of February, May, and October. Graduate students may submit proposals in other months with the understanding that the processing of proposals will only occur in the designated months and is dependent on available staff resources.
- C. Guidelines for Approval: Approval of requests to conduct research studies will be based on the following guidelines:
1. The research is requested and will be conducted by professional researchers, college faculty, or graduate students engaged in their masters or doctorate studies.
 2. An acceptable research design for the proposed study is submitted.
 3. The proposed study promises to have some value for the Department.
 4. The study will not disrupt Department routine or interfere with personnel carrying out their duties.
 5. Interviews of offenders or staff will be done on a strictly voluntary basis.
 6. Subjects used in the study will not be identified by name or in any way which would reveal their identity.
 7. The researcher agrees to submit a draft of the study to the Department for review prior to completion and publication. This review will be concerned only with factual errors or misinterpretations of Departmental data, policies, or procedures, and not with the findings or conclusions reached by the author.
- All proposals will be reviewed by the Executive Deputy Commissioner for project suitability.
- D. Departmental Dissemination: The Department reserves the right to disseminate any findings, within the Department or to other State agencies, if deemed necessary or helpful.

IV. PROCEDURE

A. Application for Permission to Conduct Research

1. The application shall be submitted to the Director of Research for the Department of Corrections and Community Supervision, 1220 Washington Avenue, Albany, NY 12226-2050. Materials submitted via email must be sent to: DOCCSResearch@doccs.ny.gov, to the attention of the Director.
2. The application shall include the following information:
 - a. Title of study;
 - b. Names, addresses, and telephone numbers of the principal researcher and all research staff;
 - c. An endorsement by a recognized research organization such as a university, college, private foundation, consulting firm, or public agency with a mandate to perform research certifying that the research proposal is for valid scientific, educational, or other public purpose;

If the applicant is associated with an institution or an accredited university that has an Institutional Review Board (IRB), the applicant must submit documentation showing that the IRB has approved the project.
 - d. A summary of the goals of the study and the justification for the research; and
 - e. A detailed research design including the following elements:
 - (1) The Departmental resources and personnel that may be needed for the study;
 - (2) The criteria and procedures for selection of subjects or records for the research;
 - (3) The procedures for data collection and copies of research instruments to be used including interview schedules, questionnaires, data collection forms, and tests; and
 - (4) The security procedures to protect the privacy of participants and confidentiality of Department records.
3. If the study requires the direct involvement of offenders or Department staff, such as by participating in interviews or completing questionnaires, the researcher must consent to and provide information necessary for processing a criminal history inquiry and disclose any prior misdemeanor and felony convictions. If a criminal history inquiry is required, associated costs will be borne by the researcher. If on probation or parole, the researcher must provide a letter from his or her supervising officer giving permission to conduct the research. The Director may ask the appropriate executive staff to review the proposal and to submit a recommendation for approval or disapproval.
4. The Director shall ensure that all researchers are informed of Department policy concerning research. The "Research Agreement," [Form #0403A](#), shall be signed by the researcher. The Director shall indicate approval of the research project by signing [Form #0403A](#) and returning a copy to the researcher.

B. Conduct of Research

1. The researcher shall explain the goals and methods of the study to all potential subjects; a written summary shall be provided to each potential subject. All offenders shall be informed that their participation in the research is purely voluntary and will not affect the terms or length of their confinement or Community Supervision.
2. The researcher shall obtain signed consent, [Form #0403B](#), "Research/Survey Consent Form," from all individuals who are scheduled to participate in the research.

NOTE: The researcher must be cognizant of the need to provide foreign language assistance to those non-English speaking individuals who are to be included in the research project.

3. Any data collected during the course of the research shall be used only in the manner described to the subject prior to his or her entry into the study. Data collected and/or provided by the Department may be subject to Non-Disclosure Agreements, Data Use agreement and/or data destruction and certification thereof.
4. No employee of the Department or inmate shall receive compensation, remuneration, or payment of any kind for participation in the research study. A minimal stipend for releasees participating in a study may be approved.

C. Violations of Research Regulations

1. Permission to conduct the current study and any further research may be discontinued for any violations of these policies and regulations regarding outside research, or of any other applicable Department policies and regulations in the course of conducting the research.
2. Violations of the regulations (see [Form #0403A](#)) with regard to criminal offender record information may subject the violator to civil or criminal liability.