



STATE OF WASHINGTON  
DEPARTMENT OF CORRECTIONS

APPLICABILITY  
**DEPARTMENT WIDE**  
OFFENDER/SPANISH MANUALS

REVISION DATE  
1/14/14

PAGE NUMBER  
1 of 5

NUMBER  
**DOC 260.050**

**POLICY**

TITLE  
**RESEARCH REVIEW AND USE**

**REVIEW/REVISION HISTORY:**

Effective: 1/15/97  
 Revised: 9/10/99  
 Revised: 3/2/01  
 Revised: 8/27/02  
 Revised: 12/29/06  
 Revised: 1/23/09  
 Reviewed: 1/29/10  
 Revised: 12/1/10  
 Revised: 1/14/14

**SUMMARY OF REVISION/REVIEW:**


IV.A.3. - Adjusted expectations for research project tracking and reporting

**APPROVED:**

Signature on file

\_\_\_\_\_  
**BERNARD WARNER**, Secretary  
 Department of Corrections

12/5/13  
 \_\_\_\_\_  
 Date Signed

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**REFERENCES:**


DOC 100.100 is hereby incorporated into this policy; [RCW 42.48.040](#); [ACA 4-4108](#); [ACA 4-4109](#); [ACA 4-4110](#); [ACA 4-4111](#); [ACA 4-4112](#); [ACA 4-4113](#); [ACA 4-4402](#); [ACA 4C-20](#); [ACA 7D-12](#); [DOC 280.510 Public Disclosure of Records](#); [DOC 590.350 Offender Change Programs](#); [45 CFR 46](#); [Research Review Procedures](#)

**POLICY:**

- I. The Department supports and engages in research activities relevant to its programs, services, and operations. [4-4108] Planning and implementation of policies, programs, and operations should reflect the most current information available from the research and practice literature or from operational studies and program evaluations. [4-4109]
- II. Research will comply with professional and scientific ethics and with state and federal guidelines for the use and dissemination of research findings, issues of legal consent, and release of information. [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. Members of the Executive Leadership Team collaborate with researchers.
- IV. No Department facility/office or unit will permit or participate in research unless the plans or protocols have been reviewed according to Department guidelines and approved by the Secretary.
- V. The Department is responsible for safeguarding the rights and welfare of offenders under its jurisdiction and Department employees who could potentially serve as subjects in research directed, sponsored, or approved by the Department, or whose personal records are disclosed for research purposes.

**DIRECTIVE:**

- I. General Requirements
  - A. The Research Unit will coordinate and assist in research projects and data requests, as well as conduct research, program evaluations, and operational studies.
    1. Those who wish to conduct research will use the Department's [Application to Seek Approval of a Research Project](#) packet, available through the Research Unit.
  - B. The Research Review Committee will develop research recommendations and priorities, and review research requests.

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- C. Department employees, contract staff, and volunteers and outside professionals will follow the confidentiality requirements of DOC 280.510 Public Disclosure of Records when conducting and responding to research requests.
- D. Applicable employees, contract staff, and volunteers will be assigned to assist research personnel in carrying out research and evaluation. [4-4110] Those working with research project teams will collect operational data as outlined in the research design approved by the Research Review Committee.
- E. The results of research conducted by professionals and academics will be provided to the Research Unit upon completion of the project to ensure that relevant results may be applied to practice in a timely manner. [4-4109]
- F. Employees and contract staff will use relevant research in developing new programs and will implement per DOC 590.350 Offender Change Programs.

## II. Requests for Research

- A. All requests must be submitted to the Research Review Committee Chair, using the Application to Seek Approval of a Research Project packet.
- B. Administrators, Superintendents, and other employees will not approve a research project without ensuring review under the guidelines of this policy.
- C. To maintain the safety and security of facilities/offices and other Departmental interests, and to ensure the requirements of employees, contract staff, and volunteers are fully understood and agreed upon, individuals conducting research will provide documentation upon request showing that the research is approved and authorized.

## III. Research Review Approval Process

- A. The Research Review Committee, chaired by the Research Unit and composed of representatives from each division, including Correctional Industries, will:
  1. Review all internal and external research requests, including the questions addressed, data gathered, and how the data will be presented.
  2. Make recommendations to the Secretary.
  3. Establish status reporting requirements on each approved research project.
  4. Review all research results prior to publication or dissemination. [7D-12]

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5. Retain a copy of the published reports.
6. Notify Department stakeholders of the published report and support efforts to make the information readily available to employees, contract staff, and/or volunteers.


#### IV. Research Unit Responsibilities

##### A. The Research Unit will:

1. Assume a leadership role in research, Department information retrieval, and data analysis associated with research and operational studies.
2. Routinely provide statistical reports on the offenders under Department jurisdiction and on selected programs.
3. Track approved research projects, provide a final copy to the Secretary, and post completed research reports on the Research page on InsideDOC.
4. Maintain a Research Library.

#### V. 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 to participate in other research projects. There will be no reward, favor, reduction of time, or any other benefit, either written or implied, for employees, contract staff, volunteers, or offenders participating in research.
- C. There will be no negative sanctions imposed on employees, contract staff, volunteers, or offenders for refusing to participate in research.
- D. The Research Review Committee will review the research request to confirm that:
  1. The rights and welfare of individuals 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

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3. The proposed project design and methods are adequate and appropriate in relation to stated project purposes. [4-4112]

VI. Institutional Review Board (45 CFR 46.111)

- A. Institutional Review Board review involves evaluation of protocols and other materials related to a research study (e.g., informed consent documents, investigator brochures), both in advance and periodically during the study, to ensure appropriate steps are taken to protect the rights and welfare of individuals participating as subjects in research.
- B. The primary objectives of an Institutional Review Board review are to:
  1. Assess the ethics of the research and its methods,
  2. Promote fully informed and voluntary participation by prospective subjects who are capable of making such choices or, if that is not possible, informed permission given by a suitable proxy, and
  3. Maximize the safety of subjects once they are enrolled in the study.
- C. The Department does not have an Institutional Review Board.

**DEFINITIONS:**

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

**ATTACHMENTS:**

None

**DOC FORMS:**

None