STATE OF WASHINGTON DEPARTMENT OF CORRECTIONS	APPLICABILITY **DEPARTMENT WIDE** FACILITY/SPANISH MANUALS		
	REVISION DATE 12/14/22	**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
Revised: 3/12/19
Revised: 6/11/20
Revised: 8/13/21
Revised: 12/14/22

SUMMARY OF REVISION/REVIEW:

Policy statement I. & II, Directive I.A.-C., II.B.3., IV.A.1., IV.A.3. - Adjusted language for clarification
Removed I.E. that more information is located on the internal website
II.A. - Updated RDA unit responsibilities
II.B., and III.E. - Added clarifying language
Added III.A. that a request for research must be submitted with supporting/applicable documents
Removed III.D. that projects by external partnerships/funding are encouraged
Added IV.A.2. that employees/contract staff may volunteer to participate and may receive compensation when approved

APPROVED:

Signature on file

CHERYL STRANGE, Secretary
Department of Corrections

11/9/22
Date Signed

REFERENCES:

DOC 100.100 is hereby incorporated into this policy; RCW 42.48; DOC 200.065 Grant Administration; DOC 220.010 Contracts; 45 CFR 46; Washington State Agency Policy on Protection of Human Research Subjects

POLICY:

I. The Department has established guidelines and procedures for Department research projects and use of Department data (e.g., Personal Health Information, Personally Identifiable Information, administrative) to safeguard the rights and welfare of incarcerated individuals (i.e., total/partial confinement) subject to research, its employees/contract staff/volunteers, or when personal records are disclosed for research purposes.

II. The Washington State Institutional Review Board (WSIRB) has been designated as the review board of record to provide regulatory review, approval, and oversight of research for the Department per RCW 42.48 and Washington State Agency Policy on Protection of Human Research Subjects.

DIRECTIVE:

I. General Requirements

A. Internal and external research projects must align with and support the Department's programs, services, operations, mission, and/or strategic goals and comply with state and federal guidelines and standard scientific rigor (e.g., thorough, appropriate, methodical) to be approved.

1. Permission to conduct research may be rescinded, suspended, or denied if activities are inconsistent with those approved or are in violation of state or federal law, an established contract, or Department policy. Violations may result in notification to the WSIRB and/or sponsoring institution.

B. No facility/office, unit contractor, volunteer, or anyone representing the Department will permit or participate in research without appropriate approval(s).

C. Incarcerated individuals participating in outside research may continue if it is compliant with current Department policies and state and federal guidelines.

D. Upon request, persons conducting research will provide documentation that the research is approved and authorized.

II. General Responsibilities

A. The Research and Data Analytics (RDA) Unit will coordinate, track, collaborate, and assist in external and internal research projects and data requests by:

1. Providing consultation on scope, protocols, questions, methodology, data variables, timeline, and proposed deliverables (e.g., presentations, reports, debriefs, analyses, manuscripts).

2. Reviewing Department human subject data and research requests to determine if WSIRB review is required and ensure compliance with federal and state research regulatory and reporting requirements.

3. Maintaining a research guide, procedures, and checklists to guide and document the research review and determination processes.

4. Establishing and maintaining contracts per DOC 220.010 Contracts.

    a. Contracts that include research components will:

        1) Specify known or reasonably ascertained data variables in data share agreements.

        2) Research activities must be described in a statement of work.

5. Reviewing reports, presentations, and contract deliverables before publication or dissemination per contract agreements.

B. The Research Review Committee (RRC), chaired by the RDA Director/designee, will consist of representatives from each division and will:

1. Review and prioritize proposals for research, including research proposed in grant applications that require use of or access to Department resources.

    a. Criteria for review include:

        1) Feasibility
        2) Scientific rigor
        3) Risk
        4) Alignment with Department priorities

2. Assess division resources required for completion of proposed research.

3. Vote on whether each proposal will be recommended to executive leadership.

4. Determine need to review and present projects that only require administrative actions (e.g., extension of contract, modification to WSIRB application).

III. Requests for Research

A. Persons may submit a request for research and/or data using DOC 05-047 Project Request Application and attaching any supporting/applicable documents.

B. Requests will be reviewed by a designated RDA employee(s). The RDA Unit will determine if the request moves forward based on Department priorities (e.g., legislation, public safety, available resources).

C. Research requests require approval from the RRC, executive leadership, and WSIRB. The requester must pay any WSIRB and/or RDA fees.

D. Grant partnerships with a research/data component must be coordinated with the RDA and Grants Unit to ensure available resources and to determine the timeline and associated costs.

1. Research/data components funded by a grant will only be accepted with appropriate approvals.

2. Grants will be approved and implemented per DOC 200.065 Grant Administration.

IV. Research Participation

A. Research must comply with the requirements outlined in 45 CFR 46.

1. Research involving incarcerated individuals have the following additional requirements per Subpart C:

a. Medical experiments, pharmaceutical testing, and cosmetic research are prohibited.

b. Individuals may volunteer to participate in approved research projects, but will not receive compensation (e.g., reward, favor, reduction of time, written/implied benefit) for participating.

2. Employees/contract staff may volunteer to participate in approved research projects may receive compensation when approved.

3. Incarcerated individuals, employees, or contract staff may refuse to participate in research at any time. Negative consequences (e.g., loss of

earned time, disciplinary action, termination of employment) will not be imposed for refusing to participate.

DEFINITIONS:

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

ATTACHMENTS:

None

DOC FORMS:

DOC 05-047 Project Request Application