

 <p style="text-align: center;"><b>ADMINISTRATIVE REGULATION</b></p> <p style="text-align: center;"><b>STATE OF ARKANSAS</b></p> <p style="text-align: center;"><b>BOARD OF CORRECTIONS</b></p>	<b>Section Number:</b> <b>AR 1.9</b>	<b>Page Number:</b> <b>1</b>
	<b>Board Approval Date:</b> <b>3/27/03</b>	
	<b>Supersedes:</b> <b>None</b>	<b>Dated:</b> <b>N/A</b>
	<b>Reference:</b>	<b>Effective Date:</b> <b>6/20/03</b>
<b>SUBJECT: RESEARCH AND EVALUATION</b>		

- I. **APPLICABILITY.** This policy applies to all Department of Community Correction (DCC) employees and people outside the agency who request and conduct research.
  
- II. **POLICY.** The DCC encourages programs of research, evaluation, statistics, audit, and planning, including studies and evaluation of the performance of various functions and activities of the department and studies addressing treatment of offenders and programs. Researchers must protect the privacy of individual employees, offenders, and other involved parties and their records.
  
- III. **DEFINITIONS.**
  - A. **Recidivism.** Incarceration of an offender in a prison due to a new felony conviction or revocation for technical violations.
  
  - B. **Recidivism Study.** The collection, analysis, evaluation, and report of recidivism in a particular group of current or former DCC offenders for a period of 3 to 5 years. This does not preclude reports of preliminary results for shorter periods of time.
  
- IV. **GUIDELINES.** The DCC Management Team should encourage research and evaluation activities and cooperate with qualified outside groups such as colleges and universities or qualified individuals. Researchers will follow approved plans. Employees should cooperate with approved research efforts and bring to the attention of management any research activity that may adversely affect offenders. Research results may be used to analyze the department's present activities and as a guideline for future decision making and policy development. Research plans will require that results be published in a manner that protects the privacy of offenders and staff. Evaluation activities will be based on management-determined needs driven by measuring progress toward goals/objectives and desired outcomes. The process for the submission of research proposals, standards for research, research related activities, and dissemination of research results is as follows:

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**A. Research Requests.**

1. Internal. Research proposals are not required when employees perform research activities within the normal scope of their job duties. However, research projects outside of normal job duties require a formal written proposal processed as described in this policy. Internal research proposals require prior approval of the supervisory chain.
  
2. Internal and External.
  - a. The DCC Deputy and Assistant Directors and other designated staff may participate with researchers in deciding what questions should be addressed, what data should be gathered, and how the data should be presented.
  
  - b. All research proposals are to be submitted to the Chief Deputy Director using Form 1, Request to Conduct Research. The Chief Deputy Director will request approval by the appropriate Deputy/Assistant Director. The Deputy Director of Residential Services must consider comments from Center Supervisors at affected community correction centers. Proposals will be reviewed and evaluated considering the following:
    - 1) Soundness of research design and methodology.
    - 2) Duplication with other projects currently proposed or underway.
    - 3) Relevance of the proposal in relation to the goals and objectives of the department.
    - 4) Amount and type of assistance required from departmental personnel.
    - 5) Impact on offenders or clients.
  
  - c. The Chief Deputy Director will consider comments/approvals, negotiate appropriate revisions, and has final approval authority.

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**B. Protection of Offenders Involved in Research Projects.**

1. Participation. Offender participation in research will be voluntary. Prior to participation in any research activity, Form 2, Informed Consent to Participate in Research, will be completed and signed by the offender. This form is not required when research is limited to review of offender records or general observations are made of offender activities where no record is made of a specific offender's activity.
2. Restrictions.
  - a. The department will not conduct nor allow others to conduct medical, pharmacological, or cosmetic experiments involving offenders, excluding individual treatment of an offender (based on need) by means of a specific medical procedure not generally available. If an offender's physician determines there is a need to treat the offender with a new medical procedure, it will be through an agreement between the offender and the physician with a full explanation of the positive and negative aspects of the treatment.
  - b. Offenders may participate in other research activities only when the research does not place the participant at undue risk.
3. Confidentiality. Researchers must safeguard the confidentiality of offenders and offender records used in research projects and guarantee the anonymity of subjects in published findings. Researchers must follow State and federal guidelines for the use and dissemination of research findings and comply with legally acceptable practices concerning consent and release of information. Researchers must complete Form 1, Request to Conduct Research and Form 3, Non-disclosure Agreement, and be in receipt of signed approval prior to initiating research.
4. Review of Research Results. Prior to publication or dissemination a draft of internal and external research results must be forwarded to the Chief Deputy Director. The Chief Deputy Director will ensure that all research project results are reviewed by the appropriate division Deputy/Assistant Director and the

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Deputy/Assistant Director will ensure review by appropriate Area Managers/Center Supervisors. This review is to allow comment, to ensure that the privacy of offenders and other parties is protected, and to recommend corrections. Department staff involved in research activities who desire to have findings published in a journal or presented to a professional organization must submit the research findings to the DCC Director through the appropriate divisional Deputy/Assistant Directors for review and approval prior to submission.

5. Dissemination of Research Results. The Chief Deputy Director will ensure results of a significant research projects are provided to the appropriate staff and others. Additionally, copies will be made available to the public upon request.
  6. Evaluation.
    - a. The Chief Deputy Director will coordinate data gathering, studies, and evaluations with planning and budgeting activities. Agency information needs will be determined prior to collecting data. DCC will use the recidivism definition for routine recidivism studies. In conducting recidivism studies, it will be as defined in the policy.
    - b. The Information Technology Administrator will work with staff and researchers to develop and implement appropriate computerized data gathering systems to facilitate data collection, analysis, and control data gathering costs.
- V. STANDARDS.** American Correctional Association (ACA) Performance-Based Standards for Adult Community Residential Services, 4<sup>th</sup> edition, standards 4-ACRS-4C-20, 4-ACRS-7D-05[P], 4-ACRS-7D-12; and ACA Standards for Adult Probation/Parole Field Services, 3<sup>rd</sup> edition, standards 3-3116, 3-3114, 3-3110, 3-3112, and 3-3113.
- VI. FORMS.**
- AR 1.9 Form 1 Request to Conduct Research  
AR 1.9 Form 2 Informed Consent to Participate in Research  
AR 1.9 Form 3 Non-Disclosure Agreement

**REQUEST TO CONDUCT RESEARCH**

**TO:** Department of Community Correction  
**Attn:** Chief Deputy Director  
Two Union National Plaza Building  
105 West Capitol, 2nd Floor  
Little Rock, Arkansas 72201-5731  
(501) 682-9510  
Fax (501) 682-9513

**FROM:** \_\_\_\_\_

**RE:** \_\_\_\_\_

**DATE:** \_\_\_\_\_

I request your consideration and approval to conduct research of information within the Arkansas Department of Community Correction (DCC) as described below and in any attachments. This research is on behalf of the following agency/organization:

\_\_\_\_\_

_____ Printed Name of Requestor	_____ Title	_____ Agency Name
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**Researcher:** On a separate sheet, describe the types of records and information you wish to access and the nature of the research activity, purpose, and procedures to be followed. Also provide a list of individuals the researcher anticipates will work on the project and their social security numbers, if access to DCC offender records or residential facilities is required. Add attachments if needed.

I will manage and protect your agency information according to the terms in the attached Non-Disclosure Agreement (AR 1.9 Form 3).

_____ Signature of Requestor	_____ Date	_____ Requestor Printed Name
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Researcher's Request: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**THE SECTION BELOW THIS LINE IS FOR DCC USE**

Request Approved  Request Denied

_____ Signature of DCC Director/Deputy/ Assistant Director	_____ Date
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## INFORMED CONSENT TO PARTICIPATE IN RESEARCH

Title of Research Project: \_\_\_\_\_

Name, Title and Address of Researcher: \_\_\_\_\_

Date Project Begins: \_\_\_\_\_

Expiration date (if applicable): \_\_\_\_\_

Purpose:

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Procedures:

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Benefits:

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Right to Withdraw:

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Confidentiality: Any information obtained in connection with this research will be used in a manner that protects your privacy and maintains the confidentiality of your records.

**PARTICIPANT'S CONSENT:** I have been satisfactorily informed of the above described research project and have read and understood the description provided herein. I understand that my participation in this research project is voluntary and I am free to stop participating at any time, without any consequences, even after signing this form.

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Printed Name of Offender

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Offender Signature

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Offender Number

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Date Signed

**Department of Community Correction**  
**NON-DISCLOSURE AGREEMENT**

This agreement is entered into between the Arkansas Department of Community Correction (DCC), hereinafter referred to as the Agency, and

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hereinafter referred to as the Researcher, whereby the DCC agrees to provide information for research, evaluation, or statistical activities to the researcher.

1. The Researcher will not use Agency information to the detriment of the Agency or the subjects of the research nor for any purpose other than those stated in the research plan, and will abide by the confidentiality and security provisions of the Agency.
2. The Agency will provide access to offender records as requested in the approved research request.
3. The Researcher will use secure destruction methods for any copies of source documents obtained when they are no longer needed for the purpose for which they were provided.
4. The Researcher will allow only the persons identified in the Research Request access to confidential Agency information and will not disseminate further disclose nor allow the persons listed to further disseminate or disclose the information.
5. The Researcher will implement procedures that will effectively protect Agency information from unauthorized access, alteration, or destruction.
6. The Researcher will abide by the laws and regulations of this State, the agency, and the federal government and any present or future rules, policies, or procedures adopted by the same, to the extent they are applicable to information provided under this agreement. This includes complying with accepted professional and scientific ethics and issues of legal consent and release of information.
7. If the agreement is to provide offender record information on a continuing basis, the Agency reserves the right to immediately suspend furnishing information under this agreement should any rule, policy, procedure, regulation, or law be violated or appear to the Agency to be violated.
8. The Agency or researcher may, upon written notice, terminate this agreement at any time.

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Researcher's Company Name	Phone No.	Address
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Signature of Research Representative	Date	Printed Name of Research Representative
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Signature of DCC Director/Deputy/Assistant Director	Date
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