
 <p style="text-align: center;">State of Connecticut Department of Correction</p> <p style="text-align: center;">ADMINISTRATIVE DIRECTIVE</p>	Directive Number 1.7	Effective Date 8/8/14	Page 1 of 5
	Supersedes Research, dated 1/31/09		
Approved By  Commissioner James E. Dzurenda	Title Research		

1. **Policy.** The Department of Correction shall conduct and support research that will improve operations, enhance professional knowledge, reduce recidivism, and advance the Department's mission.

2. **Authority and Reference.**
 - A. Code of Federal Regulations, 45 CFR 46.
 - B. United States Department of Health and Human Services, Office for Human Research Protections (OHRP), Federalwide Assurance (FWA), FWA #20006159, 2007.
 - C. Connecticut General Statutes, Section 18-81.
 - D. American Correctional Association, Standards for Administration of Correctional Agencies, Second Edition, April 1993, Standards 2-CO-1F-09 through 2-CO-1F-15.
 - E. American Correctional Association, Standards for Adult Correctional Institutions, Fourth Edition, January 2003, Standards 4-4108 through 4-4113.
 - F. American Correctional Association, Performance-Based Standards for Adult Local Detention Facilities, Fourth Edition, June 2004, Standard 4-ALDF-7D-18.
 - G. American Correctional Association, Standards for Adult Probation and Parole Field Services, Third Edition, August 1998, Standards 3-3109, 3-3110, 3-3112, 3-3113 and 3-3116.
 - H. American Correctional Association, Standards for Correctional Training Academies, First Edition, May 1993, Standard 1-CTA-1D-02.

3. **Definitions.** For the purposes stated herein, the following definitions apply:
 - A. **Employee.** A member of the Department or a consultant under contract who performs duties in furtherance of a Department function.
 - B. **Research.** Any project which involves: 1) the collection of data from files or records maintained within the Department; or, 2) the testing, observation, interviewing, or manipulation of the behavior of an inmate or staff for the purpose of conducting surveys, evaluative studies, or hypothesis testing.
 - C. **Researcher.** A person who has met the requirements of this Directive and has received approval from the Deputy Commissioner of Administration, to conduct a research project within the Department.

4. **Proposal Submission/Request for Information.** Any request for research, regardless of source, shall be directed to the Director of the Best Practices Unit. Such requests must be submitted on CN 1701, Research Proposal.

All requests for statistical information requiring the collection of data from files or records maintained within the Department shall be forwarded to the Director of Management Information Systems.

Directive Number 1.7	Effective Date 8/8/14	Page 2 of 5
Title Research		

5. Research Advisory Committee. The Research Advisory Committee shall consist of members representing various divisions/units across the Department.

The Director of the Best Practices Unit or designee shall chair the committee and be responsible for calling meetings as may be required. The committee shall make recommendations to the Deputy Commissioner of Administration, who shall approve or deny the proposed research project.

6. Nondisclosure by Researchers. Each researcher shall review, complete and sign CN 1702, Research Nondisclosure Agreement at the time of application. All others who may have access to the restricted data shall be bound by the same nondisclosure requirements.

7. Review and Approval or Denial of Research Proposals.

A. The Director of the Best Practices Unit or designee shall review the proposed project for compliance with the provisions of CN 1701, Research Proposal. Research proposals for bachelor/master's level thesis projects and doctoral level dissertations may be permitted upon authorization of the Deputy Commissioner of Administration or designee.

1. If the provisions of CN 1701, Research Proposal are met, the Director of the Best Practices Unit or designee shall forward the proposal to the Research Advisory Committee.
2. The Research Advisory Committee shall recommend acceptance, conditional acceptance or denial of the project.
3. If the Research Advisory Committee recommends acceptance of the project, the Director of the Best Practices Unit or designee shall seek input from all affected division, district and unit administrators.
4. The Deputy Commissioner of Administration shall review the recommendation of the Research Advisory Committee and accept, reject or approve with modifications the recommendation. Denied proposals may be appealed in writing to the Commissioner.
5. If the proposal is approved, the Research Advisory Committee shall recommend a person to serve as a liaison for the project.

B. Basic questionnaires soliciting information, or readily aggregated data, shall not be subject to the procedures specified in this Directive. Program evaluations conducted by Department employees shall not be subject to the procedures specified in this Directive. Such requests shall normally be forwarded to the Commissioner or designee for appropriate action.

8. Researcher Application. Any individual who seeks to conduct research shall complete CN 1703, Researcher Application and CN 1704, Memorandum of Understanding for Researchers. The completed forms must be submitted to the Director of the Best Practices Unit or designee for processing. The Director of the Best Practices Unit or designee shall initiate a criminal history check on each applicant through the Director of Volunteer and Recreational Services. Prior to entering any facility, each applicant shall be reviewed for suitability.

In addition, the following shall apply, where applicable:

Directive Number 1.7	Effective Date 8/8/14	Page 3 of 5
Title Research		

- A. Individuals currently under the supervision of any criminal justice authority shall be routinely precluded from participation in research activities.
- B. Individuals previously under the supervision of any criminal justice authority may participate in research activities if they have been released from such supervision at least three (3) years prior to the date of request. Such participation must be authorized by the Director of the Best Practices Unit in consultation with the Deputy Commissioner of Operations and Rehabilitative Services in order to assess the nature and severity of the offense(s) as well as the previously imposed sentence.

The Department reserves the right to approve or deny any researcher for any purpose.

- 9. Termination or Suspension of Research Project. The Deputy Commissioner of Administration may suspend or terminate a research project if it is believed that the project violates the provisions of this Directive or that its continuation may prove detrimental to the inmate population, the staff, or the orderly operation of the facility or the Department as a whole. The cancellation may be appealed in writing to the Commissioner.
- 10. Audio/Video Recording. Audio and/or video recording, for research purposes only, may be authorized on a case-by-case basis by the Deputy Commissioner of Administration in consultation with the Deputy Commissioner of Operations and Rehabilitative Services.
- 11. Research Prohibition. The Department shall adhere to the research standards established by the United States Department of Health and Human Services (Office of Human Research Protection) as outlined in Section 45 CFR 46 (subpart C) of the Code of the Federal Regulations.
- 12. Inmate Compensation. An inmate shall not be individually compensated for participating in any research project.
- 13. Informed Consent.
 - A. Before commencing a research project requiring participation by staff or inmates, the researcher shall give each participant a written informed consent statement containing the following information:
 - 1. Identification of the researcher;
 - 2. Objectives of the research project;
 - 3. Procedures to be followed in the conduct of research;
 - 4. Purpose of each procedure;
 - 5. Anticipated uses of the results of the research;
 - 6. A statement of benefits reasonably to be expected;
 - 7. A declaration concerning discomfort and risk, including a description of anticipated discomfort and risk;
 - 8. A statement that participation is completely voluntary and that the participant may withdraw consent and end participation in the project at any time without penalty or prejudice;

Directive Number 1.7	Effective Date 8/8/14	Page 4 of 5
Title Research		

9. A statement regarding the confidentiality of the research information and exceptions to any guarantees of confidentiality required by federal or state law;
 10. A statement that participation in the research project will have no effect on the inmate's release date or parole eligibility;
 11. An offer to answer questions about the research project; and,
 12. Appropriate additional information as needed to describe adequately the nature and risks of the research.
- B. A researcher in addition to presenting the statement of informed consent to the participant shall also obtain the participant's signature on the statement of informed consent prior to initiating the research activity. If the participant is a juvenile/youthful offender, the researcher must forward the statement of informed consent to participant's parent/guardian for review and signature. The consent form shall include:
1. A complete description of all aspects of the project.
 2. An assurance that voluntary participation does not provide latent benefits beyond the terms of participation, nor that failure to participate or complete the project will bring adverse action.
 3. Date and signature of the participant and researcher.
- C. The researcher may not be required to obtain the signature if the researcher can demonstrate that the only link to the participant's identity is the signed statement of informed consent or that there is significantly more risk to the participant if the statement is signed.
14. Publication of Research Findings.
- A. No research shall be published or otherwise presented (including, but not limited to, conferences, professional associations, funders meetings) without prior written notice to the Deputy Commissioner of Administration.
 - B. A researcher may present or publish in book form or professional journals the results of any research project conducted in accordance with this Directive provided such researcher:
 1. In any presentation or publication of results, the researcher shall acknowledge the Department's participation in the research project; and,
 2. The researcher shall expressly disclaim approval or endorsement of the presented or published material as an expression of the policies or views of the Department.
15. Publication/Report Distribution. The Director of the Best Practices Unit shall receive an electronic copy of all completed reports. The researcher shall also send a copy of the report or findings to the:
- A. Connecticut State Library;
 - B. National Criminal Justice Reference Service; and,
 - C. National Institute of Corrections Information Center.

Directive Number 1.7	Effective Date 8/8/14	Page 5 of 5
Title Research		

16. Costs. Project costs shall be borne by the researcher, consistent with the project budget. Any extraordinary cost shall also be borne by the researcher, except as specifically exempted by the Deputy Commissioner of Administration.
17. Forms and Attachments. The following forms are applicable to this Administrative Directive and shall be utilized for the intended function:
 - A. CN 1701, Research Proposal;
 - B. CN 1702, Research Nondisclosure Agreement;
 - C. CN 1703, Researcher Application; and,
 - D. CN 1704, Memorandum of Understanding for Researchers.
18. Exceptions. Any exceptions to the procedures in this Administrative Directive shall require prior written approval from the Commissioner.