



STATE OF WASHINGTON
DEPARTMENT OF CORRECTIONS

APPLICABILITY
DEPARTMENT WIDE
OFFENDER/SPANISH MANUALS

REVISION DATE
8/13/21

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

SUMMARY OF REVISION/REVIEW:


Added I.E. that additional information can be found on the internal website
 Added II.A.5. & 6. that the RDA Unit will review human subject data to ensure compliance with federal requirements and maintain guidance resources for research processes
 II.A.8. - Added clarifying language
 II.B.3., II.B., and III.D.1. - Adjusted language for clarification

APPROVED:

Signature on file

CHERYL STRANGE, Secretary
 Department of Corrections

7/30/21
 Date Signed

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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](#); [US Department of Health and Human Services Federal-wide Assurance \(FWA\) for the Protection of Human Subjects](#)

POLICY:

- I. The Department has established guidelines and procedures for research projects and use of Department data (e.g., Personal Health Information (PHI), Personally Identifiable Information (PII), administrative).
- II. The Department has established and maintains a partnership with the Office for Human Research Protections of the Department of Health and Human Services to safeguard the rights and welfare of individuals subject to research under the Department’s jurisdiction or its employees/contract staff/volunteers, or whose personal records are disclosed for research purposes.
 - A. The Washington State Institutional Review Board (WSIRB) is the designated institutional review board for the Department per RCW 42.48, providing regulatory review, approval, and oversight of research.

DIRECTIVE:

- I. General Requirements
 - A. Research projects, including external 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).
 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 Permission to conduct research may be rescinded, suspended, or denied if activities are inconsistent with those approved or are in violation of state or federal law, an established contract, or Department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 or unit (e.g., Research and Data Analytics (RDA) Unit, contractors, volunteers, anyone representing the Department) will permit or participate in research without appropriate approval(s).
 - C. Incarcerated individuals participating in outside research may continue participation in research as long as it is compliant with current Department policies and state and federal guidelines.

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

E. Employees/contract staff may find more information and resources on the Research and Data Analytics page on the Department’s internal website.


II. General Responsibilities

A. The RDA Unit will:

1. Identify research gaps and establish strategic research plans aligned with Department needs.
2. Conduct research aligned with Department priorities.
3. Coordinate, track, collaborate, and assist in external and internal research projects and data requests.
4. Provide consultation on scope, protocols, questions, methodology, data variables, timeline, and proposed deliverables (e.g., presentations, reports, debriefs, analyses, manuscripts).
5. Review 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.
6. Maintain a research guide, procedures, and checklists to guide and document the research review and determination processes.
7. Establish and maintain contracts per DOC 220.010 Contracts.
 - a. Data variables must be specified in data share agreements.
 - b. Research activities and protocols must be established and specified in contracts.
8. Review RDA reports, presentations, and contract deliverables before publication or dissemination.

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

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

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a. Criteria for review include:

- 1) Feasibility,
- 2) Scientific rigor,
- 3) Risk, and
- 4) Alignment with Department priorities.

2. Assess division resources required for completion of proposed research.
3. Score each proposal and vote on whether or not it will be recommended to the 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. Requests will be reviewed by a designated RDA employee(s). The RDA Unit will determine if the request will move forward based on Department priorities (e.g., legislation, public safety, available resources).
- B. Research requests require approval from the RRC, executive leadership, and WSIRB. The requester must pay any WSIRB and/or RDA fees.
- C. Research projects designed and conducted by external researchers and other external partnerships/funding are encouraged.
- D. Grant partnerships with a research/data component must be coordinated with the RDA 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 involving individuals in total/partial confinement must comply with the requirements outlined in 45 CFR 46.
- B. Medical experiments, pharmaceutical testing, and cosmetic research are prohibited.



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- C. 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.
- D. Individuals may refuse to participate in research at any time. Negative consequences (e.g., sanctions, violations, loss of earned time) 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:

None