



State of Indiana  
Indiana Department of Correction

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01/01/09	10	00-04-201

**POLICY AND ADMINISTRATIVE PROCEDURES**  
**Manual of Policies and Procedures**

Title  
**RESEARCH AND STATISTICS**

Legal References (includes but is not limited to)	Related Policies/Procedures (includes but is not limited to)	Other References (includes but is not limited to)
IC 4-1-6-8.6 IC 5-14-3 <i>et seq.</i> IC 11-8-2-5(a)(5), (8), (12) IC 11-8-2-9 IC 31-39-1-2 28 CFR Parts 20 & 22 45 CFR Part 46	00-04-102 01-04-101 01-04-104 03-02-104 04-03-102 04-05-101	ACA: ACI: 4-4108, 4-4109, 4-4110, 4-4111, 4-4112, 4-4113, 4-4402* JTS: 3-JTS-1E-07, 1F-01, 1F-02, 1F-03, 1F-04, 1F-05, 1F-06, 4C-45, 4C-46 CO: 2-CO-1F-02, 1F-04, 1F-09, 1F-10, 1F-11, 1F-12, 1F-13, 1F-14, 1F-15

I. PURPOSE:

The purpose of these administrative procedures is to establish a centralized research process within the department in order to develop accurate information for decision-making by staff relating to the achievement of departmental administrative and functional goals and for decision-making by the legislature and the executive branch of government. These procedures shall ensure compliance with applicable Indiana and Federal statutes and rules.

II. POLICY STATEMENT:

The Department of Correction shall establish a centralized research and statistics program relating to committed adult and juvenile offenders. The program shall be based upon:

- A. Statutory mandates;
- B. Enhancement of custody and security for the protection of the public, staff and offenders;
- C. The perceived need for information in the effective planning and management of the Department;
- D. Budgeting and fiscal planning;
- E. Improvement of service delivery to committed adult and juvenile offenders; and,
- F. Evaluation of programs and offender management.

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The Department shall encourage the coordination, development and maintenance of data. Results of research and statistical analysis shall be available to persons or agencies requesting such information. Decisions concerning extra-agency and/or intra-departmental requests to conduct research involving departmental data shall be based upon:

- Perceived need and importance of the data for the Department's use;
- Availability of staff and other departmental resources; and,
- Statutory, legislative or judicial mandates.

The Department shall ensure that compilation of research data and maintenance of statistical data is in accordance with approved or accepted standards of research and information management.

### III. DEFINITIONS:

For the purpose of this policy and its administrative procedures, the following definitions are presented:

- A. **AUDIT:** The Department's process to verify that the procedures governing the research and statistics system are being adhered to by the facilities and divisions and are functioning as intended.
- B. **BEHAVIORAL RESEARCH:** The study of human behavior utilizing replicable scientific procedures.
- C. **BIO-MEDICAL RESEARCH:** The study of the effects on human subjects of biological, medical, pharmaceutical or physical variables utilizing replicable scientific procedures.
- D. **CRIMINAL HISTORY INFORMATION:** Information collected by criminal justice agencies on individuals consisting of identifiable descriptions and notations of arrests, detentions, indictment(s), information, or other formal criminal charges, and any disposition arising there from, sentence(s), correctional supervision and release, not including identification information, such as fingerprint records, to the extent that such information does not indicate involvement of the individual in the criminal justice system.
- E. **DIRECTOR:** The Director of the Division of Planning and Research within the Department.

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- F. **DIVISION:** The Division of Planning and Research.
  - G. **EVALUATION:** The assessment of the effectiveness of a practice, procedure, or program.
  - H. **JUVENILE DATA SYSTEM (JDS):** The Department's computerized portion of the management information system designed to collect, store, process and disseminate data on juveniles adjudicated to the jurisdiction of the Department.
  - I. **OFFENDER INFORMATION SYSTEM (OIS):** The Department's computerized portion of the management information system designed to collect, store, process and disseminate data on adult offenders committed to the jurisdiction of the Department.
  - J. **OFFENDER RECORDS (ADULT AND JUVENILE):** Information concerning the individual's personal, delinquent or criminal, and medical history, behavior, and activities while in custody, including but not limited to: commitment papers, court orders, detainers, personal property receipts, visitor lists, photographs, fingerprints, type of custody, disciplinary infractions and actions taken, grievance reports, work assignments, program participation, and miscellaneous correspondence, but excluding fiscal documents.
  - K. **PROGRAM:** All academic education, prison industries and farms (PEN Products), general and special work, treatment, vocational training, and work/study/community transition release activities to which an offender may be assigned.
  - L. **RESEARCH:** The generation of knowledge concerning the criminal justice system based on replicable scientific procedures.
  - M. **STATISTICS:** The branch of mathematics dealing with the collection, analysis, interpretation and presentation of numerical data.
- IV. **SCOPE:**

This policy and its administrative procedures shall govern the manner in which research is requested and conducted by either staff or other persons or organizations. All research and statistics with a potential Department-wide impact shall be conducted by or in association with the Division of Planning and Research. It shall be the responsibility of the Director to review and approve all

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research conducted within the department and all statistics reported or published.

This policy and its administrative procedures are applicable only to those proposed research projects that effect decisions that may have a Department-wide impact. The processes outlined in these administrative procedures do not pertain to information gathered at a single facility solely for the benefit of internal operations at that facility. However, the results of such information may be submitted to the Director for possible department-wide applicability. The Facility Head may develop similar procedures for the processing of information requests at the facility.

A request to interview staff for educational purposes does not constitute research for the purposes of these procedures. Such requests shall be approved in accordance with the administrative procedures for Policy 00-03-101, "Distribution of Information." Any requests to conduct research utilizing data collected by Department staff shall be approved in accordance with these procedures.

V. ADMINISTRATION:

- A. The Division shall facilitate and coordinate research and statistics in accordance with these administrative procedures and to ensure compliance with applicable statutes.
- B. The Commissioner or his designee shall review and approve research requests.
- C. Each Facility Head and Division Director shall ensure the continuing compliance with these administrative procedures.

VI. STANDARDS OF RESEARCH:

The decision to approve research whether conducted by the Department, external agencies, or individuals shall be based upon the perceived benefit to the Department. This determination shall rest with the review of the proposed research project by the Department's Division of Planning and Research. The Department shall encourage research within the Department and shall work with institutions of higher learning, whenever practical, in the development and implementation of research projects.

Research projects involving the use of juvenile or adult offenders in medical, pharmaceutical or cosmetic experiments shall not be permitted. Medical research

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shall only be permitted in accordance with Policy 01-02-101, "The Development and Delivery of Health Care Services," and Health Care Services Directive: 1.29, "Medical Research."

### **VII. APPLICATION FOR RESEARCH PROJECT:**

- A. Any requests to conduct an evaluation, research, or statistical project involving staff, offenders, or programs, whether originating inside or outside of the Department, shall be referred to the Director for review and authorization prior to initiation of a research project. All internal research projects involving any outside organization must be approved in accordance with these procedures.

Any requests originated at or received by a facility shall be forwarded to the Facility Head for review. The Facility Head shall provide advice on the feasibility of the research, including demands on staff time and security. The Facility Head shall make a recommendation regarding the approval or disapproval of the request. The Facility Head shall forward the request and the recommendation to the Director.

- B. Upon receipt of the request, the Director will provide a copy of the guidelines for applying to do research within the Department to the applicant (see ATTACHMENT A). If the applicant is a staff member, the completed application shall be submitted through the appropriate chain of command to the Director. If the applicant is not a staff member, completed application is to be submitted to the Director.

### **VIII. REVIEW PROCESS:**

The Director and a review committee consisting of appropriate Department staff shall evaluate all requests for research. The initial screening of the application shall review the request to determine the following:

- A. Benefit to the Department

Benefit to the Department shall be considered, including whether the research will advance the mission of the Department or provide a better understanding of the status of corrections in the State of Indiana.

- B. Degree of disruption to normal activities

Proposed research that will put an undue burden on the normal routine of

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daily activities shall not be accepted.

### C. Methodology

Requests that do not meet accepted standards of research methodology shall be rejected.

The review committee's decision may be approval, denial, or request for additional information or clarification. As the Commissioner's designee, the Director shall make the final decision regarding the research project based upon the committee's comments and any other pertinent information and shall sign the approval or denial of the request..

If an application is received and approved in which the researcher is offering a monetary payment as an incentive to participate in the research project, the monetary award shall be placed in the Inmate Recreation Fund of the facility where the participating juvenile or adult offender is housed. No monies shall be given directly to the juvenile or adult offender.

All requests for research that are rejected shall be returned to the party submitting the request indicating the reason the request was rejected. The party may make changes to the proposal and resubmit the request if desired.

### IX. NOTIFICATION OF DECISION:

Within twenty-five (25) workdays from the date the completed application is received in the office of the Director, the Director, or the Director's designee, shall notify the applicant in writing of the results of the review.

### X. REVIEW OF THE COMMITTEE'S DECISION:

If the Division's decision is unsatisfactory, all applicants may request an administrative review of the decision.

If the applicant is a Department employee or offender under the Department's jurisdiction, such an applicant may submit a request for an administrative review together with supporting documents to the Commissioner through appropriate administrative channels. Each level may add comments to the request prior to forwarding the request to the next higher administrative level.

If the applicant is a non-Department employee, exclusive of an offender(s) under the Department's jurisdiction, the applicant may submit a request for an

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administrative review together with supporting documents to the Commissioner.

### **XI. AGREEMENT OF SECURITY AND CONFIDENTIALITY:**

If an approved application includes a request for criminal history information, a copy of State Form 13251, AGREEMENT OF SECURITY AND CONFIDENTIALITY, shall be completed including applicant's signature (see ATTACHMENT B). This form shall be included in the application packet.

### **XII. NOTIFICATION OF STAFF:**

Subsequent to the application approval, the Director shall notify any involved Deputy Commissioner and the Facility Head or Division Director responsible for the facility, program or division in which the research project is to take place that approval has been granted. These individuals will receive a copy of the application and the letter of approval.

### **XIII. CONDUCTING THE RESEARCH:**

Following the approval of the research, the researcher shall contact the Deputy Commissioner, Division Director or Facility Head responsible for the facility, program or division in which the project is to occur prior to the anticipated project start date.

The researcher is responsible for securing a completed State Form 13252, SUBJECT'S AGREEMENT TO PARTICIPATE/CONSENT TO DISCLOSE INFORMATION, or comparable form from each subject, if required, prior to the involvement of the subject in the project (see ATTACHMENT C).

All staff shall be expected to assist the researcher and other research personnel, as necessary, in carrying out the approved research project.

The Director, or the Director's designee, shall monitor the activities of each research or statistical project. Problems which arise and which cannot be readily resolved by the researcher and the responsible staff shall be referred to the Director.

### **XIV. REPORTING AND USE OF FINDINGS:**

The person(s) or agency that conducts the research shall provide the Department two (2) copies of the Final Report/Research Finding. The copies shall be submitted to the Director.

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Upon request, a summary of the project and its results and conclusions shall be presented to the Executive Staff.

The results of departmental research or statistical projects may be used in the planning and decision making for Department administration, operations and programs.

### **XV. CONFIDENTIALITY AND RELEASE OF INFORMATION:**

The release of information pertaining to a research project within the Department shall be in accordance with all applicable statutes, rules and departmental policies and procedures. Generally, the results of research conducted within the Department either by staff or others shall be considered public information and shall be available for review and copying.

In certain cases where the data collected during a research project contains personal information regarding staff or offenders, the data collected may be considered confidential information. Only that information that has been determined to be public information in Policy 01-04-104, "The Establishment, Maintenance and Disposition of Offender Records," and Policy 04-03-102, "The Establishment, Maintenance and Disposition of Personnel Records," shall be released either as a part of the results of a research project or separately.

In cases where the releasing of the results of a research project may have a negative impact upon the operation of the Department or upon public safety and security, the Commissioner may designate any part or the entire research project as confidential in accordance with applicable statutes.

### **XVI. PRESENTATION OF PAPERS AND PUBLICATIONS OF ARTICLES BY STAFF AND OFFENDERS OF THE DEPARTMENT:**

In compliance with professional and research standards, the dissemination and publication of information from approved projects shall be encouraged so that the field of corrections can fully benefit from the information.

Presentations and publication of articles by Department staff persons or offenders under the Department's supervision concerning departmental research and projects shall have prior approval by the Director.

### **XVII. VIOLATION OF THE PROCEDURES:**

A person(s) or agency or study shall be subject to the Department's procedures

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and rules. Permission to conduct the current study and any further research may be discontinued for violation of Department procedures, rules, security requirements, or for violation of applicable Indiana and/or federal statutes and rules.

Violation(s) of the procedures or rules with regard to offender information may subject the violator to civil or criminal liability.

### **XVIII. INTERNAL COLLECTION, ANALYSIS AND DISSEMINATION OF STATISTICAL DATA:**

In order to centralize data collection, and minimize duplication of effort, requests for statistical data pertaining to offenders and staff in the Department beyond that which is contained (stored) in the Department's Offender Information System (OIS), Juvenile Data System (JDS), and Human Resources Management System (HRMS), whether originating from within or outside the Department, shall be directed to the Director for review and response. If the requested data is not available from the Division of Planning and Research, the requester may be referred to the appropriate source.

All requests for data contained in the department's OIS, JDS, and HRMS by persons without authorized access to such systems, shall be directed to the Director for review and response. Requests for data from a court, law enforcement agency, the General Assembly, state agencies or criminal justices agencies shall be provided under the supervision of the Director.

Each Facility Head and Division Director shall coordinate his/her respective area to ensure accurate and timely responses to regular and/or special requests for data submission.

Facility Heads action:

- A. Appoint a staff person responsible for local research and statistics, such appointment may vary from project to project, as needed;
- B. Appoint a minimum of one (1) primary and one (1) back-up staff person to collect and report data as instructed by the Director;
- C. Ensure that the appointees are currently employed and appoint replacements as necessary; and,
- D. Inform the Director of the names and job titles of the current appointees.

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**XIX. STAFF TRAINING:**

Each Facility Head and Division Director is responsible for initial and continuing local staff training pertaining to these administrative procedures. Training assistance may be requested from the Director and/or the Director of Staff Development and Training.

The Director, or the Director's designee, may conduct combined meetings periodically for locally appointed staff concerned with research and statistics as set forth in these procedures. The purpose of the meetings shall be to review these procedures and update staff concerning data collection and reporting.

**XX. APPLICABILITY:**

These administrative procedures are applicable to all Department facilities and staff and all persons or organizations wishing to conduct research projects involving the Department.

\_\_\_\_\_  
Signature on File  
Edwin G. Buss  
Commissioner

\_\_\_\_\_  
12/4/08  
Date

**APPLICATION FOR RESEARCH**  
**Indiana Department of Correction**

**INSTRUCTIONS:**

- Attach typed answers to all questions.
  - Submit the original and one copy of the application to:  
Director, Division of Planning and Research  
Indiana Department of Correction  
302 W Washington St, E334  
Indianapolis, IN 46204
  - Include the Agreement of Security and Confidentiality (State Form 13251) with this application, if applicable.
1. **Title of Project** – Full title of proposed research project.
  2. **Name of Applicant** – First and last name of principal investigator for the project.
  3. **Phone number of applicant** – Daytime phone number including area code.
  4. **Address of Applicant** – Address where applicant wishes to receive correspondence concerning the project.
  5. **Organization or institutional affiliation pertaining to the project** – If project is a requirement for an educational degree, please enter the University where student is working on the degree. If not applicable enter “NA”.
  6. **Name, title, department of faculty advisor** – If requirement for educational degree, enter full name, title and department of faculty advisor. If not applicable enter “NA”.
  7. **Project hypothesis (es)** – State specifically the tentative assumption(s) or problem (s) to be studied.
  8. **Project procedure** – State specifically the procedure involved to conduct the research. Include the following information:
    - Facility(ies), parole district(s), division(s) to be involved;
    - Estimated start and completion dates of project;
    - What the Department is expected to provide (equipment, personnel, space, supplies etc);
    - Number and type of subjects and method to select them;
    - Copy of each instrument to be used;
    - Name of all research personnel involved and their background as related to the project; and
    - Any other pertinent information necessary.
  9. **Intended use and dissemination of findings** – State if the final report is to be used for educational credit, publication, in-house use, etc. Include a statement

that two (2) copies will be submitted to the Director, Division of Planning and Research.

10. **Importance to Department of Correction** – State how the Department can benefit from the results of the project.
11. **Specific information required** – State all the information required from the Department in order to conduct the project. If information is to be obtained on individual subjects, specifically state the information required.
12. **Justify need for subject’s information in identifiable form if applicable** – State why information is required in a manner which will identify the subjects and state the specific information associated with them that is needed. If criminal history information is required, a copy of AGREEMENT OF SECURITY AND CONFIDENTIALITY, State Form 13251, is to be completed. If information is not required in identifiable form enter “NA”.
13. **If the project is being conducted in association with a college or university,** has it received approval from the Committee on the Protection of Human Subjects (or similar committee)?  
If yes, please attach a copy of the committee approval. If no, please explain.
14. **Signature of Applicant** – please sign the application.
15. **Title of Applicant** – Enter job title if applicable.
16. **Date of signature** – Enter month, day, and year the application is signed.

ATTACHMENT B  
COMPLETION INSTRUCTIONS  
State Form 13251

AGREEMENT OF SECURITY AND CONFIDENTIALITY

- (1) **NAME OF APPLICANT:** Enter the full name of the principal investigator for the project. This section is to be completed when the application is submitted.
- (2) **DATE APPLICATION SUBMITTED:** Enter the month, day and year the application is submitted.
- (3) **PARTY AGREEMENT:** This section is to be completed by the Director, Division of Planning and Research, or designee, upon approval of the application.
- (4) **SIGNATURE OF APPLICANT:** Signature of the principal investigator for the project.
- (5) **DATE SIGNED:** The principal investigator shall enter the month, day and year that he/she signed this form.
- (6) **TITLE OF APPLICANT:** Enter the job title of the project's principal investigator. If not applicable, enter "NA."
- (7) **SIGNATURE OF THE DEPARTMENT REPRESENTATIVE:** The Director, Division of Planning and Research, or designee, shall enter his/her signature.
- (8) **DATE SIGNED:** The Director, Division of Planning and Research, or designee, shall enter the month, day and year that this form is signed.
- (9) **TITLE OF REPRESENTATIVE:** Enter the job title of the Department representative.
- (10) **DISTRIBUTION**
  - (a) Original – Director, Division of Planning and Research
  - (b) Copy – Director, Division of Planning and Research
  - (c) Copy – Applicant

ATTACHMENT C  
COMPLETION INSTRUCTIONS

State Form 13252

SUBJECT'S AGREEMENT TO PARTICIPATE/CONSENT TO DISCLOSE  
INFORMATION

- (1) **TITLE OF PROJECT:** Enter the full name of the evaluation, research or statistical project.
- (2) **NAME OF SUBJECT:** Enter the full name (first, middle, last) of subject.
- (3) **EMPLOYEE/OFFENDER:** Place an "X" in the appropriate box as it pertains to the subject. If the subject is an offender, enter the subject's DOC Number.
- (4) **LOCATION:** Enter the facility or division where the subject is located.
- (5) **NAME OF RESEARCHER AND/OR ORGANIZATION TO WHICH DISCLOSURE IS MADE:** Enter the full name of the researcher and/or the name of the organization that is to collect the information.
- (6) **DESCRIBE THE NATURE OF INFORMATION TO BE DISCLOSED:** Specifically describe all information to be collected pertaining to the subject.
- (7) **SPECIFY THE DATE, EVENT OR CONDITION UPON WHICH THIS CONSENT EXPIRES:** Enter the termination date or cause for the expiration of the subject's involvement in the project.
- (8) **SIGNATURE OF SUBJECT:** To be signed by the subject if he/she agrees to participate in the project/release of information. Lack of signature indicates refusal to participate or consent to disclose information.
- (9) **DATE SIGNED:** Enter the month, day and year the subject signed.
- (10) **SIGNATURE OF WITNESS:** May be the signature of the researcher or an employee of the Indiana Department of Correction.
- (11) **DATE SIGNED:** Enter the month, day and year the witness signed.
- (12) **TITLE OF WITNESS:** Enter the job title of the witness
- (13) **DISTRIBUTION:**
  - (a) White - Researcher
  - (b) Yellow – Offender Facility Packet or Employee Personnel File