



State of Indiana
Indiana Department of Correction

Effective Date	Page 1 of	Number
11/1/2020	3	00-04-202

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

Title
PUBLICATION OF RESEARCH

Legal References (includes but is not limited to)	Related Policies/Procedures (includes but is not limited to)	Replaces:
IC 11-8-5-2	00-00-101 00-03-101 00-03-101 00-03-102 00-04-201	00-04-202 (9/1/2019)

I. SCOPE:

This policy and administrative procedure shall govern the manner in which Department research is published by staff in collaboration with outside research organizations. It shall be the responsibility of the Executive Director of Data Science and Analytics to review and approve all publication agreements and proposed published materials prior approval and publication.

This policy and administrative procedure is applicable only to those research projects that have been performed by the Department in which the Department is seeking to publish its findings in academic or trade journals with the assistance of a third party (e.g., institution of higher education). The processes outlined in this policy and administrative procedure do not pertain to proposed research performed to gather new data or examine existing data for independent analysis. These matters are addressed in Policy and Administrative Procedure 00-04-201, “Research and Statistics”.

II. ADMINISTRATION:

- A. The Division shall facilitate and coordinate publication in accordance with this policy and administrative procedure and to ensure compliance with applicable statutes.
- B. The Commissioner or designee shall review and approve publication agreement forms and their subsequent articles prior to publication.

III. STANDARDS OF RESEARCH:

The decision to approve publications shall be based upon the perceived benefit to the Department. This determination shall rest with the review of the proposed project by the Department’s Data

POLICY AND ADMINISTRATIVE PROCEDURE			
Indiana Department of Correction			
Manual of Policies and Procedures			
Number	Effective Date	Page	Total Pages
00-04-202	11/1/2020	2	3
Title			
PUBLICATION OF RESEARCH			

Science and Analytics Division.

IV. PUBLICATION AGREEMENTS:

- A. Any publication agreements shall be referred to the Executive Director of Data Science and Analytics for review and approval prior to initiation of the project. All projects involving any outside organization must be approved in accordance with this policy and administrative procedure.
- B. The Executive Director shall provide a copy of the authorship agreement to the applicant (see attachment). If the applicant is a staff member, the completed application shall be submitted through the appropriate chain of command to the Executive Director. If the applicant is not a staff member, completed application is to be submitted to the Executive Director.

V. REVIEW PROCESS:

The Executive Director and any other pertinent Department staff, as needed. The screening of the publication agreement shall use the following criteria:

- A. Benefit to the Department

Benefit to the Department shall be considered, including whether the publication 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 publication will not place an undue burden upon the staff of the Division to perform.
- C. Methodology

Requests that do not meet accepted standards of research methodology shall be rejected.
- D. Inclusion of Department Staff as Authors

Department staff who were involved in the synthesis of the project shall receive authorship within the publication agreement. Submitted agreements which do not incorporate Department staff will not be considered.

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

POLICY AND ADMINISTRATIVE PROCEDURE			
Indiana Department of Correction			
Manual of Policies and Procedures			
Number	Effective Date	Page	Total Pages
00-04-202	11/1/2020	3	3
Title			
PUBLICATION OF RESEARCH			

Upon approval or denial of the request for publication collaboration, the Executive Director is responsible for notifying all parties of the decision of the review committee.

VI. NOTIFICATION OF DECISION:

Within thirty (30) days from the date the completed publication agreement is received in the office of Data Science and Analytics, the Executive Director, or designee, shall notify the applicant in writing of the results of the review.

VII. 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. This form shall be included in the application packet.

VIII. PRESENTATION OF ARTICLES AND PUBLICATIONS BEFORE PUBLICATION:

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.

All articles shall be submitted to the Executive Director to be reviewed before publication in a journal or trade publication.

IX. VIOLATION OF THE PROCEDURES:

A person(s), an agency, or a study shall be subject to the Department's procedures 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 law.

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

XI. APPLICABILITY:

This policy and administrative procedure is applicable to all Department facilities, offices, and staff.

signature on file
Robert E. Carter, Jr.
Commissioner

Date