

**CSOSA/PSA**  
**Policy Statement 1201**  
**Policy Area: Research and Evaluation**

**NOTICE:**

These guidelines no longer require the submission of multiple hardcopies of the research proposal. In fact, this is now discouraged. Please send your proposal electronically to either Claire Fay at [claire.fay@psa.gov](mailto:claire.fay@psa.gov) or Calvin Johnson at [calvin.johnson@csosa.gov](mailto:calvin.johnson@csosa.gov).

## **APPENDIX B RESEARCHER SUBMISSION GUIDELINES**

### A. Terms

Research refers to systematic investigation, including development, testing, and evaluation, which is designed to develop or contribute to general knowledge. Specific research efforts that must be reviewed by the RRC include:

- Program reviews/evaluations undertaken by non-employees (research originating from outside of the Agency) and, thereby, considered **non-Agency research**;
- All research projects undertaken by employees pursuing independent research (research that may use Agency data, but is conducted on behalf of non-Agency interests such as dissertations, journal articles, etc.) and, thereby, considered **non-Agency research**;
- All research projects undertaken by employees and contractors on behalf of the Agency (originating from within the Agency), and thereby considered **Agency research**, whose purpose of investigation is outside of scope of evaluation of performance measures as stated in the Agency's Strategic Plan; and
- All research projects undertaken by employees, contractors or non-employees (both **Agency** and **non-Agency research**) that include the use of human subjects as defined in 45 C.F.R. Part 46.

This does not include routine statistical tabulations and program reviews/evaluations undertaken by Agency employees for administrative purposes<sup>1</sup> only.

### B. Requirements for Non-Agency Research and Research Involving Human Subjects

The following information must be provided to the RRC for review of any non-Agency research and any research involving human subjects to be undertaken by employees or non-employees:

- (1) A summary statement containing the following information items in the order in which they are listed below:
  - (a) Name(s) and current affiliation(s) of the researcher(s);
  - (b) Title of the study;
  - (c) Purpose of the project;
  - (d) Location of the project;
  - (e) Duration of the study;
  - (f) Research methods to be employed;
  - (g) Sample type and size required and time frame for sample collection;

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<sup>1</sup> The term "administrative purposes" refers to reports and correspondence for internal agency use, and for external distribution to the General Accounting Office, Office of Management and Budget, and Congress, *etc.*

- (h) Agency staff and/or resources needed to support the study and description of the support needs;
  - (i) Indication of risk or discomfort to subjects as a result of participation;
  - (j) Anticipated results; and
  - (k) List of deliverables.
- (2) A detailed statement, which includes the following information items in the order in which they are listed below:
- (a) Review of the related literature;
  - (b) Detailed description of the research method;
  - (c) Significance of anticipated results and their contribution to the advancement of knowledge;
  - (d) Benefits of research and/or participation to CSOSA/PSA;
  - (e) Specific resources required from the Agency;
  - (f) Description of all possible risks, discomforts, and benefits to individual subjects or a class of subjects, and a discussion of the likelihood that the risks and discomforts will actually occur;
  - (g) Description of steps taken to minimize any potential risks or discomforts;
  - (h) Description of physical and/or administrative procedures to be followed to: 1) ensure the security of any individually identifiable data that are being collected for the project; and 2) destroy research records or remove individual identifiers from those records when the research has been completed;
  - (i) Description of any anticipated effects of the research project on Agency programs and operations;
  - (j) Relevant research materials such as vitae, endorsements, descriptions of similar work undertaken, sample informed consent statements, questionnaires, and interview schedules;
  - (k) Statement indicating that copies of all deliverables will be provided to CSOSA/PSA; and
  - (l) Statement that copies of any datasets will be provided to CSOSA/PSA at the conclusion of the project.
- (3) Employee and non-employee researchers (for non-Agency and Agency research involving human subjects) must also provide verification that the proposed research has been approved by an independent Institutional Review Board (IRB), including:
- (a) Copy of application for review to IRB; and
  - (b) Copy of certification statement from IRB.

In the case that IRB review is contingent upon RRC approval, the RRC may elect to conduct its review with the provision that final approval and initiation of research will not occur until IRB approval has been verified.

### C. Requirements for Agency Research

A summary statement containing the following information items in the order in which they are listed below must be provided for any Agency research (that does not involve human subjects) to be undertaken by employees on behalf of the Agency.

- (1) Name(s) and current Agency and Agency component of the employee(s) conducting the research;
- (2) Title of the study;
- (3) Purpose of the project;
- (4) Location of the project;
- (5) Methods to be employed;
- (6) Anticipated results;
- (7) Duration of the study;
- (8) Sample size required and/or time frame for sample collection;
- (9) Number of Agency staff needed to support the study and description of the support needs;
- (10) Specific resources required from the Agency;
- (11) Description of any anticipated effects of the research project on Agency programs and operations; and
- (12) List of deliverables to the Agency.

Additionally, a statement of approval from the appropriate Agency authority is required.

### D. Requirements for Informed Consent

If the proposed research requires participation by staff or offenders/defendants, a copy of the informed consent form to be used must be submitted. The informed consent form must contain the following information:

- (1) Identification of the principal researcher(s);
- (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) Statement of benefits reasonably to be expected;
- (7) A declaration concerning discomfort and risk to the subject, including a description of the 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;
- (9) A statement regarding the confidentiality of the research information and exceptions to any guarantees of confidentiality required by federal or state law. For example, a researcher may not guarantee confidentiality when the subject indicates an intent to commit further criminal conduct or harm himself/herself or someone else;

- (10) A statement that participation in the research project will have no effect on the offender's/defendant's community supervision status; and
- (11) An offer to answer questions about the research project.

A researcher who is not an Agency employee, in addition to presenting the statement of informed consent to the subject, shall also obtain the subject's signature on the statement of informed consent prior to initiating the research activity.

If the researcher is an employee of the Agency, the informed consent statement also must include:

- (1) Declaration of the authority under which the research is conducted (*e.g.*, Received approval by the RRC on January 1, 2001); and
- (2) Contact information for subjects to contact researcher if necessary.

A researcher who is an Agency employee is exempt from the informed consent requirements when the research is authorized as part of the employee's official duties and involves analysis of archived administrative records exclusively and does not require direct (active) offender/defendant participation. A researcher who is not an Agency employee (or an Agency employee conducting research outside of his or her official duties) also is exempt from informed consent requirements when the research is limited to archival data analysis; however, these researchers must make a valid Freedom of Information Act Request prior to the grant of access to Agency information database(s).

#### E. Other Requirements

An original plus five (5) copies of the complete set of submission materials must be provided.

#### F. Other Considerations

Once all of the required materials are submitted to the appropriate Agency representative, and the review has been initiated formally, the RRC will review the research proposal and prepare a Recommendation Statement for the Director(s) within 45 business days for whether or not to proceed with the proposal. Any outstanding questions or concerns will be communicated to the researcher in writing and must be addressed and/or resolved before approval can be granted. It is advisable to begin the review process 45 to 60 days before research activities must begin.

If the research proposal is supported, the researcher will be required to sign the following agreements:

- Human Subjects Protection
- Confidentiality Assurance
- Privacy and Data Security Certification
- Intellectual Property Provision
- Reporting Progress and Publishing Findings