



Illinois Department of Corrections

Administrative Directive

Number: 01.06.101	Title: Research and Evaluation Studies	Effective: 6/1/2022
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Authorized by:	<i>[Original Authorized Copy on File]</i> Rob Jeffreys Director
Supersedes:	01.06.101 effective 8/1/2020

Authority: 730 ILCS 5/3-2-2, 42 U.S.C. 3701 et seq., 28 CFR 22.1 et seq., 370 ILCS 5/3-2-2 and 3-2-8 20 IAC 106	Related ACA Standards: 5-ACI-1F-13 – 18, 5-ACI-6C-09
Referenced Policies: 01.07.105	Referenced Forms: DOC 0403 – Research Agreement DOC 0404 – Research Consent

I. POLICY

The Department shall encourage a wide range of research and evaluation activities that support the needs, mission and priorities of the Department. All research and evaluation studies conducted within the Department shall be authorized by the Manager of Planning and Research.

II. PROCEDURE

A. Purpose

The purpose of this directive is to establish written instructions for staff regarding research and evaluation performed in the Department.

B. Applicability

This directive is applicable to all correctional facilities, offices, programs and parole services within the Department.

C. Facility Reviews

A facility review of this directive shall be conducted at least annually.

D. Designees

Individuals specified in this directive may delegate stated responsibilities to another person or persons unless otherwise directed.

E. General Provisions

1. Any request to conduct research or an evaluative study involving staff, individuals in custody, programs or facilities originating inside or outside the Department shall be referred to the Manager of Planning and Research for review and authorization prior to initiation of the project.
2. Results of Departmental research and evaluation studies shall, when appropriate, be used in the planning and decision-making for agency administration, programs and operations.
3. 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.

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4. Persons performing the research or study shall be subject to the Department Rules and applicable Illinois and federal statutes, rules and laws.
 - a. Violation of Department Rules or security requirements or violation of applicable Illinois and federal statutes, rules and laws may result in discontinuance of the current study or prohibition of any further research or both.
 - b. Violation of the rules regarding record information of individuals in custody may subject the violator to criminal liability.
 - c. In accordance with Administrative Directive 01.07.105, when research may contain information that would fall under federal privacy provisions contained in the Health Insurance Portability and Accountability Act of 1996 (HIPAA), persons performing the research must comply with the provisions contained within.

F. Requirements

1. All research and evaluation requests shall be reviewed and approved by the Manager of Planning and Research.

NOTE: Any inquiries received by a facility regarding research and evaluation studies shall be forwarded by the facility to the Manager of Planning and Research for review and retention.
2. The Manager of Planning and Research shall:
 - a. As needed, obtain any required approvals from the appropriate parties, including the Chief Administrative Officer, prior to commencement of any research project. Approvals shall be obtained via email or phone, and shall be maintained by the Office of Planning and Research.
 - b. Inform all parties concerned of any approvals in writing, including the Research Agreement, DOC 0403, regarding the disposition of the request for research or evaluation.

NOTE: Approval letters shall describe, at a minimum, the methods, scope, location(s) and duration of the project.
 - c. Review the nature and risk of the research, concerns for security relevant to the needs and goals of the Department, methods, procedures and the demands on staff time and resources as factors to be considered in determining approval or denial.
 - d. Require that any research projects involving individuals in custody and other human subjects submit a copy of an annually-reviewed Institutional Review Board (IRB) approval letter, or a letter of determination from the IRB stating the project is not bona fide research, when appropriate, to the Planning and Research Unit.

NOTE: The Planning and Research Unit shall monitor and track all expiration dates associated with ongoing projects.
 - e. Retain the signed DOC 0403 and, if approved, send an approval notification, either by mail, fax or email to the facility where the research will be conducted.
 - f. Provide copies of forms as requested.
3. When appropriate, a Research Consent, DOC 0404, shall be signed by each research participant and witnessed by a departmental employee.

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4. The Planning and Research Unit shall retain file copies of all documentation, including copies of the various forms, approvals, continuing reviews, amendments, findings and final reports.
 5. The facility shall retain the approval letter from the Planning and Research Unit that is signed by the appropriate parties authorizing the study.
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