State of California
Department of Corrections and Rehabilitation
Research Oversight Committee

Guidelines for Submitting Research Applications

The California Department of Correction and Rehabilitation's (CDCR) mission is to facilitate the successful reintegration of the individuals in our care back to their communities equipped with the tools to be drug-free, healthy, and employable members of society by providing education, treatment, rehabilitative, and restorative justice programs, all in a safe and humane environment.

The CDCR Research Oversight Committee's (ROC) mission is to promote promising and potentially promising ideas and practices to evidence-based education, treatment, rehabilitation, and restorative justice interventions and programs.

Introduction

The CDCR is interested in research that focuses on evaluating and improving education, treatment, rehabilitation and restorative justice programs for individuals in our care. The Research Oversight Committee Administration Team (ROCAT) administers the CDCR external research application process.

CDCR assesses, approves, coordinates, and monitors its research activities to ensure:

- alignment with CDCR's organizational objectives stated in the January 2016 Blueprint;
- appropriate and lawful access to CDCR resources;
- compliance with all applicable laws, regulations, and policies.

These research guidelines provide:

- key points to consider when requesting to conduct research with CDCR;
- information on how to obtain approval to use CDCR resources for research;
- directions to follow when applying for and conducting research with CDCR.

Contact Information

Email: Data.Requests@cdcr.ca.gov
Postal Address: Department of Corrections and Rehabilitation
Research Oversight Committee Administration Team
Division of Correctional Policy Research and Internal Oversight
P.O. Box 942883
Sacramento, CA 94283-0001
Website: https://www.cdcr.ca.gov/research/research-requests/

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Application Submission

Research applicants must submit a completed standard Research Application Form to Data.Requests@cdcr.ca.gov for consideration by the CDCR Research Oversight Committee (ROC). Research applications are accepted continuously. Important dates on the ROC calendar are shown on the ROC Schedule.

Applicants must address the following areas in the Research Application Form:

- alignment with CDCR's research priorities;
- CDCR resources required to implement and complete the research (give a detailed summary of the resources needed, such as access to offenders, facilities, staff, records, etc.);
- Intended use of data released and/or created for the research including an explanation of the impact of not obtaining the data;
- Specific data elements needed including to support research goals/objectives;
- research benefits to CDCR, CDCR's in-custody and/or parolee populations, and the community;
- the background, scope, proposed methodologies, sampling construct(s) and data analysis (give a concise summary of the research background and methods);
- basis of research (academic and/or professional);
- intent to publish (if any);
- proposed start and end dates for the project.

Applicants are required to include the following documents in their research application package:

- a completed Research Application Form including applicant background information, research rationale, methods and analysis, expected end products, CDCR resources required, and expected timeline;
- a Research Staff Contact List showing all individuals who will be entering institutions or working with CDCR data collected as part of the project; list names with respect to project role (e.g., interviewer, data analyst, principal investigator, co- principal investigator, primary communication contact, etc.) including their position/title, department/organization affiliation, postal address, telephone number, and email address for each individual;
- current curriculum vitae/resume (up to 5 pages) for all professional staff members involved in the proposed research project;
- for students, a Letter of Support from their Principal Academic Advisor; student applicants conducting research for a class project, a thesis/dissertation, or for peer-reviewed publication, etc., must obtain a letter of support from one or more sponsoring academic advisors; support letters must identify the relationship with the student and approve the research scope, methodology (including the plan for data analysis), potential benefits and shortcomings of the research; pre-college students are required to submit research applications through their school principal;

- for non-students, a Fiduciary Support letter is required; applicants conducting academic or professional research as a non-student, must specifically identify and acknowledge their fiduciary entity; (the fiduciary entity is ultimately responsible for the risks associated with the research);
- copies of research instruments and data collection tools must be included as part of the application package;
- a draft Informed Consent form must be included in the application package.

Detailed Instructions for Research Applications

Detailed Project Scope of Work

What are we looking for?

This section provides a detailed description of the study, including *background, significance, and rationale* of your research project. Define technical terminology and acronyms.

Background: If your project is an evaluation of a program, include:

- a description of the program/intervention;
- whether the program/intervention has been implemented previously, and if so where;
- whether the program/intervention has been previously evaluated, and if so the results of the evaluation;
- a review of any published best-practices literature about this type of program/intervention.

If your project is a descriptive or theoretical project, include:

- a concise summary of your project;
- a description of how your project fits into the research literature, especially the best-practices literature.

Significance: Your description must include the importance, relevance, and value of the research project in relation to the CDCR mission, especially how your project will move a promising and potentially promising idea or practice to an evidence-based education, treatment, rehabilitation, or restorative justice intervention and program. In addition, state if your research is evaluating a program/intervention funded by a specific CDCR funding stream (e.g., Division of Rehabilitative Programs [DRP], Innovative Program Grant).

Rationale: Your description must provide a justification for your study design, methods, and population. Please reference published works or earlier research findings pertinent to the study design and methods.

Detailed Description of Research Methodology

What are we looking for?

This section provides a concise, but comprehensive description of your research design and methods, including:

Project Aim(s) and Objective(s): What do you hope to achieve by conducting this research project? Your aims and objectives must be specific and measurable.

Research Question(s) and Hypothesis/Hypotheses: State the research question(s) that you plan to answer through your project. There should be at least one hypothesis for every major study procedure or intervention. If there are no hypotheses, describe your project's goals.

Number of Participants: How many participants will be needed to meet the scientific aims of the research accounting for drop-outs. Show evidence of establishing statistical power. Select the target population from the list provided in the application.

Project Recruitment Procedures: Describe in detail the methods that you will use to identify study subjects, including how the opportunity to participate in the study will be announced to potential participants, and how, where, and by whom participants will be contacted. Please include any scripts, ads, and/or letters that will be used for recruitment. List the specific institutions and facilities where recruitment will take place. Attach a copy of your Informed Consent Form.

Recruitment strategies for CDCR personnel must ensure compliance with state bargaining unit agreements and consider the impact imposed on employees' workload and duty schedules. Employees are not permitted to use work hours or state time to participate in voluntary external research studies without the support of the Research Oversight Committee and approval from the impacted hiring authority.

Informed Consent: Informed consent must be obtained from all study participants and documented, except in cases where the approved research project only used large administrative non-identifiable data sets. Applicants requiring access to CDCR records relating to specific individuals (e.g. individual patient records or staff records) must obtain departmental approval(s) and explicit consent from individual study participants).

Applicants must ensure that informed consent of participants is obtained in accordance with California Penal Code Section 3521, the Code of Regulations (Title 15, Article 9.1) and the California Civil Code Sections 1798.24-1798.24b. Obtaining informed consent may require researchers to enlist the assistance of interpreters, guardians and advocates.

Participant consent can be obtained in the following ways:

- written informed consent from an offender 18 years or older;
- if the participant is a youthful offender, the consent of the participant's parent or guardian is required.

Applicants must ensure that participants are given a Participant Information Sheet and Participant Consent Form that explains what information is required from them, what

consequences will arise out of their cooperation and their rights in relation to the research project. Participation in research is voluntary and participants including youthful offenders are entitled to withdraw from research at any time.

CDCR does not permit the offering of incentives or rewards to any individuals as inducement to participate in a research study. It would be acceptable for applicants to reimburse parolees for the associated costs incurred during participation in the research study (e.g. travel costs).

Project Inclusion and Exclusion Criteria: Describe your study sample and what criteria, if any, you will use to include or exclude potential participants. Additionally, if your research methods call for comparing groups of participants, describe the procedures (e.g., random assignment, test scores, naturally occurring groups, etc.) you will use to place your participants in each condition. Include who will be doing the assignment to conditions, and their level of training on the assignment procedures. Describe how any risks from assigning participants to conditions will be mitigated. For example, will participants assigned to control conditions later be eligible for participation in the program? How will you deal with individuals who need to take your program, but have only a short time before release?

Project Procedures: Describe in detail the study's overall timelines, locations, and procedure(s). List all interventions, assessments and interviews, and estimates of duration for each procedure. Provide schedules of events, identify study personnel involved in each procedure, and provide credentials necessary for relevant personnel. For complicated study designs, you are encouraged to attach tables, flow-charts, and/or study algorithms.

Project Design and Methods: Provide a detailed explanation of how information from study participants will be collected, analyzed, and reported. Include information about recording and transcribing interviews and focus group discussions, if applicable. Data collection tools and instruments must be attached to the application. Provide detailed information about data collection methods such as one-to-one interview (written reply), one-to-one interview audio-recorded, self-administered questionnaire, focus group discussions, data linkage, data extraction, etc. Also, as necessary, discuss qualitative data validation and normalization strategies.

Applicants who wish to transcribe or record interviews must request permission to allow electronic devices to be brought into CDCR premises and the recording or transcribing of interviews must be obtained from the Warden, and/or Division of Adult Institution Director/Chief, and/or Division of Juvenile Justice Director/Chief. The ROC administrative support team will help applicants coordinate their request and connect them with appropriate CDCR Divisions.

Applicants must ensure that they have an alternative plan for documenting interviews and information if their request to record or transcribe interviews is not approved.

Interviews may only be recorded or transcribed provided that the informed consent of the participant has been obtained.

Data collection efforts must be designed to circumvent or restrict the use of state resources such as email, the state computer network, telecommunication devices, and state facilities. Additionally, the use of state resources for external research purposes has potential legal implications. Approval to use state resources for external research purposes is made on a case-by-case basis through the ROC and is dependent on the value of the research to CDCR/CCHCS and the risk to individual safety and security.

If applicants are requesting administrative data from CDCR/CCHCS, a comprehensive list of data metrics must be provided with the application submission. The comprehensive list of data metrics must include the following information:

- *List of specified metrics/variables/data fields*
    - *Annotate the need for each metric element (e.g., unique identification, demographic, programmatic, etc)*
- *Time basis of reporting (e.g., daily, monthly, quarterly, semi-annually)*
- *Over what time period (e.g., state fiscal year 2020-2021)*
- *Delivery method (e.g., email, cd/dvd, OTECH Secure File Transfer)*
- *Delivery format (e.g., xls, xlsx, csv, html, txt etc.)*

If applicant is requesting Public Records Act (PRA) data, it is recommended that applicants review the list of data metrics provided for PRA request as a guide in determining possible data metrics. Please see the following webpage for more information https://californiacdcr.govqa.us/WEBAPP/_rs/(S(0ct4hsjv0orglnydav5tw0bn))/supporthome.aspx

Data Analyses: How you are planning to analyze your research data including a description of data groupings and statistical tests that will be used to measure differences between and among groups?

Risks to Project Participants: Describe any potential harm, burden, and/or inconvenience to research participants and facility operations staff. Please provide a comprehensive description of potential physical, psychological, economic, social, and interpersonal risks to participants. Consider both the probability and magnitude of potential harms. Describe the harms to those who are on waitlists or in control groups. If applicable, include literature, risk rates, and subject experiences with research procedures.

Benefits to Project Participants: Describe benefits to study participants resulting directly from their participation in the study. Incarcerated individuals are not permitted to receive compensation in any form for their participation in the study.

Detailed Description of Research Project End Products

What are we looking for?

Select from the list provided in the application the categories of end products that will be produced from your project. If the end product is not listed, please select “Other”, and describe the end product.

Request to access CDCR resources: Select from the list provided the categories of CDCR resources you will need to access in order to conduct your project

Research Oversight Committee (ROC) Process

ROC Membership: The ROC membership is comprised of CDCR/CCHCS Directors, General Counsel and Labor Relations Chief. The Division of Correctional Policy Research and Internal Oversight (CPRIO) Director serves as the presiding officer of the ROC. The ROC Administration Team (ROCAT) and the CDCR Office of Research provides administrative, technical, and research support for the ROC. The ROC meets monthly on a published schedule.

Research Oversight Committee Administration Team (ROCAT) Review: An initial assessment of the research application is conducted by the ROCAT. If the proposed research appears to be sound and the intent of the research shows merit, the application will be forwarded for ROC review.

ROC Review and Decision: The ROC process provides a standardized and comprehensive approach for selecting and overseeing CDCR research projects. The ROC process emphasizes a department-wide and open approach in determining which projects will be approved by CDCR/CCHCS. The ROC will ensure proper protections for CDCR/CCHCS in-custody and parolee populations as well as staff.

Applicants will be notified of the outcome of the ROC's decision by the published date. The ROC may decide to approve, deny, conditionally approve, or continue an application.

Approved Applications: ROC approvals will expire without cause two years from the date of the approval letter provided to the applicant. Additional time needed for research requires a new Research Application.

Denied Applications: If the ROC makes the decision to deny a research application, the ROCAT will communicate this decision to the applicant(s) and indicate the reason(s) why the application was denied. The ROC decision to deny an application is final; however, applicants are encouraged to submit new research applications in the future.

Conditionally Approved Applications: The ROC may request specific revisions to an application to better meet CDCR's needs and to be compliant with CDCR's mission and specific rules and regulations for research activities. Conditionally approved applications must be revised as requested and re-submitted to CDCR within 30 calendar days of the date of the decision letter for the application to remain under consideration, otherwise the application is subject to administrative denial.

Continued Applications: The ROC may require significant changes to an application to better meet CDCR's needs and to be compliant with CDCR's mission and specific rules and regulations for research activities. If the ROC makes a decision to continue an application, the applicant must provide a revised/amended application to CDCR within 90 calendar days of the date of the decision letter for the application to remain under consideration, otherwise the application will be administratively denied.

CDCR Letter of Conceptual Support: A Letter of Conceptual Support (LCS) will be generated by the ROC upon approval of your application. The LCS shows the department's interest in your research and that it supports the implementation of the research project. The LCS provides the researcher with preliminary documentation for Institutional Review Board (IRB) approval

processes and Information Practices Act (IPA) approval thorough the State of California-funded Committee for the Protection of Human Subjects (CPHS).

CDCR Data Sharing Agreement (DSA): The CDCR DSA is entered into by and between CDCR and the applicant with an approved application to establish the content, appropriate disclosure, use, and protection of the data requested by the applicant to support a contracted service, research study, and/or an operational business need of CDCR or other governmental agency, whether or not such data is provided by CDCR or collected or created by the applicant on behalf of CDCR.

In accordance with the CDCR DSA, applicants requesting access to medical information belonging to CDCR's offenders must obtain the informed consent of the individual. Some or all of the data specified in the DSA may constitute PHI, including PHI in electronic media (ePHI), under federal law, and personally identifiable information (PII) under state law.

The limitations on intended use of data, the constraints on use of the data, requirements for data security, requirements for data elements, data handling requirements, network security, notification of security breaches, indemnification, requirements to destroy all data upon the termination or natural expiration of the DSA, and the security requirements contained in the associated attachments shall survive this agreement into perpetuity.

Requested Data Elements: Applicants shall provide a detailed explanation of each data element requested from CDCR/CCHCS.

Notification of Breach: Applicants agree to implement reasonable systems for the discovery and prompt reporting of any breach or security incident

Request for Access to Offender under CDCR/CCHCS Jurisdiction and/or CDCR/CCHCS Employees: Applicants requesting access to CDCR/CCHCS offender population(s) or staff members must complete a Request for Access to Offender Data for Research Purpose form. This document indicates that applicants will adhere to the California regulations when obtaining and protecting offender data

Additional Approvals

It is the responsibility of the researcher with an approved application to independently obtain the following additional approvals:

Institutional Review Board: An Institutional Review Board (IRB) is an administrative body established to protect the rights and welfare of human research subjects recruited to participate in research activities conducted under the auspices of the institution with which it is affiliated.

An IRB is charged with the responsibility of reviewing, prior to its initiation, all research involving human participants. An IRB has the authority to approve, disapprove, monitor and require modifications to all research activities that fall within its jurisdiction, specified by both federal regulations and institutional policy.

It should be noted that each IRB is an independent federal authority. No reciprocity exists between IRBs. An IRB approval does not constitute automatic approval of the CDCR research application.

Committee for the Protection of Human Subjects: CDCR/CCHCS is guided by the Committee for the Protection of Human Subjects (CPHS) funded through the California Office of Statewide Health Planning and Development (OSHPD). CDCR/CCHCS research applications require a CPHS Information Practices Act approval to provide limits on the collection, management and dissemination of personal information by state agencies.

Criminal History Background Check: Before a research workforce member may enter a CDCR/CCHCS facility or access any source data, including, but not limited to CDCR/CCHCS-protected health information (PHI), personal information (PI), and other confidential data, the workforce member must undergo a state and federal fingerprint-based background check. A criminal history that warrants substantial concerns on the part of CDCR/CCHCS, as a result of either the background check or any subsequent criminal record review, shall exclude that workforce member from access to CDCR/CCHCS facilities and access to any source data, including, but not limited to CDCR/CCHCS PHI, PI, and other confidential data.

Applicants who reside in California may have a background check (Live Scan) performed at a specific CDCR/CCHCS location. Please contact the CDCR Research Oversight Committee Administration Team (ROCAT) at Data.Requests@cdcr.ca.gov and provide your business or home address (location). A representative from the ROCAT will determine the CDCR/CCHCS facility closest to your location provide you a form to completed, and explain the Live Scan appointment scheduling logistics specific to that facility.

Please do not attempt to have a Live Scan performed at a retail outlet; the will not be accepted by CDCR/CCHCS resulting in delays and additional processing fees.

Applicants who reside outside of California will receive a set of finger print hard cards and directions to go a local law enforcement agency to be finger printed. Please contact the CDCR ROCAT at Data.Requests@cdcr.ca.gov for further detailed instructions.

A set of finger print hard cards will be mailed to you along with a letter of instruction to be presented at your local law enforcement agency. It is recommended that you contact your local law enforcement agency to ensure they offer these services.

Additional Items

Access to Department Premises: Applicants visiting institutions must adhere to all Departmental rules, regulations, protocols, procedures and directions indicated on CDCR's Visitation Information website.

The intent of the website is to help develop and maintain healthy family and community relationships. The page assists the general public in locating, contacting, visiting, and corresponding with inmates who are in our institutions.

Termination of Approved Research Projects: Approved research projects are subject to termination if the methodology or project scope is changed at any time during the course of the approved project without CDCR/CCHCS approval.

CDCR/CCHCS reserves the right to suspend or terminate an approved research project when:

- continuation of the approved research project may prove detrimental to participant(s) or the safe and orderly operation of Departmental premises;
- CDCR/CCHCS determines, at its sole discretion, that a researcher is not abiding by the Research Guidelines, Department's Code of Conduct, rules, regulations, protocols, procedures or directions, or;
- a researcher is arrested a criminal offense or engaged in misconduct contrary to CDCR's Code of Conduct.

In the event that CDCR terminates an approved research project, approval to access CDCR's premises is withdrawn and researchers must leave CDCR/CCHCS premises immediately.

Frequently Asked Questions

How often do you review research applications?

The CDCR/CCHCS reviews research applications on a regular monthly basis. The Research Oversight Committee (ROC) Administration Team will only accept and assess approved Research Applications Forms submitted to Data.Requests@cdcr.ca.gov. Monthly receipt cutoff dates are published on the Department's website.

What does the ROC review process consist of?

Once you submit your application, it will undergo the following process:

1. Administrative review;
2. Early decisions of "approve", "deny", "conditional approve", or "continue";
3. Review of revised applications for conditionally approved or continued projects;
4. Final decisions of "approve" or "deny" a project.

What obligations are placed on researchers when conducting research with CDCR?

Researchers must observe and comply with all Departmental rules, regulations, protocols, procedures and directions. Progress reports must be provided to the ROC Administration Team (ROCAT) every 3 to 6 months or as advised by the ROCAT.

What are applicable laws governing the CDCR ROC Process?

Your application should be compliant with the following rules and regulations:

- 45 CFR Part 46 (Protection of Human Subjects)
- California Penal Code Sections 3500 – 3524 (Biomedical and Behavioral Research)
- California Civil Code -1798-1798.78 (Information Practice Act)
- California Government Code Section 13989.2 (California Taxpayer Access to Publically Funded Research)
- California Code of Regulations, Title 15, Article 9.1-9.5

What is the difference between a "Public Records Act" request and a request for data for research purposes?

A "Public Records Act" request must conform to the California Public Records Act. All other requests for data for research purposes must be approved through the ROC process.

How does CDCR assess research applications?

CDCR will assess applications based on:

- alignment to CDCR's Research Priorities;
- value of the research to CDCR and the corrections research community;
- impact on offenders under CDCR/CCHCS care, and CDCR/CCHCS staff and resources;
- CDCR/CCHCS capacity to support and facilitate the proposed research;
- availability of needed data/information for research purposes
- advice from relevant subject matter experts.

Frequently Asked Questions (cont.)

What is a fiduciary letter?

Applicants may be asked to identify and acknowledge a fiduciary entity who/that is responsible for funding the proposed research project.

Can I make changes in my application after submission?

You will have an opportunity to revise your application if your project receives conditional approval from the ROC. However, you are not permitted to make any substantive changes to your application after ROC approval, approvals from IRB and CPHS, and data sharing approvals.

Can I re-submit my application if it is rejected?

No. However, you may submit a new application taking into account reasons for the denial of your original application.

When can I submit my application?

You can submit your application at any time. However, the ROC meets monthly.

Can I have different titles for my CDCR, IRB and CPHS applications?

No. Your project title must be the same across all applications.

How do researchers obtain approval to publish research findings?

Researchers must obtain approval from CDCR before any research findings are published or are otherwise made available to the public. This approval may be stipulated to in the researcher's approved CDCR research application; otherwise, a new CDCR research application is required. Making any research findings available to the public must meet the publication conditions set out in the Prison Regulations 1982, Sentence Administration Regulations 2003, and Young Offenders Regulations 1995 in order to be approved for publication.

Should I notify CDCR about my publications based on CDCR data?

Yes. Researchers should notify the CDCR about their publications and research findings. Researchers should also know that the final copy of the research findings may be posted on CDCR's website. California Government Code Section 13989.6 specifies that anyone receiving funding, whole or in part, shall provide for free public access to any publication of peer reviewed manuscript describing state-agency-funded knowledge, a state-agency-funded invention, or state-agency-funded technology.

Definitions

Approved Research Projects

Research applications approved by the ROC with a signed application and CDCR DSA.

Data

Data as defined as information, the disclosure of which is restricted or prohibited by any provision of law. Some examples of confidential information include, but are not limited to, personal information about individuals as defined in California Civil Code Section 1798.3 of the Information Practices Act (IPA) if the disclosure of the personal information is not otherwise allowed by the IPA.

Data include but are not limited to:

- What people say in interviews, focus groups, questionnaires, personal histories and biographies;
- Analysis of existing information (clinical, social, observational or other).

Participant

Participant means anyone who is the subject of research. Participating in research includes:

- taking part in surveys or interviews;
- undergoing psychological, physiological or medical testing or treatment;
- being observed by researchers;
- personal documents or other materials being accessed by researchers;
- information that is part of an existing database being accessed by researchers.

Publication

Publication means public dissemination, presentation, performance or exhibition. An output of research and includes research reports, journal articles, theses, dissertations, manuscripts, conference presentations, posters, discussion papers, press releases, internet postings and chapters in edited books.

Research

According the U.S. Department of Education, the following provision regarding the protection of human subjects [34 CFR 97.102(d)] defines research as: "… a systematic investigation, including research, development, testing and evaluation, designed to contribute to generalizable knowledge." The California State Penal Code § 3500 expands this definition to include data upon which such knowledge may be based, and requires that such knowledge can be corroborated by accepted scientific observation and inferences.

This definition encompasses research and evaluation conducted by CDCR employees, contractors, faculty at institutions of higher education, researchers with private research firms, governmental agencies, and students. Projects that involve personal interaction with wards or adult offenders committed to and paroled by the CDCR, program evaluation, clinical trials of interventions, and any requests by outside researchers for access to wards, adult offenders, staff, or data are subject to this review and approval process.

Research Application

Research Application is a form to be completed by researchers if they have received an invitation from CDCR to submit a full application. This form requires a comprehensive explanation of the proposed research application to be undertaken by researchers.

Reporting Expectations

The CDCR reserves the right to require the inclusion of a research limitation section in any research report that contains information or data obtained from CDCR for research purposes and published to a public audience.

Progress Reports/Completion Reports: For all approved research projects, applicants must provide a progress report to the ROC administrative team as specified in the CDCR DSA. A final completion report is also required at the conclusion of the research.

Since the ROC approval lasts for two years, applicants must submit an updated IRB and CPHS approval for the second year of the research agreement to ensure that the approved application remains in compliance. Exempt CPHS approvals do not have to re-submit. Non-exempt CPHS approvals will need to be re-submitted annually with revised dates.

Applicants may submit a progress or completion report via email to Data.Requests@cdcr.ca.gov. Failure to provide progress reports and IRB/CPHS renewal approvals may result in CDCR terminating the approved research project.

Publication of Research Findings: Applicants must notify CDCR of the publication details of the research findings when known. Researchers should note that the final copy of the research findings submitted to CDCR may be made available on CDCR's website. The CDCR reserves the right to require the inclusion of a research limitation section in the publication of approved project's final report.

Email research findings of Approved Research Projects to Data.Requests@cdcr.ca.gov prior to publication. Submission of research reports, thesis, dissertations, manuscripts, conference presentations, journal publications, press releases, internet postings, discussion papers, posters, chapters in edited books are considered publication.

A ROC approval is granted to an applicant for a specific research project. Subsequent use of the data obtained for or generated by this research project is not permitted. A separate ROC approval is required if the data obtained for or generated by this research project is planned for use in a subsequent research project, thereby necessitating another CDCR DSA.

Approval to publish research findings will be granted only if the following publication conditions are met as per the Title 15 Article 9.1 Section 3369.5:

- the research findings are based on research that is factually correct;
- the research findings do not identify any individuals;
- the research findings do not reveal confidential CDCR information;

- the research findings do not pose a security risk, including risk to the operations of CDCR or the safety of the community.

In accordance with Assembly Bill (AB) 2192, Section 3 13989.6 (a)(1), any researcher who has received research funding from CDCR or any California state agency, in whole or in part, shall provide for free public access to any publication of a peer-reviewed manuscript describing state agency-funded knowledge, a state agency-funded invention, or state agency-funded technology. Failure to comply with the provisions delineated in AB 2192 may result in termination of any existing CDCR DSA executed between the research entity and the Agency, as well as forfeiture of the party to establish any future agreements.

Additionally, Applicants must:

- acknowledge, in a form approved by CDCR, the participation and/or assistance of CDCR and relevant service providers in the conduct of the research;
- publicly state that any material published or made publicly available by a researcher cannot be considered as either endorsed by CDCR or an expression of the policies or view of CDCR;
- publicly state that any errors of omission or commission are the responsibility of the researchers.

Recordkeeping, Communication and Official Information

To ensure compliance with the State Records Management Act 2000 (Government Code sections 12270-12279), Applicants (including Departmental staff) must comply with CDCR's Recordkeeping Policy and Confidentiality and Information Privacy Policy which are incorporated in CDCR's Code of Regulations.

When interviews with research participants are to be audio recorded or transcribed, research personnel must:

- obtain approval to record or transcribe participant interviews from the prison warden, Manager or Director of a facility;
- obtain participant's informed consent;
- protect the privacy and confidentiality of participants;
- ensure that audio files and transcripts are kept confidential, only used for authorized purposes and maintained in accordance with CDCR's Recordkeeping Policy and Confidentiality and Information Privacy Policy.

Checklist for Applicants

Application

- ☐ Read Research Guidelines and Research Application Form
- ☐ Complete and Submit Research Application Form and supporting documentation
- ☐ Early ROC decision notification
- ☐ Complete and submit a revised Research Application Form, if the original application received a conditional approval
- ☐ Final ROC decision notification

Ensure Research Application Form packet is completed and includes the following:

- ☐ Research Staff/Affiliate(s) Contact Information,
- ☐ Resume(s) of each team member
- ☐ Letter of Support from Fiduciary Entity (Non-Student Requests Only)
- ☐ Letter of Support from Principal Academic Advisor (Student Requests Only)
- ☐ Copies of research instruments and data collection tools

At Final Disposition (after ROC approval)

Completion of:

- ☐ CDCR Data Sharing Agreement
- ☐ Institutional Review Board Approval (IRB)
- ☐ Committee for the Protection of Human Subjects (CPHS) Information Practices Act (IPA) Approval
- ☐ Criminal Background Check
- ☐ Other required Documents