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 conducting research that focuses on evaluating and improving education, treatment, rehabilitation and restorative justice programs for individuals in CDCR's care.

Research is defined as "the application of the scientific methods for the extension of knowledge, CDCR Operations Manual. The objective of these methods is to prove the validity and reliability of any statement at the highest possible level of certainty in accordance with the rules of mathematics, statistics and logic."

If your proposed research project 1) meets the CDCR definition of research, 2) uses or generates data and resources not available to the general public, and 3) it is your intension to publish your findings outside CDCR, you will need to submit a research application to Office of Research, CDCR. This guide is intended for those researchers who are submitting research applications to CDCR. This guide should be used as a supplementary document to the CDCR research application.

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

- alignment with CDCR's *Future Vision* as 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
Division of Correctional Policy Research and Internal Oversight
P.O. Box 942883 Sacramento, CA 94283-0001

Table of Contents

2020-2021 Research Oversight Committee (ROC) Schedule

Applications are accepted and processed on a continuous basis in the order received. Applications are reviewed monthly by ROC.

The ROC schedule for remainder of 2020 - 2021:

- Applications received by 9/01/2020 will be initially reviewed by ROC on 9/24/2020;
- Applications received by 9/28/2020 will be initially reviewed by ROC on 10/22/2020;
- Applications received by 10/25/2020 will be initially reviewed by ROC on 11/19/2020;
- Applications received by 11/30/2020 will be initially reviewed by ROC on 12/23/2020;
- Applications received by 12/28/2020 will be initially reviewed by ROC on 01/21/2021;
- Applications received by 01/26/2021 will be initially reviewed by ROC on 02/18/2021;
- Applications received by 02/22/2021 will be initially reviewed by ROC on 03/18/2021;
- Applications received by 03/29/2021 will be initially reviewed by ROC on 04/22/2021;
- Applications received by 04/26/2021 will be initially reviewed by ROC on 05/20/2021;
- Applications received by 05/31/2021 will be initially reviewed by ROC on 06/17/2021;
- Applications received by 06/28/2021 will be initially reviewed by ROC on 07/22/2021.

Application Submission

Applicants must submit a completed Research Application Form to Data.Requests@cdcr.ca.gov to enter into the ROC review and decision process. The ROC makes initial/early decisions on Research Applications on a monthly basis. The ROC will initially *Approve*, *Deny*, *Conditionally Approve*, or *Continue* each application as written. Applicants will be notified by email correspondence within 10 business days if the early decision is to *Approve* or *Deny* an application. If the application is C*onditionally Approved* or *Continued*, a final decision on the application will be deferred to a subsequent ROC meeting and the applicant will be notified by email correspondence as to the specific concerns of the committee as well as the expected course of action permitting the application to be approved. Applications under review may stay in the work process flow for up to two years from the initial application date before the project is dropped from the ROC process.

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

- alignment with CDCR's mission;
- CDCR resources required to implement and complete the research (give a concise summary of the resources needed, such as access to offenders, facilities, staff, data, etc.);
- 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 this project, list names with respect to project roles (e.g., interviewer, data analyst, etc.); if the person is a co-Principal Investigator or will be acting as the principal contact for this project, include their position/title, department/organization affiliation, postal address, telephone number, and email address;
- current curriculum vitae/resumes (up to five pages) for all professional research staff members involved in the research;
- 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 analyzing the data), potential benefits and shortcomings of the research;
- copies of research instruments and data collection tools;
- a draft Informed Consent form if relevant.

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 or 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. 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.

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

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;
- written consent of the participant's parent or guardian if the participant is a youthful offender.

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 to encourage participation in a research study. Applicants may 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 research methods call for comparing groups of participants, describe procedures (e.g., random assignment, test scores, naturally occurring groups, etc.) you will use to place 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 Analyses: How you are planning to analyze your research data?

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 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.

Categories included, but are not limited to:

- ☐ Government research report
- ☐ Peer reviewed manuscript
- ☐ Master's thesis;
- ☐ Ph.D. dissertation;
- ☐ Non-governmental research report;
- ☐ Conference presentation;
- ☐ Book;
- ☐ Discussion papers;
- ☐ Poster presentation;
- ☐ Press release;
- ☐ Internet postings
- ☐ Other_____

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.

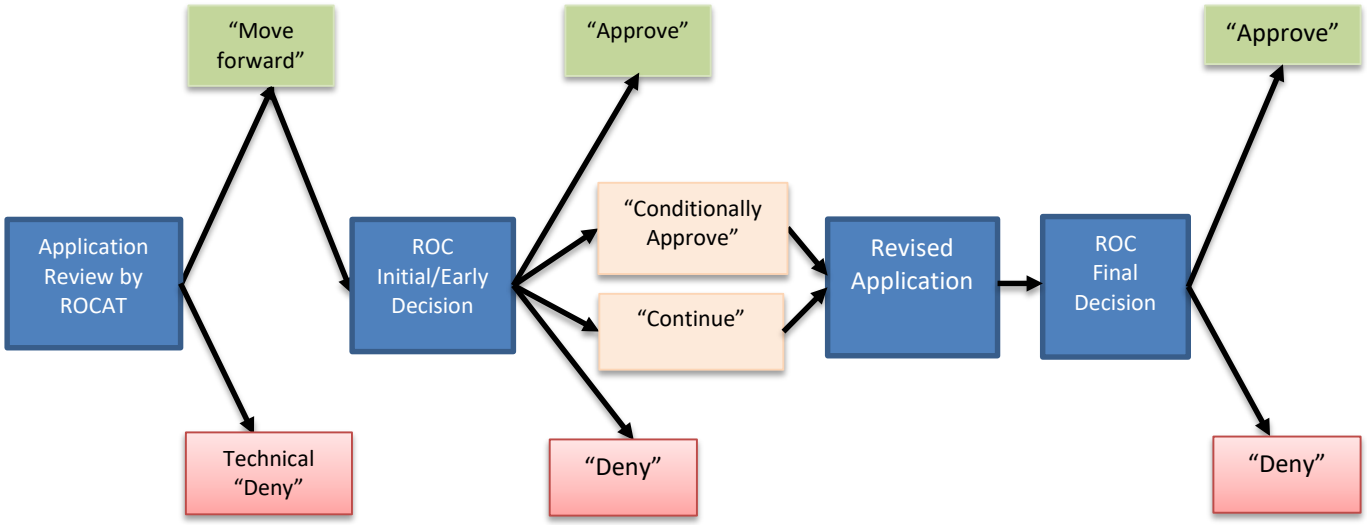
Research Oversight Committee (ROC) Process

ROC Membership: The ROC membership is comprised of CDCR 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 staff support is provided by the CDCR Office of Research. The ROC meets once every month to evaluate proposed research projects.

Research applications will undergo the following process:

1. Administrative review;
2. Early decisions resulting in either "Approved", "Denied", "Conditionally Approved" or "Continued";
3. Revised applications for conditional approvals and continued status;
4. Final decisions resulting in either "approved" or "denied".

Research Oversight Committee Decision Making Process



Research Oversight Committee Administration Team (ROCAT) Review: An administrative assessment of the research application will be conducted by the ROCAT. If all necessary application documents are provided and the project scope is relevant to the mission of CDCR, 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 diverse approach with all CDCR Divisions and Offices represented by voting cabinet-level executives. The process provides an open continuous application submission opportunity for all individual researchers and research institutions. The ROC will ensure proper protections for our adult, juvenile, and parolee populations as well as CDCR staff.

Applicants will be notified of the outcome of the ROC's initial/early decision within 10-15 business days following the published ROC meeting date. The ROC may decide to *Deny*, *Approve*, *Conditionally Approve*, or *Continue* an application. ROC decisions are final.

Applications Denied: Once the ROC members have made their decision, the ROC Administration Team will communicate this outcome to the applicant in 10-15 business days and indicate the areas of concern expressed by the ROC. While decisions by the ROC on a specific application are final, applicants are encouraged to submit new research applications in the future.

Applications Continued: The ROC may decide to place an application on "Continue" status if the application does not provide enough information for the ROC to make an informed decision. Given this decision, the ROC Administrative team will assist the applicant as necessary to stay in the process flow for future consideration of the project. The applicant may also decide to drop out of the process at this time.

Applications Conditionally Approved: The ROC may request specific revisions to an application to better support CDCR's research needs and limitations, and to comply with specific laws, regulations, and rules for research activities that CDCR is subject to. Conditionally approved applications must be revised as requested and re-submitted by the published due date for further consideration.

Applications Approved: Approved research applications will be forwarded to the Research Oversight Administration team to obtain signatures from authorized CDCR officials. A ROC approval will expire two years after initial approval. Additional time needed for completion of your research project requires a new Research Application.

CDCR Letter of Conceptual Support: A conceptual support letter is not required for a research application to be submitted to CDCR or approved by the ROC. However, a Letter of Conceptual Support (LCS) will be generated by the ROC upon approval of a research application. The LCS provides the applicant with necessary documentation for the Institutional Review Board (IRB) approval processes and the 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 Protected Health Information (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 or until the data obtained pursuant to the DSA is permanently destroyed.

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

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

Additional Approvals

Researchers with approved applications will be responsible for obtaining 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 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 research requests 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 member may access any source data, including, but not limited to CDCR protected health information (PHI), personal protected information (PPI), and other confidential data, the workforce member shall undergo a state and federal fingerprint-based background check conducted by the Department of Justice (DOJ). A criminal history that warrants substantial concerns on the part of CDCR, as a result of either the initial DOJ background check or any subsequent criminal record review, shall exclude the workforce member from access to any source data, including, but not limited to CDCR PHI, PI, and other confidential data:

- Access to criminal history summary records maintained by the DOJ is restricted by law to legitimate law enforcement purposes and authorized applicant agencies. However, individuals have the right to request a copy of their own criminal history record from CDCR to review for accuracy and completeness.
- To receive a copy of your criminal history record, individuals must submit fingerprint images, pay a $25 processing fee to the DOJ, and follow the instructions located on the California DOJ website.
- Fingerprinting services are available at most local police departments, sheriff's offices or any public applicant Live Scan site. To find the sites nearest to you, their fingerprint rolling fees, and acceptable methods of payment, see the Public Live Scan Sites website.
- Applicants who reside outside California must complete the Application to obtain a copy of State Summary Criminal History Record and follow the instructions also located on the California DOJ website. Please contact your local law enforcement agency for fingerprinting 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 visitation website 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 without CDCR ROC approval at any time during the course of the approved project.

CDCR 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 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 for a criminal offense or engaged in criminal misconduct.

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

Frequently Asked Questions

How often do you review research applications?

CDCR will accept and assess Research Applications Forms on a continuous basis, in the order they are received. Cutoff dates for monthly ROC review and decision are published on the Office of Research, CDCR website.

What does the ROC review process consist of?

Research applications will undergo the following process:

5. Administrative review;
6. Early decisions resulting in either "Approved", "Denied", "Conditional Approval" or "Continue";
7. Revised applications are required for conditional approvals and continued status;
8. Final decisions resulting in either "approved" or "denied".

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 ROC.

What are applicable laws for the CDCR research application?

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

How does CDCR assess research applications?

CDCR will assess applications based on:

- alignment to CDCR's Research Priorities;
- benefits of the research to CDCR and the corrections research community;
- impact on CDCR's clients, staff, and resources;
- CDCR's capacity to support and facilitate the proposed research;
- advice from relevant subject matter experts.

Can I make changes in my application after submission?

Not unless directed to do so. You will have an opportunity to revise your application if you receive a conditional approval from the ROC. However, you cannot make changes after you

receiving approvals from IRB and CPHS and signing DSA.

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. Applications are reviewed and processed on a continuous basis, in the order in which received. Decisions are made 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.

Should I notify CDCR about my publications that use 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 fully executed 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 includes but is 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 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.

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 Department Operations Manual.

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.

Application Checklist for Applicants

☐Read Research Guidelines and Research Application Form
☐Complete and Submit Research Application Form and supporting documentation
☐Complete and submit a revised Research Application Form, if the original application received a conditional approval

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 Principal Academic Advisor (Student Requests Only)
☐Copies of research instruments and data collection tools

Following Project Approval by ROC

☐CDCR Data Sharing Agreement completed/approved
☐Institutional Review Board Approved
☐Committee for the Protection of Human Subjects Information Practices Act Completed/Approved
☐Background Check(s) Completed