



BOB RILEY
GOVERNOR

State of Alabama Alabama Department of Corrections

301 S. Ripley Street
P. O. Box 301501
Montgomery, AL 36130



DONAL CAMPBELL
COMMISSIONER

December 21, 2005

ADMINISTRATIVE REGULATION
NUMBER 020

OPR: RESEARCH AND PLANNING

RESEARCH AND PLANNING

I. GENERAL

This Alabama Department of Corrections (ADOC) Administrative Regulation (AR) establishes responsibilities, policies, and procedures for the Research and Planning Division.

II. POLICY

The Research and Planning Division is to establish a process that coordinates the Department of Correction's on-going research and planning activities.

III. DEFINITION(S) AND ACRONYM(S)

This section not used.

IV. RESPONSIBILITIES

The Research and Planning Division is responsible for:

- A. Research
 - 1. Conduct ADOC research in areas not being addressed by existing programs.
 - 2. Ensure compatibility between research projects and collected data.
 - 3. Provide technical assistance for design of data collection instruments.
 - 4. Provide technical assistance to institutions and divisions for specific research projects.

5. Coordinate, assist, and assess all research of ADOC operations and programs conducted by authorized personnel.
6. Provide analytical assistance in the development of ADOC research projects.
7. Provide fiscal impact research on proposed legislation.
8. Respond to ad hoc questions, questionnaires, and surveys then assess the published results when possible.

B. Planning

1. Plan, develop, and publish statistical reports for ADOC.
2. Plan and develop monthly management reports.
3. Plan and develop trend analysis models and statistical projections for ADOC operations.
4. Plan and develop fiscal and calendar year annual reports.
5. Assess and evaluate national and state adult correctional standards.
6. Assess, review, edit and coordinate all proposed/revised departmental regulations, standard operating procedures, and manuals.

C. Grants

1. Provide assistance to ADOC units through research, application development, administration, and assessment of all ADOC grant funded projects.
2. Facilitate grant coordination between external agencies and ADOC divisions.
3. Facilitate and coordinate grant funded project activities involving ADOC divisions.
4. Assess grant funded project activities to ensure ADOC complies with all specified contractual conditions.
5. Maintain a complete file on each grant for grantor audits.

V. PROCEDURES

- A. All statistical reports, analysis, and conclusions developed from research data, other than those contained in currently authorized ADOC documents, should be reviewed by the Research and Planning Division and approved by higher departmental authority prior to release.
- B. Fiscal impact statements for proposed legislation involving ADOC statistical data should be developed by the Research and Planning Division, coordinated with Accounting Division, and approved by higher departmental authority prior to release.
- C. The Research and Planning Division will analyze the proposed use of all received requests for data. Analysis of the request will determine an appropriate response. Responses will be made promptly, concisely, and with sufficient clarification to aid the user in the appropriate application of data.
- D. Applications for grants will be coordinated through the Research and Planning Division for clearinghouse functions only and not for approval purposes.
- E. The following applies to independent/employee research projects:
 - 1. All sufficient background information will be provided concerning formal research studies and requests for research/statistical information involving ADOC.
 - 2. An informal review of any research proposal will be conducted by the originator to validate the requirements of ADOC and/or the research analyst. The Research and Planning Division will coordinate these activities.
 - 3. After the proposal has been validated, a formal proposal will be submitted to the Research and Planning Division.
 - 4. A thorough review of the formal proposal will be accomplished. The project will be evaluated on the potential value to ADOC and any possible conflict or estimate of disruption to normal activities. Each ADOC institution and/or division involved in the project will approve their respective phase of research.
 - 5. Prior to proceeding with a project, independent researchers will be required complete and sign ADOC Form 20-A, *Non-disclosure and Departmental release of liability*, and be aware of the ADOC regulation, program, or system that relates and/or is impacted.

6. Additionally, ADOC Form 20-B, *Offender Research Projects Release of Data Acknowledgement Form*, will be completed before the start of the project.
- F. Publication resulting from research
1. Researchers are encouraged to submit their approved findings for possible publication. Persons who intend to publish independently the results of research conducted should give appropriate acknowledgement to ADOC personnel who assisted them. One copy of any manuscript, thesis, dissertation, or subsequent publication will be submitted to the Research and Planning Division for retention in the ADOC Library.
 2. Prior to publication of the document a copy will be reviewed for editorial comment and to assure that State, Federal Security, and Privacy Regulations are not violated. There is no intent to censor or limit legitimate research results whether favorable or unfavorable.
- G. Testing and research of medical, cosmetic, or pharmaceutical nature will not be conducted/approved.
- H. Grants:
1. Any unit desiring to submit an application for a grant will contact the Research and Planning Grant Coordinator for technical assistance in writing and submitting an application for a grant.
 2. The Research and Planning Grant Coordinator will review the written application for completeness and ensure that the application is coordinated and approved through:
 - a. The initiation chain of command to the Division Director
 - b. ADOC's Central Accounting Office
 - c. The Commissioner's Office
 3. The Research and Planning Division will forward the application to the appropriate granting agency. When the grant is awarded funding, the Research and Planning Division will ensure:
 - a. The grant's contract is signed by the Commissioner and returned to the granting agency.
 - b. The initiator of the grant is notified of the grant's award and acceptance, and of any special contractual conditions.

- c. The Central Accounting Office and Purchasing Office is notified of the grant award.
4. The Research and Planning Division will establish with the initiator of the grant the necessary methods to monitor the reports required by the grantor, and of the grant's activity to ensure that contracted compliance is met.
5. Upon completion of the grant, the Research and Planning Division will coordinate a pre-audit with the grant's initiator and Central Accounting Office. The Research and Planning Division, for future audits, will maintain a complete file of the grant by the granting agency.

VI. DISPOSITION

Any forms will be disposed of and retained according to the Departmental Records Disposition Authority (RDA).

VII. FORMS

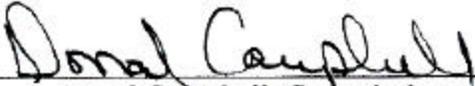
- A. ADOC Form 20-A, *Non-disclosure and Departmental release of liability.*
- B. ADOC Form 20-B, *Offender Research Projects Release of Data Acknowledgement Form.*

VIII. SUPERCEDES

This regulation supercedes AR 020, dated May 30, 1985, and any changes thereafter.

IX. PERFORMANCE

Code of Alabama 1975, 14-1-1.1



Donal Campbell, Commissioner

STATE OF ALABAMA
DEPARTMENT OF CORRECTIONS

Non-Disclosure / Release of Liability Agreement

This agreement is made and entered into by and between the Alabama Department of Corrections (ADOC), an Alabama Criminal Justice Agency; and _____, herein called Recipient.

- A. The ADOC agrees to provide Recipient with the criminal history record information requested.
- B. Recipient certifies that he is entitled to records access for the purpose of research.
- C. Recipient agrees to limit the use of the records to the purpose for which it was provided; and to destroy the information when it is no longer needed for the purposes for which it was provided.
- D. Recipient agrees to implement reasonable procedures to insure the confidentiality and security of the records.
- E. Recipient agrees that the only persons allowed access to the records are:

- F. Recipient agrees to abide by the laws or regulations of the federal government and the State of Alabama, and any rules, policies and procedures adopted by the Alabama Department of Criminal Law Enforcement.
- G. The ADOC reserves the right to suspend immediately furnishing records under this agreement and to demand return of information already furnished under this agreement when any rule, policy, procedure, regulation or law is violated or appears to be violated.
- H. Recipient agrees to be subject to any civil or criminal penalties applicable to the use of the records under Alabama or federal law.
- I. Recipient agrees to indemnify and save harmless the State of Alabama Agency, other signatory agencies of records Non-Disclosure Agreements, and their employees from and against any and all causes of actions, demands, suits, and other proceedings of whatsoever nature; against all liability to others, including any liabilities or damages by reason of or arising out of any files, arrest, or imprisonment or any cause of action whatsoever; and, against any loss, cost, expense, and damage therefore resulting from, arising out of or involving any negligence on the part of Recipient in the exercise of enjoyment of this agreement.
- J. This agreement is to be in effect from _____ to _____.

Signature of Recipient Representative

Signature of Agency Representative

Title: _____

Date: _____

Date: _____

