



**Administrative Policies and Procedures: 1.33 Draft**

<b>Subject:</b>	Research, <b>Surveys, and Grant Proposals</b>
<b>Authority:</b>	TCA 37-5-105 (3), 37-5-106, 37-5-107, 37-5-115, 37-1-612 and the Health Insurance Portability and Accountability Act of 1996 (HIPAA)
<b>Standards:</b>	<b>ACA:</b> 4-JCF-4C-48, 4-JCF-6F-06; <b>COA:</b> PA ETH 6.01, 6.02, 6.03
<b>Application:</b>	To All Department of Children's Services Employees, youth, family/children clients, volunteers, all persons requesting research information or data not already in the public domain <b>and</b> all persons requesting and/or participating in research or grant application within the scope of the department <b>and all persons requesting to survey DCS employees and/or clients.</b>
<b>Policy Statement:</b>	
The Department of Children's Services (DCS) <b>shall</b> adheres to <b>all</b> State and Federal Rules and Laws <b>and will provide structure to that</b> protect the confidentiality <b>of clients and client records and ensure the safety of potential participants while</b> <b>when</b> providing support for research <b>and funding requests for information including data and survey results.</b> <del>efforts.</del>	
<b>Purpose:</b>	
DCS supports and cooperatively engages in research, <b>surveys, and and</b> grant <b>initiatives proposals</b> that contribute to <b>public policy, best practice and improved delivery of services.</b> <del>the establishment of future goals and objectives or that contribute to more effective, efficient and economical departmental operation or services delivery. DCS is ethically and lawfully motivated to provide participation guidelines which ensure safety and confidentiality for the children/youth in its care as well as any participating staff.</del>	
<b>Procedures:</b>	
<b>A. Scope</b>	<ol style="list-style-type: none"> <li><del>DCS may receive requests for DCS employees and/or children/youth/families supervised by the department to participate in an external research, grant, or evaluation project.</del></li> <li><b>2</b> Any employee or client asked to voluntarily participate in a research project <b>or survey will is be</b> free to participate or decline.</li> <li>Refusing to participate in any research project <b>or survey</b> will not affect any benefits to which employees, clients or participants are otherwise entitled, and no one <b>will is</b> ever <b>be</b> required to participate in a research study.</li> </ol>

3. In research studies where applicable law, standards, regulations, or policy would necessitate the subject's informed consent, those electing to participate will sign DCS form **CS-0334, Request for Access to Human Subjects or Records Which May Involve Informed Consent, CS-1059, Research, Survey and Grant, Request** (Basic Information and Section C) that complies with all provisions established under *Title 45 Part 46* of the Code of Federal Regulations.
4. In accordance with *45 CFR 46.4.09* and *21 CFR 50.56*, an advocate must be appointed for each child who is in DCS custody, who participates in research. Any time a child in foster care is used as a subject of clinical research, it is imperative that the rights of the child are protected through the appointment of an independent advocate and consent from a guardian. If the child already has an attorney or Guardian ad Litem (GAL), that person can serve in that capacity, but they must be informed about the research and involved in the decision to include the child.
5. This policy will applies to all research activities or proposals involving use of human subjects or access to confidential records and data (see DCS policy [9.5, Access and Release of Confidential Child-Specific Information](#)), archival research not requiring access to confidential records or human subjects by persons who do not have customary access to such information as part of their job duties, and requests for research data or information not already in the public domain or covered by applicable state law.
6. No proposed research, survey or evaluation project will interfere with a DCS employee carrying out his/her normal and customary assigned duties, nor will any proposed project conflict with applicable State and Federal Rules and Laws or applicable accreditation standards regarding use of human subjects for research purposes.
7. This policy will not interfere with DCS or a contracted agency conducting necessary program evaluation studies of existing or proposed programs provided the study does not conflict with applicable State and Federal Rules and Laws or applicable accreditation standards regarding use of human subjects for research purposes. **Instead, this policy provides guidance and oversight to ensure program evaluation occurs at quality level.**
8. This policy will not interfere with DCS instituting pilot programs used to determine how proposed operational changes will impact public safety or departmental operations.
9. Grant proposals are will be submitted on one of the appropriate forms identified in *Section C, Proposal Submission*, and will include a copy of the grant proposal. These forms will be are submitted to the Assistant Commissioner of Quality Control/designee.
10. **All surveys distributed to DCS staff, clients or other external stakeholders must be submitted to the Assistant Commissioner of Quality Control/designee.**
11. A list of all proposal requests, including on-going research, surveys, grants or evaluation studies will be is maintained by the Office of Quality Control.

**B. Research, Survey and Grant Review Committee and Proposal review process**

1. DCS will maintain a Research, Survey and Grant Review Committee (RSGRC) to review research, survey or grant proposals, and This committee makes recommendations decisions to approve or disapprove the proposal. The members of the RSGRC are: will be:
  - a) Assistant Commissioner of Quality Control /designee;
  - b) Designated Legal Staff;
  - c) Designated Data Quality Staff,
  - d) Other appropriate staff relevant to the research/survey/ grant subject matter, and/or
  - e) Other members as appointed by the Commissioner.
2. The chair of the committee will convene a RSGRC to review research, survey or grant proposals which involve:
  - a) Access to records, reports, files, or databases by individuals who would not typically have access to this information as part of their customary job duties;
  - b) Access to confidential records (e.g., medical or mental health records) where issues such as informed consent must be considered;
  - c) Access to use human subjects for research purposes where issues such as informed consent must be considered;
  - d) All other requests to conduct activities considered research from individuals outside DCS or from employees whose job duties do not typically involve this activity.
  - e) Surveys involving children and youth where issues such as parental consent must be considered;
  - f) Surveys involving DCS employees;
  - g) Grant proposals requesting letter of support from DCS.
3. A decision of approval or disapproval of the request is will be based on the RSGRC's discussion and consideration of at least one of the following factors:
  - a) Applicable State and Federal Rules and Laws or applicable accreditation standards;
  - b) The purpose for which the information is to be used and benefits to DCS;
  - c) Ability to provide the requested information;
  - d) Cost (time and staff resources) of providing the requested information; and
  - e) Feasibility, merit, potential outcome, and benefit of the research/survey/ grant and/or results.
4. The DCS Research, Survey and Grant Review Committee:
  - a) May also require independent approval or exemption of the research/survey/grant proposal by an outside Institutional Review Board (IRB) as

	<p>defined in the <i>Department of Health and Human Services - Title 45 Part 46, Protection of Human Subjects</i> code of Federal Regulations and must require IRB review where the CFR regulations require such review (as in research which requires informed consent or presents more than "minimal risk" to participants).</p> <p>b) <del>Will</del> <b>Ensures</b> the research/survey/ grant proposals comply with all applicable State and Federal Rules and Laws or applicable accreditation standards.</p> <p>c) <del>Will</del> <b>Disseminates</b> copies or summaries of the research/survey/grant proposal to <del>all</del> deputy commissioners, directors, superintendents, or other DCS management, whose duties or responsibilities <b>are</b> affected by the research proposal, for purposes of review and comment.</p> <p><del>d) Will</del> <b>Recommends</b> disapproval of any research proposal disapproved by the affected DCS manager.</p> <p>5. <del>In no case will</del> The DCS <b>RSGRC does not</b> recommend approval of research proposals that violate existing State and Federal Rules and Laws or applicable accreditation standards. Specifically prohibited from approval is any research that uses children in the custody or guardianship of DCS for medical, pharmaceutical, or cosmetic experiments, or use of medications such as stimulants, tranquilizers, or psychotropic drugs administered for purposes of program management and control or for purposes of experimentation and research.</p> <p>6. The Assistant Commissioner of Quality Control/ designee <del>will</del> <b>notifies</b> the Principal Investigator as to whether the proposal was approved or disapproved by the committee, and may suggest amendments or changes that would affect this decision and need for resubmission.</p>
<p><b>C. Proposal submission</b></p>	<p>1. If the request is for a grant only and does not require a letter of support, the Principal Investigator must complete the appropriate DCS form <b>CS-1059, Research, Survey, and Grant Request</b> (Basic Information and Section A).</p> <p>2. Requests <del>or grants</del> for information, data, or statistics which are not already in the public domain, do not involve use of human subjects for research purposes, and do not involve access to any records or files such as departmental or institutional files or records typically not available to the public, <del>will be</del> <b>are</b> submitted on form <del>CS-0541, Requests For Information</del> <b>CS-1059, Research, Survey, and Grant Request</b> (Basic Information and Section C), and submitted to the Assistant Commissioner of Quality Control/designee.</p> <p>3. <del>A research request or grant proposal will follow</del>s procedures developed by the <del>RSGRC</del> to obtain all necessary information required to recommend approval or disapproval of research or grant proposals. If the research/survey/ or grant involves human subjects or existing records and data with identifying information, the Principal Investigator must complete the appropriate DCS form <del>CS-0334, Requests for Access to Human Subjects or Records Which may Involve Informed Consent</del> <b>CS-1059, Research, Survey, Grant, and Survey Request</b> (Basic Information and Section C or Basic Information and Section D, as applicable) <del>CS-0542, Research Involving</del></p>

	<p><del>Study of Existing Records or Data</del> that <del>is</del> <del>are</del> required for the purpose of confidentiality prior to the research/ <del>survey</del>/grant activities.</p> <p>4. The information required on the form(s) includes:</p> <ul style="list-style-type: none"> <li><del>a) Identifying information about the investigator(s), institutional affiliation, and research credentials;</del></li> <li><del>b) Purpose of the research project;</del></li> <li><del>c) Proposed research methodology;</del></li> <li><del>d) Risks and benefits to the research subjects (if applicable);</del></li> <li><del>e) Cost versus benefits to the department;</del></li> <li><del>f) Other potential benefits of the research;</del></li> <li><del>g) Issues impacting confidentiality of the records or data and preserving anonymity of the research participants;</del></li> <li><del>h) Plan for obtaining informed consent (if applicable); and</del></li> <li><del>i) Agreement to furnish DCS with research results for review and comment by the appropriate department heads and/or facility administrator prior to publication or dissemination as required by American Correctional Association (ACA) standards.</del></li> </ul> <p>4. Persons requesting DCS surveys are required to provide:</p> <ul style="list-style-type: none"> <li>a) A completed “<b>Work Aid for Developing Quality Research and Surveys: Worksheet</b>” supplemental to DCS Policy 1.33, <b>Research, Surveys, Grant Proposals</b> and;</li> <li>b) A copy of the survey.</li> </ul>
<p><b>D. Research and survey activities</b></p>	<ul style="list-style-type: none"> <li>1. If approved, DCS <del>will</del> allows <del>a</del> research and survey projects to commence subject to informed consent of the research subjects, if applicable.             <ul style="list-style-type: none"> <li>a) The Principal Investigator and all research team members are responsible for maintaining confidentiality of the research data and/or subject responses, anonymity of the research participants, conducting themselves within the boundaries of the approved research protocol, and compliance with all applicable State and Federal Rules and Laws or applicable accreditation standards and departmental policy.</li> <li>b) Violation may lead to discontinuance of the current research and/or future research, or subject the violator to civil or criminal penalties.</li> <li>c) The Assistant Commissioner of Quality Control/designee <del>will</del> approves any changes to the approved research protocol in writing prior to implementation and the Principal Investigator <del>will be</del> <del>is</del> responsible for obtaining written approval before implementing any changes.</li> </ul> </li> <li>2. Upon completion of the research or survey project, the Principal Investigator <del>will</del> furnishes the Assistant Commissioner of Quality Control/designee a copy of any results, findings, reports, or conclusions prior to publication or</li> </ul>

	dissemination. 3. The Assistant Commissioner of Quality Control/designee will submit copies of all research results to the appropriate deputy commissioner, regional administrator, and facility superintendent/DCS residential facilities director for purposes of review and comment.
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<b>Forms:</b>	<a href="#"><u>CS-0334, Requests for Access to Human Subjects or Records Which May Involve Informed Consent</u></a> <a href="#"><u>CS-0541, Requests For Information</u></a> <a href="#"><u>CS-0542, Research Involving Study of Existing Records or Data</u></a> <b>CS-1059 Research, Survey and Grant Request</b>
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<b>Collateral Documents:</b>	<a href="#"><u>Department of Health and Human Services - Protection of Human Subjects - Title 45 Part 46</u></a>
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