

15 May 2019

C107133

Kate McIntyre
fyi-request-10101-f45a4acd@requests.fyi.org.nz

Dear Ms McIntyre

Thank you for your email of 12 April 2019, requesting information about the process to undertake academic research through Corrections. Your request has been considered under the Official Information Act 1982 (OIA).

You have requested:

- *Any guidelines, policies, or regulations pertaining to research conducted by academics or journalists who are not employed by the Department or an oversight agency (such as the Inspectorate or Ombudsman).*
- *Is there an application process for conducting academic research or interviewing prisoners? If so, please outline the application process.*

Corrections operates a Research and Evaluation Steering Committee. The Committee comprises several General Managers from within Service Development, as well as staff from the Communications and Risk and Assurance teams.

This Committee considers research proposals where the researcher wishes to engage Corrections staff members, or offenders managed by Corrections as research subjects. The Committee may also consider research proposals which require access to information recorded by Corrections.

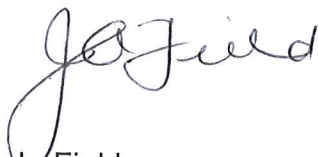
The approval process commences with receipt of a completed Preliminary Application form, which is considered at the next scheduled meeting of the Committee. A copy of this form is enclosed for your reference. At that meeting, the preliminary application will either be accepted or declined. If accepted, the applicant will be invited to submit a Full Application form, which similarly will either be approved or declined at a subsequent Research Steering Committee meeting. These meetings occur approximately every six weeks. Therefore, the process can take three months or more to negotiate. A copy of the 'Full Application' form is also enclosed.

Factors considered when assessing research proposals include the extent to which the proposal's findings may be of value to Corrections, the level of support required from Corrections to facilitate research access, the methodological coherence of the proposal and ethical soundness.

If a full application is approved, the researcher will sign an agreement with Corrections which sets out responsibilities and expectations. A template agreement has been enclosed for your reference.

I trust the information provided is of assistance. Should you have any concerns with this response, I would encourage you to raise these with Corrections. Alternatively you are advised of your right to also raise any concerns with the Office of the Ombudsman. Contact details are: Office of the Ombudsman, PO Box 10152, Wellington 6143.

Yours sincerely

A handwritten signature in black ink, appearing to read 'Jo Field', with a large, stylized initial 'J'.

Jo Field
Deputy Chief Executive
Service Development



Preliminary Application to Undertake Research

Use this short form to provide the Department of Corrections with an overview of your proposed research programme. This will be either **accepted or declined** by the Research and Evaluation Steering Committee at its next meeting following submission of the preliminary application.

Where a preliminary application is accepted, the applicant will be invited to submit a full application, which will be **approved or declined** at a subsequent Research and Evaluation Steering Committee meeting.

All researchers whose projects are approved through this process will be expected to sign a Research Agreement with the Department. As part of the Research Agreement, researchers will be required to provide a copy of the final draft of the thesis paper, research report or similarly described document, to the Department for review prior to submission, completion, and/or publication.

Boxes for text are expandable (please do not type in the shaded areas).

General information

(Applicant to complete)

Project title	
Name of applicant/researcher	
Mail address	
Email	
Phone	
Organisation and department	
(If a student) Degree programme that this research will be part of	
Supervisor(s) name	
Link(s) to supervisor(s) faculty profile	
Are you currently working for the Department of Corrections and in what role:	Yes/No
Manager name	
Email address of supervisor(s) and/or Manager.	

Details of research project

<p>Statement of purpose / objectives / hypothesis to be tested</p> <p>What information will the research / evaluation aim to provide?</p>	
<p>Describe your methodology</p> <p>Provide an overview of the proposed approach to this research, including items such as:</p> <ul style="list-style-type: none"> • data collection methods • intended location for data collection • sample size • research subjects required (e.g., female prisoners, sex offenders, Probation Officers etc) • use of control / comparison group • measurement / assessment tools that will be 	

used.	
<p>Describe your outcomes What data will be produced? How will the interpretation of data be managed? Where / in what form is it intended that the research findings are published? Review of all final reports by the Department of Corrections is required prior to any public release of findings.</p>	
<p>Benefits of the research to the Department What are the expected benefits to the Department? How could the research be used to improve the Department's outcomes? What are the perceived risks to the Department and how could these be mitigated?</p>	

Project logistics

<p>What resources do you require from Corrections? Resources include:</p> <ul style="list-style-type: none"> • Access to data • Access to staff • Access to offenders and/or their files • Interview rooms • Etc. <p>Please indicate how many hours of staff or offender time you are likely to require.</p>	
<p>Research staff Provide the names of all researchers who will be participating, and explain their roles.</p>	
<p>Timelines When do you hope to commence data collection? What deadlines exist for specific phases of the research project? Allowing for delays, when is the research likely to be completed. Note that the application process can take several months.</p>	

Academic transcripts or professional curriculum vitae

If you are a student, please provide your most recent university transcript. Otherwise, please attach a c.v. with relevant examples of work in this or associated areas.

Ethical, legal & cultural considerations

Ethics approval is a precursor to the research being approved by the Department's Research and Evaluation Steering Committee. It is recommended that the researcher seek ethics approval from an institutional ethics committee or other similarly accredited body after the proposal has been **accepted** by the RESC. A copy of the approval letter must be supplied before any research agreement will be signed.

Full Application to Undertake Research

This full application form should only be completed after a preliminary application has been **accepted** by the Research and Evaluation Steering Committee. Once submitted, the full application will be **approved or declined** at a subsequent Research and Evaluation Steering Committee meeting.

All researchers whose projects are approved through this process will be expected to sign a Research Agreement with the Department. As part of the Research Agreement, researchers will be required to provide a copy of the final draft of the thesis paper, research report or similarly described document, to the Department for review prior to submission, completion, and/or publication.

Boxes for text are expandable (please do not type in the shaded areas).

General information

(Applicant to complete)

Project title	
Name of applicant/researcher	
Mail address	
Email	
Phone	
Organisation and department	
(If a student) Degree programme that this research will be part of	
Supervisor(s) name	
Web link(s) to supervisor(s) faculty profile	
Are you currently working for the Department of Corrections and in what role	Yes/No
(If an employee) Manager's name	
Email addresses of supervisor(s) and/or Manager.	

Details of research project

<p>Statement of purpose / objectives / hypothesis to be tested</p> <p>What information will the research / evaluation aim to provide?</p>	
<p>Background literature to the research question(s)</p> <p>Summary of literature review , theoretical orientation, bibliography</p>	
<p>Describe your methodology</p> <ul style="list-style-type: none"> • data collection methods • intended location for data collection • sample size • research subjects required (e.g., female prisoners, sex offenders, Probation Officers etc) 	

<ul style="list-style-type: none"> • use of control / comparison group • measurement / assessment tools that will be used. <p>Copies of materials you propose to use (information leaflets, assessment tools) must accompany this application.</p>	
<p>Describe your outcomes</p> <p>What data will be produced? How will the interpretation of data be managed? Where / in what form is it intended that the research findings are published?</p> <p>Review of all final reports by the Department of Corrections is required prior to any public release of findings.</p>	
<p>Expected benefits to the Department</p> <p>What are the expected benefits to the Department of this proposal? How could the research be used to improve the Department's outcomes? What are the perceived risks to the Department and how could these be mitigated?</p>	
<p>Project funding arrangements</p>	

Project logistics

<p>Accommodation</p> <p>Describe what facilities your project will require (e.g., interview rooms).</p>	
<p>Research staff</p> <p>Provide the names of all researchers who will be participating, and explain their roles.</p>	
<p>Equipment</p> <p>Do you propose to use special equipment (e.g., video / DVD, recording devices, laptops)?</p>	
<p>Schedule of data collection</p> <p>How many on-site data collection sessions are envisaged? How long will individual sessions/interviews last? Will participants be interviewed more than once?</p>	
<p>Offender files</p> <p>Do you need access to the personal files of offenders? What information is sought from this source?</p>	
<p>Use of incentives or rewards</p> <p>Please describe.</p> <p>If you intend to give incentives or rewards to participants, you must first review the Department's policy on this issue, available on request.</p>	
<p>Staff assistance, support</p> <p>Describe the kinds of practical assistance that you may require from Departmental staff. This should include such things as how many hours of staff time, how many staff, which staff (e.g. custodial, psychological, health). Dates are also helpful.</p>	
<p>Participant debrief</p> <p>Will participants be debriefed after interviews / sessions? How will participants receive feedback on results?</p>	

Project logistics

<p>Timelines When do you hope to commence data collection? What deadlines exist for specific phases of the research project? Allowing for delays, when is the research likely to be completed?</p>	
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Ethical, legal & cultural considerations

Ethics approval is a precursor to the research being approved by the Department's Research and Evaluation Steering Committee. It is recommended that the researcher seek ethics approval from an institutional ethics committee or other similarly accredited body after the proposal has been **accepted** by the Committee. A copy of the approval letter must be supplied before any research agreement will be signed.

<p>Informed consent Describe the process to obtain informed consent. Copies of participant information sheets and consent forms must accompany this application</p> <p>Informed consent means agreement to participate in the research and includes (but is not limited to) the following:</p> <ul style="list-style-type: none"> • the purpose, nature and procedures of the research • information about any potential risks from the research • the voluntary nature of participation • the right to withdraw at any time without disadvantage • how participant details will be used • the nature of the final report 	
<p>Privacy of participant information Describe the measures to protect the privacy of individual participants. Describe the security measures to be used to ensure security of data</p>	
<p>Use of deception Is any element of deception intended in the design?</p>	
<p>Inducement / management of participant discomfort Is the research approach likely to / intended to induce any discomfort in participants? How are associated risks to be managed?</p>	
<p>Research involving Maori participants The Department has a policy known as "Effectiveness for Maori Guide." Researchers must comply with the requirements of this policy.</p> <p>You should detail how you have, or intend to:</p> <ul style="list-style-type: none"> • gain advice / input from Maori into your research topic and design • ensure that research methods are culturally sensitive to Maori • ensure that data analysis explicitly identifies differences between Maori and non-Maori participants (depending on nature of study) • obtain input from Maori into interpretations of findings. 	

Ethical, legal & cultural considerations

Ethics approval is a precursor to the research being approved by the Department's Research and Evaluation Steering Committee. It is recommended that the researcher seek ethics approval from an institutional ethics committee or other similarly accredited body after the proposal has been **accepted** by the Committee. A copy of the approval letter must be supplied before any research agreement will be signed.

<p>The "Effectiveness for Maori" policy is attached. Further guidance regarding obtaining input from Maori can be obtained from the Department.</p>	
<p>Other cultural considerations Describe how your data collection and analysis takes into account factors relating to other relevant cultural sub-groups.</p>	
<p>Conflicts of interest Do you have any current or potential conflicts of interest (e.g. you work at the Department of Corrections or you work with offenders in the community or in another role)? How will these be managed?</p>	

Other

<p>Use this space to describe any other important issues or considerations not already covered above for example, any risks to the Department and appropriate mitigation strategies.</p>	
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Research Agreement

Between

Parties

Her Majesty the Queen acting by and through the Chief Executive of the Department of Corrections (the **Department**)

And

Researcher(s) name(s) and Institution (jointly the **Researcher**), each of whom is jointly and severally liable with the other in terms of their obligations.

Background

- A. The Researcher has submitted to the Department an "Application to Undertake Research", set out as Schedule One (**Application**).
- B. The Department has accepted and approved the Application.
- C. This Agreement documents the terms and conditions upon which the Department allows the Researcher to conduct research within the Department's facilities and with prisoners, offenders managed in the community and / or Departmental clients and / or staff (collectively, **participants**).

Terms and conditions

The Department grants permission to the Researcher to undertake this research on the following terms and conditions:

- 1 This research is entitled "title of project" and will be undertaken in accordance with this Agreement, as well as the methods and detail outlined in the Application, at all times.
- 2 The Researcher confirms that the research has been endorsed by a University Head of Department or supervisor, or manager of a reputable research-related organisation.
- 3 The Researcher confirms that the Researcher has approval from an accredited institutional ethics committee, or the proposal has been reviewed by a recognised human ethics body.
- 4 Where applicable, the Researcher will obtain informed consent (as that term is defined in the Application) from all participants, keep a record of that consent, and provide the Department with evidence of that consent if requested by the Department.
- 5 The Researcher will undertake the research liaising with staff member's name, of the Department (**Department's Representative**) or their replacement person as advised by the Department from time to time.

- 6 Only those individuals identified in the Application and named in this Agreement as the Researcher may undertake the research. Prior to commencing the research, the Researcher will meet all of the Department's security and other requirements relating to access to any institution and to participants.
- 7 If the Researcher wishes, at any stage, for additional individuals to undertake research (or to substitute individuals) it must first obtain the Department's consent in writing and it acknowledges that those additional individuals will first need to clear appropriate security and additional checks before undertaking research.
- 8 Any information which could lead to participants' identification will not appear in any form (verbal or written information) in the Document, any publication, teaching or presentations. This clause 10 survives expiry or termination of the research project and this Agreement.
- 9 The Researcher knows and understands that permission to undertake the research is conditional upon compliance with the requirements of the Privacy Act 1993. In particular the Researcher accepts their obligation under that act to ensure that:
 - the information gained will be used solely for purposes directly linked to the research project, and will not be published in a form that could reasonably be expected to identify any individual [Principles 10(f)(i), 10(f)(ii), 11(h)(i), and 11(h)(ii)]; and
 - no other person, other than a person assisting the Researcher with the analysis or research, will have access to participants' personal information. In particular, the Researcher will ensure that the information is protected by such security safeguards as is reasonable under the circumstances to take, against loss [Principle 5(a)(i)]; access, modification or disclosure [Principle 5(a)(ii)].
- 10 The Researcher will not make any copy or remove any Departmental records consulted in the course of the research that identifies offenders or participants, without the written permission of the Department.
- 11 During the course of the research, the Researcher will at all times be sensitive to the operational environment in which the research is undertaken. This includes awareness of the staffing and resource constraints that the Department operates within.
- 12 The Researcher will take all possible steps to protect the participants from discomfort, distress or embarrassment. Participants' welfare and dignity will take precedence over the requirements of the research at all times.
- 13 Where information is disclosed to the Researcher that signifies actual and immediate risks to the safety and welfare of participants or other persons, these concerns shall be brought to the attention of the relevant Unit or Service Manager in the first instance, as well as the Department's Representative.
- 14 Other than information being gathered for the research and other than information disclosed as per clause 10 above, the Researcher agrees to keep confidential all information about the Department and its operations about which the Researcher becomes aware. This clause 14 survives expiry or termination of the research project and this Agreement.

15(a) The Researcher must provide a copy of the final draft of the thesis, paper, research report or similarly described document, the production of which represents the purpose of and summarises the research (collectively, **Document**) to the Department's Representative for review prior to the document being finalised. At least eight weeks should be allowed for this review.

15(b) The Researcher understands and agrees that:

- The Department may require alterations to the content of the Document to correct factual inaccuracies, and the researcher agrees to make any such alterations.
- The Department may request that the Researcher remove confidential information, as per clause 10.
- The Department may ask for other content changes that it considers appropriate.
- If requested to do so by the Department, the Researcher will prepare an article of between 1000 and 2000 words, summarising the Documents, research and findings, in a style and format suitable for publication in "Practice: The New Zealand Corrections Journal".
- The Department may require the Document to carry a disclaimer stating that the Document does not represent the views of the Department. The Researcher agrees to comply with any request made by the Department in this regard.

Once the Document has had alterations made to it and carries a disclaimer (if required) the Researcher will resubmit the altered Document for further review.

- 16 The process set out in clause 15 will be repeated if necessary until the Department's Representative advises the Researcher in writing that the Department is satisfied with the Document (at which point it will become the "final agreed Document"). No further changes to the final agreed Document will be permitted without a repeat of the process in this clause 16 and clause 15.
- 17 Prior to the time at which the Document becomes the final agreed Document, the Researcher will not publish or otherwise disclose, orally or in writing, to any third party (except as set out below), or use in any way for any purpose, including educational or further research purposes, any information obtained through the Department during the term of this agreement, without the written approval of the Department. This clause 17 includes any interim reports or findings of the research that the Researcher intends to release or publish, prior to producing the final agreed Document. This clause 17 does not apply to, and disclosure is permitted by the Researcher, orally or in writing, to the Researcher's tertiary education research supervisors.
- 18 Following acceptance of the final agreed Document under clauses 15 and 16, the Researcher is required to provide the Department with copies of any presentation, draft paper for publication, or other representation of the research findings, prior to the material being made available to the intended audience.
- 19 The Department will not unreasonably withhold or delay its decision-making under clauses 15, 16 and 17.
- 20 The Researcher must provide the Department with an electronic copy of the final agreed Document. If the final agreed Document is to be published in hard

copy, on the request of the Department, the Researcher will, at its cost, provide it with one copy of the Document.

21. The Department will treat any breach by the Researcher of this Agreement very seriously. In the event of a breach, the Department may:

- terminate this Agreement immediately by written notice; or
- give written notice of a breach and of a reasonable time that the breach must be remedied; and
- terminate this Agreement if the breach is not remedied within that time; or
- suspend the continuation of this Agreement and therefore the right of the Researcher to access Department premises, participants or other resources; and
- in the event of any breach not consider any future applications by the Researcher to undertake research.

These remedies are listed as examples only and are entirely without prejudice to any other remedies the Department may have for breach, at law or otherwise.

Signed as an Agreement:

<hr/> <p>On behalf of the Researcher</p> <p>Name: _____</p> <p>Designation: _____</p> <p>Date: _____</p>	<hr/> <p>On behalf of the Department</p> <p>Name: Jo Field</p> <p>Designation: Deputy Chief Executive, Service Development</p> <p>Date: _____</p>
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<p>In the presence of</p> <hr/> <p>Witness</p> <p>Name: _____</p> <p>Occupation: _____</p> <p>Address: _____</p>	<p>In the presence of</p> <hr/> <p>Witness</p> <p>Name: _____</p> <p>Occupation: _____</p> <p>Address: Private Box 1206 Wellington 6140</p>
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