



OPERATING PROCEDURE	Monitoring the Conduct of Approved External Research
OPERATING PROCEDURE NO.	A4.2
SCOPE	ACT Corrective Services

PURPOSE

To outline how ACTCS will monitor the conduct of approved research projects conducted by external researchers.

PROCEDURES

1. Conditions on research

- 1.1. All approved ACTCS research is subject to the core conditions outlined in the *ACTCS Managing External Research and Data Requests Policy*, as well as any additional conditions specific to the research project.

2. Commencement of research

- 2.1. ACTCS staff are advised that research cannot commence until:
 - a. Written approval has been granted by the Commissioner
 - b. The REO has acknowledged receipt of an *Acknowledgement of Conditions on Approval to conduct Research with ACT Corrective Services*, signed by all members of the research team
 - c. The researchers have met any other applicable conditions, such as completing Security Awareness Training.
- 2.2. The REO will email relevant Executives, Senior Directors, and the nominated ACTCS Area Contact to advise that research can commence. The REO will also forward a copy of the approval letter and signed *Acknowledgment of Conditions on Approval* for reference.

3. Research involving access to ACTCS data / statistical information

- 3.1. Where the request involves access to ACTCS data / statistical information, the REO will advise the Director, Business Performance Unit (BPU) that the data can be released.
- 3.2. The Director, BPU will facilitate the data transfer and advise the REO that the researcher has been provided with the data.
- 3.3. The REO will email the researcher to confirm receipt of the data and ask the researcher to estimate the date when they anticipate data analysis will be complete.
- 3.4. The REO will email an *ACTCS Data Analysis Completion Report Template* to the researcher on the estimated completion date. The REO will request return within 10 working days if data analysis is complete, or for the researcher to advise of the new estimated completion date if not yet complete.
- 3.5. The REO may also email the researcher periodically to request an update on the progress of their research if they have not heard from the researcher in several months.

4. Research involving access to ACTCS facilities, staff, detainees, offenders and clients

- 4.1. The approval letter will state the name and contact details of the ACTCS Area Contact.
- 4.2. The approval letter will instruct the researcher to contact their ACTCS Area Contact to arrange access to ACTCS facilities, staff, detainees, offenders or clients (as applicable).
- 4.3. The ACTCS Area Contact will advise the REO when the researcher has completed the data collection phase of the research and no longer requires access to ACTCS facilities, staff, detainees, offenders or clients. The ACTCS Area Contact will also advise the REO if there have been any issues arising from the conduct of the research.
- 4.4. The REO will email an *ACTCS Data Collection/Fieldwork Completion Report Template* to the researcher and advise the researcher to email the completed report within 10 working days.
- 4.5. When the report is received, the REO will make a note of the estimated data analysis completion date.
- 4.6. The REO will email an *ACTCS Data Analysis Completion Report Template* to the researcher on the estimated completion date. The REO will request return within 10 working days if data analysis is complete, or for the researcher to advise of the new estimated completion date if not yet complete.
- 4.7. The REO may also email the researcher periodically to request an update on the progress of their research if they have not heard from the researcher in several months.

5. Receipt of research outputs to ACTCS for consideration

- 5.1. The REO will email the researcher to acknowledge receipt of research outputs and to advise that ACTCS will endeavour to provide a formal response within 30 working days.
- 5.2. The REO will review the document and provide advice to the Commissioner, paying consideration to:
 - a. Any factual errors or omissions
 - b. Any information that may have implications for the safety and security of ACTCS facilities, staff, detainees, offenders or clients
 - c. Ensuring the document does not contain information that the researcher did not have permission to obtain from ACTCS
 - d. Ensuring that the document does not contain any information that may disclose the identity or breach the privacy of ACTCS staff, detainees, offenders or clients
 - e. In consultation with the Director BPU, the accuracy of any statistical information.
- 5.3. The REO may also consult with any relevant Executive, Senior Director, Area Contact, or specialist staff to seek clarification regarding any of the above.
- 5.4. The REO will also ensure that the document contains appropriate acknowledgement and disclaimer.
- 5.5. The REO will prepare advice on the above for the Commissioner and provide a draft letter of response to the researcher.
- 5.6. The REO will email the researcher and attach a letter from the Commissioner thanking them for providing a copy of the research output for ACTCS consideration and outlining any requested amendments (if applicable).

6. Management of breaches of conditions on research

- 6.1. If the REO is advised by the Area Contact or any other ACTCS employee that the researcher may have breached any conditions on their approved research, the REO will:
 - a. Seek further information from relevant ACTCS staff

- b. Provide the Commissioner with any evidence regarding the alleged breach and advice regarding further action.
- 6.2. The Commissioner may:
- a. Suspend approval of the research until the Commissioner is satisfied that the researchers will conduct the research in accordance with ACTCS conditions on the research
 - b. Notify the Human Research Ethics Committee (HREC) who gave approval to the researcher to conduct the research, or their employer
 - c. Withdraw approval for the research
 - d. In extreme cases, take further action pursuant to s322 of the *Crimes (Sentence Administration) Act 2005*.
- 6.3. The REO will email the researcher to request required reports or to advise the REO on progress of the research if the researcher fails to provide requested reports by the due date.
- 6.4. The REO will email a copy of the signed *Acknowledgment of Conditions* to the researcher and advise that provision of reports is a condition of research with ACTCS if the researcher fails to respond to requests for information.
- 6.5. The REO may advise the Commissioner if the researcher fails to respond and the Commissioner may take action as outlined at 6.2 above.

RELATED DOCUMENTS AND FORMS

- ACTPS Code of Conduct
- ACTCS External Research and Data Requests Policy
- ACTCS Managing External Research and Data Requests Operating Procedure
- ACTCS Application Guidelines for External Researchers (Academic)
- ACTCS Application Guidelines for External Researchers (Community Organisation)
- ACTCS Application Form for External Researchers (Academic)
- ACTCS Application Form for External Researchers (Community Organisation)
- ACTCS Acknowledgement of Conditions on Approval to Conduct Research with ACT Corrective Services Template
- ACTCS Data Collection/Fieldwork Completion Report Template for External Researchers
- ACTCS Data Analysis Completion Report Template for External Researchers



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