



OPERATING PROCEDURE	Monitoring the Conduct of Approved External Research
OPERATING PROCEDURE NO.	16.2
SCOPE	ACT Corrective Services

PURPOSE

To outline how ACT Corrective Services (ACTCS) will monitor the conduct of approved research projects by external researchers.

PROCEDURES

1. Commencement of research

- 1.1. The Research and Evaluation Officer (REO) will provide the researcher/s with:
 - a. contact with key operational areas
 - b. Security Awareness Training Application Form, where access to a correctional centre is required
 - c. Prohibited Things, Restricted, Excess and Non-Standard Item Application Form, if audio recording is required as part of research
 - d. periodic check-ins at different stages of research/data collection
 - e. Data Collection/Fieldwork Completion Report Template for External Researchers at the end of the fieldwork period
 - f. support with sharing/reporting findings with research participants/clients and relevant operational and policy units
 - g. support with the publication approval process, where required.
- 1.2. The REO will also:
 - a. return all signed forms to the relevant staff, copying in the researcher
 - b. record the estimated date of completion for field research projects and dates of publications completion
 - c. record requested, declined, approved, active and completed research projects
 - d. record publications received for research projects.

2. Research participant distress and safety protocol

- 2.1. The REO will remind researchers of the requirements around the Alexander Maconochie Centre Research Participant Distress and Safety Protocol Guide, which outlines minimum requirements for distress response when undertaking research within the correctional centre.

- 2.2. The REO will advise researchers on the distress response steps and follow-up details, which will vary depending on the research topic.
- 2.3. If researchers have their own protocol that they would like to use in addition to, or integrate with ACTCS protocols, they will need to be discussed with, and approved by, the REO.
- 2.4. When research is being conducted with clients, the REO will email the Supports and Intervention Unit to notify them on what days research will take place and the topic of the research.

3. Research involving access to ACTCS data or statistical information

- 3.1. Where the request involves access to ACTCS data or statistical information, the REO will liaise with the Senior Director, Strategy, Data and Research, and facilitate the data transfer.
- 3.2. Requests for more complex unpublished data, such as those involving compilation from multiple business units, will be referred to the ACTCS Office of the Commissioner.
- 3.3. The REO will:
 - a. email a *Data Collection/Fieldwork Completion Report Template* to the researcher for completion within 10 working days
 - b. seek further information and address any risks relating to the data identified in their Data Collection/Fieldwork Completion Report.

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

- 4.1. On the estimated date of completion for field research, the REO will contact the researcher to confirm the data collection phase has ended and they no longer require access to ACTCS facilities, staff or clients.
- 4.2. The REO will then:
 - a. ask the Area Contact for information on, and address any challenges or issues arising from, the conduct of the researcher/research
 - b. record the estimated date draft publications will be provided to ACTCS
 - c. periodically review any challenges from the conduct of research projects and identify any learnings
 - d. arrange for the researcher's access to ACTCS facilities to conclude following confirmation that this access is no longer required.

5. Discussion of findings and seeking feedback prior to publication

- 5.1. On contact from the researcher to discuss findings and seek feedback, the REO will engage relevant business units to organise a time for the researcher to present their findings.
- 5.2. The REO will provide a summary of the findings to the ACTCS Commissioner (the Commissioner) and relevant Divisional Executives for feedback.

6. Receipt of research outputs to ACTCS for consideration prior to publication

- 6.1. On the estimated date of research output completion, the REO will:
 - a. email the researcher to remind them of their requirement to provide the findings to ACTCS staff and participants in an audience-appropriate format
 - b. remind the researcher that any reports, papers, or other outputs arising from the research must be approved by the Commissioner at least 30 days prior to any release or publication, unless exempt
 - c. for research outputs that do not specifically mention ACTCS data, staff or clients, and so do not require a review, request a copy of the final publication from the researcher.
- 6.2. If the researcher reports delays in research outputs the REO will negotiate a new date.
- 6.3. The REO will email the researcher an acknowledgement of receipt of research outputs and advise that ACTCS will endeavour to provide a formal response within 30 working days.
- 6.4. The REO will review the research outputs and provide advice to the Commissioner about:
 - a. any factual errors or omissions
 - b. any information that may have implications for the safety and security of ACTCS facilities, clients or staff
 - c. ensuring the outputs do not contain information that:
 - i. the researcher did not have permission to obtain from ACTCS
 - ii. may disclose the identity, or breach the privacy, of ACTCS staff and/or clients
 - d. the accuracy of any statistical information.
- 6.5. The REO will also:
 - a. consult with any relevant Divisional Executive, Senior Director, Area Contact or specialist staff to seek clarification
 - b. ensure that the research output contains the appropriate acknowledgements and disclaimer in accordance with the Acknowledgement of Conditions on Approval to Conduct Research with ACT Corrective Services (Acknowledgement of Conditions)
 - c. provide the researcher with a letter from the Commissioner outlining any requested amendments (if applicable) and requesting a copy of the final publication.
- 6.6. The REO will distribute a copy of the final publication with an email summary of key findings and recommendations to relevant business units and Divisional Executives, and the Commissioner.

7. Internal dissemination of research findings

- 7.1. On approval of initial publication by the Commissioner, the REO will invite the researcher to present their findings to relevant operational areas. The REO will liaise with the relevant operational areas and the researcher to organise any presentation, also inviting other relevant internal stakeholders.

- 7.2. The REO will provide the researcher with the External Research Findings Brief Template to guide providing findings in an accessible format.
- 7.3. Where there is output provided in an accessible format, the REO will distribute this to relevant ACTCS and other relevant ACT Government areas. Where there is no accessible format, the REO will distribute a copy of the final publication or report with a summary of key findings and recommendations.

8. Dissemination of research findings to client participants

- 8.1. On approval of initial publication by the Commissioner, where research has involved client participants, the REO will invite the researcher to present their findings to the clients. The REO will liaise with the relevant operational areas and the researcher to organise this.
- 8.2. The REO will encourage the researcher to provide findings in an accessible format for clients (such as a poster, presentation, or discussion session) and will consult with relevant operational areas, which may provide advice on accessibility.
- 8.3. The REO will engage with relevant operational contacts, which may include the previous Area Contact, to facilitate distribution to clients in the following ways:
 - a. the REO will facilitate distribution to clients broadly. Due to the confidential nature of research and the changing detainee population, it will not be possible to identify exact participants but distributing to a broad group based on the research demographic (e.g., women, 18-25years, everyone in mainstream custody), helps identify groups for distribution
 - b. the REO will facilitate a presentation of findings to clients, identifying relevant cohorts based on the criteria in 8.3.a
 - c. the REO will facilitate distribution of any print outputs to the Alexander Maconochie Centre library.

9. Subsequent publications

- 9.1. For subsequent publications with findings that significantly differ from previous publications, the REO will recommence the receipt of research outputs process (section 6).
- 9.2. For publications with findings that do not significantly differ, the REO will check the relevant acknowledgement is in the publication and approve the publication for release.
- 9.3. The REO will distribute a copy of the final publication with an email summary of key findings and recommendations to relevant business units and Divisional Executives and the Commissioner.

10. Management of breaches of conditions on research

- 10.1. All breaches compromising data security or confidentiality must be reported as soon as possible to the REO via ACTCS.Research@act.gov.au.

- 10.2. If the REO is advised by any ACTCS staff that a researcher may have breached the conditions of their approved research, the REO will:
- seek further information from the relevant ACTCS staff
 - provide the Commissioner with any evidence regarding the alleged breach and advice regarding further action.
- 10.3. If the researcher has failed to provide reports and/or other outputs by the due date, the REO will:
- email the researcher to request reports or seek updates on the progress of the research
 - if the researcher does not respond to information requests, re-advise the researcher of the core conditions of approved research with ACTCS and email a copy of the signed Acknowledgement of Conditions
 - advise the Commissioner, if the researcher again fails to respond and provide advice on further action.
- 10.4. Where ACTCS believes conditions have not been complied with, the Commissioner may:
- suspend approval of the research project until they are satisfied that the researcher/s will conduct the research in accordance with the ACTCS conditions
 - notify the Human Research Ethics Committee that granted approval to the researchers to conduct the research and/or their employer
 - withdraw approval for the research
 - in extreme cases, take further action pursuant to s322 of the Crimes (Sentencing Administration) Act 2005.

RELATED DOCUMENTS

- ACTCS Acknowledgement of Conditions on Approval to Conduct Research with ACT Corrective Services
- ACTCS Application Form for External Researchers
- ACTCS Application Guidelines for External Researchers
- ACTCS Alexander Maconochie Centre Research Participant Distress and Safety Protocol Guide
- ACTCS Data Collection/Fieldwork Completion Report Template for External Researchers
- ACTCS External Researcher Findings Brief Template
- ACTCS External Research and Data Requests Policy
- ACTCS Formal Approval Letter
- ACTCS Managing Contracted Research Requests from ACT Government Operating Procedure
- ACTCS Managing External Research and Data Requests Operating Procedure
- ACTCS Managing External Research Partnership Requests Operating Procedure
- ACTCS Security Awareness Training Application Form
- ACTCS Prohibited Things, Restricted, Excess and Non-Standard Items Operating Procedure
- Australian Institute of Aboriginal and Torres Strait Islander Studies Code of Ethics for Aboriginal and Torres Strait Islander Research

- Crimes (Sentence Administration) Act 2005
- National Health and Medical Research Council National Statement on Ethical Conduct in Human Research



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Document details

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V1	Nov-20	First Issued	A Carroll
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