

Checklist for Research Involving Prisoners

Principal Investigator (Last, First):

Protocol # (XX-XX-XXXX):

Project Title:

Does the project receive any funding from the federal Department of Health and Human Services (e.g. CDC, NIH, SAMHSA)?

Yes No

1. Does the research fall into one of the permitted categories below?

Study the possible causes, effects, and processes of incarceration, and criminal behavior, provided that the study presents no more than minimal risk and no more than inconvenience to the subjects?

Yes No

Study prisons as institutional structures or prisoners as incarcerated persons, provided that the study presents no more than minimal risk and no more than inconvenience to the subjects?

Yes No

Study conditions particularly affecting prisoners as a class?

Yes No

Study practices, both innovative and accepted, which have the intent and reasonable probability of improving the health and well-being of the subjects?

Yes No

Epidemiology research where prisoners are not a particular focus and the research has as its sole purpose (i) to describe the prevalence or incidence of a disease by identifying all cases, or (ii) to study potential risk factor associations for a disease.

Yes No

2. Are the possible advantages accruing to the prisoner, when compared to general prison living conditions, medical care, amenities, and opportunity of earnings, not of such a magnitude that the subject's ability to weigh the risks of research against the value of such advantages in the limited choice environment will be impaired?

Yes No

3. Are the risks involved in the research commensurate with risks that would be accepted by non-prisoner volunteers?

Yes No

4. Are the procedures for the selection of subjects within the prison fair to all prisoners and immune from arbitrary intervention by prison authorities or prisoners?

Yes No

5. Are control subjects selected randomly from the group of available prisoners who meet the characteristics needed in the research project?

Yes No

6. Is the information presented understandable to the study population?

Yes No

7. Is adequate assurance provided that parole boards will not take into account a prisoner's participation in researching in making decisions regarding parole?

Yes No

8. Is each prisoner clearly informed in advance that participation in the research will have no effect on his or her parole?

Yes No

9. Has adequate provisions been made for examination and care of participants if such may be needed after the end of their participation?

Yes No