

# **Research Activities Policy**

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**ADMINISTRATIVE OFFICE OF THE NINETEENTH JUDICIAL CIRCUIT COURT  
OF LAKE COUNTY, ILLINOIS**

**12/13/2010**

This directive establishes a uniform procedure for submitting and approving unsolicited requests by independent researchers for the purposes of research or evaluation within the Nineteenth Judicial Circuit.

**ADMINISTRATIVE OFFICE OF THE NINETEENTH JUDICIAL CIRCUIT COURT  
OF LAKE COUNTY, ILLINOIS**

**RESEARCH ACTIVITIES POLICY**

**PURPOSE:**

It is the purpose of this directive to set forth the policies and procedures guiding research activities conducted within the Nineteenth Judicial Circuit Court of Lake County, Illinois by external organizations or individuals, or by employees not acting in their official capacity (e.g., employees who are students). Further, this directive establishes a uniform procedure for submitting and approving unsolicited requests by independent researchers for the purposes of research or evaluation within the Nineteenth Judicial Circuit.

This directive affirms the circuit's belief that controlled experiments, evaluations, and policy research can contribute to new judicial, administrative, and correctional knowledge and, thereby, to more efficient and effective organizational operations, conservation of resources, and increased public trust, understanding, and confidence in the judicial system.

**APPLICABILITY:**

This policy is applicable to all external research activities involving or examining court staff, court users/clients, facilities, operations, and/or programs under the jurisdiction of the Nineteenth Judicial Circuit Court of Lake County, Illinois.

**DEFINITIONS:**

**1. Academic Paper/Project**

A research paper or project conducted by a university faculty and/or students, which examines a topic of relevance to the circuit court. The objectives generally are to produce new data, information, and/or understanding to or of the court, and to contribute to the educational goals and research agenda of the student/faculty member.

**2. Contracted Research**

Research activities performed by an external researcher, and/or research associates under the supervision of an external researcher, contracted or hired by the Nineteenth Judicial Circuit to participate in a specified research study or to fulfill the needs of a grant-funded project.

**3. Independent Research**

Research requested or initiated by individuals, research firms, academic institutions, and other agencies or organizations external to the Nineteenth Judicial Circuit Court of Lake County, Illinois.

#### **4. Informational Request for Research Purposes**

A solicitation made by an external organization engaged in research activities to any division, unit, or members of the Nineteenth Judicial Circuit to provide information or data that is not otherwise available on the court's public website. External organizations may include legislative or administrative offices, the media, the public, universities, or other agencies.

#### **5. Informational Survey**

A data collection tool used to gather information on court users, clients, and/or staff of the Nineteenth Judicial Circuit Court of Lake County, Illinois.

#### **6. Internal Research**

Research activities conducted by staff acting in their official capacity as employees of the Nineteenth Judicial Circuit Court of Lake County, Illinois. Such research may be conducted solely internal to the Nineteenth Judicial Circuit or may be conducted in conjunction with other government agencies or other research entities.

#### **7. Institutional Review Board (IRB)**

A panel established by research organizations, such as universities, to provide human subjects review of research proposals. Human subjects review ensures that research proposals meet commonly accepted standards of research ethics, and identifies possible areas where research proposals could cause harm to persons. Most research organizations require IRB approval for most research proposals. (May also be referred to as Facility Review Board – FRB.)

#### **8. Principal Researcher**

The primary person/agency responsible for submitting the research proposal and overseeing completion of the research project. The researcher is responsible for providing instruction and guidance to research associates around the topics of research methodology, confidentiality, sampling, data collection, data analysis/measurement, etc.

#### **9. Research Activities**

A project, paper, or study designed primarily to produce new data, information, and/or understanding of the justice system, community corrections, management, or other issues of relevance to the Nineteenth Judicial Circuit. The use of interviews, questionnaires, reviews of case records, data extractions from automated information management systems, and other activities that supplement the research process are included under this definition.

#### **10. Research Associate**

Novice researchers or students who support the research project by conducting research activities on behalf of or in cooperation with the Principal researcher.

## **11. Research Liaison**

An employee of the Nineteenth Judicial Circuit who is responsible for coordinating a worksite response to external research activities, assisting approved researchers and research associates in gaining access to necessary data and resources, and keeping the division director informed of the progress on active research projects.

## **12. Research Participant**

Court users, clients or staff who are the subject of a research activity.

## **13. Senior Management Team**

A standing committee of the Administrative Office of the Nineteenth Judicial Circuit comprised of the Executive Director of the Administrative Office, Directors of each of the court's six divisions (i.e., Administrative Services, Adult Probation Services, Judicial Information and Technology, Judicial Operations, Juvenile Probation and Detention Services, and Psychological Services), and a Judicial Research Analyst from the Core Support Unit.

## **POLICY**

The Nineteenth Judicial Circuit shall encourage close cooperation between Court staff and research personnel, by assisting in the research design, establishing research priorities, data collection, assessment, and evaluation. It is the belief of the Nineteenth Judicial Circuit that research and evaluation activities using generally accepted methods and research standards can contribute to new judicial, managerial, and correctional knowledge and, thereby, to more efficient and effective court operations, conservation of resources, and increased public trust, understanding, and confidence in the judicial system.

## **PROCEDURES**

The Nineteenth Judicial Circuit Court of Lake County, Illinois shall support and engage in research activities, which directly effect and direct its ongoing planning activities. It is the policy of the Nineteenth Judicial Circuit to identify its needs for evaluation and conduct internal research concerning court programs, services, and other activities. Research and evaluation findings are used to inform the development and/or modifications of programs.

The Nineteenth Judicial Circuit shall also encourage external research activities that are consistent with the needs and planning efforts of the court organization and conducted by qualified researchers. Academic preparation and previous research background shall serve as indicators of researcher qualifications. As available, the Nineteenth Judicial Circuit shall seek funding support from public and private sources to assist the Court to undertake approved research activities.

## A. General Requirements

1. Unsolicited requests for research activities shall be implemented only after the Chief Judge of the Nineteenth Judicial Circuit of Lake County, Illinois has reviewed and approved the proposal.
2. Informational requests for research purposes by external organizations or individuals, which involve the release of any internal data, information, evaluations or written works about staff, court users/clients, facilities, operations, policies, or programs of the Nineteenth Judicial Circuit, shall be treated as an unsolicited research request and will require prior approval of the Chief Judge of the Nineteenth Judicial Circuit of Lake County, Illinois.
3. The Nineteenth Judicial Circuit may permit access to the Court's data for the purposes of research, evaluation, and statistical analysis in accordance with a written agreement that authorizes such access, outlines the permitted uses of the data, and ensures that confidentiality and security shall not be compromised.
4. Employees of the Nineteenth Judicial Circuit will not produce unique raw data for independent research nor in response to an informational request for research purposes by external organizations or individuals.
5. Unique data queries required to conduct independent research activities that are not available in existing reports or data sets may be available at a cost to be determined as part of the written research agreement.
6. Research activities requiring direct contact between the researcher or a research associate and research participants shall be granted on a voluntary basis only. The researcher must secure signed consent waivers from the court user or staff member before beginning such research. The consent form shall indicate the court user's or staff member's voluntary participation in the research study. In general, any information that research participants disclose to the researcher should remain confidential, except where the researcher reasonably believes the individual is an imminent threat to his or her own safety or the safety of another person, especially where the individual has expressed an intention to harm his/her-self or others.
7. Where a research proposal holds a reasonable potential for having some adverse emotional, psychological, or other impact upon a court user or staff member, as determined by the subject matter of the study, the researcher must obtain written approval for the study from the Institutional Review Board (IRB) of their parent organization. When independent researchers do not have access to an IRB, they should consult with researchers who are familiar with IRB procedures to provide appropriate safeguards.
8. The use of research participants in any medical experiments, cosmetic experiments, or pharmaceutical testing is strictly prohibited.
9. Researchers are not to provide monetary compensation or other rewards to research participants in exchange for their participation in research activities.

10. Court staff who are conducting research for their own personal academic gain shall submit a written agreement to their immediate supervisor indicating that such research shall not be conducted during regular working hours. Staff must obtain authorization and signatures from their immediate supervisor as part of their Research Approval Request Form. Staff are not permitted to conduct research for their own personal financial gain.
11. All external research proposals and informational requests for research purposes that seek to draw data from existing Nineteenth Judicial Circuit case files or datasets or to collect original data from staff or court users are subject to review by the Senior Management Team in order to determine the benefits of such research activities to the court organization and to resolve issues regarding confidentiality, access to case files and electronic datasets, safeguards to human subjects, and potential disruptions to normal court operations.

## **B. Procedure for Obtaining Approval to Conduct Independent Research**

1. Every independent research proposal or informational request for research purposes that is not internal to or contracted by the Administrative Office of the Nineteenth Judicial Circuit Court of Lake County, Illinois shall be subject to initial review by the Senior Management Team and implemented only after final approval by the Chief Judge of the Nineteenth Judicial Circuit.
2. All external informational requests and proposals for independent research projects shall be submitted in the appropriate format using the **Request to Conduct Independent Research in the Nineteenth Judicial Circuit of Lake County, Illinois** Form (Attachment A). The completed form and supporting documentation are submitted to the Division Director where the proposed research activities will take place.
3. The written proposal should include the following elements:
  - a. **Cover Sheet:**
    - i. The title of the proposed study.
    - ii. The name of the person making the request, organizational affiliation, and contact information.
    - iii. The name of the Principal Researcher (if different), organizational affiliation, and contact information.
    - iv. A brief summary of the purpose of the project and the goals of the study.
    - v. Anticipated Research Dates – Projected Start and Completion Dates
  - b. **Policy Compliance Agreement:**
    - i. For the Principal Researcher (including student researchers)
    - ii. For the Research Advisor (student submissions only)
    - iii. For the Employee’s Supervisor (Nineteenth Judicial Circuit staff submissions only)
  - c. **Purpose of the Project:**
    - i. Project Intent – Identify the reason for conducting the research or evaluation (e.g., to fulfill a school paper, thesis or dissertation requirement).

- ii. Statement of the Issue Addressed – State the issue or problem area to be addressed through the research. This will include the specific research question(s) that will be answered through the research.
  - iii. Goals and Objectives – Describe what will be accomplished or learned through this research project (e.g., hypothesis or hypotheses to be tested) and identify the strategies that will be used to achieve these goals.
  - iv. Expected Benefits – Describe the anticipated benefits to the Nineteenth Judicial Circuit and/or the fields of corrections or justice administration.
- d. **Project Background:**
- i. Literature Review – A summarization of existing research on the topic, which will identify gaps in the existing research and how the proposed project will improve upon this existing research.
  - ii. Citation List – A list of references used to inform the proposed research project, including publication documentation, unpublished works, and electronic media sources (a complete URL is required).  
*Note: An annotated citation list may be sufficient to complete this section.*
- e. **Research Methods:**
- i. Sampling Strategy – Describe the participants, data sources or records that are the subject of this research project, the criteria that will be used for sample selection, and the generalizability of findings based on this strategy. The sample size should be sufficient for appropriate statistical analysis.
  - ii. Data Collection – State the procedures for data collection and provide copies of research instruments to be used, including interview guides, questionnaires, data collection forms, and tests. If data are to be extracted from automated information systems, a list of the requested data items will be submitted.
  - iii. Data Analysis – A brief description of the statistical analysis(es) that will be conducted with the data obtained from this research, including identification of the control, dependant and independent variables included among the data items.  
*Note: Research methods should adhere to generally accepted standards of research practice. The researcher should explain any deviations from generally accepted practices.*
- f. **Research Administration:**
- i. Vita of the Principal Researcher – Identify the research experience and qualifications of the Principal researcher, including the researcher’s capacity to act in a supervisory or mentoring role with research associates.
  - ii. Ethical and Professional Standards – Identify the applicable professional code of ethics or standards directing the research practices of the Principal researcher and research associates. If no such standards are identified, the professional conduct of the researchers will be consistent with the Code of Ethics of the Justice Research and Statistics Association (JRSA, 2004)<sup>1</sup>.

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<sup>1</sup> Justice Research and Statistics Association (2004). *Code of Ethics*. Washington, DC: Author. [www.jsra.org](http://www.jsra.org)

- iii. Protection of Human Subjects - Where a research proposal holds a potential for having some adverse impact upon research participants the researcher must obtain written approval for the study from the Institutional Review Board (IRB) of their parent organization. When independent researchers or students do not have access to an IRB, they should consult with researchers or academic faculty members who are familiar with IRB procedures to provide appropriate safeguards.  
*Note: Documentation of IRB approval or exemption, an affirmation of consultation and list of research safeguards prepared in cooperation with a qualified researcher or academic faculty member, or documentation and formal acceptance of grant funding which includes provisions for the protection of human subjects must accompany the research proposal.*
- iv. Provisions for Confidentiality – If the project involves collecting data on individuals (whether court users, clients, or employees), outline how confidential and identifying information will be protected.
- v. Obtaining Informed Consent – If the project involves obtaining information directly from research participants, outline how their approval will be obtained.
- vi. Project Timeline – An outline of the anticipated start date and completion date of the entire research project, including start and completion dates for each phase of the project. Emphasis should be given to those phases of the project during which the research team will be conducting activities within 19<sup>th</sup> Judicial Circuit facilities.
- vii. Resource Needs – Identify any resources or personnel that the Nineteenth Judicial Circuit needs to provide for this project. If client or staff interviews are to be conducted, a summary of the total number of participants to be interviewed, the location of the interviews, how long each interview will take, and the total number of interviews will be submitted.  
*Note: This information will assist the Senior Management Team in estimating the level of disruption to operations, and the availability of staff resources to support this project.*

Failure to complete all required sections of this form will result in the proposal being temporarily rejected. This rejection will be communicated in writing to the researcher. The researcher, after appropriately completing all sections of the form, may resubmit the proposal for review.

- 4. All research proposals submitted by students (undergraduate or graduate level), including staff who are conducting research to fulfill academic requirements, must have a research advisor's signature indicating that he/she has reviewed the student's proposal and agrees that the quality of the submission meets both the Nineteenth Judicial Circuit's standards and their own college/university standards for quality and soundness of design.
- 5. A completed research proposal and additional supporting documentation are to be submitted electronically or in writing to the Director whose division the proposed research activities will take place. The Division Director will perform a cursory review



of the proposal for completeness, clarity, and the potential impact on resources and operations of the division.

6. Following review by the Division Director, the proposal is distributed to the Senior Management Team for a full or expedited review.

All proposals for new research activities must undergo a full review by the Senior Management Team. A full review implies a detailed reading of the research proposal, with input solicited as necessary from judges, assistant directors, staff, and other county departments whose operations would directly be affected by the proposed research.

An expedited review is used for proposals that are extensions of existing research projects and previously approved projects that were temporarily suspended or delayed for various reasons. Projects whose IRB approval has expired, but the project remains uncompleted, for example, can request an expedited review following approval of the new IRB. Similarly, projects may be delayed or suspended due to emergency situations (see Research Conditions, below) or other unforeseen circumstances. In such cases, the Principal researcher should only provide appropriate updates to the research request form and include any updated documentation.

If an approved research project is not initiated or remains idle for any period of 90 days or more, without prior agreement between the Principal researcher and the Division Director, the research project will be considered to be abandoned and approval for research activities will be terminated. The Principal researcher may submit a new proposal for full review by the Senior Management Team.

7. The Senior Management Team shall, both formally through scheduled meetings or informally through electronic communication and distribution of materials on an as-needed basis, review and discuss submitted research proposals. Proposals are reviewed with consideration of the research activities' impact on Court operations, policies and programs, and enhancing the literature regarding effective judicial, administrative, and correctional practices.

The Senior Management Team reserves the right to return poorly constructed or inadequately articulated proposals to researchers without a recommendation to the Chief Judge. If a proposal is rejected at any time during the review process, the researcher may be given an opportunity to address the issues and concerns and resubmit an improved proposal.

The recommendation for approval or disapproval of any research proposal shall be based on the following criteria:

- a. The confidentiality of court users or staff members must be assured;
- b. The research would not adversely impact Court operations, nor jeopardize the safety and well-being of its users and staff;
- c. The Court's resources and the efforts required to perform the research would not exceed the potential benefits of the research to the Court and its daily operations;

- d. The proposal would not require invasive techniques (e.g., medical or cosmetic experiments, or pharmaceutical testing) and/or potentially emotionally or psychologically damaging methods to obtain data;
  - e. Research participants, either court users or staff, shall be sought on a voluntary basis; and
  - f. The research proposal offers a clear and complete discussion of the objectives, significance, previous research, methods, analysis, and expected outcomes.
8. The Senior Management Team prepares a written recommendation to approve or disapprove all research proposals using the **Independent Research Recommendation Form** (Attachment B), including any concerns and/or additional conditions to be imposed on the research activities, delivered to the Chief Judge of the 19<sup>th</sup> Judicial Circuit Court of Lake County.
  9. The final decision regarding approval of all research activities lies with the Chief Judge of the Nineteenth Judicial Circuit.
  10. The decision regarding each research proposal shall be forwarded to the researcher in writing within 10 working days of receiving the approval or disapproval of the Chief Judge.

If a proposal is not approved, the researcher will be given the reasons why the proposal was rejected. The researcher may resubmit an improved proposal at a later date addressing any issues and concerns.

If a proposal is approved, written approval will be accompanied by the following documents:

- a. A written agreement regarding the proposed research activities to be signed by the Principal Researcher and the Division Director.
- b. Forms to be completed by each member of the research team in order to complete a background check, and authorize limited access to the court's facilities, data sources, personnel, and clients, as necessary, to facilitate the requirements of the research project.
- c. Applicable policies of the Nineteenth Judicial Circuit regarding security, safety, electronics, and dress to be adhered to by members of the research team while conducting research activities within the facilities of the 19<sup>th</sup> Judicial Circuit.

### **C. General Conditions Applicable to External Research Activities**

1. In order to facilitate coordination with researchers and to provide adequate oversight of research activities at the facility level, the Division Director whose area is primarily affected by the research activity will be responsible for appointing a staff member as a research liaison. The research liaison coordinates the worksite response to research activities, oversees the on-site activities of the research team, assists approved researchers and research associates in gaining access to necessary staff and/or data, and keeps the Division Director informed of the progress on active research projects.

2. All Primary Researchers and any research associates who will access Nineteenth Judicial Circuit information and/or conduct interviews or have other direct contact to facilitate research with court employees or court users/clients must complete a background check, which includes a criminal history and warrant check. The Division Director reserves the right to deny or limit access to internal records, databases, staff, or clients of the Nineteenth Judicial Circuit based on information obtained from the background check.
3. The research team, represented minimally by the Primary Researcher, will meet bi-monthly (e.g., every 60 days) with the Division Director, Research Liaison, and other staff as deemed appropriate to address the status of the project and any issues or concerns related to its impact on court operations. The format of these meetings (e.g., in-person, via teleconference, or electronic messaging) can vary based on the needs and scope of the project, the impact on normal court operations, and/or the availability of the respective parties.
4. In order to reduce serious disruption of normal court operations and facilitate multiple research projects within the 19<sup>th</sup> Judicial Circuit, Research Associates conducting research activities within the facilities of the 19<sup>th</sup> Judicial Circuit should adhere to an established on-site schedule as determined by the Primary Researcher and Research Liaison.
5. Research Associates conducting research activities within the facilities of the 19<sup>th</sup> Judicial Circuit must adhere with the applicable ethical standards governing professional conduct, the conditions imposed by the agreement between the Division Director and Principal Researcher, limitations regarding access to court facilities and data sources, and general policies affecting the decorum and security of the court's workspaces (e.g., Employee Dress Code, Electronic Communications Policy, Display of Identification Badges, etc.).
6. All research data collected that identifies individual staff and/or clients is considered confidential and must be protected minimally by the following security measures:
  - a. Research data and information that is not de-identified is not allowed to be removed from the facilities of the Nineteenth Judicial Circuit where the research activities are performed.
  - b. When not in use, such data and information shall be stored on-site in locked files or a password-protected USB flash drive.
  - c. Such data and information is not to be shared in writing, electronically, or verbally with persons other than those conducting or assisting in the research.
  - d. Research data and information that is not de-identified is to be destroyed or deleted upon conclusion of the research project.
7. The Senior Management Team may recommend imposing conditions on the proposed research design/methodology at any time if it deems that such restrictions are necessary considering the Court's resources, security concerns, or confidentiality issues. In the event that such conditions are required, the researcher shall receive written notice of these conditions upon receiving research approval notification, or immediately in writing if such conditions must be imposed at a later date.

8. In an emergency or extended disruption of normal facility operations, the Chief Judge, the Executive Director of the Administrative Office of the Nineteenth Judicial Circuit or the Division Director in a particular facility may suspend any provision or section of this policy for a specific period of time or until normal operations resume.

#### **D. Research Distribution**

1. Upon conclusion of research activities, the Primary Researcher will provide the Division Director and Senior Management Team a copy of or access to original research data collected within or about the Nineteenth Judicial Circuit.
2. Regardless of the length of time elapsed since the completion of research activities, the Primary Researcher shall submit a final research report to the Division Director. The Division Director will distribute copies of the report to the Executive Director and Senior Management Team.
3. Upon review of the research data and/or final research report, the Senior Management Team shall prepare a research summary and distribute copies of the research findings to the Chief Judge.
4. The Nineteenth Judicial Circuit reserves the right to duplicate and distribute information regarding the research data and/or the completed research project to Court personnel and Lake County officials. A copy of the research summary may also be posted on the Court's public website, at the discretion of the Chief Judge.
5. Subsequent research projects, academic papers, presentations, and reports that are based substantially on the findings of approved research activities are subject to these same procedures.

#### **E. Public Dissemination of Research Findings**

1. If there is intent to publish the findings of the completed research, the Senior Management Team should be advised, in writing, by the researcher at least 30 days prior to submission for publication to the journal or other sources in which publication shall be sought. The Nineteenth Judicial Circuit shall not discourage the publication of any approved external research project, but does retain the right to review and comment on the research prior to its publication. The Senior Management Team shall coordinate any written response on the research and shall forward the response to the researcher.
2. Products produced by this research and disseminated outside of the Nineteenth Judicial Circuit must include the following statement: "Points of view in this document are those of the author(s) and do not necessarily represent the official position or policies of the Nineteenth Judicial Circuit Court of Lake County, Illinois."
3. Shared authorship in any published work should be provided by the researcher to appropriate Court staff based on substantial professional contributions to the research

project. Those who so contribute should be credited with co-authorship in the byline. Such contributions may include formulating the problem or hypothesis, structuring the experimental design, organizing and conducting the statistical analysis, interpreting the results, or writing a major portion of the paper.

Lesser contributions and supportive functions (e.g., advising about statistical analysis, collecting or entering data, modifying or structuring a computer program, recruiting participants, conducting diagnosis, etc.) should be acknowledged by an author note in the published work, though combinations of these and other tasks may also justify authorship.

## **F. Violations of Research Activities Policy**

1. Permission to complete further research activities associated with the current research project or any future research activities within the 19<sup>th</sup> Judicial Circuit may be withdrawn for violations of this policy, any federal or state laws, or any other policies of the Nineteenth Judicial Circuit Court of Lake County, Illinois during the course of this research.
2. Violation of state or federal regulations with respect to confidential information may subject the violator to civil and/or criminal liability.
3. If an apparent ethical violation has substantially harmed or is likely to substantially harm any research participant and/or the Nineteenth Judicial Circuit Court of Lake County, Illinois and is not appropriate for informal resolution, or is not resolved properly in that fashion, further action appropriate to the situation may take place. Such action might include, but is not limited to, referral to state or national committees on professional ethics, to state licensing boards, or to the appropriate institutional (e.g., university) authorities.

# **Research Activities Policy**

## **Appendix A**

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REQUEST TO CONDUCT RESEARCH IN THE 19th JUDICIAL CIRCUIT COURT

**REQUEST TO CONDUCT RESEARCH IN THE 19<sup>th</sup> JUDICIAL CIRCUIT COURT**

**DIVISION OF** \_\_\_\_\_

**COVER SHEET**

1. Preliminary Project Title: \_\_\_\_\_

2. Name of Person Making Request: \_\_\_\_\_

Organizational Affiliation: \_\_\_\_\_

Contact Information:

Address: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Phone: \_\_\_\_\_

Fax: \_\_\_\_\_

Email: \_\_\_\_\_

3. Name of Principal Researcher: \_\_\_\_\_

Organizational Affiliation: \_\_\_\_\_

Contact Information:

Address: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Phone: \_\_\_\_\_

Fax: \_\_\_\_\_

Email: \_\_\_\_\_

4. Purpose of Project (Brief Summary):

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5. Anticipated Research Dates: \_\_\_\_\_

**REQUEST TO CONDUCT RESEARCH IN THE 19<sup>th</sup> JUDICIAL CIRCUIT COURT**

**DIVISION OF** \_\_\_\_\_

**POLICY COMPLIANCE AGREEMENT**

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**For the Principal Researcher:**

I have reviewed the policy governing research activities in the Nineteenth Judicial Circuit Court of Lake County, Illinois and agree to abide by the procedures as outlined in this document in conducting the proposed research project and in distributing research findings. I also agree to comply with the research conditions as cited by the Senior Management Team and the Director of the Division of \_\_\_\_\_. I will also comply with all State of Illinois and federal laws and all Nineteenth Judicial Circuit policies and procedures pertinent to conducting the proposed research.

Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

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**For the Research Advisor (Student Submissions ONLY):**

I have reviewed the policy governing research activities in the Nineteenth Judicial Circuit Court of Lake County, Illinois. My signature below indicates that I have reviewed my student's research proposal and agree that it meets all requirements as stated by the Nineteenth Judicial Circuit and stands as a quality research proposal representative of this college/university.

Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

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**For the Employee's Supervisor (Nineteenth Judicial Circuit Staff Submissions ONLY):**

I have reviewed this proposal and approve this research study. This employee has agreed that this research project will not conflict with his/her scheduled work hours (or has agreed to modify his/her work hours to accommodate the needs of this research project) and that he/she will reimburse the Nineteenth Judicial Circuit for any costs incurred to the organization as related to this research project. This research project is for academic credit only and is not intended for personal financial gain of the employee.

Supervisor's Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

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**REQUEST TO CONDUCT RESEARCH IN THE 19<sup>th</sup> JUDICIAL CIRCUIT COURT**

**DIVISION OF \_\_\_\_\_**

**PURPOSE OF THE PROJECT**

1. Project Intent:

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2. Statement of Issue to be Addressed:

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3. Goals and Objectives:

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4. Expected Benefits:

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**REQUEST TO CONDUCT RESEARCH IN THE 19<sup>th</sup> JUDICIAL CIRCUIT COURT**

**DIVISION OF \_\_\_\_\_**

**RESEARCH METHODS**

1. Sampling Strategy:

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2. Data Collection:

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3. Data Analysis:

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**REQUEST TO CONDUCT RESEARCH IN THE 19<sup>th</sup> JUDICIAL CIRCUIT COURT**

**DIVISION OF \_\_\_\_\_**

**RESEARCH ADMINISTRATION**

1. Vita of Principal Researcher: (attach)

2. Ethical and Professional Standards:

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3. Protection of Human Subjects:

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4. Provisions for Confidentiality:

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5. Obtaining Informed Consent:

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**ADMINISTRATIVE OFFICE OF THE NINETEENTH JUDICIAL CIRCUIT COURT  
OF LAKE COUNTY, ILLINOIS**

**CONFIDENTIALITY AGREEMENT**

Individuals conducting research at the 19<sup>th</sup> Judicial Circuit have an ethical and a legal obligation to keep confidential all information received from and/or about persons with whom the 19<sup>th</sup> Judicial Circuit is currently and/or was previously involved or otherwise has knowledge. All Principal Researchers (including student researchers) and Research Assistants are therefore required to sign this Confidentiality Agreement. Unauthorized disclosure of confidential information by such individuals could result in a fine and/or imprisonment and/or civil liabilities as prescribed by law as well as termination of the current and /or future research activities.

I hereby agree that I shall abide by this assurance of confidentiality and acknowledge and comply with the following stipulations:

1. I understand and support the 19<sup>th</sup> Judicial Circuit's firm commitment to the principle of confidentiality of case information.
2. I understand for the purposes of all 19<sup>th</sup> Judicial Circuit policies on confidentiality that researchers shall be defined as all current and former researchers.
3. I agree to keep confidential all information contained in the 19<sup>th</sup> Judicial Circuit records and shall only disclose such information as allowed by law or by 19<sup>th</sup> Judicial Circuit policy.
4. I shall safeguard from unauthorized disclosure all information retrieved from the 19<sup>th</sup> Judicial Circuit and/or 19<sup>th</sup> Judicial Circuit computers as well as any assigned password(s) used to gain access to any database.
5. I agree to consult with my 19<sup>th</sup> Judicial Circuit Research Liaison prior to disclosure if there is any question concerning the authority to release specific confidential information.
6. I understand that violation of the privacy rights of individuals through unauthorized discussion, disclosure, dissemination, or access to personal information could subject me to early termination of any research project as well as civil and/or criminal penalties.
7. I understand that possessing personal notes, records, duplicate files, or any information received from and/or about persons currently or previously involved with the 19<sup>th</sup> Judicial Circuit is prohibited and that case information is to be recorded in appropriate 19<sup>th</sup> Judicial Circuit records per 19<sup>th</sup> Judicial Circuit policy.
8. I understand that all information received from and/or about persons currently or previously involved with the 19<sup>th</sup> Judicial Circuit is the property of the 19<sup>th</sup> Judicial Circuit and that any such information will be relinquished to the 19<sup>th</sup> Judicial Circuit upon the completion of my research. De-identified data is to be destroyed or deleted upon conclusion of the research project.

\_\_\_\_\_  
PRINTED NAME

\_\_\_\_\_  
SIGNATURE

\_\_\_\_\_  
DATE

\_\_\_\_\_  
WITNESS

\_\_\_\_\_  
DATE

# **Research Activities Policy**

## **Appendix B**

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INDEPENDENT RESEARCH RECOMMENDATION 19th JUDICIAL CIRCUIT COURT

**INDEPENDENT RESEARCH RECOMMENDATION FORM**

**19<sup>th</sup> JUDICIAL CIRCUIT COURT – DIVISION OF \_\_\_\_\_**

**DIVISION DIRECTOR’S REVIEW:**

1. Proposed Project Title: \_\_\_\_\_

2. Date of Submission: \_\_\_\_\_

3. Proposed Research Timeline: Start Date \_\_\_\_\_

Completion Date \_\_\_\_\_

4. Principle Researcher: Name / Title \_\_\_\_\_

Organizational Affiliation \_\_\_\_\_

19<sup>th</sup> Judicial Circuit Employee  YES  NO

5. Study Site:  Main Courthouse  Adult Probation Building  
 Depke Juvenile Justice Complex  Other (specify) \_\_\_\_\_

6. Division:  Administrative Services  Adult Probation Services  
 Judicial Information & Technology  Judicial Operations  
 Juvenile Probation & Detention  Psychological Services

7. Research Liaison: Name/Title \_\_\_\_\_

8. Type of Review:  Full Review  Expedited Review

9. Division Director’s Review:

YES	NO	
<input type="checkbox"/>	<input type="checkbox"/>	All sections of the proposal are completed (or updated, if an expedited review)
<input type="checkbox"/>	<input type="checkbox"/>	Supporting documentation received
<input type="checkbox"/>	<input type="checkbox"/>	The proposal is clear and understandable
<input type="checkbox"/>	<input type="checkbox"/>	Proposed Research Timeline is realistic
<input type="checkbox"/>	<input type="checkbox"/>	There is minimal impact on the resources of the division
<input type="checkbox"/>	<input type="checkbox"/>	There is minimal impact on the operations of the division

If any of the above items are marked “NO,” please explain:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

10. Director’s Decision:  Return to Principle Researcher for Revision  
 Forward to Senior Management Team for Full Review  
 Forward to Senior Management Team for Expedited Review

11. Director’s Signature / Date: \_\_\_\_\_



**INDEPENDENT RESEARCH RECOMMENDATION FORM**  
**19<sup>th</sup> JUDICIAL CIRCUIT COURT – DIVISION OF \_\_\_\_\_**

**FULL REVIEW:**

- |   | YES                      | NO                       | N/A                      |
|---|--------------------------|--------------------------|--------------------------|
| 1. The confidentiality of court users or staff is assured.  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. The research would not adversely impact court operations.  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. The research would not jeopardize the safety and well-being of court users or staff.   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 4. The court’s resources and efforts to perform the research would not exceed the potential benefits of the research to the Court and its daily operations.   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 5. The research does not require invasive techniques.   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 6. The research does not require potentially emotionally or psychologically damaging methods to obtain data.  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 7. Research participants will be sought on a voluntary basis.   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 8. The research proposal offers a clear and complete discussion of the objectives, significance, previous research, methods, analysis, and expected outcomes. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

9. Nineteenth Judicial Circuit Court Resources or Services Required For Research Proposal:

- a. Administrative Services Needed?  YES  NO

Resources or Services Needed	Assigned Staff	Estimated Time, Cost, Etc.

- b. Adult Probation Services Needed?  YES  NO

Resources or Services Needed	Assigned Staff	Estimated Time, Cost, Etc.

- c. Judicial Information & Technology Needed?  YES  NO

Resources or Services Needed	Assigned Staff	Estimated Time, Cost, Etc.

- d. Judicial Operations Needed?  YES  NO

Resources or Services Needed	Assigned Staff	Estimated Time, Cost, Etc.

**INDEPENDENT RESEARCH RECOMMENDATION FORM**

**19<sup>th</sup> JUDICIAL CIRCUIT COURT – DIVISION OF \_\_\_\_\_**

e. Juvenile Probation & Detention Services Needed?  YES  NO

Resources or Services Needed	Assigned Staff	Estimated Time, Cost, Etc.

f. Psychological Services Needed?  YES  NO

Resources or Services Needed	Assigned Staff	Estimated Time, Cost, Etc.

g. Core Support Services Needed?  YES  NO

Resources or Services Needed	Assigned Staff	Estimated Time, Cost, Etc.

**10. Other Lake County Department Staff, Resources, or Services Required For Research Proposal:**

Department of \_\_\_\_\_

Resources or Services Needed	Assigned Staff	Estimated Time, Cost, Etc.

Department Head Approval Obtained?  YES  NO  PENDING

**11. Other Agency Staff, Resources, or Services Required For Research Proposal:**

Agency: \_\_\_\_\_

Resources or Services Needed	Assigned Staff	Estimated Time, Cost, Etc.

Agency Director Approval Obtained?  YES  NO  PENDING

**12. Concerns regarding Research Proposal:**

**13. Recommended Additional Conditions applied to Research Proposal:**

**INDEPENDENT RESEARCH RECOMMENDATION FORM**

**19<sup>th</sup> JUDICIAL CIRCUIT COURT – DIVISION OF \_\_\_\_\_**

**14. Management Team Review:**

Director	Division	Recommend For Approval		Signature	Date Reviewed	Comments
		Yes	No			
Marci Jumisko	Administrative Services	<input type="checkbox"/>	<input type="checkbox"/>			
Rose Gray	Adult Probation Services	<input type="checkbox"/>	<input type="checkbox"/>			
Winnie Webber	Judicial Information & Technology	<input type="checkbox"/>	<input type="checkbox"/>			
Rich Krause	Judicial Operations	<input type="checkbox"/>	<input type="checkbox"/>			
Robert Cesar	Juvenile Probation & Detention	<input type="checkbox"/>	<input type="checkbox"/>			
Dena Traylor	Psychological Services	<input type="checkbox"/>	<input type="checkbox"/>			
Robert Zastany	Executive Director	<input type="checkbox"/>	<input type="checkbox"/>			

- 15. Senior Management Team’s Decision:**  Reject Proposal at this time  
 Return to Principle Researcher for Revision  
 Forward to Chief Judge for Final Approval

**CHIEF JUDGE’S REVIEW:**

**16. Additional Concerns Regarding Research Proposal:**

**17. Additional Conditions Applied to Research Proposal:**

- 16. Chief Judge’s Decision:**  Reject Proposal at this time  
 Return to Principle Researcher for Revision  
 Approval of Proposed Research

**18. Approval of Proposed Research Expires** \_\_\_\_/\_\_\_\_/\_\_\_\_

**19. Chief Judge’s Signature / Date:** \_\_\_\_\_

**INDEPENDENT RESEARCH RECOMMENDATION FORM**

**19<sup>th</sup> JUDICIAL CIRCUIT COURT – DIVISION OF \_\_\_\_\_**

**EXPEDITED REVIEW:**

**1. Reason for Expedited Review:**

IRB Approval Expired (Date) \_\_\_\_\_; New IRB Approved (Date) \_\_\_\_\_

Project Previously Approved \_\_\_\_\_; Project Temporarily Suspended \_\_\_\_\_

Reason for Temporary Suspension: \_\_\_\_\_

Project Previously Approved \_\_\_\_\_; Project Implementation Delayed \_\_\_\_\_

Reason for Delay: \_\_\_\_\_

Other (specify) \_\_\_\_\_

**2. Management Team Review:**

Director	Division	Recommend For Approval		Signature	Date Reviewed	Comments
		Yes	No			
Marci Jumisko	Administrative Services	<input type="checkbox"/>	<input type="checkbox"/>			
Rose Gray	Adult Probation Services	<input type="checkbox"/>	<input type="checkbox"/>			
Winnie Webber	Judicial Information & Technology	<input type="checkbox"/>	<input type="checkbox"/>			
Rich Krause	Judicial Operations	<input type="checkbox"/>	<input type="checkbox"/>			
Robert Cesar	Juvenile Probation & Detention	<input type="checkbox"/>	<input type="checkbox"/>			
Dena Traylor	Psychological Services	<input type="checkbox"/>	<input type="checkbox"/>			
Robert Zastany	Executive Director	<input type="checkbox"/>	<input type="checkbox"/>			

**3. Concerns regarding Research Proposal:**

**4. Recommended Additional Conditions applied to Research Proposal:**

**INDEPENDENT RESEARCH RECOMMENDATION FORM**

**19<sup>th</sup> JUDICIAL CIRCUIT COURT – DIVISION OF \_\_\_\_\_**

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5. Senior Management Team's Decision:  Reject Proposal at this time  
 Return to Principle Researcher for Revision  
 Forward to Chief Judge for Final Approval

**CHIEF JUDGE'S REVIEW:**

6. Additional Concerns Regarding Research Proposal:

7. Additional Conditions Applied to Research Proposal:

8. Chief Judge's Decision:  Reject Proposal at this time  
 Return to Principle Researcher for Revision  
 Approval of Proposed Research

9. Approval of Proposed Research Expires \_\_\_\_/\_\_\_\_/\_\_\_\_

10. Chief Judge's Signature / Date: \_\_\_\_\_