

# Application for Research Approval Instructions

Follow the instructions below when completing the application for research approval. After completing the application email it in Microsoft Word format to: [Linda.Mitterling@ncdps.gov](mailto:Linda.Mitterling@ncdps.gov)

## General Information:

Provide the title of your research project.

Principal Investigator:

*Instructions:* as the PI you must have attained at least a master's degree from an accredited US institution or your project must be supervised by an individual with these credentials. Degrees from foreign institutions are accepted upon review. Please attach your most recent CV or resume to this application.

*Provide:* name, degree, address, institution, telephone, fax and email address.

Faculty Advisor:

*Instructions:* If you have not attained at least a master's degree from an accredited US institution you must be supervised by an individual with these credentials. If you are a student seeking a Ph.D., you should provide the name of your advisor here. Degrees from foreign institutions are accepted upon review. If there is no advisor, leave this blank

*Provide:* name, degree, address, institution, telephone, fax and email address.

Department Sponsor:

*Instructions:* If you have worked with a DPS employee to develop this project please list this person here. Do not include communications from the Office of Research and Planning regarding the project unless you have worked closely with staff on the design or analysis of the proposal. If there is no sponsor, leave this blank

*Provide:* name, degree, address, institution, telephone, fax and email address.

## Application Questions:

1. Purpose and rationale of the study:

*Instructions:* You should provide background information on the research topic and state your questions or hypotheses. Supply justification for the research including reasons that the use of offenders or correctional staff is necessary. Include citations as appropriate.

*Provide:* literature review, hypotheses, references.

2. Study design:

*Instructions:* Describe the study design. For each hypothesis describe, if applicable, what subjects will be asked to do and how subjects will be assigned into treatment groups. Describe how data will be collected and who will collect data. Describe any measures or instruments that will be used. Tell how data will be analyzed. Explain the specific statistical or other techniques that will be used to address your question or hypothesis. Address adequacy of the sample to achieve study aims. Note: *Study designs that rely heavily on data mining techniques are rarely approved.*

*Provide:* study design, data analysis approach

3. Subjects:

*Instructions:* Summarize information on human subjects.

*Provide:* number of subjects, subject age range, duration of involvement, duration of study, recruitment, restrictions/exclusions, inducements, gender, and subject class

4. Data sources:

*Instructions:* Summarize your sources of data by checking all that apply. If you plan to collect or are requesting identifying information, specify the identifiers requested and attach a copy of any surveys, interviews or tests.

Indicate any special materials you will need and any materials you will bring with you to the research site (e.g., tape recorder, video equipment, etc.).

*Provide:* data sources, required equipment, any data elements from DPS databases required to complete your researcher

5. Benefits:

*Instructions:* Describe the potential for benefits to the individual, society, class of individuals (e.g., offenders, corrections professionals) or Division of Adult Correction and Juvenile Justice. Include direct and indirect benefits. If no direct benefits to the individual are possible, state this explicitly.

*Provide:* direct and indirect benefits

6. Risks:

*Instructions:* Describe the potential risks to the individual, society, class of individuals (e.g., offenders, corrections professionals) or Division of Adult Correction and Juvenile Justice. Include psychosocial harm, economic harm, legal jeopardy, loss of professional standing or reputation, loss of community standing (including prison society), as well as any side effects of study medication.

*Provide:* risks

7. Measures to minimize risks:

*Instructions:* Describe the measures that will be taken to minimize the risks noted above. Consider how you will maintain confidentiality of participation, and provision for mental health counseling if requested. Also discuss the potential for deductive disclosure.

*Provide:* potential for deductive disclosure, confidentiality measures used in the research design

8. Confidentiality measures:

*Instructions:* Specify the nature of the data and who will see it. Describe measures to protect the subject, her/his participation, and the data. Detail any provisions for data sharing, data security and storage, disposition of identifying information and other data after completion of study.

*Provide:* data sharing intentions, data storage and security

9. Cost (financial and resource) to the Department of Public Safety:

*Instructions:* Include an estimate of DPS staff time required to assist with this project (e.g., administering and scoring tests and surveys or data extraction) and subject time. Also indicate proposed data collection sites. Describe in detail what assistance you require from staff.

*Provide:* estimate of DPS financial contribution, estimate of DPS staff time, proposed data collection sites.

10. Consent Process:

*Instructions:* Describe the process of obtaining informed consent from subjects.

*Provide:* copies of all consent forms, justification for waiver of written consent (if applicable), and justification for full or partial waiver of consent (if applicable).

**Please include the following statements in your consent form, where applicable or provide justification for exemption from this requirement in Section 10 of the application:**

*Department of Public Safety staff are not conducting this research project. They will not get a copy of your name or of your answers. The Department may receive a copy of the overall results at the end of the study but will not be able to identify you personally from the copy they receive.*

*Your release date, terms of supervision, medical care, or your general living conditions will not be affected by whether you chose to be in the study or if you chose to stop participating at any point. You may refuse to answer questions or stop taking part in the study at any time.*

*You should know that if you indicate plans to harm yourself, to harm someone else, or to escape or abscond supervision that information is not confidential and will immediately be reported to DPS staff.*