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NORTH CAROLINA DEPARTMENT OF ADULT CORRECTION

APPLICATION FOR RESEARCH APPROVAL

Complete the following application its entirety. Send the application and any supporting documents as attachments to: [administrative-analysis@dac.nc.gov](mailto:administrative-analysis@dac.nc.gov), as well as any questions.

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| **1. PROPOSAL TITLE** | | | | | | | |
| *Provide the title of your research project as registered with your IRB.* | | | | | | | |
| **Title**: | | | | | | | |
| **2. CONFLICT OF INTEREST – DISCLOSURE** | | | | | | | |
| *In order to ensure research is conducted in an ethical and transparent manner and to protect the integrity of research conducted by, on, or with interests of the Department of Adult Correction, all research requests are reviewed for conflicts*  *of interest.*  *You may have a conflict of interest when you, or any member of your immediate family has a personal financial interest in the outcome of the research or when engagement in research activities creates a situation that may compromise or has*  *the appearance of comprising your objectivity in carrying out research related activities, including but not limited to the collection, analysis and interpretation of data. Describe any potential conflicts of interest that should be considered by DAC.*  *All researchers must disclose any conflict of interest when submitting the research request.* ***Submission of this research application without disclosure constitutes an explicit attestation that no conflict exists.*** | | | | | | | |
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| **3. RESEARCH TEAM, SPONSORS AND IRB** | | | | | | | |
| **Principal Investigator (PI):** *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 and provide the following information here.* | | | | | | | |
| **Name**: | | | | **Degree**: | | | |
| **Email**: | | | | **Phone number**: | | | |
| **Address**: | | | | | | | |
| **Faculty Advisor:** *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 PhD, you should provide the name of your advisor here. Degrees from foreign institutions are accepted upon review. If there is no advisor, leave the following blank.* | | | | | | | |
| **Name**: | | | | **Title**: | | | |
| **Email**: | | | | **Phone**: | | | |
| **Address**: | | | | | | | |
| **Additional team members:** *List* ***all*** *members of the research team and their roles in this project.* | | | | | | | |
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| **Department Sponsor(s):** *List any NC State Government agency staff that aided with the design or analysis of the proposal. Do not include those involved in facilitating the approval of this project. If there is no sponsor, leave the following information blank.* | | | | | | | |
| **Name**: | | | | | | | |
| **Institutional Review Board:** *List the name, city and state of the IRB of record that approved this proposal.* | | | | | | | |
| **Name**: | | | | | **City**: | | **State**: |
| **4. STUDY PURPOSE AND RATIONALE** | | | | | | | |
| *Provide background information on the research topic. Include a literature review, hypotheses and references. Supply justification for the research, including reasons that the use of offenders or correctional staff is necessary. Include citations as appropriate.* | | | | | | | |
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| **5. STUDY DURATION AND DESIGN** | | | | | | | |
| *State the estimated study duration. 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. State 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. Please note that study designs that rely heavily on data mining techniques are rarely approved. Also note that subject inducements/incentives are not typically allowed.* | | | | | | | |
| **Estimated study duration**: | | | | | | | |
| **Study design**: | | | | | | | |
| **Data analysis approach**: | | | | | | | |
| **6. SUBJECTS** | | | | | | | |
| *Summarize information about the human subjects in the study.* | | | | | | | |
| **Number of subjects**: | | **Age range**: | | **Gender(s)**: | | | |
| **Duration of involvement in study**: | | | | | | | |
| **Subject class(es)- check or highlight all that apply**:   * Adult inmates * Adult probationers or parolees/post-releasees * Staff * Juveniles * Other (please explain): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | | | | | | |
| **Subject restrictions/exclusions**: | | | | | | | |
| **Recruitment script(s):** *Provide any recruitment scripts as a separate attachment.* | | | | | | | |
| **7. DATA SOURCES** | | | | | | | |
| *Specify any identifiers you plan to collect or request. Check or highlight all that apply.* | | | | | | | |
| * Names * Social security, OPUS, SBI or FBI numbers * Any other unique identifying numbers * Any geographic subdivisions smaller than a city (includes street address and zip code)   Please explain: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | | | | | | |
| *Indicate your sources of data. Check or highlight all that apply.*  ***Provide a copy of any surveys, interviews or tests as a separate attachment.*** | | | | | | | |
| **Files:**   * Electronic * Hard copy | **Surveys:**   * Email/mail-in * Face-to face | | **Interviews:**   * Remote video * Face-face * Phone | | | **Tests:**   * Hard copy * Electronic | |
| *If requesting “Hard copy files”, list any information to be abstracted from the files and the DAC location of these files.* | | | | | | | |
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| *If requesting, “Electronic files”, list any data elements required and the DAC database in which these data are found.* | | | | | | | |
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| *List the title of surveys, interviews, or tests. For each, specify if it has been field tested and/or validated. If the*  *instrument(s) have not been both field tested and validated, please make certain your research design incorporates these elements. If the instrument cannot be validated, provide justification in your study design.* ***Include copies of materials as individual attachments.*** | | | | | | | |
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| **8. EQUIPMENT** | | | | | | | |
| *List any materials and equipment you plan to bring to the research site, including electronic and non-electronic devices. Note that recordings are not typically allowed. Indicate any special materials needed as well.* | | | | | | | |
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| **9. BENEFITS** | | | | | | | |
| *Describe the potential for benefits to the individual, society, class of individuals (e.g., offenders, corrections professionals) or Division of Adult Correction. Include direct and indirect benefits. If no direct benefits to the individual are possible, state this explicitly.* | | | | | | | |
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| **10. RISKS** | | | | | | | |
| *Describe any potential risks to the individual, society, class of individuals or the Department of Adult Correction. 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.* | | | | | | | |
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| **11. MEASURES TO MINIMIZE RISK** | | | | | | | |
| *Describe the measures to minimize the risks noted above. Specify how you will maintain confidentiality of participation and consider provisions for mental health counseling if requested. Also discuss the potential for deductive disclosure.* | | | | | | | |
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| **12. CONFIDENTIALITY MEASURES** | | | | | | | |
| *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. Be specific.* | | | | | | | |
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| **13. COST TO THE DEPARTMENT** | | | | | | | |
| *Include an estimate of DACS 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.* | | | | | | | |
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| **14. CONSENT** | | | | | | | |
| *Describe the consent procedure to be used.* **Attach copies of all consent forms***.* | | | | | | | |
| * Informed consent * Waiver of written consent * Full waiver of consent * Partial waiver of consent (specify specific elements of consent you wish waived) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | | | | | | |
| *Provide justification if any of the above waivers are checked.* | | | | | | | |
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| *Consent forms should include the following statements unless justification for exemption is provided below.* | | | | | | | |
| *Department of Adult Correction (DAC) staff are not conducting this research project. They will not get a copy of your name or of your answers. The Department will 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 DAC staff.* | | | | | | | |
| *Provide justification if exemption from using the DAC statements is requested.* | | | | | | | |
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