Going Straight to the Source:

Using Human Subject Data
in Your Thesis, Capstone Report, or Dissertation

COL (ret) Lawrence G. Shattuck, PhD
Chair, Institutional Review Board
30 September 2019
What’s the maximum sea state for small boat recovery?

Experimentation and/or simulation
Why are Navy pilots suffering physiological episodes?

Surveys
Questionnaires
Focus Groups
Interviews
How do service member deployments affect their children’s performance in school?

Use **secondary information** to compare performance of school children whose military parents are deployed to those children whose parents are not deployed.

- School grades
- Special classes (advanced or challenged)
- Disciplinary issues
- Number of deployments
- Length of deployments
- Age of children
What is Human Subjects Research (HSR)?

**Research**

“A **systematic** investigation designed to develop or contribute to **generalizable** knowledge”

**Human Subject**

“A living individual *about whom* an investigator… conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information” about an individual.”

**Common Types of HSR**

- Surveys, questionnaires
- Interviews
- Equipment testing on people
- Audio/video recording
- Archived data mining
- Task/work analysis

Yours **might** be HSR!
All academic institutions conducting research involving humans have an IRB.

- Research is governed by HHS, DOD, and DON policies
- Online CITI training is required
- Approval can take up to three weeks

Plan ahead!
What can do without IRB approval?

- Discuss possible research topics with SMEs
- Work with others on the design of your research
- Talk with people to collect facts

What first requires IRB approval?

- Recruit people to participate as subjects
- Collect data from people, about themselves. “What do you think about….?” “Why do you think that happened?”
- Access data that is private and identifiable

If in doubt, ask IRB@nps.edu!
What happens when HSR is conducted without IRB approval?

- Non-compliance is investigated and reported to the NPS President, DoN, and DoD.
- You may lose all data collected and be unable to complete your coursework or thesis.
- You may not graduate on time.

If in doubt, ask IRB@nps.edu!
Specify Methods at Thesis Proposal Stage

On your Python Thesis Dashboard

<table>
<thead>
<tr>
<th>Compliance Approval Tasks</th>
</tr>
</thead>
<tbody>
<tr>
<td>To plan ahead and consolidate task records, this section provides lists of possible items that need additional approvals.</td>
</tr>
<tr>
<td>- Track approval requested and received dates.</td>
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<tr>
<td>- If item(s) are not completed before routing, advisor checks &quot;HOLD&quot; on Thesis Release and Approval Form (TRAF). Updates are allowed after student departs.</td>
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<table>
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<tr>
<th>Compliance Tasks (by Student) (edit)</th>
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<tr>
<td>Contains items that primarily are the student's responsibility. Click (edit) to update.</td>
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Required at Proposal
Specify Methods at Thesis Proposal Stage

Scroll down to reveal method types

<table>
<thead>
<tr>
<th>Compliance Items To Be Completed By Student</th>
<th>Request Submitted</th>
<th>Approval Received / Completed</th>
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<tbody>
<tr>
<td>☐ None of the items in this section apply</td>
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<tr>
<td>☐ Human Subjects protocol review by IRB</td>
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<td>☐ Travel approval (if fieldwork)</td>
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<td>☐ SERE training (if fieldwork abroad)</td>
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<td>☐ Country clearance (if fieldwork abroad)</td>
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<td>☐ Review by student’s sponsor</td>
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<td>☐ Patent filed (if separate from advisor)</td>
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<td>☐ Copyright permission(s)</td>
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<tr>
<td>☐ Other, student's responsibility</td>
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**Human Research Protection Program (HRPP)**
Specify HSR (or Not) at Thesis Proposal Stage

If “YES,” contact IRB@nps.edu!

<table>
<thead>
<tr>
<th>Human Research Protection Program (HRPP)</th>
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<tr>
<td>Do you plan to engage in any of the following activities in support of your research activities?</td>
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<tr>
<td>☑ Yes ☐ No</td>
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<td>☑ Yes ☐ No</td>
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<td>☐ Yes ☑ No</td>
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<td>☐ Yes ☑ No</td>
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<td>☐ Yes ☑ No</td>
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Human Subject Determination Info

When answering YES to any of the above and before they begin their research, students must fill out a Human Subject Determination Request Form (available at [http://my.nps.edu/web/research/irb-home](http://my.nps.edu/web/research/irb-home)), have it signed by the advisor, send it to the HRPP Specialist at irb@nps.edu, and receive back an IRB determination. In the event the research evolves to include any of the above activities, the student must request a new IRB determination.
HRPP and IRB Contact Information

NPS IRB website and email:
https://my.nps.edu/web/research/irb
IRB@nps.edu

IRB Contact Information:
IRB Chair: Dr. Larry Shattuck
Ext: 2473
lgshattu@nps.edu

HRPP Support: Ms. Celine Lai
Ext: 2043
clai@nps.edu

HRPP Support: Ms. Xio Carrion
Ext: 1037
Xiomara.carrion@nps.edu

Cooperate and Graduate!!
THE END

Now, go forth and do great things!