



NAVAL  
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# Going Straight to the Source:

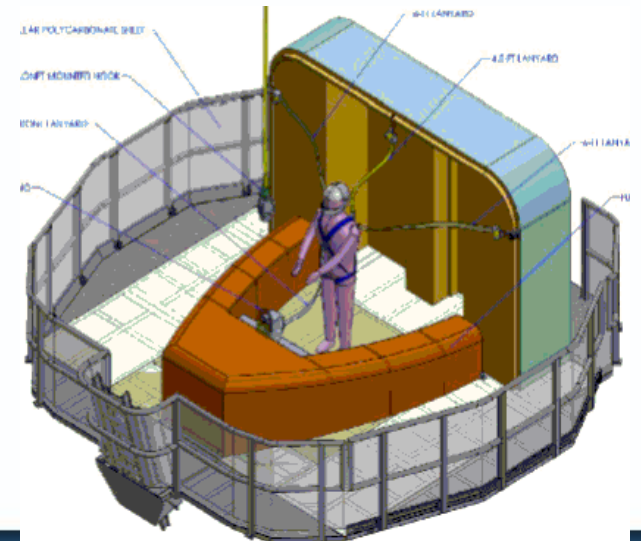
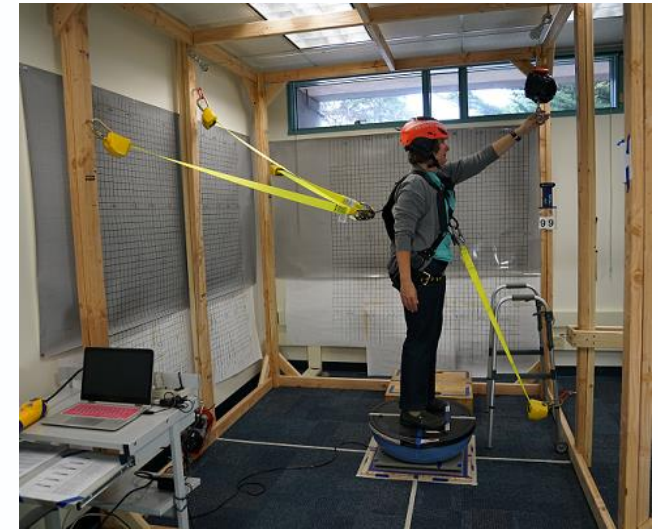
## Using Human Subject Data in Your Thesis, Capstone Report, or Dissertation

COL (ret) Lawrence G. Shattuck, PhD  
Chair, Institutional Review Board  
14 July 2020

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# 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 You Need to Know

## 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](mailto: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](mailto:IRB@nps.edu)!**





# Specify Methods at Thesis Proposal Stage

## On your Python Thesis Dashboard

### Compliance Approval Tasks

To plan ahead and consolidate task records, this section provides lists of possible items that need additional approvals.

- Track approval requested and received dates.
- If item(s) are not completed before routing, advisor checks "HOLD" on Thesis Release and Approval Form (TRAF). Updates are allowed after student departs.

Compliance Tasks (by Student) [\(edit\)](#)

Contains items that primarily are the student's responsibility. Click [\(edit\)](#) to update.

Required at  
Proposal



# Specify Methods at Thesis Proposal Stage

## Edit Compliance Items by Student



### Compliance Items To Be Completed By Student

Date input format: mm/dd/yyyy

Select all items which apply to your Applied Cyber Operations Capstone Report

Request Submitted

Approval Received / Completed

☐ None of the items in this section apply

☐ Human Subjects protocol review by IRB ⓘ



☐ Travel approval (if fieldwork)



☐ SERE training (if fieldwork abroad)



☐ Country clearance (if fieldwork abroad)



☐ Review by student's sponsor



☐ Patent filed (if separate from advisor)



☐ Copyright permission(s)



☐ Other, student's responsibility

Human Research Protection Program (HRPP)

Do you plan to engage in any of the following activities in support of your research activities?

Scroll  
down  
to  
reveal  
method  
types





# Specify HSR (or Not) at Thesis Proposal Stage

## Edit Compliance Items by Student

### Human Research Protection Program (HRPP)

Do you plan to engage in any of the following activities in support of your research activities?


- |   |  |  |
|---|--|--|
| <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No            | Administer a questionnaire or survey.  |
| <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No            | Conduct focus groups or interviews.  |
| <input type="checkbox"/> Yes            | <input checked="" type="checkbox"/> No | Observe human performance directly or indirectly (e.g., online, through analysis of information systems, crowd sourcing, etc.) with or without individuals' knowledge. |
| <input type="checkbox"/> Yes            | <input checked="" type="checkbox"/> No | Audio or video record the activities of humans.  |
| <input type="checkbox"/> Yes            | <input checked="" type="checkbox"/> No | Use pre-collected data that contains any information about humans.   |
| <input type="checkbox"/> Yes            | <input checked="" type="checkbox"/> No | Test any equipment in which humans will serve as users.  |

### 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>), have it signed by the advisor, send it to the HRPP Specialist at [irb@nps.edu](mailto: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.

➔ If "YES," contact [IRB@nps.edu](mailto:IRB@nps.edu)!

 Save Compliance Items

 Close Window



# HRPP and IRB Contact Information

NPS IRB website and email:

<https://my.nps.edu/web/research/irb>

[IRB@nps.edu](mailto:IRB@nps.edu)

## IRB Contact Information:

IRB Chair: Dr. Larry Shattuck  
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[lgshattu@nps.edu](mailto:lgshattu@nps.edu)



HRPP Support: Ms. Celine Lai  
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[clai@nps.edu](mailto:clai@nps.edu)

Ms. Xio Carrion  
Ext: 1037  
[Xiomara.carrion@nps.edu](mailto:Xiomara.carrion@nps.edu)



***Cooperate and Graduate!!***





# THE END

Now, go forth and do great things!

