

**JUSTICE RESEARCH AND STATISTICS ASSOCIATION (JRSA)**  
Human Subjects Application to the Institutional Review Board (IRB)

The federal government and JRSA require that an IRB authorize the use of human subjects in research. The following information must be provided when humans are used in research studies, regardless of the study's funding source. Research in which humans are used may not be performed in the absence of IRB approval. You must submit a Privacy Certificate and copies of all data collection instruments and Informed Consent Forms with this application.

**COMPLETE AND SUBMIT THIS APPLICATION TO:**

**Justice Research and Statistics Association**  
**Attn: Institutional Review Board**  
**777 N. Capitol Street, NE, Suite 801**  
**Washington, DC 20002**

---

---

**SECTION ONE: PROJECT BACKGROUND**

Date: 6/5/2006

Principal Researcher: Mike Haddon

Mailing Address for Principal Researcher:

**Utah Commission on Criminal and Juvenile Justice**  
Utah State Capitol Complex

East Office Building, Suite E330

Salt Lake City, Utah 84114

Phone Number for Principal Researcher: **(801) 538 - 1047**

Email Address for Principal Researcher: mhaddon@utah.gov

Project Title: Improving State Criminal History Records Through Analysis

---

Project Start Date: **06/15/06** Project End Date: **03/15/07**

Please indicate the funding whether this project is funded or unfunded by checking the appropriate box below:

Unfunded

Funded

If your project is funded, please indicate the funding source(s), whether actual or potential, and the contract/grant number, if applicable.

Funding Source #1: **Justice Research and Statistics Association**\_\_\_\_\_

Funding Source #2: \_\_\_\_\_

Funding Source #3: \_\_\_\_\_

Contract/Grant Number: \_\_\_\_\_

Are you requesting a determination of exemption from Human Subjects Regulations?

yes  no

*If yes, answer the following questions and complete all remaining sections, entering Not Applicable where appropriate:*

Does the project involve research, as defined in 45 CFR 46.102(d)?  
yes no

Does the project involve human subjects, as defined in 45 CFR 46.102(f)?  
yes no

Does the proposed research involve prisoners? yes  
no

Does the proposed research involve children? yes  
no

Indicate the subsection of 45 CFR 46.101(b) under which you are claiming exemption: \_\_\_\_\_

Are you requesting an expedited review? (The study must involve no more than minimal risk to human subjects and involve only procedures in the list of categories eligible for expedited review promulgated by the Department of Health and Human Services.)

yes  no

If yes, under which category are you requesting expedited review (see [www.hhs.gov/ohrp/humansubjects/guidance/expedited98.htm](http://www.hhs.gov/ohrp/humansubjects/guidance/expedited98.htm))?

**(5) Research involving materials (data, documents, records, or specimens) that have been collected, or will be collected solely for nonresearch purposes (such as medical treatment or diagnosis).**

---

## **SECTION TWO: PROJECT DESCRIPTION**

Please attach a brief and complete project description, including a detailed discussion of the research methods that will be used.

**This project will monitor the recidivism behavior of a cohort of sex offenders released from the Utah prison system during calendar year 2001. A comparison cohort of offenders released from prison who were not sentenced based on a sex offense will also be tracked during the course of this study. Recidivism will be measured based upon a 3-year window after release and will include re-arrest, re-conviction, and re-incarceration based upon either a new offense or a technical parole violation. All sex offenders released during 2001 will be included in the analysis. The comparison group will be randomly selected to mirror the size of the sex offender group, but will not include any duplicates from the sex offender group. All data and information collected related to incarceration, arrest, and conviction will be obtained from historical records maintained by the Utah Department of Corrections and the Utah Department of Public Safety. No individual contact with offenders will be made.**

## **SECTION THREE: CHARACTERISTICS OF THE STUDY POPULATION**

What is the anticipated number of subjects that will be used in this study?

**Based on 2005 estimates, there will be approximately 210 offenders in the sex offender group and 210 randomly selected for the comparison group.**

What are the criteria for inclusion and exclusion in this study?

**The criteria will be all sex offenders released from the Utah prison system during calendar year 2001. The comparison group will be a similar sized cohort of offenders released from prison during calendar year 2001 who are not also in the sex offender group.**

How will eligibility be determined, and by whom?

**Eligibility will be determined by the Utah Statistical Analysis Center. Offenses that qualify an offender to be included in the sex offender cohort will be based upon parameters set by the Justice Research and Statistics Association.**

What method(s) will be used to identify and recruit prospective subjects? Attach a copy of any planned advertisement/notices and letters to potential subjects.

**This is not applicable. All subjects will be extracted from historical data maintained by the Utah Department of Corrections.**

Are any inclusion or exclusion criteria based on age, sex, pregnancy or childbearing potential, or racial/ethnic origin? If so, explain and justify.

**The inclusion criteria will be that the offender was spending time in prison, in part, because of a sex offense. Due to the low number of female sex offenders, this group may not be included in any final analysis.**

Will any vulnerable subjects<sup>1</sup> be included? If so, identify the subject groups and justify their involvement.

**Vulnerable subjects are not targeted in this analysis, however, some may be included due to selection methodology. Because we are examining only official records, any vulnerable subjects are not at any type of risk. However, their post-release behavior is just as relevant to this analysis as any other type of released offender.**

What is the overall risk classification of the proposed research: minimal, greater than minimal, significant, or unknown?<sup>2</sup>

- Minimal
- Greater than minimal
- Significant
- Unknown

What procedures will be used to prevent or minimize potential risks<sup>3</sup>?

---

<sup>1</sup> *Examples of vulnerable subjects include:* Mentally or physically challenged persons, Elderly persons, Cognitively impaired persons, persons with severe psychological disorders, terminally ill patients, non-English speaking persons, children or minors (individuals under 18 years old), prisoners, parolees, pregnant women, fetuses

<sup>2</sup> According to the FDA/HHS Regulations, minimal risk means “The probability and magnitude of harm or discomfort anticipated in the research are not greater in and of themselves than those ordinarily encountered in daily life or during the performance of routine physical or psychological examinations or tests.” When the risks associated with the new procedure or product are unknown, they cannot be classified as “minimal.”

<sup>3</sup> All potential risks must be minimized to the greatest extent possible by using procedures such as appropriate monitoring and withdrawal of the subject upon evidence of a specific adverse event. This section should reflect that all appropriate steps will be taken to protect subjects from harm.

**All data extracted from record management systems will be kept on a secured network operated by the state. The records will further be protected by password on each data file. Unless necessary, name and other identifying information will be kept off the data files, and once the data files are combined and records matched, identifying information will be eliminated.**

Will subjects be paid to compensate their participation, or offered any incentives to induce them to participate?

No  
 Yes

If yes, please describe:

---

---

---

---

---

Does the proposed research make use of survey or interview procedures?

yes       no

*(If yes, please complete Section Four: Characteristics of the Instruments to be Used)*

#### **SECTION FOUR: CHARACTERISTICS OF THE INSTRUMENT(S) TO BE USED**

*If your study will include the use of questionnaires, surveys, etc., please complete this section. In addition, final copies of all instruments that will be used on human subjects must be submitted and approved by the IRB before they can be used.*

Describe the setting and mode of administering the instrument (e.g., by telephone, in-person, mail) and the provisions for maintaining privacy and confidentiality. Include the duration, intervals of administration, and overall length of participation.

Will subjects' responses be recorded in such a manner that human subjects cannot be identified, by persons other than the researcher, either directly or through identifiers linked to the subjects?

Yes  
 No

If subjects' responses became known outside the study, would they place the subjects at risk of criminal or civil liability or be damaging to the subject's financial standing or employability?

Yes (Please explain)  
 No

Do survey questions in this study inquire about sensitive aspects of the subjects' own behavior, such as illegal conduct, drug use, sexual behavior, or use of alcohol?

Yes  
 No

## SECTION SIX: INFORMED CONSENT

Please indicate the population(s) that will be included in this study (check all that apply).

Adults  
 Minors<sup>4</sup>

Please describe the procedures that will be used to obtain informed consent. When will the subjects be asked to participate and sign the consent form? If using children, how will their assent be obtained? Please attach a copy of any documents that will be used to gain informed consent.

**This is not applicable as we will be working with historical data and will not be contacting any individual included in the study.**

How and where will the consent process take place? How will it be structured to enhance independent and thoughtful decisionmaking? What steps will be taken to avoid coercion or undue influence?<sup>5</sup>

How, and by whom, will it be determined whether the subjects or their legally authorized representatives understand the information provided?

---

I HAVE READ THE JRSA LETTER OF ASSURANCE FOR THE PROTECTION OF HUMAN SUBJECTS IN RESEARCH AND AGREE TO ABIDE BY IT. I ALSO AGREE TO

---

<sup>4</sup> The inclusion of minors in a study requires that legally authorized representatives give their consent for the minor to participate.

<sup>5</sup> Be sure to consider a) the environment and location where informed consent will be solicited; b) the involvement of someone other than the researchers to help explain the research; c) the opportunity for the prospective subjects to discuss participation in the research with family, friends, or their advisors before signing the consent form.

REPORT ANY SIGNIFICANT AND RELEVANT CHANGES IN PROCEDURES AND INSTRUMENTS AS THEY RELATE TO SUBJECTS TO THE JRSA IRB Administrator.

---

Principal Researcher (signature) (Date)

---

Principal Researcher (signature) (Date)

---

Principal Researcher (signature) (Date)