

SUBMITTING A RESEARCH PROPOSAL



Informational Letter RRC-20030830

Please note that in its role as a public institution, DBH only approves proposals that have the potential to benefit clients and contribute to the existing knowledge base. Proposals to conduct research solely to provide an educational experience for the researcher will not be approved.

Overview of Application and Research Process

1. Researcher submits 8 copies of proposal¹ to the secretary of the Research Review Committee (RRC), along with a letter of sponsorship from the Principal Investigator (PI) if the researcher is not the PI.²
2. Secretary ensures packets are complete, and then distributes them to Committee members.
3. If project is approved as submitted, the Chair of the RRC signs the R&A Form and returns it to the PI. If proposal is not approved, the PI may resubmit it after revision or explanation, as requested. (NOTE: Resubmissions must be complete packets unless the Committee specifically requests otherwise.) If the Committee does not approve the second submission of the proposal, the PI may appeal to the Director of Behavioral Health or designee.
4. Once the project is approved by the RRC, the applicant must obtain approval signatures from the program managers of the regions that will be affected, from the Deputy or Deputies over those regions and from the Director or designee, prior to beginning the research.
5. For the duration of the project, the researcher must submit a monthly project update to the Department liaison appointed for that project, with a copy to the Chair of the RRC.³
6. At the conclusion of the project, the researcher must provide to the Committee a copy of the research findings (thesis, dissertation, paper, manuscript, etc.), and a statement confirming that all PHI-type data⁴ has been returned to DBH or appropriately destroyed.⁵

Required Contents of Application Packet

1. Cover Letter (To include a statement of approval and responsibility for proposal by the Principle Investigator)
2. Table of Contents ([QM065](#))
3. Application Face Sheet ([QM066](#))
4. Resources, Risks and Support Form ([QM067](#))
5. Statement of Agreement ([QM068](#))
6. Informed Consent Form (may use [QM069](#) or one more specific to project)
7. HIPAA Compliance Assertion ([QM070](#))
8. Application Checklist ([QM071](#))
9. Review and Approval Form ([QM072](#))
10. Research Plan
 - a. Specific Aims
 - b. Brief Background and Literature Review
 - c. Formal statement of research questions and, if applicable, research hypotheses
 - d. Research Design and Methods (including description of statistical analysis proposed)
 - e. Statement Regarding Protection of Human Subjects
 - f. Statement Regarding Special Protection for Children
 - g. Proposed Project Timeline or Sequence of Events
 - h. Data Security and Disposal Plan
 - i. References (for Literature section)
10. Attachments (this section may include other information specific to the project)
 - a. Sample Consent Form (if DBH form not used above)
 - b. Data collection form(s)
 - c. Surveys and instruments

¹ Proposal must include all forms and supporting documentation.

² In the case of students, the Principal Investigator is the Chair of the thesis committee or faculty advisor.

³ Email update reports are acceptable

⁴ "Protected Health Information" as defined under HIPAA, as well as any other personally identifiable data.

⁵ For PHI-type data stored on paper, or on CD or other removable computer storage, the disks or files should be shredded or otherwise permanently destroyed; if stored on hard drives, the files must be overwritten at least three times IAW industry security standards.